

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

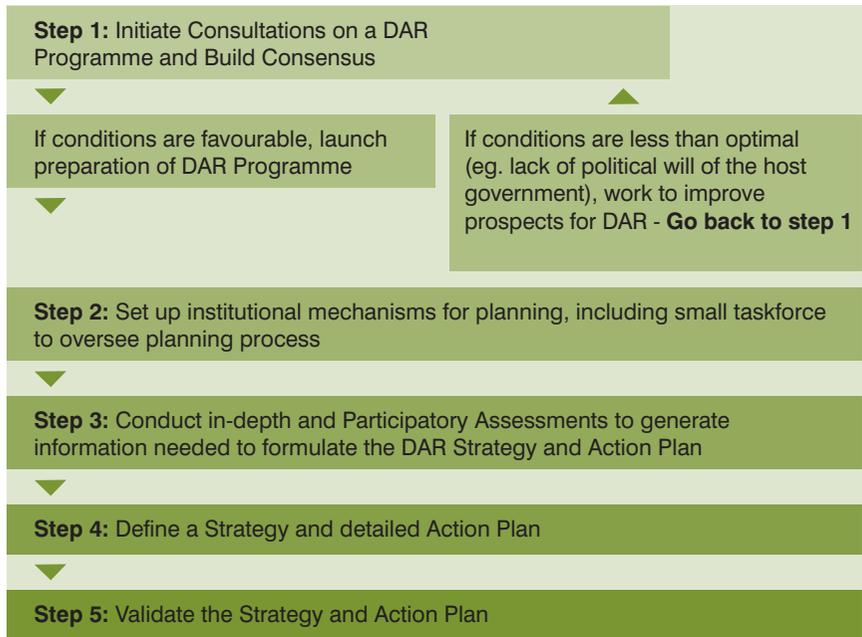
Scenario/Settings	Main Features	Possible Actions for DAR Programming
 <p>“Breakthrough” Situations <i>Prospects for peace are at hand but no peace agreements signed yet - repatriation a distinct possibility</i></p>	<p>Characteristics</p> <ul style="list-style-type: none"> Improved prospects for peace - 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.

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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.

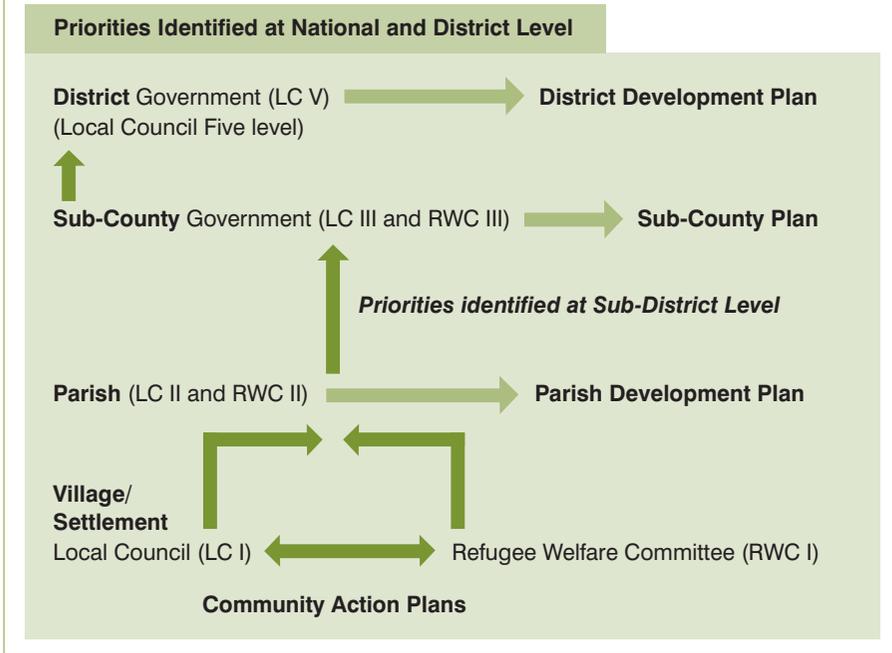
A summary of the types of assessments to undertake and the tools that can be used is presented in Table 3.2. Assessment tools to support planning are elaborated in PART III of the Handbook (Appendix I).

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.

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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.

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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.

