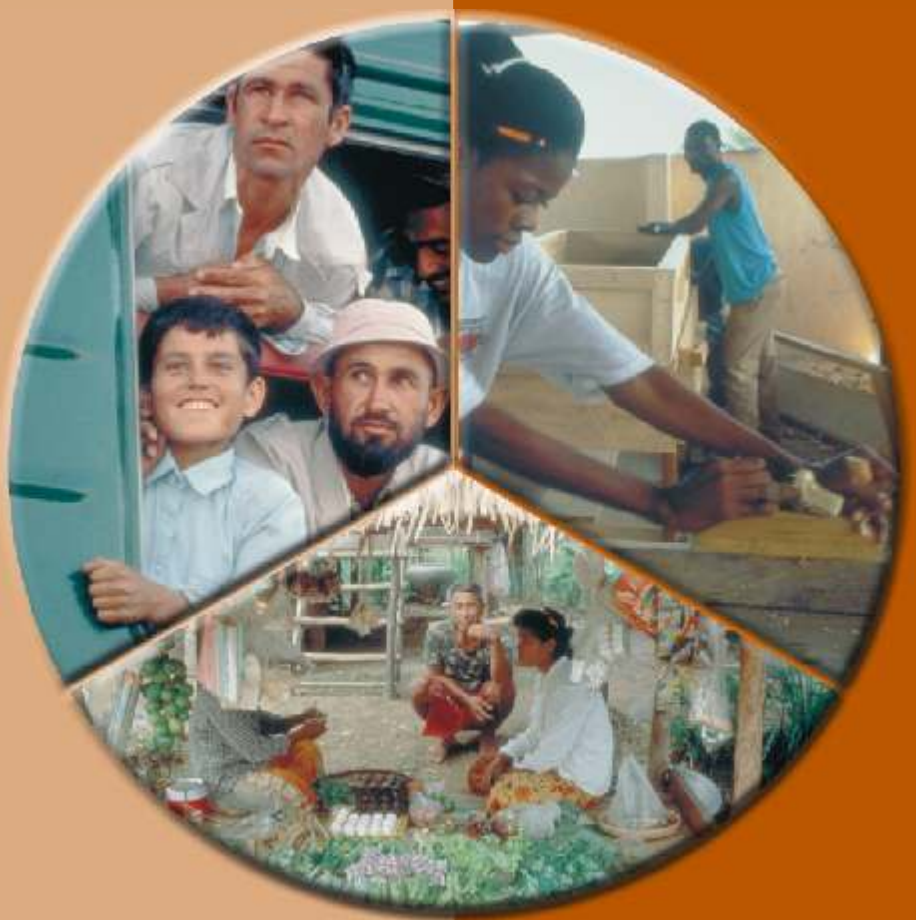
# Handbook for Repatriation and Reintegration Activities



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

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# Handbook for Repatriation and Reintegration Activities


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PHOTO CREDITS

Tajik refugees returning from Afghanistan. Khatlon Province, Tajikistan. UNHCR/P. Labreveux/07.1994.

A women's centre at the Bududuram camp for Liberian refugees in Ghana provides training and loans so that refugee women can learn new skills and open small businesses, such as carpentry, sewing, hairdressing and fish-smoking. UNHCR/L. Taylor/03.1995.

Voluntary repatriation in South East Asia. At Chamkar Samrong returnee settlement near Battambang, a family sells vegetables grown from seeds which they received under a Quick Impact Project. UNHCR/A. Roulet/11.1992

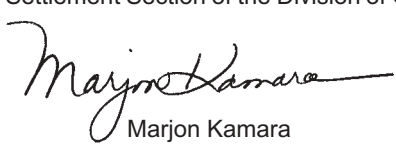
# FOREWORD

The Handbook for Repatriation and Reintegration Activities ("the Handbook") is a guide for United Nations High Commissioner for Refugees (UNHCR) and partner staff in the field to plan, implement, monitor and evaluate repatriation and reintegration activities. It translates the Repatriation, Reintegration, Rehabilitation and Reconstruction (the 4Rs) component of the High Commissioner's Framework for Durable Solutions for Refugees and Persons of Concern (May 2003) into an operational tool for the field. The Handbook should be used in conjunction with the UNHCR Handbook on Voluntary Repatriation (issued in 1996 and under revision), which addresses repatriation issues in more detail.

The Handbook synthesizes lessons learned by UNHCR and its partners over the past two decades. In particular, it seeks to reflect the latest thinking on transition issues by drawing on the work of the United Nations Development Group/Executive Committee for Humanitarian Affairs (UNDG/ECHA) Working Group on Transition Issues (which issued its final report in February 2004) and the experiences of UNHCR, sister United Nations agencies and other partners. The Handbook also reflects the many field experiences of the 4Rs pilot countries (Afghanistan, Eritrea, Sri Lanka and Sierra Leone).

The Handbook seeks to convey UNHCR's strong commitment to joint assessments, planning and implementation with governments, sister UN agencies, donor agencies, multi-lateral institutions, NGOs and other partners. There is a strong conviction that, in the absence of such joint efforts, reintegration programmes may generate a great deal of activity, but not lead to lasting post-conflict recovery. An effective response to post-conflict transitions entails not simply "doing more", but rather "doing things differently". The Handbook, therefore, seeks to broaden the vision of UNHCR staff involved in reintegration, so that they may be better and more credible partners in the field. If the Handbook is diligently followed, the phasing in of development activities will be more predictable and UNHCR's responsibilities more clear.

To complement the Handbook, training materials will be developed and a series of training workshops conducted starting in 2004. Moreover, a CD-ROM version of the Handbook will be released. In the medium term, there are plans to establish a knowledge network on reintegration issues in order to promote mutual learning and the sharing of experiences among all partners. Readers and field practitioners who use this Handbook are invited to share their views and experiences with the Reintegration and Local Settlement Section of the Division of Operational Support at UNHCR Headquarters.



Marjon Kamara
Director, Division of Operational Support

# ACKNOWLEDGEMENTS

The Reintegration and Local Settlement Section (RLSS) in the UNHCR Division of Operational Support (DOS) spearheaded the preparation of the Handbook for Repatriation and Reintegration Activities. It was based on extensive consultations with many partners (governments, donors, NGOs, UN agencies, etc.) and UNHCR staff both in the field and at headquarters in Geneva. We would like to express our gratitude to all those who contributed.

We wish to thank in particular the governments of Canada, Denmark, Norway and Sweden for participating in the validation workshop held in Geneva on 1-2 December 2003 and for providing many valuable inputs. We also wish to thank the government of the Federal Republic of Germany for its valuable feedback.

We are also grateful for the contributions and support of sister UN agencies (UNDP, UNICEF, FAO, ILO, WHO and WFP) and of CARE International. During his field missions to Eritrea and Sierra Leone in September 2003, the consultant met with many people and organisations. We wish to thank them for their many useful ideas.

Many colleagues took part in the preparation of the Handbook. We would like to highlight the contributions of staff from UNHCR offices in Angola, Eritrea, Liberia, Sierra Leone, and Sudan, and the Regional Technical Support Services in Nairobi for their inputs in the first draft of the Handbook during the field-based workshop held in Accra, Ghana on 15-17 October 2003. We would also like to thank colleagues who actively contributed to the preparation of the Handbook through an extensive electronic field-based network. In particular, we would like to thank staff from UNHCR Sub-offices in Afghanistan who contributed extensively to the first draft.

A Headquarters-based support group composed of regional bureaux, the Department of International Protection (DIP), the Division of Communication and Information, the Evaluation and Policy Analysis Unit (EPAU) and various units in the Division of Operational Support also contributed to the preparation of the Handbook. We would like to highlight the contributions of the Central Asia, South West Asia, North Africa, Middle East, Africa, Asia Pacific and Americas bureaux and various units within DOS, especially the Women, Children and Community Development Section and the Programme Coordination and Operations Support Section.

Finally, we would like to thank Niels Harild, Chief of RLSS, for his stewardship of the process, as well as Céline Heinbecker, Junior Professional Consultant in RLSS, for her assistance in editing the Handbook.

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May 2004

# EXECUTIVE SUMMARY

In the Framework for Durable Solutions for Refugees and Persons of Concern, the High Commissioner proposes an integrated approach to post-conflict situations known as "the 4Rs" (Repatriation, Reintegration, Rehabilitation and Reconstruction), the aim of which is to bring together humanitarian and development actors, create a conducive environment in countries of origin to prevent the recurrence of mass outflows and facilitate sustainable repatriation and reintegration. The Handbook translates the 4Rs component of the Framework for Durable Solutions into an operational tool for the field. In particular, it aims to guide UNHCR and partner staff working on reintegration activities.

The Handbook is divided into three parts:

- **PART A:** Understanding the Context: Where Repatriation and Reintegration Fit
- **PART B:** How to Plan, Implement, Monitor and Evaluate Repatriation and Reintegration Operations
- **PART C:** Institutional Support Mechanisms

**PART A** of the Handbook explains the broader context within which repatriation and reintegration take place; in other words, it helps to determine how they relate to: (i) UNHCR's core mandate; (ii) the 4Rs and transition processes; and (iii) development processes. It provides an overview of different humanitarian and development planning tools and processes and suggests how to link them to reintegration. It offers an overview of transition issues and associated challenges. This part of the Handbook aims to help UNHCR staff to better plan and implement repatriation and reintegration activities with partners while addressing UNHCR's core concerns of protection and solutions. It aims also to help ensure the sustainability of repatriation and reintegration by connecting them with rehabilitation and reconstruction.

**PART B** of the Handbook provides detailed guidance on how to plan, implement, monitor and evaluate repatriation and reintegration activities based on the 4Rs programme concept and emphasizes the need to begin reintegration planning early on in the countries of asylum and origin. The Handbook advocates for an integrated, area-based and participatory approach in partnership with all relevant stakeholders, including beneficiary

communities, governments, UN agencies, donors, civil society organisations and the private sector. It underlines the need to deal with beneficiary communities in areas of return (i.e. returnees, local communities and IDPs, where applicable) in a holistic manner and to link all phases of the post-conflict recovery process. For UNHCR and partner field staff, this section suggests how to participate more effectively in joint assessments, planning and implementation. It also provides guidance on formulating UNHCR-specific repatriation and reintegration strategies, and plans and includes factors to take into account in determining the reintegration activities that UNHCR should support.

**PART C** of the Handbook discusses institutional support mechanisms (internal to UNHCR and those involving sister UN agencies), information management and the need to establish support mechanisms in the early stages of repatriation and reintegration operations.

The political, security, social and economic contexts within which repatriation and reintegration take place vary from one situation to another. Readers should, therefore, tailor the advice in the Handbook to suit their given situation.

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# ACRONYMS

| | |
|---|---|
| 3WRD: | Who does What and Where in Relief and Development |
| 4Rs: | Repatriation, Reintegration, Rehabilitation and Reconstruction |
| AB: | Annual Budgeting (UNHCR) |
| ACP: | Africa, Caribbean and Pacific |
| ADB: | Asian Development Bank |
| ADF: | African Development Fund (AfDB) |
| AfDB: | African Development Bank |
| BCPR: | Bureau for Crisis Prevention and Recovery (UNDP) |
| BO: | Branch Office (UNHCR) |
| BPRM: | Bureau for Population, Refugees and Migration (USA) |
| CAP: | Consolidated Appeals Process (UN) |
| CAS: | Country Assistance Strategy (World Bank) |
| CBO: | Community-based Organisation |
| CCA: | Common Country Assessment (UN) |
| CDF: | Comprehensive Development Framework (World Bank) |
| CDPF: | Country Development Programming Framework (Canada) |
| CEP: | Community Empowerment Project |
| CFW: | Cash for Work |
| CHAP: | Common Humanitarian Action Plan (UN) |
| CIDA: | Canadian International Development Agency |

| | |
|---|---|
| CIS: | Commonwealth of Independent States |
| COA: | Country of Asylum |
| COO: | Country of Origin |
| COP: | Country Operations Plan (UNHCR) |
| CPAP: | Country Programme Action Plan (UN) |
| CPD: | Country Programme Document (UN) |
| CPIN: | CAS Public Information Note (World Bank) |
| CPRU: | Conflict Prevention and Recovery Unit (World Bank) |
| CSO: | Civil Society Organisation |
| CSS: | Country Support Strategy (EU) |
| DAC: | Development Assistance Committee (OECD) |
| DANIDA: | Danish International Development Agency |
| DAR: | Development Assistance for Refugees (UNHCR) |
| DCI: | Division for Communication and Information (UNHCR) |
| DDR: | Disarmament, Demobilization and Reintegration |
| DDRRP: | Disarmament, Demobilization, Repatriation and Reintegration Programme |
| DEX: | Direct Execution modality (UNDP) |
| DFID: | Department for International Development (UK) |
| DGF: | Development Grant Facility (World Bank) |
| DHRM: | Division of Human Resources Management (UNHCR) |
| DIP: | Department of International Protection (UNHCR) |

| | |
|---|---|
| DLI: | Development through Local Integration (UNHCR) |
| DOS: | Division of Operational Support (UNHCR) |
| DRC: | District Recovery Committee |
| ECHA: | Executive Committee for Humanitarian Affairs (UN) |
| ECOSOC: | Economic and Social Affairs Committee (UN) |
| EIIP: | Employment-intensive Investment Programme (ILO) |
| EPAU: | Evaluation and Policy Analysis Unit (UNHCR) |
| EU: | European Union |
| ExCom: | Executive Committee (UNHCR) |
| FAO: | Food and Agriculture Organisation |
| FBARS: | Field-based Registration System (UNHCR) |
| FGD: | Focus Group Discussion |
| FO: | Field Office (UNHCR) |
| FOM: | Field Office Memorandum (UNHCR) |
| GA: | General Assembly (UN) |
| GIMU: | Geographic Information Mapping Unit (UNHCR) |
| GIS: | Geographic Information System |
| HIPC: | Heavily Indebted Poor Country (World Bank) |
| HQ: | Headquarters |
| HSTF: | Human Security Trust Fund (UN and Japan) |
| IASC: | Inter-agency Standing Committee |

| | |
|---|---|
| IBRD: | International Bank for Reconstruction and Development (World Bank) |
| IDA: | International Development Association |
| IDP: | Internally Displaced Person |
| IFI: | International Financial Institution |
| IFP/Crisis: | InFocus Programme for Crisis Response (ILO) |
| IGA: | Income-generating Activities |
| IHA: | International Humanitarian Assistance programme (CIDA) |
| ILO: | International Labour Organisation |
| IMF: | International Monetary Fund |
| IOM: | Inter-office Memorandum (UNHCR) |
| IP: | Implementing Partner (UNHCR) |
| I-PRSP: | Interim Poverty Reduction Strategy Paper (World Bank) |
| IRP: | Integrated Recovery Programme (Eritrea) |
| JICA: | Japan International Cooperation Agency |
| JSA: | Joint Staff Assessment (IMF and World Bank) |
| LED: | Local Economic Development (ILO) |
| LOU: | Letter of Understanding |
| LRRD: | Linking Relief, Rehabilitation and Development (EU) |
| MDGs: | Millennium Development Goals (UN) |
| M&E: | Monitoring and Evaluation |
| MOU: | Memorandum of Understanding |

| | |
|---|---|
| NaCSA: | National Council for Social Action (Sierra Leone) |
| NDP: | National Development Plan |
| NFI: | Non-food Items (UNHCR) |
| NGO: | Non-governmental Organisation |
| NIP: | National Indicative Programme (EU) |
| NORAD: | Norwegian Agency for Development Cooperation |
| NRS: | National Recovery Strategy (Sierra Leone) |
| NTGL: | National Transition Government of Liberia |
| OCHA: | Office for the Coordination of Humanitarian Affairs (UN) |
| OD: | Operations Department (WFP) |
| ODA: | Official Development Assistance |
| ODI: | Overseas Development Institute (UK) |
| OECD: | Organisation for Economic Cooperation and Development |
| OHCHR: | Office of the High Commissioner for Human Rights |
| OMS: | Operational Management System (UNHCR) |
| PBRS: | Peace Building and Recovery Strategy (Sierra Leone) |
| PCF: | Post-conflict Fund (World Bank) |
| PGDS: | Population and Geographic Data Section (DOS/UNHCR) |
| PMU: | Programme Management Unit |
| POP: | People-oriented Planning (UNHCR) |
| PRA: | Participatory Rural Appraisal |

PRODERE: The Development Programme for Displaced Persons, Refugees and Returnees in Central America

PRRO: Protracted Relief and Recovery Operations (WFP)

PRSP: Poverty Reduction Strategy Paper (World Bank)

QIP: Quick Impact Project (UNHCR)

RC: Resident Coordinator (UN)

RFTF: Results Focused Transition Framework

RLSS: Reintegration and Local Settlement Section (UNHCR)

RSS: Regional Support Strategy (EU)

SB: Supplementary Budget (UNHCR)

SEED: Small Enterprise Development (ILO)

SFP: Social Finance Programme (ILO)

SGBV: Sexual and Gender-based Violence

SIP: Sector Investment Plan

SLIS: Sierra Leone Information System

SO: Sub-office (UNHCR)

SRF: Special Relief Fund (AfDB)

SWAP: Sector-wide Approach

TAF: Technical Assistance Fund (AfDB)

TAG: Transitional Appeals Guidelines (UNDG)

TBL: Transitional Budget Line (Norway)

| | |
|---|---|
| TOR: | Terms of Reference |
| TST: | Transition Support Team (UNCT, Sierra Leone) |
| TSS: | Transitional Support Strategy (World Bank) |
| UAM: | Unaccompanied Minor |
| UNCT: | United Nations Country Team |
| UNDAF: | United Nations Development Assistance Framework |
| UNDG: | United Nations Development Group |
| UNDP: | United Nations Development Programme |
| UNHCR: | United Nations High Commissioner for Refugees |
| UNICEF: | United Nations Children's Fund |
| UNIFEM: | United Nations Development Fund for Women |
| UNMIL: | United Nations Mission in Liberia |
| UNV: | United Nations Volunteer |
| UNOPS: | United Nations Office for Project Services |
| USAID: | United States Agency for International Development |
| WB: | World Bank |
| WFP: | World Food Programme |
| WHO: | World Health Organisation |
| ZRC: | Zonal Recovery Committee (Eritrea) |

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## LIST OF SYMBOLS

Denotes suggestions for further reading on a particular topic.

Denotes a tip or particularly important point.

Denotes a definition box.

Denotes a reference to a section within the Handbook

# INTRODUCTION

The UNHCR Handbook for Repatriation and Reintegration Activities translates the 4Rs concept into an operational tool for use in the field. It builds upon the UNHCR Operational Framework for Repatriation and Reintegration Activities issued in 2000, and incorporates experiences from 4Rs pilots in the field and results of the United Nations Development Group (UNDG)/United Nations Executive Committee for Humanitarian Affairs (ECHA) Working Group On Transition Issues.

## Purpose of the Handbook

The purpose of the Handbook is to provide an updated and practical guide to UNHCR field and partner staff in line with the UNHCR Framework for Durable Solutions for Refugees and Persons of Concern. It aims to:

- Make new concepts and approaches in transition and reintegration available to UNHCR field staff to strengthen their role and approaches and make them more credible partners in UN Country Teams (UNCT) in post-conflict situations, **especially now that UNHCR is a member of the United Nations Development Group** (UNDG);

- Foster partnerships; and

- Improve the sustainability of joint interventions to find durable solutions for displaced populations.

The Handbook will help adapt UNHCR's internal programming approach to reintegration operations by incorporating aspects of it in relevant sections of Chapter 4 (Operations Management) of the UNHCR Manual.

Field staff have called for a practical and flexible tool to guide the assessment, planning, implementation, monitoring and evaluation of reintegration operations, as well as to provide information on development planning processes. While reintegration encompasses all sectors and priority issues, field staff have stressed that the Handbook not be "all inclusive", but that it refer to other relevant guidelines, tools, etc. The Handbook is, therefore, less about *what* to do and more about *how* to do it.

## Target Audience

The Handbook targets:

- **The strategic level:** The UNHCR Branch Office manager facilitating interaction in the UNCT on transition, as well other UNCT members, donors and other partners;
- **The operational level:** The programme officer and other staff at the UNHCR Branch Office, Sub-office and Field Office (as well as partner staff in government, UN agencies, NGOs, etc.) dealing with the daily aspects of programming and implementation; and
- **All actors** who need to know how UNHCR carries out reintegration programmes.

## Structure of the Handbook

The Handbook comprises three main parts:

**PART A:**
**Understanding the context: where repatriation and reintegration fit**

- ❑ UNHCR's mandate;
- ❑ The 4Rs and transition processes; and
- ❑ Linkages with development processes.

**PART B:**
**How to plan, implement, monitor and evaluate repatriation and reintegration operations**

**PART C:**
**Institutional support mechanisms**

## Preparation of the Handbook

- A working group comprising UNHCR staff members of various sections of the Division of Operational Support (DOS), regional bureaux, the Department of International Protection (DIP) and the Evaluation and Policy Analysis Unit (EPAU) chaired by the Chief of the Reintegration and Local Settlement Section, guided and oversaw the development of the Handbook;

- An electronic network of selected field-based staff provided direct inputs;

- Existing literature on websites or at UNHCR Headquarters, the United Nations Development Programme/Bureau for Crisis Prevention and Recovery (UNDP/BCPR), the United Nations Children's Fund (UNICEF) Emergency Response Unit, the International Labour Organization (ILO) and the Post-conflict Fund Unit (PCF) of the World Bank formed the research foundation for the Handbook;

- The consultant visited 4Rs programmes in Eritrea and Sierra Leone to consult UNHCR, UNDP, UNICEF and other partners' field staff;

- During a three-day design workshop in Accra, Ghana (15-17 October 2003), field-based staff from Angola, Eritrea, Liberia, Sierra Leone, Sudan and the Regional Technical Support Services-Nairobi reviewed the initial draft; and

- Geneva-based UNHCR and other UN staff (UNDP, UNICEF, ILO and FAO), UNHCR field staff from Afghanistan, Eritrea, Sudan and Nairobi as well as donors (Canada, Denmark, Norway and Sweden) and an NGO (CARE International) contributed inputs at a validation workshop in Geneva (1-2 December 2003).

## Key Developments since 2000

The UNHCR Operational Framework for Repatriation and Reintegration Activities, which this Handbook replaces, was issued in 2000. Since then there have been many developments that influenced the preparation of the Handbook.

- The UNHCR Framework for Durable Solutions for Refugees and Persons of Concern
  In his opening statement to the UNHCR Executive Committee in 2001 and

in response to suggestions made by some governments, the High Commissioner announced a renewed effort to find durable solutions for refugees. He stressed the need to find a more effective way to close the gap between emergency relief and longer-term development. In 2003, the High Commissioner issued the Framework for Durable Solutions for Refugees and Persons of Concern, which lays out the 4Rs approach. The 4Rs programme concept was further developed with UNDP, the World Bank and UNICEF and initiated in pilot programmes in Afghanistan, Eritrea, Sierra Leone and Sri Lanka. The pilot programmes, though still in progress during 2003, provided valuable lessons to guide the development of the Handbook.

- UNDG/ECHA Working Group on Transition Issues

  In response to a 2002 resolution of the Economic and Social Affairs Council (ECOSOC) Humanitarian Affairs segment urging "the UN system to strengthen and align its existing planning tools, such as the Consolidated Appeals Process, and, where they exist, Common Country Assessments and UN Development Assistance Frameworks, in order to facilitate the transition from relief to development and to better reflect disaster risk management", the Executive Committee of Humanitarian Affairs (ECHA) agreed in September 2002 to establish the joint ECHA and UN Development Group (UNDG) Working Group On Transition Issues.

  The working group, of which UNHCR is an active member, agreed that its overall objective is to provide UNCTs with clear and consolidated guidance on the use of existing tools to determine appropriate UN approaches to countries in transition. The working group reviewed eight country operations in 2003 (Afghanistan, Angola, the Great Lakes, the Republic of Congo, Sierra Leone, Sri Lanka, Tajikistan and Timor Leste) and issued its final report in February 2004. The Handbook reflects that work.

- Other Developments

  The Handbook factored in the following internal UNHCR documents (existing, recently revised or in the pipe-line): the Imagine Co-existence Checklist, Micro-finance Guidelines, Livelihood and Self-reliance Tools, the Reintegration Checklist, QIPs (Quick Impact Projects) Guidelines and the Peace Building Checklist. Papers commissioned by the Director of the Division of Operational Support on partnerships within the UN and with NGOs and bi-laterals, as well as various evaluations and assessments of repatriation and reintegration programmes that the Evaluation and Policy Analysis Unit conducted with respective regional bureaux also informed the preparation of the Handbook.

## Conclusion

It is important to note that every repatriation and reintegration situation is unique and that the Handbook does not, therefore, come in "one size that fits all", but is a general guide. The Handbook is meant to lend itself to the creativity and flexibility of field staff working in transition situations. It builds upon a number of in-house tools, checklists and guidelines to support the implementation of the Framework for Durable Solutions. The long-term utility of the Handbook depends on the extent to which UNHCR and partners view it as a living document to review and modify.

It is necessary to institutionalize the approaches in the Handbook by:

- Integrating its key concepts and practices into UNHCR programming guidelines;
- Using the Handbook in UNHCR training activities, including in field-level exchange visits; and
- Using the Handbook as a tool for advocacy and to build partnerships.

**Readers are encouraged to provide feedback to the UNHCR Reintegration and Local Settlement Section on the various aspects of repatriation and reintegration planning and implementation covered in the Handbook.**

# OVERVIEW OF PART A

**Understanding the context: where repatriation and reintegration fit**

**PART A** of the Handbook aims to explain the broader context within which repatriation and reintegration take place; in other words, it aims to determine how repatriation and reintegration relate to: (i) UNHCR's core mandate; (ii) 4Rs and transition processes; and (iii) development processes. Improved understanding of this context will:

- Help UNHCR staff plan and implement repatriation and reintegration activities with development actors while addressing UNHCR's core concerns of protection and solutions; and
- Ensure that repatriation and reintegration are sustainable by connecting them with long-term development activities.

**MODULE ONE: THE CONCEPTUAL FRAMEWORK**

**MODULE TWO: HUMANITARIAN AND DEVELOPMENT PLANNING TOOLS AND PROCESSES**

# MODULE ONE:
# THE CONCEPTUAL FRAMEWORK

PART A

# SUMMARY OF MODULE

***This module presents the conceptual framework for UNHCR's repatriation and reintegration activities and provides an overview of transition issues as they relate to reintegration. The module aims to foster better understanding of the transition context and of the planning and implementation of repatriation and reintegration in environments where UNHCR and other actors operate.***

| | |
|---|---|
| *Section 1:* | UNHCR MANDATE FOR VOLUNTARY REPATRIATION AND REINTEGRATION |
| *Section 2:* | THE 4RS FRAMEWORK: REPATRIATION, REINTEGRATION, REHABILITATION AND RECONSTRUCTION |
| *Section 3:* | OVERVIEW OF TRANSITION ISSUES |


# INTRODUCTION

The past few decades have witnessed a world-wide increase in the **frequency**, **spread and intensity of conflicts** (particularly intra-state), which has resulted in:

- A large increase in the number of refugees and persons of concern to the High Commissioner;
- Devastating social and economic consequences at the individual, family, community and societal levels; and
- The erosion of development gains, which hampers countries' ability to achieve sustainable development.[1]

A number of these conflicts are now evolving into peace processes (to varying degrees of success). This change is a positive development, but also poses new challenges for humanitarian and development actors, who will have to complement each others' efforts to ensure sustainable post-conflict recovery.

1 *Twenty-two of the 34 countries that are furthest from achieving the International Development Goals agreed to at United Nations global conferences in the past decade are reportedly affected by current or recent conflict. Source UNDP Executive Board, Role of UNDP in Crisis and Post-conflict Situations (DP/2001/4, 2001).*

UNHCR's mandate is to provide, in collaboration with other actors, international protection to refugees and to assist them in finding permanent solutions through **voluntary repatriation, local integration or resettlement**. UNHCR must also increasingly take into account other groups affected by conflict, such as Internally Displaced Persons (IDPs).[2]

**PROTECTION**

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

*Source: UNHCR,* Designing Protection Strategies and Measuring Progress: Checklist for UNHCR Staff *(July 2002).*

Voluntary repatriation (the free and voluntary return to one's country of origin in safety and dignity) is the solution of choice for a vast majority of refugees. In a returnee situation, this implies the restoration of national protection (to obviate the need for international protection) and, through the reintegration process, the ability to maintain sustainable livelihoods, access basic services and fully reintegrate into communities and countries of origin. In post-conflict situations, UNHCR should situate its repatriation and reintegration work within a broader context of transition from conflict to peace and try to build peace and bridge the gap between relief and development so as to avoid creating a dependence of returnees on humanitarian assistance and to ensure returnees' early and sustainable reintegration.

This module addresses these issues and links them to planning and implementing reintegration.

2 *See UNHCR, Internally Displaced Persons: The Role of the United Nations High Commissioner for Refugees (March 2000).*

# Section 1

# UNHCR MANDATE FOR VOLUNTARY REPATRIATION AND REINTEGRATION

## 1.1 Voluntary Repatriation

The UN General Assembly (GA) has repeatedly affirmed UNHCR's function of promoting/facilitating the voluntary repatriation of refugees and, in recognition of the importance of sustainable return, has widened its mandate to include providing assistance for their rehabilitation and dealing with the consequences of their return[3] (monitoring the safety and well-being of returnees; supporting national efforts to build legal and judicial capacity to create conditions for reconciliation; supporting rehabilitation, reconstruction and development assistance; facilitating sustainable reintegration; etc.). Where peace and reconciliation are durable, UNHCR promotes voluntary repatriation. Under less ideal conditions (e.g. when the sustainability of the peace process is not assured, but refugees are returning on their own), UNHCR may facilitate the return process[4].

UNHCR Executive Committee (ExCom) conclusions[5] also affirm international principles and standards governing the voluntary repatriation process and its core elements. Ensuring sustainable return, with support from the international community, is the primary responsibility of the countries of origin. UNHCR seeks to facilitate the exercise of free and informed choices and to mobilize support for voluntary repatriation, the goal of which is for refugees to return in safety and dignity and for national legal systems to protect returnees[6].

The core components of voluntary repatriation are **physical**, **legal and material safety** and **reconciliation**.

3 *See, GA Res. 3271 (1974); GA Res. 33/36 (1978); GA Res. 40/118 (1985); GA Res. 44/161 (1989); GA Res. 49/169 (1994); GA Res. 52/103 (1997); GA Res.56/137 (2001).*

4 *The conditions under which UNHCR promotes or facilitates return are described in the UNHCR Handbook on Voluntary Repatriation (1996).*

5 *ExCom conclusions: 18 of 1980, 40 of 1985, and 74 of 1994, etc.*

6 *UNHCR, Voluntary Repatriation: Global Consultations on International Protection. UN Doc. EC/GC/02/5, 25.*

**Box 1.1: Core components of voluntary repatriation**

**Physical safety**

- Ebb of violence and intimidation;
- Steps taken towards re-establishment of police, judiciary and human rights agencies;
- Absence of mines and unexploded ordinances; and
- Improved overall security.

**Legal safety**

- Removal of legal and administrative barriers to return;
- Legislation related to enabling legal framework to ensure, *inter alia*, citizenship, amnesty, property, registration, documentation and return; and
- Existence of mechanisms to redress human rights abuses, including independent judiciary.

**Material safety**

- Access to means of survival and basic services in early stages of return (shelter, water, health and education) and access to employment opportunities;
- Non-discriminatory access to services (health services, education, etc.);
- Development of absorption capacity in areas of return; and
- Promotion of economic self-reliance and income-generating activities.

**Reconciliation**

- Promotion of equity between displaced persons and local residents; and
- Structures and mechanisms to promote confidence building and co-existence.

**For further information and guidance on standards and modalities of voluntary repatriation operations, consult the UNHCR Handbook on Voluntary Repatriation (1996), which is being revised and updated.**

## 1.2 Reintegration

**REINTEGRATION**

**In broad terms, reintegration is "equated with the achievement of a sustainable return – in other words the ability of returning refugees to secure the political, economic, [legal] and social conditions needed to maintain life, livelihood and dignity".**

*Source: Macrae, Joanna,* Aiding Peace…and War: UNHCR, Returnee Reintegration and the Relief/Development Debate *(December 1999).*

Reintegration is a **process** that should result in the disappearance of differences in legal rights and duties between returnees and their compatriots and the equal access of returnees to services, productive assets and opportunities. Such a process assumes that refugees return to societies that are more or less stable. When this is not the case, returnees and communities in areas of return should benefit equally from improved access to productive assets and social services.

It should be stressed that communities in areas of return can benefit a great deal from returnees, as they can bring new skills, resources, higher standards of education, health and gender equality, which they may have acquired during their displacement and exile. **Indeed one of the challenges in reintegration is to preserve gains made in exile when refugees return to more traditional social structures.** Reintegration in this sense can be a socially transformative process.

The "end state" of reintegration is the universal enjoyment of full political, civil, economic, social and cultural rights. **Reintegration, therefore, is a collective responsibility under government leadership; some actors (e.g. UNHCR and other humanitarian agencies) play a lead role in the earlier stages, while other actors (e.g. development agencies) play a greater role later in the reintegration process.**

Given the definitions above, the facets of reintegration are[7]:

- **Legal:** Access to legal processes; legal support for ownership of property, land and housing;
- **Political:** Stable government; full participation in political processes; gender equality in all aspects of political life; freedom of thought and expression; protection from persecution;
- **Economic:** Access to productive resources (e.g. land, agricultural inputs and livestock); and
- **Social:** Access to services; security; absence of discrimination; community-level dispute resolution, etc.

**In designing reintegration programmes, indicators or benchmarks can be developed on the basis of the considerations above (see Module Six).**

7 *UNHCR workshop on Reintegration Benchmarks for Western Afghanistan, Herat (21-22 July 2003).*

Factors that determine how UNHCR and partners assist reintegration include:[8]

- **The character of the state and the context of the breakdown in national protection** (reasons for displacement and whether the state can be characterized as weak, contested or repressive);
- **The nature of the conflict** (the extent of the damage to property and infrastructure, the duration and intensity of the conflict and the level of militarization);
- **The length and nature of exile** (extended periods in exile can make reintegration more challenging);
- **The dynamics of displacement** (both internal and external, including the characteristics of the displaced);
- **The provisions of the peace agreement** (the extent to which agreements address underlying grievances that led to the conflict); and
- **The repatriation process** (may either facilitate or endanger the reconciliation process and undermine peace building).

Given the complexity of the issues above, it is evident that **there is no single or simple model for reintegration; each situation must be analysed and addressed individually.** A proper understanding of these dynamics is essential for peace building, as ill-conceived reintegration efforts can be detrimental to peace.

Voluntary repatriation and reintegration are vital initial steps to provide solutions to refugees returning to their country of origin. In the early phases of reintegration, returnees (and where applicable, other relevant population groups, such as IDPs) should have access to basic services (health, education, shelter, etc.) and assistance to quickly re-establish themselves. Beyond this point, however, several questions arise:

- How to build sustainable livelihoods and enhance economic opportunities for returnees, local residents and IDPs and ensure that the reintegration process is sustainable;
- How to ensure that returnees, local communities and IDPs benefit from long-term development efforts; and

8 *UNHCR,* Note on Transition and Reintegration: Political Perspectives *(April 2002).*

- How to link early humanitarian activities with long-term development programmes, institutions, policies and actors.

The **Repatriation, Reintegration, Rehabilitation and Reconstruction (4Rs)** programming concept described below is an integrated framework that addresses these questions.

## Section 2

## The 4Rs Framework: Repatriation, Reintegration, Rehabilitation and Reconstruction

For the vast majority of refugees, voluntary repatriation and reintegration remain the preferred and most viable durable solution. This solution involves complex and challenging processes requiring integrated and sustained action by governments and international partners.

***Securing sustainable durable solutions is a long-term undertaking that exceeds the mandate and resources of UNHCR.***

The High Commissioner has indicated in many fora that the search for durable solutions must be systematic and must begin at the outset of each new refugee crisis. With this in mind, UNHCR has developed, in close cooperation with its partners, the Framework for Durable Solutions for Refugees and Persons of Concern, which consists of:

1) The promotion of **Development Assistance for Refugees** (DAR) through better targeting of such assistance to countries and areas hosting large numbers of refugees over protracted periods (to share the burden) and to equip refugees for eventual durable solutions (local integration, repatriation and resettlement);

2) The establishment of **4Rs** programmes in post-conflict situations aimed to ensure an integrated approach to repatriation, reintegration, rehabilitation and reconstruction; and

3) The promotion of a strategy of **Development through Local Integration** (DLI) where local integration of refugees is a viable option.

**For further information on DAR and DLI, consult the UNHCR Framework for Durable Solutions for Refugees and Persons of Concern (May 2003). Guidelines on DAR and DLI will be issued in 2004.**

## 2.1 The 4Rs Programme Concept

The 4Rs programme concept is:

- An integrated approach (involving actors, institutions and different phases of post-conflict recovery) to post-conflict situations;
- An effort to bring together humanitarian, transition and development approaches in a structured manner throughout the different stages of a reintegration process;
- A framework for institutional collaboration for the implementation of reintegration operations in post-conflict situations; and
- A tool to maximize flexibility for field operations to pursue country-specific approaches.

**THE 4Rs**

- **Voluntary repatriation:** the free and voluntary return of refugees to their country of origin in safety and dignity.
- **Reintegration:** the ability of returning refugees (as well as IDPs and others) to secure the necessary political, economic, legal and social conditions to maintain their life, livelihood and dignity.
- **Rehabilitation:** the restoration of social and economic infrastructure (e.g. schools, clinics, water points, public facilities and houses) destroyed during conflict in areas of return to enable communities to pursue sustainable livelihoods; or

  "Actions that enable the affected population to resume more or less 'normal' patterns of life. These actions constitute a transitional phase and can [occur] simultaneously with relief activities, as well as further recovery and reconstruction activities". *Source: ILO, Crisis Response: Rapid Needs Assessment Manual (2001).*
- **Reconstruction:** the (re)establishment of political order, institutions and productive capacity to create a base for sustainable development. *Source: the World Bank*; or

  "Developmental interventions that not only seek to build or repair the damage or return to the status quo ante, but also address medium- and long-term needs and improvements in policies, programmes, systems and capacities to avert the recurrence of crisis and reach higher levels of employment and standards of living". *Source: ILO, Generic Crisis Response Modules (2001)*.

***As certain terms are often used interchangeably by other agencies and organisations, please consult the glossary for definitions.***

The strategic goal of the 4Rs programme concept is to achieve sustainable solutions through voluntary repatriation of displaced populations and thus national recovery, the consolidation of peace and stability and the foundation of longer-term development.

**Box 1.2: Potential benefits of a 4Rs programme**

- **Good local governance** (participatory planning and implementation);
- **Protection** (rights of communities, including those of returnees);
- **Improved social services** (including infrastructure);
- **Reconciliation** (through co-existence and confidence building);
- **Better use of existing resources** (through integrated plans);
- **Attraction of additional resources** (to fill critical gaps for transition activities);
- **More sustainable reintegration** (of displaced populations);
- **Local economic revival and livelihood creation**; and
- **Improved access to services** (education, health, shelter, etc.).

**Disarmament, Demobilization and Reintegration** (DDR), a programming approach to reintegrate ex-combatants, is comparable to the 4Rs. While UNHCR has little to do with the two "Ds", linkages can be built with the reintegration component of DDR programmes, especially where there are plans to reintegrate ex-combatants into communities or areas with returnees and IDPs. Linkages between the 4Rs and other approaches like DDR ensure not only that programming is coherent, but more importantly that all efforts contribute to social and political stability and reconciliation, particularly at the grassroots level.

## 2.2 How a 4Rs Approach Is Useful

The 4Rs approach is designed to find solutions to a number of post-conflict challenges, such as:

➲ **Poor or non-inclusion of returnee (IDP and other) issues in development planning**. Humanitarian actors provide initial reinsertion assistance of an emergency nature. The subsequent transition from reintegration to longer-term development does not occur seamlessly. Often, governments, donors and the UN fail to incorporate the needs of returnees systematically in transition and recovery plans and, therefore, overlook the productive capacities of returnees in development planning.

- **The disregard for contributions of displaced populations in post-conflict recovery**. Overlooking the positive contributions of displaced populations to society may hamper a country's rebuilding efforts. The reintegration of displaced populations need not be an economic burden; instead, these populations should be seen as productive members of society (human capital), who can contribute to the recovery process. For instance, the transfer of resources through remittances by refugees and/or returnees is a vital contribution to rebuilding war-torn societies. When reintegration is not sustainable, many returnees opt to return to their country of asylum (this phenomenon is known as "back-flows").

- **The need to address medium- and long-term needs.** For return and reintegration to be sustainable and displaced populations sufficiently protected, the planning and programming of rehabilitation and reconstruction processes must address their medium- and long-term needs systematically. It is necessary, therefore, to plan durable solutions operations for displaced populations in an integrated and comprehensive manner, rather than as separate components.

- **Progress towards the Millennium Development Goals (MDGs)**[9]**.** An integrated and comprehensive 4Rs approach should provide further opportunities for governments, development agencies, bi- and multi-laterals to work towards the MDGs of poverty reduction, universal primary education, gender equality and the empowerment of women, reduced child mortality, improved maternal health, the fight against HIV/AIDS, environmental sustainability and the creation of a global partnership for development.

- **Advancing poverty reduction strategies**. The international community cannot meet the objectives of poverty reduction unless it helps to quickly reduce rural and urban poverty through a sustainable reintegration of displaced populations in post-conflict societies.

***The 4Rs approach is an important component in the transition-recovery process, which includes peace building, reconstruction and development.***

9 *The MDGs are a summary of development goals set at international conferences and world summits during the 1990s and include 8 goals, 18 targets and 48 indicators (related to poverty reduction, education, health, food security, etc.) to achieve by 2015.*

## 2.3 Operationalizing the 4Rs

UNHCR's tripartite dialogue with the governments of the countries of origin and asylum usually commences as soon as there are indications that voluntary repatriation is possible. These negotiations focus on the conditions for voluntary repatriation and the implementation of a repatriation programme. Such agreements address legal safety issues pertinent to reintegration, but may not fully cover all aspects of the reintegration process, including the broader issues of national rehabilitation and reconstruction.

When pursuing the 4Rs approach, dialogue with governments should build upon tripartite agreements and systematically refer to all of the 4Rs, as they represent a comprehensive package for durable solutions.

**Part B of the Handbook presents detailed steps on how to plan and implement reintegration using the 4Rs concept.**

**General guiding principles** include:

- The planning, programming and implementation of 4Rs programmes should be country-driven and bottom-up and engage the UNCT (particularly UNDP, UNICEF, ILO, WFP and UNHCR), the World Bank and other International Financial Institutions (IFIs), bi- and multi-lateral donors, NGOs, community-based organisations and the private sector;
- Interventions must address both protection and durable solutions;
- The government should show strong commitment to and assume ownership of the entire process;
- The 4Rs programme should be developed from and be an integral part of the transitional recovery strategy of the government/transitional authority or of the UN and development partners (e.g. donors and the World Bank); and
- The 4Rs programme (particularly the last three Rs) should form a part of existing longer-term development mechanisms and instruments, such as Common Country Assessments, United Nations Development Assistance Frameworks and Poverty Reduction Strategy Papers[10].

*10 See Module Two for further details.*

## 2.4 Roles of Various Partners in 4Rs Programmes

Figure 1.1 shows that a recovery programme (to which the 4Rs are integral) covers a wide range of activities spanning relief, transition and development. Some of these activities may fall outside UNHCR's mandate. It is, therefore, essential that UNHCR clarify to other partners the limits of its engagement (in terms of the scope and timeframe of its activities) and help identify partners for those actions it cannot undertake, but that are critical to sustainable reintegration. The objectives of UNHCR's reintegration operation and the prevailing situation on the ground will determine the scope of activities (see Module Three).

In concrete terms and in the context of the Tripartite Commission (UNHCR, the government of origin and the government of asylum), parallel discussions in the country of origin should not only address repatriation and reintegration, but also rehabilitation and reconstruction components with the direct institutional efforts of the donors, UN agencies, the World Bank and other development institutions.

### Roles of government

- Countries of origin should assume lead responsibility by signing instruments (such as tripartite and other agreements) that cover all aspects of durable solutions and the 4Rs in an integrated and comprehensive framework; and

- Governments should assume leadership to build a strong basis for recovery and development through appropriate policies, institutions, incentive structures and programmes.

