

HANDBOOK FOR PLANNING AND IMPLEMENTING

Development Assistance for Refugees (DAR) Programmes



UNHCR

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Development Assistance for Refugees (DAR) Programmes

Prepared by

Amadou Tijan Jallow

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

Sajjad Masood Malik

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

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For further information, please contact:

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

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FOREWORD

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

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

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

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

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

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

Marjon Kamara
Director, DOS/UNHCR

ACKNOWLEDGEMENTS

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

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

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

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

Amadou Tijan Jallow
Sajjad Masood Malik

January 2005

EXECUTIVE SUMMARY

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

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

The DAR concept is:

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

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

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

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

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

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

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

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

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

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

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

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

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

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GLOSSARY

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LIST OF ACRONYMS AND ABBREVIATIONS

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

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

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

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

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

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LIST OF SYMBOLS



Denotes suggestions for further reading on a particular topic.



Denotes a tip or particularly important point.



Denotes a definition box.



Denotes a reference to a section within the handbook.



Denotes the continuation of a table.

INTRODUCTION

Why the Handbook

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

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

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

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

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

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

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

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

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

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

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

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

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

To sum up, the Handbook:

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

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

Who the Handbook Is For

The Handbook is intended for:

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

What the Handbook Covers and How to Use It

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

The Handbook has three parts:

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

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

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

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

How the Handbook was Developed

The Handbook was informed by the following process:

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

CONCLUSION

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

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”⁵ and local settlement programmes⁶ in UNHCR dates back to the 1960s when the concept of “*integrated zonal development approach*” to refugee assistance was proposed⁷. 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 process⁸ - 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.

⁵ 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.”

⁶ 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.

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

⁸ 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*⁹, 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, namely¹⁰:

- **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.



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

¹⁰ 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”¹¹.

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 refugees¹². 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

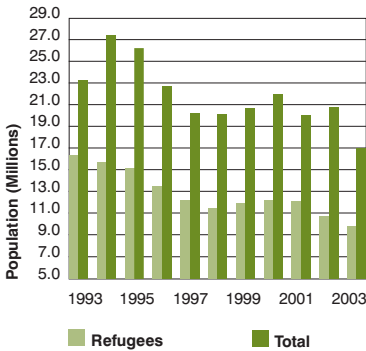
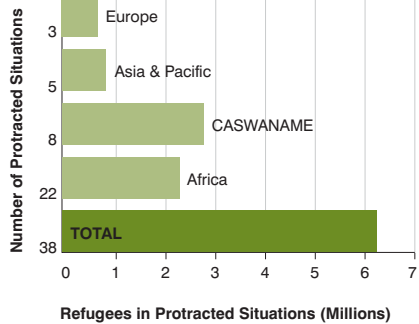


FIGURE 1.3 Major Protracted Refugee Situations by Region (year-end 2003)



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.

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

¹² 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 CASWANAME¹³ 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)

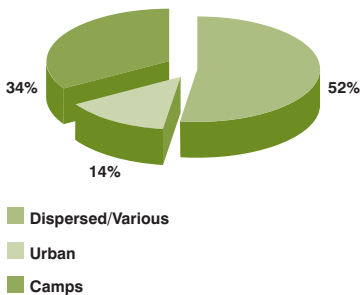
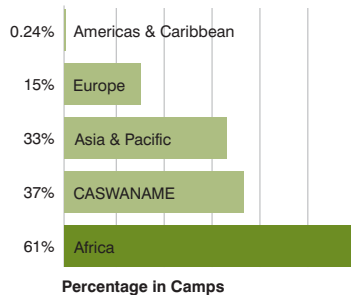


FIGURE 1.5 Population of Concern to UNHCR in Camps by UNHCR Regional Bureau (year-end 2003)



¹³ 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)¹⁴. 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 group¹⁵. 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 assistance¹⁶. 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

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

¹⁵ Poverty Reduction Strategy Papers - A Displacement Perspective, UNHCR, October 2004.

¹⁶ 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 instruments¹⁷.

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 market¹⁸. 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-agreement¹⁹. 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 following²⁰:

- 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;

¹⁷ 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.

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

¹⁹ 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).

²⁰ "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)²¹; 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.

²¹ 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

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 PLUS²²

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.”

²² See 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 Protection²³. 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*

²³ "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)²⁴; 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.

²⁴ See 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 SOLUTIONS²⁵

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”²⁶. 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.

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

²⁶ 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"> • Hold discussions, organize seminars and training workshops to sensitize and raise awareness • Produce and disseminate fact sheets on the DAR concept
Poor perception on contributions of refugees to local economic and social development	<ul style="list-style-type: none"> • Improve dialogue with local authorities • Improve refugee/host community relationships • Document and demonstrate the many ways refugees contribute to local economic development (eg. food production, skilled labour) • Ensure projects are not competing with an already fragile economy (know your socio-economic environment before planning)
Inadequate additional funding from the central government to refugee hosting districts	<ul style="list-style-type: none"> • Work with local governments to improve lobbying/advocacy to central government • Help mobilize resources from sector allocations (eg. health, education) • Develop programmes that could attract development assistance from donors
Perception that refugee needs are already taken care of by UNHCR	<ul style="list-style-type: none"> • Explain goals of DAR programmes better to all partners • Explain risks inherent in parallel service delivery in terms of co-existence, etc.
Weak local economies in refugee hosting areas	<ul style="list-style-type: none"> • 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. • Team up with development agencies • Seek technical support from ILO, FAO and other specialized agencies
Development agencies exclude refugees from assistance	<ul style="list-style-type: none"> • Work with local governments to improve lobbying/advocacy to central government • Continuously lobby/interact with agencies • Take part in donor coordination mechanisms and national thematic groups/task forces • Liaise with projects supported by donors at local level • Take part in CCA/UNDAF, PRSPs, SWAPs and other relevant processes
No refugee representation in local planning mechanisms	<ul style="list-style-type: none"> • Facilitate creation of consultation fora/mechanisms and ensure that women and children proactively participate at all levels • Avoid as much as possible creation of parallel structures • Use informal mechanisms where they exist
Refugees found in predominantly camp settings	<ul style="list-style-type: none"> • Promote and support sharing of facilities between refugees and nearby communities to encourage social and economic interactions • Negotiate access by refugees to productive resources (eg. land), apprenticeship programmes, entrepreneurship, etc.
Standards to use when building infrastructure or providing services	<ul style="list-style-type: none"> • Adopt national standards acceptable to UNHCR, local government, refugees and host communities • Partner with development agencies and actors and lobby for raising local standards, in line with the MGDs, if needed
Refugees might feel that service provision to them will suffer when these include nationals as well	<ul style="list-style-type: none"> • Sensitize local populations and include them in the planning process for the integration of services • Put in place effective monitoring and response mechanisms • Strengthen protection monitoring • Adopt a phased approach when integrating services, based on capacities of local governments • Mobilize increased donor support
Resistance by host communities	<ul style="list-style-type: none"> • Undertake awareness raising activities • Promote co-existence type projects • Provide access to nationals of services built only for refugee at the onset • Sensitize communities that DAR programme will improve quality of life for both refugees and host communities

POTENTIAL CHALLENGES AND RESPONSES

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

²⁷ 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 Concern²⁸

- 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 Concern²⁸

- 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 Concern²⁸

- 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

²⁸ 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 LEVEL²⁹

1.1 Typology of Planning Frameworks

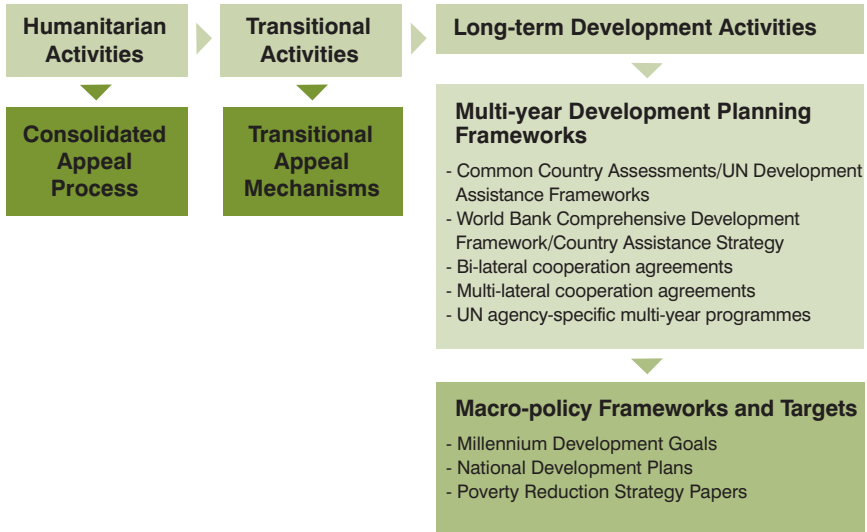
Development planning frameworks at national level can be grouped into three broad categories:

- 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.

²⁹ 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 Frameworks³⁰



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.

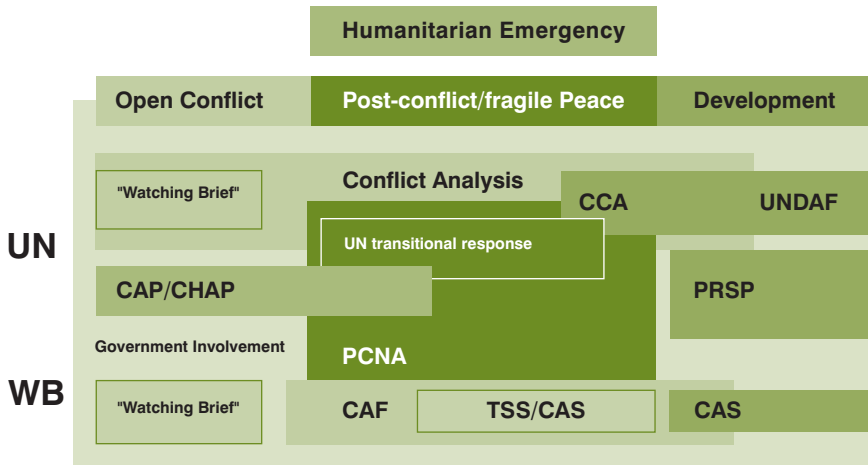
³⁰ *Handbook for Repatriation and Reintegration Activities*, UNHCR Geneva, May 2004.

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

FIGURE 2.2 Overview of Inter-Agency Planning Tools and Instruments³¹



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

³¹ 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 development³²:

- 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

³² 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*”³³. 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 decentralization³⁴ :

- **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.

i

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*”³⁵. 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.

³³ World Bank Local Development Discussion Paper.

³⁴ CDD Module of the PRSP Sourcebook, World Bank.

³⁵ 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)³⁶.

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.*”³⁷

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;

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

³⁷ 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"> • Providing training and capacity building in specialized areas • Ensuring that national standards and policies guide programme design • Ensuring that existing technical capacities and financial resources of line ministries are mobilized to support programmes • Helping local governments apply new sector policy guidelines/standards • Integrating local development plans in Sector Wide Approaches (SWAPs) 	<ul style="list-style-type: none"> • Providing legitimacy to planned activities • Assisting in coordination with other development interventions at provincial/district level • Integrating programme activities into medium and longer term development plans and ensuring continuity and sustainability • Tapping district resources to support DAR programme activities - the reverse could also happen with DAR resources strengthening local governments 	<ul style="list-style-type: none"> • Ensuring that programmes meet the immediate priorities and needs of target communities • Ensuring that the protection needs and those of vulnerable groups in communities are sufficiently addressed • Building community cohesion and promoting co-existence • Ensuring sustainability • Building leadership and confidence among local communities • Mobilizing community resources to solve local problems • Strengthening local institutions to take charge of their development • Strengthening the voice of local communities in planning and implementation of development activities

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

To / à:	All Representatives, Chiefs of Mission and Heads of Offices in the Field All Directors of Bureaux and Divisions All Heads of Desks
From / de:	The High Commissioner
Category / catégorie:	OPS, Chapt.
Ref / réf:	ADM-01-01
Date / date:	9 Dec 2004
Subject / objet:	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).
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
Principle of Organization	Function (eg. education, health, roads)	Territory (eg. province, district, municipality)	Social Unit (eg. village)
Strategic Orientation	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
Main Operational Method	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
Key Lessons	<ul style="list-style-type: none"> • De-concentration within administrative services is necessary but not sufficient for effective service delivery • Demand responsive arrangements are useful in establishing appropriate service levels and standards • CBOs as co-producers and oversight bodies can improve service delivery • Linking public organizations to private firms and NGOs enhances local capacity to deliver services • Local planning processes not only allocate resources but also increase accountability of service providers • Service delivery arrangements should be adapted to the local institutional environment 	<ul style="list-style-type: none"> • LG responsiveness requires electoral accountability as well as other participatory processes • Decentralization is most effective when LG reform is linked to sector reform • Local governance quality depends not only on LGs but also on the effectiveness of local civil society • LGs can lead local development as coordinators of private initiative as well as advocates for local interests • Effective service delivery requires collaboration between LGs and sector agencies • LG strategic planning helps build partnerships among public, private and CBOs 	<ul style="list-style-type: none"> • Community driven funds can channel resources in response to urgent, specialized or complex demands • Participatory community planning can efficiently allocate resources • Community-based management of resources and investments can be transparent and efficient • Targeted community-driven approaches can empower marginalized groups • Community control over decisions and resources can build social capital • Strengthening CBOs can increase poor people's voice • Community contributions help ensure that investments are demand driven and "owned" by beneficiaries • Increased links between LGs and CBOs can speed "scaling-up" and improve sustainability



MATRIX OF ALTERNATIVE APPROACHES TO SUPPORTING LOCAL DEVELOPMENT*



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

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

Annex 2.3:

BASIC QUESTIONS IN DECIDING ON A COMMUNITY-BASED APPROACH³⁸

- ✓ 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?

³⁸ Source: Narayan, 1995.

Annex 2.4:

COMPARATIVE FEATURES, STRENGTHS AND WEAKNESSES OF COMMUNITY/VILLAGE AND DISTRICT-BASED PLANNING APPROACHES³⁹

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

³⁹ 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

- 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.

OVERVIEW OF PART II

How to Plan, Implement, Monitor and Evaluate DAR Programmes

PART II of the Handbook suggests ways to plan, implement, monitor and evaluate DAR programmes. Tools to support planning and implementation and to promote participatory development are elaborated in **PART III** of the Handbook.

Ideas and suggestions in this part of the Handbook will enable users to:

- Gain a better understanding of the various settings in which refugees are found and how to take them into account when planning DAR programmes;
- Learn about some of the key steps in planning DAR programmes which they can then adapt to their own situations;
- Have a better understanding of pre-requisites and strategies for fundraising; and
- Identify and take into account the principal elements necessary for implementing DAR programmes effectively.

Module Three The DAR Planning Process

Module Four Resource Mobilization and Implementation

Module Five Monitoring and Evaluation

PART II: MODULE THREE

The DAR Planning Process



SUMMARY OF MODULE THREE

Module Three provides basic guidance on planning of DAR programmes. It covers various elements including: different planning scenarios for DAR - summarizing the settings in which refugees are found and elements to consider in design and implementation of programmes; proposed steps for a DAR planning process; an outline of possible contents of a Strategy and Action Plan; and ways to manage information.

Section 1: Possible DAR Planning Scenarios

Section 2: Suggested Steps for a DAR Planning Process

Section 3: Possible Elements of a DAR Strategy and Action Plan

Section 4: Information Management Mechanisms

INTRODUCTION

Sound planning is the basis for implementation, monitoring and evaluation. It requires early and meaningful involvement of all DAR stakeholders - at national and local levels - in all stages of the planning exercise. The Government should play a lead role (with strong community participation), and be supported by the UN Country Team (UNCT), donors, NGOs and other partners. This will strengthen national ownership and facilitate incorporation of the programme into existing or planned development frameworks and initiatives, a critical factor for long term success. Planning should also build upon the guiding principles outlined in Module One of the Handbook.

The objective of a DAR planning exercise is to define an overall **Strategy and Action Plan**. It is also a means for partnership building and resource mobilization.

The planning exercise can be conceptualized as two interlinked components:

1. **Suggested Steps** for a DAR planning process - i.e. the process for conducting the planning exercise - the **how**; and
2. **The Strategy and Action Plan** - i.e. defining the substantive content of the DAR programme - the **what**.

This Module provides guidance on these two aspects, and on how to take into account the settings under which refugees are found, as well as suggestions on how to manage information to support planning.



For additional resource materials to aid planning, UNHCR staff should consult the following:

- *UNHCR Manual Chapter 4.*
- *Handbook for Self-Reliance, UNHCR 2005.*
- *UNDG Guidance Note On Durable Solutions for Displaced Persons (refugees, internally displaced persons, and returnees) October 2004. See also associated UNHCR IOM/080-FOM/082/2004.*
- *A Guide to Situation Analysis in UNHCR, Draft 2004.*
- *Project Planning in UNCHR: A Practical Guide on the Use of Objectives, Outputs and Indicators (Second Version), March 2002.*
- *Practical Guide to Multilateral Needs Assessments in Post-Conflict Situations, prepared by UNDP, World Bank and UNDG, August 2004.*

Key elements of the UNHCR **Operations Management System (OMS)** are presented in Annex 1.

Section 1:

POSSIBLE DAR PLANNING SCENARIOS

Refugees can be found in a range of settings, based on the following dimensions (or combinations thereof):

- **Temporal Dimension:** whether the situation can be characterized as a “new”, “stable” or a “breakthrough” (i.e. when repatriation is in sight for refugees) refugee situation; and
- **Spatial Dimension:** whether refugees are in an urban or rural setting; whether they are found in camp or non-camp or some other setting (eg. dispersed settlements).

The DAR programme will also be influenced by other factors (eg. cultural/ethnic affinities between refugees and hosts, socio-economic conditions in refugee hosting areas, security).

In general, the DAR programme approach can be applied in many different situations. Table 3.1 presents some of the main features of “emerging/new”, “stable” and “breakthrough” refugee situations and possible actions for DAR programmes. These are further considered in Section 3 of this Module - Possible Elements of a DAR Strategy and Action Plan.

TABLE 3.1: MAIN FEATURES: “NEW/EMERGING”, “STABLE” AND “BREAKTHROUGH” REFUGEE SETTINGS AND POSSIBLE ACTIONS FOR DAR PROGRAMMES

Scenario/Settings	Main Features	Possible Actions for DAR Programming
<p>“New/Emerging” Refugee Situations <i>Situations where mass displacement is still on-going or has just ceased and emergency and humanitarian needs are greatest</i></p>	<p>Characteristics</p> <ul style="list-style-type: none"> • Significant attention from the international community and media • Could be situations of mass influx or steady flow of people across borders - situations often “fluid” • High degree of unpredictability, making programming challenging • Families can be split and/or separated • Psycho-social and other related problems (eg. SGBV, trauma, victims of physical violence) may be high in the refugee community • Refugee population could be mixture of civilians and elements of armed groups/persons • Refugee population largely found in temporary shelters/settlements with some likelihood that they will be moved elsewhere • Reactions of host community sometimes uncertain or not welcoming because of fear of sharing already scarce resources <p>Scope of Intervention</p> <ul style="list-style-type: none"> • Humanitarian/emergency and protection issues are primary 	<ul style="list-style-type: none"> • Ensure that refugee populations being moved out of temporary shelters can have access to productive resources • Take early measures to build inter-communal trust between hosts and refugees by extending assistance to host communities who can at times be in more precarious conditions • (Re) - build socio-economic cohesion • Take measures to protect assets of refugees • Capitalize on good media attention to mobilize humanitarian resources for DAR programmes <ul style="list-style-type: none"> • Ensure that actions to save lives (provision of food, water, shelter, health) and protect people from persecution and/or denial of rights (eg. “<i>refoulement</i>”) also lay the basis for DAR programmes • Involve line ministries and development partners with sector interests and experience in the provision of technical advice on services with a view to the longer term benefit as well as during emergencies



TABLE 3.1: MAIN FEATURES: “NEW/EMERGING”, “STABLE” AND “BREAKTHROUGH” REFUGEE SETTINGS AND POSSIBLE ACTIONS FOR DAR PROGRAMMES

Scenario/Settings	Main Features	Possible Actions for DAR Programming
<p>“New/Emerging” Refugee Situations <i>Situations where mass displacement is still on-going or has just ceased and emergency and humanitarian needs are greatest</i></p>	<p>Capacity Issues</p> <ul style="list-style-type: none"> • Organizations deploy staff with emergency backgrounds - staff tend to DO FOR refugees rather than identifying and mobilizing capacities and resources from the start (a way to assist refugees in overcoming their trauma by recognizing their capacities and allowing them to use them) • Many actors present, making coordination a challenge • Limited and/or fragmented information on refugees - socio-economic, demographic profiles, etc. • UNCT faces challenges in integrating refugee issues into development plans • Refugees may have poor knowledge of their new environment • Refugees often have lost all their possessions • Host governments/local authorities are often overwhelmed • No clear policy or no adequate legal framework from host governments on how the refugee situation will be handled 	<ul style="list-style-type: none"> • Deploy staff with development background (eg. through secondments) to complement existing humanitarian ones • Build a good profile of refugee population when collecting registration information, and on host populations as well • Encourage UNCT interest early and engage them in planning processes • Initiate asset building activities (eg. skills training, micro finance, small businesses) • Help strengthen capacity of government and of local bodies • Assist in putting in place appropriate legal frameworks - If no legal framework can be adopted, ensure arrangements with government to allow productive activities by refugees • Use a community development approach and social organization as a basis for promoting self reliance
	<p>Development Issues</p> <ul style="list-style-type: none"> • Increased demands for food, fuel, fodder and shelter that may often trigger widespread environmental degradation • Development partners (especially of the UN) may be poorly represented or not at all present in areas hosting/receiving refugees • Many of the early emergency interventions may be unsustainable in the medium and/or long-term 	<ul style="list-style-type: none"> • Take measures to mitigate environmental damage by introducing environmentally sound measures • Plan with (and not just for) both refugees and host communities • Use bottom-up and participatory approaches in programme and project design • Encourage joint programmes (eg. settlement planning, site selection, income generation and livelihoods) with development partners • Plan for sustainable interventions

TABLE 3.1: MAIN FEATURES: “NEW/EMERGING”, “STABLE” AND “BREAKTHROUGH” REFUGEE SETTINGS AND POSSIBLE ACTIONS FOR DAR PROGRAMMES

Scenario/Settings	Main Features	Possible Actions for DAR Programming
<p>“Stable” Refugee Situations <i>Emergency phase is over, large-scale displacement has ceased and refugee population is located in more stable settlement areas</i></p>	<p>Characteristics</p> <ul style="list-style-type: none"> • Refugee population in more permanent locations - either in camps, some form of settlements or spontaneously settled • Influxes of populations somewhat more stable • Refugee community institutions may have emerged and are better structured • Attention of international community and media may gradually shift to other “hot spots” - as situation gradually becomes protracted, attention of international community may diminish • Legal status and type and duration of residence permit granted to the refugees by host governments have usually been clarified, including what rights refugees enjoy 	<ul style="list-style-type: none"> • Strengthen self-reliance activities • Promote local economic development in partnership with development actors and as part of local, regional and national development plans and priorities • Encourage participatory approaches and help strengthen community structures and mechanisms • Solidify links with development programmes, district-based interventions, etc. • Undertake more in depth economic assessment (market, skills employment, financial services, etc.)
	<p>Scope of Intervention</p> <ul style="list-style-type: none"> • Food rations and other forms of support by UNHCR and partners could be gradually scaled back in tandem with the aim of promoting community development and self-reliance • UNHCR interventions: Care and maintenance activities mixed with some QIPs and self-reliance activities (eg. agriculture, community development, skills development and skills training, small business development, micro finance) 	<ul style="list-style-type: none"> • Ensure that assistance cut backs match household/community capacity to be food secure • Strengthen life skills, numeracy and literacy skills • Capitalize on potential to emphasize self-reliance interventions
	<p>Capacity Issues</p> <ul style="list-style-type: none"> • Better information on refugee population, from registration and other sources of information • Fewer partner agencies on the ground • Refugees have developed social networks and may begin to build assets • Refugee coping strategies are better developed as their knowledge of the new environment grows • Somewhat improved capacities within government and local authorities - but could also see emergence of “refugee institutions” within government structures 	<ul style="list-style-type: none"> • Refine and continuously update information on refugees • Improve knowledge on positive coping strategies that do not deplete productive assets and respect human dignity and rights and use them to design livelihood interventions
	<p>Development Issues</p> <ul style="list-style-type: none"> • More structured interventions by partners may begin • Links between refugee population and host communities may develop 	<ul style="list-style-type: none"> • Include development of and support to refugee hosting areas in UN programming and other instruments - CCA/UNDAF, PRSPs, UN-agency programmes, etc. • Ensure that planned projects factor in sustainability considerations

TABLE 3.1: MAIN FEATURES: “NEW/EMERGING”, “STABLE” AND “BREAKTHROUGH” REFUGEE SETTINGS AND POSSIBLE ACTIONS FOR DAR PROGRAMMES



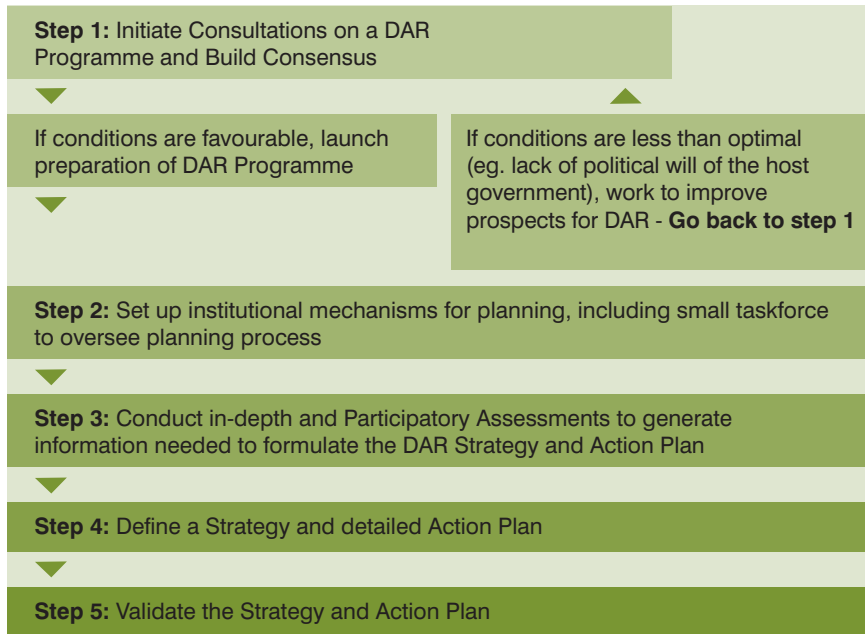
Scenario/Settings	Main Features	Possible Actions for DAR Programming
<p>“Breakthrough” Situations <i>Prospects for peace are at hand but no peace agreements signed yet - repatriation a distinct possibility</i></p>	<p>Characteristics</p> <ul style="list-style-type: none"> • Improved prospects for peace - peace agreement to be signed or already signed • While prospects for solutions are in sight, there may be uncertainties surrounding peace processes • Renewed focus of international community • Some cross-border visits already taking place • Refugees considering and planning for repatriation and exploring what possibilities exist for livelihoods in their country of origin • Close relationships often exist between refugees and host communities- social and economic • Likelihood for a residual case load of refugees who may not wish or able to go back home 	<ul style="list-style-type: none"> • Consolidate preparations for repatriations • Consolidate environmental rehabilitation efforts, streamline infrastructure and facilities • Redouble search for solutions for residual case loads
	<p>Scope of Intervention</p> <ul style="list-style-type: none"> • UNHCR Representation's attention could be more focused on repatriation issues, tripartite negotiations, logistics, etc. 	<ul style="list-style-type: none"> • Accelerate efforts to integrate services for refugees into local services • Facilitate transfer of socio-economic skills to country of origin (refugee profiles, matching curricula, standard training certificates) • Undertake post-repatriation planning exercises with partners, especially host governments to deal with issues related to camp closure, camp consolidation and rehabilitation
	<p>Capacity Issues</p> <ul style="list-style-type: none"> • Capacities built within district bodies • Refugees may have well developed community structures 	<ul style="list-style-type: none"> • Plan on how to use refugee capacities to support repatriation and reintegration programmes
	<p>Development Issues</p> <ul style="list-style-type: none"> • Potential adverse impact of return on local economy in hosting areas in terms of food production, labour, etc. 	<ul style="list-style-type: none"> • Plan with district authorities and central government to minimize such impact

Section 2:

SUGGESTED STEPS FOR A DAR PLANNING PROCESS

The DAR planning exercise is a series of steps leading to the development of a Strategy and Action Plan. Figure 3.1 proposes a process for the planning exercise consisting of five generic steps. It is not prescriptive and should be used flexibly and adapted according to the context. A country case example (Ecuador) of a DAR planning exercise is presented in Box 3.1.