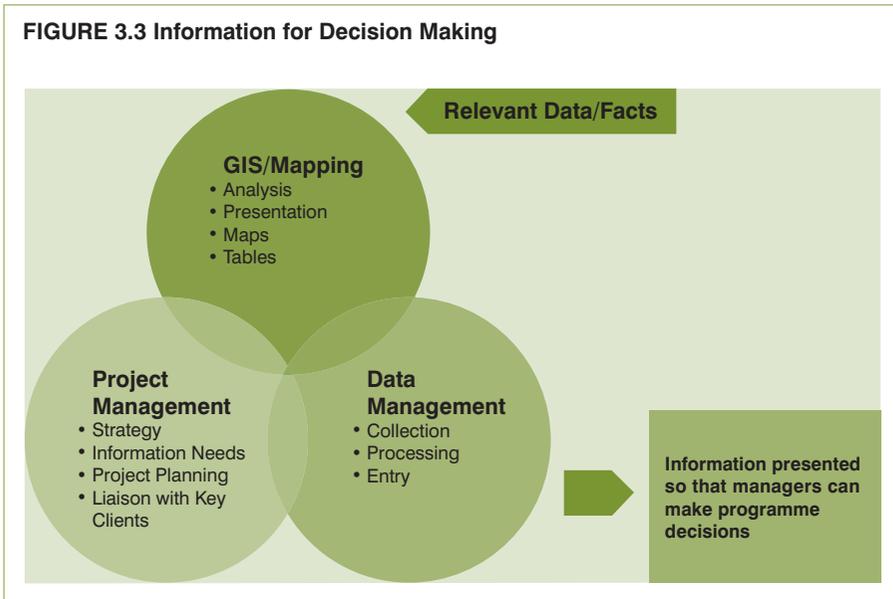
A summary of the Zambia Initiative sector interventions is presented in Annex 3.5.

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-visualse 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*.

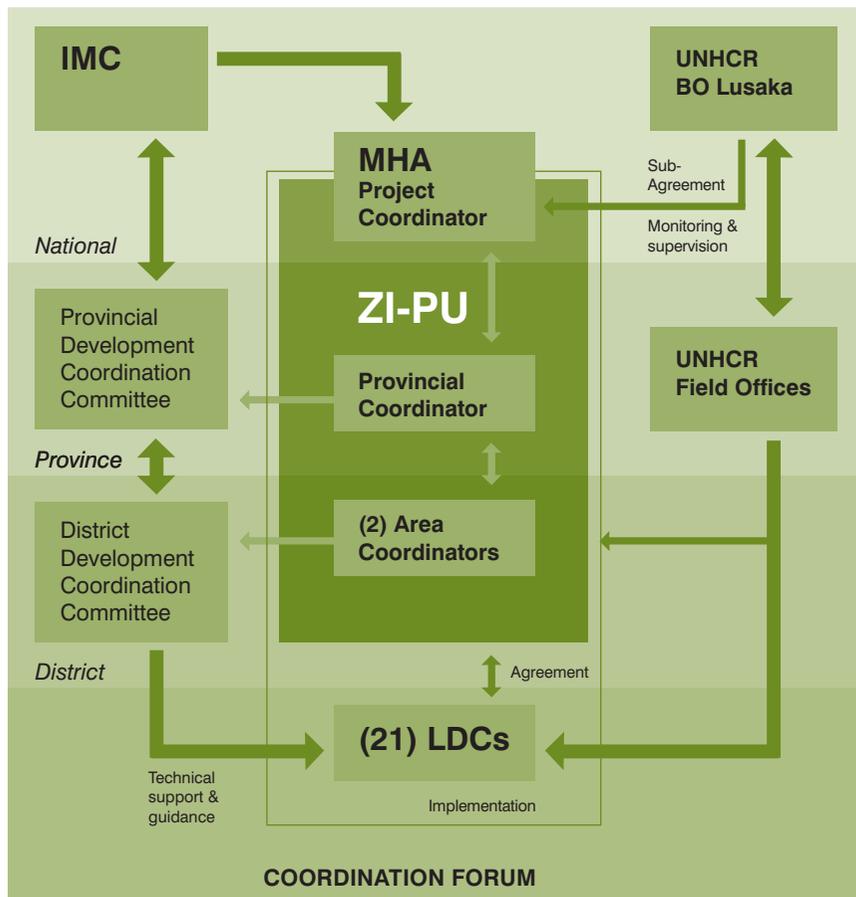
MODULE FOUR

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).