### Roles of development actors

- Assist in the early development of the organisational capacity of central, provincial and district administrations, as well as of NGOs and grassroots organisations, in order to facilitate more effective recovery planning and implementation;

- Provide early support for development planning, especially government-led formulation of a transition-recovery strategy and intervention priorities;

- Catalyze consultations with local communities and provincial and district officials;

- Mobilize longer-term aid for communities to improve services;

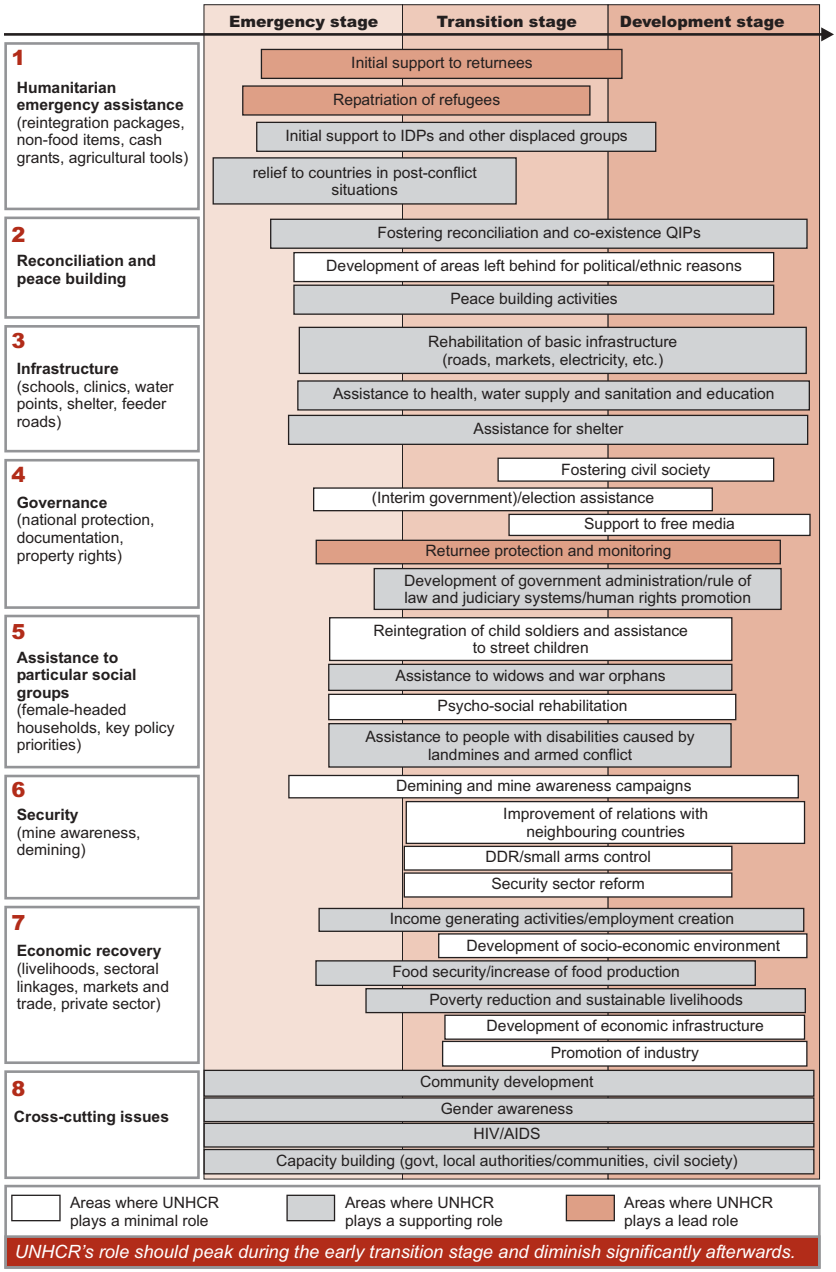



*Figure 1.1: Examples of interventions linking repatriation with reintegration, rehabilitation and reconstruction from the emergency stage through transition to development*

- Promote linkages between the 4Rs and CCA/UNDAF and national development plans within a community-based, rather than a beneficiary-focused (e.g. only returnees or IDPs), approach; and

- Be part of the dialogue with governments from the beginning (i.e. avoid segregated and sequential interactions with governments).

## Roles of UNHCR

- Support activities that facilitate the initial phases of reintegration, but that entail diminishing responsibilities in the later phases;

- Use its comparative advantages that the World Bank, UNDP, UNICEF and WFP repeatedly recognize (its extensive and early field presence, human resources and implementation capacity) to assist partners. Such an approach should facilitate the coordinated phase-in of development agencies;

- Continue to focus on the repatriation component, but also be involved in needs assessments and planning for the remaining three Rs in the context of its alliance with UNDP and the World Bank and in collaboration with the UNCT (in particular UNICEF, ILO, FAO and WFP) and bi- and multi-lateral donors; and

- Promote linkages between returnee issues and CCA/UNDAF, where appropriate.

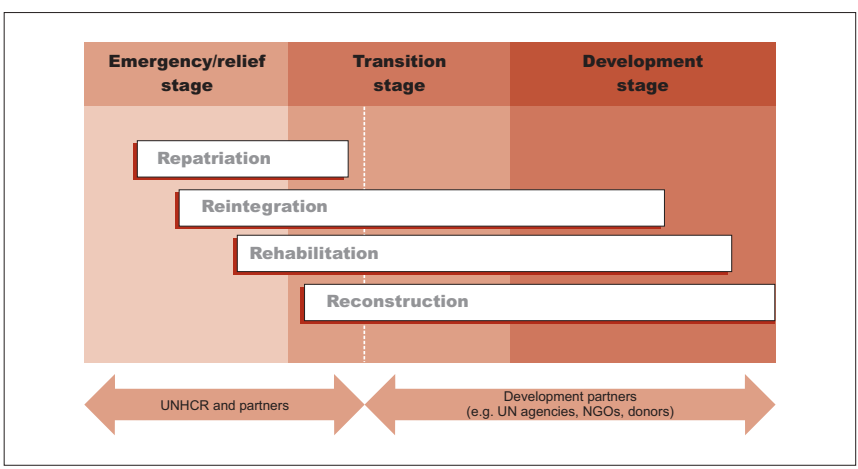



*Figure 1.2: Roles of UNHCR and other actors in the transition from relief to development*

### 2.5 4Rs Pilots and Early Lessons

In 2002 and 2003, UNHCR, in close collaboration with UNDP, the World Bank and the UNCT, initiated 4Rs pilot programmes in four post-conflict countries: Afghanistan, Eritrea, Sierra Leone and Sri Lanka. Despite a number of challenges (such as operationalizing concepts, realizing integrated planning, funding mechanisms and preventing agency agendas from driving the 4Rs process and thus marginalizing governments in transition planning), experiences from the pilot countries demonstrated that the 4Rs framework is an effective guide to formulating strategies and programmes, can bring together the members of the UNCT and is an effective mechanism for bridging the gap between relief and development. When well implemented, 4Rs programmes make valuable contributions to post-conflict transition and peace building and resulting in sustainable solutions for displaced populations. Indeed, donor and government interest in the 4Rs is growing.

# Section 3

# OVERVIEW OF TRANSITION ISSUES

Voluntary repatriation and reintegration take place not in a vacuum, but rather in a specific political, diplomatic and socio-economic context. A good understanding of this context, which is commonly referred to as **"transition"** and the various challenges it poses is essential to sound planning and implementation of reintegration programmes, in general, and the 4Rs, in particular.

### 3.1 Scope and Characteristics of Transitions

The terms "transition", "recovery", "rehabilitation' and "reconstruction" are sometimes used interchangeably. According to the UNDG/ECHA Working Group on Transition Issues[11], for the UN, transitions "**refer to the period in a crisis when external assistance is most critical in supporting or underpinning still fragile cease-fires or peace processes by helping to create the conditions for political stability, security, justice and social equity"**. Transitions, in this sense, refer to post-conflict situations and not to natural disasters or to economic transitions. Box 1.3 describes the main characteristics of transitions. It is worth noting that transitions are rarely

*11* Report of the UNDG/ECHA Working Group on Transition Issues, Final Draft *(February 2004).*

uni-linear or uni-directional; "various facets can exist simultaneously at changing levels of intensity, opportunity and susceptibility to reversal."

Figure 1.3 illustrates the various possible transition paths between relief and long-term development.

**Box 1.3: Key characteristics of transitions (UNDG/ECHA Working Group on Transition Issues)**

**Every transition situation is unique** and grounded in the history of each particular conflict and its consequent humanitarian crisis.

**Triggers** for transitions can be one or a combination of the following:

- A ceasefire agreement, a peace accord and/or an advanced stage of peace negotiations;
- A Security Council mandate;
- A peace process facilitated by a third party (two member states, a regional body or a combination that includes the UN).

**Transition is neither uni-linear nor uni-directional.** It is estimated that 40% of countries emerging from conflict suffer a relapse into violence; in Africa the estimate is 60%. Various facets of the transition process may exist simultaneously at changing levels of intensity, opportunity and susceptibility to reversals.

**Transition is often a "no war/no peace" situation.** Conflict may subside, but instability and insecurity persist, peace is fragile and the situation can relapse into violence.

**Humanitarian activities** might initially increase in transition situations, particularly in areas that become accessible.

**Humanitarian/development interface in transition.** Conflict-induced humanitarian crises often wipe out development gains. Conversely, shortcomings in development interventions can contribute to humanitarian crises.

*Transition must address "issues at stake" as laid out in the UNHCR Framework for Durable Solutions for Refugees and Persons of Concern.*

Given that weak governance, social fragility and economic inequality may contribute to conflict,[12] rebuilding societies after conflict does not necessarily entail recreating pre-conflict socio-economic conditions. **Almost invariably, post-conflict transition requires a new political, economic and social configuration. A return to the past may be neither possible nor desirable**.

12 *World Bank,* Post-Conflict Fund: Guidelines and Procedures *(2001).*

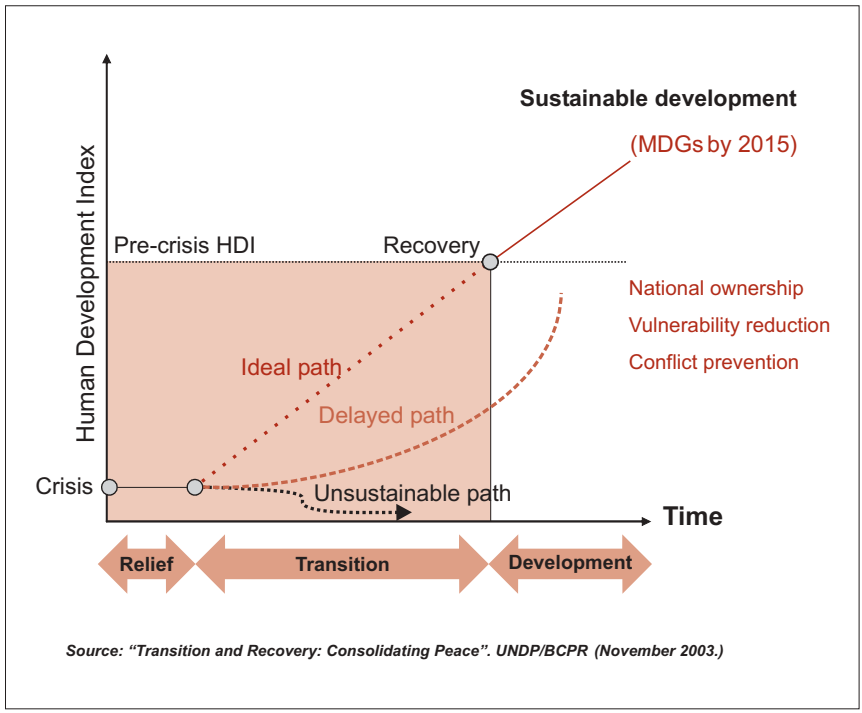



*Figure 1.3: Alternative paths during transition*

## 3.2 Transition Contexts

UNHCR and other actors operate in a range of transition contexts:

- **Prolonged state of no war/no peace** (e.g. Liberia in 2002 and 2003) in the absence of a political resolution to the conflict;
- **Absence of an official state** (e.g. Somalia in 2003);
- **Varying levels of conflict** (e.g. Sierra Leone in 2002);
- **Stability** (e.g. Eritrea in 2003); and
- **Evolving situations** (e.g. Afghanistan from 2001 to 2003).

These different transition contexts bear important implications for planning and implementing reintegration (see Module Three).

***It may also be useful to distinguish between an early transition phase (in a 4Rs context, this corresponds to the first two Rs), when humanitarian actions are important, and a late transition phase, when recovery and development issues are ascendant.***

## 3.3 The Gaps

A number of gaps in post-conflict transitions constitute stumbling blocks to effective programming to rehabilitate or reconstruct societies emerging from conflict[13].

The gaps can be:

- **Institutional:** Agencies have different operating modalities (see Table 1.1)[14];
- **Financial:** Funding is often **either** for emergency/humanitarian **or** development assistance (encouragingly, Denmark, Norway and the US now have funds earmarked for transition activities);
- **Temporal:** Gaps can appear immediately after a crisis subsides and widen when emergency assistance declines and before long-term development activities begin;
- **Related to national protection:** Gaps in the restoration of national protection can exist even when peace agreements are signed; and
- **Political:** There may be differences or a lack of clear political goals among actors.

13 *Working on similar ideas, the EU refers to a "grey zone" to describe the gap and has developed the **LRRD framework** (Linking Relief, Rehabilitation and Development) to link its policies on humanitarian aid and development.*

14 *The fact that within the UN and bi-lateral donor agencies development and humanitarian responsibilities are separate (e.g. UNDP for development and UNHCR for relief; within the US government, USAID is separate from the Bureau for Population, Refugees and Migration) further complicates the linkage issue.*

The effects of these gaps on peace building are particularly detrimental in the context of the reintegration of populations displaced by conflict. Experience in many countries has shown that existing ad hoc cooperation or organisational approaches cannot effectively bridge the gap between emergency relief and development, nor can any one of the organisations involved deliver the necessary results on its own. The existence of gaps suggests that national actors must respond more coherently and effectively in partnership with development and humanitarian agencies, donors and NGOs. **In most cases, a more effective response entails not simply "doing more", but rather "doing things differently".**

**Box 1.4: Necessary conditions for successful transitions (UNCT perspective): IASC Reference Group on Post-conflict Reintegration**

- Convergence among the UNCT agencies on a common vision and strategy for the long-term reintegration process;
- Convergence between the UN and national actors on a common vision and strategy;
- Capacity building for local and national institutions as a means to sustainability;
- Identification of confidence-building and co-existence measures for the constructive engagement by national and local actors and donors in the reintegration process; and
- Coordination on national strategies and responses.

**TABLE 1.1: Characteristics of humanitarian, transition-recovery and development activities**[15]

| | HUMANITARIAN | TRANSITION-RECOVERY | DEVELOPMENT |
|---|---|---|---|
| **Objectives** | Save and protect lives; seek durable solutions for lives and livelihoods in protracted refugee situations and refugee repatriation and reintegration programmes, as well as IDP situations. | Create an environment to prevent a relapse into violence; rapidly rehabilitate infrastructure and services; restore livelihoods, security and stability; promote good governance, capacity building and socio-economic transformation. | Reduce poverty and improve quality of life with reference to the MDGs. |
| **Analytical approach** | Focus on the manifestation of the crisis (numbers affected, locations, needs, inputs); look at issues of access and security. | Lay the foundations to address the root causes of the conflict and address its symptoms. Peace building and conflict prevention are key to the strategy. | Focus on the underlying causes of poverty and inequality; create the necessary conditions for sustained socio-economic well-being, democracy and justice; promote local and government ownership. |
| **Planning and programming tools** | Consolidated Appeals Process/Common Humanitarian Action Plan (CAP/CHAP) operates by the consent of the parties to the conflict and thus does not require inter-governmental approval processes. | Transitional Appeal Guidelines (see Module Two). | Common Country Assessment/UN Development Assistance Framework (CCA/UNDAF) agency-specific programming documents submitted for the approval of each agency's governing body. |
| **Timeframe** | Typically planned for a one-year period. | Varies between 18 months and three years. | Longer-term; planned on a multi-year basis. |
| **Funding mechanism** | CAP/CHAP and an agency-specific resource mobilization tool. | CAP may contain some recovery activities. Recently developed (2003) Transitional Appeal Guidelines can be used. | Official Development Assistance (ODA), including Round Tables (UNDP), the Consultative Group (WB) and assessed and voluntary contributions, depending on the agency. |

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

## 3.4 Transition Challenges

The many diverse challenges in transition-recovery include:

- Security:
  - ✓ Fragile and volatile security situations aggravated by the presence of mines;
  - ✓ Contested areas; and
  - ✓ Armed groups and militias;
- An absence of governance institutions, which can lead to impunity for violations of human rights and Sexual and Gender-based Violence (SGBV);
- The maintenance of socio-economic advances, such as gender equality, made in asylum when refugees return to what are often more conservative social and cultural structures or to poorer communities;
- The limited absorption capacity of local communities and economies in terms of jobs, livelihoods, food and land;
- Economic decline and a lack of formal employment options, economic activities and cash flow;
- Challenges in undertaking comprehensive needs assessments and developing an overall reintegration strategy to address displacement issues;
- The re-orientation of existing programmes and resources to address urgent needs;
- Inadequate levels of public services; and
- An absence of infrastructure.

Table 1.2 and Table 1.3 discuss general and UNHCR-specific transition challenges and possible responses, respectively. These challenges have an important bearing on how to plan and implement reintegration.

**Table 1.2: General transition challenges and possible responses**

| CHALLENGES | POSSIBLE RESPONSES |
|---|---|
| **Political stability and peace building:** That transitions are often fluid can impact the timing of repatriation, the degree to which returnees can be successfully reintegrated and how well security, governance, human rights, protection, economic rehabilitation and revitalization and reconciliation are re-established. Political uncertainty may displace returnees back across the border. Coordination between military and humanitarian actors can also be challenging. | Keep a close watch on political and security developments; do multi-scenario planning (do not plan only for the most optimistic scenario);<br>put in place coordination mechanisms between humanitarian and military actors. |
| **Level of international commitment:** This can change as new concerns emerge elsewhere or as situations become protracted as a result of stalled political processes (which are detrimental to resource availability). There is also the challenge of separating humanitarian work from political support for and/or donor interest in a given country. | Exploit windows of opportunity for the benefit of displaced population; share information and engage in a continuous dialogue with donors; communicate concerns to the government. |
| **National government priorities and policies:** Returnees - or the remote regions they are repatriating to - may not be high government priorities compared with issues such as national security or development. Conversely, governments may at times push for a faster rate of return than socially, economically or physically possible (e.g. for elections). Governments may also promote and select certain areas of return and/or sectoral preferences that may be neither a priority for communities nor viable. This may contradict a fundamental right of those in voluntary repatriation (i.e. free movement - the right to choose where one returns to within national boundaries). High government expectations on funding may complicate negotiations and lead to some conditionality in operations. | Through the UNCT, work with the government to define an overall framework and clear objectives for the transition, which address broader macro-economic concerns; communicate concerns to the government regarding areas of return that are less than optimal; balance government preferences for infrastructure interventions with the livelihood needs of communities. |
| **Managing expectations and balancing needs and resources:** Returnees, host communities and governments in the country of origin may have high expectations for assistance from the international community and, especially, from UNHCR.<br>Needs are normally greater than available resources; assistance rendered to returnees and their host communities can be insufficient. | Manage such expectations and balance competing needs against priorities and available resources; tap private sector resources, including the assets of returnees; build programmes into PRSPs and sector plans; use emergency employment programmes; lobby other operational programmes, such as DDR, to become more inclusive on the ground. |
| **Planning and coordination:** The presence of a multiplicity of UN agencies, NGOs and other actors with overlapping mandates complicates the planning and coordination of transition-recovery activities. It also puts great pressure on government capacity; the agenda of organisations can risk driving country-level activities. In some instances, the level of integration or synergy of the UNCT with the UN mission or peace-keeping operation may be less than optimal. | The UNCT should set up a coordination framework and develop a single overall strategic plan on the basis of which individual agency or sector plans can be drawn up. UNHCR should play an active role in setting up and supporting the coordination framework. |

**Table 1.2: General transition challenges and possible responses**

| CHALLENGES | POSSIBLE RESPONSES |
|---|---|
| **National and local capacities:** Weak government, NGO and CBO capacities and fragile public institutions are a hallmark of countries emerging from conflict. In addition, development agencies often have inadequate capacity (staff, financial resources, etc.) in areas where returnees are repatriating. These factors make planning, coordination and national ownership difficult. | Tailor interventions to suit existing capacities; integrate early support for capacity building, particularly for provincial and district level structures; use secondments, etc. to help strengthen government capacities. |
| **An inadequate level of knowledge on participatory planning:** Close involvement of returnees and communities in transition activities is often lacking. | Train field staff and frontline government workers in Participatory Rural Appraisal (PRA) methodology. |
| **Linking local actions to national policy frameworks:** The success of transition–recovery depends on the degree to which local rehabilitation and reconstruction activities are integrated into national development plans. Planning at the macro level and planning transition–recovery can follow different dynamics and involve different actors and institutions, thus making synchronization and linkage difficult. | Closely link recovery plans to national development plans and macro policy frameworks; use district development plans where available; in areas where no district plans exist, help create one that could eventually form part of the regional or national development plan; with respect to gender, facilitate links between national-level and local groups in areas of return to address issues related to property, inheritance rights and legal representation in cases of sexual and gender-based violence. |
| **Funding modalities:** The modality of funding transition–recovery activities is still not well developed. Few countries have established transition funding mechanisms. The challenge is to combine the flexibility and rapidity of disbursement with concerns for long-term sustainability. An additional problem is the multiplicity and uncoordinated fundraising initiatives of different UN agencies. | Establish funding mechanisms and arrangements; simplify disbursement and reporting procedures without sacrificing transparency and accountability. |
| **Institutional cultures within humanitarian and development agencies:** The actors in a transition-recovery situation are an uneasy mix of humanitarian, political, military and development actors with different institutional cultures and work processes. | Undertake staff exchanges and secondments between agencies; involve other agencies in internal planning processes; recognize that integrated/joint assessment and planning for the same objective could improve the effectiveness of intervention. |
| **Tools and skills:** While tools have been developed for emergency/humanitarian situations and development, few are tailored to meet transition-recovery needs. Where tools do exist, there is a general lack of knowledge of what they are and how to apply them. | Seek advice from Headquarters on the existence of such tools; compile and disseminate a compendium of existing local tools and processes; harmonize planning tools and processes. |
| **Limitations in returnee areas:** Returnees often repatriate to remote, marginal and poor areas and communities. Returnee areas are frequently affected by policies that limit access to agricultural lands and natural resources (e.g. water). An inadequate absorption capacity of areas of return can jeopardize reintegration. After many years of exile, the younger generation may not be willing to return to their parents' place of origin in remote areas (they may lack farming skills) and may try to move to urban areas. | Invest in upgrading structures and facilities in returnee areas; advocate for the inclusion of these areas in development programmes; plan short-term quick interventions according to long-term objectives; when developing intervention strategies, reduce rural biases in reintegration and factor in skills training in the country of asylum. |

**Table 1.2: General transition challenges and possible responses**

| CHALLENGES | POSSIBLE RESPONSES |
|---|---|
| **Security in returnee areas:** Many areas may be near borders (perhaps even in contested zones) and have military presence, a high incidence of landmines and banditry or armed elements within communities (all detrimental to staff safety). Security conditions may change rapidly and be fluid over a long period of time, making it difficult to access areas to plan for operations. | Keep close watch; put safety first. |
| **Weak local economies:** Conflicts devastate infrastructure and economies. Reviving local economies, expanding opportunities and improving prospects for employment are vital to successful transitions and can prevent regression to instability. These actions are difficult where areas of return are inaccessible. The task of stimulating the recovery of the local economies is often a long and slow process. | Tap private sector resources; put in place cash-for-work programmes; promote medium-scale enterprises for rehabilitation and reconstruction activities; involve ILO, FAO, UNDP, the WB and others to create early livelihoods to sustain reintegration. |
| **Social issues:** Returnees go back to traditional social structures, which may constitute setbacks for equal rights, especially for women. Returnee women may also be vulnerable to a backlash from traditional elements within the community. Where systems are still weak, vulnerability to sexual and gender-based violence may be high and there may be limited cross-border follow up of such cases. As a result of the disruption of gender roles, men can experience feelings of loss of status and power, which they may express through alcoholism, violence against women, domestic violence, etc. | Support women's networks in areas of return; support the sensitization of traditional leaders and men in areas of return; encourage communities to establish support networks and counselling; build the capacity of local government structures (and raise awareness among police and law enforcement agencies) to promote and advocate for women's rights through interaction with the national government, the UN and other partners; ensure links with health care providers in areas of return and ensure their awareness and sensitivity to sexual and gender-based cases; inform returnees how to access medical services; extend community support programmes to include men as target beneficiaries of opportunities aimed to empower community groups. |

**Table 1.3: Challenges specific to UNHCR and possible responses**

| CHALLENGES | POSSIBLE RESPONSES |
|---|---|
| **Rate of return:** The distinction between returnee operations and reintegration may be blurred if returns happen rapidly or exert pressure on absorptive capacity (e.g. Afghanistan) and on UNHCR operations. Refugees may also return more quickly than UNHCR anticipates (re. Kosovo). Refugees' stay in asylum may be terminated before conditions are conducive to return, which can lead to internal displacement upon return (e.g. Bosnia and Herzegovina) and make planning difficult. | Use all means, such as mass information campaigns, design and timing of promoted phases of voluntary repatriation and cooperation and coordination with regional governments, to influence refugee and returnee decision-making processes. |
| **Role of UNHCR:** Traditionally, UNHCR has assumed that it could confine itself to a "facilitating" role in reintegration to try to connect development actors with programmes (as a precursor to national reconstruction). This amounted sometimes to no more than passive advocacy for collaboration and, in some cases, many years passed before the national development agenda effectively covered returnees. Faced with such obstacles and depending on the situation it is confronted with, UNHCR may well decide to engage heavily in reintegration activities only to be subsequently criticized for "venturing into development". This could potentially sour relations with donors, development partners and government authorities in the country of origin. | Define the role and scope of UNHCR interventions; bring in partners early in the planning process (see Module Three, Section 3) to define roles and scope; make UNHCR's role clear to the government at an early stage and regularly update the government throughout the process.<br><br>UNHCR staff should move from "stand alone" to "integrated" planning with other agencies. |
| **Balancing area-based planning and the imperative to act quickly:** Humanitarian situations and UNHCR institutional culture dictate that the agency acts quickly. UNHCR must balance this pressure with the need to adopt an area-based and integrated approach and collaborate with development actors who follow different timeframes and processes. UNHCR staff may not fully understand how development agencies work (re. clients, timeframes and priorities). | Address the immediate protection and assistance needs of returnees while engaging development partners in planning more comprehensive recovery activities; plan and implement UNHCR-specific activities in consultation and coordination with development partners; know what partners can provide and how they operate (e.g. ILO can provide technical expertise, but may not be involved in large-scale projects). |
| **UNHCR often prioritizes life-saving activities.** Given shrinking budgets, UNHCR must ask whether it can make long-term commitments necessary for transition-recovery. | Develop a phase-out strategy – in consultation and coordination with partners, and early in the process – that balances the needs, resources and contributions of development partners. |
| **Logistics of repatriation:** During major repatriations, UNHCR offices in the country of origin may be too busy with the logistics of repatriation and may have limited time or staff to undertake area-based and integrated participatory planning with other agencies, ensure sustainability and devise a proper exit strategy other than one dictated by the availability of resources. | Put in appropriate structure and staff that can work closely with development partners early in the process, particularly in areas of return. The results of these efforts may not be visible immediately, but eventually such collaboration will help to consolidate gains made through humanitarian actions. |
| **Tensions between speed of delivery and sustainability:** UNHCR often faces tension between the speedy delivery of assistance and the sustainability of interventions (often, it is difficult to decide which is more important or how to strike an appropriate balance between the two). | Apart from life-saving activities and early protection and assistance, put emphasis on sustainability in planning interventions and build foundations for sustainable reintegration and future development. |
| **Differences in conceptual interpretations:** In some cases, UNHCR and some UN agencies may not agree on the interpretation of the 4Rs on the ground (while UNHCR sees the 4Rs as a tool for returnee reintegration, others might emphasize the broader challenge of transition-recovery). This can create differences in goals and expectations between UNHCR and some members of the UNCT. | Early on, engage the partners in dialogue and exchange views on the 4Rs; and engage on the basis of issues, rather than institutional mandates. |

**Table 1.3: Challenges specific to UNHCR and possible responses**

| CHALLENGES | POSSIBLE RESPONSES |
|---|---|
| **Non-existence of national or UNCT overall plans:** In this case, UNHCR may have to begin operations without a great deal of cooperation or joint planning. | Seek out partners present in returnee areas and plan with them; work with government or transitional authorities; phase UNHCR activities into more comprehensive inter-agency plans as they evolve. |
| **A lack of expertise in specialized sectoral areas** means that non-specialised (UNHCR generalist) staff make many technical decisions. It is a challenge to get adequate staff, convince decision makers that posts are warranted and to obtain staff through secondments from UNDP and UNICEF, for instance, and projects (i.e. UNV or UNOPS). As much of the work is in remote areas, keeping and motivating staff is also challenging. A high turn-over of staff in some operations is a manifestation of the above. Local staff may lose motivation if their accomplishments result in the reduction of UN positions. | Tap expertise in other UN agencies; where necessary, limit the timeframe for the use of sectoral experts; limit high staff turn-overs and share expertise with other agencies. For local staff, identify possibilities of absorption into other agencies when UNHCR phases out. |
| **Information on who is doing what, where and when** in reintegration areas is of utmost importance for UNHCR planning activities and the decision-making process. A key challenge is getting, analyzing and presenting this information to use it in the decision-making process. | Early on, invest in and support a common information management system; look beyond UNHCR sources to bi-laterals, International Financial Institutions, NGOs and community-based organisations, the private sector, the UNCT, etc. |
| **The regional approach:** It is not always easy to obtain and maintain consensus within UNHCR and across borders on planning figures, strategies and specific modalities and responsibilities. | Develop a regional repatriation-reintegration strategy and set up mechanisms to coordinate; share information with UNCT in the country of origin early on. |
| **The engagement and involvement of refugees** (in the country of asylum) in planning the repatriation and reintegration process (e.g. in participatory identification of needs) is not easy to obtain. | Beginning in the emergency phase, build a culture of refugee community participation in camp management. |
| **Ad hoc and arbitrary policy decisions** taken without consultation with operations managers may adversely effect operations. | Encourage greater dialogue between the management at Branch Offices and operations managers in the field and between Headquarters and Branch Offices, including between programme and protection sections. |
| **The time, energy and will to participate** in development planning (such as UNDAF) and the right staff may be lacking. | Allocate staff and other resources in keeping with the size of the operation; and secure secondments of trained staff from other agencies. |
| **Information passed from HQ to Branch Offices, and from Branch Offices to Field Offices** may not be timely or complete. | Strengthen the information flow. |
| **Knowledge on spontaneous and urban refugees** is often impossible to determine accurately. | Undertake surveys and special studies in collaboration with partners to improve understanding. |
| **Annual budgeting** (AB) has certain restrictions and often sets the ceiling of UNHCR operations below what is necessary and what may be raised from donors represented in-country. Complex repatriation and reintegration operations sometimes warrant the flexibility of supplementary budgeting (SB) within the organisation. | Do multi-year planning, even with AB or SB; clarify UNHCR policies to partners and the government; select partners with a good initial capacity; undertake capacity building where needed. |

## 3.5 Peace Building and Reconciliation

### PEACE BUILDING

The UN Security Council defines peace building as **"aimed at preventing the outbreak, recurrence or continuation of armed conflict and, therefore, encompass[ing] a wide range of political, developmental, humanitarian and human rights programmes and mechanisms".**

Peace building is a key goal in transition and recovery. The main goals of post-conflict recovery assistance should, therefore, be to promote reconciliation and peace building, prevent the recurrence of violence and population displacements and promote longer-term development. This entails the use of "conflict analysis tools" in the diagnostic phase of reintegration strategy definition to help understand the underlying causes of conflict, as well as the "do no harm" principle and a "conflict prevention lens" in the design of development assistance programmes.

Conflict prevention dictates that programmes should be designed to avoid[16]:

- Imbalances between project beneficiaries (political parties, ethnic groups, social groups, regions, refugees/returnees and local communities);
- Imbalances between central and local governments;
- The creation of returnee dependence on continued external assistance;
- The creation or aggravation of disparity between refugees, returnees and other social groups;
- The creation of macro-economic instability; and
- The neglect of local and traditional systems.[17]

These various points should be borne in mind when planning, implementing, monitoring and evaluating reintegration programmes.

16 *OECD/DAC,* Conflict, Peace and Development Co-operation on the Threshold of the 21st Century *(1997).*

17 *It is important to note that, under certain circumstances, traditional systems can undermine gender equality.*

**Reconciliation can be a challenging and long-term process for communities deeply divided along political or ethnic lines.** While reconciliation must grow **between** and **within** communities, it can benefit from international support, especially when people and/or political leaders are unable or unwilling to initiate it. **UNHCR's programmes comprise structures and mechanisms that promote confidence building and co-existence.** They include:

- Confidence-building measures, such as "go-and-see" visits for refugees to visit their country of origin (conditions permitting) and inter-community bus lines;

- Workshops and income generation-led co-existence projects for ethnically diverse groups;

- Community-based co-existence projects to: a) develop community forums to manage conflict in a participatory manner; and b) improve community development and civic affairs capacities of civil society and the local leadership to facilitate participatory decision making for the management of grants provided to the community;

- The establishment of networks among local authorities, government, local and international NGOs, other international organisations, religious associations or institutions to coordinate co-existence initiatives and facilitate information exchanges; and

- The strengthening of civil society structures through the provision of financial support to different groups or associations or providing fora to facilitate meetings between different ethnic communities.

UNHCR launched the "**Imagine Co-existence**" initiative in 2000 as an integral part of its reintegration activities to make return sustainable and contribute to peace building. The initiative informed the development of an information package that consists of:

- **A project report** outlining Imagine Co-existence activities conducted and the approaches taken during the pilot implementation;
- **An evaluation report**, "Assessing Refugee Reintegration Efforts in Divided Communities", prepared by The Fletcher School of Law and Diplomacy;
- **A checklist** on the design, implementation and evaluation of co-existence projects;
- **A CD-ROM** on Imagine Co-existence activities in Bosnia and Herzegovina; and
- **Proceedings** of the workshop entitled "Rethinking Peace, Co-existence and Human Security in the Great Lakes", Kigali (16-19 April 2002).

All these are available from the Reintegration and Local Settlement Section (DOS/UNHCR).

*Additional information on conflict prevention, conflict resolution and peace building can be found at: www.cdain.com; www.saferworld.co.uk; www. international-alert.org; www.fewer.org*

# CONCLUSION

A key factor determining the success and sustainability of the reintegration process and, therefore, the early phase-out of UNHCR is the extent to which areas of return in countries of origin benefit from long-term development activities and the speed with which the latter and early assistance are connected. Linking early reintegration activities with long-term development requires a good understanding of the processes and tools utilized in planning development activities and identifying windows of opportunity. Module Two, Section 2 discusses these issues in greater detail.

The preceding sections emphasize the role of government, the UN, donors and other partners in transition-recovery. It is, however, important to stress that the private sector often plays an important role in revitalizing local economies, providing employment and re-establishing social and economic infrastructure destroyed during conflict (given the right incentives). Its potential must be built upon in planning and implementing reintegration.

# MODULE TWO:
# HUMANITARIAN AND DEVELOPMENT PLANNING TOOLS AND PROCESSES

PART A

# SUMMARY OF MODULE

***The module presents an overview of the policies of development partners related to post-conflict recovery and various country-level humanitarian and development planning tools and processes. The latter fall under three categories: (i) short-term humanitarian and transitional tools (e.g. Consolidated Appeals Process (CAP), Transitional Appeals Guidelines); (ii) multi-year development planning tools (e.g. Common Country Assessments (CCA) and United Nations Development Assistance Frameworks); and (iii) macro-policy frameworks (e.g. National Development Plans (NDPs), Poverty Reduction Strategy Papers (PRSPs) and Millennium Development Goals (MDGs)).***

***The aim of the module is to improve UNHCR staff understanding of existing post-conflict policies, planning tools and processes in order to strengthen the linkages between reintegration and development and ensure that returnee issues feature more prominently on the development agenda. The module should also help UNHCR staff to participate effectively in joint planning processes.***

Section 1: POST-CONFLICT POLICIES AND OPERATIONAL MECHANISMS OF DEVELOPMENT PARTNERS

Section 2: OVERVIEW OF PLANNING TOOLS AND FRAMEWORKS

Section 3: LINKING REINTEGRATION WITH PLANNING FRAMEWORKS AND TOOLS

# INTRODUCTION

In post-conflict situations, the process of reintegration to longer-term development does not readily follow the initial emergency assistance provided by humanitarian actors. In politically fragile environments characteristic of post-conflict situations, returnees (and local communities) may experience deprivation for extended periods and lack both the means and opportunities to work toward a better future. Some opt to return to their country of asylum.

As discussed in Module One, linkages between reintegration activities and development programmes must be established in the early stages of the reintegration process to ensure the durability of return. Insufficient linkages can: a) result in the failure to meet the long-term needs of communities in areas of return and/or UNHCR taking on more responsibility than its mandate or resources allow; and b) pose a challenge for fragile peace processes. Engaging development partners early in joint planning processes is, therefore, vital for success. In order to do this, UNHCR staff must understand development partners' policies on post-conflict recovery and the tools and processes they use in planning humanitarian and development interventions.

# Section 1

# POST-CONFLICT POLICIES AND OPERATIONAL MECHANISMS OF DEVELOPMENT PARTNERS

Development partners involved in post-conflict recovery include:

- UN organisations (e.g. UNDP, UNICEF, ILO, FAO, WFP and WHO);
- International and Regional Financial Institutions (e.g. the World Bank, African Development Bank and Asian Development Bank);
- Bi-lateral donors (e.g. Norway, Denmark, the US, the UK and Germany);
- Multi-lateral donors (e.g. the EU); and
- Non-Governmental Organisations (NGOs).

Tables 2.2, 2.3 and 2.4, respectively, summarize the main policies and operational mechanisms for the UN, selected bi-lateral donors and multi-lateral financial institutions and organisations.

**As the tables indicate:**

- Many development partners have set up specialized units to deal with post-conflict transition-recovery (e.g. UNDP has a Bureau for Crisis Prevention and Recovery and an associated trust fund; UNICEF has an Office for Emergency Programmes with specialized Units dedicated to Humanitarian Policy and Advocacy development, Field Support and Transitional issues).
- Policies and operational mechanisms differ in that:
  - ✓ Many still use existing emergency or development funding windows;
  - ✓ Some countries (e.g. Norway) have established “Transitional Budget Lines” to improve flexibility in funding transition activities;
  - ✓ Denmark has a policy that allows for the flexible use of either humanitarian or development windows for transition, while Canada’s “3-D” (diplomatic, defence and development) initiative establishes

broader coherence in addressing post-conflict situations, such as that in Afghanistan.

- ✓ The World Bank has a defined policy framework to intervene in post-conflict situations and has set up a "Post-conflict Fund" (PCF) to facilitate grant making to support community-based activities; and

- ✓ The EU provides special funding for refugees and returnees using several windows, such as EU budget lines, National Indicative Plans and special provisions, such as the European Union/Africa, Caribbean and Pacific (EU/ACP) Cotonou Agreement, Article 72(4).

While the large number of organisations involved in transition-recovery may pose challenges, especially where government capacity is weak, UNHCR can capitalize on this high level of involvement to:

- ➲ Forge new partnerships and strengthen existing ones to further its protection and solutions agenda (particularly in a 4Rs context);

- ➲ Undertake joint programming as a means to early phase-out;

- ➲ Utilize the expertise of the specialized agencies to design and implement reintegration programmes (e.g. UNICEF for child protection, education, water and sanitation, primary health care, gender, HIV/AIDS, etc.; WHO for health; UNDP for area- and community-based approaches and linkages between reintegration and macro-policy frameworks, including MDGs; the World Bank for sectoral investments and PRSPs; and ILO for employment and labour-based activities);

- ➲ Strategically select areas of concentration, especially beyond the early reintegration phase; and

- ➲ Access additional resources to support reintegration activities.

***NGOs are active in both emergency and post-conflict activities, in addition to government and local authorities. They are a major partner for UNHCR and implement most of the organisation's reintegration activities. In 2003 UNHCR had 588 NGO partners of which 399 were local NGOs.***

# Section 2

# OVERVIEW OF PLANNING TOOLS AND FRAMEWORKS

UNHCR already participates to varying degrees in UN planning processes in post-conflict situations and involves other actors in the reintegration activities it undertakes. UN Development Group (UNDG) membership further consolidates collaboration between UNHCR and other UN agencies. However, the UNHCR programming cycle, tools and budgeting procedures differ from those of more development-oriented agencies. Better understanding among UNHCR staff of the tools used in development planning will facilitate joint approaches, help place returnee and reintegration issues on the development agenda and contribute to the earlier phase-in of development actors.

## 2.1 Typology of Planning Frameworks

Planning frameworks fall into three broad categories:

1) **Short-term humanitarian and transition planning frameworks and tools,** which include National Recovery Strategies (NRS) prepared by governments or a transitional authority, Transitional Appeals Guidelines (TAG) and the Consolidated Appeals Process (CAP);

2) **Multi-year development planning tools,** which cover UN tools and processes (Common Country Assessments/UN Development Assistance Framework and agency-specific programming frameworks, such as UNDP's Country Cooperation Framework, UNICEF's Country Programme of Support), World Bank planning frameworks (Comprehensive Development Frameworks/Country Assistance Strategies) and frameworks used in bi-lateral (e.g. the Canadian Country Development Programming Framework) and multi-lateral cooperation agreements (e.g. the EU Country Support Strategy); and

3) **Macro-policy frameworks and global development targets,** which encompass National Development Plans (NDPs, including Sector-Wide Approaches (SWAPs) and District Development Plans), Poverty Reduction Strategy Papers (PRSPs) and International Development Targets, such as the Millennium Development Goals (MDGs).

**Module 2, Annex 1 contains a detailed overview of the various frameworks and tools used in planning humanitarian/emergency, relief-transition and long-term development.**

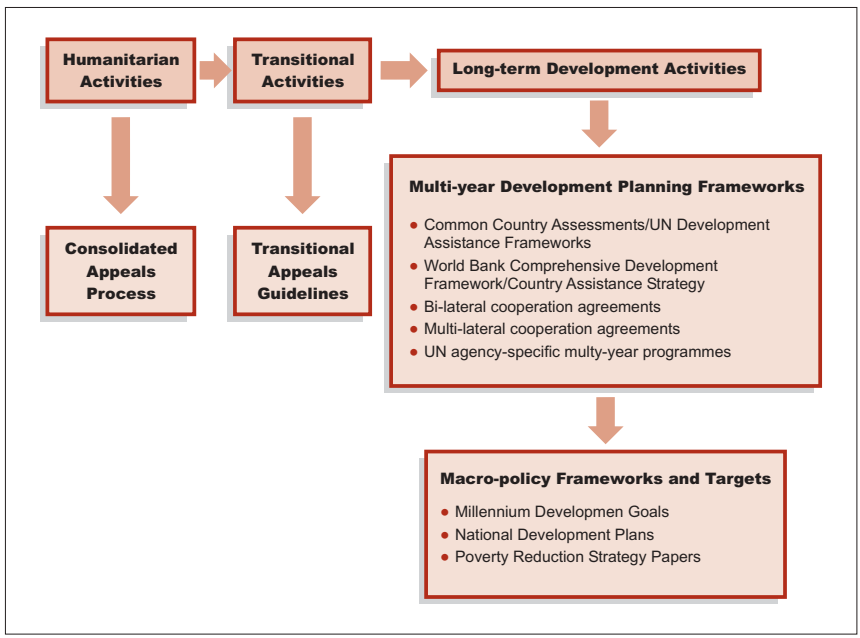



*Figure 2.1: Linkages among planning frameworks*

## 2.2 Funding Mechanisms

As indicated in the previous section, there are few financial instruments designed specifically to respond to post-conflict recovery. There is not only a need for flexibility and rapid disbursement, but also for instruments to foster joint planning and implementation, which are vital in linking relief with long-term reconstruction and development activities. Box 2.1 provides an overview of the various funding mechanisms relevant to post-conflict recovery activities.

**Box 2.1: Funding mechanisms**

**Pledging conferences and special appeals**

- Designed to mobilize funds at the global level to finance post-conflict recovery and to bridge the gap between development and relief assistance;
- Include round table mechanisms (UNDP), consultative groups (World Bank), multi-lateral pledging conferences and special appeals;
- Limitations include late timing, difficulty in the absence of a legitimate government, slow disbursement of pledged funds and, earmarking, which tends to reduce flexibility.

**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 advantages, 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.

# Section 3

# LINKING REINTEGRATION WITH PLANNING FRAMEWORKS

As stressed earlier, successful reintegration calls for a seamless and early connection between repatriation and reintegration and between long-term rehabilitation, reconstruction and development.

**Box 2.2: Potential benefits in linking reintegration with development planning frameworks**

- Placement of returnee issues on the development agenda of programmes and funds;
- Increased chances for sustainability of solutions and interventions;
- Potentially greater financing;
- More people-centred development;
- Smoother exit for UNHCR and interface with development actors; and
- Greater efficiency of resource use.

UNHCR staff must take four factors into account when incorporating reintegration activities in the planning frameworks discussed in the preceding section (and in Annex 1):

1) **Different client focus:** UNHCR operations focus on individuals, families and communities, while many development partners may focus largely on processes and policies.

2) **Different programme formulation processes:** Development actors' emphasis on sustainability could mean that programme formulation takes longer than in traditional UNHCR practice. Tools and concepts may at times be different, but, if used jointly, can be complementary.

3) **Different budgeting cycles:** The UNHCR budgeting cycle is annual, while most other development partners have multi-year planning and budgeting cycles. Both present advantages and disadvantages.

