

WHY SELF-RELIANCE?

Contents

This Toolkit has 14 tools for specific tasks indicated in Book 2: Making self-reliance work. This Toolkit is not background reading. It explains how things may best be done. If you wish to browse this material without working from the references in Book 2, the table below will help you to identify what you want.

Tool: **Purpose:**

Tool 1: Launch your self-reliance strategy

*This tool is to **guide the preparation and facilitation** of a workshop for UNHCR staff to ensure they are familiar with self-reliance issues and the content of the Handbook for self-reliance, and to plan the way forward for promoting the progressive development of self-reliance.*

Tool 2: Establishing self-reliance in the programme

*This tool is to contribute to a **change in mentality** among key humanitarian and development actors. It is to remove two attitudes: that self-reliance is not appropriate in the programme; and that refugees are best seen as idle recipients of humanitarian aid. These are to be replaced with the convictions: that self-reliance is a process and is feasible no matter what your ultimate durable solutions will be; and that there are convincing arguments for promoting self-reliance in your programme.*

Tool 3: Preparing TORs for specialist input to self-reliance programmes

*This tool is to help you **construct** Terms of Reference for technical support for self-reliance. It provides the basis for deciding what you want from technical support and guidelines for drafting a comprehensive brief.*

Tool 4: Making a self-reliance assessment

This tool is to **check the level** of self-reliance in a refugee situation. It is to provide an in-depth assessment of current levels of food security and self-reliance, any risks to self-reliance, and the potential for self-reliance. It also covers: making links with future partners, deciding where to focus attention and building participation.

Tool 5: Analysing assessment data

This tool is to **extract key information from field data** which has received preliminary analysis. It is to inform conclusions and identify realistic opportunities for building effective self-reliance interventions.

Tool 6: Assessing options against available resources

This tool is to **make a link** between what is available (to a population), and ways for strengthening social self-reliance, generating opportunities for increasing self-reliance in food production, and building economic self-reliance.

Tool 7: Selecting the right partners

This tool **guides the selection of suitable partners** for implementing self-reliance activities, and explains why partners are needed.

Tool 8: Writing up plans

This tool is to **guide the writing** of self-reliance plans - ensuring they are well thought-through and structured properly.

Tool 9: Monitoring the activities

This tool is to **check that the project is running smoothly and efficiently**, and help you make any necessary adjustments - ensuring inputs are provided, activities are on track, objectives will be met and expenditure will be within the specified/agreed budget.

Tool 10: Developing and using benchmarks

This is to **guide the preparation of a simple progress chart** that indicates the key achievements towards increasing self-reliance.

Tool 11: Developing a joint funding strategy

This tool is to **guide the preparation of a joint funding strategy** for self-reliance projects.

Tool 12: Tools for short-term employment options - food-for-work

This tool is to **check the application of food-for-work projects** in a programme. It will guide decisions on: whether it is a suitable strategy; if it is best used as an incentive or to create temporary employment; and how to establish and implement such projects. This tool will be used by field staff and programme managers.

Tool 13: Phasing-out involvement in self-reliance initiatives

This tool is to **provide a check on whether UNHCR can phase-out** of a direct role in the development and implementation of self-reliance initiatives - providing a means for determining if self-reliance activities are on a stable footing with adequate institutional, financial and technical resources, whether there is sufficient political will to support activities and if refugees/returnees and local populations have developed sufficient momentum to achieve increasing self-reliance. It also identifies actions that will facilitate phasing-out.

Tool 14: Maximising self-reliance among refugees and returnees

This tool is to **check that the details** for implementing self-reliance initiatives have been addressed. Does the right environment exist, and has strategic and project planning been done satisfactorily?

Tool 1

LAUNCH YOUR SELF-RELIANCE STRATEGY

*This tool is to **guide the preparation and facilitation** of a workshop for UNHCR staff to ensure they are familiar with self-reliance issues and the content of the Handbook for Self-reliance, and to plan the way forward for promoting the progressive development of self-reliance.*

A. What is the tool

A facilitators' guide.

B. Who is involved

UNHCR middle managers.

C. How long will it last

One day to run the workshop. About half a day to prepare.

D. What to do

Plan and implement the workshop using the following guidance notes.

E. Overview

It is now widely accepted that adults learn best by participating in the learning process; in other words, learning is most effective through experience. Furthermore, learning is best when the experience takes place in the real work environment, or in a situation as close as possible to a working situation.

The purpose of this Facilitator's Guide is to help you to tailor and/or deliver a learning activity while keeping in mind these principles. The Guide is divided into three parts:

1. Overview. In the Overview you will find a description of the Guide, who would benefit from it, and how it is organized.

2. Facilitation basics. This second part provides a brief overview of adult learning principles supported by UNHCR and the role of a facilitator.

3. Facilitator's guide. The facilitator's guide contains notes and materials to assist you in preparing for and delivering this particular learning activity.

The guidance below is based on the assumption that this learning activity has been created based on good practices for development and delivery of learning. In particular, the content was identified based on the assessment of the needs and that a group learning activity is the best delivery mechanism for the content.

In addition, the design of the learning activities and approach were selected based on a careful consideration of the objectives, context and characteristics of the learners. Most importantly, they include activities that involve participants actively in their own learning.

Who will benefit from this guide?

This Guide is part of the Handbook for self-reliance and is intended to help facilitators to launch the Handbook and begin to strengthen understanding of, and commitment to, self-reliance among staff working in a programme.

F. Facilitation basics

What is the role of a facilitator?

To be an effective facilitator, there are a few basics that are worth mentioning. While the purpose of this section is to highlight what we believe is important for facilitators at UNHCR, please keep in mind that developing effective facilitation skills involves much more than reading this section. It involves becoming familiar with how adults learn, how to design learning activities, and how to evaluate what has been learned. Some ideas on how you can learn more about facilitation are at the end of this section.

As a facilitator you are probably already aware that research has shown adults tend to learn best when:

- they have been involved in the development or refinement of their own learning objectives
- the content is focused on real problems or issues that they are faced with
- they participate in the learning activities.

As a facilitator, your role is to guide participants to learn while taking into account important factors (including the principles above) along with the environment, learning preferences, cultural and gender diversity, and desired outcomes. In addition, learning activities should incorporate work-related exercises and examples as much as possible to help participants incorporate their learning into their actual work. Building on this research, good facilitation involves:

- being aware of good adult education principles and approaches
- building on the experience of the learners (i.e. be learner-centred)
- being gender and culturally sensitive
- using a variety of participatory activities (e.g. case studies, discussion, debates and so on)
- breaking the learning into small portions and avoid “presentations/lectures” that are longer than 15 minutes
- using group work as much as possible
- ensuring that the content is relevant to the needs of the learners and their questions
- ensuring flexibility and adapting to the learner needs
- identifying participants who are struggling with the material
- motivating learners to learn.

In addition, to ensure effective delivery of learning, facilitators should be skilled at giving/receiving feedback, active listening, addressing challenges to the learning process, assessing whether learning is occurring, and using audio-visuals.

Below are a few reminders that might help you with the facilitation of this learning activity.

Helpful questioning

Involving learners in their own learning means that they are expected to share information, question what they are learning, and improve their skills related to the areas covered.

As a facilitator you have probably found that asking questions can be a very effective way of helping learners to participate and develop their thinking, reflect on new information, and achieve the learning objectives.

Figure 1.1 provides a few examples of helpful questions¹ that you could use to help with problem-analysis, group-process, and facilitate reflection. If you are an experienced facilitator, we hope that these examples present new ways of framing the question and give you some fresh ideas.

Figure 1.1: Helpful questions for use with problem analysis

Examples of problem-analysis questions:

- What is the group trying to accomplish?
- What is preventing you from accomplishing your goal?
- What can you do about those barriers?
- What have you tried thus far?
- What are the consequences of your actions?
- Are there any alternatives?
- Who knows what you/we are trying to accomplish?
- Who can help us?
- Who cares about what we are trying to accomplish?

Examples of group-process questions:

- How helpful was that comment/question?
- Could we turn that statement into a question?
- Why did members ignore that point?
- What does that really mean?
- Does that fit with our ground rules?

Questions that can be asked to facilitate reflection:

- What questions were the most helpful?
- How can we make this group more effective?
- How are we doing this far?
- What ideas from this meeting appear to be most important?
- What made it easy or difficult for you to learn?

What actions do you plan to take?

Assessing learning and providing feedback

The content of learning is generally broken down into three domains of learning: knowledge (cognitive); attitudes (affective); and skills (psychomotor).

The design of the learning activities, and subsequent assessment of learning, is based on objectives that cover these three learning domains and their subsequent levels.

¹ Source: Marquardt, M.J. *Action Learning in Action: Transforming Problems and People for World-Class Organizational Learning*. Palo Alto, CA: Davies - Black, 1999, p.203.

When assessing individual learning, the goal is to help the participant improve and reach the learning objectives identified for the learning activity.

Examples of individual assessment of learning include feedback on worksheets and exercises. To be effective at assessing learning it is important to be skilled at giving and receiving feedback so that the learner improves their skills, increases their knowledge or values/adopts new attitudes.

Below are ten tips for giving (and receiving) feedback²

1. Make it timely
2. Check the learners' understanding of the purpose of the feedback
3. Let the learner speak first
4. Own the feedback
5. Make it positive and private
6. Select priority areas
7. Be specific
8. Offer alternatives
9. Support action
10. How do you sound? Effective feedback is two-way

In addition, the person giving the feedback should focus on the behaviour, not the person. Assessing individual learning is important; however, there are many techniques to assess how a group is doing with regards to not only the learning objectives but other factors related to the learning programme such as the venue and how the group is progressing as a team. These processes are often referred to as Classroom Assessment Techniques. For instance, to find out how the group felt about the first day of a course, you may want to ask them what went well that day and what they would do differently. Another option is to use a temperature gauge and ask participants to draw on the scale how good the day was for them. We encourage you to become familiar with different ways of finding out how the group is progressing to help them improve their learning and how they work as a group.

² Source: Clutterbuck, D. Learning Alliances: Tapping into Talent. London: Chartered Institute of Personnel and Development, October 1998, pp.22-24.

For further information

As mentioned earlier, this section on the basics of facilitation were meant to provide a brief overview of some key areas related to facilitation. If you are interested to know more about the facilitation of learning, you may find the following useful:

- *Facilitation of Learning Programme (FOLP)* is a 4 month, distance learning programme offered by the Staff Development Section. The programme also incorporates a facilitated group learning component where participants have the opportunity to try their skills and receive feedback from the facilitator. For more information contact the FOL team at HQTR03@unhcr.ch
- *Facilitated Group Learning: An Introduction to Workshop Design and Delivery* is a guide on workshop design and delivery available through SDS at: HQTR00@unhcr.ch
- *UNHCR Learning Policy and Guidelines*, available through SDS at HQTR00@unhcr.ch
- *A Self-Study Workbook on Facilitation* is under development by the Staff Development Section. Information on availability will be shared once the workbook is complete.
- *A Self-Study Workbook on Using PowerPoint* is also under development by the Staff Development Section. Information on availability will be shared once the workbook is complete.

G. Facilitator's guide

Preparation for this workshop

The purpose of this workshop is to launch a self-reliance strategy in your programme - ensuring that colleagues understand self-reliance and that self-reliance is the basis for strengthening crucial structures and developing economic activities among people of concern. Self-reliance addresses long-term dependence on humanitarian assistance by providing: a basis for durable solutions; a foundation for building towards the Millennium Development Goals; and capacities for contributing to the Agenda for Protection.

Preparation for the workshop:

- Review the Handbook for Self-reliance. Get to know your way around **Book Two**, the Contents page of the **The toolkit**, and the Contents page of **Appendix One**.
- A** → • Ensure you are familiar with the concept of social self-reliance as well as economic self-reliance.
- B** → • Ensure you appreciate that some aspects of self-reliance are relevant in (and important to) all operations, whether they are 'emergency' or 'care and maintenance' phases, or durable solutions.
- Once you have tackled the planning of this workshop, dialogue as needed with the Reintegration and Local Settlement Section (RLSS) of the Division of Operational Support (DOS) at UNHCR HQ in Geneva. RLSS may be able to give you further advice on staff training and launching self-reliance in your programme, plus guidance on budgeting and advice on other support that might be available within UNHCR for getting started.

Management arrangements

This workshop is for protection, programme, technical and field staff. Use any facilities adequate for the number of participants involved.

