

Book 2

MAKING SELF-RELIANCE WORK

This book looks at what will make self-reliance work - recognising that UNHCR's role is to catalyse the development of such initiatives (not to implement them directly). It explains what should be done, how to do the job, when and where to do the work, and addresses: the importance of building alliances; providing advice on guiding the design of self-reliance activities; tailoring interventions according to local policy environments; planning their implementation; identifying where resources will come from; supervising implementation; and evaluating impact and sustainability. Whilst important for everybody, this book is particularly useful for UNHCR middle managers and field staff.

A. Understanding self-reliance

UNHCR's community development approach gets communities involved in decision-making and planning (even in an emergency phase), and regards refugees as active partners in assistance and protection activities, rather than passive recipients. This builds upon, and further enhances, self-reliance¹.

Make sure you understand how self-reliance is an integral and underpinning part of any durable solution (its design, development and implementation), and how self-reliance is applicable in almost all phases of an operation. It is unlikely to be achieved fully in a refugee operation but is something to work towards progressively. The attainment of maximum self-reliance is central to reintegration, resettlement or local integration programmes.

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

¹ The policy document on the community development approach "Reinforcing a Community Development Approach" was endorsed by the Executive Committee of the High Commissioner's Programme in February 2001. EC/51/SC/CRP.

A

Consider refugees and returnees as part of a larger population, and recognise their (potential) contribution to the wider area.

B. The middle manager's tasks

Middle managers will guide work on self-reliance in five steps: Step one - **integrate** self-reliance strategies; Step two - **design** self-reliance activities and projects; Step three - **implement** self-reliance projects; Step four - **phase-out** involvement in self-reliance activities; and Step five - **learn** from the implementation of self-reliance projects. The middle managers' tasks are shown under each step in the ensuing pages.

B

Use the **Checklist: Maximising self-reliance among refugees and returnees** in the front pouch of this folder (with the Handy guide) to plot progress in addressing self-reliance in the operation. The checklist is also provided in the Toolkit and can be photocopied for further copies as needed.

C. The field staff's jobs

The field staff's jobs are to: identify and encourage existing activities; contribute to the design and establishment of innovative, locally appropriate and effective self-reliance initiatives; support and monitor the work of partners and communities; and ensure that middle managers are appraised of progress, problems and achievements. Field staff are key to ensuring projects and activities are done properly. Field staff's jobs are shown in the boxes of the ensuing pages.

A

Refer to **Book 1; Annex 1.2: Understanding the context (where self-reliance fits); and Annex 1.3: Self-reliance in different phases of an operation,** for further information on the subject.

B

Tool 14: Maximising self-reliance among refugees and returnees.

D. The tasks

This book outlines the strategy for building self-reliance. The key tasks are:

- Step one - **integrate** self-reliance strategies
 - Task 1: Launch your self-reliance strategy
 - Task 2: Facilitate the promotion of self-reliance in the country operation
 - Task 3: Strengthen the basis for self-reliance

- Step two - **design** self-reliance projects
 - Task 4: Understand the context, the actors, and the development priorities
 - Task 5: Identify competent partners
 - Task 6: Ensure host governments are appraised, supportive and participate fully
 - Task 7: Plan and help coordinate joint assessments
 - Task 8: Ensure effective analysis of assessment results
 - Task 9: Contribute to the development of plans and projects
 - Task 10: Prepare proposals and a funding strategy
 - Task 11: Incorporate self-reliance into development planning, operational plans, etc.

- Step three - **implement** self-reliance projects
 - Task 12: Ensure common understanding of objectives and strategies
 - Task 13: Make linkages for short-term employment
 - Task 14: Seek/promote medium and long term employment opportunities
 - Task 15: Business development opportunities, local area development and training
 - Task 16: Support the development of other self-reliance activities
 - Task 17: Ensure interventions are implemented and coordinated effectively
 - Task 18: Ensure joint monitoring systems are established and used

- Step four - **phase-out** involvement in self-reliance activities
 - Task 19: Determine when to phase-out of self-reliance activities
 - Task 20: Develop and implement a phase-out strategy
- Step five - **learn** from the implementation of self-reliance activities
 - Task 21: Support and review the evaluation processes
 - Task 22: Ensure evaluation findings feed into continued implementation
 - Task 23: Ensure timely and effective reporting
 - Task 24: Ensure generation of lesson learning materials
 - Task 25: Further promote self-reliance among partners

E. The tasks and jobs

Step one - integrate self-reliance strategies
Task 1: Launch your self-reliance strategy

Intended outcomes

The UNHCR team familiar with self-reliance issues and content of the Handbook for self-reliance; and the Handbook adopted and used as a basis for relevant country operations.

Who should facilitate the launch

UNHCR programme middle managers (under the direction of senior managers) with input from other members of the team.

Who should participate

Ensure representation from all sections - both international and national staff.

Middle manager's tasks

What needs to be done

- Review this publication - get to know your way around Book 2, the Contents page of the Toolkit and the Contents page to Appendix 1.
- Identify who should participate in the launch workshop for developing a self-reliance strategy, i.e. who should know what it is and how to use it.
- Ensure your protection staff are appraised; and that they advise on any legal obstacles to implementing self-reliance projects, and identify any protection-related consequences for the refugees who participate in self-reliance activities.
- Plan the introductory workshop.
- Identify a venue and the resources needed.
- Develop strategies for staff training and orientation on self-reliance and its application; consider which budget lines to use.
- Dialogue with the Reintegration and Local Settlement Section (RLSS) in the Division of Operational Support (DOS) at UNHCR HQ² for further advice as necessary for:
 - strategies for staff training and orientation on self-reliance and its application
 - guidance on which budget-lines to use
 - advice on staff implications
 - details about other avenues in UNHCR for further support (especially to get started)

How to do it

- Develop a training plan.

Field staff's jobs

Contribute to the development of ideas on how to launch and ensure the continued use of the Handbook; and further promote the adoption of self-reliance initiatives. Ensure you own the process and have a say in planning and designing activities.

A > Have a look at **Annex 1.2: Understanding the context (where self-reliance fits)**,
 • and **Annex 1.3: Self-reliance in different phases of an operation.**

B > Based upon the suggestion in **Tool 1: Launch your self-reliance strategy.**

² The RLSS mailbox is HQTS02.