FIGURE 3.1 Steps for a DAR PLANNING EXERCISE



Step1. Initiating Consultations and Building Consensus

An initial step in formulating a DAR programme is to obtain broad support for the idea by:

- securing host government support early in the process, as the **political will of host government** is a determining factor for feasibility of DAR programmes;
- engaging the UNCT as soon as possible, to mobilize agency support and to explore opportunities to incorporate refugee concerns and those of hosting areas in CCA/UNDAF processes and agency programmes, where feasible;
- involving donors (bilateral and multilateral) early, starting with the initial consultations (eg. a multi-donor mission in the early stages of the Zambia Initiative was important for mobilizing support) and ensuring that both humanitarian and development arms of bilateral agencies are contacted and kept abreast; and
- taking steps to ensure that the feasibility of the DAR concept is discussed in various planning fora, such as:
 - **at national level:** Aid coordination mechanisms, donor technical committees, UNCT planning processes (eg. UNDAF thematic groups), inter-ministerial fora, sector coordinating committees, etc.;
 - **at provincial/district level:** provincial/district technical planning committees; and
 - **at community level:** villages committees and other similar fora to generate awareness, support and ownership.

Given its mandate and established early capacity in refugee hosting areas UNHCR should take the lead in the early stages of consultation and consensus building.



NGOs, especially implementing partners, should be involved in both strategizing and planning of DAR programmes, for several reasons. A number of them might have important expertise to offer, may have access to other funding sources, and their involvement may be necessary to ensure a smooth transition of the C&M activities to DAR programmes. Civil society organizations and local NGOs may also have a “watchdog” role.

MODULE THREE

In making a case for DAR, highlight the benefits outlined in Section 1.5 of Module One. Additional actions could include the following:

- making partners aware of contributions of refugees to socio-economic development of host country - food production, unskilled and skilled labour (teachers, health workers, etc.), small scale businesses and economic activities;
- emphasizing the fact that addressing refugee concerns through DAR programmes also means dealing with development concerns in refugee hosting areas - as refugees and hosts very often face similar livelihood challenges;
- making partners aware of the risks (eg. conflicts) inherent in parallel service delivery for refugees and nationals living in the same areas.

Support of agency HQ through missions can also play a crucial role. For example:

- In Uganda, the DAR programme was initiated following a UNHCR HQ mission undertaken in September 2003 and the inter-agency/Government of Uganda mid-term review of the SRS conducted subsequently.
- In the case of the *Zambia Initiative*⁴⁰, the Government of Zambia raised the issue of the adverse impact of refugees and the need to bring help to host communities. In doing so it specifically requested UNHCR to play an active role in encouraging donors and development partners to contribute to the development of refugee hosting areas in the Western province, eventually including refugees on development agendas. UNHCR HQ subsequently launched a feasibility mission to Zambia.
- In Gabon, a training workshop conducted by UNHCR HQ involving all stakeholders (Government, refugees, UNCT, etc.) introduced the DAR concept to partners.

Where conditions are less than optimal, a DAR programme could be facilitated by UNHCR taking preliminary steps to create the necessary conditions. For example, in Ecuador, as a first step to a DAR, UNHCR initiated a “*Community Support and Integration Programme*” - a community-

⁴⁰ The Zambia Initiative is a holistic approach to address the immediate needs of refugee hosting areas in the Western Province, in order to alleviate the combined effects of food deficit, poor infrastructure, and limited access to public services and other economic opportunities. It is a long-term process involving various partners and donors to improve the quality of life for hosts and refugees and create an environment conducive for refugees to become productive members of the host community, leading to social integration, peace, security and stability in the region. For more information on the ZI, see www.unhcr.ch

based/QIPs-type programme - to enhance refugee protection and co-habitation with the local population, mitigate the socio-economic impact in refugee receiving communities and promote self-reliance and local integration, mainstreaming gender and age. Similarly, the foundation for the Uganda DAR programme was laid by the UNHCR/Government of Uganda *Self-Reliance Strategy for Refugee Hosting Areas of Moyo, Arua and Adjumani - 1999-2003*.

Step 2. Setting up Institutional Mechanisms for Planning

Mechanisms should be set up at various levels to support planning and ensure a:

- coordinated process to design the DAR programme, with government playing a leading role;
- joint planning approach, maximizing stakeholder involvement and participation at all levels; and
- demand-driven approach with priorities defined by the communities.

It is important to put women and youth in planning teams at all levels (national, provincial, district and local) in order to ensure that gender and age concerns are an integral part of the DAR design process.

National level Mechanisms

A small task force (consisting of government, UNHCR, representatives of development partners, civil society), reporting to a steering committee, could be set up at national level to provide focus and impetus during the initial stages, oversee all stages of the design process and prepare the draft Strategy and Action Plan. The task force should also ensure linkages between national provincial/district planning processes. The government ministry or institution in charge of refugee matters would pilot the design process; however, in some countries, the Ministry of Planning and Development (or its equivalent) is the focal ministry for piloting the DAR proposal. The work of the task force should be supported by UNHCR and development partners through provision of technical expertise and other forms of assistance.

Similarly, UNHCR could form an internal team that would focus on gradual integration of its C&M programme into the DAR programme.

Partner agencies and organizations (UN, donors, civil society, etc.) must be involved in the design of the DAR programme. For example, full and early involvement of the UNCT (in particular the World Bank, UNDP, UNICEF, ILO, FAO, WFP), NGOs and others will pave the way for joint implementation and will help place refugees on the development agenda. It is also important to secure commitments prior to the consultation process (eg. during the initial assessment stage). However, there is a need to be flexible and pragmatic, since not all partners may be ready to engage at the same time. In some cases, the partnerships could initially be based on those agencies most ready to be involved in the DAR programme, and progressively expanded over time. Their technical support however, should be sought during the planning stages.

District/Local Level Mechanisms

A task force could also be set up at district level, to maximize local stakeholder involvement and ensure that the DAR programme is based on the priorities of communities - refugees and hosts. Technical staff, district authorities and leaders may have a tendency to substitute their own ideas for those of local communities or emphasize project types that reflect their priorities (eg. infrastructure versus livelihoods, or projects located in more accessible areas versus those in more remote locations) in place of the priorities of communities. This should be guarded against.

THE DAR PLANNING PROCESS

BOX 3.1: DAR INITIATIVES IN AREAS HOSTING COLOMBIAN REFUGEES - ECUADOR AND VENEZUELA CASE STUDIES PRESENTED BY MERKX/RAMIREZ AT THE NOVEMBER 2004 DAR HANDBOOK, GENEVA VALIDATION WORKSHOP

SITUATION IN BORDERS

- Historically, areas with endemic poverty and high levels of inequity
- Marginalized with deficient development policies
- Impacted by humanitarian crisis

PLANNING OF DAR

- UNHCR adopts a 'Regional Approach' to a regional displacement problem
- Challenge to make refugee flows 'visible', through surveys, census, etc.
- Situation Analysis of border areas
- Joint planning with: governments, UN/international agencies and civil society
- As a first step UNHCR has initiated a 'Community Support and Integration Programme' (small community-based projects/QIPs-type) to:
 - Enhance refugee protection and co-habitation with the local population
 - Mitigate the socio-economic impact in refugee receiving communities
 - Promote self reliance and local integration, mainstreaming gender and age

KEY QUESTIONS IN PLANNING: WHO, WHERE, WHAT and WHEN

WHO is involved?

- Host communities and refugees
- Line ministries, local civilian and military authorities
- Church, NGO partners, Media
- Private Sector
- Inventory of existing initiatives: UDENOR, IOM and GTZ in Ecuador, 'Misiones' (socio-economic programmes for the poor run by the Government) in Venezuela

WHAT do we want to achieve?

- Self reliance of refugees
- Access to protection mechanism (documentation, work permits)
- Employment, income generation, crop production/food security
- Access to services (health, education etc.)
- Reduce tension with host community and local integration

WHERE do we focus on?

- Sensitive border areas
- 'No refugee camps/settlements'
- Dispersed populations
- Host communities
- Semi urban/Urban settings

WHEN is it feasible?


- Mutual understanding between host and refugee community
- Government authorities convinced and supportive ('ownership')
- Well working partnerships
- Minimal security

CASE STUDY	SITUATION	PROBLEMS TO CONSIDER IN PLANNING PROCESS	PROBLEMS TO CONSIDER IN PLANNING PROCESS
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ECUADOR	<ul style="list-style-type: none"> • Steady refugee flow, large Colombian population • No refugee camps • Co-habitation of hosts and refugees • Border area marginalized and in need of development (poorest in country) • UN assessment of border area done • Government/Donor interest in DAR 	<ul style="list-style-type: none"> • Government is cautious about integration of Colombians and asylum policy is becoming more restrictive • Xenophobia/insecurity on the rise • Colombians highly mobile, ending up in urban settings 	<ul style="list-style-type: none"> • Partnerships with UN agencies and others still at strategic level (weak or no presence in the field) • Need to operationalize strategies • 1st Step: Joint UN assessment • 2nd Step: Regional interagency meetings
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CASE STUDY	SITUATION	PROBLEMS TO CONSIDER IN PLANNING PROCESS	PROBLEMS TO CONSIDER IN PLANNING PROCESS
 VENEZUELA	<ul style="list-style-type: none"> • Large Colombian population, many of them regularized (270,000 persons) • No refugee camps • Co-habitation of hosts and refugees • Border area marginalized and in need of development (poorest areas) • UN agencies interested in cooperation with UNHCR • Government has launched 'Misiones' 	<ul style="list-style-type: none"> • Asylum policy is restrictive, few refugees • Insecurity in border area on the rise • Donor interest very limited • Many Colombians remain illegal and have no freedom of movement 	<ul style="list-style-type: none"> • Reactivate the UN interagency border group • Link UN programs with 'Misiones' • Promote joint missions to the border and invite donors • Organize joint donor briefings, where donors debrief on the field visits • Promote visibility of what is being done

Stakeholders at district/community level to involve in the DAR planning process would include:

- Refugee communities, including women and youth associations;
- Local host communities;
- Provincial/district authorities (including representatives from every level);
- Religious groups;
- District technical or line ministry staff; and
- Development and humanitarian programme and project staff and NGOs (both humanitarian and development ones).

Mechanisms set up at national and provincial/district levels should have clear terms of references and as far as possible be linked to existing structures.

Step 3. Carrying Out In-Depth Participatory Assessments and Analysis

In-depth assessments are an essential step in the planning process and should be a collective effort among partners (governments, UN agencies, bilateral agencies, NGOs, etc.). Annex 3.2 presents an example of terms of reference for a Joint Assessment mission for a DAR design process in Ecuador.

The goals of participatory in-depth assessments are to:

- obtain detailed information needed for planning; and
- establish baseline conditions, for monitoring and evaluating programme impact.

The design of a DAR Strategy and Action Plan requires an in-depth understanding of:

- policy and other factors influencing the feasibility of DAR concept (based on political/geographic realities, security, economic and social aspects);
- refugee and local populations: demographic profiles, socio-economic characterization, livelihoods (for refugees, erosion of assets base since arrival) coping strategies, population sub-groups, etc. For refugees, additional information such as country of origin, length of stay in exile, previous occupation, current skills, opportunities to return to country of origin, etc. would be important to collect⁴¹;
- baseline data for monitoring impact;
- key constraints to self-reliance and livelihoods: eg. access to land and other productive resources, shelter, employment;
- on-going development and humanitarian activities - can be done through a comprehensive mapping of actors and their activities, including bilaterals;
- institutional capacities, including existing traditional/community level organizations;
- development challenges and opportunities in relevant districts and host communities, such as poverty levels, economic activities;
- other populations of concern in refugee hosting areas (eg. IDPs);

⁴¹ For additional information on socio-economic characterization of refugee populations, see Section 1, Module Four of *Handbook for Repatriation and Reintegration Activities*, UNHCR May 2004.

- resources that can be tapped to support the DAR programme; and
- relevant activities of the private sector.

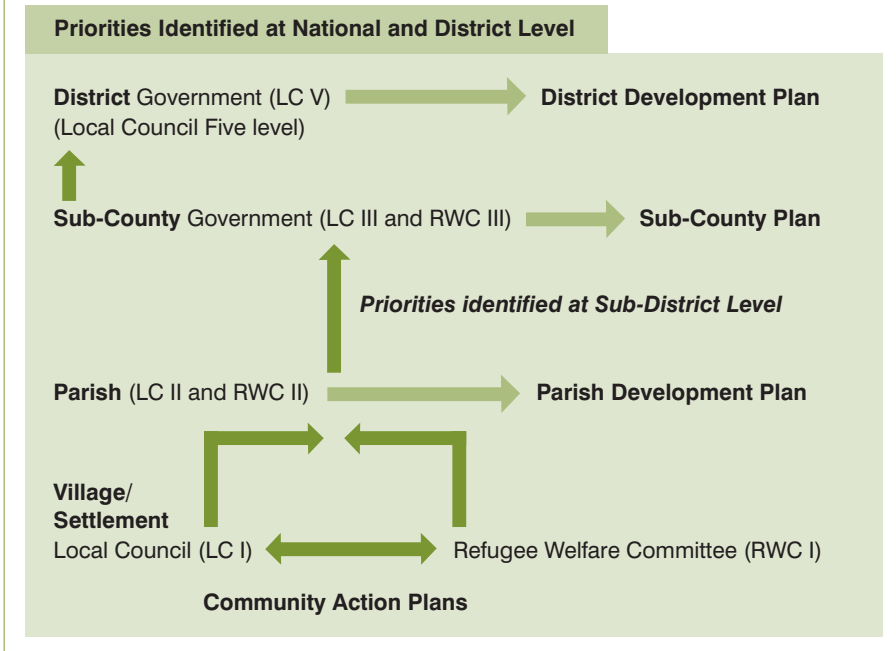
A summary of the types of assessments to undertake and the tools that can be used is presented in Table 3.2. Assessment tools to support planning are elaborated in PART III of the Handbook (Appendix I).

Applying participatory approaches in less-than-ideal situations can be challenging; nonetheless staff should endeavour to do so as the gains far outweigh the associated difficulties.

Community involvement should be the cornerstone of a DAR design process. Local needs and priorities can be defined through, for example, formulation of **Community Action Plans** based on participatory approaches. In Uganda, the Danish Assistance to the Self-Reliance Strategy (DASS) supported the development of Community Action Plans in Adjumani district (one of the three districts targeted by the Uganda SRS) in both refugee settlements and national villages. The action plans have empowered communities, helped foster decentralized planning and contributed to building community assets (schools, clinics, water points). The Uganda DAR programme builds upon this work by DASS as shown in Figure 3.2.

THE DAR PLANNING PROCESS

FIGURE 3.2 Community Action Plans Formulation and Inclusion into District Development Plans - Uganda⁴²



⁴² Source: Programme for Development Assistance for Refugee Hosting Areas in Uganda (DAR) 2005-2007, Office of the Prime Minister and UNHCR September 2004.

MODULE THREE

TABLE 3.2: SUMMARY OF ASSESSMENT GOALS, ACTIVITIES AND TOOLS

Assessments	Level	Goals	Activities and Tools
Policy and other factors influencing the feasibility of DAR programmes	<ul style="list-style-type: none"> • National • Provincial • District • Community 	<ul style="list-style-type: none"> • Identify current opportunities and gaps in government practices, policy and legal frameworks that can impact a DAR programme • Obtain a better understanding of the context of displacement and exile as well as opportunities for durable solutions • Gain a better understanding of the key factors within a country likely to influence the prospects for DAR programme (eg. are refugees taking part in social and economic activities; are refugees gainfully employed, degree of xenophobia) 	<ul style="list-style-type: none"> • Review existing legislation pertaining to refugees and compare with practice (including rural versus urban) • Group discussions with refugees and hosts • Surveys • Review of relevant country reports issued by UN and NGOs • Review key government documents • Hold discussions with district, regional and central authorities and with traditional leaders in areas hosting refugees • Hold discussions with refugees and host communities
Needs and priorities of refugees and host communities	<ul style="list-style-type: none"> • Village • Camp • Refugee settlement • Others - urban, semi-urban, spontaneously settled refugees 	<ul style="list-style-type: none"> • Establish a good profile of refugee population - demographic and socio-economic • Understand livelihood and coping strategies • Understand capacities and roles of women, men, boys and girls and the impact of possible activities on these groups 	<ul style="list-style-type: none"> • Participatory tools and methods • Registration data • Secondary data - documents review • Review documents produced by district authorities • Surveys
Local area development needs and priorities	<ul style="list-style-type: none"> • District/province • Municipality - including urban 	<ul style="list-style-type: none"> • Obtain information on programme priorities at community level (refugees and hosts) • Obtain information on capacities, resources, opportunities, institutions • Identify intra-village development priorities • Identify key actors at district level • Identify potential of refugee hosting areas 	<ul style="list-style-type: none"> • Review of district/municipal documents - plans, programmes, budgets, etc. • Review programme documents of various development actors present in district • Conduct specific research, if necessary • Interview of district authorities and staff • UNHCR reports



THE DAR PLANNING PROCESS

TABLE 3.2: SUMMARY OF ASSESSMENT GOALS, ACTIVITIES AND TOOLS



Assessments	Level	Goals	Activities and Tools
Development policies and programme priorities	<ul style="list-style-type: none"> National Sector interventions (eg. education, health, agriculture) 	<ul style="list-style-type: none"> Assess potential linkages and opportunities Assess how well refugee issues are integrated in government policies or existing practices Identify potential of including refugees in development plans and programmes Assess how well refugee issues are included in donor policies and cooperation agreements Identify opportunities to take part in relevant development policy and programme formulation exercises 	<ul style="list-style-type: none"> Documents review - CCA/UNDAF, PRSP, etc. Interviews with decision-makers Interviews with technical and programme staff Note who is doing what and where
Human and Financial Resources Available	<ul style="list-style-type: none"> National Sector 	<ul style="list-style-type: none"> Identify resources, both humanitarian and developmental, that might be available to support and implement the DAR programme Identify assets of communities, skills, resources and opportunities 	<ul style="list-style-type: none"> Documents review Interviews
Private sector	<ul style="list-style-type: none"> National District 	<ul style="list-style-type: none"> Scope the potential for private sector involvement 	<ul style="list-style-type: none"> Documents review Interviews Market analysis

Step 4. Defining a Strategy and Action Plan

The information generated during the assessment stage should be used to draft a strategy. The Strategy and Action Plan would be formulated by a small multidisciplinary group which reports to the DAR steering committee/task force established at national level. *Avoid having a Strategy and Action Plan that is drafted by external experts/consultants with limited inputs from nationals.*

Strategy definition should start with a **situation analysis**⁴³ to better understand the context within which the DAR programme is being designed and implemented and to **fit the strategy to different situations.**

SITUATION ANALYSIS

In UNHCR situation analysis is a systematic process of information gathering through which the priority problems facing people of concern and their proposed solutions are identified and analyzed, and these are then given a central role in formulating protection strategies and programme plans, and in decisions on resource allocation and action.

Source: A Guide to Situation Analysis in UNHCR - Draft 2004.

The following aspects, among others, should be borne in mind when defining the Strategy and Action Plan:

- flexibility;
- integrating concerns for gender and groups with special needs; and
- prioritization, as needs may be great and resources limited.

Flexibility

DAR programmes are likely to be implemented in dynamic and complex transitional environments, whereby a key challenge may be bridging between “saving lives” and “establishing livelihoods”. Such situations require flexibility to shift the planning mode and blend interventions of different nature. A case in point is the need and ability to respond to suddenly emerging humanitarian/emergency needs within a DAR programme area generated by secondary displacements arising from increased insecurity. For example, in northern Uganda, increased insecurity after a period of relative calm led to massive displacement of populations (both nationals and refugees) in Adjumani district during 2004, requiring

⁴³ In UNHCR situation analysis differs from traditional needs assessment. It focuses on the wider context and identifies refugee capacities and resources as well as needs and problems. The UNHCR gender and age multi-functional team approach is a key element in ensuring a comprehensive analysis.

humanitarian/emergency interventions; the insecurity also undermined progress made in enhancing self-reliance and building refugee productive capacities (due to lost of assets - land, housing, etc.). In such situations, ongoing development activities have to be complemented by provision of relief assistance to the displaced populations, and both refugees and hosts must be assisted equally; otherwise assistance to refugees only could spur resentment and conflict.

The strategy should also accommodate more gradual changes and transformations (as the period in exile could last from a few years to decades), such as:

- changes in livelihood and coping strategies of refugees and host communities;
- policy changes and political, economic and social transformations in countries of asylum and of origin;
- transformations in the localities hosting refugees;
- changes in the natural resource base and physical environment; and
- changes in donor policies, both humanitarian and developmental.

Integrating Gender and Groups with Specific Needs in Planning Processes

Measures to enhance gender and age concerns in planning include the following:

- disaggregating baseline data by gender and age;
- undertaking vulnerability assessment and mapping;
- involving women and youth from both refugee and host communities; and
- sensitizing men and all stakeholders on gender and age awareness.

Box 3.2 presents suggestions on gender and social exclusion issues in planning and implementing community-based development activities. They can also be used in designing a DAR Strategy and Action Plan. Annex 3.3 identifies key resource materials on Refugee Women, Refugee Children and Sexual and Gender-Based Violence.

BOX 3.2: TIPS ON SOCIAL/GENDER INCLUSION

Social Inclusion

- Identify sub-groups among the poor, especially those at risk of exclusion;
- Structure project rules and procedures to promote their participation;
- Determine participatory techniques that can help facilitate their involvement (where existing systems of social organization are highly inequitable, new groups may need to be created to enable excluded groups to participate);
- Ensure that intermediaries (NGOs, local government, etc.) working with communities have expertise in working with these groups and using participatory techniques.

Gender and Age Inclusion

- Ensure that women, men, boys and girls equally participate in all levels of the programme cycle
- Determine gender roles, priorities, and access to resources (eg. women's property and land rights) in the relevant sector(s) in the proposed project area;
- Identify any barriers to gender-appropriate project implementation;
- Structure project rules and procedures to reduce barriers and facilitate participation;
- Ensure that intermediaries (NGOs, local governments, etc.) working with communities have expertise in gender, youth and children's issues;
- Provide necessary capacity building and leadership training, particularly for women and girls;
- Include gender-specific indicators in monitoring and evaluation systems - collect disaggregated data, involve all stakeholders (men, women, girls and boys) in monitoring and evaluation.

Source: CCD Module of the PRSP Sourcebook.

Prioritization

Prioritize interventions as resources available to implement the DAR programme are likely to be limited in the early stages - *available resources should be directed to high priority areas and projects that can generate quick and visible results with long-term impact to attract additional resources and partners*. Priority setting will ensure selection of realistic activities and avoid programmes with long “wish lists” that never get implemented.

Criteria should be established to determine priority actions. A starting point is those priorities already identified at national and district level through PRSPs, national development plans, district development plans and other similar instruments.

Useful questions to determine priority activities could include:

- should the DAR Strategy and Action plan cover all refugee hosting districts in the country or should there be a phased approach?
- which local host communities would be included in the DAR programme: all in the province/district or within a given radius of refugee settlements or camps?

THE DAR PLANNING PROCESS

- would local host communities benefit from all types of interventions as refugees?
- what types of district-wide programmes would the DAR programme support and what interventions would be purely local?

Adapting the strategy to different settings

The various situations in which refugees are found are highlighted in Section 1. Table 3.3 recapitulates the main points to consider when formulating a DAR strategy in different settings - including urban.


TABLE 3.3: ELEMENTS OF DAR STRATEGIES UNDER DIFFERENT SETTINGS

Refugee Setting	Proposed Strategy ⁴⁴
“New/Emerging” Situation	<ul style="list-style-type: none"> • Establish dialogue with authorities to maximise opportunities for self-reliance when deciding on where to locate camps/settlements • Build self-reliance into UNHCR programme activities • Initiate innovative self-reliance programmes early • Factor sustainability in short-term initiatives and avoid starting activities/systems that will be dependent on UNHCR inputs and support in the longer term • Foster linkages with hosts to improve prospects for co-existence • Promote data collection of refugees’ professional and demographic profiles and survey market activities and employment opportunities to match refugees to appropriate jobs • Provide support to host communities and access, to the extent possible, by host nationals to services provided for refugees - eg. schools, clinics, water points (or build capacity of local system to absorb refugees when possible)
“Stable” Situation	<ul style="list-style-type: none"> • Gradually integrate services to refugees with those for nationals in same areas • Progressively transfer responsibilities for service delivery for care and maintenance/local settlement activities to local authorities • Strengthen self-reliance activities and skills development (balancing between present life in asylum and preparation for return) • Provide assistance to build capacity of local authorities, especially to integrate and manage programmes transferred • Utilize local planning mechanisms to design programmes • Ensure that costs associated with services are progressively absorbed by local government and ministry budgets - meanwhile make arrangements for recurrent costs - introduce cost sharing systems for refugees (based on local systems) and build the capacity of refugees and locals to access and pay for services (school fees, etc.), help raise additional funds to match additional responsibilities - these measures should not increase the burden on host countries • Promote data collection of refugees’ professional and demographic profiles and survey market activities and employment opportunities to match refugees to appropriate jobs and demand with goods and services • Put in place monitoring and evaluation mechanisms



⁴⁴ To the extent possible and feasible, involve line ministries, development partners and NGOs with sector interests who are able to provide experienced advice on long-termed service provision.