Involve senior management (e.g. the Representative and his/her Deputy).

Plan to run the workshop over a period of one day. Use the following workshop plan to guide you.

H. Workshop plan

Overall objective:

To strengthen commitment to self-reliance in the programme.

A

See **Annex 1.12: Strengthening social self-reliance** in Appendix One of the Handbook for Self-reliance.

B

See **Annex 1.3: Self-reliance in different phases of an operation** (part B - What self-reliance can mean in an emergency phase) in the Handbook for Self-reliance.

Specific objectives

1. To identify how self-reliance initiatives may impact positively on the programme.
2. To identify what must be addressed in order to strengthen self-reliance in the programme.

Expected outcomes

- Protection, programme, technical and field staff are familiar with and committed to self-reliance.
- Benefits of self-reliance to refugees/returnees and local communities are identified.
- Contribution of self-reliance to anticipated or probable durable solutions is clarified.
- Staff is familiar with content and structure of the *Handbook for Self-reliance*.

Objectives and session topics

See **Figure 1.2** for summary and **Figure 1.3** for activities.

Figure 1.2: Objectives and session topics		
Objective:	Topic and session:	Hours:
To identify how self-reliance initiatives may impact positively on the programme	Understand what self-reliance means	1
	Get to know the Handbook, and use it to find definitions and provide background information	1
	Identify current self-reliance activities in the operations	1½
To identify what must be addressed in order to strengthen self-reliance in the programme.	Explore whether all possibilities for self-reliance have been developed	1
	Clarify the potential benefits of increasing self-reliance among refugees/returnees, identify the constraints and challenges, and indicate how these challenges may be addressed	1½
	Plan the way ahead	1

Figure 1.3: Activities for each objective

Topic and session:	Activities:	Hours:	Materials/references to the Handbook:
<i>Objective: To identify how self-reliance initiatives may impact positively on the programme</i>			
Understand what self-reliance means	<p>Understand what self-reliance means</p> <ul style="list-style-type: none"> • Ask individuals to write a definition of self-reliance on separate cards • Ask a few participants to share their definitions with the rest of the group • Discuss the definitions offered (those shared and those not yet shared) • Discuss the definition that is contained in the Handbook <p>Questions to prompt other areas of discussion</p> <ol style="list-style-type: none"> 1. <i>How can we get programme staff and operational partners interested and active in self-reliance?</i> 2. <i>To what extent has the potential for increasing self-reliance among refugees/returnees been undermined by relief efforts that have led to a greater degree of dependency by undermining initiative, resourcefulness, traditional coping mechanisms? If this has happened how can the processes be addressed?</i> 3. <i>When should we start self-reliance activities?</i> 	1	<ul style="list-style-type: none"> • Cards and marker pens • Flip charts, markers and tape • The Handbook • The definition of self-reliance is given at the beginning of Book 1 and Book 2
Get to know the Handbook, and use it to find definitions and provide background information	<p>Introduce the Handbook and describe how it is structured and how it can be used</p> <p>Refer the participants to the relevant parts of Annexes 1.3 and 1.14.</p> <p>Divide into two groups. Ask one group to provide a definition of economic self-reliance; and the other group to define social self-reliance</p> <p>Groups present definitions</p> <p>Discussion, with the facilitator leading the plenary discussion. (This discussion is to refine the definitions of self-reliance, social self-reliance and economic self-reliance to your programme, discuss how the Handbook can be used to find definitions and information, and operationalise them)</p> <p>Questions to prompt other areas of discussion</p> <ol style="list-style-type: none"> 4. <i>Does UNHCR staff have adequate skills in this field of work? Should we develop these skills or search for partners with whom to work?</i> 	1	<ol style="list-style-type: none"> 1. The Handbook - particularly the contents page and the introductions at the beginning of the Toolkit and Appendix One 2. The sections referred to are Annex 1.3: Self-reliance in different phases of an operation (part B - What self-reliance can mean in an emergency phase); and Annex 1.12 Strengthening social self-reliance 3. Flip charts, markers and tape



Identify current Self-reliance activities in the operations	<p>Ask individuals to write down on separate cards examples of both social and economic self-reliance activities they see in their operation</p> <p>Discuss these examples (facilitator leads plenary discussion)</p> <p>Questions to prompt other areas of discussion</p> <p>5. <i>Do we know the skills, knowledge and aspirations of refugees/returnees from which to build self-reliance activities - whether through employment, small businesses and enterprises, agriculture etc.?</i></p> <p>6. <i>How can self-reliance contribute to the search for/commitment to/adoption of durable solutions?</i></p>	1 1/2	<ul style="list-style-type: none"> • Flip charts, markers and tape
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Explore whether all possibilities for self-reliance have been developed	<ul style="list-style-type: none"> • Divide into working groups • Each group to identify three important self-reliance possibilities/initiatives in their operation (either social or economic) • Groups to present their findings • Discussion (facilitator leads plenary discussion) <p>Questions to prompt other areas of discussion</p> <p>7. <i>Do we have enough time to address self-reliance? If we do not have sufficient time, what should we do about it?</i></p>	1	<ul style="list-style-type: none"> • Flip charts, markers and tape • The Handbook - with reference to Annex 1.3: Self-reliance in different phases of the operation
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Topic and session:	Activities:	Hours:	Materials/references to the Handbook:
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Objective: To identify what must be addressed in order to strengthen self-reliance in the programme

Clarify the potential benefits of increasing self-reliance among refugees/returnees, identify the constraints and challenges, and indicate how these challenges may be addressed	<ul style="list-style-type: none"> • Divide into the same groups • Each group to draft a plan aimed at increasing self-reliance in their operation <p>They should consider the following:</p> <ul style="list-style-type: none"> • Each group considers the potential benefits/advantages of promoting what they believe may be the three most important self-reliance possibilities/initiatives for their operations. (They should clarify the potential benefits to: refugees/returnees themselves; the programme; the host government; regional authorities; local communities etc.) • Each group identifies the constraints to implementing what they believe may be the three most important self-reliance possibilities/initiatives for their operation. (What do they see as the legal, political, social, cultural issues that need to be addressed?) 	1 1/2	<ol style="list-style-type: none"> 1. Refer to Book 1 part B: Why adopt self-reliance 2. Refer to Book 1 part G: Making a case to the host government 3. The Handbook - with particular reference to Annex 1.4: What affects self-reliance; Annex 1.9: Some less conventional ideas for production, marketing and service provision
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Figure 1.3: Activities for each objective

Topic and session:	Activities:	Hours:	Materials/references to the Handbook:
	<ul style="list-style-type: none"> Each group discusses how these constraints may be addressed. Pay particular attention to the government's position and exploring what may leverage a change of position Groups to present findings in a plenary session Discussion (facilitator leads plenary discussion) <p>Questions to prompt other areas of discussion</p> <p>8. <i>Self-reliance is clearly fundamental to the achievement of durable solutions, but does everybody recognise this?</i></p> <p>9. <i>To what extent are traditional thinking and outmoded ideas (among UNHCR staff and operational partners) the biggest challenges to self-reliance?</i></p>		4. Flip charts, markers and tape
Plan the way ahead	<ul style="list-style-type: none"> Plenary discussion to agree what issues might be raised with government to leverage support for processes that will provide refugees/returnees with greater opportunities for increasing their self-reliance <p>Questions to prompt other areas of discussion</p> <p>10. <i>Are there partners or government agencies that do have the skills and expertise necessary to promote self-reliance? If there are, what should our role be in this field of work?</i></p>	1	<ul style="list-style-type: none"> Flip charts, markers and tape

Tool 2

ESTABLISHING SELF-RELIANCE IN THE PROGRAMME

*This tool is to contribute to a **change in mentality** among key humanitarian and development actors. It is to remove two attitudes: that self-reliance is not appropriate in the programme; and that refugees are best seen as idle recipients of humanitarian aid. These are to be replaced with the convictions: that self-reliance is a process and is feasible no matter what your ultimate durable solutions will be; and that there are convincing arguments for promoting self-reliance in your programme.*

A. What is the tool

A simple brainstorming exercise.

B. Who is involved

The senior managers; staff involved in protection, programme, technical support and the field; operational partners (both humanitarian and development); government representatives, UN agencies, donors and NGOs.

C. How long will it last

Approximately three hours.

D. What to do

1. Plan and facilitate a meeting to stimulate discussion on self-reliance.
2. Explore what self-reliance is, and how self-reliance activities impact on your programme. Consider what are the constraints and how they can be overcome - **see E**. Use the questions in **Figure 2.1** as a basis for starting the discussion.

A

Refer to **Annex 1.2: Understanding the context (where self-reliance fits)** for background information.

B

Consider what are the constraints and how they can be overcome - **see E** • Look for more background reading in **Annex 1.3: Self-reliance in different phases of an operation**.

A

B

3. Clarify the host government's position on factors that may impact on self-reliance, and explore the case that may be developed to improve the legal and political environment for self-reliance activities in the programme. **See Figure 2.1.**
4. Identify the existing and proposed development programmes in the area. Which actors are/will be involved? Identify possible synergies.
5. Summarise the findings and prepare a brief paper for the senior managers and participants of the brainstorming session and team.

E. Areas to consider

Consider using some of the questions in **Figure 2.1** to stimulate discussion.

Figure 2.1: Questions to stimulate discussion on self-reliance

- What is self-reliance?
- How may effective self-reliance activities impact on your programme and on the social and economic development of the area?
- What are the potential benefits and advantages? Explore the financial, human development, coexistence, peace-building, food security, poverty reduction and durable solutions arguments. Consider the relevance of: the UN Country Team guidelines, the Millennium Development Goals, UN directives and recommendations, hosting population poverty issues and the Poverty Reduction Strategy Paper (PRSP), host government priorities and policies, and current thinking on development and humanitarian aid
- Is self-reliance feasible in your programme? What are the opportunities and how can you build from them? What are the constraints and how can they be overcome?
- What information do you need/lack to develop a strategy? How will you obtain it?
- How will self-reliance support the anticipated or probable durable solutions?
- What is the host government's position on self-reliance? What government policies, controls and restrictions influence the establishment of self-reliance activities? What may leverage government support? Consider the value of: capacity-building for supporting community development, capacity-building in planning, institutional strengthening, supporting reviews of pertinent policies and regulations, supporting refugee production and marketing, and facilitating skills transfer

Tool 3

PREPARING TORS FOR SPECIALIST INPUT TO SELF-RELIANCE PROGRAMMES

*This tool is to help you **construct** Terms of Reference for technical support for self-reliance. It provides the basis for deciding what you want from technical support, and guidelines for drafting a comprehensive brief.*

A. What is the tool

A checklist.

B. Who is involved

Middle managers and operational partners.

C. How long will it last

A few hours to draft. Then circulate for comments. Further time for amendments.

D. What to do

1. Clarify the broad area of the study i.e. is it to undertake an assessment, design a project, provide specific expertise in a technical area, provide training, undertake an evaluation, design a monitoring strategy, etc. **See Table 3.2.**
2. Specify the purpose of the work, i.e. write a purpose statement. What is to be achieved?
3. Specify the scope of work, e.g. in terms of geography, target groups, specific issues and other parameters within which to work.
4. Identify the specific outputs that are required - **see E.** Describe the reporting requirements.
5. Propose the specific inputs and methodologies that should be used when implementing the work.

6. Describe the qualifications, skills, qualities and experience of the individual(s) who will undertake this work.
7. Provide an introduction to the TORs that helps to set the scene and highlight the issues to be addressed i.e. background to the programme, profile of the operation, how the piece of work for which the Terms of Reference are being prepared originated, previous experience in self-reliance and related initiatives etc.
8. Finalise the TORs with a timetable of activities and deadline for any reporting. **See F.**

E. Typical methodologies and outputs for TORs

See Table 3.2.

F. Checklist for preparing TORs

Use the headings in **Table 3.1** in the TORs.