Step one - integrate self-reliance strategies

Task 2: Facilitate the promotion of self-reliance in the country operation

Intended outcomes

Key humanitarian and development actors view refugee/returnees and hosting populations as agents of development and their own durable solutions.

Who should facilitate this

UNHCR programme middle managers (under the guidance and direction of senior managers).

Who should participate

UN agencies, NGOs and other development actors, government and local authorities (including, as possible, planning as well as refugee directorate/department personnel) with input from the programme and technical teams, and refugee/returnee and local communities.

Middle manager's tasks

What needs to be done

- Analyse benefits to be gained, problems that may be solved, and opportunities that can be addressed by working towards self-reliance.
- Match self-reliance activities to the phase of the operation.
- Mobilise interest from and build alliances with a variety of humanitarian agencies, development actors and government for self-reliance and local economic development in the target areas.
- Identify existing and potential synergies and opportunities for further collaboration.

How to do it

- Facilitate a brainstorming session.

Field staff's jobs

Contribute to strategy development.

A See **Annex 1.2: Understanding the context (where self-reliance fits)** • and **Annex 1.3: Self-reliance in different phases of an operation.**

B See **Tool 2: Establishing self-reliance in the programme.**
• Refer also to **Tool 14: Maximising self-reliance for refugees and returnees.**

Step one - integrate self-reliance strategies
Task 3: Strengthen the basis for self-reliance

Intended outcomes

Existing community structures and social responsibilities strengthened to provide a basis for economic and further social development.

Who should facilitate this

UNHCR middle managers working with NGO managers and UN key partners (e.g. UNDP and WFP).

Who should participate

NGO managers and other partners, with government representatives.

Middle manager's tasks

What needs to be done

- Identify the various community support mechanisms, structures and institutions.
- Strengthen understanding of these support mechanisms, structures and institutions among programme staff and partners.
- Ensure programme staff and partners: work with and through these support mechanisms, structures and institutions; and commit to strengthening capacity, developing leadership, increasing representation and transparency, and building technical competence.
- Work with government to ensure formal recognition of refugee/returnee institutions.

How to do it

- Build understanding of traditional community support mechanisms, structures and institutions through analysis with field staff.
- Encourage joint planning and exchanges between refugees/returnees and local communities, and promote inclusion in local structures and services.

Field staff's jobs

Identify existing community-level traditional support mechanisms, formal and informal leadership structures, self-help groups, management committees, community-run care facilities and social clubs. Determine their present roles and services within the refugee/returnee population and assess their impact. Clarify their respective strengths and weaknesses. Assess their relative value on and potential for strengthening social cohesion, self-esteem and community mobilisation, and their ability to build ownership and commitment to economic development activities.

A > See **Tool 6: Assessing options against available resources** with particular reference to Table 6.1 A. Social self-reliance strengthening.

B > Refer to **Annex 1.12: Strengthening social self-reliance**.

C > See **Tool 14: Maximising self-reliance among refugees and returnees**.

Step two - design self-reliance projects

Task 4: Understand the context, the actors, and the development priorities at national and field levels

Intended outcomes

Humanitarian and development actors perceive the refugee/returnee operation in its wider context - linking with development plans, interacting and building alliances with development actors and promoting an area development approach.

Who should facilitate this

UNHCR middle managers with government and operational partners' managers.

Who should participate

UNHCR field staff, government and operational partner staff, with refugees/returnees (as possible).

Middle manager's tasks

What needs to be done

- Clarify to the widest audience how the humanitarian programme fits into the bigger picture.
- Ensure that humanitarian actors recognise their part (or potential part) in the wider development scenario.
- Develop links with agencies preparing area development plans, and with actors addressing poverty alleviation.
- Identify other opportunities to avoid a refugee focus; and promote an area development approach.
- Develop alliances and a broad framework for collaboration among development and humanitarian actors in the area, including government.

How to do it

- Network, lobby and seize opportunities for influencing opinion and action.

Field staff's jobs

Promote greater understanding of the context, the actors and the development priorities in the area by ensuring humanitarian agency field staff see the refugee/returnee operation in its widest context - how it links with development planning, the need for links with development actors, and the need to ensure an area development approach.

A See **Tool 7: Selecting the right partners** for background information.

B See **Tool 14: Maximising self-reliance among refugees and returnees**, • and the Handbook for Repatriation and Reintegration Activities - Part B, Module 5, Section 3, part 3.2.2.1 and Box 5.5.
• See also Handbook for Planning and Implementing Development Assistance for Refugees (DAR) Programmes.

Step two - design self-reliance projects
Task 5: Identify competent partners

Intended outcomes

Initial capacity established to plan the development of self-reliance activities.

Who should do it

UNHCR programme managers (under the guidance and direction of senior managers) and UNCT; with input from the programme and technical teams, government, local authorities and communities. Based on their experience with development NGOs in the country, agencies such as UNDP, UNICEF, FAO, WFP or ILO can provide advice.

Middle manager's tasks

What needs to be done

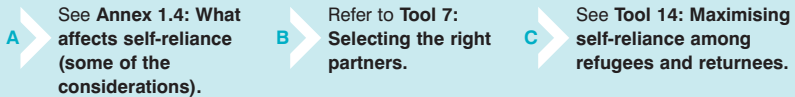
- Determine what skills are needed. Make sure you tackle self-reliance with the right skills on board - there are risks and constraints to be considered.
- Find partners with staff experienced in the field of self-reliance, livelihoods and development. Who is good/not so good? Don't just follow the traditional arrangements.

How to do it

- Review the options and select suitable partners.

Field staff's jobs

Assist in the identification of competent partners.



Step two - design self-reliance projects

Task 6: Ensure host governments are appraised, supportive and participate fully

Intended outcomes

Host (and receiving) governments: endorse self-reliance in principle; create a policy and regulatory environment to support it; and participate in and build public opinion to support self-reliance among refugees, returnees and the population at large in target areas.

Who should drive this process

UNHCR senior managers (Heads of Office/Representatives and Deputy Representatives/Senior Programme Officers) with senior government officials; with support from middle managers.

Who else should be involved

Senior managers will take the lead at Ministerial and senior civil servant levels, and will work with local politicians. Middle managers and field staff will work with other politicians, civil servants and local administrations. Team up with other UN agencies, donors and NGOs as appropriate.