4) **Different types of interventions:** Development agencies do not customarily undertake small-scale and short-term rehabilitation projects, which UNHCR and its implementing partners traditionally support.

Establishing an early connection with and integrating post-conflict recovery activities into development planning frameworks, therefore, do not come easily or naturally; they require an investment of time and resources. Box 2.3 lists examples of activities that incorporate reintegration and post-conflict recovery issues into CCA/UNDAF.

**Box 2.3: Examples of how UNHCR staff in Branch Offices can get involved in CCA/UNDAF processes**

- ☑ Attend CCA/UNDAF planning meetings and joint drafting sessions;
- ☑ Volunteer to be the focal point for the coordination of thematic/drafting teams on relevant issues, such as human rights in post-conflict situations;
- ☑ Ensure that other UNHCR colleagues participate in the processes, especially Protection and Community Services staff, and that their views are acknowledged and incorporated into development plans; and
- ☑ Keep refugee and returnee issues (such as land tenure for returnee women) high on the agenda of other UN agencies and governments even when UNHCR is no longer operating in a particular area (i.e. an UNDAF may later act as an *aide-mémoire* for others).

***While the sustainability of reintegration efforts largely depends on the ability to forge linkages with development activities, these "up-stream" linkages with development agencies should be complemented by "down-stream" linkages to returnees and their communities, community-based organisations and local authorities.***

Table 2.1 provides further examples of how to link reintegration with various planning frameworks.

**Table 2.1: Suggestions to link reintegration with planning frameworks**

| TYPOLOGY | TOOL | SUGGESTED ACTIONS TO LINK REINTEGRATION AND PLANNING FRAMEWORKS |
|---|---|---|
| Macro-policy frameworks and targets | Millennium Development Goals (MDGs) **= a summary of development goals agreed at international conferences and world summits during the 1990s; include 8 goals, 18 targets and 48 indicators to achieve by 2015.** | ☑ Use MDGs as an advocacy tool (target decision makers) on relevance of successful reintegration to attainment of MDGs:<br>– Returnees are citizens and can equally contribute to growth if provided opportunity to use skills, assets and capacities; and<br>– Meeting MDG targets requires targeted interventions to all sectors of population, including returnee areas and communities.<br>☑ Provide information and inputs on returnee areas in Millennium Reports. |
| | National Development Plans **= a framework for policy and investment priorities of governments, sometimes supported by Sector-Wide Approaches (SWAPs) and district development plans.** | ☑ Cover rehabilitation and reconstruction needs in given sectors, using sector-wide approaches in education, health, infrastructure, etc.;<br>☑ Incorporate area-based reintegration programmes in returnee areas into district-level development plans;<br>☑ Include recurrent costs of reintegration into national and district-level budgets; and<br>☑ Use decentralized planning structures to reinforce coordination and decision making on reintegration programmes in areas of return. |
| | Poverty Reduction Strategy Papers (PRSPs) **= a country's macro-economic, structural and social policies and programmes to promote growth and reduce poverty (World Bank-led).** | ☑ Participate and provide inputs in preparatory activities of PRSPs (e.g. poverty assessments);<br>☑ Review and provide inputs into draft PRSPs or during mid-term reviews; and<br>☑ Review public sector investment proposals to integrate rehabilitation and reconstruction activities in areas of return. |
| Multi-year development planning frameworks | Common Country Assessment/UN Development Assistance Framework (CCA/UNDAF) **= an instrument of the UN system to analyse development challenges and a common strategic framework for operational activities at the country level.** | ☑ Use assessments of development challenges identified through CCA in developing a reintegration strategy;<br>☑ Integrate reintegration and recovery as a thematic priority area in UNDAF to lay basis for collective UN action for 4Rs, etc.;<br>☑ Incorporate reintegration indicators (including protection) into the monitoring and evaluation framework of UNDAF (this will contribute to follow-up once UNHCR phases out); and<br>☑ Use CCA/UNDAF process to design specific joint programmes on recovery with other UN agencies (e.g. UNICEF on water and sanitation, child protection, primary health care, gender, HIV/AIDS and primary education; ILO on micro finance, etc.). |

**Table 2.1: Suggestions to link reintegration with planning frameworks**

| TYPOLOGY | TOOL | SUGGESTED ACTIONS TO LINK REINTEGRATION AND PLANNING FRAMEWORKS |
|---|---|---|
| | Comprehensive Dev. Framework and Country Assistance Strategy (CDF/CAS) **= World Bank planning frameworks at the country level.** | ☑ Cover rehabilitation and reconstruction components of the 4Rs through sector investment loans, etc.;<br>☑ Tap grants and community reintegration expertise from the World Bank Post-conflict Fund (PCF); and<br>☑ Support community-based activities in areas of return. |
| | Bi- and Multi-lateral Cooperation Agreements | ☑ Sensitize country representatives for inclusion of reintegration programmes in bi- and multi-lateral cooperation agreements; and<br>☑ Design specific proposals and submit for funding. |
| Short-term humanitarian-transition frameworks | Transitional Appeals Guidelines (TAG) **= a tool of the UN system for transitions.** | ☑ Use TAG as a comprehensive framework to link funding for reintegration and rehabilitation and lay the basis for reconstruction. |
| | **Consolidated Appeals Process (CAP)** = a UN system tool to fund emergencies. | ☑ Cover needs in early reintegration phase (e.g. food assistance and shelter needs) under the CAP; and<br>☑ Meet needs arising from droughts and other emergencies during the reintegration process through CAPs. |

Partnership between UNHCR and development actors is not a "one-way street", as the organisation also makes vital contributions to post-conflict recovery, development and peace building:

- UNHCR is usually one of the first actors "on the ground", and ensures through its presence respect for the human rights of returnees and local communities;

- The organisation injects vital initial resources that not only address the immediate needs of conflict-impacted areas and communities and facilitates access to basic services, but also contributes to laying the foundation for long-term development;

- UNHCR helps create the institutional and other platforms on which other actors can build;

- UNHCR brings to the development dialogue at the country level a distinct expertise and practical experience in the field of human rights, notably in terms of monitoring and dealing with national and local authorities (judiciary, etc.); and

- Through its specific focus, mandate and methods of work, UNHCR contributes in a direct manner to solving problems at the individual, family and community level, which would normally be achieved only through the gradual filtered down approach of development actors. This is a powerful means to address reconciliation and peace building.

## CONCLUSION

Module Two provides an overview of the policies and operational mechanisms related to recovery, as well as the various tools and frameworks used in development planning. It also suggests how to link recovery issues to planning frameworks in order to improve the durability and sustainability of the reintegration process. Part B of the Handbook covers detailed steps for planning, implementing, monitoring and evaluating reintegration activities.

**Table 2.2: Policies, structures and mechanisms of UN agencies for transition-recovery activities**

| | POLICIES | STRUCTURES AND MECHANISMS | FUNDING MODALITY |
|---|---|---|---|
| **FAO** | Raise the nutritional levels and living standards of the poor by saving and replenishing agricultural assets, improving agricultural productivity and incomes and enhancing the ability of the poor to acquire and effectively utilize nutritionally adequate food. | Needs assessments and formulation of strategies and programmes for agriculture, fisheries and livestock; coordination of agricultural interventions in emergencies; direct provision of inputs to restore self-reliance; provision of technical advice to NGOs, the UN and governments.<br>There is work underway within the organisation to improve needs assessment guidelines and formulation of strategies to support transition from relief, rehabilitation and reconstruction to sustainable development. | There is work in progress on developing funding modalities for recovery and development. |
| **UNDP** | Develop and share innovative approaches to conflict prevention and peace building, disaster mitigation and post-crisis recovery.<br>Seven service lines for conflict prevention and recovery: (i) conflict prevention and peace building; (ii) recovery; (iii) security and transitional justice; (iv) small arms, disarmament and demobilization; (v) mine action; (vi) natural disaster reduction; (vii) special initiatives on transitions. | The Bureau for Crisis Prevention and Recovery (BCPR) established in 2001, replaces the Emergency Response Division (ERD).<br>Mechanisms within BCPR: (i) global crisis prevention and recovery knowledge network; (ii) human resources service centre to facilitate quick deployment; (iii) use of UNVs.<br>With 166 country offices around the world, UNDP works in all conflict-affected and transition countries. | (i) Trac 1.1.3: a separate funding window for crisis prevention and recovery. UNDP country offices can call on resources to meet emergency/transition needs; (ii) Thematic Trust Fund for Conflict Prevention and Recovery: instrument for rapid disbursement and flexible programming; (iii) a range of execution modalities (including Direct Execution – DEX), etc. |
| **WFP** | (i) Save lives in refugee and other emergency situations; (ii) improve nutrition, especially among children, mothers and vulnerable people; (iii) protect livelihoods in crises and enhance resilience; (iv) support access to education and reduce gender disparity in access to education and skills training; and (v) help governments to establish and manage national food assistance programmes. | The Operations Department: (i) emergency operations to respond to natural and human-made disasters through delivery of food aid; (ii) Protracted Relief and Recovery Operations (PRRO) that last no longer than three years; (iii) development projects.<br>Other policies include: (i) From Crisis to Recovery; (ii) Protecting Livelihoods in Emergencies; (iii) Enabling Development. | Grant resources. |
| **ILO** | Employment-related social and economic challenges of different types of crisis, including armed conflicts, natural disasters, abrupt financial and economic downturns and social and political transitions. | (i) In Focus Programme for Crisis Response and Reconstruction (IFP/Crisis) within the Employment sector (overall coordination function); (ii) Small Enterprise Development (SEED); (iii) Social Finance Programme (SFP); (iv) Employment Intensive Investment Programme (EIIP) in countries affected by crisis or conflicts. | Grant resources. |

**Table 2.2: Policies, structures and mechanisms of UN agencies for transition-recovery activities**

| | POLICIES | STRUCTURES AND MECHANISMS | FUNDING MODALITY |
|---|---|---|---|
| **UNICEF** | Special protection for the most disadvantaged children (victims of war, disasters, extreme poverty and all forms of violence).<br>Five organisational priorities: (i) girls' education; (ii) early childhood development; (iii) Immunization Plus; (iv) HIV/AIDS; (v) protection from violence, abuse, exploitation and discrimination. | Four Core Commitments for Children in emergencies (CCCs) and humanitarian actions are: (i) rapid assessments; (ii) coordination; (iii) programmes (health and nutrition, education, child protection, water supply and sanitation and HIV/AIDS); (v) operations.<br>Structures: (i) Emergency Unit at HQ; (ii) regional offices for cross-multi-country emergencies wth regional Emergency and Planning focal points, etc.; (iii) country offices (assessments, liaisons and coordination programmes).<br>In terms of transition/recovery activities, and apart from health and nutrition, education, child protection, water supply and sanitation, gender, HIV/AIDS, UNICEF also provides adequate activities such as demobilization and reintegration of under age combatants, family tracing and reunification, psychosocial support and child-friendly spaces, Back-To-School activities, Mine Action, etc.<br>With regards to Humanitarian Policy and Advocacy development, UNICEF is an active member of the Inter-Agency Standing Committees, Action for the Rights of the Child (ARC), etc. | Grant funding. |
| **WHO** | (i) Ensure that all stakeholders perceive the importance of equitable access to health care in the contexts of transition and recovery; (ii) ensure that stakeholders make coordinated efforts to reach agreed standards for best practice in order to: (a) maintain life and health where systems have failed; (b) help local and national systems prepare for and mitigate the potential effects of crises; (c) help rehabilitate damaged systems and contribute to their recovery and reconstruction in ways that mitigate the effects of further crises; (d) promote health equity and contribute to the realization of development goals. | Country offices and regional offices with emergency focal points; Healthy Action in Crises department in Geneva (under the Director General's Office). When necessary, WHO country teams can draw on additional "surge" capacity (time-limited deployment of specially developed WHO health crisis multi-disciplinary response and recovery teams).<br>Key-functions for WHO before, during and after crises: Assessment and monitoring of people's health situations; Communicating reliable information and anitcipating scenarios; Covening of different health stakeholders around these scenarios, and co-ordination of their strategies and actions; Identification of gaps in responses, and arrangement of prompt action to ensure that these gaps are filled; and Strengthening of local capacity so that systems for public health are repaired, health institutions recover and public confidence is re-established promptly. | Re-orientation of regular country budget and extra-budgetary contributions from donors.<br>For rapid-onset crises, resources from response funds or special allocations by the Director General or Regional Director can be used. UN-Central Emergency Relief Fund is used for larger interventions. Proposals for thematic funds are under preparation and might supplement the above sources. |

**Table 2.3: Policies, structures and mechanisms of bi-lateral donors and the EU related to transition-recovery activities**

| | POLICIES | STRUCTURES/ MECHANISMS | FUNDING MODALITIES |
|---|---|---|---|
| **Canada** | No clear policy on transition–recovery. However, partly covered under policies related to CIDA's International Humanitarian Assistance programme (IHA). The policy goal of IHA is to ensure appropriate, timely and effective assistance to ease human suffering resulting from conflicts and natural disasters. | (i) IHA Division; (ii) CIDA Programme Against Hunger, Malnutrition and Disease; (iii) Canadian embassies and high commissions; (iv) Department of Foreign Affairs and International Trade. | (i) CIDA multi-lateral division provides core funds to UNHCR through its humanitarian programme. Some funding is ear-marked (e.g. repatriation and reintegration of refugees in Eritrea); (ii) IHA short-term responsive programming (year) for improved or maintained health, improved physical security and improved or maintained household or community livelihoods. NGOs and international organisations are eligible for funding. |
| **Denmark** | To promote sustainable development through poverty-oriented economic growth. Within the poverty focus of its development assistance, Denmark will support countries that have large groups of refugees (potential for DAR). | DANIDA's South Group manages bi-lateral, multi-lateral and humanitarian assistance.<br>Office 3 is responsible for multi-lateral humanitarian organisations, including UNHCR. | (i) Core contribution to UNHCR through multi-lateral humanitarian budget; (ii) thematic budget lines for conflict prevention, peace building, HIV/AIDS and transition; and (iii) local embassy funds. |
| **Japan** | Human security is one of the five basic policy objectives of Japan's new ODA charter.<br>Peace building - including conflict prevention, humanitarian intervention and rehabilitation, Disarmament, Demobilization and Reintegration (DDR), reconstruction and enhancement of administrative capacities - is one of the core priorities of Japan's ODA. | There is no special unit for transition–recovery.<br>Ministry of Foreign Affairs manages Japan's ODA with two relevant sections:<br>(i) Bi-lateral: Economic Cooperation Bureau, which has a policy (Aid Policy Division) and operational responsibility through JICA.<br>(ii) Multi-lateral: relevant structures are the Humanitarian Assistance Division (responsible for core contributions to UNHCR) and the UN Administration Division (responsible for the Human Security Trust Fund at the UN). | (i) Bi-lateral: technical cooperation implemented through JICA, General Grant Aid, Grant Assistance for Grassroots Human Security Projects (NGOs, local governments and UNHCR can only access these three sources through parallel financing, while UNHCR can access Peace Building Grant Aid and Emergency Grant Aid).<br>(ii) Multi-lateral: UNHCR can benefit from both core contributions, as well as from the Human Security Trust Fund at the UN secretariat. |
| **Norway** | An allocation for "Transitional Aid" established in 2002, which aims "[…]to contribute to development and peace building in countries that are seeking to resolve violent and deep-seated conflicts." Priority is given to assistance that directly contributes to reconciliation and development. | The Minister of International Development has the constitutional responsibility for transitional aid. The Ministry of Foreign Affairs administers the allocation, which is subject to careful political control and follow-up and is closely coordinated with the humanitarian assistance budget. | i) Core contributions to UNHCR through Ministry of Foreign Affairs;<br>ii) transitional budget line (for 2003, approximately US$58 million for eleven countries).<br>The total amount allocated through the transitional budget line, as well as the geographical concentration of grants, differ from year to year. |

**Table 2.3: Policies, structures and mechanisms of bi-lateral donors and the EU related to transition-recovery activities**

| | POLICIES | STRUCTURES/ MECHANISMS | FUNDING MODALITIES |
|---|---|---|---|
| **EU** | The policy on transition-recovery is part of the humanitarian aid policy (Linking Relief, Rehabilitation and Development).<br>Council Regulation (EC) 2258/96 aims to "provide aid for rehabilitation and reconstruction in developing countries that have suffered serious destruction with a view to ensuring a link between relief…and development aid."<br>Three categories of crisis targeted: natural disasters, armed conflicts and structural and other types of crisis. The priority actions of assistance are: to re-launch production; rehabilitate basic infrastructure, including mine clearance; socially reintegrate refugees, IDPs and demobilized soldiers; and restore institutional capacities. | The European Office for Emergency Humanitarian Aid (AID) set up in 1992 coordinates and finances operations across the world through a series of partners (currently over 200, including UN agencies). | Three instruments are: (i) emergency aid in the form of cash to provide essentials, such as medicine, food, shelter, fuel and personnel; (ii) food aid to meet food security needs; (iii) refugee aid to encourage self-sufficiency for refugees or IDPs and to promote local integration or reintegration.<br>EU budget lines, National Indicative Plans and special provisions (e.g. Cotonou Agreement (EU/ACP), Article 72(4)). |

**Table 2.4: Policies, structures and mechanisms of the WB, AfDB and ADB related to transition-recovery activities**

| | POLICIES | STRUCTURES AND MECHANISMS | FUNDING MODALITY |
|---|---|---|---|
| **World Bank** | WB has no relief or peace-building mandate, does not get involved in political affairs and only intervenes upon invitation.<br>The policy for transition, developed in 1997 involves a five-stage process:<br>(i) Watching Brief;<br>(ii) preparation of a Transitional Support Strategy (TSS);<br>(iii) transitional and early reconstruction activities;<br>(iv) post-conflict reconstruction; (v) normal lending operations. | (i) Headquarters: a Conflict Prevention and Reconstruction Program (CPRP) – formerly the Post Conflict Unit - supports country teams with policy and expertise. CPRP, located within Social Development Department, manages Post-conflict Fund (PCF).<br>(ii) Field: country teams for assessment, planning and early phases; small regional teams where necessary. | (i) Post-conflict Fund (PCF) was a part of Development Grant Facility (DGF), it provides grants for the post-conflict activities of the World Bank. PCF also maintains other trust funds for similar purposes, such as the Japan Post-conflict Fund. PCF provides grants from US$25,000 to US$1 million, while the Japan PCF makes grants from US$1-2 million for TSS and early reconstruction activities. International bodies, transitional authorities, NGOs, universities and Civil Society Organisations (CSO) are eligible to apply to the PCF. For the Japan PCF, mainly governments, not NGOs, are eligible. |
| **African Development Bank** | A policy guideline on AfDB interventions in emergencies and relief has two components:<br>(i) short-term support lasting a few months and to be implemented by other parties; (ii) long-term rehabilitation and reconstruction.<br>It is recognized that AfDB does not have a comparative advantage on post-conflict transitions. | AfDB has three mechanisms for responding to emergency and post-conflict recovery:<br>(i) Special Relief Fund (SRF) for the short-term;<br>(ii) regular bank procedures for longer-term reconstruction;<br>(iii) Technical Assistance Fund (TAF) for studies, capacity building, etc. for conflict prevention. | (i) SRF provides grants up to US$500,000 for projects implemented by governments, NGOs and international organisations (WFP, UNHCR); (ii) normal loans for longer-term reconstruction. |
| **Asian Development Bank** | Has set up a special facility to assist small island member countries to respond to natural disasters.<br>Does not provide humanitarian assistance, but focuses on rehabilitation and reconstruction to ensure a seamless transition from relief to development. | N/A | Using loans to finance rehabilitation and reconstruction activities at standard Asian Development Fund terms. |

# ANNEX 2.1:

# BACKGROUND INFORMATION ON VARIOUS PLANNING TOOLS AND FRAMEWORKS

## INTRODUCTION

For the purpose of these guidelines, planning frameworks and tools are grouped into three categories:

1) **Short-term humanitarian and transition planning frameworks and tools**, such as the Consolidated Appeals Process and Transitional Appeals Guidelines (UN system);

2) **Multi-year development planning frameworks**, such as CCA/UNDAF (UN system) and CDF/CAS (World Bank); and

3) **Macro-policy frameworks and targets**, such as National Development Plans (NDPs); Poverty Reduction Strategy Papers (PRSPs) and Millennium Development Goals (MDGs).

# 1.

# SHORT-TERM HUMANITARIAN AND TRANSITION PLANNING FRAMEWORKS AND TOOLS

The two frameworks covered here are: a) Consolidated Appeals Processes (CAPs) and b) Transitional Appeals Guidelines (TAGs).

## a) Consolidated Appeals Process (CAP)

As indicated earlier, the CAP is a planning and programming instrument approved by the Inter-agency Standing Committee (IASC) in 1994 and specifically aimed at improving coordination and developing a Common Humanitarian Action Plan (CHAP) supported by integrated and transparent fundraising. Under certain circumstances, the CAP can be adapted. For instance, Sierra Leone had a relief and recovery appeal instead of a CAP. Box 1 presents the main characteristics of the CAP and possible benefits for UNHCR and returnees.

**Box 1: Main characteristics of a CAP and potential benefits for UNHCR and returnees**

- **Definition:** a programming process through which national, regional and international relief systems are able to mobilize and respond to select major or complex emergencies that require a system-wide response to humanitarian crises. A Common Humanitarian Action Plan (CHAP) serves to implement a CAP.
- **Functions:** to present a CHAP based on an agreed strategy; to provide a reference point for the international community on humanitarian strategy, programming and funding requirements; to provide a framework for system-wide monitoring and reporting; and to be a tool for fundraising, advocacy and accountability.
- **Results and outputs:** a shared and agreed common humanitarian action plan, including clear goals and sectoral operational objectives; a timely and prioritized consolidated appeal; a monitoring process that enables ongoing adjustment to the CHAP and improves accountability to beneficiaries; and a review process that supports strategy formulation, as well as resource mobilization efforts.
- **Main actors:** UN bodies, host governments, relevant humanitarian organisations, International Financial Institutions.
- **Timeframe:** on a need basis.
- **Benefit for UNHCR and returnees:** can cover emergency/humanitarian needs that remain in transition situations and be used to meet immediate reintegration needs.

## b) Transitional Appeals Guidelines

The lack of purpose-built tools has up to now been a key constraint to transition-recovery programming. The situation is changing however, and the UNDG/ECHA Working Group on Transition Issues issued interim guidelines for transitional appeals similar to the CAP process in 2003. There are a number of benchmarks to decide whether to elaborate a transitional appeal (if they are not met, the CAP mechanism must be used):

- A peace agreement has been signed **or** the peace process is very advanced;
- The government agrees to embark on a transition process;
- Major donors accept the need and are willing to support transitional programmes for the country;
- The situation is conducive, including politically, to the return and reintegration of refugee and internally displaced populations (if appropriate);
- The government has the capacity or is being supported to build its capacity to work in partnership with the UN on transitional planning, coordination and programme implementation;
- Support is available, or can be quickly obtained, in the office of the UN Resident Coordinator/Humanitarian Coordinator to coordinate planning for the transition;
- Coordination mechanisms are in place or can be adapted quickly to plan and implement a transition programme; and
- Coordination mechanisms include active participation by key transition stakeholders, including the government.

Box 2 outlines the key components of the proposed transitional appeal. The appeal will be adopted for transition situations upon approval by the Secretary General of the UN.

**Box 2: Issues and components of a transitional appeal**

1) The transitional appeal should include:
   - A summary of the **integrated inter-agency transitional strategy**; and
   - Project activities and an indication of necessary funds to implement this strategy.
2) The planning process used to devise the transitional appeal should **include** local populations, governments and their peace partners, as well as a wide range of international stakeholders. NGO participation is strongly encouraged and all organisations that are part of the IASC, ECHA and/or UNDG may apply for funds through the appeal.
3) A fully consultative assessment and analysis exercise should underpin the transitional strategy and appeal. The assessment should take into account a range of needs of a population, including re-absorption requirements of the displaced population (e.g. relief, capacity building, social services, peace building and human rights).
4) The strategy should identify remaining humanitarian priorities, as well as rehabilitation, recovery, reconstruction and return/reintegration priorities according to sector and geographic area, not agency-specific mandates.
5) For the purposes of the appeal, it would be helpful for the UNCT to **define country-specific understandings of terminology, such as relief, transition and recovery**.
6) The strategy should have **clear objectives and monitoring mechanisms** to facilitate progress measurement and revalidation.
7) The strategy should link to long-term strategies, such as the UNDAF or PRSP, as well as large IFI/regional bank programmes.
8) The strategy and programme activities may be multi-year, but:
   - Any multi-year strategy should include clear timelines and milestones;
   - All multi-year resource requirements should be broken down into one-year requirements; and
   - The appeal document itself should cover project activities for a one-year period.
9) Project activities requiring funds should be divided into categories, such as relief, transition and recovery, according to the agreed criteria for each (see 5 above).
10) Selection criteria (for relief, as well as programmes that have a transitional character) should be developed for the activities to be included in the appeal.
11) It may be useful to code types of activities to facilitate readability, usability and financial tracking (for donor ease of reference).
12) Recognizing that the UNCT may have an established name for its transitional appeal or wish to assign one for the purpose of the forthcoming global CAP launch, “Transitional Appeal for (Country X)” should be clearly marked on the top right-hand corner of the cover page.

# 2.

# MULTI-YEAR DEVELOPMENT PLANNING FRAMEWORKS

## 2.1 UN Planning Tools and Processes

In response to the Secretary General's call for the UN to articulate a coherent vision and unified approach at the country level, the organisation created two development planning tools, namely the Common Country Assessment (CCA) and UN Development Assistance Framework (UNDAF). The guidelines for CCA/UNDAF were first issued in 1999.

### *2.1.1 CCA/UNDAF process*

**Basic principles and approach**

The CCA/UNDAF is a cascading process beginning with a collective understanding of key development challenges and leading to individual or joint programming by the UN entities in a particular country. Table 1 presents the main characteristics of the CCA/UNDAF.

**Table 1: Main characteristics of the CCA/UNDAF and potential benefits for UNHCR and returnees**

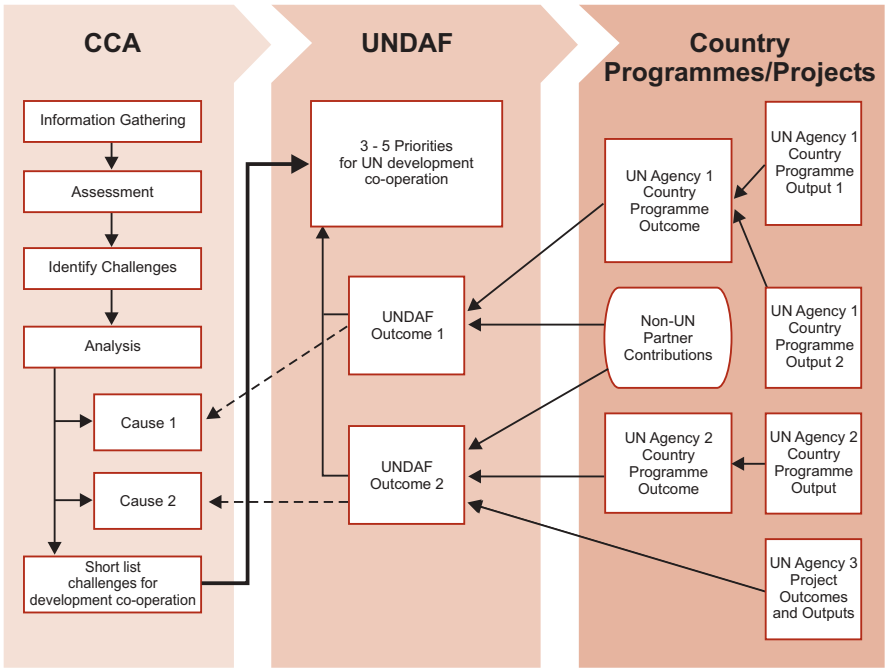
| | CCA | UNDAF |
|---|---|---|
| **Definition** | The common UN instrument to analyse the development situation and identify key national development issues with a focus on the MDGs and the other commitments, goals and targets of the Millennium Declaration and international conferences, summits, conventions and human rights instruments of the UN system. | The common strategic framework for operational activities of the UN at the country level, providing a collective, coherent and integrated response to national priorities and needs, including PRSPs and equivalent national strategies within the framework of the MDGs and the commitments, goals and targets of the Millennium Declaration and international conferences, summits, conventions and human rights instruments of the UN system. |
| **Function** | To support the development of UNDAF and agency country programmes, national plans and strategies (including PRSPs, sector investment plans and sector-wide approaches). May also support development of CAPs. | UNDAF emerges from the analysis of the CCA and is the next step in the preparation of UN country programmes and projects of cooperation. The UNDAF is equivalent to the Country Assistance Strategy of the World Bank and the Country Strategy Paper of the EU. |

**Table 1: Main characteristics of the CCA/UNDAF and potential benefits for UNHCR and returnees**

| | CCA | UNDAF |
|---|---|---|
| **Results and outputs** | A strategic analysis that identifies the root causes and gender-differentiated and group-specific impacts of poverty and other development challenges; a substantive contribution to national strategies – including PRSPs – to achieve the commitments, goals and targets of the Millennium Declaration and human rights instruments of the UN; identification of priorities for UNDAF; identification of capacity gaps of rights holders to make claims and duty bearers to meet their obligations; analysis of opportunities for and obstacles to free, active and meaningful participation in national governance and development processes and outcomes; identification of main development challenges and accountability for action to lay the foundation for the UNDAF and other partner responses to development challenges; a consensus on data and analysis needed for MDG Report preparation; a contribution to developing measures and building capacity for crisis prevention and disaster preparedness and, where applicable to mitigation plans, post-conflict/natural disaster recovery and rehabilitation and planning the transition from relief to development; and strengthened national capacities for analysis and utilization for priority setting, including risk and vulnerability assessments with geographic and beneficiary targeting. | Agreement on a rights-based strategic and results-driven support of the UN system to country-led efforts to achieve national priorities and goals within the context of the MDGs and the commitments, goals and targets of the Millennium Declaration and international conferences, summits, conventions and human rights instruments of the UN system; greater synergy and sharper focus of the programmes and projects supported by UN agencies and increased opportunities for joint initiatives that utilize their comparative advantages; greater long-term impact of UN development cooperation in terms of domestic capacity development and sustainability of results; integration of crisis/conflict prevention and peace building into development cooperation; better mitigation planning and disaster-preparedness to address natural and human-made crises; a strategic framework that integrates gender equality and is embedded in a human rights-based approach to programming, implementation, monitoring and evaluation; more efficient use of available UN resources and mobilization of additional resources, including through strategic partnership with other development partners; and a common plan and mechanism for monitoring and evaluation. |
| **Main actors** | Government, UN agencies, the private sector and civil society. | Government, UN agencies, the private sector and civil society. |
| **Timeframe** | Multi-year; synchronized with national planning cycle (e.g. PRSPs). | Multi-year; synchronized with national planning cycles (e.g. PRSPs). |
| **Benefit for UNHCR and returnees** | The development of a CCA involves a large cross-section of stakeholders and leads to agreement on a country's key development challenges. The principal benefit from a UNHCR/returnee/refugee perspective is that it can result in placing refugee/returnee concerns firmly on the development agenda of UN agencies, bi- and multi-laterals. | A coordinated UN action plan on recovery that can lay the basis for a 4Rs programme; uptake of issues of concern to UNHCR by other agencies; a better exit strategy for UNHCR; stronger partnerships; and the attainment of protection and durable solutions. |

The CCA/UNDAF process, which is mandatory for all countries with harmonized programming cycles, follows a specific schedule:

- CCA completed by September of the penultimate year of the current programming cycle;
- UNDAF and a draft results matrix completed by December of the penultimate year;
- UNDAF signed by 31 March in the final year of the harmonized cycle;
- Draft country programmes documents of UNDP, UNFPA, UNICEF, UNDP and WFP required by the Headquarters of respective organisations by 31 March in the final year of the UN harmonized cycle.



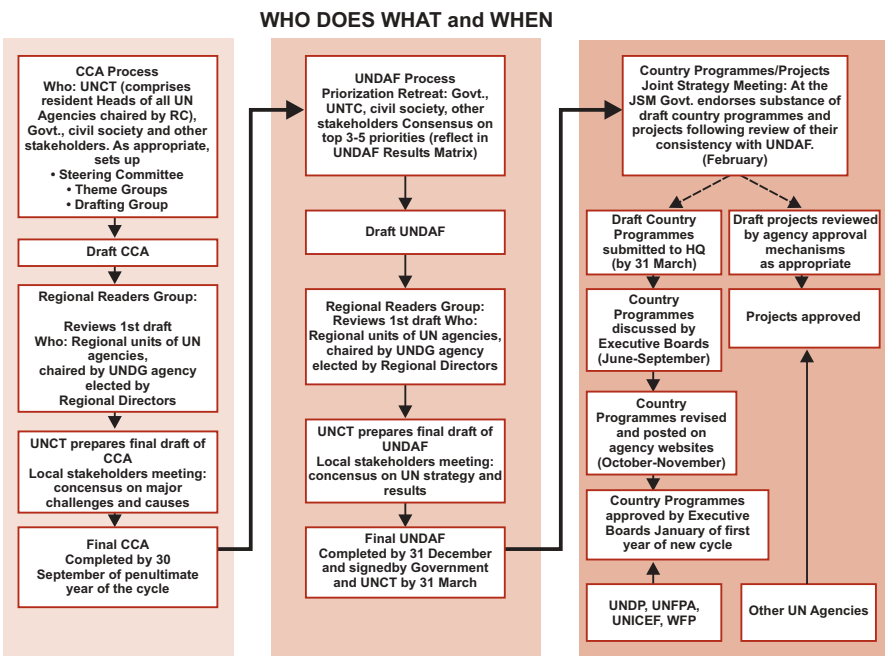




*Figure 1: Road map of the UN country programming process (source: www.undg.org)*

### Examples of how CCA/UNDAF can address issues of concern to UNHCR

The CCA/UNDAF process specifically mentions the goal of contributing to post-conflict, transition and recovery activities. The CCA/UNDAF also advocates a rights-based approach to development. UNHCR should capitalize on this to include protection issues in the CCA/UNDAF. Similarly, the concerns for meeting MDGs can be an entry point for achieving durable solutions. However, participation in CCA/UNDAF processes can pose challenges to UNHCR because of its annual budgeting and planning cycle (which does not mesh with the multi-year planning and funding mechanisms of development partners). It is important to mention that CCA/UNDAF processes are not always straightforward exercises, as agencies may display different levels of commitment, interest and participation; not all agencies require CCA/UNDAF to prepare their country cooperation programmes (re. UNDP, UNICEF, UNFPA and WFP). Nonetheless, important strides have been made to develop harmonized programming frameworks.

### Joint programming

On the basis of CCA/UNDAF, two or more UN agencies can prepare joint programmes/projects.

**JOINT PROGRAMMING**

**"The process through which the UNCT and national partners work together to prepare, implement, monitor and evaluate the UN's contribution to most effectively and efficiently achieve the Millennium Development Goals (MDGs) and other international commitments related to a government's national development targets"[18].**

According to the UNDG, "the strategic aim of a joint programme is to enhance development impact through the synergistic combination of inputs from two or more UN agencies, each contributing according to its particular expertise. [There should be] a limited number of key partners who have a common focus, understand the benefits of coordinated action and are prepared to participate intensely"[19].

18 *UNDG,* Draft Guidance Note on Joint Programming *(October 2003).*

19 *See www.undg.org for further information.*

**Examples of transition-recovery in CCA/UNDAF: Sierra Leone and Eritrea**

**Sierra Leone** went through a decade-long conflict that devastated much of the country and created large-scale human suffering. With the completion of disarmament in January 2002, the UN supported national efforts in peace building, recovery and the transition to long-term development. **Peace, recovery and development** are the central theme of an UNDAF formulated for 2004-2007 period[20]. The UNDAF was based on three previously developed frameworks: (i) the Interim-PRSP; (ii) the National Recovery Strategy; and (iii) the UN Peace-building and Recovery Strategy (PBRS). The UNDAF, in effect, became the operational framework for implementing the PBRS. Currently, a 4Rs programme linked to the UNDAF is being implemented using a grassroots and area-based integrated planning process in "areas of concentration" of return (the main districts concerned are Kambia, Kailahun and Kono).

In **Eritrea**, post-conflict recovery has been an integral part of the work of the UN. The country gained its independence after a 30-year war of liberation and a few years later was involved in a border war with Ethiopia, which devastated the economy and caused widespread misery. In addition, UNHCR was repatriating refugees who had been in the Sudan for close to 30 years. Box 3 illustrates the main elements of Eritrea's UNDAF and how recovery issues were taken into account. Using the 4Rs conceptual framework, UN agencies went a step further to develop a multi-year Integrated Recovery Programme (IRP) to operationalize the recovery component of the UNDAF.

In the case of both Eritrea and Sierra Leone, there was a fortuitous coincidence regarding the timing of the CCA/UNDAF process, the cessation of hostilities and the transition from conflict to peace and stability. This made it relatively easy to link transition-recovery to the UNDAF and to subsequently put in place a 4Rs programme. In less accommodating circumstances, 4Rs programmes should be linked to an existing government's or transitional authority's national recovery strategy.

20 Sierra Leone: Peace, Recovery and Development *(UNDAF 2004-2007).*

**Box 3: Integration of recovery issues in UNDAF (Eritrea)**

- **CCA thematic areas**. (i) governance; (ii) economic growth and development; (iii) food security; (iv) education; (v) health and nutrition; (vi) shelter, water and sanitation; (vii) environment and energy; and (viii) recovery (rehabilitation, reintegration and reconstruction).
- **UNDAF strategic objectives**. (i) promotion of democratic governance; (ii) promotion of access to quality basic social services; and (iii) promotion of pro-poor economic growth and sustainable livelihoods.
- **UNDAF thematic groups**. (i) basic social services; (ii) sustainable livelihoods and pro-poor economic growth; (iii) recovery; and (iv) data for development.
- **Programme priorities for recovery in UNDAF**. (i) support government with emergency relief to the war- and drought-affected population; (ii) support and facilitate the reintegration and rehabilitation of returnees; (iii) support the planning and implementation of a programme for demobilization; (iv) support mine action; (v) provide special attention to women-headed households in the emergency and recovery programmes; (vi) provide special assistance to community safety nets so as to cater to the special needs of unaccompanied children, the disabled, the elderly and other disadvantaged groups; (vii) bridge the gap between emergency, recovery, reintegration and development programmes; (viii) assist in the provision of appropriate and environmentally friendly housing schemes for returnees, IDPs and expellees; (ix) assist in the establishment of a mechanism for preparedness, prevention and/or mitigation of disaster situations; (x) support the collection, dissemination and analysis of data; and (xi) assist in drafting and implementing laws related to refugees and statelessness.
- **Integrated Recovery Programme**. Built upon the CCA/UNDAF, an IRP was developed by the UNCT in 2003 as the overall programme framework for recovery activities in areas of return. It adopted a holistic approach covering the needs of returnees, IDPs, expellees and local communities.

*Source:* Eritrea 2002-2006 *(UNDAF May 2002).*

### 2.1.2. Harmonization issues

Governments in developing countries have to contend with a multitude of complex procedures imposed by development and humanitarian agencies and donors (this is particularly difficult in post-conflict situations, where national and local capacities are often weak). Efforts to harmonize the often disparate interventions of development actors are gaining ground and there is now a global push for harmonization. An OECD/DAC (Organisation for Economic Cooperation and Development/Development Assistance Committee) process on harmonization culminated in the Rome High-level Forum on Harmonization. The OECD/DAC taskforce concluded that harmonization efforts should centre on developing country priorities, systems and processes, that these countries should not be beholden to the bewildering array of donor requirements and that donors ought to align their processes with those of programme countries. Similarly, in 2003, the UNDG Executive

Committee (UNDP, UNICEF, UNFPA and WFP) established the **Simplification and Harmonization Taskforce** to look at:

- Programme planning and the revision of CCA/UNDAF guidelines (issued in October 2003);
- Harmonized Country Programme Documents (CPDs) and Country Programme Action Plans (CPAPs);
- Harmonized annual work plans;
- Monitoring and evaluation; and
- Standardized donor and progress reports.

**For further information on these issues, please see www.undg.org and www.oecd.org/dac/donorpractices**

## 2.2 Other Tools and Frameworks

Bi- and multi-lateral donors, International Financial Institutions and other development actors all use different methods to plan development interventions. Examples of some of these tools are described below.

### Bi-lateral tool

The bi-lateral development planning tool of Canada, for instance, is the Country Development Programming Framework (CDPF)[21]. The framework is based on extensive consultations and reflects CIDA's priorities (basic needs, infrastructure services, private sector development, environment, gender equality, human rights, democracy and good governance) and those of the country. The CDPF can range from five (e.g. Bangladesh 2003-2008) to 10 years (e.g. Egypt 2001-2011).

### Multi-lateral tool

The programming tool of the EU is the Country Support Strategy (CSS).[22] The CSS consists of an analysis of a development situation, the EU's strategic response and a description of EU programming. On the basis of a CSS, a National Indicative Programme (NIP) is drawn up to provide financial and

21 *See www.acdi-cida.gc.ca for further information.*

22 *See www.europa.eu.int for further information.*

other details of support. The NIP mainly supports development, but in post-conflict situations it can support recovery (e.g. the current NIP for Eritrea has two components: post-conflict rehabilitation and long-term development). The EU provides special funding for refugees and returnees using several windows: EU budget lines, NIPs and special provisions, such as the Cotonou Agreement (EU/ACP), Article 72(4). The EU also intervenes regionally through its Regional Support Strategies. The latter cover Central Africa, West Africa, Eastern and Southern Africa and the Indian Ocean and the Southern African Development Community (SADC), Pacific and Caribbean regions.

### International Financial Institutions

**Box 4: The World Bank's Country Assistance Strategy (CAS) and Comprehensive Development Framework (CDF)**

- **Country Assistance Strategy.** "The Country Assistance Strategy (CAS) is the central vehicle for board review of the World Bank Group's assistance strategy for International Development Association (IDA) and International Bank for Reconstruction and Development (IBRD) borrowers. The CAS document: (i) describes the Bank Group's strategy based on an assessment of priorities in the country; and (ii) indicates the level and composition of assistance to be provided based on the strategy and the country's portfolio performance. The CAS is prepared with the government in a participatory way; its key elements are discussed with the government prior to board consideration. It is not a negotiated document, however. Any differences between the country's own agenda and the strategy advocated by the Bank are highlighted in the CAS document. At the end of July 1998, the World Bank Board of Executive Directors approved a new policy allowing public disclosure of Country Assistance Strategy (CAS) reports at government request. The new policy also stipulates that with government consent, the Bank can issue a CAS Public Information Note (CPIN) following board discussion of a CAS."

*Source: www.worldbank.org/cas*

- **Comprehensive Development Framework.** "Eliminating poverty, reducing inequity and improving opportunities for people in low- and middle-income countries are the World Bank Group's central objectives. The Comprehensive Development Framework (CDF) is an approach to achieve these objectives. It emphasizes the interdependence of all elements of development (whether social, structural, human, governance, environmental, economic or financial). The CDF advocates for: (i) a holistic long-term strategy; (ii) the country in the lead both "owning" and directing the development agenda, while the Bank and other partners each define their support in their respective business plans; (iii) stronger partnerships among governments, donors, civil society, the private sector and other development stakeholders in implementing the country strategy; and (iv) a transparent focus on development outcomes to ensure better practical success in reducing poverty. The CDF is the foundation for the new partnership between developed and developing countries to achieve improvements in sustainable growth and poverty reduction and to help countries achieve the MDGs (The Monterrey Consensus, 2002). The CDF approach, operationalized through PRSPs in low-income countries, provides the common foundation for implementing this new partnership at the country level."

*Source: www.worldbank.org/cdf*

# 3.

# MACRO-POLICY FRAMEWORKS

The traditional planning instrument of governments is the National Development Plan (NDP). Poverty Reduction Strategy Papers (PRSPs) and the Millennium Development Goals (MDGs) agreed to at the Millennium Summit are currently the principal references for development achievements. This section will briefly discuss these frameworks and show how they are used to address transition-related issues[23].

## 3.1 National Development Planning

Government development planning takes a variety of forms; the most common at the macro level is the National Development Plan (NDP). Traditionally, NDPs set government policy, investment and spending priorities over a given period (usually 5 to 10 years). They are now, however, supplanted by PRSPs as the principal framework for planning and implementing development activities. Planning at the national level also takes place **horizontally** through Sector-Wide Approaches (SWAPs integrate policy, institutions, programmes/projects, monitoring, evaluation and funding under one umbrella) and sector investment plans (SIPs) and **vertically** through district and village development plans. Governments use SWAPs to harmonize donor support to increase development effectiveness and reduce transaction costs. **SWAPs are a useful vehicle to incorporate rehabilitation and reconstruction activities related to health, education and infrastructure.**

**Decentralization (the establishment of institutional and legal frameworks for the decision making and empowerment of sub-national institutions at the provincial, district, city, town and village levels in terms of fiscal, administrative, political and legal processes)** is gaining ground in many developing countries. By bringing decision making closer to the people, decentralization is expected to foster programmes and services that better address local needs. UNDP estimates that 80% of developing countries are experimenting with some form of decentralization.[24]

23 *The integration of a human rights-based approach into development is also being emphasized. See O'Neill, W.G.,* The Current Status of Human Rights Mainstreaming: Review of Selected CCA/UNDAFs and RC Annual Reports *(April 2003). See also www.undp.org/governance*

24 *UNDP,* 2nd International Conference on Decentralization*, Manila, Philippines (July 2002).*

In 1999, out of 127 countries, 76% were politically decentralized and 41% had fiscal decentralization – both varied according to region and the latter also to per capita GNP (poor countries were less inclined to devolve fiscal responsibility to lower levels). The strengthening of sub-national planning structures is vital to successful reintegration and linking reintegration and development. In Eritrea, UNHCR helped set up a Zonal Recovery Committee (ZRC) under the regional administration in Gash Barka to help coordinate reintegration and development activities.