Table 3.1: Content of the Terms of Reference

✓ Heading:	Content:
<input type="checkbox"/> Introduction	The socio-political setting
<input type="checkbox"/> Background	Self-reliance and its place in the programme
<input type="checkbox"/> Objective or purpose of the work	What the work is to achieve
<input type="checkbox"/> Scope of the work	The geographical, technical focus, or issues to address, groups to focus on, etc.
<input type="checkbox"/> Expected outputs	The specific tangible deliverables
<input type="checkbox"/> Methodologies	What methods will be employed when doing the work
<input type="checkbox"/> Reporting	To whom should the person report
<input type="checkbox"/> Timetable of activities	An outline of the schedule and a deadline for completing the work
<input type="checkbox"/> Qualifications and experience	A profile of the ideal candidate

Table 3.2: Typical methodologies and outputs for TORs

Area of work:	Typical inputs/methodologies:	Tangible outputs:
Self-reliance assessment	<ul style="list-style-type: none"> • Literature review • Field visits • Interviews with refugee/returnee and local community groups, and participatory tools (that maximize the involvement of refugees/returnees and local community groups) in generating and identifying knowledge, identifying needs and opportunities, etc. • Interviews with operational partners, local authorities, government staff • Participatory workshops 	<ul style="list-style-type: none"> • Assessment report detailing opportunities and needs • Strategy document describing the way forward
Project design	<ul style="list-style-type: none"> • Stakeholder analysis • Participatory planning workshops • Document reviews • Assessment and analysis of issues 	<ul style="list-style-type: none"> • Local authority and government commitment to self-reliance documented • Log frame • Implementing partners identified • Other partnerships (and specific inputs/roles) identified • Project proposal and budget • Sustainability strategies • Exit strategies
Specialist technical support	<ul style="list-style-type: none"> • Technical review, assessment and analysis • Field visits • Interviews with refugee/returnee and local community groups, and participatory tools for recording knowledge, identifying needs and clarifying opportunities, etc. 	<ul style="list-style-type: none"> • Report and technical or business plans • Description or delivery of specific processes or activities • Budgets, with any financial or administrative procedures • Skills training and technical management capacity-building strategies • Inputs identified • Markets/marketing strategies identified
Training/skills development	<ul style="list-style-type: none"> • Training needs assessments and review of relevant technologies • Development of training programme and resources • Development of materials 	<ul style="list-style-type: none"> • Report • Training strategies documented • Resource materials prepared • Local training providers identified

**Table 3.2: Typical methodologies and outputs for TORs**

Area of work:	Typical inputs/methodologies:	Tangible outputs:
Design of monitoring strategy	<ul style="list-style-type: none">• Review of process indicators• Selection of indicators with refugees/returnees and local communities• Baseline survey and clarification of baseline data	<ul style="list-style-type: none">• Indicators and means of verification identified• Database and means for analysing data established• Recommendations on using monitoring outputs
Project evaluation	<ul style="list-style-type: none">• Field visits• Literature review (reports and other project documents)• Interviews with operational partners, government, refugees• Workshops with stakeholders, collaborators and partners, beneficiaries and project staff• Participatory assessment and analysis	<ul style="list-style-type: none">• Report detailing observations and recommendations

Tool 4

MAKING A SELF-RELIANCE ASSESSMENT¹

This tool is to **check the level** of self-reliance in a refugee situation. It is to provide an in-depth assessment of current levels of food security and self-reliance, any risks to self-reliance, and the potential for self-reliance. It also covers: making links with future partners, deciding where to focus attention and building participation.

A. What is the tool

A survey.

B. Who is involved

Field staff, operational partners and stakeholders, with refugees/returnees and local communities.

C. How long will it last

Anticipate this taking up to two months to design, implement and analyse. Bear in mind this is not a one-off exercise. Continue to use the results to provide baseline information for monitoring and evaluation. Later, repeat some elements of the assessment. Review regularly to see what has changed.

D. What to do

1. Understand what self-reliance assessment can do.
2. Examine available information and agree what you want to learn from the assessment. Decide the objectives of the assessment - **see E**.

A > Look at **Annex 1.7: Types of assessment** for more information.

¹ This tool draws fully on the in-depth assessment for food security and self-reliance in the *UNHCR/WFP Joint Assessment Guidelines* (2004). See Annex 1.1: References.

A

3. Decide on which target groups to focus.

4. Mobilise partners - **see F**.

5. Mobilise funding - **see G**.

6. Agree when the assessment should be undertaken - **see H**.

B

7. Refine the proposed objectives and develop a preliminary outline for the terms of reference - **see I**.

8. Identify specific areas of study - **see J**.

9. Decide if: existing staff and/or partners can undertake the assessment within the required timeframe; or whether a competent organisation, company or national institution should be commissioned to do it. Draw up a short-list of possible candidates as appropriate.

10. Finalise the terms of reference (including the timeframe), suggest the assessment techniques - **see L**, specify the skills required - **see K**, develop a work plan and budget for the assessment, and select the assessment team.

11. Implement.

12. Analyse.

E. Scope and objectives

An in-depth assessment may be required to look at all (or only some) aspects listed as 'Possible objectives' on the next page. The objectives must be agreed upon between UNHCR and its operational partners and government, and adapted to the local situation. See **Figure 4.1** for possible objectives.

A

Refer to **Annex 1.6: Targeting assessments** if you want to learn more.

B

See also the Toolkit - **Tool 3: Preparing TORs (specialist-input to self-reliance programmes)**.

Figure 4.1: Possible objectives for an in-depth assessment of self-reliance

An in-depth assessment may be broad in scope or focused depending on the situation and the phase of the operation. The specific objectives will vary accordingly, and may include some of the following:

Livelihood groups

- To identify socio-economic groups within the refugee or returnee population with different livelihood or coping strategies, define their characteristics and estimate their numbers

Current levels of self-reliance

- To determine the extent to which households in distinct socio-economic groups can meet their own needs in a sustainable manner while also meeting their other essential needs, without engaging in strategies that are illegal or anti-social, that expose the refugees to personal risk, or that undermine their long-term food security or that of the local population

Food consumption and use

- To determine what households in each socio-economic group are actually eating, the use they are making of the food aid and other resources available to them (including trade and exchange with the host population)

Targeting

- To determine whether and how support will best be designed and targeted to different groups

Potential for and risks to self-reliance

- To identify factors that facilitate or constrain refugees'/returnees' ability to become more self-reliant (including legal, political, physical, economic, social, cultural, environmental and seasonal factors)
- To identify factors that could change the amounts of food and/or income refugees currently obtain through their own efforts and from sources other than food aid, and estimate the amounts that could be gained or lost as a result (for each population group/category)
- To determine the impact of training and other activities already implemented, with the aim of increasing self-reliance
- To identify opportunities which are, or could become, available to households (in the different locations and/or socio-economic groups) to enhance their levels of self-reliance, and clarify any limits on those opportunities
- To assess market conditions, including any recent changes and trends in prices and the volumes of items traded, and the possibilities for refugees to continue and, if possible, increase purchases of food and the sale of labour, other services and any goods they may produce. (If voluntary repatriation is the most likely durable solution, the market conditions in the country of origin must also be assessed in order to determine how a self-reliance project can serve to develop and/or strengthen skills which will help the returnees reintegrate)
- To determine the capacities of the different socio-economic groups to exploit available opportunities, estimate the amount by which their self-reliance could be increased, and when the increase could be realised
- To make recommendations for: measures and specific assistance inputs to enhance self-reliance; measures and inputs to reduce risks to existing and/or future self-reliance activities; and targeting mechanisms and critical timing considerations for the provision of inputs and the targeting of other measures

Impact of self-reliance on protection and the search for durable solutions

- Determine how increased self-reliance will impact on refugees' enjoyment of protection and, in view of the existing protection gaps or problems, how specific activities can help address these

Figure 4.1: Possible objectives for an in-depth assessment of self-reliance

- Assess how age and gender considerations can be mainstreamed into self-reliance activities to enhance the enjoyment of protection by all individuals regardless of age and gender
- Identify how HIV/AIDS prevention and care strategies can integrate fully into initiatives, and assess how increased self-reliance can support the implementation of HIV prevention and care programmes within and with the refugee/returnee and local community
- Assess which of the three durable solutions are most likely to be pursued (by refugees) and how self-reliance can contribute to the attainment of solutions which are truly durable

The effect of change

- Determine the likely effects of contingencies (such as changes in government regulations, reduced distributions due to pipeline interruptions, or changes in food basket composition or targeting criteria) on different population groups

F. Mobilising partners

Specific skills are needed to identify and quantify opportunities and threats to self-reliance activities. Relevant expertise and practical experience must be mobilised to: help prepare terms of reference and a work plan; and participate in either the assessment itself or the selection of an appropriate (commissioned) entity. Areas of expertise that may be relevant include: crop production and marketing; crop storage; livestock production; hunting, fishing and gathering activities; community development, daily labour, wage employment and the provision of services; home production of items for sale; microfinance services; and access to markets.

Government and NGO partners engaged in self-reliance and food security should be included from an early stage.

G. Mobilising funding

The need for such an assessment in the early stages of an operation should have been anticipated in the UNHCR operational plan (and perhaps with WFP emergency operation plans). If additional resources are required inform headquarters and make approaches to donor missions at the country level. Involve donors in assessments if possible.

H. Scheduling the assessment

The assessment should be scheduled such that it will: provide data when it is most needed, i.e. in advance of any joint reviews; in advance of planning periods; and benefit from seasonal patterns, e.g. crop data at harvest time.

I. Terms of reference

Precise terms of reference must be based on agreed objectives. Don't overload them. Focus on self-reliance, and keep to what is needed. Avoid collecting information that "might be useful or interesting". Use the headings in **Figure 4.2**.

Figure 4.2: Content of the Terms of Reference

✓ Heading:	Content:
<input type="checkbox"/> Introduction	The socio-political setting
<input type="checkbox"/> Background	Self-reliance and its place in the programme
<input type="checkbox"/> Objective or purpose of the work	What the work is to achieve
<input type="checkbox"/> Scope of the work	The geographical, technical focus, or issues to address, groups to focus on etc.
<input type="checkbox"/> Expected outputs	The specific tangible deliverables
<input type="checkbox"/> Methodologies	What methods will be employed when doing the work
<input type="checkbox"/> Reporting	To whom should the person report
<input type="checkbox"/> Timetable of activities	An outline of the schedule and a deadline for completing the work
<input type="checkbox"/> Qualifications and experience	A profile of the ideal candidate

See **Tool 3: Preparing TORs (specialist-input to self-reliance programmes)**.

Ensure adequate consideration is given to: political, protection, legal and institutional, environmental and socio-economic considerations as well as the prospect for finding durable solutions within an estimated time period; and issues relating to gender, unaccompanied and separated children, adolescents, older persons, people with disabilities, people living with HIV/AIDS, minorities, war and insecurity. There should also be specific consideration for refugees in urban settings. Consider refugees/returnees as part of the population in the concerned area and understand the different groups.

J. Areas of study

Specific areas of study that may be relevant when assessing the potential for and risks to self-reliance are given in **Figure 4.3**.


Annex 1.4: What affects self-reliance (some of the considerations) provides further reading on these areas.