Middle manager's tasks

What needs to be done

- Understand the prevailing policy and regulatory environment; and gauge public opinion and its importance.
- Liaise with protection staff to ensure complementarity of messages/approaches to host country authorities (regarding protection and durable solutions, etc.).
- Develop the case to make to government. Develop this into a strategy to inform and influence.
- Identify avenues for government involvement and leadership.
- Prepare briefings for opening and developing dialogue with government representatives.
- Identify mechanisms to catalyse and support effective linkages between the host government's refugee directorate/department and other government departments and ministries to strengthen planning, implementation and delivery of self-reliance related initiatives.
- Provide arguments for use by different people in different ways to different audiences once political commitment has been made.
- Consider how far self-reliance initiatives can be taken without agreement at the national level.

How to do it

- Develop and use a checklist of tasks based upon the above points.

Field staff's jobs

Support the process of appraising host government of the benefits of self-reliance among refugees, returnees and the wider population in target areas; and build a case for their support and participation in projects. (There is particular role for field staff in creating understanding, building commitment and developing an enabling environment with local authorities and host population leaders and other representatives).

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|--|--|---|
| <p>A > See the sections on 'Political considerations' and 'Legal and institutional considerations' in Annex 1.4: What affects self-reliance (some of the considerations).</p> | <p>B > Build from the brainstorming exercise in Tool 2: Establishing self-reliance in the programme (part 1.5).</p> | <p>C > See Tool 14: Maximising self-reliance among refugees and returnees.</p> |
|--|--|---|

Step two - design self-reliance projects

Task 7: Plan and help coordinate joint assessments

Intended outcomes

Data available to guide the development of a self-reliance strategy and related activities; and refugee/returnee and hosting populations committed to the notion of self-reliance.

Who should coordinate this process

UNHCR senior managers (Heads of Office/Deputy Representatives/Senior Programme Officers) with senior government officials; with support from middle managers.

Who should support planning and implementation

UNHCR and partner managers supervising the work of whomever is undertaking the assessment, with support from government, the UNCT and UNHCR field staff, refugees/returnees and local communities.

Middle manager's tasks

What needs to be done

- Collect information to guide the development of a joint strategy.
- Ensure information on the legal status and related rights of the refugees is available and analysed in order to assess the possible consequences of self-reliance projects on refugees' protection in the host country, and search for durable solutions.
- Guide the selection of assessments that will be made.
- Prepare Terms of Reference for the assessment team.
- Ensure adequate attention to who will participate in the assessments, and why. Use participatory approaches to ensure refugees/returnees, local communities, local authorities, government and NGOs commit to full collaboration in planning and implementation.
- Ensure a gender and age perspective is maintained.
- Identify which other assessments are needed. Check if they have been undertaken by others, and decide if further studies are needed.
- Ensure the selected assessments are undertaken effectively - in an inclusive way with adequate attention to the social, cultural, economic, environmental, legal and political context.
- Consider exploration of preliminary benchmarks communities.

How to do it

- Determine which assessments are needed/most useful, but focus on the in-depth self-reliance assessment.

Field staff's jobs

Contribute to planning and coordinating joint assessments to identify opportunities for building self-reliance. Assist gathering baseline data prior to the arrival of the joint assessment team. Support the assessment team in the collection of data, building understanding of and commitment to self-reliance among the refugee/returnee and hosting/receiving population, and mobilising them for maximum participation in the identification and design phases.

A > Make everyone's job easier - remember the guiding principles for good assessment practice which are listed in **Annex 1.5: Guiding principles for assessments**.

B > See **Tool 3: Preparing TORs for specialist input to self-reliance programmes**.

C > Check **Annex 1.6: Targeting assessments** for a quick reminder.

D > See **Annex 1.8: Who to target**.

E > Refer to **Annex 1.7: Types of assessment**.

F > See **Tool 10: Developing and using benchmarks**

G > This is in the Toolkit - **Tool 4: Making a self-reliance assessment**.

Step two - design self-reliance projects

Task 8: Ensure effective analysis of assessment results

Intended outcomes

Assessment findings lead to valid conclusions and realistic opportunities for building effective self-reliance interventions and operational scenarios.

Who should do it

UNHCR and partner managers together with those who undertook any in-depth self-reliance assessment; with support from government, UNHCR and NGO field staff, refugees/returnees and local communities.

Middle manager's tasks

What needs to be done

- Source all relevant reports and studies (including the in-depth self-reliance assessment and other relevant surveys).
- Re-assess the information that is needed for developing self-reliance activities in this setting.
- Develop formats for analysing information.
- Encourage creative thinking.

How to do it

- Develop and use formats and checklists.

Field staff's jobs

Contribute to the analysis of assessment results, and ensure the hosting/receiving populations, as well as refugees/returnees, are effectively represented in the process of drawing conclusions and identifying realistic opportunities for self-reliance activities. Think creatively about the possibilities.

A > See **Tool 4: Making a self-reliance assessment.**

B > See **Annex 1.9: Some less conventional ideas for production, marketing and service provision.**

C > See **Tool 5: Analysing assessment data.** • Also see **Tool 14: Maximising self-reliance among refugees and returnees.**

Step two - design self-reliance projects

Task 9: Contribute to the development of plans and projects

Intended outcomes

Shared vision with other actors, leading to sound interventions planned; and expertise and resources for implementation identified.

Who should do it

UNHCR and partner managers together with those who undertook any in-depth self-reliance assessment, refugees/returnees and local communities; with support from government, UNHCR and NGO field staff. Cooperate with UNCTs, bilateral donors, embassies.

Middle manager's tasks

What needs to be done

- Using participatory planning approaches, prepare a strategic vision for the operation, taking into account the 'refugee area-approach', regional strategies and regional/national policies.
- Using participatory planning approaches, begin to develop benchmarks.
- Build a log frame
 - identify strategic goals, immediate objectives, desired results and outputs (the deliverables) for the intervention
 - define the target population
 - determine the approaches, activities, timeframe and outcomes/outputs
 - identify actors, roles and responsibilities, and
 - identify indicators.
- Plan the project implementation cycle and the various components.
- Develop an exit strategy. (The winding up of direct involvement requires careful planning).
- Ensure cross-cutting issues are addressed adequately.

How to do it

- Discuss and write up plans following the guidelines in the Toolkit.