TABLE 3.3: ELEMENTS OF DAR STRATEGIES UNDER DIFFERENT SETTINGS

Refugee Setting	Proposed Strategy ⁴⁴
 “Breakthrough” Situation	<ul style="list-style-type: none"> • Consolidate preparations for solutions - skills training, self-reliance • Ensure that project activities dovetail with local development efforts once repatriation is complete • Gradually integrate activities in budgets of local governments and those of ministries and provide support to and build capacities to cater for additional needs • Put in measures to overcome likely adverse impact of repatriation on local economic activities • Build foundations for cross-border economic ties and linkages where appropriate, identify skills, capacities and resources needed for social and economic activities in the country of origin • Promote data collection of refugees’ professional and demographic profiles and survey market activities and employment opportunities to match refugees to appropriate jobs and demand with services and goods. Develop a strategy for possible transfer of refugee skills, capacities and resources to country of origin
Urban	<ul style="list-style-type: none"> • Identify barriers to self-reliance to urban refugees, such as discrimination, lack of skills (local language) and lack of knowledge of the local economy • Tap into and build on existing local or national programmes, wherever possible, when providing support for refugees in order to avoid the creation of parallel structures • Promote data collection of refugees’ professional and demographic profiles and survey market activities and employment opportunities to match refugees to appropriate jobs and demand with services • Ensure refugee skills training is applicable in the local market

Once a strategy has been defined, a detailed programme formulation exercise should be undertaken, the main objective of which is to *translate the DAR strategy into an operational plan*.

Identification of specific projects will emerge from the community consultation process, for example through Community Action Plans. These activities should fit within provincial/district development plans and activities. Other priorities may not however, emerge from community-based planning processes, eg. inter-village needs, in which case district authorities (and district plans) would be best placed to identify those. It may however, be necessary to reconcile plans at district level with national sector programmes through discussion and dialogue with relevant stakeholders. *To the extent possible, avoid “stand alone” projects that may have limited prospects for continuity.*

DEFINITIONS

Programme: a set of activities designed to achieve a specific purpose. The term may describe a mix of projects, training and capacity building, budgetary support and policy dialogue. A programme may focus on a region, a country, or an area within a country. It may be multi-sectoral or focus on a single sector.

Project: a discrete funding package, comprising an activity or set of activities that can contribute to (but not necessarily achieve on its own) a particular [development] objective.

Source: DFID Livelihoods Guidance Sheets at www.livelihoods.org

THE DAR PLANNING PROCESS

Remember to use national standards when designing project interventions (eg. schools, clinics and other facilities) as this will facilitate integration with national services and facilities and improve sustainability. Involvement of technical staff from line ministries and districts in programme formulation will also facilitate this process. In the Zambia Initiative, community proposals are vetted by district technical staff for conformity with national policies and standards prior to implementation - technical staff are responsible for establishing the bill of quantities for construction of facilities such as schools, health clinics, etc., and supervision of construction of these facilities.

Implementation should not always await the completion of the design process - if “seed” resources are available, urgent priorities that already emerge during the planning process should be addressed. For example, projects generated from community consultations can be packaged and presented to various donors to solicit funds (as was the case for the Zambia Initiative).

Based on the outcome of the planning process and the Strategy and Action Plan developed, UNHCR Representation can design UNHCR-specific interventions to consolidate DAR programmes, and thus progressively undertake **joint programming** with partner UN agencies⁴⁵.



For UNHCR-specific project planning staff should consult Project Planning in UNCHR: A Practical Guide on the Use of Objectives, Outputs and Indicators (Second Version), March 2002.

⁴⁵ “Joint Programming is the collective effort through which the UN organizations and national partners work together to prepare, implement, monitor and evaluate the activities aimed at effectively and efficiently achieving the Millennium Development Goals (MGDs) and other international commitments arising from UN conferences, summits, conventions, human rights instruments. Through joint programming, common results and the modalities for supporting programme implementation are identified”. See *UNDG Guidance Note on Joint Programming*, December 2003.

Step 5. Validating the Strategy and Action Plan

Before implementation begins, a national workshop should be held to validate the draft Strategy and Action Plan. The workshop should include government, donors, development agencies, NGOs, communities, UNHCR staff and other partners. The validation workshop jump-starts the implementation process, which is further dealt with in Module Four. Table 3.4 provides suggestions on workshop goals, outputs, possible themes and participants.

In Uganda, the draft DAR strategy was first discussed at district level workshops in all eight refugee-hosting districts prior to a national launching workshop. This enabled stakeholders at district level to provide inputs into the draft strategy and to start elaborating detailed district level plans. Such a process also facilitates the integration of the strategy into district development plans.

TABLE 3.4: SUGGESTED GOALS, OUTPUTS AND THEMES FOR A NATIONAL VALIDATION WORKSHOP

Goals	Key Outputs	Possible Themes	Participants
<ul style="list-style-type: none"> To reach agreement on the objectives, priority activities and means of implementation of the DAR programme To formally launch the implementation of DAR programme 	<ul style="list-style-type: none"> Objectives of DAR programme agreed to among all stakeholders Key actors and priority activities identified Potential "seed resources" to launch DAR programme (eg. preparatory activities) identified 	<ul style="list-style-type: none"> Presentation on DAR concept Overview of DAR programme strategy, objectives and activities Coordination arrangements and mechanisms (national/district level) to set up and/or strengthen Partner roles and responsibilities Monitoring and Evaluation Resource mobilization strategy 	<ul style="list-style-type: none"> Local authorities from refugee hosting areas Representatives of host populations Representatives of refugee communities UN humanitarian and development partners Line ministries Donors NGOs Other relevant actors (eg. church leaders, private sector)

Section 3:

ELEMENTS OF A DAR STRATEGY AND ACTION PLAN

The DAR Strategy and Action Plan should articulate:

- **An overall context and vision;**
- **The goals and main outcomes;** and
- **The means to achieve the goals,** in terms of project activities, actors, institutions, resources and implementation modalities, as well as monitoring and evaluation indicators.

BOX 3.3 EXAMPLES OF OVERALL GOALS OF DAR PROGRAMMES

- “Poverty reduction of refugees and their local hosting communities through community reconstruction, increase of food production, fighting environmental degradation and improvement of basic social services and living standards.
- Creating a situation conducive for refugees to become productive members of the host community, leading to social integration, peace, security and stability in the region.”

Source: Zambia Initiative: Refugee Hosting Community Development Programme, Donors Mission Report, UNHCR, March 2002.

Components of a DAR Strategy and Action Plan

The DAR Strategy and Action Plan would be determined by the specific context, but should at a minimum define the following:

- **Overall goal:** see Box 3.3 for suggestions.
- **Objectives:** eg. objectives of the Uganda SRS/DAR programme are: “(i) empowerment of refugees and nationals in the programme area so that they are able to play a greater role in identifying and realising their own development agenda, and (ii) strengthen institutions and establish mechanisms that will ensure integration of services in a manner that they are sustainable for the host population even after repatriation of large number of refugees”⁴⁶.
- **Programme activities:** these could include:
 - *Economic empowerment* (income/employment, markets, agriculture, livestock, alternative livelihoods);

⁴⁶ Programme for Development Assistance for Refugee Hosting Areas in Uganda (DAR) 2005-2007 OPM/UNHCR, September 2004.

- *Social empowerment* (community development - social capital, community strengthening, women's organizations - housing, social services - education, social welfare, health, water and sanitation, capacity building);
- *Legal frameworks* (rights-based approach, policies, access to land and productive resources, work permits, freedom of movement, property rights);
- *Concerns of Groups with specific needs* (women, children, youth, adolescents, the elderly, etc.); and
- *Peace, stability and reconciliation.*
- **Institutional arrangements for implementation:** at national, district and local levels;
- **Partners:** contributions and roles;
- **Resources:** (human, financial and technical); and
- **Monitoring and evaluation:** indicators; who will monitor and how the results will be used - see Module Five of the Handbook.

Remember that while district authorities may favour infrastructure projects, local communities may be more interested in income generation, livelihoods and ability to access basic services and, in the case of refugees, protection. Using a sustainable livelihoods approach (see Annex 3.4) often helps overcome such problems.



Where relevant, a security component to deal with proliferation of small arms that may be brought into the country of asylum by the movement of armed groups across the borders could be included in the DAR programme.

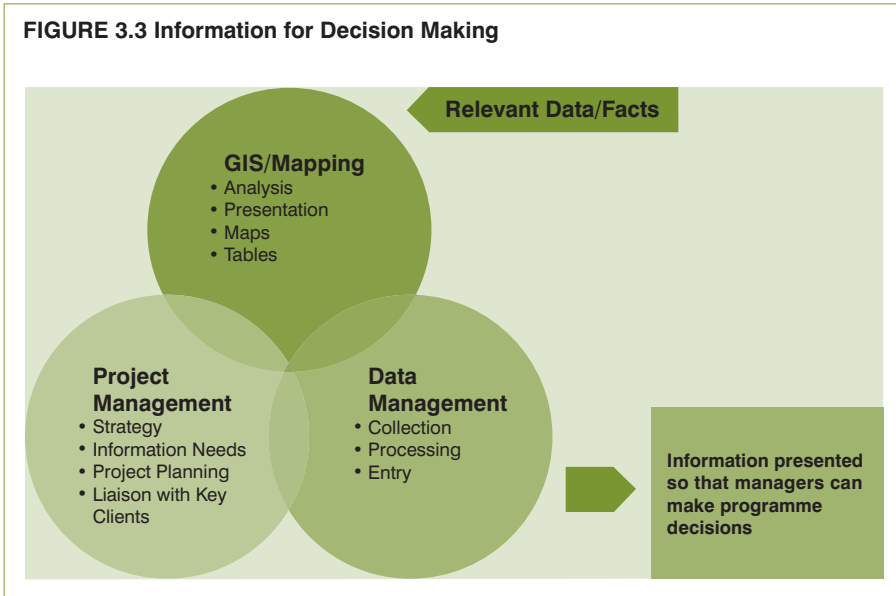
A summary of the Zambia Initiative sector interventions is presented in Annex 3.5.

Section 4: INFORMATION MANAGEMENT MECHANISMS

Planning entails collection and analysis of large amounts of information which must be managed efficiently. A sound strategy for information management is therefore crucial for designing (and implementing) DAR programmes. It allows the programme to be organised effectively and strengthens cooperation among partners. Partners should therefore work together to put in place and support an information management strategy early on. Lack of information can later handicap an operation.

4.1 Managing Information in an Integrated Manner

FIGURE 3.3 Information for Decision Making



In devising an information strategy:

- link the data collection process to an operationally-determined end use;
- obtain a clear picture of available or missing information to successfully plan and implement activities - note that various information sources and systems can be located in the same institutions, but may not use the same standards for location and sector data;

- avoid the temptation to rush a data collection exercise until the completion of an inventory of existing data sources. This is facilitated where a meta-database (i.e. a database that describes the location, source, content and mode of access to existing databases) exists;
- carefully consider the institutional location of the information system - it should be transferred to an appropriate development-oriented institution, preferably in the local government. Building the government capacity in information management is therefore critical;
- make optimal use of information products and build capacities of end users and promote better interaction between end users and information personnel;
- exercise care in transferring information - eg. individual registration databases - in some places it may not be appropriate for protection reasons to provide sensitive information to all partners.

4.2 Institutional Aspects of Information Management

The information strategy must link with an existing coordination framework, such as the UNCT. A management structure (eg. steering committee) may be set up to ensure that the information strategy meets the set objectives. If a development information system already exists, the one for the DAR programme could be a sub-component.

Set up or strengthen information systems at the provincial and district levels, where the DAR programme is being implemented, as this can be vital to planning and managing programmes. Often, systems are set up at the national level and the districts become mere recipients of the information collected. A decentralized system should be the ultimate goal to support micro-planning in refugee-hosting areas. Provincial/district administrations may often not have the required information management capacity (personnel or hardware), in which case, support should be provided to establish the necessary capacity.

CONCLUSION

This Module highlights issues related to planning of DAR programmes. Implementation (Module Four) depends on sound planning. However, planning and implementation are closely intertwined and are not necessarily sequential processes. For example, programme objectives and activities identified during the initial planning phase may have to be adjusted in situations where implementation extends from a few years to decades, or there are sudden changes in the conditions in refugee hosting areas (eg. increased insecurity). Such an iterative approach (i.e. *a process by which there is a continual refinement of objectives and goals, as new information and knowledge is acquired from the implementation process or as conditions change*), is a key principle of DAR programmes.

The planning sequence outlined in the Module is a generic one and should be adapted to the different contexts and situations.

Annex 3.1:

UNHCR OPERATIONS MANAGEMENT SYSTEM - A SUMMARY

1. Results-Based Management (RBM):

A methodology within the Operation Management System (OMS) which emphasises results that have a positive impact on target populations, instead of controlling project inputs. There are four components to RBM:

1. Participatory analysis among stakeholders;
2. Core problem analysis;
3. A hierarchy of objectives and objective setting; and
4. Performance monitoring.

The current situation (i.e. gap analysis) translates into setting goals, objectives and outputs in the annual programme cycle. Thus, the performance and impacts of a programme are tracked. For more information on RBM, refer to *Effective Planning: Guidelines for UNHCR Teams* (1999).

2. The Logical Framework (log-frame):

A tool for systematic organisation of operational goals, objectives and indicators into logical relationships in matrices. Terms of a log-frame include:

- **Objective:** a statement of desired results and impacts specific to sector levels within each programme goal, within each country operation, i.e. improved refugee household welfare due to income generating activities.
- **Output:** a specific result as related to the objective.
- **Indicator:** units used to measure signs of results. Indicators should be disaggregated by gender and age, when appropriate. There are two types of indicators:
 - *Impact Indicators:* sign of changes in beneficiaries' condition or welfare, which are set for objectives or goals, i.e. the income of assisted group accounts for between 5 and 20 percent of total family needs.

- *Performance Indicators*: measure of performance toward the achievement of planned outputs, which are set for outputs that can be quantified and graded for quality, i.e. 100 refugee men and women complete skills course and are gainfully employed.

3. UNHCR Programme Planning Cycle:

Managers organise their work around target populations needs and ensure that operations prioritize the needs of refugees. A technically sound planning process typically involves the following:

- **Data Collection**: collecting/analysing baseline data according to agreed indicators and ensuring that the data is disaggregated by sex and age;
- **Situation Analysis**: identifying emerging opportunities and risks and optimising resources;
- **Development of a Strategic Vision**: considering alternative operational scenarios;
- **Development of a Hierarchy of Objectives**: building a shared vision with other actors;
- **Development of an Implementation Strategy**: harmonising planning assumptions and projected beneficiary figures;
- **Work Planning**: clarifying institutional roles and responsibilities; and
- **Budgeting**: producing a plan describing expected achievements, deliverables and resources requirements.

4. Using Standards in UNHCR Operations:

See the following:

- *UNHCR Handbook for Emergencies (emergency indicators)*;
- *A Practical Guide to The Systematic Use of Standards and Indicators in UNHCR Operations*, First Edition, UNHCR, January 2004; and
- International humanitarian standards, such as those found in the Sphere Project's *Humanitarian Charter and Minimum Standards in Disaster Response (2000)*.

Annex 3.2:

SAMPLE TERMS OF REFERENCE

UN INTER-AGENCY ASSESSMENT OF THE NORTHERN BORDER OF ECUADOR - JUNE 2004

I. Background

The northern border region of Ecuador is one of the richest of the country in terms of agriculture, forest and mining resources. Yet, that advantage is not reflected in its human development situation. The area is being occupied without appropriate planning exerting pressure on the natural resources, causing forest destruction and displacement of local population towards the cities. Additionally, the region is vulnerable to the internal conflict and the humanitarian crisis in neighbouring Colombia. Migration of Colombian peasants and refugees seeking protection has increased. Since January 2000, Ecuador has received nearly 28,000 asylum seekers, and has granted refugee status to over 7,000 people (98% Colombian). Insecurity has augmented despite the costly military and police control. Fluvial and land transportation, through regular and clandestine channels has increased, as well as the number of informal traders and illicit activities. The lack of basic social services (education, health, water and sanitation, etc.), growth of child prostitution and common crime in general, added to growing demands for compensations due to the effects of fumigations against illicit crops in Colombia, create a potentially unstable situation in this area.

In his recent visit to Ecuador, the Secretary-General of the United Nations received from President Gutierrez a request for greater UN presence and cooperation in the northern border area, especially in the humanitarian field but also in broader human development initiatives. After the visit of the SG the Government - through its permanent mission at the UN- officially asked the Secretary-General to send a UN interagency and multidisciplinary mission to assess the current situation in the northern border of the country and to make recommendations. According to the request, the Government will use the results of the assessment to design an integral development program for the zone, and to develop preventive actions to address the spill-over effects of the Colombian conflict in the country.

II. Objective

To establish a UN inter-agency team to undertake the work - preparatory, desk, and field - necessary for the requested assessment. Work would cover a diagnosis of the current situation of the northern border area, identification of trends and of the main challenges for the zone from a human development perspective. A final report, which will include recommendations on a strategy for the UN intervention in the area, is to be prepared for submission to the Secretary-General.

III. Scope of the assessment

For the purposes of the assessment, the northern border area of Ecuador includes the provinces of Esmeraldas, Carchi, Sucumbios, and Imbabura.

The assessment will be focused on the following thematic areas: i) Human rights; ii) Humanitarian assistance - Refugees; iii) Basic social services; iv) Poverty and employment; v) Environmental issues; vi) Governance; vii) Drugs and crime; viii) Security concerns (threat assessment).

In each of the above mentioned areas, the inter-agency team will:

1. Describe the current situation and trends in terms of a set of substantive variables to be agreed.
2. Describe main governmental activities in the region.
3. Describe UN interventions in the region.
4. Describe international cooperation initiatives in the area.
5. Identify the main challenges from a human development perspective.
6. Recommend on a general strategy for strengthening UN presence in the area.

IV. The inter-agency team

The team will be integrated by staff members of the UN agencies represented in Ecuador, experts from non-resident UN offices, and by international consultants. The team will be coordinated by a team leader, who will be an international consultant with working experience in the UN, and particularly in the field of regional development.

Each of the members of the team will be in charge of producing a synthetic document (four to five pages) on a thematic area. The product of each team member will be discussed with the team and the team leader. The final work on all thematic areas will be submitted to the team leader, who will be in charge of writing the final report. The UNCT in Ecuador will approve the report prior to sending it to the UN Secretariat.

In support to the inter-agency team, a national consultant will be hired previously to gather background information on the thematic areas identified for the assessment as well as information on the current UN presence and international cooperation activities in the northern border area. The national consultant will also cooperate with the team as a research assistant.

V. Activities

1. Team meetings: There will be preparation meetings, especially to ensure a common understanding of the objectives of the assessment and the variables to be examined in each thematic area. There will be discussion meetings among the team, and with technical staff of the UN agencies.
2. Gathering of secondary information.
3. Field visits: In order to gather and/or validate information for the assessment, members of the inter-agency team, together and/or separately, will visit the northern border area. UN agencies with the support of the UN Resident Coordinator's Office will prepare those visits by setting the agendas and making appointments with key local stakeholders.
4. Meetings with relevant national authorities.
5. Consultations with key donors and international cooperation agencies.
6. Report writing: Writing partial reports on the thematic areas and the final report.

VI. The final report

The report to the Secretary-General will be a synthetic document (twenty to twenty five pages). It will be structured as follows:

1. An executive summary on conclusions and recommendations.
2. An introduction and a description on the scope of the assessment.
3. A chapter on each of the selected thematic areas for the assessment.
4. A chapter on recommendations for the UN intervention.
5. Appendixes.

VIII. Time frame

The report will be submitted to the UN Secretariat in August 2004. To this end, the following time frame will be used as a reference:

Activities/time	May	June	July	Aug
National consultant gathers background information and supports the team with research activities	✓	✓	✓	✓
Selection of team leader and members of the inter-agency team	✓			
Preparatory meetings with team leader and members of the team	✓	✓		
Information gathering, visits to the field, meetings with key stakeholders		✓	✓	
Partial reports writing		✓	✓	
Discussion meeting on the partial products			✓	
First draft of final report			✓	
Final report is submitted to the Secretary-General				✓

IX. Supervision and support

The team will work under the coordination of the team leader, and the general supervision of the UN Resident Coordinator in Ecuador. The Office of the UN Resident Coordinator will be in charge of follow-up activities regarding the assessment and will also provide logistic support for the team.

Annex 3.3:

KEY RESOURCE MATERIALS ON REFUGEE WOMEN, REFUGEE CHILDREN AND SEXUAL AND GENDER-BASED VIOLENCE⁴⁷

Refugee Women

Policies

UNHCR Policy on Refugee Women (UNHCR, 1990).

Guidelines

Guidelines on the Protection of Refugee Women (UNHCR, 1991).

Legal Instruments

United Nations Convention on the Elimination of All Forms of Discrimination against Women (1979).

Other Useful Materials

UNHCR Memorandum: UNHCR Commitments to Refugee Women (UNHCR, 2001).

Beijing Declaration and Platform for Action, Fourth World Conference on Women (1995).

People-Oriented Planning at Work: Using POP to Improve UNHCR Programming (UNHCR, 1994).

Refugee Children

Policies

UNHCR Policy on Refugee Children (UNHCR, 1993).

Guidelines

Inter-agency Guiding Principles on Unaccompanied and Separated Children (International Committee of the Red Cross, UNHCR, UNICEF, International Rescue Committee, Save the Children UK, World Vision International, 2004).

Education Field Guidelines (unhcr, 2003).

Refugee Children: Guidelines on Protection and Care (UNHCR, 1994).

⁴⁷ Compiled by WCCDS/UNHCR.

Legal Instruments

United Nations Convention on the Rights of the Child (1989).

Other Useful Materials

Summary Note on UNHCR'S Strategy and Activities concerning Refugee Children (UNHCR, 2002).

Action for the Rights of Children CD-ROM (UNHCR, Save the Children Alliance, UNICEF, OHCHR, 2002).

Sexual and Gender-Based Violence (SGBV)

Guidelines

Sexual and Gender-based Violence against Refugees, Returnees and Internally Displaced Persons: Guidelines for Prevention and Response (UNHCR, 2003).

Other Useful Materials

Secretary-General's Bulletin: Special Measures for Protection from Sexual Exploitation and Sexual Abuse (2003).

Gender and Age Mainstreaming

A Guide to Situation Analysis in UNHCR (UNHCR, draft 2004).

Annex 3.4:

MAIN FEATURES OF A LIVELIHOODS-CENTRED APPROACH⁴⁸

The livelihoods approach, more widely known as Sustainable Livelihoods (SL), looks at development objectives, scope and priorities from a people-centred perspective. It is used to understand constraints faced by, and opportunities open to, people (across sectors, levels/geographic space, etc.), building upon people's own understanding of these constraints and opportunities. Dating back to the mid-1980s, it is used by development agencies (most notably DFID) and others to either plan their interventions or to review and adjust ongoing activities.

DEFINITION OF "LIVELIHOOD"

"A livelihood comprises the capabilities, assets (including both material and social resources) and activities required for a means of living. A livelihood is sustainable when it can cope with and recover from stresses and shocks and maintain or enhance capabilities and assets both now and in the future, without undermining the natural resource base."

Source: www.livelihoods.org

The SL approach is:

- non-sectoral;
- based on recognition of multiple influences on people;
- one that recognizes multiple actors;
- one that acknowledges multiple livelihood strategies pursued by people to achieve certain outcomes; and
- closely linked to participatory development and other approaches.

Asset building is an important aspect of the SL approach. The main assets are:

- **Human Capital:** Represents the skills, knowledge, ability to labour and good health that together enable people to pursue different livelihood strategies and achieve livelihood objectives;
- **Natural Capital:** Used for the natural resource stocks from which resource flows and services useful for livelihoods are derived;

⁴⁸ Source: DFID Livelihood Guidance Sheets - www.livelihoods.org

- **Financial Capital:** Denotes the financial resources that people use to achieve their livelihood objectives;
- **Social Capital:** Social resources upon which people draw in pursuit of their livelihood objectives encompassing networks and connections, membership of formalised groups, relationships of trust, reciprocity and exchanges and informal safety nets; and
- **Physical Capital:** This comprises the basic infrastructure and producer goods needed to support livelihoods.

A matrix on these asset types, their characteristics, examples of support, information needed to understand them and other features, is presented on pages 42-43.

How to Use the SL Approach in Programme and Project Planning

The SL approach is particularly adapted to grassroots and community-level initiatives where livelihoods analysis can help accurately identify key constraints and opportunities.

At the programme and project level, application is more challenging, but the SL approach can:

- provide a tool for assessing the way planned programme/project activities “fit” livelihood priorities of poor people;
- help in thinking through the links between programme activities and livelihood strategies;
- enhance coherence between sometimes disjointed activities of a programme.

Table 1 illustrates how the SL approach can be used in programme and project design, its advantages and challenges.

TABLE 1: SL APPROACHES IN PROGRAMME AND PROJECT PLANNING		
	Programme Design	Project Design
Ways of using SL	<ul style="list-style-type: none"> • Identify explicit links between programme activities and livelihoods • Identify policy constraints to livelihoods • Conduct broad livelihoods analysis • Identify new partnership opportunities • Identify high-payoff, priority entry points 	<ul style="list-style-type: none"> • Understand priorities of the poor • Identify links across sectors, between field and policy level, between rural and urban • Design project activities
Advantages	<ul style="list-style-type: none"> • Effectively contributes to lives of target groups • Promotes systematic exploration of how policies affect livelihoods • Encourages people-orientation and cross-sectoral links • Facilitates dialogue on core issues 	<ul style="list-style-type: none"> • Helps fit project activities to priorities of the poor • Avoids looking at things in isolation • Helps ensure links • Questions traditional assumptions; and • Provides an analytical framework
Challenges	<ul style="list-style-type: none"> • Takes resources to do analysis • Requires in-depth analysis of policies and institutions • Proponents of sector approaches and SL may start from different perspectives • Partner scepticism • Tools required may be poorly understood 	<ul style="list-style-type: none"> • May reduce fit with donor's intended activity • Have to prioritize-cannot address all issues • Not necessarily for detailed project planning

The strength of the SL approach is that it can help the local development worker clearly identify livelihood strategies and policy impacts, and recognise linkages between them. Using the SL framework as an organizing principle helps to ensure that programme and project initiatives directly address core livelihoods issues, and support activities are not concentrated entirely on, for example, infrastructure projects. Experience shows that local governments are often more inclined to favour infrastructure projects than those aimed at building self-reliance. An SL perspective can help redress such imbalances.