Figure 4.3: Areas to consider when assessing the potential for and risks to self-reliance

What to consider:	Sources or methods:
<p><i>Political, legal and institutional</i></p> <ul style="list-style-type: none"> • What legal and institutional issues influence the rights of refugees/returnees to reside in the territory and access and enjoy rights such as those to land, employment (including engagement in self-employed activities), education, freedom of movement or identity documents? Does gender and age influence the legal and practical enjoyment of rights in the host country? Would the refugees violate any national laws if they would engage in employed or self-employed activities today, and what would be the consequences, especially in relation to their right to maintain their legal status and right to asylum? Can these be adopted or amended for the benefit of refugees? • Do legal and institutional frameworks limit self-reliance activities beyond the camp setting? 	<p>Key informant interviews, e.g. protection staff, local authorities, police, the Ministry in-charge of refugees</p> <p>Refugee laws</p>
<p><i>Environmental</i></p> <ul style="list-style-type: none"> • Is the natural environment different from where the refugees' came? How does it differ? Do refugees/returnees or the local population have the skills to manage the natural resources/environment sustainably? • How will/does the use of natural resources affect relations between refugees/returnees and the local community? How should this relationship be addressed? • What environmental issues are already evident e.g. soil erosion, deforestation or water pollution? Does the presence of refugees/returnees exacerbate the problem? What are the consequences of these environmental issues to self-reliance in the short- medium- and long-term? • Is demand for/use of natural resources likely to be sustainable at present rates of use? • Are there any particularly vulnerable areas, resources e.g. water catchments, endangered ecosystems? • Who has access to and use of resources (men, women, refugees/returnees, the local population)? 	<p>Environment audits and assessments</p> <p>Participatory resource analysis</p> <p>Satellite imagery and GIS data</p>
<p><i>Socio-economic</i></p> <ul style="list-style-type: none"> • What would the refugees/returnees like to create (in their present circumstances) to make themselves more self-reliant i.e. what is their vision? • How can they prepare themselves for whatever durable solution materialises? • What are the different livelihood and socio-economic groups among refugees/returnees and local communities (according to food and income patterns)? From where do they get their food and cash? How do age and gender roles influence this? • What are the impacts of health issues (including HIV/AIDS)? • Is there a problem of availability of food or/and a problem of access to food, e.g. due to lack of income? How can they increase their access to food and income? What are the constraints to doing this? How can these constraints be addressed? 	<p>Collaboration with WFP, UNDP, World Bank, FAO and ILO</p> <p>Key informant interviews (male and female)</p> <p>Food security studies and reports</p> <p>Market surveys and analysis</p> <p>Focus group discussions with refugees/ returnees and local people (male, female and youth)</p>



Figure 4.3: Areas to consider when assessing the potential for and risks to self-reliance

What to consider:	Sources or methods:
 <ul style="list-style-type: none"> • Do they have access to markets? Who has access to markets (men or women)? What are the constraints (if any)? • Is the amount of food available in the market normal for this season/time of year? Are changes in food availability expected? • Are prices stable, changing or expected to change? Why are they changing? When are changes in price likely? What effects will any price change have? 	
<p><i>The specific needs of individuals and groups</i></p> <ul style="list-style-type: none"> • Who are the poor and vulnerable? Are there gender and age patterns? Why are they poor? What threat do they pose to the wider community in terms of health and safety, security, economic development etc.? What can be done to support such groups, and reduce the threat they may pose to wider society? • What access do they have to services and goods, markets and resources? What other constraints do they face? • Do some groups use unsustainable or undesirable strategies to meet essential needs? Why are they unsustainable or undesirable? How will continued use of these unsustainable or undesirable strategies impact on the community? • Who uses these unsustainable or undesirable strategies? Why do they use them? • What can be done to assist these groups? • How will vulnerable households with limited labour and resources clear and cultivate their land? What systems within the communities help such households? • What systems/mechanisms are in place within the community to protect and assist individuals and groups? 	<p>Collaboration with WFP, ILO, UNDP, UNICEF and FAO</p> <p>Key informant interviews</p> <p>Food security studies and reports</p> <p>Market surveys and analysis</p> <p>Focus group discussions with refugees/returnees and local people (men, women, youth and elders)</p>
<p><i>Crop production</i></p> <ul style="list-style-type: none"> • Do refugees (men and women) have access to land? Is there sufficient land? Might the use of land for agriculture lead to conflict between refugees and other groups? If so why? How can conflict be avoided? • Is the cultivation of land likely to lead to the degradation of water catchments or soil erosion? Can these problems be contained? • How will the land be cleared and cultivated? Is there access to animal power or mechanisation? • What type of agriculture is best adopted? See References⁴ • Will agricultural extension and training be helpful? 	<p>Collaboration with FAO</p> <p>Key informant interviews (men and women) with agronomists, farmers, local farmers' groups and associations, specialized NGOs, market traders and extensionists</p> <p>Data on production/yields.</p> <p>Market surveys and analysis</p> <p>Focus group discussions with refugees/returnees and local people</p>
<p><i>Livestock</i></p> <ul style="list-style-type: none"> • Is there adequate grazing and water in the area? Is it available to refugees? Who else uses this grazing and water through the year/seasons? • How will livestock keeping affect the relationship between refugees/returnees and the host community? Might livestock be able to destroy crops? What are the likely consequences of crop damage by livestock? 	<p>Collaboration with FAO</p> <p>Key informant interviews (men and women) with veterinarians, crop production specialists, local groups and associations, specialist NGOs, market traders and extensionists</p> <p>Data on production</p> 

⁴ See Annex 1.1: References, *Livelihood Options in Refugee Situations - a Handbook for Promoting Sound Agricultural Practices* (2002).

Figure 4.3: Areas to consider when assessing the potential for and risks to self-reliance

What to consider:	Sources or methods:
<ul style="list-style-type: none"> • How will overgrazing and land degradation be avoided? • What security issues/risks may pose a threat to livestock and herders? • What livestock health issues exist? Are veterinary inputs available/accessible? Is veterinary assistance accessible? • What requirement is there for livestock extension services? What local extension and training capacity can be harnessed/developed? • What other inputs are required for livestock production? How will these be accessed? Is their supply sustainable? 	<p>Market surveys and analysis</p> <p>Focus group discussions with refugees/ returnees and local people</p>
<p><i>Employment</i></p> <ul style="list-style-type: none"> • Are there opportunities for direct job placement? What are they? Who are they for (men, women and youth)? What are the possibilities for self-employment? • Is there demand for specific skills and services in the local market? • What opportunities are there for food-for-work, cash-for-work etc? 	<p>Collaboration with ILO</p> <p>Key informant interviews (men, women and youth) with development planners, specialized NGOs, market traders</p> <p>Market survey/analysis</p> <p>Focus group discussions with refugees/returnees</p>
<p><i>Income generating activities</i></p> <ul style="list-style-type: none"> • What are the available raw materials? What are the constraints to production? How can these constraints be removed? • What are the constraints to processing? How can these problems be solved? • What tools and equipment do refugees/returnees and local people have? What tools and equipment do they need? Where can they get them, or how can they make them? • How do households market their produce/products? Do they sell individually or as a group? Would they benefit from selling as a group? Do they recognise the (potential) benefits of marketing as a group? (Explore their understanding of increased bargaining power, better prices, etc.) • What are the marketing constraints? How can these be addressed? <p><i>Microfinance services</i></p> <ul style="list-style-type: none"> • Do refugees, returnees, and hosting/receiving populations have access microfinance services through formal or informal systems? Does everyone (including women and young people) have access to credit? • Is interest required? Is collateral required? What else is required (including ID cards, deposits or savings)? • What happens if loans are not repaid? What are the penalties for defaulters? 	<p>Collaboration with ILO, UNDP, WFP and FAO</p> <p>Key informant interviews with development planners, specialized NGOs, market traders, local businessmen, banks and other credit/microfinance agencies</p> <p>Market survey analysis</p> <p>Focus group discussions with refugees/returnees and local populations</p>
<p><i>Vocational training</i></p> <ul style="list-style-type: none"> • What are the skills and services available? Which are needed? • Would training respond to a need? If so, what training is needed? Who should be trained? Why should those people be trained? What past training has been useful (and why)? Who can provide the training? 	<p>Collaboration with ILO, UNESCO and UNICEF</p> <p>Key informant interviews with development planners, programme managers, local businessmen and specialized NGOs</p>

Figure 4.3: Areas to consider when assessing the potential for and risks to self-reliance

What to consider:	Sources or methods:
<ul style="list-style-type: none"> What specific skills may be useful to improve the quality of asylum and facilitate local reintegration, resettlement or reintegration following voluntary repatriation? 	Focus group discussions with refugees/returnees and local populations
<p><i>Engagement in local area development</i></p> <ul style="list-style-type: none"> Do refugees/returnees know about area development plans? How will such plans benefit them? How can they contribute to development? How could they be incorporated into such plans? How can your organisation help people to contribute to preparing such plans? How can self-reliance and livelihood development be built into such plans? What infrastructure developments are taking place in the area? What are they? Are refugees, returnees or host populations contributing to these programmes (and how)? How could they participate? Are there community development activities building community organisations and leadership structures, with local representation? 	<p>Collaboration with UNDP, ILO, FAO, WFP, World Bank and UNICEF</p> <p>Key informant interviews with development planners, programme managers and specialist NGOs</p> <p>Joint focus group discussions with refugees/returnees and local populations (men and women)</p>

K. Specify the skills required

Specify the skills required to fulfill all the tasks in the terms of reference.

Figure 4.4 indicates the skills required in a typical in-depth assessment.

Figure 4.4: Skills required for self-reliance assessments

Component of the assessment:	Skills likely to be required:
<p>Livelihood groups</p> <ul style="list-style-type: none"> Identifying distinct groups Determining characteristics <p>Targeting</p> <ul style="list-style-type: none"> Can targeting on the basis of socio-economic criteria work? If so, how 	<p>Food security analysis</p> <p>Social anthropology</p> <p>Rapid assessment techniques (especially focus group discussions and key informant interviews)</p> <p>Experience in targeting and distribution methods</p>
<p>Current self-reliance</p> <ul style="list-style-type: none"> Identify food and income sources Identify and estimate income, expenditure, assets and debts 	<p>Food security analysis</p> <p>Economic analysis (market, skills, services and labour)</p> <p>Rapid assessment techniques (especially focus group discussions, proportional piling, pair-wise ranking and key informant interviews)</p> <p>Household surveys (their design, implementation and analysis)</p>
<p>Food consumption and use</p> <ul style="list-style-type: none"> Determining patterns Identifying problems Recommending changes 	<p>Nutrition</p> <p>Rapid assessment techniques (especially focus group discussions, proportional piling and observation)</p> <p>Household surveys (their design, implementation and analysis)</p>
<p>Potential for and risk to self-reliance and food security</p> <ul style="list-style-type: none"> Identify and determining capacities Estimating potential Recommending action 	<p>Market surveys (design, implementation and analysis)</p> <p>Technical expertise in relevant sectors</p> <p>Rapid assessment techniques (especially focus group discussions and key informant interviews)</p>

L. Suggest the assessment techniques

A

A combination of assessment techniques is often used. Some of the rapid methods most commonly adopted in participatory, qualitative assessments, including those for refugee/returnee situations, include:

- Semi-structured interviews - discussions with individuals or groups that use a checklist to ensure all topics are covered.
- Key informant interviews.
- Community mapping - mapping a shared understanding of what is available and important to members of a community.
- Transect walks and other methods for observing conditions - useful for getting a 'feel' for the situation and identifying aspects that need more investigation.
- Time lines - identify events that may have influenced people's well-being, serving as a valuable reference point for analysing and interpreting data (e.g. drought, health treatment, payment of school fees, funerals and crises).
- Seasonal calendars - help to understand the seasonal changes in activities and food security, identifying periods of stress and vulnerability.
- Proportional piling - a means of helping unsophisticated informants to define the relative importance of a number of different items and issues.
- Pair-wise ranking - is a quick and easy way of helping people list different items or issues in order of importance.

A

For further information on these and other techniques refer to the UNHCR/WFP Joint Assessment Guidelines (2004), and Booklet 5 (Working with Communities) in the WFP Guide, Participatory Techniques and Tools (2001)⁵.

⁵ See Annex 1.1: References.

Tool 5

ANALYSING ASSESSMENT DATA

*This tool is to **extract key information from field data** which has received preliminary analysis. It is to inform conclusions and identify realistic opportunities for building effective self-reliance interventions.*

A. What is the tool

A series of checklists and formats.

B. Who is involved

UNHCR and partner managers working with those who undertook any in-depth self-reliance assessment. Input should also be provided by government and UNHCR field staff.

C. How long will it last

It should be accomplished over a period of no more than two weeks.

D. What to do

1. Assemble a small team, clarify what this work is to achieve, and provide team members with the reports and other data to study (prior to the working meetings).
2. Identify the areas of data collection that are to be analysed, and develop checklists and formats - **see E & F**.
3. Through a series of workshop sessions use the checklists and formats to draw conclusions.
4. Consolidate conclusions and prepare recommendations.

E. Preparing checklists

Chapter 9 of the UNHCR/WFP Joint Assessment Guidelines⁶ contains information to help in the development and use of checklists. Address the areas in **Figure 5.1** in particular, and develop further checklists to reflect assessment findings.

Figure 5.1: Building checklists for analysing assessment findings

How many refugees are there and what is the demographic pattern

What is the general context

- The physical and economic environment
- The political and social environment
- The legal environment
- The general security situation

Describe food supply

- Food availability in-country
- Food-aid distributions

How do people access and use food, income and services

- Access to and use of food and income
- Access to and use of services, e.g. are children in school? If not why not and when? Can people afford the services (i.e. to pay the fees)?
- Self provision of food
- The use made of food and other resources

What is the setting

- Political, legal and institutional factors
- Environmental considerations
- Socio-economic factors
- The needs of special groups

What opportunities are there for increasing self-reliance through

- Agriculture and livestock production activities
- Employment and income generating activities
- Market and business opportunities
- Training

What is the nutrition status

Who are the target groups and how can they be reached

What are the gender, age, protection aspects (i.e. the cross-cutting issues)?