***When planning reintegration, it is essential to obtain information on existing structures at the sub-national level and, if necessary, to strengthen them, as they can often be an effective entry point to incorporate reintegration, rehabilitation and reconstruction activities into district-level development priorities and plans.***

## 3.2 Poverty Reduction Strategy Papers (PRSPs)

Poverty reduction, a major and long-term concern in development circles, has gained currency in the last decade and half. At the 1995 World Summit on Social Development, Heads of State and Government from 180 countries committed themselves to "formulating and strengthening national poverty eradication plans to address the structural causes of poverty". At the end of 1999, the Boards of the World Bank and the IMF approved a new policy instrument, the Poverty Reduction Strategy Papers (PRSPs), to serve as a framework document for concessional lending and, more specifically, as a basis for external debt relief under the Heavily Indebted Poor Country initiative launched in 1996. The push for PRSPs came from the global worsening of poverty and inequality and the pressure on IFIs to combine debt relief with a heightened impact on poverty. More recently, the international community agreed to the target of reducing world poverty by half by 2015 (re the MDGs). These developments signal an unprecedented convergence of development thinking and practice and political commitment on issues of poverty and human development.

**POVERTY REDUCTION STRATEGY PAPERS**

***PRSPs describe a country's macro-economic, structural and social policies and programmes to promote growth and reduce poverty, as well as associated external financing needs. They are prepared by governments through a participatory process involving civil society and development partners.***

*Source: www.worldbank.org*

The UN, International Financial Institutions, Regional Banks (e.g. African Development Bank and Asian Development Bank), bi-lateral (e.g. UK, Norway, Denmark and Canada) and multi-lateral donors (the EU) increasingly base programme interventions and funding priorities and decisions on PRSPs. Although originally intended for the 41 Heavily Indebted Poor Countries, PRSPs now cover all 77 low-income countries eligible for assistance on the basis of their per capita income and IDA-eligibility (countries with per capita incomes of less than US$885 in 1999). Countries can also develop Interim PRSPs (I-PRSPs) to avoid delays in accessing resources under the Heavily Indebted Poor Countries initiative.

The objectives of the I-PRSP are to:

- Launch full PRSP preparations without impeding access to the World Bank and the IMF concessional resources and to interim debt relief prior to the completion of a country's PRSP; and

- Provide a forward-looking and time-bound roadmap for how a country intends to complete the preparation of its PRSP.

I-PRSPs are short and well-focused documents that do not necessarily involve broad-based participation, as it is expected that full-fledged PRSPs will be developed subsequently. In circumstances where preparation of the PRSP takes more than one year, a PSRP Preparation Status Report is submitted to the boards of the World Bank and the IMF.

**For further information on PRSPs, please see www.worldbank.org/poverty/strategies**

Three key steps in formulating a PRSP are:

1) Understanding the features and causes of poverty;

2) Choosing public actions that have the greatest impact on poverty; and

3) Identifying indicators of progress and monitoring them in a participatory manner.

The PRSP process is intended to be continuous and aims to improve public action for poverty reduction and economic growth. Countries are, therefore, expected to review and update their PRSPs every two to five years and to annually prepare and discuss in-country progress reports on implementation. An essential element of PRSPs is the involvement of a broad

cross-section of stakeholders, including parliamentarians and civil society. Rigorous poverty assessment and monitoring should buttress PRSPs.

As of April 2003, 26 countries had prepared full PRSPs and 45 had prepared I-PRSPs. Conflict in some way affects many of these countries, including in Africa (Tanzania, Uganda, Kenya, Zambia, Guinea Bissau, Guinea, Sierra Leone, etc.), Asia (Pakistan, Cambodia, Mongolia, Vietnam, Sri Lanka, etc.), Europe and the Commonwealth of Independent States (Tajikistan, Georgia, Armenia and Albania) and in Latin America and the Caribbean (Bolivia, Honduras and Guyana).

The main components of a PRSP are presented in Box 5 below (this is a generic outline and can vary from one country to the next)[25]. The process of developing and implementing PRSPs should be:

1) **Country-driven** (involving broad-based participation by civil society and the private sector in all operational steps);

2) **Results-oriented** (focusing on outcomes that benefit the poor);

3) **Comprehensive** (recognizing the multi-dimensional nature of poverty);

4) **Partnership-oriented** (involving coordinated participation of bi-lateral, multi-lateral and non-governmental development partners); and

5) **Based on a long-term perspective** (for poverty reduction).

25 *An I-PRSP is less comprehensive and covers the following: (i) stock taking (a statement of the government's commitment, a description of poverty patterns and a description of existing poverty strategies); and (ii) a road map (a macro-economic framework, a consultative process to develop the PRSP and a work plan to identify and fill gaps in poverty data and analysis).*

**Box 5: Key elements of a PRSP**

- **The participatory process.** The PRSP should: describe the format, frequency and location of consultations; summarize the main issues raised and the views of participants; make an account of the impact of the consultation on the design of the strategy; and discuss the role of civil society in future monitoring and evaluation.
- **Comprehensive poverty diagnosis.** A PRSP should begin by using existing data to describe the poor (who they are and where they live). Building on this description, the PRSP should analyse the macro-economic, social, structural and institutional impediments to faster growth and poverty reduction.
- **Clearly presented and costed priorities for macro-economic, structural and social policies.** Given a deeper understanding of poverty and its causes, the PRSP will set out the macro-economic, structural and social policies that constitute a comprehensive strategy for poverty reduction. It is important that policies be costed and prioritized, so that they do not become a mere wish list.
- **Appropriate targets, indicators and systems for monitoring and evaluation.** A PRSP will define medium- and long-term goals for poverty reduction outcomes (monetary and non-monetary), establish progress indicators and set annual and medium-term targets. The indicators and targets must be appropriate to the assessment of poverty and the institutional capacity to monitor. They should also be consistent with strategy policy choices. Finally, a PRSP should include an assessment of the country's monitoring and evaluation systems and participatory mechanisms, wherever possible.

*Source: www.worldbank.org/poverty/strategies/overview.htm*

Once a PRSP or I-PRSP is formulated, a Joint Staff Assessment by the World Bank and IMF assists their boards to judge whether the PRSP or I-PRSP provides a sound basis on which to proceed with concessional lending or debt relief under the Heavily Indebted Poor Countries initiative.

***Linkage between PRSPs, conflict and recovery***

Poverty, social exclusion and poor governance are often at the root of conflict. Conflicts, in turn, destroy human, social and economic capital and can erase decades of developmental progress. They are thus a major threat to the elimination of poverty. Areas hosting refugees in countries of asylum and returnee areas in countries of origin are often in remote, marginal and poor regions that may enjoy limited development activity. Refugees' and returnees' limited physical, financial and social assets complicate and delay their pursuit of sustainable livelihoods. By tackling these issues, a PRSP can significantly contribute to the restoration of peace and stability and to conflict prevention. However, it should also be recognized that refugees/returnees have economic, social and cultural assets that can be built upon to facilitate successful reintegration and poverty reduction.

Georgia's recently developed PRSP demonstrates how to integrate post-conflict recovery issues (Box 6).

**Box 6: Integrating post-conflict issues in PRSPs (Georgia)**

- **Background:** the issue of post-conflict zones and IDPs is especially problematic for Georgia. Because of politically unresolved conflicts, the country has more than 300,000 refugees and a devastated infrastructure. Once the conflicts are resolved, the country will face the repatriation of refugees and re-settlement of IDPs, as well as the rehabilitation of post-conflict regions. To this end, preparatory work to rehabilitate post-conflict zones must be undertaken.
- **Goal of the PRSP:** to raise the welfare of the population of Georgia.
- **PRSP strategic objectives:** (i) fast and sustainable economic development (average growth rate of real GDP at 5.8% per annum); and (ii) reduction of poverty from 14% to 4.5%.
- **PRSP priorities:** (i) improved governance; (ii) macro-economic stability; (iii) improved structural and institutional environment; (iv) development of human capital; (v) social risks management and improved social security; (vi) development of priority sectors of the economy; (vii) improved natural environment conditions; (viii) *socio-economic rehabilitation of post-conflict zones*; and (ix) development of scientific institutions and information technology.
- **Objectives of socio-economic rehabilitation of post-conflict zones:** (i) establishing measures for the social adaptation and integration of IDPs; and (ii) spreading the scope of the projects implemented by the Georgian Social Investment Fund, Municipal Development Fund and other programmes to cover post-conflict zones.

*Source:* Economic Development and Poverty Reduction Programme of Georgia *(June 2003).*

The integration of returnee or refugee issues into bi-lateral development programmes from a poverty perspective is also feasible. A 2003 strategy of the Danish government states that **"Danish efforts in the refugee-affected areas have been organised within the framework of the poverty reduction focus in Danish development assistance. The aim of the refugee-affected areas programme is to reduce poverty among refugees and the local population in the poorest refugee-affected areas in developing countries"**[26]**.**

Such factors as weak administrative capacities, poor data, weak security, a fractured social and political environment and a high degree of political and economic uncertainty can hamper the preparation of PRSPs or I-PRSPs in post-conflict situations. Nonetheless, experience has shown that PRSPs can be valuable in promoting reconciliation in post-conflict situations. A comprehensive review of PRSPs undertaken by the World Bank and the IMF[27] identified a number of ways to link post-conflict issues with PRSPs (see Box 7).

26 *Danish Ministry of Foreign Affairs,* Strategy for Activities in Refugee-affected Areas *(2003).*

27 *World Bank,* Review of the Poverty Reduction Strategy Paper (PRSP) Approach: Early Experience with Interim PRSPs and Full PRSPs *(March 2002).*

**Box 7: Ways to link post-conflict issues with PRSPs**

**For countries:**

☑ Describe in PRSPs how conflict-related problems and constraints are addressed; and

☑ Focus on the public actions and institutions most urgently needed to rebuild core government systems and trust in public institutions.

**For development partners:**

☑ Improve donor coordination and timeliness of disbursements for conflict-affected countries;

☑ Encourage learning and dissemination of emerging practices and experiences across countries affected by conflict; and

☑ Support country efforts in conflict analysis, prevention and peace building.

**For the World Bank and the IMF:**

☑ Sensitize bank and country teams to the special needs of conflict-affected countries; and

☑ Flexibly apply the Joint Staff Assessment guidelines in conflict-affected countries, especially in terms of expected levels of participation, the quality of poverty diagnosis and the degree of detailed articulation of priority public policies.

*Source: World Bank and IMF,* Review of PRSPs and I-PRSPs Approach *(March 2002).*

To sum up:

- In low-income countries, PRSPs provide the crucial link among national public policy and action, donor support and the development outcomes needed to meet the MDGs.

- The formulation or review of a PRSP in countries of return provides a unique opportunity to include support for reintegration activities by:

  - Monitoring the formulation and/or review of PRSPs;

  - Working closely with and raising awareness of parliamentarians and other stakeholders and interest groups to mobilize support for the inclusion of returnee areas in PRSPs; and

  - Preparing concrete proposals to tap resources ear-marked for the implementation of PRSPs.

## 3.3. Millennium Development Goals (MDGs)

### 3.3.1 Background and targets

The MDGs consist of 8 goals, 18 targets and 48 indicators and are centred on national targets for poverty reduction, education, gender equity, environmental sustainability and an international trade and finance regime that favours development (Box 8). They were agreed to by 189 Heads of State and Government at the Millennium Summit held in New York and are a summary of the development goals elaborated at international conferences and world summits during the 1990s (world leaders distilled the key targets and goals into the "Millennium Declaration" in September 2000).

The three pillars of the MDGs are:

1) **Millennium Reports** (progress reports prepared by individual countries to show to what extent they are meeting the MDGs);

2) **The Millennium Campaign** (which promotes the MDGs, and ensures that the UN, governments, parliaments, trade unions, religious networks, civil society and private sector actors support efforts to reach the goals); and

3) **Millennium Research Projects** (which mobilize networks of scholars from developing and developed countries to help identify the necessary conditions - i.e. the right mix of policies, operational priorities, organisational means of implementation and financing structures - to achieve the MDGs).

The MDGs have mostly served as advocacy tools and to galvanize international action, but through the Millennium Reports they are increasingly being used to measure development.

## Box 8: Millennium Development Goals and Targets

**GOAL 1: ERADICATE EXTREME POVERTY AND HUNGER**

- Target 1: Between 1990 and 2015, halve the proportion of people whose income is less than one dollar a day.
- Target 2: Between 1990 and 2015, halve the proportion of people who suffer from hunger.

**GOAL 2: ACHIEVE UNIVERSAL PRIMARY EDUCATION**

- Target 3: By 2015, ensure that children everywhere (boys and girls alike) can complete a full course of primary schooling.

**GOAL 3: PROMOTE GENDER EQUALITY AND EMPOWER WOMEN**

- Target 4: Eliminate gender disparity in primary and secondary education, preferably by 2005, and in all levels of education no later than 2015.

**GOAL 4: REDUCE CHILD MORTALITY**

- Target 5: Between 1990 and 2015, reduce by two thirds the under-five mortality rate.

**GOAL 5: IMPROVE MATERNAL HEALTH**

- Target 6: Between 1990 and 2015, reduce by three quarters the maternal mortality ratio.

**GOAL 6: COMBAT HIV/AIDS, MALARIA AND OTHER DISEASES**

- Target 7: By 2015, have halted and begun to reverse the spread of HIV/AIDS.
- Target 8: By 2015, have halted and begun to reverse the incidence of malaria and other major diseases.

**GOAL 7: ENSURE ENVIRONMENTAL SUSTAINABILITY**

- Target 9: Integrate the principles of sustainable development into country policies and programmes and reverse the loss of environmental resources.
- Target 10: By 2015, halve the proportion of people without sustainable access to safe drinking water.
- Target 11: By 2020, have achieved a significant improvement in the lives of at least 100 million slum dwellers.

**GOAL 8: DEVELOP A GLOBAL PARTNERSHIP FOR DEVELOPMENT**

- Target 12: Further develop an open, rules-based, predictable and non-discriminatory trading and financial system (includes a commitment to good governance, development and poverty reduction both nationally and internationally).
- Target 13: Address the special needs of the least developed countries (includes tariff- and quota-free access for least developed countries' exports, enhanced programme of debt relief for Heavily Indebted Poor Countries and cancellation of official bi-lateral debt and more generous Official Development Assistance for countries committed to poverty reduction).
- Target 14: Address the special needs of landlocked countries and small island developing states (through the Programme of Action for the Sustainable Development of Small Island Developing States and the outcome of the 22nd special session of the General Assembly.
- Target 15: Deal comprehensively with the debt problems of developing countries through national and international measures in order to make debt sustainable in the long term.
- Target 16: In cooperation with developing countries, develop and implement strategies for decent and productive work for youth.
- Target 17: In cooperation with pharmaceutical companies, provide access to affordable essential drugs in developing countries.
- Target 18: In cooperation with the private sector, make available the benefits of new technologies, especially information and communication.

### 3.3.2 Relationships between MDGs, PRSPs and other planning frameworks

While the PRSPs are essentially coordinated by the World Bank and the IMF, the Secretary General has designated the Administrator of UNDP, in his capacity as chair of the UNDG, as the "scorekeeper" and "campaign manager" for the MDGs. To clarify the linkages between the MDGs, PRSPs and other frameworks, the UNDP Administrator and the Managing Director of the World Bank issued a joint letter in May 2003, which stated that:

"Translating the global MDG targets into action requires an operational framework at the national level. This framework should set out a country-owned cross-cutting agenda aimed at sustained and shared growth and public action directed towards achieving the MDGs. The PRSP is expected to constitute the primary strategic and implementation vehicle to reach the MDGs. In this context, the UN system promotes civil society participation and provides advice to government on the development of national capacity for poverty monitoring and analysis and pro-poor policy reform and service delivery. The UNCT, working with other development partners, is expected to facilitate the expression of the MDGs in national goals included in the PRSP based on a strong country presence and multi-sectoral coverage. The business plans of various development partners (CAS, UNDAF and bi-lateral plans) are then expected to focus on how specific agencies can best support the implementation of the PRSP and help the country attain the MDGs."

### 3.3.3 Relevance to and potential contributions of UNHCR to reach MDGs

The MDGs are directly relevant to UNHCR's work (see programme instructions for 2003: IOM/73 –FOM/69/2002 of 18 December 2002) because:

- The 4Rs programme concept contributes to the eradication of poverty, the building of partnerships for development and the underlining of the links among peace, conflict and development;
- Building refugee self-reliance facilitates reintegration in the country of origin and helps long-term recovery and reconstruction;
- In host countries, Development through Local Integration (DLI) or Development Assistance for Refugees (DAR) can benefit both local populations and refugees;
- MDGs set clear targets that should apply to both refugee and returnee populations; and
- UNHCR programmes contribute directly to better health, improved education and greater gender equality.

**For further details, please see UNHCR IOM 08/2003 and FOM 08/2003.**

# OVERVIEW OF PART B

**How to plan, implement, monitor and evaluate repatriation and reintegration operations**

**PART B** of the Handbook suggests how to plan, implement and monitor repatriation and reintegration activities. Reintegration planning should start early in the countries of asylum and origin and be based on an integrated, area-based and participatory approach in partnership with all relevant stakeholders, including beneficiary communities, government, UN agencies, donors, civil society organizations and the private sector. It should deal with beneficiary communities in areas of return (i.e. refugees/returnees, local communities, IDPs, ex-combatants, etc.) in a holistic manner and link all phases of the post-conflict recovery process with development.

Repatriation and reintegration contexts may differ and, therefore, call for: (i) a sound analysis of the environment in which reintegration takes place to formulate a strategy; (ii) the adoption of a multi-scenario planning approach; and iii) flexibility to deal with the unexpected. Planning and implementation should not be sequential activities, but rather activities that interact in a dynamic manner.

**MODULE THREE: KEY ELEMENTS IN PLANNING AND IMPLEMENTING REINTEGRATION**

**MODULE FOUR: PREPARATORY ACTIVITIES**

**MODULE FIVE: STRATEGY DEVELOPMENT AND PROGRAMME DESIGN**

**MODULE SIX: IMPLEMENTATION, MONITORING AND EVALUATION**

# MODULE THREE:
# KEY ELEMENTS IN PLANNING AND IMPLEMENTING REINTEGRATION

PART B

# SUMMARY OF MODULE

***This module discusses key elements in the planning and implementation of reintegration. It lays the basis for a more detailed treatment of the subject in Modules Four, Five and Six.***

Section 1: PLANNING ASSUMPTIONS, PRINCIPLES AND CONTEXT
Section 2: MAIN COMPONENTS OF PLANNING AND IMPLEMENTATION
Section 3: INTERVENTION CRITERIA
Section 4: CAPACITY BUILDING AND COORDINATION
Section 5: PHASING IN DEVELOPMENT ACTIVITIES

# INTRODUCTION

Reintegration planning and implementation should address the following questions:

- What are some of the underlying assumptions and principles in planning and implementing reintegration?
- What is the context within which UNHCR and other partners plan and implement reintegration?
- What are the main components of planning and implementing reintegration?
- On the basis of what criteria should UNHCR support activities?
- How can UNHCR operations phase into development activities?

As every reintegration context is unique, answers to these questions will vary from situation to situation. This module serves only as a general guide.

# Section 1

# PLANNING ASSUMPTIONS, PRINCIPLES AND CONTEXT

## 1.1 Assumptions

Planning reintegration programmes must take into account:

- ☑ The time and pace at which refugees, IDPs and other people of concern return;
- ☑ The legal, administrative and other barriers to return;
- ☑ Whether the causes of the conflict have been removed;
- ☑ What reception returnees, IDPs and others receive from the resident population;
- ☑ What capacity the national and local authorities have to implement and/or sustain reintegration activities;
- ☑ What skills, assets and lifestyle changes returnees and other displaced populations are bringing back with them;
- ☑ The extent to which the country's political and economic situations are likely to become more or less stable as repatriation and reintegration continue;
- ☑ The types of communities into which returnees, IDPs and other populations of concern reintegrate; and
- ☑ Whether any other groups (e.g. ex-combatants) are returning.

As discussed in previous modules, reintegration is sustainable if it connects early on and seamlessly with development activities in the country of origin. Reintegration should foster social cohesion in areas and communities of return in order to contribute to peace building and conflict prevention. Planning and implementing reintegration should, therefore, be based on:

- **An integrated approach** that brings together issues from different target groups, sectors, institutions and the national and local levels. It recognizes that isolated interventions in a single or even a few sectors will not have the desired impact and that reintegration cannot occur at the community level if it does not address issues in a holistic manner.[1] An integrated approach entails working with the government, development partners and other stakeholders, preferably under the auspices of the UNCT, and knitting together all the different phases of the recovery process. This departs from the single agency or "stand alone" planning that UNHCR has often undertaken.

- **An area-based and participatory approach** that targets returnees and persons of concern to the High Commissioner, as well as local communities. For UNHCR, this requires striking a balance between directly supporting returnee households and assisting communities in the main areas of return. Where all stakeholders are involved in planning and implementation, it may be more feasible to harmonize support packages (to the extent possible) and target communities in a holistic manner.

***Rather than plan reintegration activities in isolation from development partners, the UNHCR Branch Office should join forces with the government, the UNCT and other actors and take into account the specific circumstances of each situation.***

## 1.2 Principles

Piece-meal planning by individual agencies can stretch government capacity, lead to the duplication and waste of resources and leave some critical needs unmet. Integrated planning goes beyond getting agencies to work together to identify priority activities; it ensures a holistic approach to address the interconnected needs of repatriation, reintegration, rehabilitation and reconstruction.

Guiding principles and critical success factors for an integrated approach include:

- Encouraging government and local authority ownership of and leadership in planning and implementation;

1 *GTZ Programme for Rehabilitation, Reconciliation and Reintegration Activities (ReAct),* Experiences from Sierra Leone *(February 2003).*

- Integrating protection concerns and key policy priorities (e.g. refugee women, children and adolescents) into planning so as not to treat them as add-ons;
- Developing strong institutional cooperation and commitment to support the needs and efforts of UNCTs to bridge gaps in transition strategies;
- Ensuring the participation of all development community actors (donors, UN agencies, bi-lateral and multi-lateral institutions and NGOs) to reach consensus on a shared vision;
- Developing interventions in a manner that addresses security, economic, social and political governance;
- Ensuring that communities of return benefit from reintegration activities in order to promote social cohesion and reduce tensions between those individuals who left and those who remained;
- Using appropriate, durable and low-cost solutions and building upon local knowledge and institutions to ensure sustainability;
- Facilitating the effective participation of beneficiary communities in planning, implementation, monitoring and evaluation;
- Designing actions using a multi-year planning and funding framework;
- Being flexible by adapting objectives and means to changing conditions;
- Ensuring that assistance in the country of asylum is geared towards self-reliance activities that facilitate reintegration;
- Providing appropriate assistance to both organised and spontaneous returnees and harmonizing it, to the extent possible, with assistance to other groups (e.g. ex-combatants); and
- Building sustainable mechanisms that promote household and community protection and economic recovery.

## 1.3 Context

### 1.3.1 Planning scenarios

That post-conflict situations are often fluid introduces an element of uncertainty to the planning process. Large-scale spontaneous returns triggered by "push factors" in the country of asylum can also make planning difficult. Table 3.1 lists examples of planning scenarios and potential responses.

**Table 3.1: Planning scenarios and possible responses**

| POSSIBLE PLANNING SCENARIO IN COUNTRY OF ORIGIN | POSSIBLE RESPONSES |
|---|---|
| Government is strong and institutional structures function properly. | ☑ Early on, strengthen linkages with longer-term government development plans. |
| Existing government has weak capacity, including gaps between central, regional and local levels (e.g. Sierra Leone 2002-2003). | ☑ Help build initial capacities, especially at district level in areas of return; together with UNCT and other partners, assist government to translate relevant macro-policy directives into workable programmes at micro level. |
| Non-state entities, rather than government, control returnee areas (e.g. Sri Lanka 2002). | ☑ Work with existing entities (traditional structures, etc.). |
| No formal government exists. | ☑ Ibid. |
| Returnees have problems with local residents. | ☑ In collaboration with development actors, emphasize reconciliation and co-existence project interventions to target entire communities. |
| UNCT operates outside country of origin. | ☑ Work with existing structures in potential areas of return; establish field presence as soon as political and security conditions permit. |
| Return movements are sudden and large (e.g. Afghanistan 2002-2003). | ☑ Be flexible in devising strategy; undertake early studies to understand return strategy and dynamics; work through existing structures and those being put in place; aim eventual phase-in of development programmes; develop an exit strategy early on. |
| Return operation proceeds on a "stop-go" basis (e.g. Burundi 2002-2003). | ☑ Be flexible; prepare for return; develop absorption capacity in areas of return. |

**Table 3.1: Planning scenarios and possible responses**

| POSSIBLE PLANNING SCENARIO IN COUNTRY OF ORIGIN | POSSIBLE RESPONSES |
|---|---|
| UNCT is well coordinated and has strong leadership (e.g. Sierra Leone 2003). | ☑ Initiate integrated planning and implementation with government early on. |
| Accessibility, safety and security are less than optimal. | ☑ Staff security comes first; assess security in areas of return; seek advice from staff safety advisor. |
| Level of human rights awareness, social values and education of returnees may be at odds with those of members of community of return. | ☑ Sensitize local communities to international human rights issues; continue to support consolidation of gains and establishment of community networks among returnees. |

***Note**: There can be different permutations and combinations of the scenarios outlined above. Some of the transition challenges in Module One will also factor into the planning context.*

***Planning and implementing reintegration require flexibility. Devising a situational strategy is, therefore, a crucial step in planning (see Module Five).***

A key message in Module Two is to link reintegration with development activities, such as CCA/UNDAF, PRSPs and MDGs. The pay-off is better protection and durable solutions for returnees and populations of concern. For UNHCR staff (who are accustomed to acting quickly and independently), planning with partners (e.g. in a UNCT setting) can be a long exercise and may appear to lack visible short-term outcomes. Returnees and their host communities may also not see reintegration benefits quickly enough. **Delays in addressing the vital needs of target populations can contribute to instability or to "back flows" (returnees going back to the country of asylum)**. It is, therefore, important that partners identify and implement a limited number of projects that address the urgent needs of target populations in tandem with integrated planning processes. Such interventions should eventually feature in an overall recovery framework. Any Quick Impact Projects (QIPs) should be implemented within an overall framework that accounts for recurrent costs, community involvement and sustainability.

***Taking part in joint planning processes does not imply inaction on the part of UNHCR and its partners, but initial actions by UNHCR must eventually fit within a larger framework agreed to by the government and other partners. Information on the interim actions should be widely shared. Such activities should also serve primarily to define and guide UNHCR's early protection and assistance interventions.***

### 1.3.2 Planning tiers

Within the UNCT, an integrated planning approach, which uses the 4Rs programme concept as a building block, can be a two-tiered process:

- **At the national or macro level**, government line ministries, UN agencies, donors and NGOs focus on:
  - Overall needs assessments and strategic planning;
  - Definition of priority actions and partners' roles;
  - Coordination and information management;
  - Resource mobilization; and
  - Advocacy and donor liaison.
- **At the provincial and district levels**, humanitarian and development partners, district authorities, local communities, returnees, IDPs and NGOs identify, design and implement interventions through participatory processes to translate the UNCT strategic planning into integrated operational plans at the field level. District-level planning can involve:
  - Building early awareness of the 4Rs programme concept among partners at the district level as an entry point for joint assessments, integrated planning and implementation;
  - Ensuring early clarification of institutional roles between partners, such as **government line ministries** (who possess data that UNHCR and partners need for planning, such as the situation of spontaneous returnees; school enrolment data; sector policies, standards and priorities; planned government interventions; and funding pipelines), **local authorities** (who coordinate, mobilize communities, conduct peace and reconciliation activities, represent the government at the grassroots level, facilitate work at the community level, etc.); **and**

**community-based organisations and NGOs** (who understand communities better, remain after UNHCR departs, etc.);

- Involving bi-laterals (who often fund a significantly greater number of activities) in addition to UN agencies;
- Building the confidence, capacity and sense of ownership of local authorities (who, overwhelmed by external resources, can insufficiently critique the plans of external partners) by delegating greater responsibilities in priority setting and implementation; and
- Undertaking joint planning workshops to build trust at the district level.

***A challenge to integrated planning at the district level is the degree to which agency Headquarters are willing to cede control and strengthen the autonomy of their field staff. UNHCR staff should note that their Field Offices may have greater presence and control over planning and operational budgets than their counterparts in other agencies.***

The **national/macro** and **provincial/district** levels are complementary parts in a single process. The transfer of information on partners' planned interventions from the national to the field level can help reduce duplication and waste. For example, the UNCT in Sierra Leone established a transition support mechanism that links planning and implementation at the national and district levels and focuses on identifying gaps in sectors, coordination and the sustainability of approaches (see Module Seven for further details).

**National and district planning and implementation are further discussed in subsequent modules.**

## Section 2

## MAIN COMPONENTS OF PLANNING AND IMPLEMENTATION

Reintegration planning should not begin when repatriation is imminent, but rather soon after the emergency phase ends in the country of asylum. Early preparation allows for self-reliance to be incorporated into refugee assistance in the country of asylum and, where possible, into a Development Assistance for Refugees programme to empower refugees and prepare them for durable

solutions (**resettlement**, **local integration** or **repatriation**). It also allows for the establishment of earlier and more effective linkages with development partners to facilitate the eventual phasing in of development activities.

The main components of planning and implementation are:

- Preparatory activities (see Module Four);
- Strategy formulation and programme design (see Module Five); and
- Programme implementation, monitoring and evaluation (see Module Six).

In the internal UNHCR planning process, the **Operational Management System (OMS)** should inform the design and implementation of reintegration activities.

UNHCR should play different roles at the various planning and implementation stages. In the repatriation phase UNHCR should play a lead role, but progressively ease out of that position when operations shift from the first two Rs (repatriation and reintegration) to the last two Rs (rehabilitation and reconstruction). A UNHCR strength in reintegration is its knowledge of socio-economic, cultural and other returnee characteristics and its presence in the country of origin when return begins. Partners may be more knowledgeable on governance, other conflict-affected segments of the population (e.g. IDPs and local communities), area-based and integrated planning, institutional aspects of development and local development initiatives. **Sound planning and implementation should successfully marry UNHCR and partners' strengths.**

## Section 3

## INTERVENTION CRITERIA

The situation on the ground plays a significant role in defining the scope of UNHCR's involvement in reintegration. For example, UNHCR often supports the education sector by providing basic materials and supplies to rehabilitate schools. In a situation where the education system functions and UN agencies are active, UNHCR should play a lesser role, (but still work with UNICEF to advocate for the equal participation of girls and boys in education). Where school infrastructure is destroyed, there is a lack of skilled teachers and textbooks and government capacity and resources are weak, UNHCR can

support education start-up activities, such as providing basic supplies, emergency school infrastructure, etc. in coordination with other UN agencies and with clear phase-out goals.

The following factors should help determine the scope of UNHCR's interventions:

- ☑ Whether the planned activities fall within UNHCR's core protection and assistance mandate;
- ☑ The objectives of the reintegration programme (what UNHCR wants to achieve in a given situation);
- ☑ The cohesion of the communities in areas of return;
- ☑ Agreements and legal frameworks (e.g. tripartite agreements) governing return and reintegration;
- ☑ The dynamics of return (mass or slow return);
- ☑ Existing planning scenarios (see Table 3.1);
- ☑ How early development partners are on board and the degree of progress of the development planning process;
- ☑ The extent of damage to physical, social and economic infrastructure in areas of return;
- ☑ The requirements of a rights-based approach to development; and
- ☑ Private sector capacity and involvement.

Determining the scope of intervention should be done in close consultation with all partners and can be facilitated by engaging partners in planning and negotiating joint activities from the start. For example, in designing interventions in the health sector, UNHCR can work with UNICEF and WHO (UNHCR can limit its interventions to rehabilitating clinics, if necessary, while responsibility for equipment and staffing can fall to UNICEF and WHO). In the education sector, UNHCR can help to rehabilitate schools, but also engage partners to assume complementary roles and cover recurring costs (e.g. UNICEF: school textbooks, government policies/standards; World Bank: major sector investment). Transparent UNHCR planning involving partners in

developing its Country Operations Plan (COP), for example, significantly helps to create complementarities and linkages.

Table 3.2 shows how different partners can intervene in the human rights and protection fields according to their respective mandates and comparative advantages.

**Table 3.2: Human rights and protection in transitions: mandates, comparative advantages and scope of interventions of various actors**

| STAKEHOLDER | MANDATE/ INTEREST | COMPARATIVE ADVANTAGE | SCOPE OF AND CRITERIA FOR INTERVENTION | LINKAGE WITH OTHER ACTORS |
|---|---|---|---|---|
| ◆ **Governments** | Constitution/full responsibility; rule of law; physical security. | Sovereignty; ownership. | Overview of national, provincial and local levels; compliance with international objectives; NRPs (TAG), NDPs and PRSPs. | UN; NGOs; donors. |
| ◆ **UN – development (including OHCHR)** | Justice systems. | Skills; medium- and long–term vision; coordination; strong link with government. | Working through government; national level structures; capacity building. | Governments; NGOs; donors. |
| ◆ **UN – humanitarian** | Human rights laws and principles; Security Council and G8 resolutions; monitoring. | Early presence; flexibility. | Monitoring/witness in absence of national institutions; response to denial of rights; CAP/TAG. | Governments; UN; donors; NGOs. |
| ◆ **NGOs** | Advocacy; awareness; monitoring. | Grassroots community-based; field presence; client-oriented; can be long-term. | Legal cases; test cases; legal assistance; information and counselling; individual cases; capacity of local authorities; CAP (not UNDAF). | Government; UN (development and humanitarian); donors. |
| ◆ **Donors** | Global governance. | Funds; political leverage; links to bi-laterals; can influence UN. | Funding humanitarian needs; resource pressure (positive or negative as strategic tool); CAP/TAG. | Government; UN (development); (humanitarian); NGOs. |

***Infrastructure projects tend to take priority, especially during the early stages of reintegration. While such projects do make places of return attractive to returnees, show/reflect some stability and are often popular with governments, it is important to balance such interventions with livelihood projects, which assist returnees to re-establish themselves quickly.***

# Section 4

# CAPACITY BUILDING AND COORDINATION

## 4.1 Capacity Building

Adequate planning and implementation capacity (in terms of organisational competence, structure, resources and processes, including legal frameworks and institutions) is vital to successful reintegration. Partners do not, however, always possess effective capacity. In such cases, UNHCR may have to include capacity-building activities in its planning and implementation strategy.

For information on UNHCR approaches to capacity building and advice to apply to return and reintegration situations, see:

- UNHCR, A Practical Guide to Capacity Building as a Feature of UNHCR's Humanitarian Programmes (September 1999).
- UNHCR, Strengthening Protection Capacities in Host Countries EC/GC/01/19/19 (April 2002).
- UNHCR, Handbook on Strengthening Protection Capacities in Host Countries (Draft).

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

- It involves:
  - ☑ Both general and specific skills upgrading (e.g. livestock rearing and construction);
  - ☑ Procedural improvements (e.g. strengthening financial accountability with new rules and procedures); and
  - ☑ Organisational strengthening (encompassing both of the above).
- Capacity building can be undertaken at the individual, institutional and societal levels and are vital to successful reintegration.
- Capacity building should target key intervention sectors (e.g. the capacity of law enforcement and judiciary structures to make **protection** interventions sustainable).

- Capacity-building projects should be strongly encouraged from the outset of planning and implementation and should involve:

  - ☑ **Local NGOs.** Train them in reporting, programming and protection issues and UNHCR procedures (by means of training workshops, coaching during project planning and implementation, etc.);

  - ☑ **Local authorities and government**. Help provide minimum "hardware" support (e.g. computers, vehicles and office equipment), "software" support to cover community organisation issues (project management committees on water, Parent Teacher Associations, etc.), management skills (accounting, budgeting, planning, monitoring, etc.) and human rights and gender training. The goal is to build the capacity of local authorities and government line ministries to respond to the needs of communities in areas of return.

  - ☑ **Communities**. Organise training workshops on leadership, advocacy, organisation, financial management and record keeping. Involve communities in assessments, monitoring and evaluations (they can participate directly, provide inputs into processes or discuss the outcomes of processes) to build their capacities.

***Early assistance to develop the organisational capacity of national and provincial governments, NGOs and grassroots organisations is vital to success. A lack of early capacity development assistance can delay the transition process.***

***Capacity building in a broad sense is not a traditional UNHCR domain. Such activities, which have a long maturing period, should, therefore, be undertaken in close collaboration with partners (especially UNDP).***

## 4.2 Coordination Arrangements and Mechanisms

To avoid over-burdening the government and local authorities, UNHCR, UN agencies and other partners should establish coordination mechanisms for both planning and implementation. From an overall strategic point of view, the following measures can facilitate coordination:

- Working through the UNCT to develop an overall transition strategy according to which UNHCR can plan its own interventions;

- Adopting the 4Rs programming concept, as described in Module One, to address the interconnected needs of relief, recovery and reconstruction and to create an institutional framework for collaboration;

- Linking with CCA/UNDAF processes and programming jointly with other UN agencies, where feasible; and

- Developing Letters of Understanding (LOUs), Memorandums of Understanding (MOUs) or other framework agreements with different partners.

**Box 3.1: Key points about coordination**

- ☑ It is fundamental to joint strategy and programme development;
- ☑ It is paramount for repatriation and reintegration;
- ☑ It does not happen automatically - it must be developed carefully;
- ☑ It can best be furthered through joint planning (all parties, both at Headquarters and in the field, must prepare and agree upon mechanisms, at the earliest stages of strategy development); and
- ☑ It provides for consistency between programmes in countries of asylum and of origin (actions in countries of asylum to stimulate repatriation must be carefully and systematically evaluated in relation to the preparedness and absorptive capacity of returnee areas).

An extensive network of Field and Sub-offices gives UNHCR an edge in handling local coordination. UNHCR should use this network to undertake joint information gathering on potential areas of return in partnership with relevant governmental departments and international agencies. The Field Office network can also help UNHCR to attract potential donor agencies and NGOs to isolated and marginal districts.

Coordination among organisations is difficult because of differing objectives and working methods. A lack of coordination often results in duplication and ineffective resource allocation. Coordination should take place between UNHCR and its partners at the Headquarters, regional, country and field levels and within and across sectors in countries of origin and asylum, as described below.

*National level*

- **Government-led consultative mechanisms** (e.g. multi-donor consultative mechanisms on recovery–transition policy issues);

- **Multi-lateral coordination** (through the UNCT and involving other partners, such as the World Bank and regional development banks);

- **Specialised sectoral or inter-sectoral committees** (e.g. committees concerned with protection and human rights, water and sanitation, livelihoods, etc.);

- **Bi-lateral coordination with other UN and specialised agencies operating in the country** (UNDP, Office of the High Commissioner for Human Rights, the World Bank, etc.; coordination should occur through a country-level MOU between UNHCR and relevant agencies); and

- **An NGO forum** (bringing together organisations active in recovery issues).

*Provincial, district or local level*

- Coordination mechanisms, such as provincial and district steering committees, joint mechanisms, etc., should be established at these levels.

- The main objectives are to ensure:

  ☑ Proper targeting of areas of return;

  ☑ Consistency among the programmes of different partners;

  ☑ Avoidance of duplicated efforts that could lead to imbalances in assistance; and

  ☑ Effective field application of policy decisions made at the central level.

***In all cases, efforts should be made to use existing coordination mechanisms rather than create new ones.***

*Other levels (internal to UNHCR)*

- **At the regional level**, where there is a limited UNHCR field presence or a multi-country reintegration operation, regional coordination can help to:

  ☑ Devise a comprehensive durable solutions framework that deals with all the eventualities in an integrated manner;

- ☑ Ensure integrated planning and data management;
- ☑ Establish operational coherence where repatriation involves several countries;
- ☑ Ensure economies of scale; and
- ☑ Provide early inputs to the Operational Review Board for decision making on resource allocation.

- **A Headquarters taskforce** (or other coordinating mechanism), consisting initially of a small core team of representatives from the operational bureau and various services, sections, divisions and departments could ensure that:
  - ☑ Support from relevant services is mobilised in a timely manner;
  - ☑ Collective inputs are provided for submission to the Operational Review Board, if needed;
  - ☑ Lessons learned from other operations are injected into and reflected in the operation;
  - ☑ The approach in the Handbook is followed; and
  - ☑ Effective linkages with donors are established.

***UNHCR uses MOUs to facilitate coordination. MOUs, special coordinating or joint programming units and other mechanisms are neither solutions nor ends in themselves, but merely vehicles for coordination. Whether these mechanisms work well usually depends on other factors, such as the clarity and compatibility of the strategies and timeframes of the organisations involved.***

## Section 5

## PHASING IN DEVELOPMENT ACTIVITIES

From the onset, reintegration activities should be planned to ensure an early phasing in of development activities. Analysis of political and other

factors and an intelligent estimate of the likely length of the reintegration process help to plan and minimize resource waste.

While reintegration objectives help to answer the key questions of how long UNHCR should be involved and when it can exit, other influential factors include:

- The prevailing situation (i.e. degree of presence of partners in areas of return, level of destruction of economic infrastructure, etc.);
- The extent to which the basic protection and assistance needs of returnee communities are met;
- The roles assumed or to be assumed by other actors; and
- Returnee self-reliance and coping mechanisms.

**Actions that can facilitate UNHCR phase-out include:**

- ☑ Constantly reviewing the political context to better understand the prospects for the consolidation of peace and recovery;
- ☑ Progressively switching from playing a lead role in the early stages of reintegration (UNHCR often assumes the early coordination role at the district level by virtue of its field presence) to being a facilitator and supporter of the identification, design and implementation of all activities in the latter stages when partners come on board;
- ☑ Helping to put in place transitional institutional mechanisms anchored within development agencies;
- ☑ Following and supporting a sound information management strategy (to know **who is doing what, where and when)** to facilitate linkages and the phase-in of development activities;
- ☑ Putting in place effective returnee monitoring and assessment systems and arranging who will handle such responsibilities when UNHCR leaves the country of origin;
- ☑ Facilitating returnee self-reliance by supporting the utilization of the skills they acquire in exile;

- ☑ Facilitating the establishment of community and social networks for different groups of returnees (e.g. adolescents, women and men);

- ☑ Helping to formulate long-term development activities with other UN agencies to implement, assisting in fundraising, sharing resources and office space with partners (especially development agencies) and establishing staff communication networks;

- ☑ Helping to consolidate government capacity, particularly in districts that are destinations of return, by building confidence in local authorities and ensuring that the latter play a lead role in planning and implementation;

- ☑ Ensuring that recurrent costs related to programme activities are absorbed in local and national government budgets and/or bi-lateral and multi-lateral funds and programmes;

- ☑ Designing programmes in a complementary manner (i.e. sharing costs, etc.) to avoid UNHCR-only projects and programmes;

- ☑ Emphasizing community capacity building, local decision-making systems and institutional mechanisms when deciding where to intervene; and

- ☑ Maximizing the involvement of development actors in developing and regularly revising the UNHCR operations plan in order to create opportunities for joint programming.

***To link and phase in development activities, UNHCR should thoroughly review the sectors that receive initial UNHCR assistance (e.g. education, health and shelter) in order to identify planned programme interventions by key development partners. Reintegration staff should join joint sector programme committees in order to facilitate linkages.***

# CONCLUSION

This module touches upon various aspects of the planning of reintegration programmes. The phasing in of development activities and the UNHCR exit strategy must be constantly reviewed and adjusted throughout the planning and implementation process.

The module also provides some guidance on factors that determine UNHCR areas of intervention. These factors help UNHCR staff to take into account the complexities of reintegration operations on the ground. Based on these factors, the UNHCR Branch Office should establish firm criteria for its interventions and share them with all partners and Headquarters at the onset of the planning process

# MODULE FOUR:
# PREPARATORY ACTIVITIES

PART B

# SUMMARY OF MODULE

***This module outlines the main preparatory activities to plan and implement repatriation and reintegration. The activities should be initiated soon after the emergency phase and undertaken in the country of asylum and/or of origin. They are grouped into three categories: (i) actions before a peace agreement is signed; (ii) actions after a peace agreement is signed; and (iii) actions related to movements/repatriation arrangements.***

Section 1: INFORMATION ON REFUGEE POPULATIONS AND SOCIO-ECONOMIC CHARACTERIZATION

Section 2: CONSOLIDATING SELF-RELIANCE ACTIVITIES IN PREPARATION FOR RETURN

Section 3: PREPARING AN INFORMATION CAMPAIGN FOR RETURN

Section 4: PRE-IMPLEMENTATION ARRANGEMENTS AND ACTIVITIES

# INTRODUCTION

The cessation of hostilities and signing of peace agreements often trigger preparations for voluntary repatriation and eventual reintegration in the country of origin. Often, however, returnee movements spontaneously start when refugees think that it is safe to return to their country of origin; they may not wait for peace agreements or plans to be prepared. It is important, therefore, to initiate preparations for return and reintegration earlier on in the country of asylum in order to prepare refugees for durable solutions (local integration, resettlement or voluntary repatriation). Early preparation also allows for a more careful review of the most sustainable intervention options and leads into and facilitates strategy development (see Module Five). Preparatory activities should, therefore, be initiated as soon as the emergency period in the country of asylum ends and, where possible, involve partners (UN agencies, donors, NGOs, etc.).