THE DAR PLANNING PROCESS

MATRIX OF DIFFERENT ASSET TYPES, THEIR CHARACTERISTICS, EXAMPLES OF SUPPORT AND INFORMATION NEEDED TO UNDERSTAND THEM⁴⁹

	Human Capital	Social Capital
Definitions	Represents the skills, knowledge, ability to labour and good health that together enable people to pursue different livelihood strategies and achieve livelihood objectives	Taken to mean the social resources upon which people draw in pursuit of their livelihood objectives - encompass networks and connections; membership of formalized groups; relationships of trust, reciprocity and exchanges; informal safety nets
Examples of direct support to build asset	<ul style="list-style-type: none"> • Health/education/training infrastructure • Health/education/training personnel • Development of relevant knowledge/skills 	<ul style="list-style-type: none"> • Improve internal functioning of groups - leadership, management • Extending external links of groups
Examples of indirect support to build asset	<ul style="list-style-type: none"> • Reform of sector policies - eg. health, education • Reform of organizations • Changes in local institutions 	<ul style="list-style-type: none"> • Group/network formation • Good governance • Develop systems for external consultation
Type of information to analyze asset	<ul style="list-style-type: none"> • Complexity of local environment • Peoples' access to sources of information valuable for their livelihoods • Groups excluded from access to information • Traditional innovations, etc. • Views on types of information needed • Awareness of rights and how this affects livelihood objectives 	<ul style="list-style-type: none"> • Number and nature of groups in community • State of social organization in community • Types of social resources people draw upon • Peoples' coping strategies
Investigative Methods	<ul style="list-style-type: none"> • Secondary data sources (eg. UNDP Human Development Index) • Participatory methods • Sample survey methods 	<ul style="list-style-type: none"> • Community-wide surveys • Social maps • Timelines • Matrix/preference ranking • Venn diagrams
Some Indicators	<ul style="list-style-type: none"> • Public expenditure per capita • Physicians per 1000 • Primary school student/teacher ratios • Life expectancy at birth • Adult mortality • Under 5 mortality • Literacy rate 	<ul style="list-style-type: none"> • Extent of group membership • Degree of participatory decision-making • Existence of social networks



MODULE THREE

MATRIX OF DIFFERENT ASSET TYPES, THEIR CHARACTERISTICS, EXAMPLES OF SUPPORT AND INFORMATION NEEDED TO UNDERSTAND THEM⁴⁹

Physical Capital	Financial Capital	Natural Capital
<p>Comprises the basic infrastructure and producer goods needed to support livelihoods</p>	<p>Denotes the financial resources that people use to achieve their livelihood objectives</p>	<p>Denotes the natural resource stocks from which resource flows and services useful for livelihoods are derived</p>
<ul style="list-style-type: none"> • Service provision - eg. transport • Infrastructure provision, eg. wells, latrines 	<ul style="list-style-type: none"> • Setting up microfinance scheme • Providing small grants to communities • Setting up saving schemes 	<ul style="list-style-type: none"> • Conservation of natural resources • Provision of services/inputs for forestry, agriculture, fisheries, etc. • Reform of organizations involved in agriculture, forestry, fisheries, etc.
<ul style="list-style-type: none"> • Reform to relevant institutions providing service • Support to relevant sector strategies • Capacity building of community-based service providers • Support to private sector alternatives 	<ul style="list-style-type: none"> • Support to development of financial services organizations - credit, savings • Facilitating access to financial services • Reform of financial sector • Support to marketing 	<ul style="list-style-type: none"> • Institutional reform • Legislation • Market development
<ul style="list-style-type: none"> • Does the infrastructure support a service? • Is the infrastructure appropriate? • Do people have adequate access to infrastructure? 	<ul style="list-style-type: none"> • Types of existing financial services • Services provided and conditions • Who has access • How do people save • Remittances 	<ul style="list-style-type: none"> • Group access in relation to type of resource • Nature of access rights • Evidence of conflict over resources • Productivity of resource • Local knowledge on resource management • Spatial variability of resource • Effect of externalities • Versatility of resource
<ul style="list-style-type: none"> • Sample surveys • PRA methods • Others 	<ul style="list-style-type: none"> • Matrix scoring • Seasonal calendars • Life cycle profiles • Focus Group Discussions • Key informants • Semi-structured interviews • Sample surveys • Household budgeting techniques • Economic techniques • Financial techniques 	<ul style="list-style-type: none"> • Sample surveys • PRA methods
<ul style="list-style-type: none"> • Relating to number - inventories of existing facilities • Relating to access to facilities 		

⁴⁹ Source: compiled from DFID Livelihood Guidance Sheets - see www.livelihoods.org

Annex 3.5:

SUMMARY OF SECTOR INTERVENTIONS IN THE ZAMBIA INITIATIVE⁵⁰

Health Sector

In close liaison with the Ministry of Health staff at province, district and local level the Zambia Initiative Programme has supported health facilities in the hosting areas which include:

- Provision of ambulances to Senanga and Kaoma district hospitals.
- Construction of tuberculosis laboratories in Ngundi, Nangweshi and Mutomena (the former in Senanga while the last two in Shangombo districts).
- Construction of Mother and Child Health (MCH) facilities in Ngundi and Nangweshi.
- Construction of an HIV/AIDS drop-in center at Nangweshi.
- Rehabilitation of water reservoir and reproductive health facility at Senanga Hospital.
- Provision of motorcycles to medical outreach teams in Senanga and Shangombo districts.
- Provision of laboratory and other equipment to Laboratories, MCH and the drop-in center.
- Facilitated training courses for MoH staff.

Education Sector

As part of the development plan of MoE, and using government standards, the following activities were undertaken:

- Rehabilitation/construction of basic education structures and teachers' houses (Ngundi and Lyamunale).
- Construction of a high school in Mayukwayukwa (oldest refugee settlement in Zambia).
- Rehabilitation of vocational training center (Senanga Trades Institute).
- Provision of training equipment to Mongu Trades Training Institute.
- Construction of an orphanage day care center in Senanga.

⁵⁰ Source – based on presentation by ZIPU and UNHCR during the Geneva DAR validation workshop.

Agricultural Sector (Crops)

To enhance food security, support was provided that included:

- Provision of inputs (seed, fertilizer and farming implements) to farmers through Local Development Committees (LDCs).
- Provision of safe drinking water and water for irrigation through construction of hand dug wells.
- Training of farmers in agro-forestry.
- Training of members of both host and refugee communities in food preservation and processing.
- **The Credit Scheme** - Loan recovery from the 2003- 2004 agricultural season was close to 90% - the trend in Zambia, with regard to smallholder farmers is less than 80% recovery rate. Agricultural productivity was enhanced by the provision of inputs by ZIP and a bumper harvest was recorded in hitherto hunger-prone areas.

Agricultural Sector (animal health)

Diversification was encouraged through support to livestock including:

- Provision of cold chain equipment for the preservation of sensitive biological materials (animal vaccines).
- Provision of various laboratory consumables to improve diagnostic capability.
- Rehabilitation of camp houses for veterinary extension staff.
- Construction of camp offices for extension officers.

Infrastructure

Local development was promoted by improving provincial and district infrastructure through:

- Construction of a direct feeder road to Mayukwayukwa Refugee Settlement (Namapombwe road) which was hazardous during rainy season.
- Constructing culverts on the same road.
- Rehabilitation of feeder roads in needy hosting areas.

Socio-economic

Communities were empowered and self reliance promoted through:

- Empowerment of the community in local brick moulding skills.
- Revitalization of the skills of the communities (refugees/hosts) in wood masonry.
- Economic empowerment through deliberate effort by ZIP to purchase construction materials from the community.
- Exploiting community talent through engaging them in the construction of school and health facilities.

PART II: MODULE FOUR

Resource Mobilization and Implementation



SUMMARY OF MODULE FOUR

Module Four provides guidance on resource mobilization and implementation of DAR programmes. It covers aspects such as prerequisites and strategies for resource mobilization, as well as measures to facilitate implementation (eg. institutional arrangements, partnerships, strengthening community-based approaches and suggestions on staffing strategies). It builds upon processes and mechanisms established in the planning phase.

Section 1: Resource Mobilization

Section 2: Implementation

INTRODUCTION

A well designed and conducted planning exercise will lead to a comprehensive Strategy and Action Plan. Once the Strategy and Action Plan has been endorsed by stakeholders, implementation of planned activities can proceed. This Module offers suggestions on measures to facilitate implementation, including fundraising. Monitoring and Evaluation, essential components of implementation, are dealt with in Module Five.

Section 1:

RESOURCE MOBILIZATION

Fundraising should start early - during the design and planning stages and not wait for completion of the planning exercise. Fundraising for complex and multi-stakeholder operations such as DAR programmes is challenging. Some suggestions are given below on the prerequisites for successful fund raising, strategies to mobilize resources and ways to fund DAR programmes.

1.1 Essential Pre-Requisites

- **Government commitment:** host government enabling policies, practices and strategies, accountability in use of funds and its contributions to the programme, is often helpful in securing commitment from donors;
- **Integration in development priorities:** the programme must be seen to contribute to an overarching objective (eg. poverty reduction, contributing to peace and stability, providing solutions to a chronic problem such as a protracted situation, creating conditions for co-existence between refugees and host communities). This will create better prospects for securing funding. Also, work to ensure that the DAR programme is fully reflected in development plans such as CCA/UNDAF, PRSPs, SWAPs (Sector wide Approaches), Medium-Term Expenditure Plans (MTEP), etc.;
- **Early Donor Involvement:** potential donors should be involved in programme preparation - they should participate, if possible (or kept fully informed), in the conception and planning stages and should be invited to take part in field assessment missions. It is also important to have knowledge of donor strategies and policies in order to tailor funding requests appropriately - UNHCR Division of External Relations and donors' websites can provide guidance as appropriate;
- **Well written and clear Programme document:** the Strategy and Action Plan should be well written and "sellable" to attract funding. Sometimes accompanying programme documents with pictures or other audio-visuials can improve chances. A programme document should clearly spell out the objectives, outputs and expected impacts, and result from joint planning;
- **Planning and funding on multiyear system** - unlike the annual budgeting system of many humanitarian agencies, DAR programmes should be planned and budgeted on a multi-year basis;
- **Credibility and commitment of UNHCR:** the credibility of UNHCR interventions and commitment of UNHCR Representation can play a critical role in donor and resource mobilization; and
- **Providing additional support to ensure burden sharing:** part of the foreseen increase in Official Development Assistance (ODA) resulting from new commitments to increase ODA and to improve effectiveness of aid by donor as well as recipient states, should be spent on development activities in countries hosting refugees. This will be seen as a genuine burden-sharing process. All partners should work together to ensure greater predictability in resources (when they will be available and from whom).

1.2 Strategies for Fundraising

- Devise a comprehensive fund raising strategy as quickly as possible - this activity should ideally be done during the strategy development phase. This would involve making an inventory of potential sources of funds, and identifying ways by which such funds could be accessed.
- Use the opportunity provided by a formal launching of DAR programmes through for example, a national workshop to mobilize resources, as such events usually involve key donors and partners. Such high profile events must however, be adequately prepared to yield results - conduct preparatory discussions with key partners ahead of the event, and if possible combine workshop with field visit to refugee hosting areas. Where possible, involve donor representatives based in the field and their capitals. *Involve UNHCR HQ (eg. RLSS/DOS and Division of External Relations - DER)* and other partners in the preparations for such events. The governments of Japan and Denmark (under Convention Plus) are taking the lead in the targeting of development assistance - they should also be involved (eg. in dialogues at national level with other donors) whenever feasible.
- Work towards ensuring that the DAR Programme is fully integrated in national planning and budgeting frameworks - eg. PRSPs, sector programmes. Note that several donors are now providing budget support globally, for specific sectors or even at a district level. Concurrently UNHCR Representation should ensure that DAR Programmes are an integral part of Country Operations Plans (COPs) as provided for in the UNHCR general programming instructions⁵¹.
- Use existing programme funds or raise relief or transition funds to jump-start implementation pending the mobilization of additional funds (to be raised according to a mutually agreed upon plan between partners and the concerned government) - UNHCR, in cooperation with development partners (eg. UNDP) should take the lead.
- Secure funds from embassies - some modest but critical funds could be available in the form of small grants to support community actions. Such funds are particularly important for initiating early action to forestall a “gap” developing between planning and implementation processes.

⁵¹ See IOM 82/2004 - FOM 84/2004 Instructions and Guidelines to UNHCR Field and Headquarters on Reporting, Implementation, and Planning: 2004-2006.

RESOURCE MOBILIZATION AND IMPLEMENTATION

- Tap community contributions (in-kind, provision of local materials, contributions to maintenance of facilities, etc.); this will strengthen ownership.
- Tap multilateral donor agencies (eg. the EU) - these can provide significant resources but may have lengthy procedures that take time; start negotiations early with such partners;
- Secure host government resources and in-kind contributions early (eg. technical experts from line ministries, office premises and equipment, security);
- Tap other sources: eg. international NGOs (OXFAM, DRC, CARE International); “Transition funds” used for conflict resolution and post-conflict rehabilitation (various donors now have this facility); private sector; humanitarian multilateral entities (eg. ECHO); regional financial institutions (eg. African Development Bank, Asian Development Bank, OPEC fund); and others - (New Partnership for Africa’s Development/African Union (NEPAD/AU)).

Whether DAR programmes can benefit from loans to host governments depends on the policies of governments and international financial institutions. For example, in Uganda, refugees are currently excluded from the GoU/World Bank funded Northern Uganda Social Action Fund (NUSAF). While it may not be feasible to take loans to support DAR programmes, refugees should not be excluded from using facilities such as schools and health posts or taking part in agricultural and local economic activities in refugee hosting areas funded through loans. The converse of this principle should also apply: host communities must also benefit from development assistance targeting refugees.

1.3 How DAR Programmes can be Funded

Funds for DAR programmes can be made available in a variety of ways. Some partners may:

- provide resources directly to host government to support the DAR programme;
- support objectives of the DAR programme but through NGOs (eg. Danish Assistance for the Self-Reliance Strategy -DASS- for the SRS in Uganda);
- make resources available through special projects (eg. DANIDA support to the *Zambia Initiative*);
- prefer to provide support through UNHCR or some other agency; and
- provide budget support to build capacities of local governments in districts where refugees are hosted, or to sectors of relevance eg. health and education.

Ideally, one should avoid setting up parallel structures for channelling funds but multi-channel funding arrangements would most probably be the norm, as donors have different interests and tools. Where a multi-channel arrangement is used, all support should be well coordinated and be within the framework of the DAR Strategy and Action Plan.

For additional guidance on resource mobilization see the following:

- *Guide for Field Offices on Donor Relations and Resource Mobilization, UNHCR July 2003.*
- *Issues Paper on Targeting of Development Assistance, UNHCR draft June 2004.*
- *The Fundraising Diamond: Strategic Planning Workbook, UNHCR draft January 2005.*



Section 2: IMPLEMENTATION

Successful implementation hinges on many factors, including host government playing a leading role, a relatively stable security and political situation, and transparent decision-making and adequate flow of information among stakeholders. Other factors dealt with in this section include the following:

- Joint implementation and linkages with partners;
- Institutional arrangements;
- Strengthening community-based approaches;
- A sound staffing strategy;
- Measures to build/strengthen capacities; and
- Clarity in the roles of partners.

Aspects related to UNHCR-specific implementation issues are also dealt with.

2.1 Joint Implementation and Linkages with Partners

The joint approach adopted (with development partners and other stakeholders) in the planning stages should be carried through to the implementation phase. UNHCR should avoid designing and implementing DAR programmes on its own, or running parallel relief care and maintenance programmes for extended periods - see Section 2.8 below.

Some measures to improve linkages with partners during implementation include:

- ✓ Using existing coordination structures to support DAR programmes - eg. joint programme committees, steering committees, policy coordination structures - and involving governments, the UN, NGOs and other partners;
- ✓ Working in partnership to secure funding (bilateral, PRSPs, etc.), and identifying and putting in place funding instruments to promote collaboration, such as cost sharing, parallel funding or trust fund mechanisms - see Box 4.1;

- ✓ Sharing information on on-going projects, identifying opportunities for joint programming, maintaining common databases, and through regular coordination meetings, forums, workshops and networking;
- ✓ Seconding UNHCR staff to local administrations and partners (where administratively feasible and as necessary) to strengthen linkages and better understand how others operate;
- ✓ Seconding other agency staff to UNHCR to strengthen partnership and foster long-term planning;
- ✓ Undertaking joint field monitoring trips to build synergies, improve coordination and harmonize project interventions; and
- ✓ Sharing facilities (eg. office space).

BOX 4.1: FUNDING MECHANISMS: COLLABORATIVE TOOLS AND INSTRUMENTS

- **Trust Fund Arrangements:** contributions are put in a trust or fiduciary institution to support a specific theme, region, country or project (they can be single-source or open to a variety of contributions). While the financial reporting and approval processes can be cumbersome, they are flexible instruments for post-conflict recovery and can promote coordination.
- **Cost Sharing:** contributions are made to an agency administering a project using its own resources (usually a multi-lateral agency), are flexible and entail a simpler reporting and approval process (a consortium of agencies used cost-sharing arrangements for the PRODERE programme in Central America).
- **Parallel Financing:** a number of partners jointly fund a programme or project while administering their funds separately. Parallel funding facilitates joint programming and enables partners to benefit from each other's comparative advantage, but may be less advantageous when one partner under-performs.
- **Pooled Funding:** under this option, funds are pooled together by one UN agency, the managing agent, chosen jointly by participating organisations and in consultation with the national counterpart. The managing agent is responsible for transferring and monitoring the use of funds and is accountable for their use, including through the provision of reports to the other participating agencies.
- **Pass-Through Funding:** under this option, one UN organisation, the administrative agent, receives funds from donors and channels them to other UN organisations in the joint programme.
- **Combination of Options:** participating organisations may decide to pool funds under a managing agent for those parts of a joint programme that are managed jointly, while the rest of the programme may be managed through parallel financing.

Source: Handbook for Repatriation and Reintegration Activities, UNHCR Geneva, May 2004.

2.2 Institutional Arrangements for Implementation

To facilitate quick and effective implementation, use/reinforce existing structures and, if necessary, establish institutional arrangements early at national, provincial/district and local levels. These should be horizontal (so as to include relevant sectors and actors), and vertical (to include all levels of government). Table 4.1 provides generic suggestions on structures, functions and partners for implementation.

Build upon existing structures - and whenever possible, integrate into government structures, from the national to community level - including those that may have been established to support the planning process. Ensure that women and youth are represented in all the structures of implementation; national, provincial/district and local levels.

Figure 4.1 is an illustrative example based on the *Zambia Initiative*.

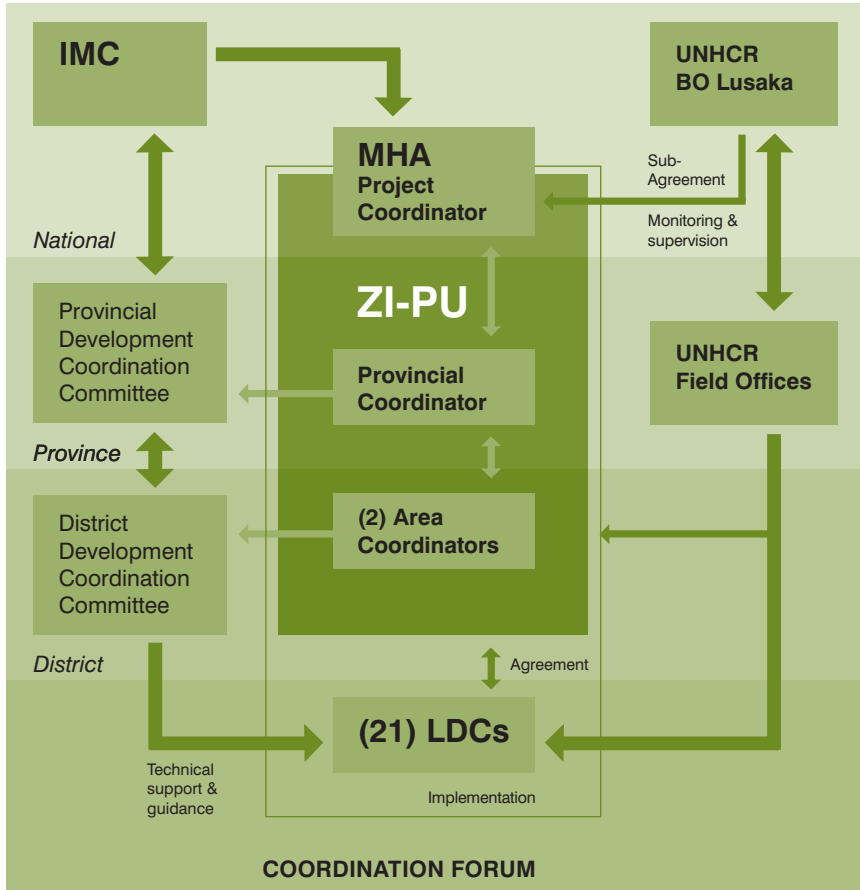
MODULE FOUR

TABLE 4.1: STRUCTURES, PARTNERS AND FUNCTIONS IN IMPLEMENTATION

Level	Structures	Partners	Functions
National	<ul style="list-style-type: none"> • Use existing structures to the extent possible; avoid creating parallel structures for DAR programme only • Inter-ministerial committee or similar body could provide mechanisms for concerted efforts • National planning fora 	<ul style="list-style-type: none"> • Governmental Departments: <ul style="list-style-type: none"> - Responsible for refugees - Planning and Finance - Sector ministries (health, agriculture, education, etc.) - Security agencies (eg. police) • UNCT • NGOs (NGO Forum) and Associations (religious, political, refugee, environmental, gender, children, youth, civil society, etc.) • Donors and Embassies 	<ul style="list-style-type: none"> • Policy guidance • Coordination • Advocacy (raising awareness) • Resource mobilization • Approval of programmes • Monitoring/reporting and evaluation (M&E) • Capacity building <p>NB: National level structures should not directly implement activities, except when related to policy and legal frameworks</p>
Provincial/District	<ul style="list-style-type: none"> • Use existing structures such as provincial/district planning or development committee 	<ul style="list-style-type: none"> • District Administration • District Government, i.e. Local MPs • Central Government representatives at District Level • Security agencies • Civil society • UN Agencies • Private Sector • Traditional leaders 	<ul style="list-style-type: none"> • Coordination • Endorsement/approval • Monitoring, evaluation and reporting • Supervision/auditing • Resource mobilization • Capacity building • Advocacy/raising awareness
Local	<ul style="list-style-type: none"> • Local development committees 	<ul style="list-style-type: none"> • Community-based organizations • Local leaders (formal, informal and traditional) • Local security agents • Local Development Committees • Refugee representatives - in principle, at least 50% of refugee committee representation should be women. Children and youth views should also be solicited and their input acted upon. • Host community representatives (both men and women) • Field-based NGOs • Governmental/District extension workers • Private sector 	<ul style="list-style-type: none"> • Implementation • Coordination • Resource mobilization - contribution by the community • Participatory M&E and reporting

FIGURE 4.1 Institutional Arrangements for the Zambia Initiative

Structure of the UNHCR Project Implementation under the Zambia Initiative



The Zambia Initiative Programme Unit (ZI-PU) is part of the Ministry of Home Affairs (MHA), tasked with coordination and supervision of the ZI activities. ZI-PU, headed by Project Coordinator, is the direct Implementing partner of UNHCR. ZI-PU works with LDCs under a signed implementing agreement.

- IMC:** Inter-ministerial Committee
- MHA:** Ministry of Home Affairs
- ZI-PU:** Zambia Initiative Programme Unit
- LDC:** Local Development Committee

2.3 Strengthening Community-Based Approaches

As stated earlier, community-based approaches are essential in implementing DAR programmes. They are primarily concerned with ensuring full involvement and participation of local stakeholders in decisions - see Box 4.2.

BOX 4.2: USE OF LOCAL DEVELOPMENT COMMITTEES TO STRENGTHEN COMMUNITY PARTICIPATION IN THE ZAMBIA INITIATIVE

In the Zambia Initiative, Local Development Committees (LDCs) were set up to spearhead implementation at the local level and to strengthen community ownership. The LDCs are:

- made up of six elected members with equal representation of refugees and local citizens: 21 LDCs were set up representing over 13,000 households and 70,000 refugees and host communities (of which 40% are nationals and 60% refugees). Each LDC covers between 6 to 10 villages and hamlets;
- chaired by a national with a refugee as treasurer, and both are co-signatories to LDC accounts;
- registered legal entities as cooperatives and can therefore open bank accounts;
- responsible for project identification together with traditional leaders in the community - see Annex 4.1;
- implementers of projects and monitor and evaluate activities; and
- eligible for state support and subsidies.

Where structures such as LDCs are established or existing ones strengthened, it should be ensured that women and youth are adequately represented.

Measures to strengthen community participation could include the following activities:

- understanding the cultural context and being aware of existing community leadership and power dynamics at the local level;
- starting community capacity building (including leadership training) from the planning stages;
- undertaking awareness and sensitisation campaigns for community ownership and responsibility;
- supporting participatory M&E to strengthen stakeholder ownership;
- undertaking joint projects involving both refugees and host communities, and supporting reconciliation training to promote peaceful co-existence;
- undertaking regular consultations on all matters regarding implementation;
- introducing self-help and income generation activities to build productive capacities;

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- supporting cultural and recreational activities (eg. cultural festivals at harvest, sporting competitions, etc.) and other activities targeting children and including refugee children in local school systems;
- setting up community revolving funds to directly channel resources to groups and individuals to support productive activities;
- using community members (refugees and nationals) to the extent possible, to provide the skilled labour (or provide necessary training and create a skilled labour force) and inputs for construction of community facilities such as schools, clinics, irrigation systems, water points, and feeder roads. This will directly inject cash into communities, build assets and skills and provide jobs and employment, and in the process also prepare refugees for solutions⁵².
- clarifying responsibilities between the communities and the various actors on the ground, including those of line ministries. For example, in the Zambia Initiative - see Annex 4.1:
 - communities (through their LDCs) are responsible for identification and implementation of projects;
 - line ministry staff provide technical backstopping (eg. ensure technical soundness of projects, prepare project documents and bills of quantities for projects identified by communities) and ensure that national standards guide project design and implementation;
 - ZI programme unit solicits funding and monitors implementation; and
 - donor partners chose which projects they will fund from a list of priority projects identified by communities through the LDCs;
 - involving communities, through their representatives, in contracts committees set up at local level.

⁵² In many refugee situations, UNHCR has worked with refugees in the production of relief items (relief substitution), and resources have been channelled through local organizations employing refugees, IDPs and returnees in the production of blankets, buckets, bags, mattresses, tools, etc.

2.4 Staffing Strategy

Measures should be taken early on to ensure that staff with the right profile and expertise is deployed by UNHCR and partners.

- The profile of staff for DAR programmes would be different from those in a traditional humanitarian programme. DAR programme staff should have expertise in:
 - development planning and implementation. In a rural setting, expertise in agriculture and rural development would be important;
 - community mobilization and facilitation;
 - technical aspects relevant to the activities being implemented - education, health, etc.; and
 - the programming needs of women, children and groups with specific needs.
- To ensure sustainability, core staff of the DAR programme could be seconded from relevant government ministries as part of the implementation structures at all levels (national, provincial/district, local levels). Such staff should remain as government civil servants, but the programme would cover operational costs associated with their activities (eg. travel, logistics). This way, sustainability and programme continuity will be assured - *lasting results are obtained when resources are combined with building the needed institutional capacity for government and local authorities to be in the driver's seat*;
- Within UNHCR Representation, a “*team approach*” (i.e. involving programme, community services and protection staff) should be followed in both planning and implementing DAR programmes. Expert technical staff should be assigned at country level to provide necessary technical support to the DAR programme and also help re-orient and facilitate integration of C&M activities into the DAR programme;
- Provide training and re-orient programme staff (local, UNHCR and NGO staff), particularly to enhance their understanding of local planning processes and sector policies; and
- Provide technical support (see Annex 4.2) early to jump-start the DAR programme; however this should be phased out as soon as possible to ensure national ownership.