⁶ See Annex 1.1: References.

F. Using formats

Use simple tables for analysis:

What was observed:	What can be addressed:	How will this be achieved:	By whom	By when
		<ul style="list-style-type: none">••		
		<ul style="list-style-type: none">••		
		<ul style="list-style-type: none">••		

Tool 6

ASSESSING OPTIONS AGAINST AVAILABLE RESOURCES

*This tool is to **make a link** between what is available (to a population), and ways for strengthening social self-reliance, generating opportunities for increasing self-reliance in food production, and building economic self-reliance.*

A. What is the tool

Checklist.

B. Who is involved

All staff involved in reviewing self-reliance issues, assessments, analysis and implementation.

C. How long will it last

Available for reference at all times.

D. What to do

1. From the output of any self-reliance assessment, and building on your knowledge of the refugee/returnee area, your understanding of the refugee/returnee population and your contact with the hosting/receiving communities, consider the livelihood development options against the natural and human resources available, and the services sought in the area. Use **Figure 6.1** to guide this.
2. Contribute to the identification of initiatives that will strengthen social self-reliance, particularly in the earlier stages of an operation. See **Figure 6.1 part A**.
3. Contribute to the identification and design of self-reliance projects.

Figure 6.1 Part A. Social self-reliance strengthening

(Maintaining refugee/returnee or local community mechanisms for collaboration, utilisation of resources and management of activities - strengthening existing community structures and social responsibilities for greater social cohesion and coexistence and to provide a basis for social and economic development).

What there is	What you can consider	Action to take	Self-reliance benefits
Traditional support mechanisms	Agencies work with households and community structures that assist individuals and groups with special needs	<p>Identify traditional support mechanisms that can be harnessed</p> <p>Strengthen awareness of these mechanisms among programme staff and operational partners</p> <p>Strengthen these mechanisms and create new ones if necessary</p> <p>Develop commitment to building on traditional support mechanisms among partners</p>	<ul style="list-style-type: none"> • Enhancement of social organisation • Strengthening of social responsibilities and enhancement of coping mechanisms • Confidence building • Skills for developing economic activities • Building/catalysing recovery of social cohesion • Integration of refugees-returnees and the local population
Formal and informal leadership structures	Agencies identify individuals and groups that can take responsibility in daily management, distributions, community organisation, etc.	<p>Ensure humanitarian agencies and government recognise these structures</p> <p>Prevent domination by one group</p> <p>Ensure social accountability structures and mechanisms are in place</p> <p>Build capacity and leadership skills</p> <p>Establish a two-way communication system (between leadership and community)</p> <p>Ensure representation of marginalised groups</p> <p>Establish links with local structures</p> <p>Establish links between refugees/returnees and local communities</p>	
Self-help groups	Group projects for social and cultural (as well as economic) benefit established	<p>Build group capacity, develop leadership skills, strengthen management skills</p> <p>Recognise that women groups may be stronger, more cohesive and committed than men (or mixed) groups</p> <p>Recognise that activity-specific groups (that form themselves) are more likely to be stronger than those established by projects</p> <p>Lobby for government and local authorities to register formal productive groups (as necessary)</p> <p>Encourage interaction between different groups for learning (among refugees/returnees and between refugees/returnees and local communities)</p>	





Figure 6.1 Part A. Social self-reliance strengthening

What there is	What you can consider	Action to take	Self-reliance benefits
Youth groups	Agencies ensure youth to have a useful/positive role in the community	Ensure youth are included in decision-making (and not just mobilised for cultural, social and sports activities) Recognise youth is a transition between childhood and adulthood - they will not remain youth for long Acknowledge youth's aspirations, status in society and frustrations	
Older refugees	Using their influence in the community as opinion leaders	Recognise and build from their role in communities as people with traditional and cultural knowledge as well as authority and respect	
Management committees	Agencies allocate increasing responsibility for the management of the community's infrastructure and natural resources (i.e. to school committees, health committees, water and sanitation committees, etc.)	Ensure leadership structures reflect gender balance and proper representation of community Strengthen group capacity and develop leadership skills - providing accountability and transparency Lobby for government and local authorities to register formal groups (as necessary) Support the development of technical competence in the given field	
Child care, recreation and education activities	Participation of all groups in education and recreation activities; and child-care activities established for mothers/single parents who head households (giving them more free and productive time, and providing children with the opportunity to mix with different ethnic groups, refugee/returnee and local communities - promoting social integration and coexistence)	Assist with the establishment of mechanisms for staff Ensure understanding and commitment among agencies, refugee/returnee and local communities	
Sports and social activities	Children's clubs, youth groups and sports clubs established (building relations between refugee/returnee and local populations)	Ensure access to basic resources and among all populations (refugees and local)	

General points:

- It is valuable to identify capacities and resources from the outset. They will assist the operation in the short-term and ensure a basis for longer-term self-reliance activities. (Remember to use the information gathered during the registration exercise at the beginning of an emergency).
- Support community-based analysis and problem-solving. It strengthens ownership and commitment, and builds social confidence and capacity.
- Promote coexistence throughout this work through joint activities and discussions.
- Build from traditional cultural mechanisms wherever possible to communicate and develop new life skills and awareness.
- Establish a structured dialogue from the outset and ensure that gender and age are mainstreamed in all activities.

Figure 6.1 Part B. Economic self-reliance approaches

Natural resources based activities

(Using the natural resources of an area to provide a basis for food production and income generation - knowing what is available, and what to do with it).

What there is	What you can consider	Action to take	Self-reliance benefits
<p>Large areas of productive land, with suitable environmental conditions for crop production; and</p> <ul style="list-style-type: none"> • government regulations and local authorities permit use • local communities have no objections to use • pastoralist groups and others have no traditional periodic land use needs that cultivation will conflict with • soils (general fertility, pH and salinity, etc.) and topography are suitable • producers have access and rights to market their produce • access to markets is possible 	Subsistence farming	<p>Promote sustainable farming methods</p> <p>Encourage the transfer/exchange of skills between communities</p>	<ul style="list-style-type: none"> • Improved food security and enhanced nutrition • Self-esteem • Skills and resources for further livelihood development • Increased access to products, e.g. building materials for the construction of dwellings (off-setting demand for wood and poles) • Increased access to water storage containers and fuel efficient stoves
	Livestock production	<p>Ensure access to suitable breeds</p> <p>Ensure access to adequate numbers of livestock</p> <p>Establish capacity to control livestock diseases and predators</p> <p>Ensure adequate security</p> <p>Establish partnerships with government extension and research organisations, and with other livestock production development actors</p> <p>Ensure access to inputs</p>	
	Commercial agriculture	<p>Promote sustainable practices</p> <p>Assess demand for produce and access to markets</p> <p>Analyse the potential for production and sale of produce at competitive prices</p>	






Figure 6.1 Part B. Economic self-reliance approaches

What there is	What you can consider	Action to take	Self-reliance benefits
		<p>Establish partnerships with government extension and research organisations, and with other agricultural development actors</p> <p>Ensure the need for seed banks, crop storage facilities and crop diversification are addressed</p> <p>Support the establishment and strengthening of producer groups and small-holder associations</p> <p>Ensure linkages between producers and buyers</p>	
	Tree planting for commercial products	<p>Assess the time frame for financial returns</p> <p>Analyse demand for woodland products</p> <p>Determine viability (i.e. adequate prices for commercially grown products against competition from indigenous sources) and access to markets</p> <p>Ensure seedlings can be protected from livestock, wildlife, fire, drought and theft</p> <p>Identify skills and knowledge of refugees/returnees and local population and build from this</p> <p>Ensure sustainable access to inputs</p>	
Limited productive land, with climate for crop production	Backyard gardening	Promote sustainable farming practices	
	Small livestock production (poultry, sheep and goats, dairy goats, pigs, rabbits)	<p>Ensure access to fodder and/or feed, or opportunities for fodder/feed production</p> <p>Ensure access to materials for the construction of livestock pens</p> <p>Ensure access to suitable breeds</p> <p>Ensure access to adequate numbers of livestock</p> <p>Develop capacity to control livestock diseases and predators</p> <p>Establish partnerships with government extension and research organisations, and with other livestock production development actors</p> <p>Ensure sustainable access to inputs</p> <p>Ensure livestock does not damage crops and tree seedlings</p>	





	Beekeeping	<p>Assess availability of suitable vegetation with no major seasonal shortages</p> <p>Ensure access to materials for constructing beehives (wooden boxes, baskets and pots)</p> <p>Ensure access to very basic beekeeping equipment</p> <p>Ensure training and extension addresses quality issues</p> <p>Encourage linkages with artisans for making beesuits, beehives and smokers</p> <p>Establish partnerships with government extension and research organisations, and with other beekeeping development actors</p>
<p>Year-round fresh-water resources; and</p> <ul style="list-style-type: none"> • Government regulations and local authorities permit use • Local and remote communities have no objections to use • Permits can be obtained for water extraction for irrigation • Soils are suitable 	Irrigated crop production	<p>Ensure adoption of good husbandry practices</p> <p>Promote the use of low capital investment and low maintenance irrigation systems</p> <p>Ensure community-based management systems are established to address land management, water management, etc.</p> <p>Ensure services and management systems serve the interests and benefit both refugee/returnee and local populations</p> <p>Establish partnerships with government extension and research organisations, and with other agricultural development actors</p> <p>Ensure market access and marketing issues are addressed</p>
<p>Year-round fresh-water resources and water-retaining soils; and</p> <ul style="list-style-type: none"> • Government regulations and local authorities permit use • Local and remote communities have no objections to use • Permits can be obtained for water extraction for irrigation • Soils are suitable for dam construction 	Fish farming	<p>Consider the cultural acceptance of fish consumption</p> <p>Ensure access to basic resources and inputs</p> <p>Establish partnerships with government extension and research organisations, and with other appropriate development actors</p> <p>Ensure access to inputs</p>






Figure 6.1 Part B. Economic self-reliance approaches

What there is	What you can consider	Action to take	Self-reliance benefits
<p>Abundant woodland resources; and</p> <ul style="list-style-type: none">• Land is not part of (or important to) a protected area• Site does not contain plants or animals of specific biodiversity importance• Area not important for water catchment or other ecological function• Area does not contain a sacred site or other feature of local cultural significance• Government regulations and local authorities permit use and access to markets• Local communities have no objections to use• Pastoralist groups and others have no traditional periodic land use needs	<p>Harvesting of trees (for poles, timber)</p> <p>Harvesting firewood</p> <p>Collecting woodland products (herbs, fruits and medicinal plants)</p> <p>Beekeeping and honey hunting</p>	<p>Establish user and access rights</p> <p>Establish self-regulating management systems, accountability and supervisory mechanisms</p>	
<p>Clay soils suitable for brickmaking; and</p> <ul style="list-style-type: none">• Resource use does not lead to land degradation	<p>Brickmaking</p> <p>Pot-making</p> <p>Making fuel-efficient stoves</p>	<p>Assess demand for products among refugees, humanitarian agencies and local communities</p> <p>Ensure access to sustainable sources of firewood for burning bricks (or cement for making stabilised soil blocks)</p> <p>Undertake land use planning to reduce environmental impacts</p> <p>Calculate production and sale of products at competitive prices</p>	





Building quality sand; and <ul style="list-style-type: none">Government regulations and local authorities permit use and access to marketsLocal communities have no objections to use	Sand harvesting	Determine demand for sand among refugees, humanitarian agencies and local communities Undertake land use planning to reduce environmental impacts Determine the viability of the collection and sale of sand (at competitive prices)
Quarry stone	Stone-cutting and block-making	Assess demand for products among refugees, humanitarian agencies and local communities Establish production and sale of products at competitive prices

General points:

- Resource-management groups will be valuable in developing effective controls over natural resource management and addressing the needs and concerns of refugees/returnees and local populations on the management of soils, woodland, water resources, etc.
- Link production groups to markets, microfinance services and extension services.
- Identify existing skills, resources and knowledge among refugees/returnees and local population and strengthen them, bringing new skills and opportunities.
- Ensure sustainable access to farm inputs.
- Where products and produce is to be sold, issues of transport and marketing must be considered early in the planning process.
- Ensure equal access to opportunities among all groups. Ensure children are protected from work that threatens their health, education or development.