Preparatory activities fit into three categories (and are carried out in the country of asylum and/or origin):

- Actions before a peace agreement is signed;
- Actions after a peace agreement is signed; and
- Actions related to movements/repatriation arrangements.

Table 4.1 provides an overview of generic preparatory activities. The rest of the module elaborates some of the principal activities pertaining to actions prior to and after the signing of a peace agreement.

**For actions related to movements/repatriation arrangements, please see the UNHCR Handbook on Voluntary Repatriation (1996).**

**An important planning tool that addresses children is the UNHCR Action for the Rights of Children (ARC): A Child Rights-based Training and Capacity-building Initiative (2002). A Situational Analysis Toolkit that updates the People-oriented Programming and integrates the ARC is under development.**

# Section 1

# INFORMATION ON REFUGEE POPULATIONS AND SOCIO-ECONOMIC CHARACTERIZATION

Information on refugee populations and the socio-economic characterization of refugees is important for protection and programming purposes. It is essential to improve our knowledge of refugee communities, including their concerns and aspirations (skills profiles, coping mechanisms and intentions vis-à-vis durable solutions). Information related to refugee populations and socio-economic characterization is collected in the country of asylum and should be stored in a regularly updated database.

## 1.1. Why Collect the Information

- To plan: (i) refugee protection and assistance activities in countries of asylum (e.g. socio-economic empowerment and self-reliance); and (ii) repatriation and reintegration operations in countries of origin;
- To determine whether refugees can return in safety and dignity; and
- To provide information to governments, donors and partners seeking information from UNHCR for planning purposes.

***People may provide incorrect information in surveys in order to increase the level of assistance they receive or to exercise political pressure. It is, therefore, important to verify data.***

## 1.2 Data to Collect

➲ **A population profile** can be prepared from registration data to cover at least the following (for further details, see the UNHCR Handbook for Registration (September 2003)):

- ☑ Demographic data disaggregated by age and sex;
- ☑ Educational background and skills profiles acquired before and during exile[2] and occupational profiles in the countries of origin and asylum;
- ☑ Areas of origin (district/village), areas of last residence in the country of origin, intended destination/return areas (if different from areas of origin);
- ☑ Membership in social groups (e.g. ethnic, religious and linguistic minorities; separated and unaccompanied children; rape victims/survivors; members or supporters of former political and military regimes, etc.); and
- ☑ Property status in the country of origin (to determine how many people have somewhere to return).

**Box 4.1: Key questions to understand the dynamics of return**

- ☑ What were the original reasons for leaving (security, political, economic, etc.)?
- ☑ What were the nature, context and duration of the period of exile?
- ☑ What were the motivations for return (push/pull factors)?
- ☑ What is the nature of return (individual/family/split family, permanent or temporary)?
- ☑ What are the key vulnerabilities and issues (conflict/insecurity, economic shocks, access to assets and livelihoods, climate, location, etc.)?
- ☑ What are the social structures and dynamics of gender relations?

2 *Including that of women, children and adolescents, with a special focus on skills that can be "repatriated" to the home country and effectively used in public services sectors and/or in reintegration and rehabilitation programmes (e.g. administration officers, agricultural and veterinary extension officers, health and sanitation officers, social workers, teachers, water system development officers, etc.).*

- **Rapid surveys** can be used to gather information on:

  - ☑ Causes of flight and displacement;
  - ☑ Security and protection issues related to repatriation and reintegration, gender equality and women's and girls' rights and constraints that should be addressed prior to and during operations (e.g. human rights, the judicial system and governance and SGBV);
  - ☑ Return options and strategies, including routes and timing of return;
  - ☑ Refugee profiles, particularly for projected areas of return;
  - ☑ Priority requirements for transport assistance and other needs and concerns of the prospective returnees that UNHCR or other actors can address;
  - ☑ The most urgent needs for the repatriation, reintegration, rehabilitation and recovery process, such as access to health facilities, education and opportunities for youth (often among the primary concerns of refugee parents).

***When a UNHCR Branch Office does not have the necessary expertise (or where staff are engaged in other duties) to conduct sample surveys and interpret data in a statistically valid manner, it should use the services of a university, NGO or company (e.g. consultancy firm). Further assistance and guidance should also be sought from Population and Geographic Data Section (PGDS)/DOS/UNHCR.***

## 1.3 Data Collection Tools and Processes for Refugee Populations and Socio-economic Characterization

Examples of data collection tools and processes:

- **Registration:** Data collection should begin with refugee registration and help develop a country-wide refugee database. Where returnees are repatriating from a number of countries, it is important both to **harmonize data collection procedures** (sometimes the status of the registration system is not uniform) **and to coordinate their transfer to the country of origin** at the appropriate time. The early availability of data to the country of origin facilitates reintegration planning. **Registration should include questions that may be of interest to development partners.**

**The UNHCR Handbook for Registration, which contains standard registration forms, was provisionally released in September 2003.**

- **Repatriation-oriented sample surveys:** These surveys establish a more detailed picture of the population and generate information on intensions and aspirations with regard to return. Data from registration may be insufficient or may not be comprehensive enough for 4Rs planning. Also, registration data is specific to individuals, whereas 4Rs programme planning requires broad-based data covering a wider range of issues (e.g. information on refugee knowledge regarding areas of return, hopes for durable solutions, self-reliance activities, skills training and livelihood strategies, labour market surveys, etc.).

- **Focus Group Discussions (FGD):** This is a research method to collect qualitative information from a group of persons pre-selected according to specific criteria (e.g. sex and age). Many issues that cannot be discussed in a structured survey due to time constraints can be touched upon in FGDs, which take place in informal settings that allow people to talk freely about future plans, fears of violence, etc. FGDs can add depth and meaning to information obtained from statistical surveys. In order to obtain spontaneous and uncontrolled responses, FGDs should be held in localities different from those where sample surveys are conducted.

- **Key informants surveys:** These are in-depth interviews with persons selected for their knowledge and understanding of an issue. For example, one may want to know what community leaders know of general views on return and reintegration.

**For information on the use of surveys, FGDs and key informants surveys to better understand refugee populations, see DataLine Services (PVT.) LTD, A profile of Afghan Refugees in Pakistan and their Intensions to Return: Data Collected during a Rapid Survey Conducted between February and May 2002 (study done for UNHCR; contact UNHCR/PGDS for further information).**

# Section 2

# CONSOLIDATING SELF-RELIANCE ACTIVITIES IN PREPARATION FOR RETURN

**SELF-RELIANCE**

**Can be defined as the ability of an individual, household or community to depend (rely) on their own resources (physical, social and natural capital or assets), judgement and capabilities with minimal external assistance in meeting basic needs, and without resorting to activities that irreversibly deplete the household or community resource base. It is understood to mean that refugees are able to provide for themselves, their household and community members in terms of food and other needs, including shelter, water, sanitation, health and education, and that they can cope with unexpected events, and are no longer dependent on outside assistance under normal circumstances.**

Developing refugee self-reliance in the country of asylum is an important preparatory activity for durable solutions. Individual self-reliance is as much a function of belonging to a much larger self-reliant community as it is of meeting one's own needs. Self-reliance activities should develop technical, entrepreneurial and organisational skills to assist displaced communities to rebuild their lives and communities when they go home. It is important to note that host country policies can promote or hamper refugee self-reliance (see Box 4.2).

**Box 4.2: Possible constraints on self-reliance activities (Afghan refugees in Iran)**

"The continued presence of a large Afghan refugee population is clearly an important issue on Iran's domestic political agenda. There is a significant level of unemployment in the country and calls have been made for an accelerated return of Afghans to their country and a stricter enforcement of the laws governing the situation of Afghan refugees, notably in the area of access to work and public services."

*Source: UNHCR, Afghan Operation Overview (29 September 2003).*

## 2.1 What Self-reliance Entails

Self-reliance enables refugees to:

- ☑ Economically and socially interact with local communities, generate food and/or income, and enable them to gradually manage their own affairs in a sustainable manner (see Annex 4.1 for a list of possible self-reliance activities).
  - ❑ The economic activities agencies promote should be useful, viable and relate to market demand, absorption capacity and the availability of raw materials.
  - ❑ Economic activities should target basic needs, such as food, clothing, shelter, mosquito nets, soap, mats and tree nurseries (for shade, shelter and firewood) and thereby incorporate agency demands for goods and services. They can also respond to the needs and demands of other public institutions, such as health centres and schools. Purchases from such businesses should take precedence over international procurement.
  - ❑ Economic activities can build upon existing skills or develop new skills.
  - ❑ Refugees or new returnees may lack formal social ties, networks and structures that assist business development.
- ☑ Take part in income-generating initiatives, self-employment and local employment activities;
- ☑ Cope with unexpected events and no longer depend on outside assistance; and
- ☑ Organise themselves into communities and address day-to-day issues.

## 2.2 Principles to Guide the Design and Implementation of Self-reliance Activities

Self-reliance in asylum can lead to durable solutions and should be based on the following principles:

- ☑ Target populations, including refugees and host communities, should participate in identifying and prioritizing activities;
- ☑ Local communities should provide appropriate support (resources, facilities, networks and institutions) to refugees to assist their progress towards self-reliance;
- ☑ Livelihood interventions or skills and vocational training must correspond to market demands;
- ☑ Communities must contribute labour and/or locally available materials to communal infrastructure development;
- ☑ Appropriate legal provisions and/or a conducive environment should be in place to allow refugees to pursue self-reliance activities;
- ☑ Refugees and local communities should benefit from capacity-building opportunities;
- ☑ "Win-win" solutions are good for host communities and refugees;
- ☑ Sustainable coping mechanisms and income strategies in areas of return should factor into programme design;
- ☑ A community-based and environmentally friendly approach should be built into programmes;
- ☑ Cultural awareness and gender balance are necessary in all stages of the programme; and
- ☑ Early planning with development actors should be based on market access to ensure sustainability.

**Box 4.3: Uganda Self-Reliance Strategy (SRS)**

An example of a comprehensive approach to self-reliance in asylum is the Uganda Self-Reliance Strategy for refugee hosting areas in Moyo, Arua and Adjumani developed in 1998 by the government of Uganda with the support of UNHCR and involving a broad cross-section of stakeholders (partners, host communities, refugees, NGOs and local authorities). The aim of the Self-reliance Strategy is: (i) to empower refugees and nationals in the area to the extent that they will be able to support themselves; and (ii) to establish mechanisms to ensure the integration of services for refugees with those for nationals. The SRS has made important progress (and face significant challenges). A mid-time review recently undertaken has recommended the transformation of the SRS into a DAR programme, building upon the achievements and the enabling environment created by government of Uganda policy and practice.

*Source: UNHCR/Government of Uganda.* Strategy Paper on Self-reliance: Self-reliance for Refugee-hosting Areas in Moyo, Arua and Adjumani Districts *(1999).*

Strategy Paper on Self-Reliance for Refugee Hosting Areas in Moyo, Arua and Adjumani Districts in Northern Uganda (1999-2003) – *Report of the Mid-term Review, March 2004.*

## 2.3 Some Key Activities in Designing and Implementing Self-reliance Programmes

- ☑ Discussion with governments and local authorities on proposed self-reliance programmes;
- ☑ Community mobilization and information campaigns to introduce the programme concept (including an outline of expected changes in camp assistance programmes, if necessary) to refugee and host communities;
- ☑ Socio-economic surveys to assess legal frameworks, skills, refugee priorities, market potential, job and employment prospects, farming possibilities and access to productive resources, such as land;
- ☑ Selection of partner organisations with appropriate skills;
- ☑ Possible expansion of livelihood creation by linking self-reliance with other development programmes;
- ☑ Design of self-reliance activities with beneficiaries (refugees and local communities and authorities);
- ☑ Training packages and skills development according to identified needs;
- ☑ Implementation of self-reliance activities; and
- ☑ Participatory monitoring and evaluation of project activities.

**Box 4.4: Self-reliance assessments**

Assessment is one of the most important activities in the design of self-reliance programmes. It determines programme selection. Participatory assessments should involve:

- A cross-section of displaced and host communities, including children, adolescents, women, men and households/families;
- Development partners;
- Assessments of current and potential self-reliance opportunities with/without specific interventions;
- Assessments of current and potential risks to self-reliance;
- Livelihood assessments of refugees' and hosts' urban or rural skills base, human resources and capacities (re. food and income portfolios, coping and distress strategies, former livelihoods, etc.);
- Analyses of constraints, risks, hazards, preferences and self-defined/preferred strategies for self-reliance;
- Protection assessments (e.g. freedom of movement);
- Assessments of market and labour market demand;
- Partner assessments (in order to select most appropriate partners);
- Environmental assessments (re. natural resources management); and
- Nutritional assessments and surveys.

## 2.4 Targeting Self-reliance Activities

Targeting is important in designing self-reliance programmes. Some relevant issues include:

- ☑ Whether vulnerable households can be targeted effectively and whether targeting mechanisms are sustainable;
- ☑ Well-designed training programmes help vulnerable groups, such as adolescents, to overcome hurdles (e.g. access to financial resources);
- ☑ Targeting poor or vulnerable individuals via school feeding benefits households with a large number of school-aged dependants.

## 2.5 Key Issues in Skills Training

- ☑ Skills should serve: (i) the immediate livelihood needs in the country of asylum; and (ii) the preparation for return to the country of origin by capacitating individuals and families;

- ☑ Skills acquired and not used immediately will be progressively lost. Agricultural skills are vital for both the country of asylum and of origin, as most refugees are located in rural areas and often repatriate to similar areas in their country of origin. It is important to note that in an urban setting, different skills may be more appropriate (e.g. petty trading and construction);

- ☑ It is important to address issues related to certification (recognition in the country of origin) and standardization;

- ☑ The right institutions must be chosen to deliver skills training; and

- ☑ Labour and market surveys in the country of origin help to identify transferable skills for future returnees.

***Both what returnees want and the prevailing labour market in areas of return and the country of origin should inform the choice of training activities. Some form of preliminary survey in the country of origin would be helpful at this stage.***

**RLSS/DOS/UNHCR will issue Handbook for Self-Reliance Activities in 2004.**

# Section 3

# PREPARING AN INFORMATION CAMPAIGN FOR RETURN

## 3.1 Necessary Information

In facilitating voluntary repatriation, preparatory activities should include the formulation of structured information dissemination to help refugees decide when and how to return to their country of origin. Information dissemination should take into consideration the needs of different groups (e.g. children, youth and women). The information should be about:

- ☑ The peace process and its implications (e.g. security conditions, elections and whether or not judicial institutions are functioning);

- ☑ What tripartite agreements have been signed;

- ☑ Repatriation and reintegration plans, including the assistance and protection that UNHCR and partners will provide upon return;

- ☑ Information regarding home areas, including constraints to reintegration (mines, double land and home occupancy, discrimination or different treatment for different social categories, etc.) and measures to address them; and

- ☑ Existing economic opportunities in areas of return and immediate and potential longer-term opportunities.

Information campaigns should be launched in the country of asylum once repatriation prospects are certain. Promoting voluntary repatriation and launching an information campaign require, at a minimum:

- ☑ A peace agreement;

- ☑ A cease-fire;

- ☑ Amnesties and other legal guarantees for returnees;

- ☑ Adequate physical safety in returnee areas, including freedom of movement;

- ☑ Adequate presence of UNHCR and partners in the country of origin and safe access to returnee areas; and

- ☑ Access to means of survival and basic services, such as water, shelter, health services and education.

Past experience, however, has indicated that the bulk of refugee returns take place on a spontaneous basis and regardless of UNHCR information dissemination or presence in areas of return. When necessary and feasible, **representatives of refugee communities should visit home areas and officials of the country of origin should visit refugee areas**. Such UNHCR-facilitated visits can build confidence among the parties involved. It is crucial to **include women** in the organisation of such confidence-building visits.

## 3.2 What Potential Returnees Should Know When Deciding to Return

**General situation in the country of origin**

- ☑ What is the political situation in the country/area of return (including information on forthcoming elections, if relevant)?
- ☑ Is the area of return safe (re. attacks, mines)?
- ☑ What is the security situation (re. re-establishment of national police and international police forces)?
- ☑ Is there freedom of movement?
- ☑ Have amnesties and/or other legal guarantees been issued? Is there a functioning legal and judicial system?
- ☑ Are human rights redress mechanisms in place?
- ☑ What legal and other mechanisms are in place to protect the rights of women, older people and children?

**Repatriation**

- ☑ What are the repatriation procedures?
- ☑ What items can the refugees take back without paying customs fees?
- ☑ What travel and transit documents do the refugees need?
- ☑ What type of transport will be available for return? Are there arrangements for those with special needs?
- ☑ What will the repatriation package be?
- ☑ What will the reintegration assistance package be?
- ☑ Will the packages include basic items for women and for children?

**Upon arrival**

- ☑ How can families support themselves upon return? Will there be access to land, jobs and other economic opportunities?
- ☑ How are communities functioning in the returnee areas?
- ☑ What is the status of the social, educational, housing and religious infrastructure?
- ☑ Are public services (e.g. public transport, medical facilities and education) available and accessible)?
- ☑ What assistance will be available (from UNHCR and partners)?

Government and development agencies can develop a similar checklist to facilitate better understanding of the return dynamics for other displaced populations.

## 3.3 How to Disseminate Information

Potential returnees are often confused by biased messages and rumours that prevent them from objectively assessing the possibilities and difficulties of return. They need impartial and transparent information. Information should be disseminated directly to older refugees, women, children and adolescents - not, as has traditionally been the case, only to male leaders - in order to allow all members of the community to make informed decisions about return. NGOs and women's and local associations can help reach target groups. While refugees must get neutral and accurate information from UNHCR, it is important that they also receive information from government visits to refugee camps, "**go and see**" and "**go work**" trips by refugees and from NGOs involved in returnee monitoring within the country of origin.

A well prepared and conducted information campaign can build confidence and create conditions conducive to return.

***Mass information campaigns have to adapt to operational requirements, media, relevant authorities and the listening habits of the target audiences in both countries of asylum and origin. Although radio is the most popular medium, television, videotapes, public events posters, theatre/puppet shows, leaflets and mail should also be used where appropriate. NGOs and other partners should verify that the understanding and dissemination of key messages are consistent.***

# Section 4

# PRE-IMPLEMENTATION ARRANGEMENTS AND ACTIVITIES

## 4.1 Agreements for Repatriation and Reintegration

Once a peace agreement is signed, UNHCR enters into agreements with the countries of origin and asylum regarding refugee repatriation and reintegration. These agreements take the form of tripartite agreements and/or bipartite agreements between UNHCR and the country of origin and/or asylum.

**The guidelines for drawing up bipartite and tripartite agreements are described in:**

- **UNHCR, International Protection Handbook on Voluntary Repatriation (1996).**
- **UNHCR, Voluntary Repatriation - Annexes, Training Module RP1, 2nd edition (January 1998).**

UNHCR tripartite agreements are the basis and framework for voluntary repatriation and contribute to reintegration. Whenever possible, reintegration considerations should be incorporated into peace agreements, as well as in bi or tripartite agreements on repatriation. Typically, the latter include clauses mainly related to the country of origin on:

- ☑ Identification of possible priority areas for reintegration and related UNHCR and international presence;
- ☑ Tentative deadlines for the establishment of operational plans;
- ☑ Guaranteed free movement and protection of UNHCR staff, as well as that of partner agencies, in order to assist the country of origin in carrying out preparatory activities in the identified areas of return and access to returnees to carry out protection monitoring thereafter;
- ☑ Support of conflict resolution and reconciliation initiatives, as appropriate;
- ☑ Commitment, when feasible, by the country of origin to actively participate in preparatory and planning activities; and

- ☑ Returnee recovery of or access to land, housing and property through the establishment of a fair and equitable restitution and compensation framework or special arrangements for former land/house owners, those who had land/house rights, those who unduly occupied land/houses and those who had property rights (special attention should be given to women's rights regarding inheritance and land ownership).

***There should be regular cross-border meetings, training and team-building exercises among UNHCR Field Offices, local municipality, line departments and other relevant inter-governmental and non-governmental, development and humanitarian agencies.***

## 4.2 Other Pre-implementation Activities

Once security improves in potential returnee areas, refugees will often begin to return on a **spontaneous basis** to the safer provincial and district capitals and their immediate surroundings. UNHCR can prepare for such eventualities by:

- ☑ Establishing an early but minimal presence in priority returnee areas where significant numbers of spontaneous returns are recorded;

- ☑ Encouraging the establishment of joint transition support mechanisms to spearhead early preparations for a 4Rs programme within the UNCT;

- ☑ Supporting spontaneously returned refugees by providing them with time-limited food rations and agricultural supplies, such as livestock, seeds and tools; if necessary, rehabilitating basic social services, such as education, health and water; and making special care arrangements for unaccompanied minors;

- ☑ Strengthening, with partners, the local implementation, coordination and civil administration capacities with a view to preparing returnee areas to receive large-scale returns;

- ☑ Locating strategic stocks in potential returnee areas (with due consideration to security) to prepare for massive and sudden spontaneous returns; and

☑ Recruiting a Reintegration Coordinator who, together with the programme and protection teams, is responsible for the preparation of the initial situational repatriation and reintegration strategy and related assistance programmes. The coordinator should be the focal person for interaction with the UNCT.

***The Reintegration Coordinator should, among other things, ensure the promotion and respect of the rights of women, men, boys, girls, adolescents and older refugees throughout the 4Rs (beginning with repatriation and reintegration operations) and promote gender equality as a means to improve programme and project efficiency and effectiveness.***

## CONCLUSION

Preparatory activities should not be undertaken in an ad hoc manner. A coherent repatriation and reintegration strategy and plan of operations should be developed which take into account the prevailing situation in both the country of asylum and of origin. Module Five provides guidance on how to formulate a reintegration strategy, programme and plan of operations.

| TABLE 4.1: GENERIC PREPARATORY ACTIVITIES | | |
|---|---|---|
| CATEGORY/ PHASE | COUNTRY OF ASYLUM | COUNTRY OF ORIGIN |
| **Prior to a peace agreement** | ☑ Create a standard reference data base (baseline socio-economic data);<br>☑ Update the population profile, especially of groups with special needs (profile un-registered refugees) and review repatriation, local integration and resettlement issues and approaches for different groups within the refugee population;<br>☑ Review solution aspects (voluntary repatriation, local integration and resettlement), reasons and expectations;<br>☑ Based on the assessment of refugees' post-repatriation needs, re-orient assistance programmes in education, vocational training, income generation activities, health and community development to facilitate integration/reintegration;<br>☑ Consolidate training mechanisms based on marketable and transferable skills and activities;<br>☑ Commence logistics/transport routes assessments/planning (repair needs, etc.);<br>☑ Commence links/discussion with national governments, as well as donors;<br>☑ Work on voluntary repatriation agreements between different host countries, the country of origin and UNHCR to translate standards of voluntary repatriation into operational modalities;<br>☑ Obtain agreement on the establishment of tripartite commissions (host country, country of origin and UNHCR) and on fundamental issues, such as the use of the Voluntary Repatriation Form, the waiver of customs duties and tariffs on personal and communal property; the simplification of border procedures at exit and entry points; inoculation and other requirements for medical clearance; transportation, transit and accommodation arrangements; and the identification of routes, transit and entry points for return movements. | ☑ Start discussions with the UNCT on the overall approach to recovery (needs assessments, strategy and programme design, resource mobilization, etc.), identify priorities and clarify roles (including that of UNHCR) in reintegration, recovery and early advocacy on the 4Rs;<br>☑ Establish a field presence (in areas of return) and identify/analyse possible constraints and obstacles to determine whether refugees can return in physical, legal and material safety and with dignity;<br>☑ Collect returnee area profile information and needs and assess the absorption capacity (develop partnerships for the collection, analysis and sharing of data to ensure sound decision making and operations planning; develop questionnaires for data collection, as well as reporting format to ensure compatibility; seek assistance to create a database to store and easily retrieve information on conditions in the country of origin);<br>☑ Identify distribution points;<br>☑ Establish a coordination mechanism for the main actors (government, donors, NGOs, UN, etc.) and plan/coordinate assistance packages with partners to avoid discrepancies between population groups;<br>☑ Encourage authorities to create conditions conducive to the voluntary repatriation and reintegration of refugees, including the recognition of and respect for the right to return to places of origin/former habitual residences in conditions of safety and dignity;<br>☑ Encourage the promulgation of amnesties and other legal guarantees for returnees (e.g. restitution of property rights);<br>☑ Identify and work with national/local institutions and NGOs in the human rights field with a view to maximizing support for the creation of conditions conducive to safe return and reintegration. |

**TABLE 4.1: GENERIC PREPARATORY ACTIVITIES**

| CATEGORY/ PHASE | COUNTRY OF ASYLUM | COUNTRY OF ORIGIN |
|---|---|---|
| **After a peace agreement is signed** | ☑ Prepare estimated movement information (logistics, way stations, road repairs, etc.);<br>☑ Establish tripartite commissions and organise repatriation workshops with government counterparts and other partners;<br>☑ Make movement implementation arrangements;<br>☑ Discuss repatriation and reintegration, in particular, and enable the participation of different age and gender groups in the decision-making process regarding the return of families/communities by the appropriate dissemination of information;<br>☑ Support the establishment of gender- and age-sensitive counselling/information networks in cooperation with governments, NGOs and refugees in mass information campaigns. In addition, ensure the dissemination of country of origin information. Agree with the country of origin on the format of the Voluntary Repatriation Form and registration guidelines;<br>☑ Organise "**go and see**" visits and visits to refugee settlements in asylum countries by people who stayed behind, etc.;<br>☑ Facilitate joint planning between the UNHCR Branch Office in both the country of asylum and of origin (logistics, reinsertion/reintegration packages) and the early transfer of information to the country of origin;<br>☑ Better understand the logic, motivation and characteristics of spontaneous return (dynamics of return); and<br>☑ Make arrangements to move persons with special needs. | ☑ Prepare estimated movement information (logistics, way stations, road repairs, etc.);<br>☑ Establish way stations and reception centres;<br>☑ Make movement implementation arrangements (e.g. truck and bus hire, purchase or contract);<br>☑ Organise "**go and see**" visits (facilitate interaction between returnees and new communities and discuss with receiving communities);<br>☑ Agree with government on dispersal and reception (set up move monitoring mechanisms);<br>☑ Reinforce UNHCR presence in strategic areas of return;<br>☑ Create Field Offices, deploy staff, initiate the design and review of actions;<br>☑ Start basic rehabilitation in areas of return, revise 3W (database on who does what and where) and implementation arrangements;<br>☑ Train government staff, NGOs, etc.;<br>☑ Establish returnee monitoring systems and mechanisms in coordination with UNHCR offices in countries of asylum and other partners, where relevant, covering both movements and the country of origin. Ensure harmonization with IDP monitoring systems and mechanisms; and<br>☑ Hold discussions with government departments and humanitarian organisations providing social welfare services to unaccompanied and separated children and other vulnerable groups. |

**TABLE 4.1: GENERIC PREPARATORY ACTIVITIES**

| CATEGORY/ PHASE | COUNTRY OF ASYLUM | COUNTRY OF ORIGIN |
|---|---|---|
| **Actions related to movements and repatriation** | ☑ Register refugees and ensure the voluntariness of repatriation; interview, counsel and register refugees who wish to repatriate and complete all necessary documentation; ensure that the system allows adult refugee women and other adult members of a refugee family to sign the Voluntary Repatriation Form separately to ensure voluntariness; recruit women leaders and female staff to monitor the voluntary repatriation registration process, in particular, in relation to access to registration points;<br>☑ Continue to review and discuss possibilities for residual refugee populations with the government; negotiate continued protection and assistance for those unwilling and/or unable to return voluntarily for valid protection-related reasons; if necessary, agree upon and establish procedures for the residual group, as well as a local integration plan.<br>☑ Review the local integration strategy (use the Development through Local Integration approach) ;<br>☑ Finalize plans for movements/monitoring;<br>☑ Deploy human/material resources;<br>☑ Finalize the establishment of way stations, etc.; and<br>☑ Develop a plan to consolidate camps and phase-out in the country of asylum. | ☑ Ensure that offices/staff are fully established;<br>☑ Review the political/security situation in main areas of return. In particular, undertake a thorough analysis of obstacles to return and develop strategies to address them;<br>☑ Identify constraints affecting movement and ensure proper cross-border, sub-regional coordination and information exchanges;<br>☑ Review the capacity of civilian institutions and law and order; where appropriate, build the capacity of these institutions or mobilize other actors to do so;<br>☑ Arrange for and undertake systematic returnee monitoring to identify protection issues and assistance needs, to design appropriate protection and assistance interventions and to collect relevant country of origin information for potential returnees, host countries and other actors;<br>☑ Provide authorities with technical and advisory services and training to elaborate legal safeguards agreed to by the government and promote their effective implementation; mobilize the support and involvement of other actors, including diplomatic missions;<br>☑ Promote and support initiatives to foster co-existence and reconciliation;<br>☑ Support authorities in establishing a civil registration system that can also allow registration of organised, as well as spontaneous, returnees; and<br>☑ Encourage authorities and partners to initiate projects focused on returnee reintegration and self-reliance, including means to improve access of returnee children to education, vocational training and income generation projects (focus on female-headed households). |

# ANNEX 4.1:

# LISTS OF POSSIBLE REFUGEE BUSINESSES[3]

The following are lists of some of the most common refugee businesses. They are not exhaustive, but rather suggest the broad range of businesses that refugees can set up and manage.

| | |
|---|---|
| **RELIEF SUBSTITUTION** | Bedding (quilts and blankets), clothes (knitted jumpers), school bags and uniforms, tents and utensils. |
| **ENVIRONMENT** | Dams, erosion control, fuel-saving stoves, trees and forestry. |
| **INFRASTRUCTURE** | Buildings, maintenance, road construction and repair, water supply and sanitation. |
| **SMALL FARM PRODUCTION** | Vegetable gardens, bees, dairy, camels, poultry, sheep and goats, pigs, rabbits, fruit trees, fisheries and wood banks. |
| **AGRICULTURE** | Cereals, fishing, fruit trees and group farms. |
| **HANDICRAFTS** | Clay pottery, incense, baskets, mats and rope, leatherwork, hats, jewellery, spinning and weaving, dyeing, carpets and school uniforms. |

3 *UNHCR,* Manual on Self-reliance, Employment and Micro-finance: Operation Guidelines for Developing a Self-reliance Strategy in Refugee and Returnee Situations *(1997).*

| Business starters, income-adding starters and training schemes | | |
|---|---|---|
| PRODUCTION | SERVICE | RETAIL |
| Metal work | Tea shop | Shops |
| Blacksmithing | Restaurant | Grocers |
| Tinsmithing | Hotel | Vegetables |
| Tool making | Milk selling | Beer |
| Aluminium casting | Water selling | Wholesaler |
| Welding | Donkey cart | Street vendor |
| Soldering | Pick-up truck | Wood seller |
| Wood furniture | Car repair | Kerosene seller |
| Upholstery | Bodywork repair | Fishmonger |
| Tailoring | Puncture repair | Butcher |
| Shoes/cobblers | Sign making | Second hand clothes |
| Embroidery | Artwork | General retail |
| Sisal/rope | Screen printing | Electrical store |
| Mattress | Varnishing | Fuel supplier |
| Butchery | Typing | Bricks |
| Bread making | Letter writing | Soft drinks |
| Sweets | Teaching English | Decorator |
| Soap | Dentistry | Nursing |
| Mud bricks | Hairdressing | Traditional healer |
| Fuel briquettes | Builder | Stone cutter |
| Donkey carts | Well digging | |
| | Traditional birth attendant | |

# MODULE FIVE:
# STRATEGY DEVELOPMENT AND PROGRAMME DESIGN

PART B

# SUMMARY OF MODULE

***Previous modules discuss linkages between reintegration and planning tools, some of the key elements in planning and implementing reintegration programmes and preparatory activities in both the country of asylum and of origin. This module suggests a process for formulating a reintegration strategy and plan that can be adapted as appropriate.***

| | |
|---|---|
| Section 1: | A COMMON SITUATIONAL ASSESSMENT |
| Section 2: | DEVELOPING A BROAD-BASED TRANSITION-RECOVERY STRATEGY |
| Section 3: | FORMULATING A UNHCR REPATRIATION AND REINTEGRATION STRATEGY |
| Section 4: | FORMULATING A UNHCR REINTEGRATION PLAN AND PROGRAMME |

# INTRODUCTION

Post-conflict recovery is primarily the responsibility of governments and of civil society at large. The country concerned should, therefore, "own" and direct the process of planning and implementing these actions (with appropriate support from external actors). **UNHCR and partners should support the early development of an inclusive and broad-based government-led recovery-transition strategy.** Such a strategy should constitute the basis for UNHCR and other partners' interventions.

Developing such a broad-based recovery strategy, however, can take time. UNHCR should prepare an initial strategy in order to respond to potential spontaneous returns. A "first strategy" would primarily guide UNHCR's early **protection** and **assistance** interventions and stem from consultations with governments, agencies and other stakeholders and eventually fit into a larger recovery strategy.

An important objective of reintegration planning is to ensure that returnees and other displaced populations benefit from long-term development activities. Initial assistance should, therefore, be done in light of long-term goals. The steps suggested in Module Two for linking reintegration activities with planning tools and processes should be taken into account when formulating a reintegration strategy and plan. Similarly, the process should take into account the principles, planning context and criteria for interventions discussed in Module Three. Strategy development and programme design should build upon the preparatory activities in Module Four.

**The goal is to design a strategy and plan that:**

- Meets the basic protection and reintegration needs of returnees and other displaced populations;
- Is integrated and involves partners to ensure sustainability; and
- Is flexible in terms of interventions, as well as the institutional and political context.

**A reintegration strategy and plan formulation exercise should consist of the following sequence:**

- ☑ A common situational assessment;
- ☑ Development of a broad-based recovery and reintegration strategy involving governments, donors, civil society and UN agencies;
- ☑ Formulation of a UNHCR-specific strategy (in line with its core mandate) reflecting the outcomes of the broad-based national transition-recovery strategy; and
- ☑ Formulation of a UNHCR reintegration plan and programme.

Table 5.1 provides an overview of some of the main activities related to a reintegration strategy and plan formulation exercise. These are described in greater detail below.

**Table 5.1: Overview of planning steps for strategy formulation and programme design**

| STEPS | ACTIVITIES | FORA | SUPPORT SOURCES |
|---|---|---|---|
| **Conduct a common situational assessment** | Overview and analysis of the situation. Through mapping exercises (who is doing what where), obtain information on returnees and communities in returnee areas: population data, access, security, the political and economic situation, the level of basic services, the human rights and protection situation, institutions, programmes, resources and needs (met and unmet).<br>**Actors**. Development, humanitarian, security and peace-keeping actors and returnee communities. | Inter-agency assessment missions and follow-up (OCHA); and a team approach within UNHCR (i.e. all relevant units at both the Headquarters and field levels). | *Internal* (UNHCR): UNDP secondments; advice from the Reintegration and Local Settlement Section (RLSS) and the Population and Geographic Data Section (PGDS).<br>*External*: a UNCT transition team; a roster of experts; etc. |
| **Develop a broad-based recovery strategy** | A medium-term plan (two-three years) must address the overall needs of returnee areas and be the overall strategy to which the UNHCR programme will contribute.<br>**At the macro level**, form thematic /sectoral groups; strengthen coordination modalities; and look at standards and sector policies.<br>**At the district level**, link proposed activities with district development plans; link with bi-lateral actions and community structures (e.g. village development committees and district recovery committees).<br>**Actors**. local authorities, NGOs, the private sector, the government, donors, the UN, religious groups, etc. | Workshop with all actors; PRSP, National Recovery Strategy (NRS) and National Development Plan (NDP); sectoral meetings; CAP/CHAP, CCA/UNDAF and UNCT planning exercises; development partnership meetings/donor briefings/roundtables; programme and consultative groups. | *Internal*: RLSS/UNHCR; a database on "who is doing what and where"; etc.<br>District level: locally organised workshops; etc.<br>*External*: UNCT, donors and others. |
| **Formulate a UNHCR strategy** | Develop an overall UNHCR strategy and plan, especially regarding protection based on a multi-year planning horizon (e.g. three years). | Regional workshop; formulation of a repatriation and reintegration strategy; UNHCR strategy planning workshops with partners. | *Internal*: RLSS/UNHCR; Department of International Protection (DIP); desk advice.<br>*External*: UN agencies; civil society; etc. |
| **Formulate a UNHCR plan and programme** | Develop specific assistance and protection projects/interventions (which have one-year goals and objectives and include performance indicators).<br>A Country Operational Plan (COP); a project description; and a Letter of Intent. | COP workshop with all UNHCR direct actors (partners and donors). | *Internal*: Desk/DOS supported facilitation; DIP.<br>*External*: NGOs, donors, UN agencies |
| **Secure resources** | Secure the staffing, technical, financial and other resources needed. | CAP, TAG (donor briefings and missions); submission to the Operational Review Board (ORB); approach secondment sources. | *Internal*: RLSS, UNHCR/technical support services; and desks.<br>*External*: UNOPS, universities, etc. |

***The proposed approach must be adapted to conflict-affected countries with areas safe enough for spontaneous return. The various planning scenarios discussed in Module Three (Table 3.1) should also be taken into account.***

## Section 1

## A COMMON SITUATIONAL ASSESSMENT

A sound understanding of the populations of concern, actors, needs, opportunities and constraints in the country of origin in general and areas of return in particular – obtained through situational assessments - is key to devise a reintegration strategy and plan. Whenever possible, situational assessments should be undertaken jointly by central, regional and local authorities; UN agencies; donors; NGOs and others. The assessments should include data collection and analysis of:

- **The population of concern** (i.e. returnees, IDPs, local communities, etc.) to obtain a better understanding of their socio-economic and demographic profiles, aspirations, intensions, needs and assets;

- **The existing situation in areas of return** to understand rehabilitation and reconstruction needs, institutions, programmes, resources, etc.; and

- **The overall macro-economic and political situation** to better understand the context within which the recovery and reintegration process is taking place, as well as the opportunities and constraints it presents.

Module Four discusses information collection and the socio-economic characterisation of refugee populations in asylum (a largely UNHCR task). This data (which is collected in several countries) should be updated and transferred to the UNHCR Branch Office in the country of origin when repatriation is imminent. Information on other displaced groups should also be collected and analysed. A combination of these profiles will provide a full picture of the relevant population. Tools such as sample surveys, focus group discussions and key informants surveys, all used in building refugee profiles, can also be used to understand other displaced populations.

Inter-agency assessments should involve a number of actors and can cover a potentially large number of activities. Setting up a planning/assessment support structure (of which UNHCR should be an active participant) and agreeing on a scope of work and outputs are, therefore, critical. Annex 5.1 (based on the Liberia Inter-agency Needs Assessment process conducted in November and December 2003) provides general guidance on how joint needs assessments can be conducted. It can be adapted to suit the prevailing circumstances. It is important to stress that assessments often represent a snapshot of a situation – if not updated regularly, the significance of the information collected or the validity of the recommendations could become obsolete.

***Whatever the outcome of negotiations to undertake joint planning and assessments, UNHCR, because of its protection mandate, should be on the ground to assess security conditions, collect information, establish political contacts and develop operational linkages and start the consultative process with the returnee communities and civil society.***

## 1.1 Goals of assessments

- To collect data regarding social, economic, cultural, infrastructural, judicial, political and security conditions in the potential areas of return;[4]
- To undertake country of origin and returnee area situation analysis to facilitate the following activities:
  - ☑ Identifying priority areas of return and sectors in which to intervene;
  - ☑ Determining target groups (returnees, IDPs, groups with special needs and others); and
  - ☑ Determining the nature, scope and duration of interventions to be provided.

4 *Areas of return are generally areas of origin. UNHCR should support alternative settlements if they are not the result of an obstacle to return to places of origin/previous residence.*

## 1.2 Scope of assessments

The assessments should cover information on the **general context** in both countries of asylum and origin, **baseline data** in the country of origin and **needs**.

- **The general context** in which displacement and movement happened will yield information to better understand **push factors in countries of origin** (i.e. make a thorough assessment of: a) the macro-economic context, the causes of displacement and subsequent developments, such as policy changes, domestic stability and signals from the government to welcome returnees and other displaced populations; and b) inadequacies in national protection, such as a breakdown of national capacity to provide security and economic, social, political, religious, cultural, gender-based and other human rights violations) and **pull factors in countries of asylum** (e.g. better social, political and economic opportunities; educational opportunities; external humanitarian support; refugee and immigration criteria; and influence of foreign groups and laws of foreign governments).

- **Collection of baseline data:** Comprehensive information on the areas of return (*inter alia* to identify and analyse possible constraints and obstacles to determine whether refugees (where appropriate IDPs) can return in physical, legal and material safety and with dignity) is essential for the design and implementation of a sound repatriation and reintegration strategy. Information should be updated on a regular basis. In order to facilitate the initial data collection and fulfil UNHCR's protection role, it is of paramount importance that **a UNHCR field presence be established at the earliest possible stage of the operation and certainly well ahead of organised or facilitated returns**. Key information to analyse includes:

  - The existing national resource use policy/strategy, national development plans (existing or en route) and appeals (government/inter-agency, etc.);

  - National/provincial/local institutional structures, as well as the structure of the UN (Special Representative of the Secretary General/High Commissioner/Resident Coordinator alignments); and

- Security conditions; access to land; mines; availability of health, water and education facilities; services available for groups with special needs (e.g. female-headed households, the disabled and widows); the presence of NGOs and other partners, administrative or logistical issues; and national legislation on issues of importance for the return of refugees and other displaced populations (e.g. access/restitution of land, property and housing).

- **Detailed needs and resources assessments** are essential to establish recovery priorities spanning all the 4Rs, but especially reintegration, rehabilitation and reconstruction.

  - When prioritising reintegration needs, it is important to take into account the roles and needs of each of the social categories composing the refugee and other populations of concern (e.g. IDPs, local communities, etc.). Failure to do so may reduce overall programme/project efficiency and effectiveness and result in disadvantaging women and further marginalizing already vulnerable groups.

  - Other potential field investigations include an inventory of rehabilitation needs, land use surveys (done with FAO), the state of the environment and natural resources base (to identify potential threats to long-term development) and other sectoral surveys.

  - It is essential that the assessments cover economic opportunities (preferably taking a medium-term view). Sound programmes bridge the profiles and needs of the population groups of concern with local and national economic opportunities identified in assessments.

Annex 5.2 provides a needs assessment reintegration checklist of some of the issues mentioned above. Examining key cross-cutting issues, such as gender and capacity building, is vital to effective strategy design. Annex 5.3 provides a comprehensive gender checklist for needs assessment in Liberia, which can be adapted to suit other countries.

**For information on how to address HIV/AIDS issues, see the Inter-Agency Standing Committee Guidelines for HIV-AIDS Interventions in Emergency Settings (2003).**

### Examples of assessment support tools and methods

- **Sample surveys** (e.g. participant observation and interviews);
- **Rapid appraisals** (questionnaires (see Annex 5.4), checklists, reports, etc.);
- **Common Country Assessments** (see www.undg.org);
- **ILO Key Informant Survey (KIS):** This system works through the part-time recruitment of local key informants who report on a regular basis on the local labour market and the demand for goods and services. The key informants should receive a short training and should be provided with questionnaires to interview the stakeholders in the local economy. The advantage of this methodology is that it provides constant data on the changes in opportunities for reintegration. This is especially important in periods of return of large numbers of people (the KIS methodology is presented as an annex in the ILO manual on training and employment options for ex-combatants);
- **Geographic tools** (e.g. maps, boundary graphic files and geo-codes, village names with p-codes and locator tools and the GIS system); and
- **DFID's Sustainable Livelihoods Guidance Sheets** highlight common tools that can facilitate needs assessments and situational analysis, including environmental checklists, gender analysis, institutional appraisal, participatory poverty assessment techniques, risk assessment, stakeholder analysis, strategic conflict assessments and guidelines for conducting sample surveys (see www.livelihoods.org).

## Section 2

# DEVELOPING A BROAD-BASED TRANSITION-RECOVERY STRATEGY

A common needs/situation assessment is often the basis for a broad-based recovery strategy. Such a strategy can be government-led; where none exists, the UNCT can support government or prepare its own recovery strategy. UNHCR has in some cases (e.g. Afghanistan) provided assistance to the government to develop a national strategy, which has then formed the basis of other partners' interventions.

A broad-based recovery strategy should be a medium-term plan (e.g. two-three years) and address:

- Recovery needs, but build the basis for long-term economic and social development;
- Broad capacity building needs, including the re-establishment of mechanisms for decentralized planning, the capacity for governance, justice and the rule of law;
- Reconciliation issues, especially at the community level;
- Needs at different levels through the formulation and implementation of recovery plans at the national, provincial/district and community levels;
- Large-scale infrastructure rehabilitation needs.