UNHCR should have staff at national level who have the expertise to undertake analysis and gap identification, and who would provide support to

UNHCR representation in their assistance to host government in dialogue with development actors; this is in addition to any specific technical functions that may have.

Annexes 4.3 and 4.4 provide sample Terms of Reference (TORs) for national and provincial co-ordinators - based on the Zambia Initiative.

2.5 Sustainability

It is important to factor in sustainability considerations in both the design and implementation phase. *An important aspect of sustainability is the involvement of communities in planning, implementation, monitoring and evaluation, as well as in maintenance of infrastructures built.*

Examples of ways to improve sustainability include:

- ensuring that staff, budgets and material are available from governments or donors when providing social infrastructure (eg. schools and clinics) - this is important as governments will have to take over responsibility later on;
- using labour-intensive methods for infrastructure projects to provide short-term employment, contributing to reconciliation and building private sector capacity;
- placing emphasis on the durability of materials as the government may have limited resources to cover maintenance costs, and the costs of building secondary and tertiary roads;
- avoiding creation of structures that are likely to disappear when UNHCR leaves or burdening the government - it may be more appropriate to work with existing ministries and structures than to establish structures devoted exclusively to refugees - the latter should be undertaken only in exceptional cases;
- making existing systems, procedures and staff work better when addressing capacity-building issues, rather than trying to restructure them; and
- adopting a phased approach to implementation of the DAR programme (where refugees are found in many parts of the country), starting with a pilot province/district and gradually extending to other parts, as experience, capacities and resources are built.

2.6 Measures to Build or Strengthen Capacities⁵³

Adequate implementation capacity (in terms of organizational competence, structure, resources and processes, including legal frameworks and institutions) would often determine the success of DAR programmes. Lack of a decentralized capacity at provincial/district level however, could hamper early implementation (and planning as well). In such instances it would be necessary to undertake early capacity building as part of the planning process. Any capacity building effort should be a collaborative one between partners eg. UNDP and UNHCR, and target local NGOs, local authorities and communities.

2.6.1 Suggested Goals for Capacity Building

The goals of capacity building are to:

- strengthen programme ownership at national, provincial/district and local levels;
- ensure programme implementation and follow up; and
- enhance sustainability.

Capacity building is a multi-sectoral and multi-year process - it:

- Involves:
 - both general and specific skills upgrading (eg. business skills and trades);
 - procedural improvements (eg. strengthening financial accountability within organizations); and
 - organizational strengthening (encompassing both of the above);
- Can be undertaken at the individual, institutional and societal levels and are vital to ensure success of DAR programmes;
- Should target key intervention sectors (eg. the capacity of law enforcement and judiciary structures to make protection interventions sustainable).

⁵³ Based on the Handbook for Repatriation and Reintegration Activities - Module Three - Section 4.

2.6.2 Examples of Capacities Required at Various Levels

National

- Monitoring performance of overall DAR programme;
- Developing policy in areas relevant to the DAR programme;
- Strategic planning, advocacy, coordination and fund raising;
- Standard setting; and
- Integrating the DAR programme in development planning fora and processes.

Province/District

- Undertaking sub-district and inter-sectoral planning and budgeting;
- Implementing and monitoring plans and budget;
- Technical support and proposal writing;
- Coordination and conflict resolution; and
- Ensuring sound financial management.

Communities

- Identifying priority poverty and food security problems;
- Carrying out planning and implementation of projects;
- Maintenance of infrastructure facilities;
- Management training (project management, time management, leadership and team building, conflict resolution, etc.);
- Monitoring and evaluating activities; and
- Managing organizations and managing community-based credit schemes.

NGOs

- Coordination, advocacy and fund-raising; and
- Technical support and implementation.

UN

- Developing joint projects, fund-raising, advocacy and coordination; and
- Global experience and technical support.

2.6.3 Examples of Capacity Building Activities

- **Local Communities:** community capacity building must start with assessing what structures exist and the capacity gaps. Some of the measures that can be undertaken include:
 - organising training workshops in communities on leadership, advocacy, organisation, financial management and record keeping; and
 - involving communities in assessments, monitoring and evaluations (they can participate directly, provide inputs into processes or discuss the outcomes of processes) to build their capacities.
- **Local authorities and government:** help provide minimum “hardware” support (eg. computers, vehicles and office equipment), “software” support to cover community organisation issues (project management committees, Parent Teacher Associations, etc.), management skills (accounting, budgeting, planning, monitoring, etc.) and human and refugee rights, gender and child protection training. The goal is to build the capacity of local authorities and government line ministries to do risk and gap analysis and appropriately respond to the needs of communities in areas hosting refugees. It should be recognized that different levels of government require different capacities and support at different times.
- **Local NGOs:** train them in programming, and monitoring and evaluation needed to implement DAR programmes (by means of training workshops, coaching during project planning and implementation, etc.), as well as in fund-raising.

The needs of women, children and youth should be covered when designing and carrying out capacity building activities. Women and girls in particular have family and domestic responsibilities often leaving them little free time to participate in skills training and related activities. It is therefore important to identify, in consultation with the community, measures to overcome these barriers.

2.7 Role of Partners, including UNHCR

Partner roles in the implementation of DAR programmes should be based on the need to create synergies and build upon the respective strengths of organizations. Table 4.2 provides a brief overview of the respective strengths and roles of potential partners in a DAR programme.

TABLE 4.2: PARTNER STRENGTHS AND ROLES

Partner	Strengths	Potential Role
Local Communities (Hosts and Refugees)	<ul style="list-style-type: none"> • Understand own needs and priorities • Are the ultimate beneficiaries of actions 	<ul style="list-style-type: none"> • Play a lead role in defining priorities at grassroots • Should be involved in planning, monitoring and evaluation • Should participate in decision-making
NGOs	<ul style="list-style-type: none"> • Are closer to communities • Can provide expertise • Can help in transition from C&M to DAR programmes • Can raise funds for DAR programmes 	<ul style="list-style-type: none"> • Could act as intermediaries with communities • Can support community action planning processes • Can help in providing training and capacity building
Provinces/ Districts	<ul style="list-style-type: none"> • Are legal entities and represent grassroots • Represent government at grassroots • Can arbitrate between different interests • Have development machinery • Are best placed to identify inter-community or inter-village needs and other public goods 	<ul style="list-style-type: none"> • Should be overall coordinators of DAR programme at district/municipal levels • Reconcile national/district standards with those for refugees • Integrate programming into medium and long-term development plans to ensure continuity and sustainability • Help translate national policies and standards into operational directives at local level
Line Ministries/ Technical Services	<ul style="list-style-type: none"> • Knowledge of sector policies and standards • Highly trained specialized staff • Access to sector budget allocations 	<ul style="list-style-type: none"> • Provide training and capacity building in specialised areas • Provide supervision of construction of facilities by communities to ensure that they conform to national standards • Ensure national standards and policies guide programme design • Ensure existing technical capacities and financial resources are mobilised to support programmes • Help local government apply new sector policy guidelines/standards • Integrate local development plans in Sector Wide Approaches (SWAPs)
Development Partners	<ul style="list-style-type: none"> • Have capacities to plan and implement development-oriented activities • Have better links to government development planning systems and strategies, including sectors • Can provide resources for longer-term programmes 	<ul style="list-style-type: none"> • Provide expertise in local development planning, monitoring and evaluation • Ensure linkages of DAR programmes with macro-policy and sector initiatives • Provide development resources to complement those provided by humanitarian agencies
Humanitarian Partners	<ul style="list-style-type: none"> • Have capabilities for rapid action • Are people-oriented in focus • Understand refugee issues better • Have knowledge of refugee hosting areas 	<ul style="list-style-type: none"> • Provide initial starter funds prior to presence of development partners • Provide implementation capacities • Keep special refugee concerns prominent in DAR programmes
Central Government	<ul style="list-style-type: none"> • Have overall control of both development and humanitarian policy • Can mobilize resources 	<ul style="list-style-type: none"> • Ensure that an appropriate policy context exists for successful DAR programmes • Demonstrate political will/commitment to integrate refugee and DAR issues on development agenda

Under certain conditions, responsibility to implement project activities may fall on NGO and CBO partners. The choice of such implementing partners is critical and involves matching partners with needs on the ground.

Such partners should:

- be established on the ground in refugee hosting areas;
- possess the necessary technical sector experience and capacity; and
- have the ability to undertake long-term activities/involvement in development activities (including commitment).

For further suggestions on criteria for selection of implementing partners see:

- *Chapter 4 of the UNHCR Manual.*
- *Partnership: An Operations Management Handbook for UNHCR's Partners, UNHCR Revised Edition February 2003.*
- *Handbook for Repatriation and Reintegration Activities, UNHCR May 2004.*



The role of UNHCR

UNHCR should focus on its protection role by working with, and through, a variety of partners. In a DAR programme, the emphasis of the assistance component of the UNHCR programme should however, gradually shift from assistance only to self-reliance and empowerment. This will enhance UNHCR efforts to meet its refugee protection obligations in a cost-effective way, improve the quality of asylum and prepare the refugee population for durable solutions.

With respect to its role, UNHCR generally would⁵⁴:

- gradually evolve from providing direct support to assisting host government in monitoring how the various programmes run by development partners integrate the needs of refugees – where they operate geographically, types of assistance provided, etc. Such a function would strengthen host government capacity while ensuring integration of refuge needs into development programmes.
- gradually integrate education, health, agriculture, livelihood-income generating activities, and water and other sector activities in local area development programmes of the government and make better use of existing resources by linking up with development programmes;

⁵⁴ Framework for Durable Solutions for Refugees and Persons of Concern.

- strengthen capacities of government and other partners;
- support coordination, planning, monitoring and supervision;
- ensure, by active participation in various assessments and planning exercises and fora, that refugees and refugee hosting areas are systematically included in development planning;
- facilitate efforts to obtain permits for refugees to move freely and be engaged in self-reliance activities; and
- continue to actively seek resources and assistance, humanitarian and development, for refugees and hosting communities.

How does UNHCR role change over time? Below are some suggestions.

In the early phases of the DAR Programme, UNHCR would take a lead role in:

- advocating for the promotion of the concept of DAR and building consensus;
- creating a better understanding of key legal, policy and institutional requirements for DAR programmes;
- providing and generating start-up resources to both design and implement the DAR programme;
- re-orienting its care and maintenance activities in line with the objectives of the DAR programme;
- strengthening capacity of local governments to implement aspects of the DAR programme; and
- extending services to refugees to include host communities.

In the later stages, UNHCR would play an active part in:

- consolidating policies and practices required to ensure successful implementation of the DAR programme;
- ensuring that protection concerns of refugees are being met by continuing its protection monitoring functions; and
- gradually integrating programming responsibilities into districts and development partners' programmes and focusing more on monitoring and evaluation functions with other partners.

When the prospects for peace are at hand and repatriation eminent, UNHCR should concentrate on:

- updating information on durable solutions preferences and refugee profiles;
- developing plans to deal with the remaining refugee population;
- contributing to any regional repatriation and reintegration strategy in country of origin;
- dealing with issues related to consolidation of services, infrastructure, camp closures, etc.; and
- conducting information campaigns on repatriation.

2.8 UNHCR-specific Implementation Arrangements

Issues specific to UNHCR to take account of during implementation include the following:

2.8.1 Sector Focus and Partnering with Agencies

Sector focus: where feasible, UNHCR should focus its interventions by carefully choosing where it has the capacity and strength to intervene and leave other fields to more competent actors (eg. agriculture (FAO), small enterprise development (ILO), health (WHO), and education (UNICEF)).

Partnering with agencies: for its own interventions, UNHCR should work with agencies with competencies in specific areas (eg. ILO in micro-finance and FAO in agriculture), in order to complement and gradually integrate its existing programmes in development plans. At all times, UNHCR's own interventions should form part of the overall DAR strategy.

2.8.2 Dealing with Limitations of Annual Budgeting

Annual budgeting of humanitarian actors such as UNHCR, has the advantage of providing flexibility to respond to new needs (project objectives can be changed from one year to the next). However, annual budgeting also poses challenges, as some activities may span many years. In addition, delays in the establishment of UNHCR Letters of Instruction (LOIs) authorizing expenditures and disbursements can adversely affect programme implementation. The following measures can help overcome constraints posed by annual budgeting:

- planning on a multi-year basis while budgeting on an annual basis;
- selecting implementing partners with the capacity and expertise to deliver quality programmes with multi-year horizons;
- providing partners with information on UNHCR's annual budgeting policy at the onset; and
- taking measures to facilitate the quick start-up of implementation (eg. expediting tenders and government approval of NGO partners and undertaking objective but rapid needs assessments to shorten the planning phase).

2.8.3 Linkage between DAR Programmes and UNHCR Care and Maintenance/Local Settlement activities

UNHCR care and maintenance/local settlement activities should not run parallel to a DAR programme, as this may lead to conflicting assistance policies towards the same refugee population (eg. access to financial resources as grants or loans). This will undermine sustainability in the long-run and lead to fragmentation and waste of resources.

When planning C&M activities in countries where DAR programme would be implemented, take measures to build the foundation for a DAR programme by:

- establishing clear and time-limited criteria for activities and disseminating the information to refugees and UNHCR Implementing Partners;
- selecting partners with capacity and expertise to participate in DAR programmes;
- initiating activities on the same principles as DAR programmes;
- involving government institutions in programmes in order to facilitate transition to a DAR programme;
- adopting an approach of “preparing populations for solutions” in programmes and investing in social capital to prepare people for durable solutions;
- conducting regular vulnerability assessments;
- establishing long term objectives from the beginning of operations.

In situations where there are prior on-going C&M activities and services already in place for refugees (that will eventually be integrated with local entities), when the DAR programme is launched take the following actions:

- discuss with local authorities, refugees and host communities when and which facilities/services to integrate, and develop a phased plan to integrate the services/facilities - develop clear plans of actions with targets, measurable benchmarks and timelines for the transfer and integration process;
- use national standards when planning for services/facilities. However, the standards should be assessed when transferring responsibility to local authorities to ensure that they still meet requirements;
- clarify roles and responsibilities between all actors at district level;
- ensure that the local government bodies to take over have the capacities to maintain services;
- put in place mechanisms to monitor services (and provide resources for monitoring), to make sure that there are no drastic falls in standards (eg. schools and clinics);
- provide transitional budget support but lobby to include in district and sector budgets; and
- sensitize refugees and develop a strategy to encourage refugees to begin paying for some of the services.

CONCLUSION

The suggestions on implementation of DAR programmes provided in this Module are generic and need to be adapted by staff to suit the prevailing situations. As stressed earlier, implementation of a DAR programme may span many years and under changing situations. Flexibility should therefore be exercised during implementation to adapt to such changes over time.

Strict prioritization is necessary to ensure realistic programmes. This will also facilitate fund-raising and programme implementation.

Annex 4.1:

SAMPLE MEMORANDUM OF UNDERSTANDING: AGREEMENT ON THE DEVELOPMENT OF REFUGEE HOSTING COMMUNITIES OF WESTERN PROVINCE: THE ZAMBIA INITIATIVE PROGRAMME

Between:

1. the Government Technical Services at the Provincial and District levels in the Western Province (herein after referred to as “GRZ technical services”) supported by the Provincial authorities of the Western Province;
2. the Local Development Committees or farmer’s groups or representative bodies created in these refugee hosting communities of the Western Province (herein after referred as “LDCs”); and
3. the Zambia Initiative Programme Unit based at the Commissioner for Refugees office, Ministry of Home Affairs and The Provincial Planning Unit Western Province (herein after referred to as “Z.I.P.U.”).

(All herein after referred to as “the contracting parties”).

Preamble:

- 1.1 GIVEN THAT THE Government of Zambia has been exemplary in hosting refugees, co-operating with international humanitarian organisations and agencies and providing opportunities for the refugees, with their means, to become productive members of the community and given that the Zambian Initiative Programme is in line with the government’s strategy of poverty reduction.
- 1.2 GIVEN THAT THE contracting parties to this Agreement have agreed to observe and respect the need to reduce poverty and create wealth as stipulated in the government strategy paper of poverty reduction PRSP.

- 1.3** GIVEN THAT THE contracting parties have agreed fully to co-operate and act in consultation with one another and to avail themselves of another's advisory services during the establishment and implementation of the Zambia Initiative Programme, which is to improve the productive capacity of the host population, increase self-sufficiency of the refugee and, by and large, reduce poverty and create wealth, or rather, improve the economic livelihood of the people of Western Province, in the moment and in accordance with the implementation procedures and responsibilities described under herewith:

IT IS HEREBY AGREED BY THE CONTRACTING PARTIES

- Art. 1** That the GRZ technical services at both the Provincial and District levels of Western Province engage themselves to provide technical backstopping/assistance to the LDCs and Zambia Initiative Programme Unit in the implementation of the Zambia Initiative Projects funded by the different donors and UN Agencies.
- Art. 2** That the GRZ technical services may be called upon to assist with the planning of any other community development sector by mutual consent between the Zambia Initiative Programme Unit, the LDCs and other parties through invitation of technical advisory services and participation in future contingency planning activities.
- Art. 3** That in case of new projects proposals springing up, GRZ technical services may be invited to provide technical assistance and setting up technical standards to ensure sustainable development is achieved.
- Art. 4** It is agreed that the GRZ technical services and the Provincial and District authorities engage themselves to operate all executed and funded projects and to ensure the appointment of the required staff, such as teachers and all categories of health staff, and to allocate the needed funds for operation of maintenance budget, in order to allow the smooth and efficient running of these structures.
- Art. 5** It is also agreed that GRZ technical services support will be provided not at a fee because this is (i.e. Zambia Initiative) a government programme/initiative aimed at empowering the local communities and, henceforth, enhancing the capacity building and improving the economic livelihood, of the people of Western Province.

- Art. 6** It is also agreed that the Zambia Initiative Programme Unit will assist the GRZ technical services in the provision of logistical support to the operation in the form of fuel, stationery and incentives to government civil servants operating on specific projects. The cost will be charged as Administrative fees, to the budget of each individual project funded by donors.
- Art. 7** It is agreed that the provincial and district technical services will provide monitoring and progress reports directly to the Zambia Initiative Programme Unit, of course, in consultation with the beneficiaries/actual implementers.
- Art. 8** This Agreement covers the period 01/07/02 to 30/06/04. After which this period, there will be a review of the agreement by mutual accord between the parties.

SIGNED IN FOUR (4) ORIGINALS BY THE DULY AUTHORISED SIGNATORIES OF BEHALF OF THE FOLLOWING PARTIES, EACH OF WHICH HAD RECEIVED A COPY AND AGREED TO THE CONTENTS OF THE PERTINENT GOVERNING CLAUSES

1. SIGNED OF BEHALF OF THE GRZ Technical Service.
2. SIGNED ON BEHALF of the LDCs.

Annex 4.2:

SAMPLE TERMS OF REFERENCE

UNHCR TECHNICAL EXPERT FOR UGANDA SRS-DAR PROGRAMME

Broadly, the overall task of the consultant is to advise the Government of Uganda (GoU) on the implementation of the recommendations of the SRS Mid-Term Review Report, which are agreed upon by GoU and UNHCR. The Consultant will study the opportunities, constraints and challenges of Self Reliance Strategy (SRS) as identified in the Midterm Review report; and, consolidate the opportunities while working on the constraints and challenges.

The Specific Tasks include:

- i. To help in the preparation of the DAR programme document, which will guide implementation.
- ii. To advise Office of the Prime Minister on how to mobilize additional resources and specifically bring UN agencies and other donors on board to support the DAR programme.
- iii. To help GoU develop a resource mobilization strategy for the implementation of the program of the DAR programme.
- iv. To develop a plan of advocacy, sensitization and mobilization activities aimed at enhancing the understanding of DAR concept and harmonizing the diverse perceptions on SRS.
- v. To revitalize the National task force and district task forces so as to provide a forum for consultation, planning, monitoring and reviewing the implementation of DAR programme.
- vi. To advise government on the concrete steps and plans of integrating refugee issues into the district and national development planning.
- vii. To help the transition team come up with a work plan for the transition from SRS to DAR and implement the work plan generated.

Tasks of TRANSITION TECHNICAL TEAM

Purpose

The purpose of the Transition Technical Team (facilitated by Secretariat) is to recommend to the Government a Road Map for the transition from SRS to DAR.

Specifically, the team will undertake the following tasks:

- i. Draw a work plan for the transition from SRS to DAR.
- ii. Prepare a program document, which will guide the implementation of DAR.
- iii. Draw strategies for mobilization of additional resources and specifically engage UN agencies and other donors as cooperating partners in the DAR process. Help government in securing additional funding for the implementation of the program of the DAR programme.
- iv. Carry out sensitization and mobilization activities aimed at enhancing the understanding of DAR and harmonizing the diverse perceptions on SRS.
- v. To revitalize structures like the National Task Force and district task forces, that provide forum for consultation, planning, monitoring and reviewing the implementation of DAR programme.
- vi. To advise government on the concrete steps and plans of integrating refugee issues into the district and national development planning and macroeconomic framework.

Duration and Reporting

The team will work for 6 months. This mandate may be extended depending on the need. In its work, the team will report to and work under the guidance of the Permanent Secretary/Director of Refugees.

Annex 4.3:

SAMPLE TERMS OF REFERENCE ZAMBIA INITIATIVE (ZI) NATIONAL COORDINATOR

The National Coordinator shall report to the Commissioner for Refugees, Ministry of Home Affairs, Government of the Republic of Zambia and shall be assisted by the Programme Officer and other key Project Staff at Zambia Initiative Program Unit (ZIPU - Lusaka).

Following would be some of the key responsibilities:

- a. Overall coordination of the ZI through the Provincial Coordinator and the District Area Coordinators in the Refugee Hosting Areas.
- b. Project identification, planning, formulation and implementation in close liaison with the UNOPs consultant.
- c. Working closely with the UNV and the UNHCR Junior Professional Officer (JPO) attached to the ZIPU.
- d. Liaison with UNHCR and other UN agencies directly involved in ZI.
- e. Liaison with GRZ technical departments and Ministry of Home Affairs Permanent Secretary, chairperson for the Technical committee (IMC) on ZI through the Commissioner for Refugees.
- f. Advocacy with potential donors, embassies in conjunction with the Focal Person (UNHCR).
- g. Preparation of field missions with donor embassies and other stakeholders to ZI project sites in conjunction with UNHCR.
- h. Undertake regular monitoring and evaluation field visits.
- i. Liaison/consultations with the traditional leadership and the Provincial/District Administration in the refugee hosting areas.
- j. Consultations with both the refugee and host community representatives.
- k. Collaboration with other development partners and agencies in the refugee hosting areas.

RESOURCE MOBILIZATION AND IMPLEMENTATION

- l.** Ensure timely submission of narrative and financial reports in the required formats to the various donors, UNHCR and GRZ (through the IMC).
- m.** Consolidation and validation of ZI annual work plan and budgets from the provinces.
- n.** Advocacy with GRZ Ministries involved in the Initiative.
- o.** Provide Secretariat for the IMC and responsible for convening meetings for the IMC under the guidance of the Commissioner of Refugees.
- p.** Build capacity for personnel under the programme (GRZ) and the Local Development Committees.
- q.** Liaison with NGOs, CBOs and other key players in the hosting areas
- r.** Facilitate marketing of LDC produce through the existing cooperative system.
- s.** Ensure the maintenance of good public relations with IPs, NGOs, CBOs and GRZ.
- t.** Maintenance of good rapport with the [traditional] Royal establishments in the hosting areas.
- u.** Ensure timely release of funds and completion of projects.
- v.** Maintain close links with bilateral arrangements/programmes implemented by other agencies such as DANIDA and JICA.

Annex 4.4:

SAMPLE TERMS OF REFERENCE ZAMBIA INITIATIVE PROVINCIAL COORDINATOR

The Provincial Coordinator (PC) shall report to the ZI National Coordinator, Zambia Initiative Program Unit, Lusaka. The PC shall be assisted by the UNV Programme Officer and other key Project Staff at ZIPU, while closely coordinating and liaising with the GRZ Field Technical services.

Under the direct supervision of the Project Coordinator, the PC Shall:

- i.** Be responsible for the coordination of the project at the provincial and district level through the Area Coordinators in the refugee hosting areas.
- ii.** Liaise with UNHCR Sub- Office through the focal person for ZI.
- iii.** Represent ZI at all Provincial Development Steering Committees such as the GRZ Provincial Development Coordination Committee (PDCC) chaired by Provincial Permanent Secretary.
- iv.** Undertake regular monitoring and evaluation field visits.
- v.** Liaise/hold consultations with the traditional leadership and the Provincial/District Administration in the refugee hosting areas.
- vi.** Hold regular consultations with all stakeholders in the field on the smooth implementation of the ZI projects and activities.
- vii.** Collaborate with Implementing Partners in the refugee hosting areas.
- viii.** Prepare monthly narrative progress reports.
- ix.** Ensure consolidation and validation of work plans and budgets regarding the ZI from the field technical services.
- x.** Provide secretariat support for the PDCC in conjunction with the focal person under the Provincial Permanent Secretary.
- xi.** Build capacity for Local Development Committees (LDCs), local leadership and field staff involved directly with the ZI programme at the field level.
- xii.** Liaise with NGOs, CBOs and other key players in the refugee hosting areas.

RESOURCE MOBILIZATION AND IMPLEMENTATION

- xiii.** Facilitate marketing of LDC produce through the existing cooperative system, while liaising closely with the marketing department in the Ministry of Agriculture and Cooperatives.
- xiv.** Ensure the maintenance of good public relations with IPs, NGOs, CBOs and GRZ.
- xv.** Ensure maintenance of good rapport with the Royal establishments and traditional authorities in the refugee hosting areas.
- xvi.** Ensure effective utilisation of funds and timely completion of projects.
- xvii.** Maintain and closely support other bilateral arrangements on ZI implementation such as DANIDA and JICA.
- xviii.** Carry out any other assignments as may be given by the Provincial Planner.

PART II: MODULE FIVE

Monitoring and Evaluation



PART II: MODULE FIVE

SUMMARY OF MODULE FIVE

Module Five highlights key concepts in monitoring and evaluation (M&E), and provides suggestions on how to monitor and evaluate DAR programmes. Suggestions are also provided on M&E indicators.

Section 1: Programme Monitoring

Section 2: Programme Evaluation

Section 3: Participatory Monitoring and Evaluation

INTRODUCTION

Monitoring and evaluation are critical for any programme, including a DAR one. The basis for sound monitoring and evaluation (M&E) is laid during the planning stages when the objectives, against which to measure progress, are set and indicators identified. Lack of clarity of objectives and/or indicators will make it more difficult to assess progress and determine programme impact. This Module offers suggestions on how monitoring and evaluation of DAR programmes can be conducted.

Section 1: PROGRAMME MONITORING

1.1 General Monitoring Issues

1.1.1 Definition and Scope of Monitoring

Monitoring is an ongoing review and control of the implementation of a programme or project to ensure that inputs, work schedules and agreed activities proceed according to plan and budgetary requirements. Monitoring covers **input**, **performance** and **impact monitoring**.

TYPES OF MONITORING

Input monitoring: looks at whether human, financial and material resources are mobilised and deployed as planned (eg. monitoring of disbursements to implementing partners).