Field staff's jobs

Contribute in the following areas:

- Ensuring full and effective participation of refugees/returnees and the local community in planning.
- Clarifying what natural resources are available locally.
- Understanding what human resources, capacities and aspirations are available.
- Analysing what services are (potentially) sought in the area.
- Identifying project activities.
- Understanding of the strategies that will most effectively support self-reliance among refugees, returnees and hosting/receiving populations.

A	See Tool 10: Developing and using benchmarks.	B	See Annex 1.11: Indicators.	C	Refer to Tool 9: Monitoring the activities; • and Annex 1.10: Monitoring and evaluation.	D	Tool 13: Phasing-out involvement in self-reliance initiatives provides guidance on how to address this.
E	See Tool 8: Writing up plans. Refer to Annex 1.8: Who to target for more thoughts to focus attention on the beneficiaries of interventions. <ul style="list-style-type: none"> • See also Tool 14: Maximising self-reliance among refugees and returnees. 	F	See Tool 6: Assessing options against available resources.	G	Refer to the Community Development Manual ³ for further information on working with communities.		

³ See the Community Development Manual (forthcoming) - Annex 1.1: References

Step two - design self-reliance projects

Task 10: Prepare proposals and a funding strategy

Intended outcomes

Funding for self-reliance projects committed by donors.

Who should do it

UNHCR and partner managers, together with government, the UNCT, UNHCR field staff and bilateral donors/development agencies.

Middle manager's tasks

What needs to be done

- Identify existing UNHCR resources.
- Involve local donors and technical cooperation capacity for project development.
- Identify likely donors, and target approaches to specific agencies.
- Approach UNHCR HQ for further inputs and resources.
- Identify the lead implementation agency/agencies.

How to do it

- Follow the checklist.

A

Field staff's jobs

Contribute to the development of proposals, and review drafts.

A

See **Tool 11: Developing a joint funding strategy, and Tool 8: Writing up plans.** • See also **Tool 14: Maximising self-reliance among refugees and returnees.**

Step two - design self-reliance projects

Task 11: Incorporate self-reliance in development planning, operational plans, etc.

Intended outcomes

Self-reliance plans for refugees and returnees integrated in UNHCR Country Operation Plans, and other relevant local and national planning tools (including CCA-UNDAF and PRSP).

Who should do it

UNHCR middle manager with government counterparts (catalysing plans for integrating refugee/returnee issues in government, UN, donor and NGO planning at all levels).

Middle manager's tasks

What needs to be done

- Prepare briefings and documentation for senior managers to establish dialogue with relevant actors (including senior government officers, senior managers of UN agencies).
- Involve development actors and local authorities from early stages of the planning process.
- Work with UN agencies, government, local authorities and NGOs to reflect IDP/refugee/returnee and hosting/receiving community needs and opportunities in wider programme planning processes - encouraging the adoption of self-reliance plans into the work of the United Nations Country Team (i.e. into the CCA/UNDAF), the government's PRSP and national and regional development plans, the operational plans of UN agencies and NGOs, and into the priorities and budgets of donors.
- Collaborate on planning among UN agencies, government, local authorities and NGOs.



How to do it

- Network and lobby for collaboration and reciprocal input into planning. Build on specific technical knowledge and experience of development actors.



Field staff's jobs

Contribute, as possible, to the preparation of local planning processes, encouraging local authorities, NGOs and UN teams at field-level to reflect self-reliance in their plans. Share planning material and project documents to ensure agencies have similar goals and complementary strategies.

A > See **Tool 8: Writing up plans,**
• and **Tool 7: Selecting the**
right partners.

B > See **Tool 14: Maximising self-reliance among**
refugees and returnees. • See also the
Handbook for Repatriation and Reintegration
Activities - Part A, Module 2, Section 2; and the
Handbook for planning and implementing
Development Assistance for Refugees (DAR)
Programmes - Part I, Module 2, Section 1.

Step three - implement self-reliance projects

Task 12: Ensure common understanding of objectives and strategies

Intended outcomes

All actors (the staff of UNHCR and other UN agencies, NGOs, government and local authorities) communicate and promote complementary messages and initiatives among refugees/returnees and local people.

Who should do it

UNHCR managers, with government counterparts and UN, donor and NGO managers.

Middle manager's tasks

What needs to be done

- Ensure all actors have the same understanding.
- Agree on a common approach to self-reliance among all actors - UNHCR, NGOs, government, local authorities and other UN and multi-lateral agencies.
- Ensure mechanisms for communicating a common approach are established among actors - including refugees/returnees and local people.
- Ensure all donors are familiar with the common approach, and that their planning and funding support is focussed to strengthen the approach.
- Ensure that related initiatives (including food relief and local infrastructure development) are designed to compliment and enhance the common approach to self-reliance.
- Ensure planning, funding and field collaboration of self-reliance and related projects are effectively coordinated.
- Campaign among refugees/returnees and local people to ensure their understanding of a common approach.

How to do it

- Network and lobby for collaboration to develop a campaign and communication system to promote the same message, create awareness, and develop and disseminate information materials, e.g. posters, radio material, leaflets and flyers. This will target all personnel involved in an operation, and refugee/returnee and local communities.

Field staff's jobs

Contribute, as possible, to awareness-raising among partners, government and refugee/returnee and local communities; and contribute as appropriate to the planning processes.

- A** > See **Appendix Two, Annex 2.3**, for an example of material used to campaign for a common approach to refugee self-reliance in Northern Uganda; • and **Tool 14: Maximising self-reliance among refugees and returnees**.

Step three - implement self-reliance projects

Task 13: Make linkages for short-term employment

Intended outcomes

Refugees/returnees generating income through short-term employment.

Who should do it

Partners working with the UNHCR field staff, government teams, local authority staff and the private sector; with support from middle managers.

Middle manager's tasks

What needs to be done

- Assess the availability of labour among refugees/returnees and the needy in the local community.
- Assess the value of creating provisional employment opportunities, and the wider implications of injecting cash or food into the community, or bringing additional labour into the labour market.
- Identify specific opportunities for short-term temporary employment, self-help community projects and relevant rehabilitation and reconstruction efforts that might create a demand for labour.
- Determine appropriate methods of payment/benefit for work done (e.g. food for work, cash for work, community contracting).
- Ensure contracting organisations (including local authorities) are willing to work within these schemes, can take on labour, and maintain standards of outputs and management.
- Ensure accountability and transparency in implementation of the schemes.
- Ensure equal access to employment (opportunities) or other labour schemes for all refugees/returnees.
- Ensure that children are protected from work that threatens their health, education or development.
- Ensure effective payment systems.