Transition strategies have to strike a balance between humanitarian and long-term development components. A key question is often how to determine the types of actions that a transition strategy should cover. Box 5.1 gives examples of criteria developed by the government, UNCT, bi-lateral donors and the World Bank to guide the selection of interventions in the design of the Integrated Recovery Programme (IRP) of Eritrea, which benefited returnees, expellees and IDPs.

**Box 5.1: Examples of criteria used to define recovery activities to plan the Eritrea Integrated Recovery Programme (IRP)**

**Parameters**

Recovery activities, for this specific purpose, should meet **all** of the following criteria:

- Be limited to those activities that involve: (a) rehabilitation, repair or reconstruction of basic social and economic infrastructure, facilities, services, etc. damaged or destroyed during the border war; **and/or** (b) construction or expansion of such basic social and economic infrastructure, facilities, services, etc. as required to ensure the sustainable socio-economic reintegration of newly arriving populations (returnees and expellees);
- Address basic needs (listed above) not addressed by any existing or planned assistance programmes;
- Be compatible and consistent with national reconstruction and development priorities;
- Be implementable within two to three years;
- Be sustainable financially and not require external subsidies to continue operations beyond the two to three year period;
- Be environmentally sound and sustainable;
- In contrast to relief aid, aim primarily at enabling/supporting self-reliance and food self-sufficiency, in particular;
- Use standards of infrastructure, facilities and services in surrounding communities not affected by the war or the return of refugees as the reference for applicable standards.

**Types of activities**

The following types of activities should be included **to the extent that they fall within all of the above parameters**:

- Construction/rehabilitation of access and secondary roads and shelter;
- Construction/rehabilitation of water supply, water distribution and sanitation systems;
- Construction/rehabilitation of basic educational, health and community services infrastructure;
- Provision of necessary equipment/materials to operate the above infrastructure;
- Land preparation, the provision of agricultural tools and inputs, livestock restocking, poultry farming, small irrigation schemes designed to produce target population food self-sufficiency;
- Forestry, range land management and soil and water conservation projects;
- Institutional strengthening and technical capacity building for programme planning and design at line ministries through on-the-job training, the provision of scholarships, post-graduate courses, etc. for national technicians;
- Savings and micro-finance schemes and other income-generating activities; and
- Community development activities, including activities to promote the integration of newly arriving populations and to strengthen coping mechanisms.

Transitional/recovery strategies often only provide broad frameworks, they must be rendered operational by, for example:

- Building them into CCA/UNDAF (where they are either being formulated or revised); and

- Developing specific joint programmes among two or more UN agencies and the government.

## Section 3

## FORMULATING A UNHCR REPATRIATION AND REINTEGRATION STRATEGY

Where relevant, UNHCR should use a broad-based government and/or UNCT recovery strategy as the basis for developing its internal strategy. Where such a recovery strategy is slow to materialize, UNHCR can develop a "first strategy" in consultation with the government and partners, to the extent possible, to respond to immediate protection and assistance needs. It is important to base such a UNHCR strategy on sound information and analysis.

UNHCR's strategy should:

- ☑ Be regional in scope to comprehensively define durable solutions for population target groups that may be found in different situations in a number of countries;

- ☑ Define and guide UNHCR's early **protection** and **assistance** intervention aimed at sustainable reintegration and include a phase-out strategy for UNHCR;

- ☑ Be the result of joint government and agency consultations;

- ☑ Provide guidance on UNHCR's post-repatriation role in countries of asylum, while focusing on the country of origin; and

- ☑ Be prepared through the country office's planning exercise and call upon any necessary support from Headquarters. In some instances, regional offices should take the lead in initial plan formulation, especially when access to returnee areas is limited.

The strategy should be based on a multi-year and **multi-scenario approach,** rather than on a single set of assumptions. Different possible scenarios should be identified and various relevant plans be drawn up (including for when returnees and displaced populations settle in large numbers in urban areas). This is particularly important in situations where UNHCR works in unpredictable operational environments. The flexibility of the multi-scenario approach allows for effective responses to unanticipated developments.

Box 5.2 provides an example from Sudan[5] of potential scenarios that may impact on a repatriation and reintegration strategy.

**Box 5.2: The peace process in Sudan: potential planning scenarios (September 2003)**

- **Current situation continues.** The peace process does not achieve a peace agreement. Instead, discussions continue with some achievements and set backs. There are low-level, militia and ethnic conflicts; a large majority of refugees are unwilling to return and some refugees are moving to peaceful zones. **ACTION:** Prepare refugees for eventual solutions; redirect care and maintenance programmes to solutions in anticipation of the peace agreement; link with partners in advance; prepare the ground for joint planning; and, when the opportunity arises, prepare for joint assessments, etc.
- **Peace agreement.** Although the content of the peace agreement cannot be predicted, it is assumed that the main elements of the Machakos Protocol of July 2002 are included. The peace agreement includes mechanisms for the return and reintegration of IDPs and refugees. **ACTION:** Revitalize partnerships for joint assessment missions, etc.
- **Conflict resumes.** The peace process fails, civil war resumes, there are attacks on civilians and additional population movements, including new influxes of refugees into neighbouring countries. **ACTION:** Prepare a contingency plan and continue preparing the population for eventual solutions.

In formulating the UNHCR strategy, some key questions to ask include:

☑ What are the goals and objectives of the strategy?

☑ What are the underlying assumptions of the strategy?

☑ What are the numbers, needs, characteristics, etc. of the target population(s)?

☑ What protection and assistance issues should the strategy address?

5 *UNHCR Africa Bureau,* Regional Operations Plan for Repatriation and Reintegration of Sudanese Refugees *(September 2003).*

- ☑ How will the goals and aspirations of the returnees and other displaced populations inform the strategy?
- ☑ What mechanisms will UNHCR use to implement the strategy?
- ☑ How will UNHCR facilitate the phasing in of development activities?
- ☑ What are the monitoring and evaluation mechanisms?

## 3.1 Objectives of a Repatriation and Reintegration Strategy

- ☑ Define the main policy and planning parameters for protection and assistance;
- ☑ Determine priority areas and sectors for UNHCR intervention; and
- ☑ Define the role of UNHCR, including the scope and duration of its intervention, taking into account local resources and capacities and the involvement and contributions of other humanitarian and development partners.

**For the reintegration process to be sustainable, the strategy should:**

- ☑ Be developed through an **integrated and inclusive** approach, in partnership with others;
- ☑ Aim to prevent renewed outflows;
- ☑ Be consistent with government priorities and plans and with contributions and interventions of donors and other partners;
- ☑ Clearly define the operational linkages that UNHCR should establish with the relevant governmental line departments and humanitarian and development agencies and NGOs involved in the reintegration process;
- ☑ To the extent possible, support both the existing population and returnees by ensuring that community infrastructure and local economic recovery benefit everyone (including women and men). Avoid inequality between returnees and local communities (especially those in need themselves) and reinforce peaceful co-existence;

- ☑ Anchor return within the receiving community to ensure social cohesion;
- ☑ Support individuals and groups with special needs;
- ☑ Facilitate the application of skills and values of human rights and gender equality that returnees acquired in exile to their returnee context;
- ☑ Socially, economically and politically empower all sectors of the returnee population and other groups;
- ☑ Identify and outline interventions to remove/address legal and administrative obstacles to return;
- ☑ Build the governance capacities of local authorities, NGOs, CBOs, etc.
- ☑ Promote sustainability through a community-based approach linked wherever possible with longer-term development programmes; and
- ☑ Promote the rule of law with the government, NGOs and UN sister agencies.

## 3.2 Elements to Include in a Reintegration Strategy

As indicated above, the reintegration strategy should encompass both countries of origin and asylum. See below for further details.

### 3.2.1 Protection and assistance in the country of asylum

Planning measures to take in countries of asylum is an important element of strategy development and should not be left to the last minute when refugees are already on their way home. UNHCR, in the country of asylum and in **partnership with other actors**, should:

- ☑ Identify a durable solutions strategy for refugees unwilling and/or unable to return, including for the residual refugee population;
- ☑ Negotiate continued protection and assistance for those unwilling and/or unable to return voluntarily for valid protection reasons;
- ☑ If necessary, agree upon and establish procedures for this residual group, as well as a local integration plan (see UNHCR's Framework for Durable Solutions for Refugees and Persons of Concern);

- ☑ Address the rehabilitation needs of refugee-hosting areas;
- ☑ With partners, identify development projects to implement in these areas (where a DAR has been implemented this should happen earlier);
- ☑ Plan the phasing out of UNHCR assistance to the residual refugee population; and
- ☑ Decide on a mechanism to hand camp infrastructure over to the government (ideally, such a mechanism is developed at the same time as the infrastructure is put in place).

UNHCR should play a facilitating role and leave projects implementation to other actors, including relevant government departments and development agencies.

**EXIT STRATEGY**

**UNHCR uses the term "exit strategy" to describe a complete closure and hand-over of responsibilities to governments or other authorities. UNHCR is responsible for ensuring that a former camp site, when transferred to local authorities (after the closure of a camp or the discontinuation of refugee operations), is safe and for restoring the local physical environment to some degree of its former status.**

*Source: ExCom Paper EC/SC 2/79.*

While such plans are not directly related to repatriation activities *per se*, they are an important part of the overall repatriation and reintegration process.

One objective of UNHCR involvement in post-repatriation rehabilitation in countries of asylum is to safeguard the very institution of asylum. Experience suggests that traditional host countries have become increasingly reluctant to receive large concentrations of refugees. This "refugee fatigue" can in part be attributed to the feeling that the international community has not evenly shouldered the refugee burden.

Where a repatriation operation covers a number of countries, a regional approach should deal with camp consolidation, closure, hand-over and rehabilitation. However, while a regional approach has many advantages (e.g. strategic planning that integrates all options under an "umbrella programme", coordination, cost-effectiveness, transparency, etc.), it is important to stress that no single plan can serve all countries.

**For further details on a regional approach to post-repatriation activities in countries of asylum, see Africa Bureau/UNHCR, Refugee Camp Closure, Consolidation and Rehabilitation: A Regional Approach in East Africa and the Horn of Africa (2003).**

### 3.2.2 Protection and assistance in the country of origin

The reintegration strategy in the country of origin should cover two complementary phases, namely:

- **The initial assistance phase** (during which humanitarian assistance is most necessary) begins immediately upon the return of refugees and other displaced populations to their home areas and ends one to three years later, depending on the situation; and

- **The consolidation phase**, (during which UNHCR only supports partners) primarily involves specialized organisations implementing long-term area-based development programmes.

While these two phases are conceptually distinct and by definition imply a certain sequence, both should, to varying degrees, commence and proceed simultaneously.

#### 3.2.2.1 The initial assistance phase

The initial phase is crucial to the reintegration process. A successful initial phase ensures that reintegration is sustainable and averts the recurrence of displacement, such as a massive exodus from rural to urban areas or renewed outflows of returnees and other displaced populations. This implies that **initial assistance should have an immediate and visible impact and focus on meeting basic needs, as well as confidence building, conflict resolution and reconciliation among the populations within the target areas.** It also implies that programmes initiated during this phase should conform to national standards so that they can be rapidly consolidated by national and local development plans, using established benchmarks.

The planning of an initial assistance phase must include a **protection component** (Box 5.3) and the development of a **UNHCR-specific assistance programme**.

### Box 5.3: Elements to take into account in developing the protection component of the plan

Physical, legal and material safety standards guide the protection components.

- ☑ The lasting nature of voluntary repatriation largely depends on the level and nature of protection extended to returnees in the course of their return and re-establishment in their country of origin;
- ☑ The essential underpinning of returnee protection is respect for human rights and the rule of law;
- ☑ In countries with pronounced ethnic and clan identities, it is often the clan and ethnic group that provide and guarantee the security of the returnees, even more so than do governmental authorities or security personnel. It is important, therefore, that refugees be able to return to their traditional settlements (places of origin/previous residence) in order to facilitate their reintegration in existing structures. However, one should be mindful that traditional structures may also be obstacles to consolidating gender gains acquired in exile;
- ☑ Access to food, clothing, health care, shelter, water and other necessities is essential to human survival and safety. Access, therefore, must be understood to be a broader part of protection;
- ☑ In conflict situations, ensuring humanitarian access and the delivery of relief supplies to displaced persons or besieged local populations through international humanitarian presence may avert some abuses and provide the only means for UNHCR to conduct its protection activities among groups and populations at risk;
- ☑ Technical and advisory services to elaborate legal safeguards in such areas as amnesty, property, citizenship, documentation and return must be provided, effectively implemented and address the special needs of women, children, older people and other social groups;
- ☑ To ensure the creation of self-sustaining structures, it is important to facilitate the capacity building of local authorities and civil society;
- ☑ It is important to establish a returnee monitoring mechanism involving other agencies (as appropriate) to:
  - ◆ Generate relevant country of origin information for potential returnees and host and other countries;
  - ◆ Identify obstacles to returnees with a view to designing appropriate protection and assistance interventions;
  - ◆ Determine whether refugees and/or IDPs are able to return in safety and with dignity; and
  - ◆ Undertake systematic returnee monitoring once return movements have started;
- ☑ Development of interventions to address reintegration obstacles both for individual cases, as well as at the institutional level;
- ☑ In cooperation with partners, design structures (and procedures) to address/prevent security incidents, including well-documented follow-up with the authorities and international peacekeepers (where present);
- ☑ Support the authorities to establish systems to register all the population, including organised and spontaneous returnees;
- ☑ With the authorities, plan measures to sensitize and prepare the population, particularly in the communities to which refugees and IDPs will eventually return. In particular, in cooperation with relevant partners, facilitate a dialogue between returnees, the receiving community and the authorities. Promote continuous initiatives to foster confidence building, co-existence and reconciliation, such as inter-community bus lines, women's initiatives and community-based co-existence projects (re. Kosovo);
- ☑ Support an effective human rights regime, including institutions that sustain the rule of law, justice and accountability. In particular, identify and work with national and local human rights institutions and NGOs to maximize support for the creation of conditions conducive to safe return and the reintegration of returnees and IDPs;
- ☑ Establish or support gender- and age-sensitive legal aid/information centres to ensure that returnees have access to effective legal remedies; and
- ☑ UNHCR's attempts to establish and reinforce complementary and collaborative links with development and other actors should include the promotion of human rights and the rebuilding of civil society. UNHCR must gradually scale down its involvement as national protection mechanisms are re-established.

**UNHCR-specific assistance programmes should:**

☑ Address short-term and urgent assistance needs when they develop in returnee communities and areas (e.g. shelter, agricultural tools, vocational training, and cash-for-work and community-based reintegration projects); and

☑ Fill the gaps identified in inter-agency reintegration initiatives (e.g. priority areas and sectors not covered, unsuitability of programme cycle and operational capacity to rates of refugee return, lack of flexibility in interventions, etc.).

**The assistance programme should include:**

- *Individual- and family-based assistance*

Individual repatriation and reintegration assistance packages include the transportation of refugees with special needs to areas of return and the provision of basic assistance, such as food, domestic items, local building materials and productive assets (in rural areas this means seeds and farming tools) on the basis of a thorough needs assessment.

The repatriation package can be distributed in different places and ways: (i) in countries of asylum; (ii) upon return to the country of origin; and (iii) in kind, in cash or in whole or in part, depending on the prevailing conditions and returnee skills, background and area of return (rural or urban). To the extent possible, the package should be consistent and compatible with support provided to other segments of the population (e.g. IDPs, ex-combatants, etc.).

**Direct food aid** should be provided carefully, according to a timeframe and specific indicators for its progressive reduction. In general, food aid is only provided to rural returnees according to need and until they have the opportunity to harvest their own crops[6]. In drought-prone and vulnerable areas with poor crops, food assistance should last for a minimum of two harvests.

**Productive activities** aimed to foster food security and economic self-reliance, such as food-for-work, cash-for-work and micro-finance programmes, should be actively promoted at the earliest stage. As prolonged food aid can jeopardize efforts towards increasing local food production, aid

6 *For urban returnees, the situation is more complex and reduction in assistance will depend on possibilities to obtain regular and sufficient income.*

should be provided with extreme care and in coordination with local and international partners.

***Basic assistance provided to returnees should, to the extent possible, be consistent with the plans developed for IDPs and the affected local population. Spontaneously-returned refugees should also benefit from repatriation packages distributed in the country of origin.***

- *Area and community-based assistance*

Area and community-based infrastructure rehabilitation programmes involve labour-intensive environmental and infrastructure projects, such as the rehabilitation and reconstruction – on a participatory basis – of access roads, schools, health clinics, markets, wells, latrines, etc. (see Box 5.4). Typically, these activities and projects are simple, small and rapidly implemented – Quick Impact Projects (QIPs)[7]. They can be launched as, or immediately after, returnees and other displaced populations reach their destination and should work within an overall framework and strategy and not be random or indiscriminate. QIPs are best implemented at the district and village levels by strengthened local government line departments or local NGOs with assistance from multi- and/or bi-lateral agencies, including UNHCR, if necessary. Private sector actors, such as small contractors, can undertake labour-intensive projects. These activities can make an important contribution to revitalizing local economies and household livelihoods and contribute to long-term capacity building.

An important but often neglected component is the mobilization and participation of the community in assistance programmes, without which projects cannot be sustainable, particularly where line ministries are short of funds and may have weak capacities. These can be developed into Community Empowerment Projects (CEPs) (see box 5.6).

7 *RLSS/DOS/UNHCR,* Quick Impact Projects (QIPs): A Guide *(2004).*

**Box 5.4: Building a road using labour-intensive methods**

**Social benefits**

- Improved road and living conditions; and
- Reconciliation (working jointly on one project).

**Economic benefits**

- Sustainability in terms of maintenance (due to feelings of ownership);
- Short-term employment;
- Cash flow into society (which is an input for the micro-entrepreneurs) ;
- Capacity building/cash inputs for small contractors (private sector as implementer) ;
- Improved access to economic opportunities;
- Reduced transportation costs for traders ; and
- Lower prices of goods and services for the population.

### Infrastructure rehabilitation: the "hardware"

Infrastructure rehabilitation projects should help to consolidate the reintegration process. They must, therefore, be designed and implemented in line with agreed standards and development plans. This can be achieved only if strategic and operational linkages are developed from the outset among UNHCR, government line departments and development agencies (who ensure the continuity and sustainability of these projects). Particular attention should be given to handling recurrent costs through cost-sharing, user fees, coordinated budgeting and so forth.

**Box 5.5: Components of an area-based approach**

- Restoring livelihoods through agriculture, micro finance, employment generation activities, labour-intensive work, etc.);
- Supporting and reactivating community structures and decision-making systems, but also ensuring the equal participation of women;
- Empowering returnees, other displaced populations and local communities to define and achieve their own development goals and to become more self-reliant;
- Strengthening the coping strategies of groups with special needs (especially women and children) through food security or micro-insurance schemes;
- Restoring administrative, law enforcement and judicial services; and
- Restoring essential social services.

The infrastructure rehabilitation projects should preferably be initiated early in the reintegration process, target local capacity building, maintenance and cost recovery, and foster a participatory approach. **UNHCR Branch Offices should select a narrow range of priority sectors to focus on in order not to spread resources too thinly**. In Afghanistan, for example, the UNHCR programme focused on shelter, water and income generation.

**Livelihoods and self-reliance initiatives: the "software"**

Such activities are vital for the sustainability of the reintegration process and all available options for livelihoods and self-reliance (**micro finance**[8], **skills training**, **employment creation**, etc.) should be explored. They should be launched at the beginning, simultaneously with community-based infrastructure projects, and build upon self-reliance activities initiated in the country of asylum. The multi-year planning, budgeting and funding character of self-reliance projects and, particularly, of micro-finance schemes should be highlighted and duly reflected in the operations, budget plans, appeals and partnerships with actors with longer-term commitments.

UNHCR's role in livelihoods and self-reliance schemes should be to build the right foundations and be a **facilitator**. UNHCR should involve partners from the onset, as they are necessary to the continuation and expansion of these initiatives. The strategy must, therefore, outline the mechanisms that facilitate the establishment of local counterparts and the phasing in of development partners.

8 *See UNHCR, ILO and DFID,* Introduction to Micro-finance in Conflict-affected Communities *(2002); and UNHCR,* Handbook for Self-reliance Activities *(to be issued in 2004).*

**Box 5.6: Community Empowerment Projects: tools to consolidate reintegration (Sierra Leone)**

An important focus of UNHCR's work in Sierra Leone was the empowerment of communities to help people re-establish themselves in main areas of return. Through a few selected implementing partners, funds were made available to support a range of Community Empowerment Projects (CEPs). The scope of the projects is modest but strategic in empowering different groups, such as women, children, adolescents and older people (all priorities for UNHCR). The projects focused on small-scale interventions that communities can manage, such as social activities, local construction and agricultural processing. By helping people participate in decision making, CEPs are advancing political development and democratization in a society plunged into conflict largely because of people's exclusion from decision making. CEPs are thus a potential tool to enhance protection and peace building, as well as household economic recovery.

- More than 80 started in main return areas (August 2003);
- Alternative to previous partner- and UN-driven projects;
- Decisions made at the field level (the community sets priorities and makes plans);
- UNHCR and the National Council for Social Action (NaCSA) provide field support;
- Indicative US$7,000 per site to provide material resources;
- Partners facilitate inclusive decision making;
- Link into the World Bank/NaCSA Direct Community Financing; and
- Enforce community understanding, knowledge and protection at the field level.

### Reconciliation and co-existence projects

Reconciliation projects are essential in communities torn apart by conflict. They can encompass several approaches to rebuilding divided communities, including concrete, small-scale and participatory projects to help refugees and IDPs to restart their lives in a normal environment[9]. An important approach is to help members of conflict-affected communities and humanitarian workers who are trying to assist them to incorporate co-existence from planning to implementation. The **Peaceful Co-existence Initiative** in Sri Lanka is a good example of a project that helps members of conflicting groups to overcome deeply rooted mistrust and to eventually engage in productive cooperation. In 2001 and 2002, pilot projects were undertaken in Bosnia and Herzegovina (BiH) and Rwanda. The two pilots created tremendous interest among the affected communities and there have been significant achievements thus far. Communities were and are being trained in the principles of co-existence.

9 *See Fletcher School of Law and Diplomacy at Tufts University (Boston),* Imagine Co-existence: Assessing Refugee Reintegration Efforts in Divided Communities *(July 2002). See also UNHCR,* Imagine Co-existence Project Report *(March 2003).*

#### 3.2.2.2 The consolidation phase

It is necessary to develop cooperation between UNHCR and development agencies so as to enable the effective consolidation of the initial assistance phase. The reintegration of returnees and other displaced populations in war-torn areas is a lengthy and delicate process leading from rehabilitation and reconstruction to development. It can only be economically and socially sustainable if the initial assistance phase is carried out successfully and if the absorptive capacity of the returnee area is rapidly consolidated. The success of this consolidation depends on the extent to which the development community focuses on areas of return, especially through wider area-based medium-term development projects linked to regional and national development plans. During this phase, there should be further emphasis on and efforts towards building government capacity and linking up with other organisations to ensure that returnees and other displaced populations benefit from institutions' areas of expertise. Revitalizing local economies is an important part of this process.[10]

# Section 4

# FORMULATING A REINTEGRATION PLAN AND PROGRAMME

At the onset, there should be a regional or local strategy planning workshop involving as many partners as possible. Once all parties have endorsed a UNHCR reintegration strategy (see Box 5.7 for generic compoments), a **programme formulation exercise** should assist the Branch offices in the countries of origin and asylum to develop a repatriation and reintegration plan and programme.

## 4.1 Objectives of a Reintegration Plan

The main objective of a reintegration plan is to translate the repatriation and reintegration strategy into an operational tool. More specifically, the plan should:

10 *Relevant ILO reference material:* Local Economic Development in Post-crisis Situations *(2003);* Decent Work Matters in Crisis *(bundle of fact sheets) (2003);* Guidelines for Employment and Skills Training in Conflict-affected Countries *(1998);* Guidelines for Establishing Emergency Public Employment Services *(2003);* Coordination in Crisis Response and Reconstruction *(2002);* Jobs after War: a Critical Challenge in the Peace and Reconstruction Puzzle *(2003). These documents can be accessed through www.ilo.org.*

- ☑ Clearly identify and define the protection and assistance components by sector and area;
- ☑ Define a mechanism for implementing, monitoring, evaluating, coordinating and phasing out;
- ☑ Establish operational linkages between reintegration interventions and development activities; and
- ☑ Identify budgetary requirements to serve as a basis for the preparation of a resource mobilization appeal.

**Box 5.7: Generic components of a repatriation and reintegration strategy**

- **Situation analysis.** Presentation of the overall political, social and economic country context in which voluntary repatriation and reintegration are taking place.
- **Rationale.** Justification for UNHCR assistance based on a situation analysis.
- **Guiding principles.** Protection and assistance, integrated and joint planning with the UNCT and other partners.
- **Target locations.** Areas of return.
- **Target areas.** (i) Protection assistance; (ii) self-reliance and livelihoods; and (iii) infrastructure.
- **Target sectors.** Roads, shelter, education, health, income generation, etc.
- **Implementation and management arrangements.** Partners, procedures for programme implementation, etc.
- **Coordination.** Extant thematic groups, clusters, sectoral groups, etc.
- **Monitoring and evaluation.** Assessment of the extent to which programme objectives are met.
- **Risk factors and sustainability.** Financial, operational and institutional components; local capacity building; recurrent costs; etc. Identification of social, political and financial risks to implementation.
- **Partners.** NGOs, government line ministries, local authorities, donors and UN agencies.
- **UNHCR phase–out strategy.** Integral part of strategy (may differ across returnee areas and sectors).
- **Funding.** Identification of ways to mobilize resources (multi-year budgets at regional level by area and sector and joint funding modalities).
- **Constraints.** Identification of political, social, legal, technical and financial constraints that affect interventions (e.g. landmines, etc.) and timeframe to address them.
- **Overall work plan.** Timeframe for action; responsibilities and next steps in both countries of asylum and origin.

## 4.2 How to Formulate a Plan

The plan formulation exercise should be developed through a team approach within UNHCR (programme, protection, community development and other units) and be:

- ☑ Conducted with representatives from relevant line departments, returnee groups, other displaced populations and local communities and pay particular attention to the participation of women, older refugees and youth;

- ☑ Based on a participatory approach to help identify priorities on a more informed basis, as well as secure community support in the implementation phase; and

- ☑ Carried out in close coordination with relevant UN and other specialised agencies and major bi- and multi-lateral donors. The main objective of involving these agencies at this stage is to ensure an appropriate coverage of assistance by area and sector, fill in gaps, avoid duplication, establish unified implementation and service delivery standards and to take advantage of each agency's expertise.

***When time constraints call for the rapid design of a programme in order to quickly launch an appeal, the strategy and plan formulation exercises can be combined.***

In order to ensure the technical soundness of the plan, expert support may be required in the relevant sectors. The Division of Operational Support at UNHCR Headquarters or local consultants or consulting firms, NGOs and UN sister agencies can provide technical support.

## 4.3 Programme Validation: A Regional Workshop

Before programme implementation begins, there should be a **regional training workshop on repatriation and reintegration** in the country of origin. It should include UNHCR staff and partners, including from the country of asylum, associated with the repatriation and reintegration process. It should help participants **to reach a common understanding on goals, policies and concepts** and should include **gender awareness and child rights training** to develop skills to effectively identify the practical and strategic needs of females and males of all ages, especially older refugees

and to develop monitoring tools to track progress on gender equality (see the UNHCR Voluntary Repatriation Training Module).

**The development of specific programmes and projects should follow the validation workshop. For guidance on project planning, see the UNHCR Project Planning in UNHCR: A Practical Guide on the Use of Objectives, Outputs and Indicators (Second version) (March 2002).**

**Box 5.8: Gender elements to include in training workshops**

- Capacity building for NGOs that support and advocate gender awareness in areas of return;
- Sessions on gender issues in reintegration;
- Child rights awareness;
- Suggestions on how to use a community development approach in reintegration;
- Integration of gender issues in programmes and projects;
- Strategies for addressing SGBV in areas of return; and
- Information on human rights and resources/networks dealing with gender equality issues.

***An agenda for a regional workshop can be developed using elements of the outline of the reintegration strategy in Box 5.7.***

## CONCLUSION

Strategy formulation and programme design should not be seen as uni-linear and sequential processes. Rather, they are dynamic and should be flexible enough to incorporate new elements and situations as these emerge, adapt to rates and dynamics of return and issues related to implementation, monitoring and evaluation (see Module Four).

# Annex 5.1:

# Adapted from Liberia Recovery and Reconstruction Needs Assessments: Structure, Process and Guidance

**Annotated Guidelines[11]: (25 November 2003)**

## BACKGROUND

The Comprehensive Peace Agreement was signed on 18 August 2003. The UN Mission in Liberia and the UNCT in Liberia met with representatives of the National Transition Government of Liberia (NTGL) on 24 October to consider an UNMIL draft proposal for the restoration of basic infrastructure and services to be presented at a reconstruction conference scheduled for 3-4 February 2004. To this end, the UN and the World Bank expressed their readiness to undertake a joint needs assessment (the IMF will contribute on macro-economic and budgetary issues).

This note aims to assist those involved in undertaking the needs assessments to establish their programmes of work and ensure a consistent application of key principles across all sectors as the process of recovery, rehabilitation and reconstruction is taken forward.

## PURPOSE AND OBJECTIVE

The primary purpose of the needs assessments is to provide representatives at the reconstruction conference and other stakeholders with a multi-sectoral and technical overview of the main rehabilitation and reconstruction needs and priorities for peace building and recovery in Liberia. Its purpose is not to directly translate identified needs and priorities into concrete projects and programmes.

Within this context, the objectives of the needs assessments are to:

- Serve as the framework for a mutually agreed transition strategy for Liberia;

*11 Prepared by the UNDG Coordination Team (David Nabarro, Paul Hulshoff and Shani Harris) for distribution to all needs assessment participants.*

- Identify benchmarks, outcomes and desired results that must receive the most urgent attention as immediate efforts are made to repair Liberia's social, infrastructural, institutional and economic systems; and

- Inform and guide the decision-making process within the donor community with regard to commitments and pledges at the reconstruction conference.

## SCOPE OF THE ASSESSMENTS

The scope of the needs assessments will extend to:

- The identification of priority needs and funding requirements for 2004 and 2005[12];

- The development of a transition strategy for 2004 and 2005, including key considerations for sustainable longer-term development beyond 2005; and

- The identification of concrete outcomes and progress benchmarks for 2004 and 2005.

The assessments, in the process of quantifying the priority needs for 2004 and 2005, will have to give due attention to:

- The establishment of the necessary policy and regulatory framework;

- The redevelopment of critical institutions inside and outside government;

- The reconstruction or expansion of essential social infrastructure and services;

- Progress towards MDGs;

- The protection of the vulnerable during the transition phase;

- The immediate creation of employment opportunities; and

- The linkages with humanitarian needs that exist during and beyond the transition period.

*12 The period for the current Transitional Government; it hands power to an elected government in January 2006.*

## OUTCOMES AND BENCHMARKS: THE RESULTS-FOCUSED TRANSITION FRAMEWORK (RFTF)

Early work by the UNCT between 20 and 24 November suggests that in the needs assessment process a strong emphasis must be placed on priority results to achieve during the first 18 months of the recovery process, both as a follow-on to the ongoing humanitarian assistance effort, as well as an immediate underpinning of the Comprehensive Peace Agreement.

To this end, a RFTF will be developed, in addition to the individual needs assessment reports. It will consist of the following:

1. Key priorities to address during the first 18-month period;

2. Priorities costing;

3. Expected results of addressing these priorities (at six, 12 and 18 months); and

4. Identification of benchmarks to measure progress made towards achieving these results (every three months).

## CLUSTERS AND PRIORITY ISSUES

On 22 November 2003, the UNCT, the World Bank, the government of Liberia and representatives of several development agencies agreed on the outline of the RFTF. Clusters and sub-sectors will also be used to group individual needs assessments.

The timeframe for the matrix and the corresponding needs assessment is 2004-2005. The timeframe may include activities that begin in this period and are likely to extend beyond 2005.

## CLUSTER OF CROSS-CUTTING THEMES

In addition to the nine clusters, there are six cross-cutting themes (theme focal points in brackets):

- Building capacity at the national and community levels, including technical/statistical training and expertise, financial and administrative management, accountability and institutional integrity issues (UNDP);

- Maintaining security within development (UNMIL);

- Addressing gender issues in recovery and development (UNIFEM);
- Managing the potential impact of HIV/AIDS on recovery and development, programme implementation, management, monitoring and evaluation of external coordination (UNDP);
- Progressively realizing human rights within development (OHCHR); and
- Addressing environmental issues in recovery and development (UNEP).

## ABSORPTIVE CAPACITY

The timeframe and circumstances of implementation are more difficult to estimate than are the physical reconstruction needs. Nevertheless, it is critical that an assessment of the existing and foreseen absorption capacity is fully integrated into each cluster and sub-sector assessment in quantitative terms where possible and in qualitative terms where not. This includes specific recommendations for the enhancement of existing capacities, institutional or otherwise, so as to fully achieve the identified outcomes and results for 2004-2005.

Among the many considerations in programming and implementing the identified investment projects and activities, the following are perhaps most important:

- Security and the ability of international and local staff and consultants to move freely to design, implement and monitor projects;
- Availability of equipment and inputs in local and international markets for construction and other investments and whether required inputs are available “off-the-shelf” or require assembly;
- Capacity of Liberian public institutions to implement projects re: (i) experience, capacity and familiarity with implementation procedures for donor-funded projects, especially with donor requirements regarding competitive bidding procedures, financial management and accounting and reporting and monitoring systems – all of which take time to build; and (ii) the condition of facilities, equipment and files needed by ministries to function effectively; and
- The state of the infrastructure and certain key public services, which affect, in particular, the import and distribution of commodities necessary for

reconstruction and the ease of entry and movement of international and local agencies and contractors to carry out their work.

## LINKAGES WITH EMERGENCY NEEDS AND THE CONSOLIDATED APPEALS PROCESS (CAP)

The CAP for 2004 includes humanitarian activities that are essential to the save lives of those in danger, and activities that must be implemented – as a priority – to repair and restart essential social and economic systems. The CAP is not restricted to the needs of particularly vulnerable beneficiaries, such as displaced people, so overlap between the CAP and the needs assessment is essential.

Other specific issues covered in the CAP, but with a bearing on the needs assessment, include:

- **Coverage of temporary settlement areas.** The extent to which these will be included in the transitional framework will depend on: 1) coverage for 2004-2005 that will be provided if funding for the CAP is fully realized; and 2) the forecasts from the socio-economic restart cluster team on how many people can return on a sustainable basis to their places of origin during the 2004-2005 period. The transition framework would concentrate on the needs for those not covered under 1) and 2).

- **Support to (spontaneous) permanent settlements.** The desirability of support will depend on the likelihood that settlements in these areas will be able to sustain economic livelihood. If they can, then they can be included directly in the transition framework. If not, then they would logically form part of the reintegration strategies, etc. in cluster 4.

In light of these considerations, there currently are discussions underway with OCHA to ensure their full participation in the needs assessment process, including stakeholder workshops and the drafting of the synthesis report.

## TEAM COMPOSITION AND RESPONSIBILITIES OF THE CLUSTER COORDINATOR AND SECTORAL FOCAL POINT

The composition of each cluster team will be made up of one Cluster Coordinator and one or more Sector Focal Points, depending on the specific sub-sectors per cluster, as outlined in the matrix. One Cluster Coordinator will be identified for each cluster from among the personnel available in Liberia. The Cluster Coordinator, with the clearance of the Humanitarian Coordinator for

Liberia, will be responsible for determining the final composition of the team and the day-to-day management of the needs assessments for that cluster.

In addition, the Cluster Coordinator will carry the overall responsibility for the content, quality and execution of the needs assessment for the respective cluster. This includes defining the scope, attending to cross-cutting themes, overall coordination with all agencies and other stakeholders involved, identification of linkages across clusters and follow-up with the Cluster Coordinators of the relevant clusters to ensure coherence and complementarity and management of the entire post-assessment process leading up to the donor conference, i.e. collation and aggregation of assessment results, preparation of the final reports, briefings and presentations.

The Cluster Coordinators will be responsible for ensuring acceptable standards of the quality, reliability, completeness and accuracy of the data presented, both quantitative and qualitative. They are encouraged to clearly indicate limitations, if any, to the data presented and analysed.

The Sector Focal Points carry the same responsibilities as the Cluster Coordinators, but on the sub-sector level. The Sector Focal Points are to submit their sector reports to the Cluster Coordinator (date to be agreed by Cluster Coordinator and Sector Focal Points) and will work with the Cluster Coordinators to submit the individual cluster reports.

## PARTICIPATION OF MEMBER STATES

Given the situation on the ground and the need to maintain a “light footprint”, we will be able to accommodate only a limited number of external experts nominated by interested member states. It is suggested that there be a maximum of one external expert for each cluster assessment (one or two clusters may have more than one). A focal point in the Office of the Deputy Special Representative of the Secretary General/High Commissioner/ Resident Coordinator in Monrovia will work with UNDG Office to ensure that all proposed participants are reviewed jointly and there is a fair and representative spread in participation.

Member states with a presence in Liberia will be invited to the stakeholders’ workshops in Monrovia to discuss the draft reports of the needs assessments.

In addition, a number of measures will be put in place to ensure that all interested parties are kept abreast of developments and can provide information, comments and insights. These include:

- Periodic progress briefings, through the core group of donors and liaison group (to be set up); and

- Briefings as requested during any meetings and consultations that may take place before February.

## NGO AND CSO PARTICIPATION

Throughout the needs assessments, there will be opportunities for stakeholder participation, particularly in the case of those with a presence on the ground:

- NGOs/CSOs that are active in the country will be invited to share their data and knowledge base with the relevant cluster teams. The existing humanitarian assistance coordination mechanisms in which NGOs and donors participate will serve as the forum;

- NGOs/CSOs will be briefed on the progress of the needs assessments exercise during the weekly meetings of the Inter-agency Standing Committee in New York and as requested; and

- NGOs/CSOs will be invited to participate in the stakeholder consultations in Monrovia.

## DATA MANAGEMENT AND INFORMATION SHARING

A website will facilitate continued document sharing among participants throughout the needs assessment process. Information on meetings and deadlines will be posted on the site. The Cluster Coordinators are requested to ensure that all team members familiarise themselves with the background documentation, desk studies and other relevant material on the site. The website address is www.undg.org and the link to the Liberia page will be visible in the right column only to those who are registered to the site.

# ANNEX 5.2:

# IRAQ RECONSTRUCTION NEEDS ASSESSMENT: CHECKLIST FOR REINTEGRATION[13]

## POPULATIONS AND TARGET GROUPS

☑ Rapid development of demographic (age, gender, place of origin, ethnicity, etc.) and socio-economic profiles (professions, trades, skills, education, assets, etc.) of prospective returnee populations in neighbouring asylum countries, within Iraq and outside the region;

☑ Articulation of reintegration profiles of the returning population of working age (urban, rural, professional, skilled, semi-skilled, unskilled, women, men and youth); and

☑ Identification of particular vulnerabilities and disabilities within the returning population that may hinder reintegration.

## PROBABLE RETURN AND REINTEGRATION DYNAMICS

☑ Formulation of probable scenarios for and quantification of return movements of refugees and IDPs (both spontaneous and assisted) to the northern, central and southern regions for the next 6, 12 and 36 months;

☑ Identification and profiling of populations considered most likely to move rapidly and spontaneously and anticipation of seasonal surges (pre- and post–winter); and

☑ Broad assessment of absorption capacity in main anticipated areas of return and key challenges for immediate, short- and medium-term reintegration requirements in essential sectors (shelter, water, sanitation, food assistance, employment, health, education, winterisation, etc).

*13 Prepared by E. Macleod (CASWANAME/UNHCR).*

## INSTITUTIONAL AND CAPACITY DEVELOPMENT

- ☑ Overall assessment of existing national, governorate, and local level institutions, resources and capabilities to manage the refugee and IDP return and reintegration process;

- ☑ Examination of possible institutional options to manage a refugee/IDP return and reintegration regime (dedicated ministry or department, lodging within existing ministry, e.g. Ministry of the Interior) and creation of an inter-ministerial/departmental task force for reintegration;

- ☑ Assessment of policy formulation capabilities and analytical skills and knowledge of refugee and displaced persons and of refugee and international humanitarian law within the existing public administration (central, governorate and local levels) and civil society;

- ☑ Identification of capacity development, infrastructure/hardware requirements and training needs at institutional, systemic and individual levels within existing and possibly new public institutions for: a) immediate return processing (documentation, permits, licenses, registration, etc.) and b) reintegration (protection, legal issues, mass information, communications and monitoring); and

- ☑ Evaluation of public management capabilities for designing, implementing and monitoring large relief, urgent rehabilitation and recovery programmes for returning displaced populations and assessment of short-term technical and material assistance needs.

## REINTEGRATION PROGRAMMING

### Sectoral and thematic

- ☑ Assessment of key sectoral needs (shelter, water, sanitation, food assistance and security, employment, health, education, winterisation, etc.) at the local level in identified areas of high return over the next six, 12 and 36 months;

- ☑ Assessment of capacities and needs (technical, financial and human) to manage and address key protection issues (physical security and welfare, including threats from mines and unexploded ordnance, legal mechanisms and resources to recover land and property, family tracing and reunion, sensitive political affiliations, confessional and ethnic sensitivities, vulnerabilities and disabilities);

- ☑ Assessment of local economic, environmental and natural resource situation and additional needs in key return locations (urban and rural labour markets, state of local infrastructure (productive, marketing, energy, communications, sanitation and social), state of social services (health, education and welfare); and

Assessment of development needs for strengthening civil society organisations and social capital at community level in key areas of displacement and return.

**Intervention strategy and programme design**

- ☑ Assessment of policy options for designing dedicated interventions for return- and displacement- affected areas and for mainstreaming return and reintegration concerns into national programmes;

- ☑ Assessment of possibilities for a public investment programme to create new or improve existing productive asset base (economic and social infrastructure) to build livelihood possibilities and social protection in return-impacted areas (North, Centre and South) for returning refugees, IDPs and local populations;

- ☑ Assessment of possibilities for launching community-driven development programmes enhancing reintegration prospects through local governance and management, of small scale, community level micro projects in areas of high return;

- ☑ Identification of possibilities for immediate and medium-term multi-sectoral recovery and rehabilitation projects in previously damaged or politically marginalised areas where forced displacement has taken place;

- ☑ Assessment of labour-intensive emergency employment programmes, including affirmative action targeting policies to include returning refugees, IDPs and return-impacted areas;

- ☑ Assessment of the establishment of micro-finance institutions, savings and credit lines to support micro, family, and small enterprises in return areas;

- ☑ Assessment of the need for public safety nets, subsidies and food distributions among vulnerable returning and host community populations over the coming six, 12 and 36 months;

- ☑ Assessment of needs to support an accessible justice programme (infrastructure, running costs for personnel and training) permitting returnees and IDPs affordable access to legal advice centres for assistance with land and property recovery, civil problems, etc.; and

- ☑ Assessment of the public investment programme for vocational and employment training and skill development programmes for youth populations among returning refugee and IDPs.

**Management arrangements, cost projections and budgeting**

- ☑ Identification of optimum arrangements and requirements (organisational, personnel and technical assistance requirements) for the management and coordination of public investment programmes (labour-intensive works, infrastructure and area-based rehabilitation) at the governorate and local levels in return-impacted areas;

- ☑ Identification of locally based mechanisms and needs and external support (training and technical assistance) to develop and manage community-driven development programmes (micro projects, community investments, credit, micro finance and savings) in areas of high displacement and return;

- ☑ Cost projections for both operating (personnel, salaries, expendable and non-expendable equipment, utilities, communications, etc.) and investment (capital inputs, materials, credit lines, training, etc.) for programmes outlined above in return-impacted areas.

# ANNEX 5.3:

# Adapted from GENDER CHECKLIST FOR LIBERIA (DECEMBER 2003)

Security Council Resolution 1509 (2003) reaffirms the importance of a gender perspective in peace-keeping operations and post-conflict peace building in accordance with Resolution 1325 on women, peace and security, which recognizes women's human rights and the need for a gender perspective in negotiating peace agreements, planning humanitarian assistance and peace-keeping operations and reconstructing war-torn societies from planning and assessment to the withdrawal phase. Gender mainstreaming must start from the very beginning of a mission in order to ensure that structures and programmes are designed to address the different protection, assistance, justice and reconstruction requirements of women and men.

Determining the differences in how women, men, girls and boys experience conflict will help the assessment team identify their respective needs and priorities. Understanding the role women play in all sectors of activity (economic, social, cultural, political, etc.) helps to ensure that reconstruction activities are planned in a way that does not reinforce past discrimination and that women gain equal access and control over resources and decision-making processes.

## 1. GENERAL AND CROSS-CUTTING ISSUES

☑ How have women and men, girls and boys been affected differently by the conflict (and by specific events, such as the destruction of schools, roads, sanitation facilities, markets, homes, etc.)?

☑ What different coping mechanisms do women, men, girls and boys use? What resources/support are they using to survive? Are these in jeopardy or over-stretched? Why?