Performance monitoring: process of measuring progress towards an output against performance indicators (eg. school rehabilitation is complete). Performance indicators highlight what to monitor closely during implementation and, together with the outputs, should be the focus of partner reporting.

Impact monitoring: process of measuring progress towards achieving objectives (eg. welfare of returnees and refugees, changes in systems, institutions and processes of concern to UNHCR) against impact indicators (eg. more children have access to education facilities).

1.1.2 Essential Elements of Monitoring

Essential steps in any monitoring exercise include:

- collecting data on quantitative (eg. number of clinics built/rehabilitated) and qualitative (eg. improved educational standards) indicators;
- disaggregating data (by sex and age) in order to better analyse the information collected; and
- analysing the data collected and using the information to facilitate action - eg. using the information to improve current and future projects and programmes.

1.1.3 Examples of Monitoring Activities

Monitoring activities include:

- regular meetings at project sites and agency offices;
- field missions to observe implementation and check on implementation in situ;
- discussions with project beneficiaries and other stakeholders;
- surveys;
- information and opinions from other sources;
- measurement of performance indicators; and
- review and analysis of reports and other documentation.

Monitoring and reporting can be facilitated through creating and regularly updating relevant databases that indicate:

- progress achieved according to objectives, outputs, indicators and standards (including those concerning protection) described in the programme documents;
- constraints encountered and measures proposed to address them; and
- revised objectives, outputs and work plans for future activities.

1.2 Monitoring DAR Programmes

DAR programmes are planned and implemented in partnership with a number of actors, including government, donors, UN organizations, communities (refugees and hosts) and civil society. Monitoring and evaluating such programmes must also be a joint responsibility, preferably under government leadership. Individual agencies may however undertake their own M&E for reporting and accountability purposes.

The use of instruments such as the UNDAF Monitoring and Evaluation Framework and the UNDAF Results Matrix when monitoring⁵⁵ and evaluating DAR programmes is strongly encouraged, as this will further contribute to placing refugees and refugee hosting areas on development agendas and encourage joint planning.

For guidance on M&E for joint programmes undertaken by two or more UN organizations, readers should refer to the *UNDG Guidance Note on Joint Programming, 2003*.



Indicators for monitoring a DAR programme would be context-specific and include both humanitarian and development ones - with greater emphasis on the latter. Partners should collaborate in the identification of indicators for monitoring DAR programmes. The indicators can fall in the following categories:

- overall indicators to assess how the DAR programme is meeting its objectives - poverty eradication, incomes, food security and other indicators from the development field would be appropriate to utilize;
- sector-specific interventions (health, water and sanitation, etc.). National sector standards combined with UNHCR core standard indicators could be used as a starting point. For latter see *Practical Guide to the Systematic Use of Standards and Indicators in UNHCR Operations (January 2004)*; and

⁵⁵ See www.undg.org for further information on these tools.

- a set of indicators relating to protection to ensure that such issues are not sidelined in the DAR programme.

Annex 5.1 highlights Common Country Assessment Indicators that can be used to guide selection of overall indicators.

1.3 Monitoring UNHCR-specific projects

UNHCR may need to undertake specific monitoring (eg. to fulfil its protection and assistance mandate and for reporting) in addition to taking part in joint M&E activities. Below are highlights of some of the main issues in this regard.

UNHCR monitoring aims to:

- provide managers and staff with the information they require to take timely and well-informed operational decisions;
- identify and immediately correct operational problems;
- ensure protection is provided and assistance is delivered as planned and in an equitable manner;
- identify protection problems in a timely manner; and
- contribute to reporting required for Headquarters, ExCom, donors and others.

Monitoring within UNHCR is at present largely based on assessing whether activities listed in sub-project agreements (eg. number of water points established) have been carried out by implementing partners and, is essentially driven by the need for financial accountability. UNHCR is beginning to undertake impact measurement. However, baseline information (i.e. initial conditions prior to project/programme interventions to facilitate measurement of changes) is sometimes difficult to obtain - see Box 5.1 on other challenges.

UNHCR staff are strongly encouraged to undertake impact assessments and, where no baseline information is available, to conduct qualitative assessments. For example, to go beyond checking whether a clinic has been built, staff can ask whether and to what extent the building of the clinic has impacted on the health of the community (eg. levels of infant and maternal mortality). Working with the staff of specialized agencies in the field will ensure that the right attention is given to assessing the impact of interventions.

BOX 5.1: GENERAL WEAKNESSES IN MONITORING ACTIVITIES

- lack of an integrated and harmonised approach to monitoring arising in part from a multitude of guidelines and instructions;
- the absence of a participatory multi-functional team-based approach to planning, bringing together all staff;
- poor interaction of, and contact with, refugees by senior programme, community services and protection staff;
- deficiencies in data collection tools, eg. poorly defined indicators, etc.;
- lack of data disaggregated by sex and age;
- limited strategic monitoring, i.e. synthesis of information from partners, beneficiaries and from the broader political environment;
- lack of participation on the part of the beneficiaries in the monitoring process;
- cumbersome reporting formats;
- funding constraints; and
- monitoring is often dominated by a narrow interpretation of accountability, i.e. the pressure to report, rather than to assure programme quality.

Source: *Enhancing UNHCR's capacity to monitor the protection, rights and well-being of refugees - synthesis of findings and recommendations. UNHCR 2004*

In UNHCR, Implementing Partners (IPs) constitute an important source of monitoring information (essentially through the SPMRs). Failure to work collaboratively with IPs will weaken UNHCR ability to monitor.

For UNHCR sector and protection related indicators, please consult *Practical Guide to the Systematic Use of Standards and Indicators in UNHCR Operations, UNHCR January 2004*.



Section 2:

PROGRAMME EVALUATION⁵⁶

Evaluation is closely related to but different from monitoring; see the definition below.

EVALUATION

Evaluation is as systematic and objective an analysis and an assessment of an organisation's policies, programmes, practices, partnerships and procedures as possible, and focuses on planning, design, implementation and impacts.

An evaluation aims to ascertain the appropriateness and fulfilment of objectives, as well as the efficiency, effectiveness, impact and viability of an organisation's activities. It should provide credible and useful information that enables the incorporation of lessons learned and good practices into policy making, decision making, programming and implementation. Evaluations should concern, and therefore be driven by, both headquarters and field staff.

⁵⁶ Based on *Handbook for Repatriation and Reintegration Activities, UNHCR May 2004, Module Six*.

2.1 General Evaluation Issues

Why Conduct Evaluations?

- **Accountability:** to determine whether expected results (i.e. the objectives of DAR) are achieved;
- **Lessons Learned:** to extract “good practices” to correct and inform programme planning, addressing the challenges to implementing the DAR programme;
- **Garnering Stakeholders’ Views:** to close the gap between the organisation’s and its beneficiaries’ perceptions (humanitarian agencies can be poor at consulting or involving communities); and
- **Retaining and Building Institutional Memory:** to build institutional memory when staff turn-over in programmes is high (i.e. when valuable institutional knowledge is lost).

Criteria Used in Evaluations:

- **Appropriateness or relevance:** were the objectives focused on real needs?
- **Efficiency:** were costs appropriate for the outputs delivered?
- **Effectiveness:** did the outputs produce the planned results?
- **Impact:** what were the immediate and long-term effects of the projects/programmes?
- **Sustainability:** can the beneficiaries/communities maintain/continue the interventions on their own?

Different Types of Evaluations:

- **Real-Time:** timely, rapid and interactive peer review undertaken during an operation to assess a programme and fine-tune responses;
- **Self-Evaluations:** conducted by staff to provide immediate and direct feedback for decision making during an operation. Self-evaluation can frequently, however, become partial and biased, as programme management staff are liable to be overly critical of those upon whom they depend for support or implementation, while placing their own efforts in the best possible light⁵⁷;

⁵⁷ See *Planning and Organizing Useful Evaluations*, UNHCR (1998).

- **Mid-Term Evaluations:** evaluations carried out during programme implementation.
- **End-of-Project Evaluations:** formal evaluation undertaken at the end of the programme; and
- **Ex-Post Evaluations:** evaluations done two to three years after the completion of the programme.

All these evaluation categories are necessary in DAR programmes.

In evaluating DAR programmes, a clear distinction needs to be made between outputs (eg. three water points built) and impact (eg. reduced incidence of water-borne diseases). It is relatively easy to quantify total expenditure in an operation and to quantify the number of refugees/hosts benefiting, the amount of food and other assistance items that are distributed and the number of projects that are implemented and so on. Key questions are: *what difference do these activities actually make for the refugees and other members of the local community? Do these interventions impact men, women, girls and boys differently?*

2.2 Suggestions for Evaluating DAR Programmes

For evaluations to be successful, one should determine the **baseline situation** (including protection) and benchmarks against which to measure the impact of actions and the changes that result from intervention. This should be done during the planning and design phase - select **benchmarks and indicators** that are simple, measurable and do not require an enormous amount of resources to follow up (use secondary information that is collected by others).

Suggestions (and factors) to take into account in evaluating DAR programmes include:

- making protection one of the central issues in M&E activities (evaluations should include **assessment of measures to provide protection**);
- factoring in what other **agencies can contribute**;
- looking at issues both from the national and macro-level trends and perspectives, as well as from the local perspective - eg. how the DAR programme is contributing to national and local development objectives, and to peace and security;

- undertaking **joint evaluations** with partners (donors and other relevant partners should be encouraged to participate in all and, particularly, in end-of-programme and ex-post evaluations) - where possible, use UNDAF monitoring and evaluation framework;
- drawing up lessons learnt after each evaluation for review and sharing with UNHCR staff and partner agencies through ad hoc lessons-learned or best-practices workshops. The lessons learned should then be refined and incorporated into the next DAR programme review and planning cycle; and
- requesting partners to set up their own self-evaluation mechanisms, with the participation of refugees and returnees as an efficient and inexpensive way of carrying out evaluations and documenting lessons learned.

For evaluation indicators, please refer to Section 1.2 above.

Section 3:

PARTICIPATORY MONITORING AND EVALUATION

Strengthening community capacities to track progress of implementation is the goal of Participatory Monitoring and Evaluation (PM&E). Community members are the key players and decision-makers in this process, with sponsoring agencies and other donors playing an advisory role. PM&E is conducted in a continuous manner, not a one-time event. A clear set of indicators must be outlined so that the communities can monitor and evaluate in a consistent manner.

Examples of **Tools and Methods** used for **Monitoring and Evaluation** include⁵⁸:

- **Mapping:** how many households have participated, how many people have used health services, etc.
- **Diagramming:** Venn Diagrams (see PART III Appendix II of the Handbook for further information) to illustrate which projects have been most useful, Flow Diagrams to show the progress of project implementation, etc.

⁵⁸ *Empowering Communities: Participatory Techniques for Community-based Programme Development*, Volume 2: Participant's Handbook, Centre for African Family Studies (CAFS), Session 16, pp. 77-8.

- **Ranking/Scoring:** Matrices to compare successful projects with unsuccessful projects, using various criteria, etc.
- **Seasonal Calendars:** illustrate trends in disease patterns of product outputs, for example, the number of trees planted, etc.
- **Semi-Structured Interviews:** discussion with community members on their perception of the projects and their success/impact, etc.

CONCLUSION

Monitoring and evaluation activities often generate a lot of information. The usefulness of the information collected is determined by the extent to which it is employed to take corrective measures and in judging programme impact. A key to effective M&E is therefore determining ahead of time how the information gathered will be used. Involving beneficiary communities (refugees and hosts) is one way to improve the use of the information collected and strengthening the feedback loop between planning and implementation.

Annex 5.1:

COMMON COUNTRY ASSESSMENT INDICATORS - MILLENNIUM DECLARATION AND CONFERENCE INDICATORS⁵⁹

Conference goal	Target	Indicators a/
Income-Poverty		
Eradicate extreme poverty	Halve, between 1990 and 2015, the proportion of people whose income is less than \$1 dollar a day (Millennium Declaration)	<ul style="list-style-type: none"> • Poverty headcount ratio (percentage of population below national poverty line) • Proportion of population below \$1 (PPP) per day • Poverty gap ratio • Share of poorest quintile in national consumption
Food security and nutrition		
Eradicate hunger	Halve between 1990 and 2015, the proportion of people who suffer from hunger (Millennium Declaration)	<ul style="list-style-type: none"> • Prevalence of underweight children under five years of age • Proportion of population below minimum level of dietary energy consumption • Proportion of household income spent on food for the poorest quintile
Education		
Achieve universal primary education	Ensure that, by 2015, children everywhere, boys and girls alike, will be able to complete a full course of primary schooling (Millennium Declaration)	<ul style="list-style-type: none"> • Net enrolment ratio in primary education • Proportion of pupils starting grade 1 who reach grade 5 • Literacy rate of 15-24 year olds • Adult literacy rate
Gender equality and women's empowerment		
Promote gender equality and empower women	Eliminate gender disparity in primary and secondary education, preferably by 2005, and to all levels of education no later than 2015	<ul style="list-style-type: none"> • Ratio of girls to boys in primary, secondary and tertiary education • Ratio of literate females to males 15-24 year olds
	Eliminate discriminatory practices in employment	<ul style="list-style-type: none"> • Share of women in wage employment in the non-agricultural sector
	Equitable access to political institutions (Fourth World Conference on Women)	<ul style="list-style-type: none"> • Proportion of seats held by women in national parliament
Child mortality and welfare		
Reduce child mortality	Reduce by two thirds, between 1990 and 2015, the under-five mortality rate (Millennium Declaration)	<ul style="list-style-type: none"> • Under five mortality rate • Infant mortality rate • Proportion of one year old children immunized against measles
Reduce child labour	Elimination of child labour (WSSD)	<ul style="list-style-type: none"> • Proportion of children < age 15 who are working



COMMON COUNTRY ASSESSMENT INDICATORS - MILLENNIUM DECLARATION AND CONFERENCE INDICATORS⁵⁹

Conference goal	target	Indicators a/
Reproductive and maternal health		
Improved reproductive health	Universal access to reproductive health services and information by 2015 (ICPD)	<ul style="list-style-type: none"> • Contraceptive prevalence rate
Improved maternal health and reduced maternal mortality	Reduce by three quarters, between 1990 and 2015, the maternal mortality ratio (Millennium Declaration)	<ul style="list-style-type: none"> • Maternal mortality ratio • Proportion of births attended by skilled health personnel
HIV/AIDS, malaria and other diseases		
Combat HIV/AIDS	Have halted by 2015 and begun to reverse the spread of HIV/AIDS (Millennium Declaration)	<ul style="list-style-type: none"> • HIV prevalence among 15-24 year old pregnant women • Condom use rate of the contraceptive prevalence rate • a/ Condom use at last high-risk sex • b/ Percentage of population aged 15-24 with comprehensive correct knowledge of HIV/AIDS
Combat malaria and other diseases	Have halted by 2015 and begun to reverse the incidence of malaria and other major disease (Millennium Declaration)	<ul style="list-style-type: none"> • Ratio of school attendance of orphans to school attendance of non-orphans aged 10-14 • Prevalence and death rates associated with malaria • Proportion of population in malaria risk areas using effective malaria prevention and treatment measures d/ • Prevalence and death rates associated with tuberculosis • Proportion of tuberculosis cases detected and cured under directly observed treatment short course (DOTS)
Employment		
Creation of full employment	Universal access to paid employment (WSSD)	<ul style="list-style-type: none"> • Employment to population of working age ratio • Unemployment rate • Informal sector employment as percentage of total employment
Environment		
Ensure environmental sustainability	Integrate the principles of sustainable development into country policies and programmes and reverse the loss of environmental resources (Millennium Declaration)	<ul style="list-style-type: none"> • Proportion of land covered by forest • Ratio of area protected to maintain biological diversity to surface area • Energy use (kg oil equivalent) per \$1 GDP (PPP) • Carbon dioxide emissions (per capita) and consumption of ozone-depleting CFCs (ODP tons) • Proportion of population using solid fuels
	Halve by 2015 the proportion of people without sustainable access to safe drinking water (Millennium Declaration)	<ul style="list-style-type: none"> • Proportion of population with sustainable access to an improved water source, urban and rural
	By 2020 to have achieved a significant improvement in the lives of at least 100 million slum dwellers (Millennium Declaration)	<ul style="list-style-type: none"> • Proportion of urban population with access to improved sanitation • Proportion of households with access to secure tenure

COMMON COUNTRY ASSESSMENT INDICATORS - MILLENNIUM DECLARATION AND CONFERENCE INDICATORS⁵⁹

Conference goal	target	Indicators a/
Housing and sanitation		
Adequate shelter for all	Provision of sufficient living space and avoidance of overcrowding (HABITAT II)	<ul style="list-style-type: none"> • No. of persons per room, or average floor area per person
Improved access to safe sanitation	Universal sanitary waste disposal (WCW/WCS/WSSD/UNCED)	<ul style="list-style-type: none"> • Proportion of population with access to improved sanitation
Drug control and crime prevention		
Improved drug control	Measurable results in reducing cultivation, manufacture, trafficking and abuse of illicit drugs by 2008 (UNGASS 20)	<ul style="list-style-type: none"> • Area under illicit cultivation of coca, opium poppy and cannabis • Seizures of illicit drugs • Prevalence of drug abuse
Improved crime prevention	Eliminate/significantly reduce violence and crime (UN Congress of Crime Prevention and Criminal Justice)	<ul style="list-style-type: none"> • Number of intentional homicides per 100.000 inhabitants
International legal commitments for human rights		
Universal ratification of international human rights instruments	Acceding to all international human rights instruments and avoiding resort to reservations, as far as possible	<ul style="list-style-type: none"> • Status of ratification of, reservations to, and reporting obligations under, international human rights instruments • Status of follow-up to concluding observations of United Nations human rights treaty bodies
Cooperation with the UN system's human rights monitoring mechanisms		<ul style="list-style-type: none"> • Status of follow-up to recommendations made by the UN system's human rights monitoring mechanisms

⁵⁹ Source: see CCA/UNDAF Guidelines at www.undg.org

Notes:

- a/ Indicators in bold are those being used for global and country level reporting on the Millennium Development Goals (MDGs).
- b/ Because the condom use rate is only measured amongst women in a union, it can be supplemented by an indicator on condom use in high risk situations. These indicators will be augmented with an indicator of knowledge and misconceptions regarding HIV/AIDS amongst 15-24 year olds - Proportion of respondents aged 15-24 who both correctly identify ways of preventing the sexual transmission of HIV and reject major misconceptions about HIV transmission.
- c/ To be measured by the ratio of proportion of orphans to non-orphans aged 10-14 who are attending school.
- d/ Prevention to be measured by the percentage of under five-year olds sleeping under insecticide-treated bed nets; treatment to be measured by percentage of under five-year olds who are appropriately treated.

Annex 5.2:

KEY QUESTIONS WHEN PLANNING AND CARRYING OUT EVALUATIONS⁶⁰

When Conducting Evaluations it is Important to Know:

- Its purpose and aim;
- Who it is for;
- What are the objectives and key questions;
- How information collection and analysis will be carried out;
- How the results of the evaluation will be presented; and
- How the evaluation will be organised.

The Main Questions Related to the Above Are:

- Why is it necessary?
- How will the results be used?
- What are the objectives of the evaluation?
- What specific questions should it pose?
- What information is needed to answer the questions posed?
- Where will the information come from?
- What indicators can be used to measure programme impact and progress?
- How should information be collected, analysed and presented?
- What are the capabilities to collect, analyse and use the information?
- What are the conclusions and recommendations?
- How will the findings be recorded and presented to different users?
- What feedback about the findings and the process will there be for people involved in the work?
- How should the findings be stored for future use?
- How will the evaluation be directed and managed?
- Who should be involved, what are their tasks and responsibilities?
- What is the timeframe?
- What human, financial and technical resources are needed?

⁶⁰ Source: Save the Children, *Toolkits - A Practical Guide to Assessment, Monitoring and Evaluation* (1998).

OVERVIEW OF PART III

Tools for Assessment, Planning and Participatory Development

PART III provides information on tools and methods to support assessments and planning of DAR programmes, as well as on ways to promote participatory development processes. It should be used in conjunction with **PART II** of the Handbook. For detailed information on the tools, readers should refer to the references provided.

This part of the Handbook enables users to:

- Plan and conduct joint assessments with partners;
- Conduct sample surveys, semi-structured interviews and focus group discussions; and
- Design and implement programmes in a participatory manner.

Appendix I **Assessment and Planning Tools**

Appendix II **Tools for Promoting Participatory Local Development**

PART III: APPENDIX I

Assessment and Planning Tools



1 INTER-AGENCY/JOINT ASSESSMENTS⁶¹

Adapted from UNHCR/WFP Joint Assessment Guidelines, June 2004

The purpose of inter-agency/joint assessments in the context of DAR programmes is to understand the situation, needs, risks, capacities and vulnerabilities of the refugees and host populations and thereby determine what actions need to be taken to:

- design and implement a DAR programme; and
- ensure planned activities fit within district plans and addresses poverty and development challenges in refugee hosting areas.

Specific objectives, terms of reference and a report format must be defined for each assessment in the context of what is known about the situation and any particular issues that need to be addressed.

For additional ideas on conducting assessments, please refer to *“Practical Guide to Multilateral Needs Assessments in Post-Conflict Situations”* UNDP, World Bank and UNDG, 2004.

Methods

These notes provide brief guidance on the general process an inter-agency/joint assessment team should normally follow. It suggests the approaches and methods that may be appropriate in relation to the topics that the team is required to address.

⁶¹ Appendix I was prepared with the assistance of Claudia Flores-Somera, UNHCR intern.

Drawing up an Assessment Plan

An assessment plan incorporating the elements below should be rapidly compiled and agreed:

TABLE 1. KEY ELEMENTS OF AN ASSESSMENT PLAN

Elements	What needs to be done
Agree on Assessment Methods	Agree in advance on: <ul style="list-style-type: none"> • The assessment techniques to be used and ensure that all team members have a common understanding of how to use the chosen techniques and cross-check information • The types of key informants to be sought and the specific types of information to be sought from them • The approach to be used in selecting interlocutors and focus groups among the host community and refugees, and the specific types of information to be sought from them
Prepare Data Collection and Reporting Formats	<ul style="list-style-type: none"> • Prepare agreed formats for data collection and reporting
Itinerary, Schedule and Logistics	<ul style="list-style-type: none"> • Plan the itinerary taking account of logistic realities • Arrange transport and accommodation in all locations. If the refugees are in an isolated area where there are few services, be as self-contained as possible
Security	<ul style="list-style-type: none"> • Ensure that any required security clearances are obtained from relevant national authorities • Arrange for the mission to be accompanied by a field security officer, if necessary
Coordination	<ul style="list-style-type: none"> • Inform all interested government entities, UN agencies, NGOs and donors of schedule of the assessment team

Before Going to the Field Site(s):

- examine available secondary data and summarize those data under the headings of the overall checklist/report format;
- when visiting locations, ensure that:
 - each team/sub-team is balanced in terms of skills and experience, and gender;
 - specific team/sub-team members are briefed to gather information on particular aspects; and
 - one member of each team/sub-team is designated to compile a note on the sub-teams findings.
- within the team agree on a sensible division of labour, so that it is known who will collect information on what;
- ensure that all assessment teams understand local cultural norms and those of refugees (so as to be able to adopt appropriate, respectful approaches); and

- thoroughly brief any interpreters who will accompany the team. Ensure that they understand the purpose of the assessment exercise, the topics to be addressed, the techniques you will be using, and their own role, in order to faithfully convey your questions and what the informants say (not to give their own interpretation of what is being asked or said).

How to Ensure a High Quality Inter-Agency/Joint Assessment

For a joint/inter-agency assessment to produce quality outputs and enable appropriate programme interventions to be planned and implemented in a timely manner:

- the objectives and terms of reference must be appropriate, realistic and agreed;
- the assessment process must be carefully planned and managed, including preparatory work as well as field work;
- assessment team members must have relevant skills and experience, and work together as a team;
- optimal use must be made of information that is already available; and
- the preliminary findings, conclusions and recommendations must be thoroughly discussed with all the main stakeholders, and the final versions be widely disseminated.

While every effort must be made to mobilise the resources for a thorough assessment, the scope and depth of an assessment sometimes has to be tailored to the resources and time available. Success depends largely on:

- the commitment of the country offices of the agencies involves, when present;
- good joint planning and management; and
- good monitoring, the effective use of monitoring data.

TABLE 2. CHECKLIST FOR VERIFYING THE CONTENT AND QUALITY OF AN ASSESSMENT REPORT

Does the report provide/include:

- A statement of the objectives of the assessment (and the TOR in an annex)
- A concise description of the methodology used, the sites visited, how interviews were selected
- Statements concerning the reliability of the data, the extent to which data are representative, possible margins of error, any gaps in information or differences of opinion
- Information on all the topics covered in the guidelines and/or the TOR (eg. context, numbers, population characteristics, food security including coping strategies, self-reliance, community services, gender, logistics, coordination, contingency planning)
- Analysis of opportunities for increasing *self-reliance* and prospects for DAR programmes
- Analysis of the political, social and security *context*, including the situation and attitudes of the host population, and the implications for food security, self-reliance, and gender and protection concerns
- Analysis of the *capacities* available to implement DAR programmes and related activities, including appropriate targeting
- The *options* for interventions with the pros, cons and implications of each
- Recommended *strategies* for DAR programmes, and specific recommendations for interventions for the next period, including inputs, implementation (including targeting) mechanisms, logistics arrangements
- *Risks* (including possible negative side effects of assistance) and the contingencies for which contingency plans should be maintained
- The specific aspect that *monitoring* should focus on and any additional studies required
- Particular information is lacking, is this acknowledged and something stated about when and how it should be obtained?

Defining Objectives and Terms of Reference (TOR)

The objectives of the assessment must be clearly defined and understood by all concerned. The typical objectives presented in Table 3 below must be adapted to (i) what is known about the general situation, and (ii) any particular issues that need to be addressed.

Based on the defined objectives, clear and precise TOR must be drawn up specifying the methods to be used, the output required (the topics to be covered in the report) and the time frame.

Take care to ensure that the objectives and TOR are focused and realistic.

TABLE 3: TYPICAL OBJECTIVES FOR AN ASSESSMENT

- To compile data that will be required for operational planning, and enable preliminary information to be provided to donors
- To identify the localities and priority topics on which a follow-up (if necessary) more detailed assessment should focus
- To identify factors that could positively or negatively influence possibilities for DAR programmes
- To determine what measures are necessary and what assistance is required to ensure that the refugees progressively achieve sustainable self-reliance preparing for solutions, as well as support to host communities
- To identify and assess the resources of potential implementing partners to undertake DAR programmes and monitoring activities
- To assemble the data required for operational planning and budgeting, and initiate implementation: this includes data on key indicators necessary to establish a baseline against which programme performance can be measured, to the extent possible
- To enable specific, credible project proposals to be elaborated and submitted to donors for funding

Constituting the Assessment Team

The assessment team should include:

- the government: at least one representative of the national entity responsible for refugees and of the relevant local authority (regional/provincial/district, as appropriate);
- UN organizations: eg. FAO, ILO, UNDP, UNHCR, UNICEF, WB, WFP, WHO as appropriate): each will nominate its own representative/participants;
- donors: one or two representative(s) of the donor community should be invited; and
- NGOs: representatives of the major NGOs should be invited. NGO staff will be key interlocutors at field sites but senior NGO staff with relevant experience should also be encouraged to participate as members of the overall assessment team.