**Figure 6.1 Part B. Economic self-reliance approaches (continued)***Labour-based activities*

(Building from the skills, education and experience of refugees/returnees and local communities - identifying ways to maximise the available resources within the community to increase self-reliance). See Annex 1.13: **Employment and business-related interventions.**

What there is	What you can consider	Action to take	Self-reliance benefits
Labour	Cash for work	<p>Ensure there is a need for quickly generating provisional employment and injecting cash into the community</p> <p>Identify opportunities for short-term temporary employment e.g. harvesting crops, the building of soil conservation structures, infrastructure reconstruction</p> <p>Establish effective management systems</p>	<ul style="list-style-type: none"> • Income • Food • Infrastructure reconstruction • Self-esteem • Strengthened socio-economic capacity • Increased social stability and cohesion, and the promotion of peace • Income from sale of products⁷ Increased access to hh goods among refugees/returnees and local community • Enterprise management, technical skills and resources for further livelihood development
	Food for work	<p>Identify opportunities for self-help community projects and other short-term temporary employment</p> <p>Ensure food provision will not impact negatively on local production and prices of foodstuffs</p> <p>Ensure effective management and payment systems</p> <p>Build intervention on a lack of self-sufficiency in food production, and low wages</p>	
	Labour-based infrastructure work	<p>Identify rehabilitation and reconstruction efforts with potential demand for unskilled labour</p> <p>Ensure the value of rapidly injecting cash into a community is recognised</p> <p>Ensure willingness and capacity to supplement equipment-based projects among agencies</p> <p>Ensure technical capacity is adequate for standards required</p> <p>Ensure access to appropriate small equipment and local material resources</p> <p>Analyse viability of using labour-based rather than equipment-based systems</p>	
	Community contracting	<p>Ensure communities are organised and committed</p> <p>Ensure local and national policies support community development</p> <p>Ensure local authorities are able and willing to enter into community contracts</p> <p>Ensure understanding of the preparation and adoption of community contracts among community members</p>	

⁷ Including quilts, clothes, mosquito nets, tents and shelters, bags, baskets, jumpers, soap, furniture.





		Ensure the development of community contracts that recognise the influence of political, cultural and economic factors Promote capacity-building among communities for strengthening skills and developing experience to advance community interest	
Craft skills	Soap making Tailoring (e.g. making mosquito nets) Upholstery for furniture-making Weaving	The adoption of quality control systems Assess the market for products among refugees, aid agencies and the local population Determine availability and cost of raw materials for production Ensure access to tools and equipment for production Identify existing skills, resources and knowledge among refugees/returnees and local population and strengthen them, bringing new skills and opportunities	
Artisan skills	Metal-working and wood-working (making wheelbarrows, trunks, furniture, hand driven water-carts, etc.)	Identify people with experience of production for training and management Assess market for products Determine availability and cost of raw materials for production Ensure access to tools and equipment for production Identify existing skills, resources and knowledge among refugees/returnees and local population and strengthen them, bringing new skills and opportunities	

General points:

- Ensure equal access to opportunities among all groups. Ensure children are protected from work that threatens their health, education or development.

Figure 6.1 Part B. Economic self-reliance approaches (continued)

Service-based activities

(Building from skills and expertise in providing services, both technical and professional - identifying opportunities and, strengthening capacity and making connections). See Annex 1.13: **Employment and business-related interventions**.

What there is	What you can consider	Action to take	Self-reliance benefits
Trades	Installation of mud stoves Maintenance of equipment, vehicles... Preparation of natural remedies and treatment of livestock diseases Masonry, plumbing, electrical work	Ensure demand exists for services, and potential clients have money to pay for them, Ensure access to tools, structures and other physical resources to establish the enterprise Identify existing technical skills, resources and knowledge, and strengthen them as needed Ensure access to microfinance services Ensure access to business skills (or access to business skills training and support)	<ul style="list-style-type: none"> • Self-esteem • Strengthened socio-economic capacity • Increased social stability and cohesion, and the promotion of peace • Income from sale of products⁸ Increased access to hh goods among refugees/returnees and local community • Enterprise management, technical skills and resources for further livelihood development
Retail	Stalls and shops Food vending Service provision (e.g. mobile phone services and battery charging)	Work with Government for approvals/trading licenses Ensure economy is adequate for purchasing goods Ensure access to equipment and resources to establish the enterprise Ensure access to products to sell Ensure access to savings (and credit) services Ensure access to business skills (or access to business skills training and support)	
Trading	Livestock and foodstuffs trading Trading in natural products (e.g. honey, gums and resins, timber and firewood)	Work with Government for approvals/trading licenses Unsure capital for initial trading purchases, and the resources to transport goods as necessary Ensure access to business skills (or access to business skills training and support)	
Professional	e.g. doctors and dentists, veterinarians, legal advisors	Work with Government for endorsement for practicing professionals Ensure access to equipment and other resources Identify means for certification and confirmation of a right-to-practice Ensure understanding of the prevailing professional climate (e.g. what legal system applies in the country of asylum for those practicing law)	

⁸ Including quilts, clothes, mosquito nets, tents and shelters, bags, baskets, jumpers, soap, furniture.

Tool 7

SELECTING THE RIGHT PARTNERS

*This tool **guides the selection of suitable partners** for implementing self-reliance activities, and explains why partners are needed.*

A. What is the tool

A checklist.

B. Who is involved

UNHCR middle managers liaising with field staff, with decisions approved by senior managers.

C. How long will it last

A few days provided adequate information has been collected.

D. What to do

1. Consider why partners are needed when undertaking self-reliance activities. **See E.**
2. Clarify the role and tasks of the partner. **See E.**
3. Specify what needs to be done and identify the qualities and experience that a partner should have. Work from the minimum qualities provided in the checklist - **Figure 7.1. See F.**

E. Why have partners for self-reliance

Bear in mind that self-reliance activities must be designed carefully, and implemented efficiently and effectively. If it doesn't work properly the first time, it will be a lot harder and more expensive the next time.

Self-reliance leads to and is part of a development process. This change of emphasis from relief requires different skills, strategies and time-frames. Furthermore UNHCR tends to provide assistance for a limited time only while

development organisations anticipate and believe in long-term commitment - which is crucial to sustainability.

F. Finding partners

It is best to select agencies that specialise in livelihood and development work - preferably those with experience in conflict-affected areas. Ideally they will already be working in the country of operation (i.e. the host country or, in the case of repatriation, the receiving country) - with local experience of economic, environmental, social and political conditions. Any experience in employment creation, small and micro-enterprise development, agriculture and livestock production, small-scale agro-processing and marketing will be particularly useful.

If the wrong partner is selected, e.g. one that does not work in a truly participatory manner, projects and activities may cause harm and destroy community initiative, and make it difficult for other agencies to work with these people.

Table 7.1 gives some of the main partners and their likely interest and commitment to self-reliance. (The checklist is **Table 7.2**)

Figure 7.1: Which partners

Agency:	Interests and commitments:
ILO	Memorandum of Understanding (MOU) (in 1983) and Joint Statement (Nov. 2004) with UNHCR recognising the need for promoting durable solutions, self-reliance and therefore poverty reduction for refugees and hosting populations. Partnerships might address public works programmes, labour/employment programmes, cash-for-work, microfinance, voucher schemes, skills training and local economic development
FAO	Letter of cooperation (Feb. 2005) with UNHCR recognising the need for promoting food security and self-reliance; and new MOUs at field level to promote the rapid mobilisation of resources for emergency interventions e.g. the provision of seeds and tools, and agriculture rehabilitation. Partnerships might address natural resource based activities, i.e. forestry, livestock production and veterinary support, water ponds, irrigation systems and agriculture
WFP	Revised MOU (July 2002) with UNHCR recognising the need for promoting self-reliance as part of food security. Partnerships might include joint assessment, food-for-work and cash-for-work projects, food for asset creation, school feeding and food-for-training projects ⁹
UNDP	MOU (April 1997) and an agreement for cooperation with UNDP and the World Bank on the 4Rs (2003). The UNDP Resident Representative is often the UN Resident Coordinator and therefore the UNCT coordinator. Partnerships might include rehabilitation of refugee-hosting areas including environmental rehabilitation, public works programmes, microfinance, good governance, mine awareness and de-mining, local economic development and conflict prevention
ICRC and IFRC	Core activities for economic recovery include nutrition, agro-veterinary, micro-economic initiatives and essential household items
World Bank	An agreement for cooperation with UNHCR and UNDP on the 4Rs. The Bank funds microfinance projects, community empowerment, infrastructure development and disarmament programmes amongst others. It hosts The Consultative Group for Assisting the Poor (CGAP), and manages the Post Conflict Reconstruction Fund
Government	Partnerships will be appropriate with ministries and departments that are involved in refugee affairs, home affairs, planning and finance, public works, roads, community development, education, training, employment, agriculture and livestock production, economic development, trade, fisheries, forestry and water
NGOs and civil society	Development NGOs are particularly useful partners as they generally have considerable experience, are innovative and highly committed
Private sector	There are many ways to use the private sector, e.g.: ensuring labour-based approaches (using local labour) are effective by hiring local contractors; and facilitating linkages with private traders and markets
Public sector	They have knowledge of the conditions prevailing - socially, economically, environmentally, politically etc. and are responsible for security and services to the population. Use the experience of the local employment programmes
Community institutions	These may include religious organisations as well as community groups and other institutions. They can be harnessed in a very wide range of ways to ensure the final effective delivery of a project if their involvement is participatory from the outset, as well as transparent
Bilateral agencies	They generally provide technical cooperation and expertise as well as financial resources, and have working relationships with government

⁹ See Annex 1.1: References for the *UNHCR/WFP Joint Assessment Guidelines* (2004).

Figure 7.2 provides selection criteria for identifying suitable partners for implementing self-reliance projects.

Figure 7.2: Checklist of selection criteria for partners to implement self-reliance projects

✓ **Check:**

Status of the organisation

- Is the organisation mandated to work in this field? Is it registered/authorised to work in that country/this area? Has it complied with all relevant statutory requirements?

Reputation of the organisation

- Does the organisation have a good reputation among NGOs and international organisations, and with the host government and regional authorities?
- Is the organisation likely to have a good relationship with the communities with which they will be working? Does it have a reputation that will lead to unrealistic expectations?
- Does the organisation have a good track record for sustainable initiatives, effective narrative and financial reporting? What has the organisation achieved in the past?
- Is the organisation well supported by donors? Does it have a strong network of donors, a good reputation and adequate resources of its own?

Experience of the organisation

- Is the organisation familiar with the circumstances prevailing in the programme area? Is it able to work within those social, political, environmental, cultural, economic and legal conditions?
- Does the organisation have experience with refugees/returnees and host communities? Does the existing (or proposed team) have competence in this field of work?

Capacity of the organisation

- Does the organisation have a firm foundation? Will it exist and function effectively for the duration of project interventions and beyond?
- Does the organisation have effective administrative and financial control systems in place? Can it protect itself from fraud?
- Can the organisation implement projects on the scale necessary? Does it have adequate personnel, technical scope and infrastructure?
- Does the organisation have a strong and effective management structure that encourages local initiative and commitment as well as responsiveness to local needs and collaboration with other agencies? Is local management likely to remain effectively focused?

The organisation's approach

- Does the organisation have the vision, objectives and strategies necessary to work effectively with refugees/returnees and local people, and support their ambition for self-reliance?
- How seriously does the organisation address issues of sustainability and phase-out? Does the organisation have a truly long-term focus on self-reliance and development?
- Is the organisation efficient, with relatively low overheads for work undertaken in the field? How do its costs compare with its achievements?
- How adaptive has the organisation been in the past? Does it respond easily to new needs, novel approaches and changing opportunities?

Tool 8

WRITING UP PLANS

*This tool is to **guide the writing** of self-reliance plans - ensuring they are well thought-through and structured properly.*

A. What is the tool

A guide.

B. Who is involved

UNHCR and partner Managers together with those who undertook any in-depth self-reliance assessment. Input should also be provided by government and UNHCR Field Staff, and involve communities.

C. How long will it last

It should be accomplished over a period of no more than two weeks.