How to do it

- Develop and use a checklist based upon *What needs to be done*.

Field staff's jobs

Support middle managers and partners to identify opportunities, assess impacts and ensure effective implementation.

A > See **Tool 12: Tools for short-term employment options - food-for-work**.

B > Refer to **Tool 6: Assessing options against available resources** Table 6.1 B. Economic self-reliance approaches *Labour-based activities*; • **Annex 1.13: Employment and business-related interventions**, 1.13.4: Cash-for-work, 1.13.5: Food-for-work, 1.13.6: Labour-based infrastructure projects and 1.13.7: Community contracting. • Refer also to **Annex 1.14: Voucher systems for payment of labour**, and **Annex 1.17: Quick impact projects**. • See also **Tool 14: Maximising self-reliance among refugees and returnees**, and **Tool 10: Developing and using benchmarks**. • The Introduction to Microfinance in Conflict-Affected Communities⁴ also provides useful information on pages 122-132 of Module 8.

⁴ See Annex 1.1: References.

Step three - implement self-reliance projects

Task 14: Seek/promote medium and long term employment opportunities

Intended outcomes

Refugees/returnees and the needy in the local community generating income through sustained employment.

Who should do it

Partners working with the UNHCR field staff, government teams, local authority staff and the private sector; with guidance from middle managers.

Middle manager's tasks

What needs to be done

- Ensure the legal aspects of refugee/returnee access to employment have been addressed, i.e. identification documents, freedom of movement, legal and fair taxation, etc.
- Assess the availability of labour among refugees/returnees and the needy in the local community.
- Assess the value of creating provisional employment opportunities, and the wider implications of injecting cash or food into the community, or bringing additional labour into the labour market.
- Identify specific opportunities for long-term employment that might result in a demand for labour.
- Ensure appropriate methods of payment/benefit for work done (i.e. that refugees/returnees and the needy of host communities are not subject to exploitation).
- Ensure accountability and transparency in implementation of any employment schemes.
- Ensure equal access to employment (opportunities) or other labour schemes for all refugees/returnees and needy local people.
- Ensure that children are protected from work that threatens their health, education or development.

How to do it

- Develop and use a checklist based upon *What needs to be done*.

Field staff's jobs

Support middle managers and partners to identify opportunities, assess impacts and ensure effective implementation.

A Refer to **Tool 6: Assessing options against available resources** Table 6.1 B. Economic self-reliance approaches *Labour-based activities*; • **Annex 1.13: Employment and business-related interventions**. • See also **Tool 14: Maximising self-reliance among refugees and returnees**, • and **Tool 10: Developing and using benchmarks**.

Step three - implement self-reliance projects

Task 15: Business development opportunities, local area development and training

Intended outcomes

Refugees/returnees and the needy in the local community generating income through business activities and local area development.

Who should do it

Partners working with the UNHCR field staff, government teams, local authority staff and the private sector; with guidance from middle managers.

Middle manager's tasks

What needs to be done

- Ensure the legal aspects of refugee/returnee business development have been addressed, i.e. access to resources, productive assets, services, rights, freedom of movement, training, legal and fair taxation, etc.
- Assess the demand for services and the money to pay for them among refugees/returnees and local populations.
- Ensure effective technical and business support is available.
- Ensure access to financial services including savings schemes and credit.
- Ensure access to inputs and resources is sustainable.
- Ensure local authorities are willing and able to work with sustainable small enterprise development schemes and are supportive - issuing licenses, linking with local business networks and trade associations, etc. as appropriate.
- Ensure equal access to opportunities for all refugees/returnees and local people.

How to do it

- Develop and use a checklist based upon *What needs to be done*.

Field staff's jobs

Support middle managers and partners to identify opportunities, assess impacts and ensure effective implementation.

A ▶ With reference to **Tool 6: Assessing options against available resources** Table 6.1 B. Economic self-reliance approaches *Labour-based activities*, • and **Annex 1.13: Employment and business-related interventions**, 1.13.8 Micro and small enterprise promotion, 1.13.9: Microfinance, 1.13.10: Business development services, 1.13.11: Start and improve your own business, and 1.13.12: Women entrepreneurship development. • Refer also to **Annex 1.15: Remittances and in-kind loans**, **Annex: 1.16: Relief substitution**, and Module 8 Livelihood programmes (page 107 onwards) of the Introduction to Microfinance in Conflict-Affected Communities⁵. • See **Tool 14: Maximising self-reliance among refugees and returnees**, and **Tool 10: Developing and using benchmarks**. • See Handbook for Planning and Implementing Development Assistance for Refugees (DAR) Programmes⁶ - Part II, Module 4, Section 2.3.

⁵ See Annex 1.1: References. ⁶ See Annex 1.1: References.

Step three - implement self-reliance projects

Task 16: Support the development of other self-reliance activities

Intended outcomes

Social and economic rights of refugees/returnees and host/receiving populations promoted in a comprehensive, participatory and integrated manner.

Who should do it

The partners working with the UNHCR field staff, government teams and local authority staff and communities; under the support/coordination of middle managers.

Middle manager's tasks

What needs to be done

- Establish effective project management.
- Mobilise the community.
- Ensure implementation plans are prepared, and that tasks are scheduled within a timeframe, and allocated.
- Ensure refugees/returnees and the needy in the local community have equal access to opportunities.
- Ensure refugee/returnee and local community structures are linked; and structured dialogue exists.
- Ensure the objectives of interventions (the activities and the targeting of beneficiaries) remain in focus.
- Build a template for an effective monitoring system that involves the refugee/returnee and hosting/receiving populations.

How to do it

- Develop and use a checklist based upon *What needs to be done*.

Field staff's jobs

Support activities that:

- Ensure refugees/returnees and the needy in the local community have equal access to opportunities.
- Ensure project-beneficiaries understand that the self-reliance projects they helped to design are now being established, and that they (the community) will participate fully.
- Support community mobilisation.
- Assist the partner to establish its programme and orient its staff, linking them with all stakeholders and ensuring they participate in all relevant forums (including local authority and regional development committees).
- Participate in project coordination meetings, and ensure that all stakeholders are involved.
- Oversee the establishment or strengthening of community institutions, and ensure transparency and accountability.
- Ensure effective dialogue and collaboration is established between refugees/returnees and hosting/receiving populations.
- Ensure relevant skills are provided through training at community level.
- Ensure an effective network of community-based workers is established; and that this is linked with a technology transfer/extension system.
- Support project monitoring activities and ensure data is analysed and used to enhance project implementation and value for money.