☑ Do women have equal access to resources for recovery/reconstruction (human, technical and financial)? What would help increase their access to resources?

☑ What specific power structures can be identified within communities? What specific threats or risks do women and girls face in the current

environment? What can be done to remove these threats or minimize them in the immediate, medium and long term (threats include increased domestic violence, marginalization in the political realm, exclusion from political processes related to peace building, etc.)?

- ☑ What are the prevailing attitudes and religious and cultural norms and practices that affect women's ability to contribute to and benefit from recovery and reconstruction efforts? How can we ensure that these attitudes, norms and practices are not a barrier to women and girls enjoying equal access to resources, opportunities, education, etc.?

- ☑ Are women involved in decision making, including at the highest levels? What specific steps can be taken to increase their involvement? What barriers prevent women and girls from meaningful participation in decision making?

- ☑ How are women involved in peace building? How can they be enabled to continue to promote local ownership for sustainable peace building?

- ☑ Do leadership-training and capacity-building programmes for women's groups already exist? How are women organizing in their community and society at large? Are networks emerging among civil society groups, particularly among women's organisations?

- ☑ What data and analysis is available for each sector? Is it disaggregated by sex and age?

- ☑ How can information be gathered and disaggregated to account for widows and female-headed households, who may account for a larger proportion of the population during and after the conflict?

- ☑ Are equal numbers of women and men being hired (or trained) in recovery and reconstruction efforts [both international and national staff]? What can be done to further strengthen gender mainstreaming during planning, implementation, monitoring and evaluation?

- ☑ Is there gender balance on the needs assessment team?

## 2. SECURITY

- ☑ Does the security situation affect women, men, girls and boys differently?

- ☑ Are women's and men's security concerns known and being addressed?

☑ What security measures are in place to protect women and girls from sexual and gender-based violence?

## 3. DISARMAMENT, DEMOBILIZATION, REPATRIATION AND REINTEGRATION PROGRAMME (DDRRP)

☑ Do mechanisms need to be put in place to involve women and girls in DDRR planning?

☑ Are there indications that women and girls in the military and armed groups have been subject to gender-based crimes (e.g. sexual assault, rape and domestic violence)? How prevalent are such crimes? What are the resulting needs for women and girls (health, psychological, psychosocial, economic, etc.)? Are there facilities for treatment, counselling and protection?

☑ Are there sufficient funds for reintegration? Are there special funds allocated to women and children ex-combatants and dependants?

☑ Has the support of local, regional and national women's organisations been enlisted to aid reintegration? Has the collaboration of women leaders in assisting ex-combatants and widows returning to civilian life been solicited?

## 4. REFUGEES AND IDPs

☑ Do women and men participate equally in making decisions at the camp or local level? Are there special measures in place to address the needs of women in camp design? Are programmes in place to build capacity for camp management and the equal representation of women?

☑ Do displaced and refugee women and children have access to documentation and registration? Are women able to register in their own right or are they officially recognized only through their male relatives?

☑ How has displacement affected women, men, girls and boys differently? Have specific events, such as the destruction of infrastructure and the separation of families, affected women and men differently?

☑ Are there specific policies in place and resources available to provide skills training for returning displaced women?

☑ Are returning female single heads of household permitted access to housing and land? Are legal measures in place to protect their access to land and water?

## 5. GOOD GOVERNANCE AND DEMOCRATIC DEVELOPMENT

### Building democratic institutions and a governance reform commission

☑ Will the emerging political system recognize and protect women's rights and interests? Will women be enabled to influence and participate in the political process?[14];

☑ Are women included in transitional government and planning processes? Are they in decision-making positions? Do constitutional committees recognize and heed gender perspectives?

### Judicial sector and reform

☑ What obstacles are there (if any) to the participation of women at various levels in the legal profession?

☑ Are there functioning family and juvenile court systems?

☑ Can women choose which legal system (formal or customary) to use? To which legal system are women typically referred?

☑ What are the role and involvement of women in traditional justice mechanisms?

### Police service sector and reform

☑ What types of law enforcement services are available in the country? What are the numbers and percentage of women by grade and category? Are women police officers involved in all operational aspects of the police work or limited to administrative functions? Are measures in place to actively increase the number of women in the security forces?

☑ Do law enforcement personnel receive training on gender awareness, sexual crimes and domestic violence and human rights?

*14 See OECD Gender Tipsheests at www.oecd.org/document/34/0,2340,en_2649_34541_1896290_1_1_1_1,00.html*

- ☑ What are the main crimes committed against women and girls within and outside of the home? What are the cultural and other barriers that discourage women and girls from reporting the crimes they experience?

- ☑ Do police have established protocols, specialised personnel and units (e.g. "crimes against women cells" or family support units) to deal with sexual crimes and domestic violence? Are such police cells staffed by policewomen?

- ☑ Are there traditional and non-traditional services available to women to report crimes, especially of a sexual nature?

**Human rights, protection and truth and reconciliation commissions**

- ☑ What measures are currently being taken in-country to address human rights violations against women, men, girls and boys? Do these programmes involve the community (women and men) to respond to and support survivors? How are the health, social services, security, protection and legal sectors involved in preventing and responding to sexual and gender-based violence?

- ☑ What laws and practices discriminate against women and/or girls?

- ☑ What are the current laws and practices (including customary practices) related to abductions, slavery or slave-like practices, forced prostitution and trafficking in humans and how do they affect women, girls, men and boys differently?

- ☑ What are current laws and practices on domestic violence and other forms of usually gender-based crimes (e.g. sexual assault and rape)?

- ☑ Are women targets of certain violations? Are there safe and accountable mechanisms for women to report and ensure redress for violations they experience?

- ☑ Has the presence of military and other combatants placed men and women at greater risk of human rights violations? If so, what type of violations?

- ☑ Are women's human rights issues considered in reconstruction and the establishment of a representative government? Are women involved in the truth and reconciliation process? Do female and male victims of armed conflict have equal access to redress?

## 6. ELECTIONS

☑ Are women and men equally involved in planning for elections (e.g. on the boards of electoral commissions, in UN activities supporting the electoral process, in decisions on the composition of party lists and the choice of election candidates)?

☑ Do women and men have equal opportunity to register to vote, to cast their votes and to run for office in elections without discrimination?

☑ Are a certain percentage of seats earmarked for men or women?

☑ Are there capacity-building opportunities for women candidates in local and national elections?

☑ Are there provisions for voter education specifically targeting women?

## 7. BASIC SERVICES

### Community water, sanitation and solid waste[15]

☑ What are the constraints to women, men, girls and boys in accessing appropriate water and sanitation facilities (re. water quality, quantity and reliability; distance from source; distance from latrines; appropriate technology; maintenance and cultural acceptability)?

☑ Have female hygiene needs been addressed?

### Health and nutrition

☑ Do women and men have different health needs? Is the health sector addressing women's and men's health needs equally? Is access to services equal for women and men? What might hinder equal access?

☑ Do women have access to female health care providers (medical doctors, ob-gyns, midwives, etc.)?

☑ Are there reproductive health services in hospitals, clinics and other health facilities for women, men and adolescents? To what extent do health workers receive gender-sensitive reproductive health awareness training?

15 *The Asia Development Bank checklist on water and sanitation provides a comprehensive module for considering the gender dimensions of this sector.*
*See* www.adb.org/Documents/Manuals/Gender_Checklists/Water/gender_checklist_water.pdf

Are there any traditional practices, such as Female Genital Mutilation, that impact on women's health?

- ☑ What mechanisms address gender-based violence? Is awareness training provided to international and local relief staff, including in the areas of detection, referral and counselling? To what extent are services available, including shelters for victims of sexual abuse?

- ☑ What programmes address the psychosocial and mental health needs of the community, particularly for women and girls?

- ☑ Are there education programmes to address drug abuse and prevent sexually transmitted infections, including HIV/AIDS (particularly among adolescents)?

**Education**

- ☑ Are there equal numbers of male and female teachers, administrators and other leaders in education among the destabilized population? How can they take leadership roles in creating and sustaining the education of girls and boys during crisis? Do girls have equal access to both primary and higher education?

- ☑ Are women and girls able to travel to school safely?

- ☑ How are codes of conduct used to ensure appropriate teacher behaviour?

- ☑ How do alternative or informal models of education accommodate the different vulnerabilities and changed roles and responsibilities of girls and boys in the current situation?

**HIV/AIDS**

- ☑ Are basic HIV prevention programmes available, particularly for adolescents? Are such programmes culturally appropriate, relevant and targeted to specific groups? Are condoms (both female and male) available?

- ☑ Is gender analysis being utilized in the prevention and care programmes? Has sex-disaggregated data been collected on infection rates?

- ☑ Are HIV/AIDS programmes in place? Are care, voluntary testing and confidential counselling facilities available (including for HIV-positive victims/survivors of rape and sexual violence)?

- ☑ Are there measures in place to reinforce support systems in order to alleviate the burden of AIDS care on women and girls?

## 8. RESTORATION OF PRODUCTIVE CAPACITY

**Livelihoods, employment and community-driven development**

- ☑ Does the social sector address women's particular needs and concerns in an appropriate and adequate manner? Are women's capacities and skills recognised and incorporated into the provision of social services? Does social reconstruction generate socio-economic relationships that are advantageous to women?[16]

- ☑ What measures are being taken to ensure women's access to opportunities in non-traditional fields of employment, especially in sectors experiencing increased economic activity as a result of recovery and reconstruction efforts?

- ☑ Was sex-disaggregated data collected on the role of women in the informal sector as entrepreneurs? What impact have the conflict and post-conflict situations had on women's informal employment? Are the post-conflict needs of women entrepreneurs currently being addressed?

**Agriculture and community**

- ☑ Have agricultural practices changed since the conflict? Do women and men have equal access to land and training opportunities?

- ☑ What percentage of agricultural work do women do? What types of other work do rural women do (e.g. cooking, cleaning, collecting water and firewood, working in the market and child care)?

- ☑ What community power structures exist in relation to the use of food? What are the different roles of women and men in food management at the household and community levels?

*16 See the OECD Gender Tipsheets at www.oecd.org/document/34/0,2340,en_2649_34541_1896290_1_1_1_1,00.html*

## 9. INFRASTRUCTURE

### Housing and shelter

- ☑ Have both women's and men's needs been considered equally when designing and planning housing projects?

- ☑ How have women, men, girls and boys been affected differently by inadequate housing conditions due to conflict and displacement?

- ☑ Are there mechanisms in place to ensure equal property restitution to returnees and internally displaced persons coming back to their place of origin? Are there mechanisms in place against forced evictions? Are there mechanisms in place to ensure equal security of tenure for both women and men?

- ☑ Are there prevailing attitudes, religious and cultural norms and practices preventing equal access to and control over land, housing and property? Are there prevailing barriers to equal inheritance to land, housing and property?

## 10. ECONOMIC POLICY, DEVELOPMENT STRATEGY

### Private sector development and investment climate

- ☑ How can the erosion of past gains regarding women's access to land, property and wealth be avoided?

- ☑ How do women save? How can women's savings be supported?

- ☑ Are skills-building opportunities available to women and men?

# ANNEX 5.4: RAPID VILLAGE ASSESSMENT FORM (KOSOVO)

| | | |
|---|---|---|
| Municipality | Village | MGRS Grid Ref |
| Agency | Name of assessor | Date |
| Source of information (give as much detail as possible – *give a phone number of someone in the village, if possible*) | | |

| ROAD ACCESS IN SUMMER | Car | 4WD | Light Truck | Heavy Truck | ROAD ACCESS IN WINTER | Car | 4WD | Light Truck | Heavy Truck |
|---|---|---|---|---|---|---|---|---|---|
| | Y / N | Y / N | Y / N | Y / N | | Y / N | Y / N | Y / N | Y / N |

| CURRENT POPULATION | **Persons** | Albanian | Serb | Other | BREAKDOWN | Locals | Returnees | IDPs | Refugees |
|---|---|---|---|---|---|---|---|---|---|
| | | | | | | | | | |

INTERNALLY DISPLACED PERSONS (IDPs) – ***one record per village of former residence***

| # of IDPs | from MUNICIPALITY (name) | from VILLAGE (name) | WHAT IS PREVENTING THEIR RETURN? (See "constraints to return" box below for possible issues) |
|---|---|---|---|
| | | | |
| | | | |
| | | | |
| | | | |
| | | | |
| | | | |
| | | | |
| CONSTRAINTS TO RETURN: Transport / house damaged / house occupied / village empty / insecurity / fear of other ethnic groups / access to food and basic needs / health care / education / water / electricity / etc. | | | |

| COMMUNITY LEADERS PRESENT | MTS ACTIVIST | TEACHER | HEALTH WORKER | IMAM/PRIEST | OTHER |
|---|---|---|---|---|---|
| | Name: | | | | |
| | | | | | |
| | Tel: | | | | |

| ASSISTANCE DISTRIBUTION | Who is responsible for distribution? *(circle or specify)* | | | | | | Local warehouse / storage facilities? | | |
|---|---|---|---|---|---|---|---|---|---|
| | MTS | UCK | Mayor's office | Mosque / church | NGO (specify) | Other (specify) | Y / N | Type | Size (m2) |
| | | | | | | | | | |

| SECONDARY DISTRIBUTION | Is this village used for secondary distribution? | If so, which villages receive assistance from this village? |
|---|---|---|
| | Y / N | |

| DAMAGE TO HOUSES | Total houses in village | Category 1 (undamaged / unfinished) | Category 2 | Category 3 | Category 4 | Category 5 |
|---|---|---|---|---|---|---|
| | | | | | | |
| (see category guide below) | Was there any new war damage to buildings since JANUARY 1999? Y / N<br>Was there any new war damage to buildings since NATO arrived? Y / N | | | | | |

| DAMAGE TO COMMUNITY BUILDINGS | MTS WAREHOUSE | SCHOOL | MOSQUE / CHURCH | SHOPS | BAKERY | HEALTH FAC. |
|---|---|---|---|---|---|---|
| | None / Category | None / Category | None / Category | None / Category | None / Category | Category |

*Note: Circle 'None' if no such building exists within the village*

| A | B | C | D |
|---|---|---|---|
| ● Broken windows, door locks and hinges, roof tiles<br>● Cut-off from electricity, water<br>● *Can be repaired* | ● Up to 30% roof damage<br>● Light shelling or bullet impact on walls<br>● Partial fire damage<br>● *Can be repaired* | ● Over 30% roof damage<br>● Severe fire damage<br>● Need for replacement of floors<br>● Doors and windows destroyed<br>● All piping, wiring destroyed<br>● *Can be repaired* | ● Destroyed<br>● Needs reconstruction<br>● *Cannot be repaired* |

| ELECTRICITY | Working? | Y / N Intermittent | If intermittent, approx. hours working per day |
|---|---|---|---|

| EDUCATION | School functioning? | Y / N | Number of classrooms |
|---|---|---|---|

| WATER & SANITATION | % of households using | | CURRENT | PERCEIVED WATER… | | REMARKS |
|---|---|---|---|---|---|---|
| | Pre-conflict | Current | STATUS* | QUALITY | QUANTITY | |
| Wells | | | | Good / Bad | Adequate / Inadequate | |
| Springs | | | | Good / Bad | Adequate / Inadequate | |
| Piped distribution | | | | Good / Bad | Adequate / Inadequate | |
| Electric pumps | | | | Good / Bad | Adequate / Inadequate | |
| *STATUS (more than one if necessary): (W)orking / (D)amaged / (C)ontaminated / d(E)stroyed | | | | | | |

| HEALTH (for TYPE, if Ambulanta circle one: MTS = Mother Theresa; S = State; P = Private; for Personnel: (D)octor, (N)urse, (M)ed. Tech for Drugs and Equipment: (A)dequate; (I)nadequate) | | | | | | | |
|---|---|---|---|---|---|---|---|
| TYPE and NUMBER | Daily consultation | Working | Personnel (number) | Drugs | Equipment | Water | Sanitation |
| ___ Hospital(s) | Number: | Y / N | ___D ___N ___M | A / I | A / I | Y / N | Y / N |
| ___ Shtepia e Shendetit (DZ) | Number: | Y / N | ___D ___N ___M | A / I | A / I | Y / N | Y / N |
| ___ Ambulanta: MTS / S / P | Number: | Y / N | ___D ___N ___M | A / I | A / I | Y / N | Y / N |

| FOOD AND COOKING | | | | | |
|---|---|---|---|---|---|
| % of dairy cattle remaining | | % of farms expecting to harvest this summer | | | |
| % of families with cooking facilities | | Is there a bakery? | Y / N | Is it operational? | Y / N |

| *SOURCES OF FOOD AVAILABLE IN VILLAGE* | | Food item | *AVAILABLE* | | *PRICE* | |
|---|---|---|---|---|---|---|
| Humanitarian distribution | Y / N | Wheat flour | Y / N | DM / Din | | Kg |
| Household garden / farm | Y / N | Oil | Y / N | DM / Din | | Litre |
| Household stores | Y / N | Sugar | Y / N | DM / Din | | Kg |
| Shops or market | Y / N | Meat | Y / N | DM / Din | | Kg |
| Nearest village with market | | Fruit and vegetables | Y / N | DM / Din | | Kg |
| | | Coffee | Y / N | DM / Din | | Kg |

| ACTION TAKEN |
|---|
| |

| REMARKS |
|---|
| |

# MODULE SIX:
# IMPLEMENTATION, MONITORING AND EVALUATION

PART B

# SUMMARY OF MODULE

***Modules Three, Four and Five deal with various aspects of planning repatriation and reintegration programmes. This module discusses implementation, monitoring and evaluation. In reality, planning and implementation are neither linear nor sequential processes; they occur simultaneously and interact in a dynamic manner throughout the reintegration process.***

Section 1: IMPLEMENTATION
Section 2: MONITORING
Section 3: EVALUATION
Section 4: HANDOVER ARRANGEMENTS

# INTRODUCTION

Over the past decade, UNHCR has implemented reintegration programmes with governments, other UN agencies, NGOs and other actors on a significant scale. These experiences have underscored the importance of:

- ☑ Sound programme formulation and design characterized by well-defined objectives and accompanying indicators and benchmarks;
- ☑ Clearly-defined work plans drawn up at the earliest stage, with clearly specified responsibilities for actions to be taken according to a set timeframe;
- ☑ Early deployment of staff experienced in repatriation and reintegration to key areas of return;
- ☑ Selection of implementing arrangements that assure the technical soundness of the overall programme and individual projects;
- ☑ Capacity building of implementing and operational partners, local authorities and communities; and
- ☑ Development of procedures and practices for monitoring and taking corrective measures.

This module outlines the management of programme implementation, monitoring and evaluation. It completes the repatriation and reintegration planning cycle started with the preparatory activities elaborated in Module Four.

**The UNHCR Manual on Operations Management (Chapter 4, sections 5.1 and 5.2) provides specific information and guidance on the various policies and instruments related to implementation.**

# Section 1

# IMPLEMENTATION

As indicated in Module Four, UNHCR should establish an early field presence in strategic and priority areas of return, as soon as prospects for peace are at hand, in order to consolidate the planning process and initiate the early implementation of reintegration activities. Module Seven deals with staffing and other organisational issues. This section deals with linkages with partners and establishing UNHCR-specific implementation arrangements.

## 1.1 Joint Implementation and Linkages with Partners

The integrated and joint approach with development partners and other stakeholders in the planning stages should be carried over to the implementation phase. To the extent possible, UNHCR should avoid designing and implementing reintegration activities on its own. That said, UNHCR should urgently respond to specific protection needs.

Some of the measures to improve linkages with partners during implementation at the national, provincial and district levels are highlighted below.

**At the national level**

☑ Develop broad-based transition-recovery strategies and programmes with partners. They can be developed as outcomes of joint needs assessments or joint programming exercises of CCA/UNDAF, the UN transitional strategy, etc. and local level joint programming;

- ☑ Put in place funding instruments to promote collaboration, such as cost sharing, parallel funding or trust fund mechanisms (see Module Two);

- ☑ Put in place coordination structures at the national, provincial and district levels, such as joint programme committees, steering committees, policy coordination structures and involve governments, the UN, NGOs and other partners; and

- ☑ Work in partnership to secure funding (bi-lateral, PRSPs, etc.).

***Partners should identify programme activities based on a common needs assessment. Programme activities should be planned according to sectors, themes and/or geographic areas, rather than on the basis of agency mandates.***

*Source: Report of the UNDG/ECHA,* Working Group on Transition Issues *(February 2004).*

**At the provincial and district level**

- ☑ Share information on on-going projects, identify opportunities for joint programming and maintain a common database through regular coordination meetings, forums, workshops and networking;

- ☑ Explore co-funding arrangements with partners;

- ☑ Establish mechanisms for decentralized and joint decision making and facilitated interface among UNHCR, development partners and local authorities (see Box 6.1);

- ☑ Second UNHCR staff to local administrations and partners (where administratively feasible and as necessary) to strengthen linkages and better understand how others operate;

- ☑ Second other agency staff to UNHCR to strengthen partnership and foster long-term planning ;

- ☑ Undertake joint field monitoring trips to build synergies, improve coordination and harmonize project interventions; and

- ☑ Share office space.

**Box 6.1: The Zonal Recovery Committee (ZRC) in the Gash Barka region of Eritrea**

While working on coordination and joint planning at the Asmara level, UNHCR's reintegration strategy was oriented to the establishment of a coordination mechanism at a decentralized regional (zoba) level. The main pillar of this mechanism is the creation of a ZRC in each of the zones affected by the return of refugees.

**ZRC membership**: chairperson (governor), UNHCR representative (secretary), UNDP representative, UNICEF representative, government representative and representatives of concerned line ministries at the zoba level.

During 2001, UNHCR played a key role in setting up a ZRC in Barentu for the Gash Barka zone. The ZRC conducted a needs assessment of 39 villages that informed reintegration planning for 2002 (2003 activities continued on a similar basis).

The ZRC is supported by a technical recovery team (including the local administration, Eritrea Relief and Rehabilitation Commission and UNHCR) whose responsibility is to: (a) conduct an assessment of the critical sectors in the potential returnee sites; (b) initiate and collect project proposals; (c) appraise the technical aspects of any project proposal brought to the ZRC; and (d) monitor and ensure the appropriate implementation of every approved project.

The ZRC is responsible for project approval for direct UNHCR funding and/or recommendation to other relevant programmes. UNHCR plans to support the ZRC process through 2004 with the secondment of a UNV technical specialist to help facilitate the project analysis and approval process within the Gash Barka zone administration.

## 1.2 UNHCR-specific Implementation Arrangements

Module Five discusses the development of an overall UNHCR repatriation and reintegration strategy, programme and operational plan. An internal programming process is undertaken after this to formulate projects and sub-projects, which are then implemented either directly or through implementing partners.

**The process of planning and developing projects is described in detail in Project Planning in UNHCR – A Practical Guide on the Use of Objectives, Outputs and Indicators (March 2002). Further details on project planning, management and implementation can be found in Chapter 4 of the UNHCR Manual, as well as in PARTNERSHIP: An Operations Management Handbook for UNHCR Partners, revised edition (February 2003). The Handbook, therefore does not consider these issues. This section looks at general issues related to implementation and to choosing partners to implement reintegration activities.**

### 1.2.1 General issues

Issues to take into account during implementation include:

- **Sector focus:** Where feasible, UNHCR should limit and focus its interventions by carefully choosing where it has the capacity and strength in which to intervene. In Afghanistan, for example, UNHCR chose shelter, income generation and water as priority areas. Sector focus can be adjusted to changing needs or interventions by other agencies. It is important to balance infrastructure with livelihoods interventions;

- **Partnering with agencies:** To complement the implementation of Quick Impact Projects in traditional reintegration sectors (e.g. shelter, health and water), UNHCR should work with agencies with competencies in specific areas (e.g. ILO in micro finance and FAO in agriculture). When implemented, QIPs should form part of the overall recovery and transition strategy;

- **Flexibility:** Repatriation and reintegration occur in a dynamic context requiring flexibility by UNHCR and its partners. UNHCR should be able to respond to unplanned or unanticipated events, such as:

  - ☑ Changes in choice of destination by returnees;

  - ☑ Repatriation continuing during implementation of reintegration activities;

  - ☑ Newly identified reintegration sites requiring upgrading to enhance absorption capacity; and

  - ☑ New reintegration **needs** to address during implementation.

***To take into account the variety of different circumstances, sub-project agreements should be designed to ensure maximum flexibility.***

- **Dealing with limitations of annual budgeting:** Annual budgeting 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 in reintegration planning and implementation, as activities may span many years. The following measures can help overcome constraints posed by annual budgeting:

- ☑ Budgeting on an annual basis while planning on a multi-year basis;
- ☑ Selecting implementing partners with the capacity and expertise to deliver quality programmes with multi-year horizons;
- ☑ At the onset, providing partners with information on UNHCR's annual budgeting policy and envisaged presence in the country; and
- ☑ Stressing the need to take measures to facilitate the quick start-up of implementation (e.g. expediting tenders and the process of government approval of NGO partners and undertaking objective but rapid needs assessments to shorten the planning phase).

➲ **Sustainability**. It is important to remember the sustainability factor in designing and implementing programmes (and institutions). A few examples of how to improve sustainability include:

- ☑ In rehabilitating social infrastructure (e.g. rebuilding schools and clinics), it is important to know whether staff, budgets and material are available from governments or donors; there is little use in undertaking rehabilitation work if it is not clear who will meet staffing, operational and other recurrent costs;
- ☑ Infrastructure projects should use labour-intensive methods to provide short-term employment, contribute to reconciliation and build private sector capacity;
- ☑ In most transitional situations, the government may have limited resources to cover the costs of rebuilding secondary and tertiary roads. Greater importance should, therefore, be placed on the durability of materials.
- ☑ Support to institutions should avoid creating structures that are likely to disappear when UNHCR leaves or burdening the government. It is more appropriate to work with existing ministries and structures than to establish structures devoted exclusively to repatriation and reintegration.
- ☑ When addressing capacity-building issues, it may be preferable to try to make existing systems, procedures and staff work better than to restructure them (public administration reform is generally a lengthy process).

**The UNHCR Manual (Chapter 4, Part 5, Section 5.2) provides information and guidance on the types and contents of UNHCR implementing instruments.**

### 1.2.2 Implementing and operational partners

UNHCR works with a number of implementing partners, such as governments (specialized departments or agencies), other members of the UN, non-governmental and inter-governmental organisations and, in some cases, private firms. UNHCR directly implements projects under certain conditions (see UNHCR Manual Chapter 4, section 5.1). The private sector plays an important role in revitalizing local economies and creating employment and should be encouraged as much as possible.

**Operational partners** work in close collaboration with UNHCR, but do not receive direct funding. They include sister UN agencies, NGOs[17], bi-lateral-funded projects and programmes, etc. The development of joint programmes with operational partners is vital to successful reintegration and a timely UNHCR phase-out strategy.

Governments should show ownership/leadership in implementation. However, when governments lack sufficient capacity or expertise, UNHCR must work with **implementing partners** (partners who receive direct UNHCR funding). Though it can be challenging, UNHCR should maximize collaboration with local implementing partners. The quality of UNHCR service delivery depends largely upon the quality of implementing and operational partners.

**IMPLEMENTING AND OPERATIONAL PARTNERS**

**Operational partners**: governmental, inter-governmental and non-governmental organisations and UN agencies that work with UNHCR to protect and assist refugees and returnees and to achieve durable solutions.

**Implementing partners**: partners that sign an implementing agreement and receive funding from UNHCR.

#### Criteria to select partners

Developing sound linkages with partners requires knowledge of their capacities and strengths. UNHCR Manual Chapter 4, section 5.1 provides

17 *For a 4Rs programme, it is useful to categorize NGO implementing partners by: a) community empowerment and social mobilization; (b) sector competence and specialization, such as health and education; and (c) socio-economic research, surveys, etc.*

guidance on implementing partners[18]. In a reintegration setting, factors to consider include:

- ☑ Technical competence appropriate to the rehabilitation and reintegration of returnees;
- ☑ Experience in conflict resolution and reconciliation activities;
- ☑ A proven record in implementing local capacity-building programmes; and
- ☑ Experience in gender equity and empowerment.

At a broad level, however, a number of other factors should be considered in assessing the respective strengths (or **organisational soundness**) of partners in implementation. Some of the key elements for assessing organisational soundness are **effectiveness**, **efficiency**, **capabilities and growth** (see Box 6.2).

*18 A lead partner approach, which requires the designation of one or more partners to lead the implementation of the reintegration programme under UNHCR supervision and coordination, can optimize cost-effectiveness.*

**Box 6.2: A toolkit for partner identification, analysis and selection**

**EFFECTIVENESS**

- ☑ **Technological soundness.** An agency/organisation must possess the appropriate "hardware" (tools, equipment and material) and "software" (skills, technical capacities and human resources) to undertake a particular task.
- ☑ **Needs assessment.** An agency/organisation needs the analytical skills and capabilities to identify, interpret and prioritise beneficiary needs.
- ☑ **Service delivery.** An agency/organisation must be able to implement its services with the means and equipment at its disposal within the timeframe it proposes.
- ☑ **Constructive relationships.** An agency/organisation must be able to maintain constructive relations with its beneficiaries to carry out its services/work.

**EFFICIENCY**

- ☑ **Administrative capability.** An agency/organisation must be able to organise and handle data, reports and internal communications in a disciplined and accessible manner and to respect and meet contractual obligations.
- ☑ **Financial management.** An agency/organisation must have the capacity to record, process and monitor all financial transactions clearly and transparently.
- ☑ **Organisational soundness.** An agency/organisation must have the ability to divide, devolve and organise the work of its staff while maintaining high standards.
- ☑ **Human resource development.** An agency/organisation must have the ability to invest and promote the development of its personnel to improve outputs and outcomes.

**CAPABILITIES AND GROWTH**

- ☑ **Economic soundness.** An agency/organisation must be able to function in an economically viable way. It must be able to secure sufficient funds from its own resources, external sources and beneficiaries to ensure that its operations can follow the agreed timeframe.
- ☑ **Diversity.** An agency must be experienced in cultural and gender issues.
- ☑ **Linkage capacities.** An agency/organisation must be able to establish, maintain and use contacts with other organisations to secure support, assistance, inputs, etc.
- ☑ **Planning capacities.** An agency/organisation must have the capacity to prepare its operations clearly and economically, ensure that its objectives can be secured and anticipate and prepare for future needs, constraints and challenges.
- ☑ **Monitoring and learning.** An agency/organisation must possess sufficient knowledge about its own operational environment, performance, challenges and constraints in order to function and survive in changing and demanding circumstances.

# Section 2

# MONITORING

## 2.1 General Monitoring Issues

### 2.1.1 Definition and scope of monitoring

UNHCR monitoring is an ongoing review and control of the implementation of a project (and all its sub-projects) to ensure that inputs, work schedules and agreed activities proceed according to plan and budgetary requirements. Monitoring differs from evaluation (see Section 3) and from audits (i.e. an assessment of compliance with pre-defined standards and procedures). Monitoring covers both **performance** and **impact monitoring**. Relevant indicators should be identified when designing interventions.

**TYPES OF MONITORING**

**Performance monitoring:** process of measuring progress towards an output against performance indicators (e.g. 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 (e.g. welfare of returnees and refugees, changes in systems, institutions and processes of concern to UNHCR) against impact indicators (e.g. more children have access to education facilities).

### 2.1.2 Purpose of monitoring

The purpose of monitoring is to help achieve effective performance by tracking progress towards objectives and to provide feedback to improve operational plans and timely corrective measures. Within 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 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 (e.g. number of water points established) have been carried out by implementing partners and is essentially driven by the need for financial accountability. UNHCR does not routinely undertake impact measurement and baseline information (i.e. initial conditions prior to project/programme interventions to facilitate measurement of changes) is usually not available.

UNHCR field 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 (e.g. levels of infant and maternal mortality). Working with the staff of specialized agencies in the field will go a long way to ensure that the right attention is given to assessing the impact of interventions.

***Chapter 4, Part 6 of the UNHCR Manual contains guidance on monitoring. The Evaluation and Policy Analysis Unit is reviewing UNHCR monitoring functions. The outcome of this exercise will provide further guidance to staff on this very important issue.***

### 2.1.3 Essential elements of monitoring

Monitoring can only be accomplished if objectives are properly developed and clearly defined and appropriate indicators formulated. Essential steps in undertaking any monitoring exercise include:

➲ Collecting the data with respect to the quantitative (e.g. number of clinics rehabilitated) and qualitative (e.g. improved educational standards) indicators;

➲ Analysing the data collected; and

➲ Using the information to improve current and future projects and programmes.

### 2.1.4 UNHCR monitoring responsibilities and activities

Within UNHCR, monitoring should be carried out by:

- ☑ Partners implementing sub-projects within a project;
- ☑ The UNHCR Field Office;
- ☑ UNHCR Headquarters (desk, programme coordination, etc.) ; and
- ☑ Joint UNHCR and implementing partner assessments.

**Monitoring activities include the following:**

- ☑ Regular meetings at project sites and agency offices;
- ☑ Field missions to observe implementation and check on operational implementation *in situ;*
- ☑ Conversations with returnees and other members of the community;
- ☑ Surveys;
- ☑ Information and opinions from other sources;
- ☑ Measurement of performance indicators; and
- ☑ Review and analysis of reports and other documentation (e.g. situation reports, protection reports, sub-project monitoring reports).

Monitoring and reporting (the latter function is more passive and essentially entails providing information to UNHCR Headquarters) can be facilitated through creating and regularly updating relevant databases that should 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.

A monitoring plan (see Table 6.1), based on sectoral work plans and benchmarks, should be developed at the country level in conjunction with relevant government services and other agencies involved in the reintegration process. Implementing partners should report to UNHCR Branch Offices and Sub-/Field Offices on a regular basis.

**Table 6.1: Sample format for performance monitoring**

| Implementing partner: | | | | | | |
|---|---|---|---|---|---|---|
| Sector: | | | | | | |
| **Output** | **Activities as per work plan** | **Indicators** | **Source** | **Frequency** | **Person responsible** | **Findings of monitoring activity** |
| From sub-project | From sub-project | From sub-project | How and where | How often | Name of person or agency | Record findings, place and date |

## 2.2 Monitoring Reintegration

The sustainable reintegration of returnees depends on the equitable access of returnees to basic services, relations within communities, relations with local authorities, conflict resolution, the restoration of national protection, etc.

In a return and reintegration setting, monitoring aims to (in addition to those points listed in section 2.1.2):

- ☑ Assess how well returnees are doing in their communities (this is UNHCR's traditional returnee monitoring function);
- ☑ Guide UNHCR policy formulation with respect to durable solutions and protection;
- ☑ Promote interventions and programmes addressing challenges to return and reintegration; and
- ☑ Inform UNHCR public advocacy work on behalf of returnees (IDPs and refugees).

Monitoring should not, however, be limited to areas of return, but include broader strategic issues, such as:

- ☑ Key strategic developments (policies, institutions, public processes, aid programmes, etc.) and external factors (climate, market trends, etc.) that impact on the overall reintegration environment; and

☑ Key emerging issues (immediate or time-bound interventions, such as those related to conflict and displacement, human rights abuses affecting returnees and their communities, land rights and development programmes and projects).

Returnee monitoring (to determine whether refugees can return in safety and dignity and to monitor reintegration) is one of UNHCR's main tools to gather data on the status of returnees and the communities where they live. Such monitoring should inform protection and the design, review and adjustment of reintegration programmes, be the responsibility of both protection and programme staff and be shared with partners involved in reintegration (with the exception of sensitive information concerning specific individuals or families). Box 6.3 provides an example of returnee monitoring (see also Annex 6.1).

**Box 6.3: An example of returnee monitoring**

**Objectives**

- To identify needs and the level of assistance interventions (with a view to ensure that basic needs are met during an initial period of reintegration and beyond);
- To support returnees to enjoy their basic human rights (namely those in the declarations of amnesty) through returnee and local authorities awareness raising;
- To generate information on the situation in the country of origin and of asylum;
- To assess access to and recognition of public documents; access to health services, education and public services; confidence in policy and the judiciary, etc.; and
- To provide development partners with information on reintegration needs.

**Issues covered**

Age and sex/gender, voluntary repatriation and the main reasons for return, places of origin and internal displacement, duration of exile, recovery of immovable property, ethnic origin and sources of income.

During implementation, it is vital that the outcomes of returnee monitoring regularly inform the reintegration programme. This requires constant and close collaboration between programme and protection staff by, for example:

☑ Developing monitoring indicators and designing the questionnaires;

☑ Undertaking returnee monitoring with partners (NGOs, communities, etc.); and

☑ Reviewing and analyzing the outcomes of returnee monitoring together and developing response mechanisms to address identified gaps/problems.

# Section 3

# EVALUATION

**EVALUATION**

**Evaluation is as systematic and objective an analysis and 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.**

## 3.1 General Evaluation Issues

### 3.1.1 Why conduct evaluations?

☑ **Accountability:** To determine whether expected results (i.e. the objectives of reintegration) are achieved.

☑ **Lessons learned:** To extract "good practices" to correct and inform programme design addressing challenges to return and reintegration;

☑ **Garnering stakeholder views:** To close the gap between the organisation's and its beneficiaries' perceptions (humanitarian agencies can be poor at consulting or involving communities).

☑ **Retaining and building institutional memory:** To build institutional memory when staff turn-over in repatriation and reintegration programmes is high (i.e. when valuable institutional knowledge is lost).

### 3.1.2 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?

### 3.1.3 Different types of evaluations

- ☑ **Real time:** A 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 light.[19]

- ☑ **Mid-term evaluations:** Evaluations carried out during programme implementation.

- ☑ **End of project evaluations:** Formal evaluation undertaken at the end of the programme.

- ☑ **Ex-post evaluations:** Evaluations done two to three years after the completion of the programme.

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

**Box 6.4: Some key questions to answer when planning and carrying out an evaluation**

1. **Purpose and aim**
   - ☑ Why is it necessary?
2. **Who it is for**
   - ☑ How will the results be used?
3. **Objectives and key questions**
   - ☑ What are the objectives of the evaluation?
   - ☑ What specific questions should it pose?
4. **Information collection and analysis**
   - ☑ 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?
5. **Presenting the results**
   - ☑ 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?
6. **Organisation**
   - ☑ 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 will be needed?

*Source: Save The Children,* Toolkits – A Practical Guide To Assessment, Monitoring and Evaluation *(1998).*

## 3.2 Some Issues in Evaluating Reintegration Programmes

In implementing repatriation and reintegration programmes, a clear distinction needs to be made between **outputs** (e.g. three water points built) and **impacts** (e.g. reduced incidence of water-borne diseases). It is relatively easy to quantify UNHCR's total expenditure in an operation and to quantify the number of refugees transported to their homes, the amount of food and other assistance items that are distributed and the number of Quick Impact

Projects that are implemented and so on. A key question is **what difference these activities actually make for the returnees and other members of the local community**.

Some factors and/or suggestions to take into account in evaluating reintegration include:

- ☑ Determine the **baseline situation** (including protection) and benchmarks against which to measure the impact of actions and the changes that result from intervention;

- ☑ Given the core mandate of UNHCR, evaluations have to give a prominent place to protection issues (evaluations should **include assessment of measures to provide protection**);

- ☑ Factor in **what other agencies can contribute**;

- ☑ Look at issues both from the national and macro-level trends and perspectives, as well as from the local perspective, while focusing on **specific obstacles to reintegration**;

- ☑ Select **benchmarks and indicators that are simple, measurable** and do not require an enormous amount of resources to follow up (use secondary information and that collected by others);

- ☑ Undertake **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);

- ☑ Lessons learned should be drawn up after each evaluation or review and shared 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 reintegration planning cycle**; and

- ☑ Implementing partners should be requested 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.

Monitoring (especially impact monitoring) and evaluation are closely linked; if the former is not properly done, the latter is difficult to undertake.

### Some tools for participatory monitoring and evaluation

Participatory monitoring and evaluation place emphasis on building the capacity of stakeholders to take a lead role in the analysis and recommendations related to programme and project interventions. A variety of tools and methodologies include:

- **Stakeholder workshops:** These bring together people, groups and institutions that have a stake in the intervention;
- **Participatory rural appraisal:** An approach that brings together development agents, government staff and local people to plan and learn together;
- **Beneficiary assessment:** A qualitative information-gathering tool that aids in understanding how an activity is viewed by the principal target groups;
- **Action planning:** A participatory tool that empowers stakeholders to assess priorities, plan, design and evaluate interventions; and
- **Other tools:** Visual tools (e.g. photographic), testimonials and others applied when dealing with non-literate stakeholders.

*Source: Mugumya, Geofrey,* Participatory Local Community Level Involvement in Micro-Disarmament: Lessons Learned from Mali and Albania - A Case for Practical Disarmament *(UNDP Training Managers Workshop, 17-21 November 2002).*

*See also: Irene Guijt,* Participatory Monitoring and Evaluation for Natural Resources Management and Research *(Natural Resources Institute/DFID, 1999).*

## 3.3 Reintegration Benchmarks and Indicators

As stated in Module One, reintegration is a process that should ideally result in the disappearance of observable differences in the socio-economic conditions and legal rights and duties between returnees and their compatriots. Box 6.5 presents possible outcomes of a reintegration process.

UNHCR has defined standards for voluntary repatriation (see the UNHCR Handbook on Voluntary Repatriation) and some of these are relevant for reintegration (e.g. physical, material and legal safety and the restoration of national protection aimed at the full exercise of political, civil, social, economic and cultural rights). Establishing benchmarks and indicators for reintegration is a more complex task, however, and each context of return is unique. Benchmarks and indicators can be constructed using a matrix of the following elements:

- **Level under consideration** (e.g. national, district, community, household/family and individual);
- **Reintegration dimension** (e.g. legal, economic, social and political); and
- **Sector** (e.g. education, health, shelter and livelihoods).

In developing benchmarks and indicators, it is important to answer the following questions:

- ☑ Why are we collecting the information?
- ☑ How are we collecting the information?
- ☑ Who will collect the information and how will they use it?
- ☑ What human, financial and technical resources will we need?

***Given the long-term nature of the reintegration process, it is important that the benchmarks and indicators identified are integrated into the monitoring and evaluation frameworks of national/provincial development plans, UNDAF or agency-specific programmes (where these exist) to enable long-term monitoring when UNHCR eventually phases out. Benchmarks and indicators that are closely related to UNHCR's core mandate can be integrated into returnee monitoring mechanisms.***

**Box 6.5: General outcomes of a successful reintegration operation**

**Returnee communities**

- Returnees are citizens and, as is the case for their compatriots, their needs are in the national development plans, policy frameworks and bi- and multi-lateral cooperation programmes and of the UN system;
- Returnees and receiving communities co-exist peacefully and share both economic and social resources (with no greater mutual conflict than that within the existing communities);
- Returnees fully participate in community development activities;
- Returnees are fully reintegrated and are net contributors to the economic and social development of their communities and the country at large;
- The "returnee" label is erased and the population is treated as one; and
- Returnees have the capacity and platform to translate their skills and resources acquired in exile to support the development of their communities;

**National and local capacity and policies**

- The national capacity is strengthened to rationalize and prioritize resource allocation and the coordination of various programmes (UN, IFIs, bi-laterals and NGOs) leading from recovery to long-term development;
- In a decentralized administration, the central government gives some kind of equalization grants to returnee regions to help them shoulder the additional burden;
- Regional departments have the capacity to plan, implement and coordinate, as well as provide services to the whole population; returnees are included in regional development plans;
- There are enhanced food security, improved and more diversified livelihoods and reduced vulnerabilities to social, economic and climatic shocks; dependence on food aid and other forms of emergency and humanitarian assistance are substantially reduced and/or eliminated;
- There is an increased speed of transition from emergency and recovery to the development phase; and
- The country is on track to achieve the MDGs.

**Legal and gender issues**

- Gender-responsive community development processes apply to the legal, political and socio-economic development of areas of return;
- Civic, political, economic and social rights are restored and the rule of law re-established;
- There is an absence of discrimination in areas such as gainful employment and participation in institutions; and
- There are an improved social and economic infrastructure (schools, health, water supplies and roads) and expanded market access and trade (leading to better conditions of living for communities in areas of return and greater economic development).

## Section 4

## HANDOVER ARRANGEMENTS

As UNHCR operations wind down, the future of project equipment and other assets should be determined. Field Offices should formulate agreements to transfer ownership of assets and non-expendable property (including physical structures) acquired under UNHCR assistance projects to implementing partners. Chapter 4 of the UNHCR Manual provides guidance on the transfer of ownership of UNHCR assets and may be easily adapted to accommodate infrastructure projects.

## CONCLUSION

Implementation, monitoring and evaluation are situation-specific and the suggestions provided in this module should be adapted as necessary. In addition, planning, implementation, monitoring and evaluation of reintegration activities are dynamic and mutually enriching processes.