The team should possess skills and experience in:

- rural development (for rural settings);
- sectors - gender, child protection, public health, nutrition, education, infrastructure, etc.; and
- self-reliance/livelihoods, employment and income-generating activities.

The team should include:

- individuals with extensive knowledge of the area;
- individuals with multi-disciplinary skills (social, economic and institutional); and
- women to ensure gender balance.

When relevant, experience in protection issues may also be included.

The size of the team should be decided in relation to the number of sites to be visited, if applicable. If there are several widely separated sites, sub-teams should be formed to visit different sites simultaneously.

One individual, or one from each organization, should be assigned responsibility at the outset to compile and edit the assessment report. Other individual team members may be assigned responsibility for compiling preliminary drafts on specific themes.

At the District Level:

- divide the team into sub-teams to meet simultaneously with the heads of the local administration and department staff; and
- reassemble the team to exchange and consolidate information; plan (or confirm) the itinerary and schedule for follow-up visits to other potentially important logistic centre, together with local officials.

At each refugee site/settlement or host village:

- meet with the local leaders and refugee representatives, local officials or NGOs involved;
- for refugees, determine whether the refugees at the site are from similar or different localities, backgrounds and ethnic origins:
 - if the population is more-or-less homogenous, identify the leaders and meet with them to introduce the team and start gathering information; and,
 - if the population includes distinct population groups, identify the different groups and their leaders, and immediately divide the team to meet with those leaders simultaneously to introduce the team and start gathering information.
- walk through the site/village to observe conditions and discuss informally with hosts/refugees;
- visit health facilities, water supply and storage points, and sanitation facilities;
- visit markets within and nearby;
- organize focus groups; and
- meet with leaders and representative groups from the local (host) populations.



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Note: Meetings with refugees should not be limited to the leaders. Consultations should be broadened to various groups such as women, children and youth to ensure that views of the community are heard and addressed. It is also recommended to meet various groups in their own environment, eg. home, market, school, etc. The same applies to meetings with the host community.

Re-Assemble the Assessment Team Each Evening:

- *before leaving the site/locality*, discuss the team's findings/observations and tentative conclusions with refugee leaders (when feasible), host community representatives, local authorities and organizations present; and
- *at the end of each day*, the team should meet to discuss findings and all team members prepare notes on their findings and submit them to the team rapporteur.

The success of the assessment will depend on the leadership and the commitment of all team members to (i) work together in the pursuit of the common objective in the framework of the agreed terms of reference, and (ii) find practical, pragmatic solutions to the problems that will inevitably arise.

Preparing and Disseminating the Report

- Prepare and present a draft summary report; and
- As soon as the report is finalized and all appropriate Country Directors and Representatives of participating institutions have signed, send it to:
 - The Government;
 - All government entities, other organizations and donors that contributed to the preparations for and/or participated in the assessment, including at field sites;
 - The UN Resident Coordinator and other members of the UN country team.
 - The regional bureaux and relevant headquarter units of UNHCR and other organizations involved; and

2 SAMPLE SURVEYS

Adapted from the UK Department for International Development (DFID) Sustainable Livelihoods Guidance Sheets⁶²

Objectives

Sample surveys are complementary to, and often informed by, participatory, qualitative methods such as structured-interviews and focus group discussions. To be effective, sample surveys should be preceded by an initial qualitative overview of the community or context in which they have to be carried out. This enables survey work to be more precise and effective. The initial enquiry, for example, should help help identify some questions for the sample survey questionnaire.

Sample surveys are particularly useful for generating quantitative data on specific livelihood attributes such as the distribution of assets in a population.

TABLE 1: EXAMPLES OF INFORMATION MOST COMMONLY AND USEFULLY GATHERED FROM A SURVEY

Economic Information	Assets	Livelihood strategies	Access to services
<ul style="list-style-type: none"> Income-generating activities Income (cash, in-kind) Consumption Seasonal prices Seasonal wages Cash costs of production Non-cash costs 	<ul style="list-style-type: none"> Productive assets Quality of shelter Access to infrastructure Access to training or education Household labour availability Nutrition Financial services and conditions 	<ul style="list-style-type: none"> Remittances received Income by source for various household members Access to natural resources for urban dwellers Seasonal variation in strategies 	<ul style="list-style-type: none"> Service providers Standards of delivery Fees and charges Levels of participation

Note: Non-exhaustive list and overlap in categories; for illustrative purposes only.

⁶² Sustainable Livelihoods Guidance Sheets, Department for International Development - See www.livelihoods.org

Information that can also be collected through sample surveys include: Questions on family details: gender, age, country or region of origin, length of stay in country of asylum, previous occupation, current skills, opportunities for return to country of origin to assess present situation and choice for future, i.e. local integration, repatriation, resettlement?

Data from surveys allows those involved to:

- gain better understanding of structures and issues;
- figure out household/group sources of income;
- compare different wealth groups for patterns of income sources, if relevant;
- compare levels of critical assets between different groups; and
- identify major constraints in accessing services.

Surveys are also useful because:

- they generate detailed information about a population from a small sample, so minimizing costs and resource requirements;
- standardization of questions and answers allows for comparisons to be made; and
- they help reveal whether sample populations (and, by extrapolation, wider populations) are relatively uniform or highly heterogeneous, thereby improving the design of projects and/or programmes.

It is important not be too ambitious when employing sample surveys. Some things to be aware of include:

- overestimating the data required to find out about different aspects of the population. Likewise, do not underestimate the time needed to process and derive the results from the data;
- skipping simple data analysis for sophisticated statistical routines as important things may be overlooked; and
- asking for information about incomes; some assets and intra-household issues can be very sensitive or impossible to get. Progress can be made by building trust or by approaching difficult questions in roundabout ways (for example, asking about consumption rather than income).

Methods

Guidelines for conducting sample surveys:

- identify data, devise survey forms and set-up with local researchers;
- pre-test survey forms in the field and train enumerators;
- the sample survey should:
 - take under an hour to administer;
 - avoid ambiguous questions and focus on quantitative data;
 - have a sample size of at least 30 from any single group. A possible option is to select three groups for comparison giving a combined minimum sample size of 90;
 - disaggregate populations and ensure that all relevant social dimensions are covered (eg. women, men, age groups, etc.).
- enter and check data; and
- analyze data (statistical analyses often employed) and prepare report.

3 SEMI-STRUCTURED INTERVIEWS

Objectives

Semi-structured interviews are valuable rapid/participatory, qualitative/appraisal (RA) methods⁶³. RA methods, in general, can provide important information on attitudes and perceptions, permit enquiries to be adapted on-site in response to findings, and can provide information for decision making more rapidly and cheaply than structured surveys

A careful, systematic approach is essential in order to ensure that as accurate a picture is developed when using semi-structured interviews and RA methods in general:

- **Preparedness:** before starting enquiries on the spot, study the available information on the population and locality and prepare a preliminary checklist of topics on which you want to gather information;
- **Sampling:** although formal sampling techniques may not always be used, sites and informants should be selected carefully and consciously in order to ensure that all the main subgroups are covered;
- **Interpretation:** if you do not speak the local language fluently, find a knowledgeable interpreter so that informants will not be restricted to those that speak your language;
- **Gender and Age Considerations:** talk separately with men, women, girls, and boys and in mixed groups and children,
- **Real-Time Analysis and Checking:** reflect on the significance of information and analyse it for coherence and internal consistency during the interviews and discussions. Ask follow-up questions to explore new aspects, clarify any apparent inconsistencies or fill gaps in understanding;
- **Focus:** concentrate on aspects that may influence the livelihoods and issues of interest of different groups and the ways in which each group might best be helped. Do not waste your own or your informants' time on data that may be interesting but irrelevant to your purpose;
- **Progressive, Participatory Learning:** recognise that you are engaged in a learning exercise; learning from and with your informants. Your understanding will increase as more issues are raised and explored with members of the affected population. Be flexible and opportunistic. While keeping a clear focus on livelihoods, needs and variables of interest, be alert to and follow up on aspects that you may not have thought of previously.

⁶³ UNHCR/WFP Joint Assessment Guidelines.

Methods

Below are some useful guidelines on conducting semi-structured interviews (with application to group discussions):

- **Selecting the sample for qualitative interviews:**
 - decide who will be in the sample: draw up lists of who you will like to know about; decide on the number of people in the sample at least 10 for drawing general conclusions; and select people at random; and
 - keep records to show that data is reliable: keep record of all steps in process so that someone else can “audit” if necessary. Records should include: how sample was selected, who responded, who did not and why, how you replaced people if necessary, and how you conducted interviews.
- **Designing a semi-structured interview schedule:**
 - think about the structure of the interview: select key themes, questions, and the order and way to ask them. For example, start with simple relatively uncontroversial topics first and to build rapport with the respondents;
 - ask generative questions first: for each new theme, ask initial open, generative questions (see Table 2 on page 14);
 - ask supplementary questions to probe for more detail;
 - ask closed questions last: to avoid a pattern of short responses to prompts; and
 - think about the time period the questions will refer to: it is useful to use shorter time-periods or periods marked by an event that respondents can remember.
- **Preparing for interviews:** always pilot your interview with staff but also with at least two real respondents who are similar but not part of actual sample. Keep in mind:
 - how many interviews you can realistically conduct within the limits of your budget and available time, focus on quality not quantity; and
 - who will be present during the interview because this will affect what people are willing to tell you.

- **How to start:** always begin with a traditional greeting and explain:
 - who you are, who you work for, why you are there, what your roles is;
 - explain that by collecting good, accurate information from the community you will be able to inform decision-makers more accurately about the community's situation; and
 - identify and record the characteristics of the individual or group, i.e. gender, age and socio-economic status.
- **How to conduct yourself and the discussion:**
 - refer to someone or something visible;
 - use checklist to ensure all topics are covered but be flexible. Allow relevant, new and unexpected issues to be brought up and pursued;
 - maintain an informal approach, do not interrogate. Mix questions with discussion;
 - be aware of non-verbal communication from your informants;
 - respect people's sensitivities and their right not to answer certain questions if they choose not to;
 - in a group discussion, ensure that all participants contribute; do not allow more powerful individuals or groups in the community to dominate. (If an individual persists in dominating, politely bring the discussion to an end and form a new group);
 - let informants and groups explain points fully; allow them to 'wander' if it helps them to make their point. Understand their logic and concerns and, when appropriate, gently bring the discussion back to the topic about which you seek information; and
 - do not take more than 45 minutes for an individual interview, or 90 minutes for a group discussion.

TABLE 1: HOW TO ASK QUESTIONS DURING SEMI-STRUCTURED INTERVIEWS

- Ask direct, clear questions, eg. How? Where? When? Who? Why? What? How much?
- Ask questions about groups of people, not about the individual informants themselves, eg. “How many goats do most poor families (not you) have?”
- Listen carefully to every answer and ask follow-up questions if needed for more detail
- Ensure that each question is clearly understood, especially when working with an interpreter
- Ask one question at a time; do not ask more than one question in the same sentence
- Only ask questions that you think the informant(s) can answer
- Keep sensitive questions until later in the interview or discussion
- Do not phrase questions in a way that assumes or implies that the informant(s) should follow (or have followed) a specific course of action
- Do not induce particular answers by helping an interviewee to respond

- **Whenever possible and appropriate and particularly in group discussion, use two interviewers (preferably a man and a woman):**
 - one interviewer leads the discussion while the other takes notes; exchange roles regularly. Type up notes as soon as possible after interviews, while memory is still fresh. Consider tape-recorded interviews if conducive and non-intrusive; and
 - do not interrupt each other.

TABLE 2: EXAMPLES OF GENERATIVE AND SUPPLEMENTARY QUESTIONS

Theme	Generative Question	Supplementary Questions
1	Please tell me how the overall situation has changed for you and your household since the refugee settlements were set up. Please also explain the reasons for these changes?	How has your health and the health of other household/community members changed? Have you acquired any important assets or skills?
2	Please tell me what other members of your household feel about the prospects of local integration of refugees. Please explain why you feel that way?	How will this affect relationships with nationals/refugees? How will this affect the nationals/refugees access to services?
3	NOTE: Questions being revised to fit purposes better	

- **Analysing and interpreting narrative data:**
 - prepare typed summaries of each interview;
 - organise information into a report identifying key issues under each theme; and
 - good practice to note in brackets or footnotes the code numbers of interviews to which a particular point refers should you need to trace back.
- **Analysing and converting qualitative data into numbers:**
 - constructing an overall impact score or other measure - when the sample size is more than 20 and there is scope for combining qualitative with quantitative data.
- **Using the data to improve services, for programme planning, etc.**

4 FOCUS GROUP DISCUSSIONS

Objectives and Why do Focus Group Discussions

Focus group discussion methods are important tools for conducting analysis and gathering specific information related to different groups. The main objective is to determine how issues differ among groups such as women, men, vulnerable populations, farmers, youth or other categories.

Qualitative data can provide very useful information about particular groups or individuals that quantitative data may not provide. Quantitative data gives a good picture and overview of the things available and the things lacking. Qualitative interviews and surveys on the other hand offer a more nuanced picture and get at data that often cannot be quantified such as perceptions and feelings as well as allow the group or individual the opportunity to tell their own story and speak openly and in detail about how services or circumstances affect them.

Focus group discussions specifically:

- allow for dissent and consensus building, for example, about levels of self-reliance from various perspectives/interest groups;
- can provide contextual and retrospective insights for interpreting current and future situations and sub-groups of interest that can be missed by other methods;
- can be relatively cost-effective due to small sample size(time, financial human resources); and
- allow for gender perspectives to emerge on key issues, especially control of resources that might be generated as a result of a particular intervention.

Methods

These notes provide a guide to developing and conducting focus groups discussions:

- **Sampling approach:** purposive sampling (women, youth) or/and random (quota, etc.);
- **Sampling size and selection:** groups of six or eight in a facilitated discussion. Groups usually represent subgroups of interest. Groups may intentionally be a mixture of sub-groups;
- **Generalising from sample to population/subpopulation of interest:** Discussion is focused on generalised experience of population/subpopulation and not on the experience of the individual participants in the discussion;
- **Tools:** Semi-structured discussion guide (see 3 above for some guidance on developing these);
- **Common techniques (in addition to interviewing):** Proportional piling, ranking, mapping, time trends, seasonal calendars, transect walks, direct observation and other tools;
- **Skills and training required:**
 - Facilitator: skilled and experienced facilitator able to balance the need to maintain focus while allowing the group to raise issues important to them.
 - Reporter: Basic literacy and numeracy skills, training in topic and verbatim recording of discussion.
 - Design/Supervisory Team: experience in tool development if tools not provided.
 - In-depth interviews, analysing the information and making conclusions based on what you have learned.

With regard to interviewing techniques, it is recommended engaging gender and child participatory experts.

PART III: APPENDIX II

Tools for Promoting Participatory Local Development



INTRODUCTION⁶⁴

Participatory methods are essential for planning, implementing, monitoring and evaluating DAR programmes. This section presents the various tools available for promoting participatory local development.

Participatory Development

A participatory approach is now recognized as a normal way of conducting development business, replacing earlier concepts and approaches, which were used from the 1950s to the 1970s, such as community development.

Key principles for participatory development include the following⁶⁵:

- recognize the **primacy of people**, their interests and needs to underpin key decisions and actions relating to development interventions;
- base project interventions on **people's knowledge and skills**;
- **empower** women and other marginalized groups;
- enhance **autonomy** as opposed to control;
- facilitate **local action** instead of local responses; and
- allow for **spontaneity** as opposed to rigidity in design, implementation and review.

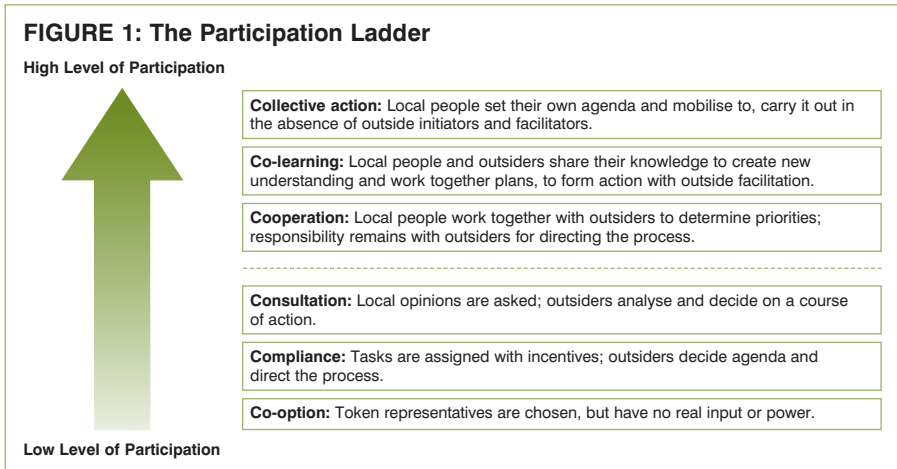
Participatory Programme Development (PPD) is the process of working in partnership with communities to develop feasible, desirable and sustainable programmes.



⁶⁴ Appendix II prepared with the assistance of Kathleen Dick, UNHCR Intern.

⁶⁵ UNDP Empowering People: A Guidebook to Participation.

Participation can take many forms, ranging from full empowerment to mere token forms as shown in Figure 1.



Participation in UNHCR Work

In contrast to development agencies, the routine and systematic use of participatory approaches is not common among humanitarian organizations. Factors that tend to limit their use of participatory methodology include:

- the need to move quickly in emergencies to save lives. It is often claimed that since participation takes time, it is a luxury that is ill afforded in the face of emergencies;
- the skills and profiles of humanitarian relief workers;
- vertical command structures found in many humanitarian and relief organizations;
- internal procedures, eg. planning and budgeting cycles often limited to one year;
- donor humanitarian/relief assistance policies which often have short time horizons;
- the fact that local institutions are often destroyed or weakened by the emergency itself, and are often sidelined by the process of providing emergency assistance; and

- the practice of viewing emergencies as sudden and dramatic events rather than as events with a long gestation periods, of which the emergency is just a symptom.

Community-based participatory approaches when applied to emergencies can make relief interventions more effective, less wasteful and supportive of local institutions than externally designed and managed programmes⁶⁶.

BOX 1: EXAMPLE OF A PARTICIPATORY APPROACH IN AN EMERGENCY

"In Liberia, at the height of the fighting, citizens of Monrovia organized themselves into community welfare teams and organized food and water distribution for each neighbourhood. They also organized neighbourhood security watches and conflict resolution... The systems that were set up in Monrovia by the Community Welfare Teams are still in place today and they have influenced the democratic process in Liberia in a beneficial way. Since that time Save the Children Fund has been using PRA to generate community plans."

Source: *Workshop on Participatory Approaches in Emergencies, March 2000.*

- Over the years, UNHCR has developed tools to enhance participation in its work. Examples include the following:
- developing a Practical Handbook for Participatory Planning, essentially aimed at encouraging greater stakeholder participation in UNHCR programmes, and in particular, the elaboration of the Country Operations Plan (COP).
- emphasising mainstreaming concerns relating to gender, children and groups with specific interests in UNHCR operations;
- adopting a community-development approach to camp management; and
- supporting refugee communities to set up decision-making bodies to manage aspects of their affairs and as mechanisms for consultation.

A participatory approach is a *sine qua none* for a sound DAR programme. The sections below provide an overview of the various tools that are used for participatory planning. Two of the tools (workshop-based and community-based) are treated in greater depth, and the implications in applying participatory approaches in DAR programmes are highlighted.

⁶⁶ Alastair Scott-Villiers. "Workshop on Participatory Approaches in Emergencies," March 2000.

Overview of Participatory Tools and Methods

The range of tools and methods for promoting participation fall into four categories:

1. Workshop-based methods include:

- *Objectives-Oriented Project Planning (ZOPP)*: a project planning technique for stakeholders to come together in workshops and set priorities and plan for implementation and monitoring;
- *Appreciation-Influence-Control (AIC)*: a workshop-based technique, which promotes consideration for social, political and cultural factors by all stakeholders; and
- *TeamUp*: emphasizes team building within the ZOPP method using a computer software package (PC/TeamUp) that focuses on team-oriented research, project design, planning, implementation and evaluation for stakeholders.

2. Community-based methods include:

- *Participatory Rural Appraisal (PRA)*: a participatory approach/method, which focuses on local knowledge and promotes communities doing their own appraisal, analysis and planning; and
- *Self-Esteem, Associative Strengths, Resourcefulness, Action Planning and Responsibility (SARAR)*: a participatory approach geared at the instructing of local trainers and facilitators and draws on local knowledge to strengthen local capacities.

3. Stakeholder Consultation methods include:

- *Beneficiary Assessment (BA)*: uses systematic study of beneficiaries' and stakeholders' perception, ensuring all concerns are heard and incorporated within policy and project structure; and
- *Systematic Client Consultation (SCC)*: a group of methods for improving communication among staff, direct and indirect beneficiaries and stakeholders of projects, government agencies and service providers, so that projects and policies are demand driven.

4. Social Analysis methods include:

- *Social Assessment (SA)*: a systematic study of social processes and development factors that influence project impacts and results; and
- *Gender Analysis (GA)*: focus on understanding and documenting of the differences in gender roles, activities, needs and opportunities within each unique context.

For a summary, please see Matrix on pages 6-7.

TOOLS FOR PROMOTING PARTICIPATORY LOCAL DEVELOPMENT

OUTLINE OF COLLABORATIVE DECISION-MAKING TOOLS AND METHODS⁶⁷

	TOOL/METHOD	WHAT IT IS USED FOR	COMMENTS
WORKSHOP-BASED	Objective-Oriented Planning Project (ZOPP)	<ul style="list-style-type: none"> Stakeholders set priorities, plan for implementation and monitoring Output is project planning matrix, undertaking participatory, objectives-oriented planning Length spans the life of the project or policy Focus on team commitment and capacity 	<p>Pros</p> <ul style="list-style-type: none"> Encourages “social learning” Promotes ownership Produces visual matrix of project plan Stakeholders establish rules of the game and working relationships <p>Cons</p> <ul style="list-style-type: none"> Matrices should be considered changeable Stakeholders must be involved in all planning Not all stakeholders comfortable in workshop setting All stakeholders must have accessibility and voice
	Appreciation-Influence-Control (AIC)	<ul style="list-style-type: none"> Stakeholders consider social, political and cultural factors under influence of technical and economic aspects Focus on building appreciation through listening, influence through dialogue and control through action 	
	TeamUp	<ul style="list-style-type: none"> Based on ZOPP with emphasis on team-building Uses PC/TeamUp software package to guide stakeholders through team-oriented research, project design, planning, implementing and evaluation, fostering ‘learning by doing’ environment 	
COMMUNITY-BASED	Participatory Rural Appraisal (PRA)	<ul style="list-style-type: none"> Focused on local knowledge; enables local people to do own appraisal, analysis, planning Development practitioners, government officials and local people work together on context-appropriate programmes 	<p>Pros</p> <ul style="list-style-type: none"> Can be used in a variety of settings Interactive/visual tools not dependent on literacy levels Rely on everyday experience Participation = empowerment <p>Cons</p> <ul style="list-style-type: none"> Training alone does not provide locals with decision-making authority Energy must be targeted to actual tasks and programmes Trained facilitators needed
	Self-Esteem, Associative Strengths, Resourcefulness, Action-Planning, Responsibility (SARAR)	<ul style="list-style-type: none"> Geared towards instructing local trainers/facilitators Focus on local knowledge, strengthens local capacity to assess, prioritize, plan, create, organize and evaluate Builds multi-sectoral/level training approach to team building; encourages participants to learn from local experience not from external ‘experts;’ empower communities and agencies to initiate action 	
STAKEHOLDER CONSULTATION	Beneficiary Assessment (BA)	<ul style="list-style-type: none"> Systematic analysis of stakeholders’ perceptions so concerns are voiced and incorporated in programme formulation Seeks out otherwise silent stakeholders; highlighting constraints of beneficiary participation Relies on feedback on development interventions 	<p>Pros</p> <ul style="list-style-type: none"> Systematic analysis improves interaction with stakeholders BA and SCC are field-based requiring travel to representative communities <p>Cons</p> <ul style="list-style-type: none"> Listening/consultation alone to not lead to increased capacity/participation Effectiveness of programme depends on managers/representatives to be able to realize communities’ needs and demands within programme operation
	Systematic Client Consultation (SCC)	<ul style="list-style-type: none"> Focus on improving communications among stakeholders so projects are more demand driven Systematic listening to stakeholders’ attitudes, preferences Engineer process for continuous communication Act on findings by incorporating stakeholder feedback within project design and procedure 	



OUTLINE OF COLLABORATIVE DECISION-MAKING TOOLS AND METHODS⁶⁷

	TOOL/METHOD	WHAT IT IS USED FOR	COMMENTS
SOCIAL ANALYSIS	Social Assessment (SA)	<ul style="list-style-type: none"> • Focus on social processes/factors of development impact/results • Identify key stakeholders; establish participation framework • Project objectives/incentives must be appropriate and acceptable to beneficiaries • Assess social impacts/risks • Minimize adverse impacts 	<p>Pros</p> <ul style="list-style-type: none"> • Provide process for information building into plans for action • Communication between communities and agencies • Flexible framework for design able to conform to existing programme and policy goals • Involving local experienced consultants increases capacity for actionable social analysis
	Gender Analysis (GA)	<ul style="list-style-type: none"> • Understanding/documenting differences in gender roles, activities, needs and opportunities within context • Disaggregates quantitative data by gender • Based on socially and culturally variable gender attributes • Does not treat women as homogenous group or with immutable characteristics 	<p>Cons</p> <ul style="list-style-type: none"> • Data collection/analysis must isolate relevant issues and prioritize them

Participatory Rural Appraisal (PRA) and Objectives-Oriented Project Planning (ZOPP) are relevant tools in developing DAR programmes, and are not mutually exclusive.

Participatory Development Tools⁶⁸

Participatory development is concerned with stakeholders’ involvement in decision-making, implementation, monitoring and evaluation and the sharing of responsibilities and benefits. It increases control over resources and institutions by groups who would hitherto have been excluded. It enhances their well-being in terms of self-reliance and any other values they cherish. It recognizes an existence in differences of political and economic power between different classes and social groups so that development will be based on democratic, independent and self-reliant ideals. It is based on dialogue between various stakeholders, whereby the agenda is jointly set, and local views and knowledge are deliberately sought for and respected.

⁶⁷ The World Bank Participation Sourcebook, Appendix 1: Methods and Tools, www.worldbank.org

⁶⁸ Adapted from Civil Society Organizations, Empowering People: A Guidebook to Participation, UNDP <http://www.undp.org/cso/resource/documents/empowering/ch1.html>

Evolution of Participatory Programme Development (PPD)

The evolution can be summarized in the following sequence: Rapid Rural Assessment (RRA) » Participatory Rural Appraisal (PRA) » Participatory Learning and Action (PLA)

RRA was largely knowledge “extractive” process⁶⁹, where the information was analyzed off-site by outside experts. PRA focused on community capabilities and promoted local ownership of the programme. PLA emphasizes the action phase of the programme and has broadened the scope of development from rural to multi-sectoral. Outside experts observe and facilitate, while community members are planners, implementers, monitors and evaluators.