A See **Tool 6: Assessing options against available resources**, **Tool 7: Selecting the right partners**, and **Annex 1.16: Relief substitution**. • See also **Tool 14: Maximising self-reliance among refugees and returnees**, • and **Tool 10: Developing and using benchmarks**.

B Refer to the Community Development Manual⁷ for further information on working with communities.

⁷ See Annex 1.1: References.

Step three - implement self-reliance projects

Task 17: Ensure interventions are implemented and coordinated effectively

Intended outcomes

Interventions by different actors coordinated, with capacity-building for sustainability addressed.

Who should do it

UNHCR and partner's managers working with project field staff, communities, government teams and local authority staff.

Middle manager's tasks

What needs to be done

- Ensure effective team-building, continued collaboration and cross-fertilisation between different agencies.
- Ensure project partners maintain a clear focus on project objectives and goals, and that any changes are agreed and coordinated.
- Strengthen the capacity of government (and other agents with a long-term presence) to ensure sustainability.
- Ensure adequate technical expertise is available on the ground. Find the gaps in implementation, and source expertise elsewhere as necessary.

How to do it

- Ensure accountability of partners, and their attention to what needs to be done in their plans and periodic reports.
- Ensure regular joint meetings with all actors to review coordination and progress (based upon the agreed strategy), and address issues outstanding.



Field staff's jobs

Support partners to:

- Monitor the effectiveness of collaboration between partners, and ensure this is reflected in effective project delivery.
- Monitor implementation to reflect project plans, and ensure that changes in strategy are planned, agreed and documented.
- Ensure that effective working relationships with government is built and maintained.
- Monitor the technical competence of the implementation team, and ensure that external resource persons provide sound input and value for money.

A > See **Tool 3: Preparing TORs for specialist input to self-reliance programmes.**

B > See **Tool 14: Maximising self-reliance among refugees and returnees, Tool 10: Developing and using benchmarks,** • and **Tool 9: Monitoring the activities.**

Step three - implement self-reliance projects

Task 18: Ensure joint monitoring systems are established and used

Intended outcomes

Project implementation guided effectively and resources used efficiently, through assessments of project performance and progress towards objectives.

Who should do it

The partners, together with the UNHCR field staff, refugee/returnee and local community representatives, government teams, local authority staff and partners; under the support/coordination of middle managers.

Middle manager's tasks

What needs to be done

- Ensure that the differences between monitoring and evaluation are understood.
- Involve stakeholders in selecting a limited number of indicators and agree on the mechanisms for monitoring them.
- Develop a data base for recording information received, and prepare a mechanism for analysis.
- Keep in mind the possibility that things can go wrong, and ensure monitoring systems address this.
- Establish monitoring systems and clarify roles and responsibilities.
- Develop benchmarks, determine how and when they should be used, and by whom.

How to do it

- Develop and use a checklist based upon *What needs to be done*.

Field staff's jobs

Understand the principles and processes involved in monitoring and evaluation, and:

- Work with stakeholders to clarify the purpose and approaches to monitoring.
- Contribute to the identification of verifiable indicators, and ensure community involvement and understanding.
- Back-stop data management, and ensure that quality rather than quantity is the underlying principle for data collection.
- Ensure monitoring systems are routine and genuinely participatory.
- Ensure monitoring systems are utilised by the operational partner and stakeholders to enhance project implementation and efficiency.

A > Refer to **Annex 1.10: Monitoring and evaluation** for clarification.

B > See **Tool 9: Monitoring the activities** • and refer to **Annex 1.11: Indicators**.

C > Refer to part F at the end of this book (Book 2): **Addressing the challenges**.

D > See **Tool 10: Developing and using benchmarks**.

E > See **Tool 14: Maximising self-reliance among refugees and returnees**.

Step four - phase-out involvement in self-reliance activities

Task 19: Determining when to phase-out from self-reliance activities*Intended outcomes*

UNHCR phase-out (from direct involvement in self-reliance initiatives) based upon sound principles and clear criteria.

Who should do it

UNHCR middle managers liaising with field staff, partners, government and donors, with guidance from senior managers.

Middle manager's tasks*What needs to be done*

- Determine what should be achieved by the time that UNHCR withdraws from direct involvement in self-reliance initiatives.
- Identify specific indicators that will verify these achievements.
- Ensure that phase-out will not impact negatively on self-reliance among people of concern.

How to do it

- Develop/adapt a checklist.

Field staff's jobs

Support the development of a checklist.

A

Based upon the sample in **Tool 13: Phasing-out involvement in self-reliance initiatives.**

- See also the Handbook for Repatriation and Reintegration Activities - Part B, Module Three, Section 5 (Phasing in development activities);
- and Part B, Module Six, Section 4 (Handover arrangements).
- See the Introduction to Microfinance in Conflicted-Affected Communities - Module 5, pages 81-84.

Step four - phase-out involvement in self-reliance activities

Task 20: Developing and implementing a phase-out strategy

Intended outcomes

UNHCR phase-out from involvement in self-reliance achieved without disruption of initiatives.

Who should do it

UNHCR senior managers and middle managers liaising with partners, government, UNCT, long-term development actors and donors.

Middle manager's tasks

What needs to be done

- Ensure that the principles and criteria for phasing-out have been/will be met.
- Identify the specific actions that must be taken.
- Ensure refugees/returnees and local communities are informed in good time.
- Develop a phase-out plan.
- Implement the phase-out plan.

How to do it

- Prepare and implement a phase-out plan.

Field staff's jobs

Support the development of the checklist and the preparation and implementation of the phase-out plan.

A

See Task 16 and checklist developed from **Tool 13: Phasing-out involvement in self-reliance initiatives.**

B

See **Tool 14: Maximising self-reliance among refugees and returnees**, • and **Tool 10: Developing and using benchmarks.**

Step five - learn from the implementation of self-reliance activities

Task 21: Support and review the evaluation processes

Intended outcomes

(Potential) impact of project assessed, with means for enhancing long-term tangible and sustainable benefits to refugees/returnees and local populations, identified.