D. What to do

1. Establish a planning team that includes UNHCR staff, implementing and operational partners (i.e. humanitarian and development actors), government and local authority staff, technical specialists, and refugee/returnee and hosting/receiving population representatives.
2. Equip the team with summaries of the assessment reports and recommendations from the analysis workshops.
3. With the planning team (at a workshop) develop the broad framework for the project. Record the session in a log frame format on flipcharts - **see E**.
4. Write-up the project.
5. Present the project document to the planning team and finalise in the light of recommendations.

E. Areas to address in project design

Figure 8.1 provides the format used by UNHCR for log frames. **Figure 8.2** presents the key areas to address.

Figure 8.1: Logical framework format

Financial and management information system (FMIS) sector code:	FMIS sector:	
Current situation	Sector objectives	Impact indicators
	Outputs	Performance indicators

Figure 8.2: Content of a project document

✓ **Components:**

- Summary of the UNHCR Country Strategy as part of the national and local development plans (i.e. the strategic vision)
- Who should benefit from the project - which groups and how many people/households (refugees/returnees and the local population, by gender and age)? (Include types of vulnerability if relevant)
- What are the Strategic Goals? What are the long-term self-reliance goals? How will these help people to achieve self-reliance?
- What are the specific objectives - the desired results?
- What will be the impact of the project on the refugees' (men, women, girls and boys) enjoyment of protection?
- How will the project help prepare the refugees for prospective durable solutions?
- What strategies will be adopted - what methods will be used to: create a suitable environment; and provide the skills, resources for increasing self-reliance? What specific processes or actions will increase self-reliance among the beneficiaries during the life of the project?
- What are specific outputs/deliverables?
- What specific activities will be implemented? What livelihood activities will be established (and in what timeframe)?
- What expertise will be needed to do the work, and where will the expertise come from? Who will be involved in the project, and what are their roles and responsibilities (both humanitarian and development actors)?
- How is the sustainability of project processes to be addressed?
- When will the project be implemented (i.e. what timeframe)?
- What will the project cost? Who will contribute to what?
- What are the strategies for phasing-in the development actors/programmes?
- What are the exit strategies for humanitarian actors?
- What are the strategies for eventual phasing-out of support by the development actors?
- How and by whom will the project be monitored? What will be the indicators?
- How and by whom will the project be evaluated?

Additional issues that should be considered:

- What mechanisms ensure the project benefits groups and households with special needs?
- How will the project contribute to the MDGs, gender equality, peace building and poverty reduction?
- What processes ensure gender and age issues are adequately addressed?
- How will the project contribute to coexistence and peace-building?
- How will the project contribute to local economic development? How does it fit in with the local development plans?
- How will the project take a community-based approach and build capacity?
- Does the project involve local authorities and communities, and promote ownership among them?

Tool 9

MONITORING THE ACTIVITIES

*This tool is to **check that the project is running smoothly and efficiently**, and help you make any necessary adjustments - ensuring inputs are provided, activities are on track, objectives will be met and expenditure will be within the specified/agreed budget.*

A. What is the tool

A checklist.

B. Who is involved

The operational partner working with the field staff, refugee/returnee and hosting/receiving community representatives, government teams, local authorities and their operational partners; under the supervision of managers.

C. How long will it last

Through project establishment; and throughout the life of the project.

D. What to do

- A** ➤ 1. Prepare and facilitate a stakeholders' workshop to review and select a limited number of carefully thought-out indicators relevant to the project or initiative.
- B** ➤ 2. Review the UNHCR Cross-cutting Policy Priority Indicators¹⁰ and identify further indicators as appropriate. Agree on the methods for using them.

A ➤ See Annex 1.11: Indicators.

B ➤ Annex 4 of the *Practical Guide to the Systematic Use of Standards & Indicators in UNHCR Operations*.

¹⁰ See Annex 1.1: References.

3. Incorporate indicators and UNHCR Cross-cutting Policy Priority Indicators into planning processes - the Country Operation Plan, Project Submission and Sub-Project Agreement.
4. Facilitate stakeholders' workshop to assess change and progress, using the indicators incorporated in the log frame and other plans - **see E**.
5. Report change and progress (Country Reports, Sub-Project Monitoring Report, Situation Report and the Mid-Year Progress Report) and amend project implementation processes to accommodate lessons.



E. Programme cycle

Assess change and progress through regular reviews, referring to the indicators incorporated in the planning processes (in particular in the log frame).



See Log frame format and example in **Annex 1.11: Indicators**.

Tool 10

DEVELOPING AND USING BENCHMARKS

*This is to **guide the preparation of a simple progress chart** that indicates the key achievements towards increasing self-reliance.*

A. What is the tool

A template with suggested headings.

B. Who is involved

The operational partner working with refugee/returnee and local communities, UNHCR field staff, government teams and local authorities.

C. How long will it last

Start this process as soon as there are refugee/returnee representative groups with whom to work, and self-reliance initiatives are being discussed. The work will extend over two or three half day sessions, with subsequent review meetings for updating and amending the benchmarks, and assessing progress.

D. What to do

1. Plan and schedule a series of meetings and identify representatives among the refugee/returnee and local communities, UNHCR field staff, government teams and local authority staff who will participate on a sustained (and possibly) infrequent basis.
2. In the first meetings:
 - Discuss what self-reliance means in the context of prevailing circumstances.
 - Clarify the purpose of the meeting and elaborate, through discussion, the meaning and use of benchmarks.
 - Provide examples of benchmarks. **See E and G.**

- Discuss who will use the benchmarks, and how they will be used.
 - Discuss the Achievements that will represent progress towards increasing self-reliance in your programme. This is best done by addressing a question such as “In strengthening self-reliance, what (will) refugees/returnees have done or achieved?” **See F.**
 - Identify relevant benchmarks and the indicators that will confirm their achievement. An example is given in the Field experience box. **See G.**
 - Use the template (**see F**) to write up the benchmarks.
 - Plan how the benchmarks will be used and reviewed. Decide when the subsequent reviews will be held, and how the benchmarks should be refined and revised as the operation changes, and new opportunities and challenges arise.
- 3.** In subsequent meetings reiterate and review the meaning of self-reliance as circumstances change, review achievements and determine how the benchmarks will continue to be used.

E. Areas to consider

These are some of the key areas in response to the question “In strengthening self-reliance, what (will) refugees/returnees have done or achieved?” Consider their relevance to your operation, and identify further areas.

Figure 10.1: Achievements

In strengthening self-reliance, refugees/returnees have:

Participated

- Genuinely participated in self-reliance assessments
- Genuinely participated in setting self-reliance priorities, objectives and defining outcomes
- Developed benchmarks for assessing progress towards self-reliance and their respective indicators

Housing

- Access to shelter
- Access to housing

Property

- The right to own property (most relevant to returnees)

Productive assets

- Access to productive assets/resources from which to generate income
- Access to natural resources - land
- Access to natural resources - water for agricultural purposes
- Access to natural resources - de-mining of agricultural lands
- Access to natural resources - livestock and grazing

Knowledge and skills

- Access to technical support and services
- Access to vocational training and other skills-enhancing opportunities

Ability to generate income

- Access to markets
- Access to employment opportunities
- Employment-related secondary migration and reverse movements (most relevant to returnees)

Legal protection and security

- Access to judicial processes
- Benefited from the rule of law
- Access to legal information and support
- Political willingness to establish rule of law
- Human security (people not subject to forced military recruitment)
- Human security - landmines, small arms and UXOs
- Human security - gender-related violence
- The benefit of safe access (by protection agencies)
- National identity documents (most relevant to returnees)
- Not been subject to illegal taxation
- Access to financial services
- No indebtedness
- Good political awareness (most relevant to returnees)
- Access to political participation (most relevant to returnees)

F. A standardized benchmark tool

Below is a table of benchmarks which may be used in many operations. As well as deleting or modifying Achievements, identify Benchmarks and Indicators, adding new ones to reflect the programme you are working in, and the interests and aspirations of those you are working with - particularly the refugee/returnee and local communities.

Figure 10.2: Template for developing benchmarks

Achievements (in strengthening self-reliance, refugees/returnees have):	Examples of benchmarks:	Examples of indicators:
<i>Participated</i>		
Genuinely participated in self-reliance assessments	<input type="checkbox"/>	
Genuinely participated in setting self-reliance priorities, objectives and defining outcomes	<input type="checkbox"/>	
Developed benchmarks for assessing progress towards self-reliance and their respective indicators	<input type="checkbox"/>	
<i>Housing</i>		
Access to shelter	<input type="checkbox"/> All refugees/returnees have access to dignified shelter	<ul style="list-style-type: none"> • Percentage of refugee/returnee families with their own shelter • Percentage of refugee/returnee families with land on which to build a shelter
Access to housing	<input type="checkbox"/>	
<i>Property</i>		
The right to own property (most relevant to returnees)	<input type="checkbox"/> Returnees with property (land and houses) have legal documentation which clearly confirms their ownership	<ul style="list-style-type: none"> • Number of returnees who claim to be involved in conflicts over property (land and/or houses) • Percentage of returnee property cases which have been satisfactorily resolved within 12 months after return • Percentage of returnee property cases solved through community means
	<input type="checkbox"/> Cases of property ownership disputes involving returnees are satisfactorily resolved within the first year after return	
	<input type="checkbox"/> All cases of illegal occupation of property owned by returnees are satisfactorily solved through community or legal means	






Figure 10.2: Template for developing benchmarks

Achievements (in strengthening self-reliance, refugees/returnees have):	Examples of benchmarks:	Examples of indicators:
<i>Productive assets</i>		
Access to productive assets/resources from which to generate income	<input type="checkbox"/> All refugees/returnees have access to resources with which to generate income/supplement handouts	<ul style="list-style-type: none"> Percentage of refugees/returnees engaged in some form of income generation based upon local resources or assets
Access to natural resources - land	<input type="checkbox"/> All refugees/returnees who live in rural areas have access to agricultural land, either through ownership, rental or share-cropping	<ul style="list-style-type: none"> Number or % of refugees/returnees who are engaged in agricultural production Number or % of refugees/returnees with access to land for agricultural purposes
Access to natural resources - water for agricultural purposes	<input type="checkbox"/> All refugees/returnees who live in rural areas and who engage in agricultural production in non-rain fed lands have access to irrigation schemes	<ul style="list-style-type: none"> Number or % of refugees/returnees who have access to irrigation water and who rely mostly on agricultural production in irrigated lands
Access to natural resources - de-mining of agricultural lands	<input type="checkbox"/> Demining of agricultural lands in refugee/returnee -dense areas is prioritized and carried out	<ul style="list-style-type: none"> Number of refugees/returnees who claim that they cannot access or cultivate their land because of landmines and UXOs Percentage of villages with more than 100 returnee families which have been demined Establishment and maintenance of returnee-affected areas as a priority for demining in Mine Action Programs
Access to natural resources - livestock and grazing	<input type="checkbox"/> Refugees/returnees in rural areas have access to livestock for either domestic consumption or commercial purposes	<ul style="list-style-type: none"> Number or % of refugees/returnees having livestock for domestic consumption purposes Number or % of refugees/returnees having livestock for commercial purposes
<i>Knowledge and skills</i>		
Access to technical support and services	<input type="checkbox"/>	





Access to vocational training and other skills-enhancing opportunities	<input type="checkbox"/>	Refugees/returnees have equal access to vocational training courses and other forms of skills improvement	<ul style="list-style-type: none"> Number of refugees/returnees engaged in vocational training (disaggregated by gender, age group and rural vs. urban)
<i>Ability to generate income</i>			
Access to markets	<input type="checkbox"/>	All refugees/returnees engaged in agricultural production, small trade and small industries can market their products directly	<ul style="list-style-type: none"> Existence of public market within a reasonable distance from the production sites Number of refugees/returnees who use middlemen for the marketing or finishing (value-added) of their products
Access to employment opportunities	<input type="checkbox"/>	Temporary employment schemes, such as National Emergency Employment Programs, are implemented in refugees/returnees-affected areas	<ul style="list-style-type: none"> Number of refugees/returnees who have benefited from temporary employment Number of refugees/returnees who are self-employed in sectors other than agriculture
	<input type="checkbox"/>	Refugees/returnees in rural areas have access to off-farm employment (both temporary and semi-permanent)	<ul style="list-style-type: none"> Number of refugees/returnees in urban areas employed on a permanent or semi-permanent basis (i.e. not day laborers), disaggregated by gender
	<input type="checkbox"/>	Refugees/returnees in urban areas have access to steady employment	
Employment-related secondary migration and reverse movements (most relevant to returnees)	<input type="checkbox"/>	The majority of returnee families do not need to resort to migration and remittances	<ul style="list-style-type: none"> Reverse movements of individuals to countries of asylum (by gender, age group and skills/occupation) Secondary migration of individuals to urban centers (by gender, age group and skills/occupation) Reverse movements to countries of asylum and secondary migration to urban centers by entire families Percentage of returnee families dependent on remittances from abroad
<i>Legal protection and security</i>			
Access to judicial processes	<input type="checkbox"/>	Returnees who bring disputes (over property) to judicial bodies have a fair hearing and process	<ul style="list-style-type: none"> Number of disputes solved through judicial processes Percentage of returnee disputes which reach the courts
	<input type="checkbox"/>	Courts tending to property issues are within easy reach of returnee-affected communities	
Benefited from the rule of law	<input type="checkbox"/>	Abuse of returnees by commanders is significantly reduced	<ul style="list-style-type: none"> Number of abusive commanders removed thanks to UN's interventions