# ANNEX 6.1:

# RETURNEE MONITORING FORM (UNHCR SOMALIA)

| Name of head of household: | Reference #: | SO/FO | Month | Number |
|---|---|---|---|---|
| Interviewer: Fill SO/FO & Month Boxes<br>(Number to be filled @ time of database entry) | | | | |

*Biodata*

| | |
|---|---|
| Individual returnee (check) | |
| Returnees in household (#) | |

| | | | | | |
|---|---|---|---|---|---|
| Household composition: | | | | | |
| Age | # | | Age | # | |
| Children/dependants (males) | | | Children/dependants (females) | | |
| 0-4 | | | 0-4 | | |
| 5-17 | | | 5-17 | | |
| 18-59 | | | 18-59 | | |
| Above 60 | | | Above 60 | | |

*What is your clan or ethnicity?*_____

***EXILE AND REPATRIATION***

*Place of residence (use field maps to find settlements when possible; look up geo-codes after interview):*

| Previous place of residence (before exile) | | | Current place of residence (after return) | | |
|---|---|---|---|---|---|
| Region | District | Settlement | Region | District | Settlement |
| | | | | | |

*If different, why (reasons)?* _____

| Place in exile | | Country | | Region/city | | Camp/village | |
|---|---|---|---|---|---|---|---|
| | | | | | | | |
| Years in exile (check one) | 0-1 yr | 1-5 yrs | 6-10 yrs | 11+ yrs | | | |

*Date of return: day/_____month/_____year/_____*

Household members living outside Somalia or elsewhere in Somalia (check country or specify other country/ies)

| ETH | | DJID | | YEM | | KEN | | Other (specify): | | | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| Status: (# of household memb. per category) | | | Refugee | | Economic Migrant | | Studying | | Other | | | | | | | | |
| Are you in contact with them? | | | | | | | | | Ye | | No | | | | | | |
| Do they help you? | | | | | | | | | Yes | | No | | | | | | |
| Do you need assistance to trace/reunite with them? | | | | | | | | | Yes | | No | | | | | | |
| Did you choose to return to Somalia voluntarily? | | | | | | | | | Yes | | No | | | | | | |

*If no, why did you return?* _____

| Did you have any problems in the country of asylum? | Yes | | No | |
|---|---|---|---|---|

*If yes, what kind of problems (security/social/economic)?* _____

_____

_____

| | | | | | | |
|---|---|---|---|---|---|---|
| Did you receive assistance to return? | Yes | | No | | | |
| What kind of assistance? | Quantity: | | | | | From From whom? |
| Transportation | | | | | | |
| Food package | | | | | | |
| Non-food items | | | | | | |
| In-land transportation grant | | | | | | |
| Other | | | | | | |

*If no, please explain why:* _____

*If you received a food package, what did you do with it?* _____

_____

*How long did the food last you (in days)?* _____

| | | | | |
|---|---|---|---|---|
| Did you experience any problems during repatriation? | Yes | | No | |

*If yes, please explain.* _____

_____

_____

_____

| | | | | |
|---|---|---|---|---|
| Did you have access to information on the situation in Somalia when in exile? | Yes | | No | |

*If yes, what sources of information?* _____

*Did the information you received in country of asylum correspond to the reality that you found in Somalia after your return (adequate and relevant information)?*

_____

_____

*How do you summarise your situation in exile?*

_____

_____

_____

***SOURCES OF INCOME***

*Skills and Employment (sources of income: 1=small scale trade, 2=market activities, 3=casual employment, 4=sale of livestock, 5=given by family remittances, 6=permanent employment, 7=salaried employment (NGOs, etc.), 8= revenues from movable or immovable property, 9=others (specify))*

| Description | | | Prior to exile | In exile | After return | Skills |
|---|---|---|---|---|---|---|
| Head of household | | Age | | | | |
| Family. | | | | | | |
| | | | | | | |
| | | | | | | |
| | | | | | | |
| | | | | | | |
| | | | | | | |

*If you have work, how did you find it?* _____

_____

*Any obstacles to finding work?* _____

_____

*Any problems at work?* _____

_____

| How many hours/day and days/week do you work? (fill both boxes w/ a number) | | Hrs/day | | Days/week |
|---|---|---|---|---|

### *ACCESS TO FOOD*

| Do you have sufficient income to meet your basic needs (food, health, medicine and education)? | Yes | | No | |
|---|---|---|---|---|

*If no, please explain:*_____

*Main sources of food for the household (rank the three most important sources):*

| Animal-based own production | | Purchasing | | Begging | |
|---|---|---|---|---|---|
| Own cereal production | | Food aid | | Gifts | |

| Average meals per day? (circle one or check Irregular box) | 1 | 2 | 3 | | | Irregular |
|---|---|---|---|---|---|---|

### *ACCESS TO WATER*

*Where do you fetch your water? (rank top three water sources by frequency of use: 1=most used, 2=frequently used, etc.)*

| Piped into yard/plot | | Public tap | | Rain water collection | | Borehole | |
|---|---|---|---|---|---|---|---|
| Pond or stream | | Unprotected dug well | | Tanker/truck vendor | | Other | |

| Distance to water source (choose minutes or km; fill one box with a number) | | Minutes | | Kilometres |
|---|---|---|---|---|

| Is water source shared with animals? | Yes | | No | |
|---|---|---|---|---|

| What is your assessment of the water quality? | Clean | | Dirty | |
|---|---|---|---|---|

*Further comments on water source*

***SANITATION***

| Does your household have access to a toilet? | Private | | Shared | | No | |
|---|---|---|---|---|---|---|

*What do you do with your garbage?*

_____

_____

_____

**HEALTH CARE**

| Does your household have access to health facilities? | | | | | | | | | Yes | | No | |
|---|---|---|---|---|---|---|---|---|---|---|---|---|
| Do you pay for the services? | | | | | | | | | Yes | | No | |
| Which type of facility? (check one) | MHC | | Clinic | | Hospital | | Healer | | Other | | | |

| Distance to delivery health facility (choose Hrs or Km; fill one box with a number) | | Minutes | | Kilometres |
|---|---|---|---|---|

***HOUSING***

*Type of shelter (check all applicable boxes):*

| Description | Prior to exile | | | | After return | | | |
|---|---|---|---|---|---|---|---|---|
| | Owned | Rented | Public | Occupied | Owned | Rented | Public | Occupied |
| Sar | | | | | | | | |
| Baraako | | | | | | | | |
| Carish | | | | | | | | |
| Mudul | | | | | | | | |
| Aqual | | | | | | | | |
| Buslh | | | | | | | | |
| Jingad | | | | | | | | |
| Apartment | | | | | | | | |

*(Sar= stone/brick house, Baraako= wood house, Carish= stick/mud house, Modul= hut, Aqal= traditional mobile collapsible hut, Bush= plastic covered structure, Jingad= iron sheets only)*

| **PROPERTY** | | | | | | District (geocode) |
|---|---|---|---|---|---|---|
| Do you now own immovable property (land/house)? | Yes | | No | | If yes, where? | |
| Did you own immovable property before exile? | Yes | | No | | If yes, where? | |
| Were you able to retrieve your property? | Yes | | No | | | |

*If no, please explain*

_____

_____

_____

*If yes, but not living on own land, please explain*

_____

### *ACCESS TO EDUCATION*

| Type | Attending | | | | | Not attending | | | |
|---|---|---|---|---|---|---|---|---|---|
| | No. | Male/age | Female/age | Grade | | No. | Male/age | Female/age | Grade |
| Public boys school | | | | | | | | | |
| Public girls school | | | | | | | | | |
| Public boys/girls school | | | | | | | | | |
| Madrassa | | | | | | | | | |

*Reason children are not attending:*

_____

_____

| Do your boys and girls have equal opportunity to go to school? | Yes | | No | |
|---|---|---|---|---|

| Which type of school would you prefer to send your girls to (put # from access to education table above in box)? |
|---|

*Children working:*

| Age (male) | Type of work | Where | Hours/day | Age (female) | Type of work | Where | Hours/day |
|---|---|---|---|---|---|---|---|
| | | | | | | | |
| | | | | | | | |
| | | | | | | | |
| | | | | | | | |

*If your children are working, why?*

_____

_____

_____

### *AWARENESS OR RIGHTS AND ACCESS TO ADMINISTRATION/JUDICIARY*

| Are you aware of how the administration and justice system functions? | | | Yes | | No | |
|---|---|---|---|---|---|---|
| Have you or members of your household obtained personal of property documentation (check one or specify other)? | | | | | | |
| Birth Cert. | | ID Card | | Travel doc. | | Property doc. | | School Certificate | |
| Other (specify): | | | | | | | | | |

### *PHYSICAL SAFETY*

| Questions related to Female Genital Mutilation (FGM) should be included and asked; if acceptable under the circumstances. |
|---|

*If no, why not? If no what?*

_____

_____

_____

| | | | | |
|---|---|---|---|---|
| Did they develop any problems? | Yes | | No | |

*If yes, which?*

_____

_____

| | | | | |
|---|---|---|---|---|
| Do you feel safe since your return? | Yes | | No | |

*If no, please explain:*

_____

_____

| | | | | |
|---|---|---|---|---|
| Are there any security problems in your area? | Yes | | No | |

*If yes, which?*

_____

_____

*If yes, did the problems affect members of your household or your property?*

_____

_____

*How was the situation dealt with?*

_____

_____

*Who (elders, authorities, justice system) intervene in disputes in the household or community?*

_____

_____

| | | | | |
|---|---|---|---|---|
| Since you returned, did you/members of your household travel outside your village/place of residence? | Yes | | No | |

*If yes, for which reason(s)?*

_____

_____

_____

| | | | | |
|---|---|---|---|---|
| Do you have to seek permission before or during travel? | Yes | | No | |

*From whom do you seek permission?*

_____

_____

_____

| | | | | |
|---|---|---|---|---|
| Are there any mines/UXO in your area? | Yes | | No | |
| Have you received mine awareness training? | Yes | | No | |

*If yes, for what reason:*

_____

_____

***ASSESSMENT***

*Any differences between your situation in COA and your present situation?*

_____

_____

_____

*If yes, please explain (e.g. water, education, health, shelter, security).*

_____

_____

_____

*Do you feel in general that in your present situation you are better off than you were in exile (please elaborate)?*

_____

_____

_____

***ASSISTANCE AFTER RETURN***

| | | | | |
|---|---|---|---|---|
| Have you or members of your household benefited from UNHCR projects? | Yes | | No | |

*Do you feel that UNHCR interventions/projects were appropriate and addressed your needs (please elaborate)?*

_____

_____

_____

*Other aid agencies working in your area: (write in agency under sector and specify number of beneficiary communities and households)*

| Sectors | Water | Educ. | Health | Food | Agric. | Livestock | Road Reconstru-ction | Income Generation | Mine Clearance | Other |
|---|---|---|---|---|---|---|---|---|---|---|
| Agency name | | | | | | | | | | |
| Community benefits | | | | | | | | | | |
| Your household benefits | | | | | | | | | | |

***COMMENTS (RETURNEE/INTERVIEWER)***

***INTERVIEWER'S OBSERVATIONS***

*Are there any particularly vulnerable members within the household? If yes, in what way are they vulnerable?*

*Date:* _____ *Place* _____

*Interviewed by:* _____

# OVERVIEW OF PART C

**Institutional support mechanisms**

**PART C** of the Handbook discusses institutional support mechanisms, namely organizational structure, staffing and information management. Many of the key activities related to staffing and information must be undertaken in the early stages of repatriation and reintegration operations. Part C also provides general suggestions on how UNHCR can work with partners to set up joint structures and manage information.

**MODULE SEVEN: ORGANIZATIONAL STRUCTURE, STAFFING AND INFORMATION MANAGEMENT**

# MODULE SEVEN:
# ORGANIZATIONAL STRUCTURE, STAFFING AND INFORMATION MANAGEMENT

## PART C

# SUMMARY OF MODULE

***This module describes institutional support mechanisms relevant to activities related to the planning and implementation of repatriation and reintegration described in Part B of the Handbook.***

Section 1: STRUCTURES, FUNCTIONS AND STAFFING

Section 2: SETTING UP UNCT SUPPORT TEAMS AND/OR STRUCTURES WITH OTHER UN AGENCIES

Section 3: MANAGING INFORMATION

# INTRODUCTION

For the planning and implementation of reintegration programmes to be successful, there must be appropriate institutional support mechanisms. The critical ones are organisational structures, staffing and a strategy for managing information. All of these are vital in the early stages of planning and implementing a reintegration programme and have been touched upon in previous modules. In view of their importance, this module deals with them at greater length.

# Section 1

# STRUCTURES, FUNCTIONS AND STAFFING

## 1.1 Establishing an Early Field Presence

As stated in Module Four, an early field presence of UNHCR and development partners in the country of origin and areas of return is critical for a successful repatriation and reintegration programme. For UNHCR, it can also be an important strategy for securing competent local staff and identifying potential implementing partners. It is also essential for UNHCR to have counterparts from other agencies early on at the field level.

The objectives of establishing an early field presence in the strategic and priority areas of return are to:

- ☑ Monitor both spontaneous and planned repatriation movements and the situation after return;
- ☑ Lobby and undertake advocacy to prepare the ground for 4Rs programming;
- ☑ Identify major constraints that may hinder reintegration (security, legal and administrative obstacles and the physical and socio--economic infrastructure);
- ☑ Establish links with the local community, local authorities and potential international partners;
- ☑ Initiate and/or facilitate joint assessments and planning operations with government, NGOs, UN and other development partners, particularly at the district and provincial levels;
- ☑ Participate in inter-agency assessments and/or the collection and analysis of information needed for planning;
- ☑ Work with the local authorities and communities and returnee representatives to develop the reintegration strategy and programme;
- ☑ Liaise with UNHCR in countries of asylum on all of the issues above; and
- ☑ Carry out the process of identification of early intervention measures for UNHCR's protection and assistance work.

In order to get the necessary human resources in place and to avoid potential delays, it is possible to employ a variety of flexible measures, such as missions, fast-track deployments, UNVs, and the progressive transfer of UNHCR staff from countries of asylum to countries of origin. **Once the prospect of repatriation is firm and spontaneous repatriation has become constant and significant – even though a peace agreement may not have been signed – a reintegration co-coordinator should be appointed in the country of origin (see Box 7.1 for suggested Terms of Reference).**

***High staff turn-over can be detrimental. There should be some staff continuity in the core functions during critical times, because it has been said that it is better to get one permanent staff member for an extended period than to have ten successive short-term staff.***

**Box 7.1: Terms of reference for a Reintegration Coordinator (UNHCR)**

**Tasks related to inter-agency processes**

- In close cooperation with relevant government departments and development partners (e.g. the World Bank, regional development banks, UN agencies, the EU, NGOs and bi- and multi-lateral donor agencies), assist the Branch Office to contribute to the development of a broad-based national recovery and reintegration strategy;
- Take part in inter-agency missions, task forces and other fora, as required, particularly in the context of the UNCT, and participate in joint needs assessments, the formulation of CCA/UNDAF, PRSPs and other frameworks; and
- Help develop operational partnerships with other agencies (the World Bank, the UN, specialized agencies, bi-lateral agencies and both local and international NGOs) for reintegration to develop practical cooperation and integrated approaches and programmes and to facilitate relief-to-development linkages.

**Internal tasks**

- Ensure that national level inter-agency policy issues are translated into field operations;
- Assist Sub-offices and Field Offices to ensure that the technical integrity and sustainability of reintegration projects (e.g. Quick Impact Projects) meet government standards, are cost effective and comply with UNHCR policies with regards to gender, children and the environment;
- Ensure the full involvement and collaboration of protection staff in the design and monitoring of reintegration activities;
- Collaborate in protection monitoring and use outcomes to inform the design of reintegration activities;
- With relevant government and development partners, assess needs and identify projects to address the mid- to long-term rehabilitation/recovery of major returnee areas;
- Supervise the identification, design and implementation of UNHCR-specific interventions and, where necessary, prepare contracts (or provide advice to implementing partners);
- Provide timely support, training and guidance to UNHCR field and partner staff on sustainable reintegration in post-conflict situations;
- In conjunction with relevant partners, regularly monitor and evaluate reintegration operations to draw lessons and prepare improved responses;
- Provide technical support to local capacity-building efforts geared towards national NGOs and government line departments;
- Coordinate the day-to-day technical activities related to reintegration initiatives at the country level;
- Help translate and analyse the results of surveys and assessments of various agencies and extract helpful information for field operations; and
- Support and extract information for Field Offices from the inter-agency Management Information System.

Where a UNCT is operational, a common institutional structure to initiate joint assessments and planning should be established early on (see Section 2).

## 1.2 Structure and Functions

UNHCR organisational arrangements for reintegration operations should cover structures at the Branch Office, Sub-office and Field Office levels, as well as at Headquarters when the operation is large. It is difficult to determine a single organisational structure that is appropriate for all situations. Section 1.2.1, therefore, proposes some generic functions related to reintegration at the Sub-office, Branch Office and Headquarter levels and staffing strategies.

UNHCR Branch Offices often have programme and protection units. In some cases, a Reintegration Unit is also established within the Programme Unit (e.g. Sierra Leone) or Protection Unit (e.g. proposed Sudan repatriation and reintegration operation for 2003-2004). Annex 7.1 proposes Terms of Reference for a **Reintegration Programming Unit (RPU)**.

***In Afghanistan, the UNHCR Branch Office (in collaboration with UNDP, WFP and others) supported the establishment of a Reintegration Unit in the Ministry of Rehabilitation and Rural Development.***

### 1.2.1 Functions

Box 7.2 describes generic functions to be performed at the UNHCR Sub-office, Branch Office and Headquarters levels. Where applicable, some of the Headquarters functions can be transferred to a regional coordination entity set up to handle operations involving many countries.

**Box 7.2: Functions matrix for Sub-office, Branch Office and Headquarters**

| SUB-OFFICE | BRANCH OFFICE | HEADQUARTERS |
|---|---|---|
| ◆ Involve representatives of line ministries at provincial and district level in planning process;<br>◆ Provide support to local authorities for joint project monitoring;<br>◆ Facilitate inter-agency/line ministry/community sensitization on reintegration programmes;<br>◆ Provide reintegration briefing and on-the-job training sessions to Field Office/partner staff ;<br>◆ Conduct regular returnee monitoring and home visits;<br>◆ Build information network with community structures (village councils, etc.);<br>◆ Conduct regular self-reliance and village-of-return surveys;<br>◆ Build capacity of community structures for project implementation and monitoring;<br>◆ Facilitate coordination of 4Rs meetings among UN agencies and line ministries;<br>◆ Identify and utilize services of reputable community-based organisations; and<br>◆ Strengthen inter-agency collaboration on implementation of community empowerment projects for sustainable reintegration. | ◆ Link with partners (government, UN, civil society, etc.);<br>◆ Strengthen UNCT collaboration and integrated planning at country level;<br>◆ Initiate and follow up inter-agency collaboration at country level on 4Rs and for specific sector interventions;<br>◆ Provide current Sub-office and Field Office Memoranda of Understanding with other agencies (e.g. WHO, WFP DFID and NORAD);<br>◆ Provide Sub-offices and Field Offices with regular training and technical guidance on policy priorities, Quick Impact Projects, Community Empowerment Projects, etc.;<br>◆ Request regular reintegration updates from field and provide field with relevant information on national level issues;<br>◆ Ensure reintegration activities are part of national (government and UN) strategies;<br>◆ Promote joint information management systems;<br>◆ Develop return and reintegration policies and frameworks and help Sub-offices and Field Offices operationalise them ;<br>◆ Provide legal and protection support and advice to field;<br>◆ Act as first point of contact for national authorities;<br>◆ Brief new reintegration staff;<br>◆ Liaise with regional and Headquarters units; and<br>◆ Conduct regular assessments and support missions to field. | ◆ Provide technical guidance and operational policy support;<br>◆ Facilitate Headquarters inter-agency planning for 4Rs in early stages;<br>◆ Provide support to UNCT;<br>◆ Draw lessons from other operations to guide planning and implementation (e.g. write a lessons learned newsletter);<br>◆ Take stock every six months through UN agency built-in evaluations;<br>◆ Standardize tools and strategies used in reintegration planning;<br>◆ Brief new staff assigned to deal with reintegration;<br>◆ Advocate for policy changes within UNHCR and partner organisations to make reintegration sustainable;<br>◆ Provide consistent support beyond pilot for 4Rs;<br>◆ Create pool of expertise on reintegration to deploy as needed;<br>◆ Provide training support and capacity building; and<br>◆ Help strengthen internal cohesion between protection, community services and reintegration. |

### 1.2.2 Staffing strategy

The successful planning and implementation of reintegration are closely related to establishing linkages and mobilizing people, organisations and partners.

**Branch Offices**

If necessary, according to the nature and volume of the reintegration programme, the Branch Office can set up a Reintegration Unit staffed by:

- A **Reintegration Coordinator** with experience and background in economic and social development, rural development planning and capacity building. S/he can be sourced from other UN agencies. S/he should galvanize early planning and facilitate linkages with partners. Once the operation is fully underway, a **Senior Programme Officer**, who would work with joint structures set up by the UNCT (see section 2), would take over her/his functions;

- A **Livelihoods/Self-reliance Expert** to devise ways to promote household/local economic recovery; and

- A **Community Development Expert** to promote community-based approaches.

Under certain circumstances, UNHCR priority areas may call for sector specialists (re. public health, water and sanitation, infrastructure rehabilitation and education). Such specialists can be sourced from national counterparts, donors, other UN agencies, etc. UNHCR–specific sector specialists should be deployed (where needed) only in the early stages of an operation and should be phased out as soon as possible.

**Senior gender/women and children's advisers, as well community services officers** should provide support to the national and cross-border teams, especially at the beginning of the repatriation and reintegration process and ensure that gender and age concerns are mainstreamed throughout the operation.

***In order to strengthen linkages with specialized UN agencies, UNHCR should seek specialists from these agencies.***

**Standby arrangements** with donors are a useful means for UNHCR to access highly qualified expertise. Such arrangements aim to:

- ☑ Strengthen the capacity of UNHCR to launch programmes and maintain the high technical quality of its operations by drawing upon donors' stand-by technical professionals with appropriate skills profiles;
- ☑ Provide for rapid deployments of professional staff; and
- ☑ Strengthen and enhance partnerships between UNHCR and donors.

It is recommended that a high proportion of UNHCR staff in the country of origin be of local origin, as this lowers costs and enhances efficiency. Competent local staff with sound experience can be used by other agencies once UNHCR phases out (this should be planned at the onset).

**Sub-offices and Field Offices**

As Sub-offices and Field Offices are established in the areas of return, technical support will normally be required in priority sectors at the local level. The nature and level of this support will depend on the role UNHCR plays in each area and sector and the competence of local authorities and line departments. However, it is vital that specially dedicated reintegration staff be assigned to Sub-offices and Field Offices to take part in joint planning and implementation with partners at the district and/or provincial level.

At the Sub-office level, various staffing models can handle reintegration activities (Box 7.3)

**Box 7.3: Reintegration staffing model for at Sub-office level (Afghanistan)**

**Model 1**
- Deputy Head of Sub-office as focal point for reintegration; and
- Technical support staff (water sanitation or engineering).

**Model 2**
- Programme Officer as focal point for reintegration; and
- Technical support staff (water sanitation or engineering).

**Model 3**
- Reintegration Officer; and
- Technical support staff (water sanitation or engineering).

Where resources limit the number and background of staff in Sub-offices and Field Offices, it is prudent to create early and strong partnerships with other agencies that might second staff to UNHCR.

The success of a reintegration operation is contingent upon the quality of UNHCR and partner staff. Important qualifications include proven expertise in programme management, conflict resolution and reconciliation, development projects and in protection in the country of origin. A background in rural planning, the ability to motivate teams and an understanding of the local context are also important qualities to have at the Sub-office and Field Office levels. The UNHCR team should be trained on UNHCR policy priorities and integrated/participatory planning and implementation as early as possible.

***Gender balance in the recruitment of the reintegration team: women should not only be recruited for community-based activities, but should be sought out for other functions as well.***

## 1.3 Other Organisational and Operational Issues

In the country of origin, the manner in which UNHCR organises itself internally directly affects its capacity to plan and implement successful reintegration operations. That coordination with partners is essential should be reflected in the internal organisation of UNHCR operations.

Additional measures include:

- Ensuring closer collaboration between the relevant desk at UNHCR Headquarters and RLSS/DOS and determining focal points in relevant Headquarters sections in order to provide comprehensive support to UNHCR Branch Offices;
- Ensuring organisational coherence and the effective sharing of relevant information through a regional approach (linking countries of asylum and origin);
- Integrating secondments from partner organisations to deepen partnerships and introduce valuable expertise;
- As far as possible, recruiting local staff to build local capacity and maximize the understanding of local conditions;
- Recruiting and training local women as field staff;

- Ensuring that the composition of international and local staff includes a balance of female field officers;

- When hiring international staff, giving preference to those familiar with local socio-cultural issues and with previous experience in reintegration activities; and

- Providing ongoing staff training in issues relevant to the reintegration operation, such as protection monitoring, project planning and project implementation.

## Section 2

## SETTING UP SUPPORT TEAMS OR STRUCTURES WITH OTHER UN AGENCIES

In the context of an integrated UN approach, it is essential for UNHCR to work with other agencies to establish support mechanisms or structures. For example, under the 4Rs framework, the UNCT in Sierra Leone set up a light and flexible structure, the Transition Support Team (TST) to assist in coordinating interventions (see Box 7.4).

**Box 7.4: Generic terms of reference for a UN Transition Support Team (based on a model in Sierra Leone)**

- The team coordinator working under the Resident Coordinator to support the UNCT:

☑ Identifies needs and priorities and develops strategies, plans and projects for a smooth transition away from humanitarian aid (especially for resettling populations);

☑ Supports government authorities in their efforts to take the lead in the recovery and transition towards development; and

☑ Supports enhanced data-handling capacity and quality by the sector or line ministry groups linked to an information system.

- The TST field officers assigned to the team will work closely with UN agencies already on the ground and interface with existing institutional structures, especially the provincial and district Recovery Committees, Sectoral Technical Committees, line ministries and others.
- The TST field officers will assess the progress of reintegration at the local level and quantify unmet needs and financial and technical requirements to avoid major gaps related to the phase-out of UNHCR and other external support (and the presence of associated NGOs).
- In close collaboration with all district-based actors (the government and partners), the TST field officers will develop a transitional strategy for districts with high concentrations of resettling populations; the strategy will address livelihoods, detail how to link various reintegration programmes that are phasing in and phasing out and suggest action priorities.
- The TST field officers will identify joint development-oriented interventions, based on the relevant outcomes of the UNDAF, to facilitate the transition from humanitarian aid. The officers will seek to influence and facilitate the phase-in of development programmes by informing relevant agencies about realities and the most pressing needs on the ground (e.g. reference of health and education needs to incoming longer-term programmes).
- The TST field officers will work closely with the UN, the World Bank and other partners to plan and implement specific projects in accordance with the 4Rs concept.
- The TST field officers will have a capacity-building function to support the provincial/district recovery units supporting transition towards development and specifically to help them plan, prioritize and manage the transition process (including information management).
- The TST field officers will, through their close work with the provincial/district recovery units, also monitor and support the national and district recovery strategies.
- The TST field officers' work will initially focus on areas with high concentrations of re-settling populations, but progressively extend to other areas.

To be even more effective, such TSTs can be established in the country of origin before the onset of repatriation. This would help not only in early inter-agency planning, but also in forging a common vision on 4Rs among all partners. Such early efforts are equally important at the provincial and district levels and lay the ground for eventual UNHCR phase-out.

***Important issues to address early on are the cost associated with setting up such structures and how the cost will be covered (UN agency contributions, donors, etc.), especially when an operation lasts many years.***

# Section 3

# MANAGING INFORMATION

Modules Three and Four discuss the type of information to collect and the various tools for information collection and analysis. This module focuses on a strategy for managing information for repatriation and reintegration.

UNHCR and partners' information management is critical for designing effective interventions to achieve sustainable reintegration. It allows UNHCR to organise its work effectively and cooperate with partners. **It is, therefore, important for UNHCR to work with partners to help put in place and support an information management strategy early on.** In some cases, UNHCR starts repatriation and reintegration operations with limited information on the refugee population and areas of return. This lack of information can later handicap an operation. It is essential to fill the gap with an information strategy by investing time and resources before starting operational activities. The pay-off is better targeting and prioritizing scarce resources. It will also help to solidify partnerships with development actors, who often do not have access to the kind of information UNHCR has.

## 3.1 Managing Information in an Integrated Manner

In designing an information strategy to support reintegration, it is important to bear in mind the need to support the development of a system that, while initially focused on collecting information for relief-recovery activities in the short term, would eventually develop into a system to address information needs for longer-term development. This considerable task requires a collective effort on the part of UNHCR and other agencies. A sound strategy entails working with partners to set up an information framework that serves this larger goal and that:

- ☑ Enables UNHCR to access information collected by other players that is relevant to plan and implement reintegration activities; and
- ☑ Facilitates UNHCR exit and operations phase-out.

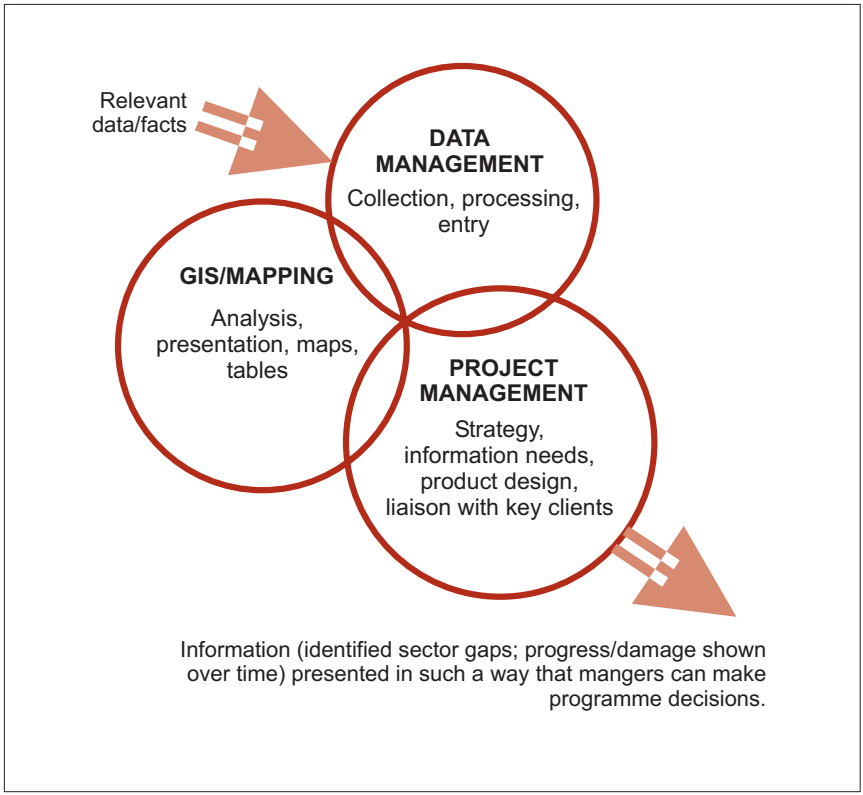



*Figure 7.1 Information flows and linkages to planning*

As discussed in Modules Four and Five (and based on pilots in Afghanistan, Eritrea, Sierra Leone and Sri Lanka), information needs can be categorized as follows:

- **Information related to on-going and planned activities;**
- **Information on assessments;**
- **Information on populations; and**
- **Information on natural resources.**

All four information categories can be brought together while taking into account:

- ☑ The need to link the data collection process to an operationally determined end use;
- ☑ The fact 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. Under such circumstances, it is difficult to obtain a clear picture of available or missing information to successfully plan and implement reintegration activities;
- ☑ The need to 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;
- ☑ The institutional location of the information system needs to be carefully considered. The Sierra Leone Information System, which UNHCR helped to establish and support, was initially located within the Office for the Coordination of Humanitarian Affairs. It will be transferred to an appropriate development-oriented institution, preferably in the government, as the transition to development activities accelerates. Building the government capacity in information management is therefore critical;
- ☑ The effective and optimal use of information products calls for building the capacity of end users and better interaction between end users and information personnel;
- ☑ That setting up a common information platform requires: (i) a common geographic dataset; and (ii) a common sectoral dataset to ensure compatibility and make joint outputs possible;
- ☑ That establishing a common geographic dataset entails: (i) establishing a full list of places in agreement with government authorities and main agencies; (ii) locating the places on digitalized maps; and (iii) encouraging the use of GIS;
- ☑ That establishing sectoral datasets involves agreeing on a list of sectors and sub-sectors and of sector-specific indicators; and
- ☑ That maintaining confidentiality of information on individual returnees is critical and, early on, decisions must be made on what population information to share with partners.

### 3.2 Institutional Aspects of Information Management

To manage information well, UNHCR must work with all partners at the national level. To be effective, the information strategy must link with an existing coordination framework, such as the UNCT. In some instances, two partners may take the lead. Some type of management oversight structure may be set up to ensure that the strategy meets the set objectives.

Information systems at the provincial and district levels, where reintegration occurs, are also 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 areas of return.

**For further technical details and support, contact the Population and Geographic Data Section/Geographic Information and Mapping Unit (GIMU) at UNHCR Headquarters.**

## CONCLUSION

Institutional support mechanisms are vital to successful reintegration, as they affect the quality of programme design, as well as how well plans and programmes are implemented and their impacts. Branch Office managers need, therefore, to pay particular attention to staffing and related institutional matters.

# ANNEX 7.1:

# BROAD TERMS OF REFERENCE FOR A REINTEGRATION PROGRAMMING UNIT

**The Reintegration Programming Unit** comprises a reintegration co-coordinator and technical staff where necessary, works under the supervision of the Senior Programme Officer and is responsible for:

- ☑ Establishing partnerships with the government, development agencies and other partners;
- ☑ Liaising with the UNCT and other partners and participating in joint/integrated planning exercises (transition strategy development, joint assessments, CCA/UNDAF, PRSPs, etc.);
- ☑ Improving understanding of the political and socio-economic context of reintegration by monitoring and mapping key trends both within and outside the country of origin;
- ☑ Undertaking sensitization and participating in the 4Rs planning process within the framework of a UNCT with partners;
- ☑ Developing appropriate operational linkages with development initiatives and government line departments (starting at the earliest stage of an operation);
- ☑ Helping to establish and/or modify field-level structures that respond to reintegration demands;
- ☑ Gathering and disseminating information, including on partners' planned reintegration activities and making it available to the relevant districts to facilitate UNHCR Sub-office and Field Office planning;
- ☑ Assisting the programme unit to mobilize resources and providing technical support for the reintegration programme;
- ☑ Ensuring that sector programme components are technically sound and implemented according to appropriate indicators and standards agreed upon by all parties;

- ☑ Providing policy advice (e.g. on cash for work, etc.);
- ☑ Seeking technical guidance from UNHCR Headquarters on multi-disciplinary reintegration matters and self-reliance projects and from the Environmental Engineering Support Section/DOS/UNHCR sector specialists, as appropriate; and
- ☑ Ensuring that:
  - ❑ Demographic data on returnees is collected;
  - ❑ Returnee area profiles are established and a database developed accordingly; and
  - ❑ Refugee representatives and UNHCR protection staff conduct visits to ensure that targeted returnee areas are accessible and safe and meet criteria for voluntary repatriation.

The **composition of the Reintegration Programme Unit** will vary according to the nature and size of the UNHCR reintegration programme, the governmental infrastructure, the partners and other international organisations involved in the reintegration process and the contributions of specialists' short-term missions.

# GLOSSARY

# GLOSSARY

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

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

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

**Chapter 4**: the programming chapter in the UNHCR Manual on Operations Management that provides guidance on reporting, implementation and planning.

**Co-existence**: a bridge from the cessation of hostilities that eventually can lead to reconciliation. Initiatives related to the co-existence approach include peace education, sustainable community development, the socio-economic empowerment of refugees, the reintegration of child soldiers and partnership development.
*Source: UNHCR/RLSS brochure for the June 2002 Imagine Co-existence Conference.*

**Common Country Assessment (CCA)**: the common instrument of the United Nations to analyze the development situation and identify key national development issues with a focus on the Millennium Development Goals and the other commitments, goals and targets of the Millennium Declaration and international conferences, summits, conventions and human rights instruments.

**Community development**: a process to improve the economic, social and cultural conditions of communities. Community development aims to integrate refugees into their host countries or to reintegrate them upon return to their country of origin and to improve living standards for the whole community.

**Consolidated Appeals Process (CAP)**: a programming process through which national, regional and international relief systems are able to mobilize and respond to selective major or complex emergencies that require a system-wide response to humanitarian crisis

**Decentralization**: the establishment of institutional and legal frameworks for decision making and the empowerment of sub-national institutions at the provincial, district, city, town and village levels in terms of fiscal, administrative, political and legal processes.

**Development Assistance for Refugees (DAR)**: a programming approach which aims to promote refugees and host communities in development agendas through additional development assistance to improve burden-sharing with countries hosting a large number of refugees and to promote better quality of life and self-reliance for refugees pending durable solutions and a better quality of life for refugee-hosting communities.
*Source: Framework for Durable Solutions for Refugees and Persons of Concern at www.unhcr.org*

**Development through Local Integration (DLI)**: a programming approach applied in protracted refugee situations where the state opts to provide opportunities for the gradual integration of refugees. It is based on the understanding that those refugees who are unable to repatriate and are willing to integrate locally will find a solution to their plight in their country of asylum. DLI is achieved through additional development assistance.
*Source: Framework for Durable Solutions for Refugees and Persons of Concern at www.unhcr.org*

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| **Durable solutions** (for refugees): | lasting solutions through local integration in the country of asylum, voluntary repatriation to the country of origin or resettlement in a third country.<br><br>*Source: Agenda for Protection at www.unhcr.org* |
| **Emergency relief**: | the immediate survival assistance to the victims of crisis and violent conflict. Most relief operations are initiated on short notice and have a short implementation period (project objectives are generally completed within a year). The main purpose of emergency relief is to save lives.<br>*Source: OECD, Development Assistance Committee Guidelines on Conflict, Peace and Development Cooperation (May 1997).* |
| **Empowerment**: | a process/phenomenon that allows people to take greater control over the decisions, assets, policies, processes and institutions that affect their [lives].<br>*Source: DFID, Sustainable Livelihoods Guidance Sheets.* |
| **Evaluation**: | as systematic and objective an analysis and assessment of the organization's policies, programmes, practices, partnerships and procedures as possible, focused on planning, design, implementation and impacts. |
| **Focus Group Discussion:** | a method to collect qualitative data/information from a group of persons pre-selected according to specific criteria. |
| **Good practice**: | an innovative, interesting and inspiring practice that has the potential to be transferred in whole or in part to other national contexts.<br>*Source: Good Practice Guide to the Integration of Refugees in Central and Eastern Europe.* |
| **Human capital**: | a person's skills and abilities. |
| **Humanitarian assistance** (**relief**): | aid that addresses the immediate needs of individuals affected by crises and is provided mainly by non-governmental and international organizations.<br>Source: EU, *Linking Relief, Rehabilitation and Development. COM (2001).* |

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| **Human Development Index (HDI):** | a measure of a country or region's achievements in terms of life expectancy, level of education and adjusted real income. |
| **Implementing partners**: | partners who sign an implementing agreement and receive funding from UNHCR. |
| **Institutions**: | a) organizations or agencies that operate within the public and private sector and b) the mechanisms, rules and customs by which people and organizations interact with each other.<br>*Source: DFID, Sustainable Livelihoods Guidance Sheets.* |
| **Integrated approach**: | a planning approach that brings together issues from across sectors, institutions and national and local levels, as well as different population groups. |
| **Iterative process**: | the continual refinement of objectives as new knowledge and questions generated by investigation and analysis feed back into the investigative cycle.<br>*Source: DFID, Sustainable Livelihoods Guidance Sheets.* |
| **Internally Displaced Persons (IDPs):** | people who have fled from their homes as a result of armed conflicts, widespread violence, human rights violations or natural disasters, but who have not gone outside the borders of their country. |
| **Joint programming**: | the process through which the UN country team and national partners work together to prepare, implement, monitor and evaluate the UN's contribution to most effectively and efficiently achieve the MDGs and other international commitments related to the government's national development targets. |
| **Key informants:** | individuals of a particular background (e.g. nurses, teachers and poor farmers) who provide their views on various issues.<br>*Source: DFID Sustainable Livelihoods Guidance Sheets.* |
| **Livelihoods**: | a combination of the resources used and the activities undertaken in order to live. Resources include individual skills (human capital), land (natural capital), savings (financial capital), equipment (physical capital), |

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| | as well as formal support groups and informal networks (social capital).<br>*Source: DFID Sustainable Livelihoods Guidance Sheets.* |
| **Millennium Development Goals (MDGs)**: | a summary of development goals set at international conferences and world summits during the 1990s. |
| **Monitoring**: | an ongoing review and control of the implementation of a project to ensure that inputs, work schedules and agreed activities proceed according to plans and budgetary requirements. |
| **Operational partners**: | governmental, inter-governmental and non-governmental organizations and UN agencies that work with UNHCR to protect and assist refugees/returnees and to achieve durable solutions. |
| **Participatory: approach** | an approach to development and/or government in which key stakeholders (and especially the proposed beneficiaries) of a policy or intervention are closely involved in the process of identifying problems and priorities and have considerable control over analysis and the planning, implementation and monitoring of solutions. |
| **Participatory Rural Appraisal:** | a growing family of approaches, methods and behaviours to enable people to share, enhance and analyze their knowledge of life and conditions and to plan, act, monitor and evaluate.<br>*Source: R. Chambers (1999). Relaxed and Participatory Appraisal, Notes On Practical Approaches And Methods. Notes For Participants In PRA Familiarisation Workshops In The Second Half of 1999 IDS/Sussex.* |
| **Peace building**: | efforts aimed at preventing the outbreak, recurrence or continuation of armed conflict and therefore encompassing a wide range of political, developmental, humanitarian and human rights programmes and mechanisms. |

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| **Poverty Reduction Strategy Paper (PRSP)**: | a country's macro-economic, structural and social policies and programmes to promote growth and reduce poverty. |
| **Protection**: | all activities aimed at ensuring the enjoyment of the rights, on equal terms, of women, men, girls and boys of concern to UNHCR in accordance with the letter and spirit of relevant bodies of law. |
| **Quick Impact Projects (QIPs):** | small, rapidly implemented projects intended to help create conditions for durable solutions through rapid interventions. They can, for example, provide for small-scale initial rehabilitation and enable communities to take advantage of development opportunities. |
| **Recovery**: | a focus on how best to restore the capacity of the government and communities to rebuild and recover from crisis and to prevent relapses into conflict. In so doing, recovery seeks not only to catalyze sustainable development activities, but also to build upon earlier humanitarian programmes to ensure that their inputs become assets for development.<br>*Source: Role of UNDP in crisis and post-conflict situations DP/2001/4 para 48.* |
| **Reconciliation:** | see "co-existence". |
| **Registration:** | a means to help protect against "refoulement", arbitrary arrest and detention by making people known to UNHCR and the host government as persons of concern. |
| **Rehabilitation**: | the restoration of social and economic infrastructure destroyed during conflict to enable communities to pursue sustainable livelihoods.<br><br>Or<br><br>Actions which enable the affected population to resume more or less "normal" patterns of life. These actions constitute a transitional phase and can [occur] |

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| | simultaneously with relief activities, as well as further recovery and reconstruction activities.<br>Source: ILO, *Generic Crisis Response Modules*. |
| **Reconstruction:** | the (re)establishment of political order, institutions and productive capacity to create a base for sustainable development.<br>*Source: World Bank*.<br><br>Or<br><br>Developmental interventions which not only seek to build, repair damage or return to the status quo ante, but also address medium- and long-term needs and the need for improvements in policies, programmes, systems and capacities to avert the recurrence of crisis and to reach higher levels of employment and standards of living.<br>*Source: ILO, Generic Crisis Response Modules*. |
| **Reintegration**: | the achievement of a sustainable return i.e. the ability of returnees to secure the political, economic and social conditions to maintain their life, livelihood and dignity.<br>*Source: Macrae, Joanna. Aiding Peace…and War: UNHCR, Returnee Reintegration, and the Relief-Development Debate (Geneva, UNHCR New Issues in Refugee Research Working Paper No. 14, December 1999)*.<br><br>Or<br><br>A process which enables former refugees and displaced people to enjoy a progressively greater degree of physical, social, legal and material security.<br>*Source: UNHCR, The State of the World's Refugees (Geneva, 1997).* |
| **Returnees**: | refugees who have returned to their country or community of origin. |
| **Sector-wide approach (SWAP)**: | the prioritization of sector programming as a key intervention used by development agencies. |

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| **Self-reliance**: | Can be defined as the ability of an individual, household or community to depend (rely) on their own resources (physical, social and natural capital or assets), judgement and capabilities with minimal external assistance in meeting basic needs, and without resorting to activities that irreversibly deplete the household or community resource base. |
| **Sustainability**: | the ability of a person/community/country to cope with and recover from the stress and shocks of conflict while maintaining (not undermining) the natural, social, economic or institutional resources which form the basis of her/his/its existence.<br><br>Or<br><br>Evidence of local ownership of output and the existence of systems/institutions to carry forward progress or to cement gains. |
| **Transition** (for the UN): | the period in a crisis when external assistance is most critical to support or underpin still fragile cease-fires or peace processes by helping to create the conditions for political stability, security, justice and social equity.<br>*Source: UNDG/ECHA Working Group on Transition* |
| **United Nations Development Assistance Framework (UNDAF)**: | the common strategic framework for UN operational activities at the country level that provides a collective, coherent and integrated response to national priorities and needs. |
| **Voluntary repatriation**: | the free and voluntary return of refugees to their country of origin in safety and dignity. |

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## Useful websites:

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