Who should facilitate this

UNHCR middle managers, government counterparts and partner managers.

Who else should participate

All involved stakeholders (in an internal evaluation/review); complemented by an external evaluation by an evaluation specialist; (together with the partners, donors, UNHCR staff, refugee/returnee and hosting/receiving community representatives, government teams and local authority staff). Involve UNHCR's Evaluation and Policy Analysis Unit (EPAU) as appropriate. Gain the interest of, and understanding from, new players by getting them involved in the review/evaluation process.

Middle manager's tasks

What needs to be done

- Develop terms of reference, taking into account the evaluation criteria specified in the project documents, and share for review. This should include sharing with protection staff to ensure assessment of how self-reliance initiatives have impacted on protection (and preparation of refugees for durable solutions).
- Identify participants, from among stakeholders, for undertaking an internal review.
- Identify and recruit impartial expertise (with technical competence in appropriate fields) for leading the evaluation/review.
- Implement the respective evaluations/reviews, or finalise an evaluation team with stakeholder representation.
- Facilitate and support the evaluation.
- Ensure lesson-learning is a key feature of the evaluation output.

How to do it

- Develop and use a checklist.

Field staff's jobs

Support/facilitate evaluation as required.

A > See **Tool 3: Preparing TORs for specialist input to self-reliance programmes.**

B > See **Tool 14: Maximising self-reliance among refugees and returnees,** • and **Tool 10: Developing and using benchmarks.** • See also the Handbook for Repatriation and Reintegration Activities - Part B, Module Six, Section 3; • and the Handbook for Planning and Implementing Development Assistance for Refugees (DAR) Programmes - Part II, Module 5, Section 2.

Step five - learn from the implementation of self-reliance activities

Task 22: Ensure evaluation findings inform continued implementation

Intended outcomes

Project impact enhanced.

Who should do it

UNHCR middle managers with government colleagues and managers from key partners.

Who else should participate

The staff of partners working with UNHCR middle managers, in collaboration with field staff, refugee/returnee and hosting/receiving community representatives, government teams, local authority staff and partners.

Middle manager's tasks

What needs to be done

- Don't leave the report on the bookshelf. Make sure the evaluation findings are used.
- Ensure evaluation team debriefs the stakeholders.
- Ensure that the project managers amend project and implementation plans for the project based on evaluation findings and recommendations.
- Ensure planners and managers adopt evaluation recommendations in pertinent ongoing processes (and reflect them in UNHCR Country Operation Plans, relevant local and national planning tools - including CCA-UNDAF and PRSP - and the operational plans of NGOs, donors, etc.

How to do it

- Develop and use a checklist based upon *What needs to be done*.

A

Field staff's jobs

Ensure accessibility of the evaluation reports and:

- Support processes that inform stakeholders of the evaluation findings.
- Assist project managers to amend project and implementation plans in accordance with accepted recommendations.
- Assist local authorities and regional entities to amend plans.

A

See **Tool 14: Maximising self-reliance among refugees and returnees**, • and **Tool 10: Developing and using benchmarks**.

Step five - learn from the implementation of self-reliance activities

Task 23: Ensure timely and effective reporting

Intended outcomes

Donors and other stakeholders remain knowledgeable of, and committed to, project processes and outcomes.

Who is responsible

The partner managers working with UNHCR middle managers and the network of stakeholder representatives.

Middle manager's tasks

What needs to be done

- Ensure succinct and informative periodic reports are prepared on time.
- Ensure reports are circulated to stakeholders and that feedback is encouraged.
- Ensure feedback from reports is reflected in implementation planning as appropriate.

How to do it

- Maintain networks through which to forward reports and solicit responses.

Field staff's jobs

Support:

- The preparation of reports.
- The distribution of reports (or ensure they are accessible to stakeholders).
- Responses to evaluation findings, and their incorporation in project planning and other development planning processes.

A > See **Tool 14: Maximising self-reliance among refugees and returnees**, • and **Tool 10: Developing and using benchmarks**.



Step five - learn from the implementation of self-reliance activities

Task 24: Ensure generation of lesson learning materials

Intended outcomes

Lessons informing the design and implementation of other self-reliance projects.

Who should coordinate this

The partner managers working with UNHCR middle managers and government partners.

Who else might be involved

Stakeholders. Perhaps a specialist with facilitation, analytical and writing skills can be recruited to lead this work.

Middle manager's tasks

What needs to be done

- Identify the benefits of the project.
- Identify the strengths and weakness of the project.
- Identify the opportunities taken (or lost) and the threats impacting on the project (or those to be avoided/overcome).
- Analyse the observations and prepare lesson-learning materials to inform others involved in or designing similar initiatives.
- Find a mechanism to distribute these lessons (including through RLSS).

How to do it

- Brainstorming sessions with outputs included in periodic reports, memos to the Desk and Bureau, articles in the national press and material published on the UNHCR websites.

Field staff's jobs

- Support/facilitate lesson learning studies as required.
- Support the distribution of lessons to stakeholders.

A

See **Tool 14: Maximising self-reliance among refugees and returnees**, • and **Tool 10: Developing and using benchmarks**.

Step five - learn from the implementation of self-reliance activities

Task 25: Further promote self-reliance among partners

Intended outcomes

Self-reliance widely accepted as an integral part of a refugee/returnee operation, and its role in protection, durable solutions and local development understood.

Who should lead this

The partner, working with UNHCR middle managers and government counterparts.

Who else should be involved

Field staff, refugee/returnee and hosting/receiving community representatives, government teams, the UNCT, local authority staff and partners.

Middle manager's tasks

What needs to be done

- Identify and use all opportunities to promote better understanding of self-reliance, and inform of the benefits.
- Ensure necessary environment and implementation processes for self-reliance are in place. See checklist in the Toolkit.

How to do it

- Publicise successes and the benefits.

Field staff's jobs

Promote self-reliance; and greater understanding of the context, the actors and the development priorities in the area by ensuring humanitarian agency field staff see the refugee/returnee operation in its widest context - how it links with development planning, the need for links with development actors, and the need to ensure an area development approach.