Description of PLA and Steps Involved

The goal of PLA is community collective action. PLA is a process for community members to:

- analyse their needs;
- identify possible solutions; and
- develop, implement and evaluate a plan of action.

The scope of PLA can be:

- focused on a specific sector; or
- open to community choice of issues to be addressed.

The PLA Team is multi-disciplinary with representative genders, disciplines and career background. Participants may include⁷⁰:

- sponsoring agency;
- other NGOs or development agencies;
- local government representatives; and
- community members.

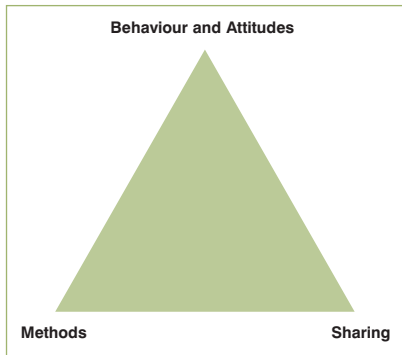
⁶⁹ Empowering Communities: Participatory Techniques for Community-based Programme Development, Volume 2: Participant’s Handbook, Centre for African Family Studies (CAFS), Session 2, pp. 8.

⁷⁰ Empowering Communities: Participatory Techniques for Community-based Programme Development, Volume 2: Participant’s Handbook, Centre for African Family Studies (CAFS), Session 2, pp. 6.

The Team Structure:

- Leader: makes initial contact with community, is a primary link with community leaders, coordinates logistics of field work, introduces team to community, supervises work of team members;
- Trainers: supplement leader's tasks;
- Note-Takers/Recorders: observe and record PLA activities in a variety of mediums;
- Facilitators: conduct PLA activities with community members, ensuring all members are given chance to participate; and
- Community Link Persons: liaise between team and community.

Foundations of PLA:



Behaviour and Attitudes:

- respect for local knowledge and capabilities;
- rapid and progressive learning;
- “handing over the stick” [to community members];
- flexibility and informality;
- offsetting biases;
- seeking diversity; and
- self-critical awareness.

Methods:

- mapping and diagramming;
- semi-structured interviews;
- sorting and ranking;
- transect walks and observations;
- time lines, schedules and seasonal calendars; and
- matrices.

Sharing⁷¹:

- local people sharing information amongst themselves;
- local people and outsiders sharing information with each other;
- PLA facilitators sharing information amongst themselves; and
- organisations conducting PLA-sharing experiences with each other.

Outline of the Participatory Programme Development (PPD) Process:

- selection of the community and formation of the PLA team;
- training of the PLA team and logistical preparations;
- preliminary site visit;
- the PLA workshop: data collection;
- the PLA workshop: data synthesis and analysis;
- the PLA Workshop: ranking of problems and solutions;
- the PLA Workshop: presentation of results;
- the PLA Workshop: creation of an action plan committee and development of a community action plan;
- workshop follow-up and implementation of the action plan; and
- participatory monitoring and evaluation.

⁷¹ Empowering Communities: Participatory Techniques for Community-based Programme Development, Volume 2: Participant's Handbook, Centre for African Family Studies (CAFS), Session 2, pp. 10-11.

Applying Participatory Tools And Methods to DAR

Even under “normal” circumstances, using participatory approaches can be challenging. When applied in the context of refugees and DAR programmes, it would be important to take into account a number of factors, such as the following:

- divergent stakeholder motivation and interests: What is in it for me?
- imbalances in power relationships;
- gender roles and support to groups with special needs;
- time and costs associated with participatory approaches; and
- skills of staff.

The Table on page 12 spells out the main challenges/issues and responses when applying participatory methodologies in the context of DAR programmes.

CHALLENGES AND RESPONSES IN APPLYING PARTICIPATORY APPROACHES TO DAR PROGRAMMES

Challenge	Issues	Responses
Stakeholder motivations and interests	<ul style="list-style-type: none"> Differences in stakeholder interests are normal in any community but these are magnified in the case of refugee-host community - local - central government context Differences could be wide in the initial stages, narrow overtime (as inter-community ties are solidified) but will not disappear completely The alignment between the different stakeholders may also vary with the issue in question - there may be issues where refugee and host communities have a common view point; and in others, hosts and local authorities share more common interests 	<ul style="list-style-type: none"> Understand the different stakeholder interests and motivations Focus the early phases of DAR programmes on shared interests of all the stakeholders, and expand the programme as the common area of interest grows Identify other instruments by which to address the concerns of stakeholders not covered by the DAR programme - the programme cannot solve all local problems although there could be a tendency for local governments to view it as a panacea for local problems
Imbalances in power relationships	<ul style="list-style-type: none"> Refugees are at the "bottom" of the power hierarchy UNHCR because of the resources at its disposal wields a lot of influence and local authorities may have certain reservations to voice their critiques in the open 	<ul style="list-style-type: none"> Hold separate consultations with refugees and host communities, as well as combined ones in order to identify unique needs of each sub-group and common issues UNHCR staff to exercise caution and prudence in dealing with local authorities and be open to criticism
Gender roles and support to groups with special needs	<ul style="list-style-type: none"> Refugee women may have greater degree of empowerment than women in host communities There may be more consistent support to groups with special needs (the elderly, etc.) in refugees than in host communities Support to refugees may be greater in times of crises - eg. food shortages in event of droughts Local government programmes may not prioritize women's empowerment issues 	<ul style="list-style-type: none"> Ensure that gender gains of refugee women are not "lost" and are further developed in DAR programmes - provide opportunity to women to fully express needs and priorities during consultation processes Proactively reach out to groups with specific needs among local communities as they are often bypassed by development activities
Time and Costs	<ul style="list-style-type: none"> Time and costs of participation could be high There may be no budget allocations for designing programmes in a participatory manner Not all needs identified would eventually be funded 	<ul style="list-style-type: none"> Allocate budget resources for participation Address urgent needs while identifying more detailed programme elements through participatory approach
Skills of staff	<ul style="list-style-type: none"> Skills to do participatory planning could be limited among UNHCR and partner staff 	<ul style="list-style-type: none"> Undertake training activities prior to launching participatory approaches Tap external expertise to help in process

MATRIX OF PLA TOOLS AND TECHNIQUES ⁷² :		
	TOOLS AND TECHNIQUES	REMARKS
INFORMATION/DATA GATHERING	Spatial Data <ul style="list-style-type: none"> Mapping Transect walks and observation 	<ul style="list-style-type: none"> Maps: encourage discussion among community members, everyone can contribute, many different features of the village are represented Transect Walks: accompanied by several community members, the walk covers much of the village area
	Time-Related Data <ul style="list-style-type: none"> Time Lines Seasonal Calendars Daily Schedules 	<ul style="list-style-type: none"> Time-Lines: link dates with historical events like politics, disease outbreaks, periods of crisis, changes in natural resources, etc. Seasonal Calendars: reflects indigenous concepts of time Daily Schedules: outlines individual habits (differences in gender and class roles, etc.)
	Social/Health Data <ul style="list-style-type: none"> Semi-Structured Interviews (SSIs) Well-Being Sorting Body mapping Pie charts Venn diagrams Flow diagrams 	<ul style="list-style-type: none"> SSIs are informal conversations to gather information, based on predetermined topics, which can be modified as needed. They involve active listening with sensitive questioning and require recording for critical self-reviews. Individual Interviews: useful for one-on-one communication with community member about sensitive/private topics; Group Interviews: informal directed conversations with large heterogeneous group, therefore it is important for everyone member to have participation; Focus Group Discussions: less rigid, more spontaneity than group interviews; Probing: begin with 'what,' 'why,' etc. includes leading questions to encourage greater participation Well-Being Sorting: a.k.a. wealth-ranking, classifies households according to locally developed criteria Body Maps: illustrate human body and outline local health perceptions. Pie Charts: distinguish different characteristics of village (i.e. ethnic composition, education levels and literacy, etc.) Venn Diagrams: use circles to represent relationship/interaction between different village institutions/organizations Flow Diagrams: identifies problems and explores feasibility of proposed solutions, highlights gaps in communication and used as evaluation tool
RANKING, SCORING AND MATRICES	Ranking of Problems and Solutions <ul style="list-style-type: none"> Preference-Ranking and Scoring Pairwise Ranking Matrix Scoring 	<ul style="list-style-type: none"> Preference-Ranking and Scoring: useful for less than or equal to 5 issues/problems to be ranked or prioritized and tally results (but results aren't weighted) Pairwise Ranking: when there are many community members; each issue is compared to one other, and prioritized against it Matrix Scoring: presented in matrix form with solutions listed in the left column and criteria listed across the top row; criteria for evaluation include cost, technical feasibility, sustainability, equitability, time to completion and social/cultural acceptability
COMMUNITY ACTION PLAN (CAP)	Creation of Community Action Plan <ul style="list-style-type: none"> Forming a n Action Plan Committee Developing an Action Plan 	<ul style="list-style-type: none"> Forming an Action Plan Committee: at the end of the workshop, community members need to elect an Action Plan Committee, which will be in charge of developing and monitoring the implementation of the Action Plan. The APC should be represented by men and women, youth and elderly and special community groups (i.e. the disabled) Developing an Action Plan: there must be a well-defined strategy and concrete implementation plan, headed by the community. The Action Plan contains the following elements: name of the project, person/group in charge of project, project objectives and outputs, activities needed for output, resources needed, a time-line and a monitoring and evaluation plan
	Workshop Follow-Up <ul style="list-style-type: none"> PLA workshop report Community Sponsoring Agency (SA) Liaison 	<ul style="list-style-type: none"> PLA Workshop Report: summarizes the PLA activities, results and identified problems/solutions. This report is distributed to the SA and the community Community Sponsoring Agency (SA) Liaison: keeps momentum of the project; SA tries to ensure increased/adequate funds available to the community in order for successful Action Plans

⁷² Empowering Communities: Participatory Techniques for Community-based Programme Development, Volume 2: Participant's Handbook, Centre for African Family Studies (CAFS), Sessions 8-15, pp. 30-74.

Glossary

GLOSSARY

The glossary provides definitions of some of the terms used in the Handbook. It is not meant to be exhaustive. As usage of terms sometimes varies, we have presented alternatives for some definitions.

Age: age refers to the life cycle and therefore relates to persons of all ages, from children to the elderly.

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.

Appreciation-Influence-Control (AIC): a workshop-based technique, which promotes consideration for social, political and cultural factors by all stakeholders.

Assessment (and re-assessment): the set of activities necessary to understand a given situation, entails the collection, up-dating and analysis of data pertaining to the population of concern (needs, capacities, resources, etc.), as well as the state of infrastructure and general socio-economic conditions in a given location/area.

Beneficiary Assessment (BA): uses systematic study of beneficiaries' and stakeholders' perception, ensuring all concerns are heard and incorporated within policy and project structure.

Capacity building: a process by which individuals, institutions and societies develop abilities, individually and collectively, to perform functions, solve problems and set and achieve their goals.
Source: Guidelines on CCA/UNDAF (October 2003).

Care and Maintenance: 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".

- Chapter 4:** the programming Module in the UNHCR Manual on Operations Management that provides guidance on reporting, implementation and planning.
- Co-existence:** a bridge from the cessation of hostilities that eventually can lead to reconciliation. Initiatives related to the co-existence approach include peace education, sustainable community development, the socio-economic empowerment of refugees, the reintegration of child soldiers and partnership development.
Source: UNHCR/RLSS brochure for the June 2002 Imagine Co-existence Conference.
- Common Country Assessment (CCA):** the common instrument of the United Nations to analyze the development situation and identify key national development issues with a focus on the Millennium Development Goals and the other commitments, goals and targets of the Millennium Declaration and international conferences, summits, conventions and human rights instruments.
- Community Development:** a process to improve the economic, social and cultural conditions of communities. Community development aims to integrate refugees into their host countries or to reintegrate them upon return to their country of origin and to improve living standards for the whole community.
- 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: www.worldbank.org

GLOSSARY

- Community Action Plans:** a written document resulting from a participatory approach that outlines the activities a community would like to see implemented.
- Comprehensive Plans of Action (CPA):** CPAs establish linkages between humanitarian, development and political responses to refugee situations, involving a wide array of stakeholders, including: host countries; country of origin; humanitarian, developmental and political entities of the UN; as well as national and international NGOs. CPAs provide for a mix of solutions, which may extend to those other than the three traditional durable solutions, such as labour and orderly migration solutions. They can target a region and/or a shared refugee problem and/or address an entire displaced population. They also bring clarity to the role and commitment of all stakeholders.
- Consolidated Appeal Process (CAP):** a programming process through which national, regional and international relief systems are able to mobilize and respond to selective major or complex emergencies that require a system-wide response to humanitarian crisis.
- Decentralization:** the establishment of institutional and legal frameworks for decision making and the empowerment of sub-national institutions at the provincial, district, city, town and village levels in terms of fiscal, administrative, political and legal processes.
- Development Assistance for Refugees (DAR):** a programming approach which aims to place refugee concerns and 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.

GLOSSARY

Development through Local Integration (DLI):

a programming approach applied in protracted refugee situations where the state opts to provide opportunities for the gradual integration of refugees. It is based on the understanding that those refugees who are unable to repatriate and are willing to integrate locally will find a solution to their plight in their country of asylum. DLI is achieved through additional development assistance.

Source: Framework for Durable Solutions for Refugees and Persons of Concern at www.unhcr.ch

Durable solutions (for refugees):

lasting solutions through local integration in the country of asylum, voluntary repatriation to the country of origin or resettlement in a third country.

Source: Agenda for Protection at www.unhcr.ch

Emergency relief:

the immediate survival assistance to the victims of crisis and violent conflict. Most relief operations are initiated on short notice and have a short implementation period (project objectives are generally completed within a year). The main purpose of emergency relief is to save lives.

Source: OECD, Development Assistance Committee Guidelines on Conflict, Peace and Development Cooperation (May 1997).

Empowerment:

a process/phenomenon that allows people to take greater control over the decisions, assets, policies, processes and institutions that affect their [lives].

Source: DFID, Sustainable Livelihoods Guidance Sheets.

Evaluation:

as systematic and objective an analysis and assessment of the organization's policies, programmes, practices, partnerships and procedures as possible, focused on planning, design, implementation and impacts.

Focus Group Discussion:

a method to collect qualitative data/information from a group of persons pre-selected according to specific criteria.

GLOSSARY

- Fiscal decentralization:** implies substantial autonomy in revenue collection and expenditure for local governments, including the power to levy taxes and user charges.
- Financial capital:** denotes the financial resources that people use to achieve their livelihood objectives.
Source: www.livelihoods.org
- Gender:** gender is the term used to denote the social characteristics assigned to men and women. These social characteristics are constructed on the basis of different factors, such as age, religion, national, ethnic and social origin. They differ both within and between cultures and define identities, status, roles, responsibilities and power relations among the members of any society or culture. Gender is learned through socialisation. It is not static or innate, but evolves to respond to changes in the social, political and cultural environment.
- Gender Mainstreaming:** mainstreaming a gender perspective is the process of assessing the implications for women and men of any planned action, including legislation, policies or programmes, in any area and at all levels. It is a strategy for making women's as well as men's concerns and experiences an integral dimension in the design, implementation, monitoring and evaluation of policies and programmes in all political, economic and societal spheres, so that women and men benefit equally and inequality is not perpetuated. The ultimate goal is to achieve gender equality (ECOSOC Agreed Conclusions on Gender Mainstreaming, para.4, 1997. The United Nations system has committed itself to mainstreaming a gender perspective in all aspects of its work).
- Good practice:** an innovative, interesting and inspiring practice that has the potential to be transferred in whole or in part to other national contexts.
Source UNHCR: [Good Practice Guide to the Integration of Refugees in Central and Eastern Europe](#).

GLOSSARY

- Human capital:** represents the skills, knowledge, ability to labour and good health that together enable people to pursue different livelihood strategies and achieve livelihood objectives.
- Humanitarian assistance (relief):** aid that addresses the immediate needs of individuals affected by crises and is provided mainly by non-governmental and international organizations.
Source: EU, Linking Relief, Rehabilitation and Development. COM (2001).
- Human Development Index (HDI):** a measure of a country or region's achievements in terms of life expectancy, level of education and adjusted real income.
- Implementing partners:** partners who sign an implementing agreement and receive funding from UNHCR.
- Impact monitoring:** process of measuring progress towards achieving objectives (eg. welfare of returnees and refugees, changes in systems, institutions and processes of concern to UNHCR) against impact indicators (eg. more children have access to education facilities).
- Input monitoring:** looks at whether human, financial and material resources are mobilized and deployed as planned (eg. monitoring of disbursements to implementing partners).
- Institutions:** a) organizations or agencies that operate within the public and private sector and b) the mechanisms, rules and customs by which people and organizations interact with each other.
Source: DFID, Sustainable Livelihoods Guidance Sheets.
- Internally Displaced Persons (IDPs):** people who have fled from their homes as a result of armed conflicts, widespread violence, human rights violations or natural disasters, but who have not gone outside the borders of their country.

GLOSSARY

- Integrated approach:** a planning approach that brings together issues from across sectors, institutions and national and local levels, as well as different population groups.
- Iterative process:** the continual refinement of objectives as new knowledge and questions generated by investigation and analysis feed back into the investigative cycle.
Source: DFID, Sustainable Livelihoods Guidance Sheets.
- Joint programming:** the process through which the UN country team and national partners work together to prepare, implement, monitor and evaluate the UN's contribution to most effectively and efficiently achieve the MDGs and other international commitments related to the government's national development targets.
- Key informants:** individuals of a particular background (eg. nurses, teachers and poor farmers) who provide their views on various issues.
Source: DFID Sustainable Livelihoods Guidance Sheets.
- Livelihoods:** a combination of the resources used and the activities undertaken in order to live. Resources include individual skills (human capital), land (natural capital), savings (financial capital), equipment (physical capital), as well as formal support groups and informal networks (social capital).
Source: DFID Sustainable Livelihoods Guidance Sheets.
- Local Settlement:** 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.
- Millennium Development Goals (MDGs):** a summary of development goals set at international conferences and world summits during the 1990s.

- Monitoring:** an ongoing review and control of the implementation of a project to ensure that inputs, work schedules and agreed activities proceed according to plans and budgetary requirements.
- Natural capital:** the natural resource stocks from which resource flows and services useful for livelihoods are derived.
Source: www.livelihoods.org
- Objectives-Oriented Project Planning (ZOPP):** a project planning technique for stakeholders to come together in workshops and to set priorities and plan for implementation and monitoring.
- Operational partners:** governmental, inter-governmental and non-governmental organizations and UN agencies that work with UNHCR to protect and assist refugees/returnees and to achieve durable solutions.
- Participatory approach:** an approach to development and/or government in which key stakeholders (and especially the proposed beneficiaries) of a policy or intervention are closely involved in the process of identifying problems and priorities and have considerable control over analysis and the planning, implementation and monitoring of solutions.
- Participatory Rural Appraisal:** a growing family of approaches, methods and behaviours to enable people to share, enhance and analyze their knowledge of life and conditions and to plan, act, monitor and evaluate.
Source: R. Chambers (1999). Relaxed and Participatory Appraisal, Notes On Practical Approaches And Methods. Notes For Participants In PRA Familiarisation Workshops In The Second Half of 1999 IDS/Sussex.
- Peace building:** efforts aimed at preventing the outbreak, recurrence or continuation of armed conflict and therefore encompassing a wide range of political, developmental, humanitarian and human rights programmes and mechanisms.

GLOSSARY

- Performance monitoring:** process of measuring progress towards an output against performance indicators (eg. school rehabilitation is complete). Performance indicators highlight what to monitor closely during implementation and, together with the outputs, should be the focus of partner reporting.
- Physical capital:** this comprises the basic infrastructure and producer goods needed to support livelihoods.
Source: www.livelihoods.org
- 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.
- Poverty Reduction Strategy Paper (PRSP):** a country's macro-economic, structural and social policies and programmes to promote growth and reduce poverty.
- 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."
Source: EC/54/SC/CRP.14 Executive Committee of the High Commissioner's Programme, UNHCR, June 10, 2004.
- Protection:** all activities aimed at ensuring the enjoyment of the rights, on equal terms, of women, men, girls and boys of concern to UNHCR in accordance with the letter and spirit of relevant bodies of law.
- Quick Impact Projects (QIPs):** small, rapidly implemented projects intended to help create conditions for durable solutions through rapid interventions. They can, for example, provide for small-scale initial rehabilitation and enable communities to take advantage of development opportunities.

Recovery: a focus on how best to restore the capacity of the government and communities to rebuild and recover from crisis and to prevent relapses into conflict. In so doing, recovery seeks not only to catalyze sustainable development activities, but also to build upon earlier humanitarian programmes to ensure that their inputs become assets for development.

Source: Role of UNDP in crisis and post-conflict situations DP/2001/4 para 48.

Registration: a means to help protect against “refoulement”, arbitrary arrest and detention by making people known to UNHCR and the host government as persons of concern.

Rehabilitation: the restoration of social and economic infrastructure destroyed during conflict to enable communities to pursue sustainable livelihoods.

Or

Actions which enable the affected population to resume more or less “normal” patterns of life. These actions constitute a transitional phase and can [occur] simultaneously with relief activities, as well as further recovery and reconstruction activities.

Source: ILO, Generic Crisis Response Modules.

Reconstruction: the (re)establishment of political order, institutions and productive capacity to create a base for sustainable development.

Source: World Bank.

Or

Developmental interventions which not only seek to build, repair damage or return to the status quo ante, but also address medium- and long-term needs and the need for improvements in policies, programmes, systems and capacities to avert the recurrence of crisis and to reach higher levels of employment and standards of living.

Source: ILO, Generic Crisis Response Modules.

Reintegration:

the achievement of a sustainable return i.e. the ability of returnees to secure the political, economic and social conditions to maintain their life, livelihood and dignity.

Source: Macrae, Joanna. Aiding Peace... and War: UNHCR, Returnee Reintegration, and the Relief-Development Debate (Geneva, UNHCR New Issues in Refugee Research Working Paper No. 14, December 1999).

Or

A process which enables former refugees and displaced people to enjoy a progressively greater degree of physical, social, legal and material security.

Source: UNHCR, The State of the World's Refugees (Geneva, 1997).

Returnees:

refugees who have returned to their country or community of origin.

Rights-based approach:

a conceptual framework for the process of human development that is normatively based on international human rights standards and operationally directed to promoting and protecting human rights. [Mary Robinson, UN High Commissioner for Human rights 2001].

Or

Describes situations not simply in terms of human needs, or developmental requirements, but in terms of society's obligations to respond to the inalienable rights of individuals, empowers people to demand justice as a right, not as a charity, and gives communities a moral basis from which to claim international assistance when needed. [UN Secretary-General 1998].

Source: Celestine Nyamu-Musembi and Andrea Cornwall: What is the "rights-based approach" all about? Perspectives from international development agencies, November 2004 IDS Working Paper 234.

Sample Surveys: a tool for investigating the characteristics of a particular population - the population may be one of households, individuals, farms, etc. To facilitate the investigation a sample of the population is surveyed and studied. Usually, though not always, the sample is selected at random to increase the chances of it being representative of the whole population.

Source: www.livelihoods.org

Sector-wide approach (SWAP): the prioritization of sector programming as a key intervention used by development agencies.

Self-Esteem, Associative Strengths, Resourcefulness, Action Planning and Responsibility (SARAR): a participatory approach geared at the instructing of local trainers and facilitators and draws on local knowledge to strengthen local capacities.

Self-reliance: can be defined as the ability of an individual, household or community to depend (rely) on their own resources (physical, social and natural capital or assets), judgement and capabilities with minimal external assistance in meeting basic needs, and without resorting to activities that irreversibly deplete the household or community resource base.

Or

Self Reliance is the social and economic ability of an individual, a household or a community to meet essential needs (including food, water, shelter, personal safety, health and education) in a sustainable manner and with dignity - developing and strengthening livelihoods of people of concern, and reducing their vulnerability and long-term reliance on humanitarian assistance. (Handbook for Self-Reliance UNHCR 2005).

GLOSSARY

- Semi-Structured Interviews:** an interview method using checklists in which an interviewer seeks answers in the course of an interview. Such interviews tend to be less formal and more open-ended than those conducted by an enumerator using a questionnaire.
- Social Assessment (SA):** a systematic study of social processes and development factors that influence project impacts and results.
- Social capital:** taken to mean the social resources upon which people draw in pursuit of their livelihood objectives - encompass networks and connections; membership of formalized groups; relationships of trust, reciprocity and exchanges; informal safety nets.
Source: www.livelihoods.org
- Situation analysis:** in UNHCR is a systematic process of information gathering through which the priority problems facing people of concern and their proposed solutions are identified and analyzed, and these are then given a central role in formulating protection strategies and programme plans, and in decisions on resource allocation and action.
Source: A Guide to Situation Analysis in UNHCR - Draft 2004.
- Sustainability:** the ability of a person/community/country to cope with and recover from the stress and shocks of conflict while maintaining (not undermining) the natural, social, economic or institutional resources which form the basis of her/his/its existence.
Or
Evidence of local ownership of output and the existence of systems/institutions to carry forward progress or to cement gains.
- Systematic Client Consultation (SCC):** a group of methods for improving communication among staff, direct and indirect beneficiaries and stakeholders of projects, government agencies and service providers, so that projects and policies are demand driven.

**Transition
(for the UN):**

the period in a crisis when external assistance is most critical to support or underpin still fragile cease-fires or peace processes by helping to create the conditions for political stability, security, justice and social equity.

Source: UNDG/ECHA Working Group on Transition.

TeamUp:

emphasizes team building within the ZOPP method using a computer software package (PC/TeamUp) that focuses on team-oriented research, project design, planning, implementation and evaluation for stakeholders.

**United Nations
Development
Assistance
Framework
(UNDAF):**

the common strategic framework for UN operational activities at the country level that provides a collective, coherent and integrated response to national priorities and needs.

Venn Diagrams: diagrams of circular (often overlapping) areas used to represent relationships. They are a useful means of showing the links between different types of groups in a clear, graphic format.

Source: www.livelihoods.org

**Voluntary
repatriation:**

the free and voluntary return of refugees to their country of origin in safety and dignity.

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Useful Websites

USEFUL WEBSITES

AfDB	www.afdb.org
CIDA	www.acdi-cida.gc.ca
DFID	www.dfid.gov.uk www.livelihoods.org
EC	www.europa.eu.int
FAO	www.fao.org
Fewer	www.fewer.org
GTZ	www.gtz.de
IFRC	www.ifrc.org
ILO	www.ilo.org
International Alert	www.international-alert.org
IOM	www.iom.int
Italian Co-operation	www.esteri.it
JICA	www.jica.go.jp
OCHA	www.reliefweb.int
OECD	www.oecd.org/dac/donorpractices
Safer World	www.saferworld.co.uk
SIDA	www.sida.se
UNDG	www.undg.org
UNDP	www.undp.org/governance
UNICEF	www.unicef.org
UNIFEM	www.unifem.org
UK	www.fco.gov.uk
USAID	www.usaid.gov
WFP	www.wfp.org
World Bank	www.worldbank.org/cas www.worldbank.org/cdf www.worldbank.org/poverty/strategies