A > Refer to **Tool 12: Tools for short-term employment options - food-for-work.**

B > See **Tool 14: Maximising self-reliance among refugees and returnees.**



F. Addressing the challenges

There are a number of challenges:

1. Ensuring UNHCR's capacity to support self-reliance initiatives, and maintaining the commitment of UNHCR staff.

- Tackle traditional thinking, outmoded attitudes and lack of interest in self-reliance with
 - directives from senior management
 - awareness raising
 - opportunity/benefits analysis
 - training and exposure to good initiatives
 - ensuring familiarity with and use of this Handbook.
- Encourage creative thinking among team members, within a clear framework of goals and objectives, strategy and vision.
- Ensure effective planning to address UNHCR's programme procedures (and timeframes), using these procedures to leverage commitment and ensure effective planning, e.g. fitting initiatives into programming cycle.
- Ensure staff set effective priorities that maintain the medium- to long-term perspective - and a commitment to making self-reliance work, and reporting progress, successes and challenges.

2. Addressing poor motivation among local UNHCR and NGO staff (who may perceive their role in promoting self-reliance as reducing their own employment potential within the operation).

- Increase exposure, and encourage learning of new skills for a development role, among staff.
- Provide opportunities for, and support to, staff transferring from humanitarian to development organisations.

3. Ensuring partners, government and UN agency staff communicate, and promote a common understanding of, and approach to, self-reliance.

- Adopt collaborative planning approaches and ensure effective coordination at field level.
- Develop common messages, and publicise/communicate the approaches, to humanitarian and development actors, government and the refugee/returnee and local communities in order that objectives and strategies are understood.

4. Ensuring that frustration does not undermine the ‘initiative’ of communities (if benefits of the self-reliance project are slow to materialise). Failures will also impact on commitment to future projects.

- Ensure planning, implementation and monitoring is based upon genuinely participatory processes in order that communities are committed, responsive to needs, and own the processes.
- Provide a clear framework for discussion, and be clear on the limits of, and constraints to, project implementation.
- Ensure effective monitoring and evaluation to inform project processes and ensure quality of implementation.
- Avoid project development leading to unrealistically high expectations among refugees and host communities.

5. Ensuring refugee/returnee communities collaborate effectively.

- Avoid dependency, collapse of social structures, poor accountability among community leadership and community group leaders, etc.
- Adopt sound community development principles, and build from proven structures in the refugee/returnee and local communities - to address capacity-building and leadership skills, encourage accountability and transparency.
- Develop effective communication mechanisms with all sections of the refugee/returnee and local communities.

6. Ensuring the host government does not threaten to withdraw refugees' legal status or permission to remain in the country of asylum (placing refugees at risk of refoulement).

- Ensure that all parties (refugees, host government, local authorities, UNHCR, implementing partners, etc.) are fully aware of their respective legal rights and obligations, and the consequences of violating any of these.
- Maintain continuous dialogue with the local authorities and host government to ensure that authorities remain onboard and up-to-date with developments, and contribute actively to the process.

7. Maintaining the political will of the host government - ensuring it does not confound project implementation (unwittingly) by failing to provide necessary resources, or allowing the existence of obstructive legal requirements (e.g. the issue of licenses).

- Ensure governments recognise that development benefits (will) accrue to hosting populations as part of a programme's self-reliance activities.
- Ensure government teams are involved in planning processes and that operational plans are reflected in and take into account area and national development plans.

8. Identifying ways to encourage local communities to allow refugees to utilise local resources (or allow returnees to integrate) - preventing conflict or poor project implementation.

- Ensure local populations are involved in project identification and planning, and that they will also realise tangible benefits.
- Ensure strong links between local and refugee/returnee populations, and encourage collaborative initiatives.

9. Ensuring prevailing socio-economic conditions do not preclude self-reliance activities.

- Review relevant assessments to determine gaps in the economy that address refugee/returnee and local populations' needs and opportunities.
- Improve links between self-reliance activities and broader reconstruction interventions and other socio-economic recovery and development processes.

10. Ensuring partners implement projects effectively and have both commitment to and experience in livelihood development and self-reliance projects.

- Ensure experienced development agencies take a lead in implementing self-reliance projects.
- Establish community-based joint planning, monitoring and evaluation systems that ensure partners are accountable for the self-reliance projects that they implement.
- Network with donor agencies to ensure competent partners receive financing for self-reliance projects.

11. Ensuring collaboration with and between partners remains effective.

- Ensure the identification and commitment of experienced agencies.
- Ensure that partners develop, adopt and maintain common approaches.
- Encourage effective cooperation among partners through the establishment of steering committees or other forums that provide opportunities to exchange ideas, discuss strategy and share information on progress and constraints.

12. Preventing insecurity (including violence and landmines) from disrupting implementation.

- If related to lack of information/misinformation, set up an information system that allows dialogue between the different community groups.
- Consider de-mining programmes and awareness campaigns.
- Work with local authorities and military/police to promote better security.
- Organise communities for self-protection.
- Consider safe storage of agriculture produce.
- Consider safe mechanisms for savings (and keep in mind the security of microfinance staff).

13. Ensuring projects are conceived well and planned properly.

- Use specialists to undertake assessments and technical analysis for identifying appropriate self-reliance opportunities.
- Ensure community participation, and the involvement of all stakeholders, in project identification and design.
- Develop project plans from log frames - building from analysis and strategic thinking rather than using planning tools mechanically.
- Develop interventions based on available natural and human resources. Do not develop a 'good idea' and try to make the prevailing conditions fit. Instead, understand the prevailing situation and find the ideas that fit to these.
- Develop an adequate inventory of opportunities.
- Ensure sustainability mechanisms and exit strategies are addressed during project design or establishment.

14. Ensuring project management is effective.

- Devise and adopt adequate mechanisms to maintain momentum.
- Ensure adequate links with routine project/programme control mechanisms.
- Establish/recruit adequate expertise and skills among managers, and ensure they are familiar with the project area and the issues being addressed.
- Establish adequate mechanisms for learning through analysis of practice.
- Ensure willingness and ability to absorb and use lessons.

15. Demonstrating the success of self-reliance activities and benefits gained by refugees/returnees, local people, agencies, government, etc.

- Understand possible benefits for the different actors.
- Identify suitable indicators at the outset of the initiative, and establish a suitable baseline.
- Use carefully-developed participatory monitoring and evaluation methods to measure: the success of self-reliance projects; refugee/returnee contribution to development; and the contribution of refugees to national, regional and local development processes.