Figure 10.2: Template for developing benchmarks

Achievements (in strengthening self-reliance, refugees/returnees have):	Examples of benchmarks:	Examples of indicators:
Access to legal information and support	<input type="checkbox"/> Refugees/returnees have access to free legal aid and information	<ul style="list-style-type: none"> • Number of Information and Legal Aid Centers (ILACs) established throughout the country • Number of refugees/returnees who have visited the ILACs
Political willingness to establish rule of law	<input type="checkbox"/> Provincial and district authorities show willingness to address human rights violations in refugee/returnee-affected areas	<ul style="list-style-type: none"> • Number of abusive commanders removed thanks to UN's interventions
Human security (people not subject to forced military recruitment)	<input type="checkbox"/> Absence of forced military recruitment in returnee communities	<ul style="list-style-type: none"> • Number of returnee men and boys forcibly recruited
Human security - landmines, small arms and UXOs	<input type="checkbox"/> Refugees/returnees are aware of the perils of landmines and UXOs, thus reducing the number of victims	<ul style="list-style-type: none"> • Number of refugee/returnee landmine victims (fatalities and injuries) and percentage of total number of victims (per quarter) • Number and frequency of different types of firearm related crimes (homicide, aggravated assault, robbery) affecting refugees/returnees in rural vs. urban areas
Human security - gender-related violence	<input type="checkbox"/> Overall reduction of gender-related violence in refugee/returnee-affected communities	<ul style="list-style-type: none"> • Number of reported rapes and other forms of gender-related violence involving returnees (either as victims or perpetrators)
The benefit of safe access (by protection agencies)	<input type="checkbox"/> All refugee/returnee-affected communities are easily accessible, including during the winter	<ul style="list-style-type: none"> • Establishment and maintenance of refugee/returnee-affected areas as a priority for de-mining in Mine Action Programs
	<input type="checkbox"/> De-mining of secondary and tertiary roads in returnee-affected areas	
<i>Status</i>		
National identity documents (most relevant to returnees)	<input type="checkbox"/> All returnees are aware of and can easily obtain current or future national identity documents	<ul style="list-style-type: none"> • Number of returnees registering births under the current UNICEF-sponsored informal mechanisms • Number of returnees who have been refused national identity cards





Finance and financial services

Not been subject to illegal taxation	<input type="checkbox"/>	Illegal taxation of refugees/returnees is reduced	<ul style="list-style-type: none"> Number of instance of illegal taxation in refugee/returnee-affected communities
Access to financial services	<input type="checkbox"/>	Refugees/returnees have equal access to microfinance schemes, both in rural and urban areas	<ul style="list-style-type: none"> Number of refugees/returnees who have received a microcredit (disaggregated by gender, age group and rural vs. urban)
No indebtedness	<input type="checkbox"/>	The indebtedness of returnee families is significantly reduced	<ul style="list-style-type: none"> Percentage of returnee families who claim to have a debt (either to individuals or agencies)
<i>Political awareness/participation</i>			
Good political awareness (most relevant to returnees)	<input type="checkbox"/>	All returnees are aware of Constitution-making or revision processes	<ul style="list-style-type: none"> Number or % of returnees who show awareness about constitutional processes
	<input type="checkbox"/>	All returnees are aware of any upcoming elections	<ul style="list-style-type: none"> Number or % of returnees who show awareness about elections and/or the electoral registration process
Access to political participation (most relevant to returnees)	<input type="checkbox"/>	Eligible returnees participate in any constitutional process (e.g. in the Constitutional reviews)	<ul style="list-style-type: none"> Number of returnees who are aware of Constitution-making or revision processes
	<input type="checkbox"/>	Eligible returnees participate in electoral process, either as voters or candidates	<ul style="list-style-type: none"> Number of returnees who are aware when there will be elections
	<input type="checkbox"/>	Returnees are actively engaged in community-level democratic processes	<ul style="list-style-type: none"> Number of returnees who express their intention to participate in elections, either as voters or as candidates Number of returnees born abroad who are denied the right to vote
	<input type="checkbox"/>	Leaders in returnee-affected communities inform all residents about Constitutional and electoral processes	<ul style="list-style-type: none"> Number of communities where respondents state that community leaders (elders, shuras, religious leaders) have informed community residents about the Constitutional process
	<input type="checkbox"/>	Relevant return and reintegration-related issues are addressed during Constitution-making or revision processes	<ul style="list-style-type: none"> Number of communities where respondents state that community leaders (elders, shuras, religious leaders) have informed community residents about elections
<i>Further (process-based) benchmarks</i>			
Achievements more closely linked to phase-out issues	<input type="checkbox"/>	See Figure 13.1 in Tool 13: Phasing-out involvement in self-reliance initiatives for ideas. The column "Examples of status sought" provides statements that can be used as benchmarks	<ul style="list-style-type: none"> Possible indicators are also provided in Figure 13.1 in Tool 13

G. Example of benchmarks

The field experience on the next page provides an example of benchmarks that were developed for a reintegration programme. It does not address self-reliance specifically but contains many self-reliance elements. It is useful to follow this approach; and the use of different colours to indicate benchmarks for: individual returnees or returnee families; entire returnee communities, districts or provinces; or communities involved in certain processes that are usually of a temporary nature.

Field experience: Proposal for inclusion of reintegration issues in returnee monitoring for Afghanistan

Notes:


- Benchmarks and indicators in black relate to individual returnees or returnee families
- **Benchmarks and indicators in bold purple relate to entire returnee-affected communities, districts or provinces**
- **Benchmarks and indicators in light purple are of a temporary nature and/or relate strictly to communities involved in certain processes (e.g. NSP)**

Issue:	Benchmark:	Indicators:
<i>Legal issues</i>		
Ownership of property	<ul style="list-style-type: none"> • Returnees with property (land and houses) have legal documentation which clearly confirms their ownership • Cases of property ownership disputes involving returnees are satisfactorily resolved within the first year after return • All cases of illegal occupation of property owned by returnees are satisfactorily solved through community or legal means 	<ul style="list-style-type: none"> • Number of returnees who claim to be involved in conflicts over property (land and/or houses) • Percentage of returnee property cases which have been satisfactorily resolved within 12 months after return • Percentage of returnee property cases solved through community means
Access to judicial processes	<ul style="list-style-type: none"> • Returnees who bring disputes (over property) to judicial bodies have a fair hearing and process • Courts tending to property issues are within easy reach of returnee-affected communities 	<ul style="list-style-type: none"> • Number of disputes solved through judicial processes • Percentage of returnee disputes which reach the courts
Access to legal information and support	<ul style="list-style-type: none"> • Returnees have access to free legal aid and information 	<ul style="list-style-type: none"> • Number of Information and Legal Aid Centers established throughout the country • Number of returnees who have visited the ILACs
Establishment of the rule of law	<ul style="list-style-type: none"> • Abuse of returnees by commanders is significantly reduced 	<ul style="list-style-type: none"> • Number of abusive commanders removed thanks to UN's interventions
Illegal taxation	<ul style="list-style-type: none"> • Illegal taxation of returnees is reduced 	<ul style="list-style-type: none"> • Number of instance of illegal taxation in returnee-affected communities
National identity documents	<ul style="list-style-type: none"> • All returnees are aware of and can easily obtain current or future national identity documents 	<ul style="list-style-type: none"> • Number of returnees registering births under the current UNICEF-sponsored informal mechanisms • Number of returnees who have been refused national identity cards




Field experience: Proposal for inclusion of reintegration issues in returnee monitoring for Afghanistan		
Issue:	Benchmark:	Indicators:
<i>Political</i>		
Political awareness	<ul style="list-style-type: none"> All returnees are aware of the Constitution-making process All returnees are aware of the upcoming general elections Returnees are aware of the community-level structures set in place under the National Solidarity Program (NSP) 	<ul style="list-style-type: none"> Number or % of returnees who show awareness about the constitutional process Number or % of returnees who show awareness about the 2004 elections and/or the electoral registration process Number or % of returnees who show awareness about the establishment of Community Development Councils (CDC) being established under NSP
Political participation	<ul style="list-style-type: none"> Eligible returnees participate in the Constitutional process (e.g. in the Constitutional Loya Jirga) Eligible returnees participate in the 2004 electoral process, either as voters or candidates Returnees are actively engaged in community-level democratic processes, particularly those related to the National Solidarity Program (NSP) (e.g. voting in CDC elections, as members of the CDCs, etc.) Leaders in returnee-affected communities inform all residents about the Constitutional and electoral processes Relevant return and reintegration-related issues are addressed during the Constitution-making process Relevant return and reintegration-related issues are addressed before and during the electoral process 	<ul style="list-style-type: none"> Number of returnees who are aware of the Constitution-making process (e.g. they know the process for establishing the new Constitution including the ongoing provincial discussions and the formation of the Constitutional Loya Jirga) Number of returnees who are aware that there will be elections in 2004 Number of returnees who express their intention to participate in the 2004 elections, either as voters or as candidates Number of returnees born abroad who are denied the right to vote Number of returnees elected to the Community Development Councils (CDC) established under the NSP Number of returnees who admit having voted in the elections for CDC members Number of returnees working as facilitators or community organizers under NSP Number of communities where respondents state that community leaders (elders, shuras, religious leaders) have informed community residents about the Constitutional process Number of communities where respondents state that community leaders (elders, shuras, religious leaders) have informed community residents about the 2004 elections





Political willingness to establish rule of law	<ul style="list-style-type: none"> • Provincial and district authorities show willingness to address human rights violations in returnee-affected areas • The presence of the Afghan National Army (ANA) is extended to all 32 provinces 	<ul style="list-style-type: none"> • Number of abusive commanders removed thanks to UN's interventions • Number of returnee-affected districts (minimum 2000 returnees) where the Afghan National Army (ANA) has been deployed
Political willingness to carry out a DDR process	<ul style="list-style-type: none"> • Disarmament and demobilization of ex-combatant is carried out in a systematic manner throughout the country and leads to a decrease in insecurity in returnee-affected communities 	<ul style="list-style-type: none"> • Number of returnees who are aware of the DDR process • Number of returnees who admit having an immediate relative (father, husband, brother, son) willing to demobilize • Number of district or community leaders who express a positive opinion about the disarmament and demobilization process
Human security: Forced military recruitment	<ul style="list-style-type: none"> • Absence of forced military recruitment in returnee communities 	<ul style="list-style-type: none"> • Number of returnee men and boys forcibly recruited
<i>Economic</i>		
Access to natural resources: Land	<ul style="list-style-type: none"> • All returnees who live in rural areas have access to agricultural land, either through ownership, rental or share-cropping 	<ul style="list-style-type: none"> • Number or % of returnees who are engaged in agricultural production • Number or % of returnees with access to land for agricultural purposes
Access to natural resources: water for agricultural purposes	<ul style="list-style-type: none"> • All returnees who live in rural areas and who engage in agricultural production in non rain-fed lands have access to irrigation schemes 	<ul style="list-style-type: none"> • Number or % of returnees who do not have access to irrigation water and who rely mostly on agricultural production in non rain-fed lands
Access to natural resources: de-mining of agricultural lands	<ul style="list-style-type: none"> • Demining of agricultural lands in returnee-dense areas is prioritized and carried out 	<ul style="list-style-type: none"> • Number of returnees who claim that they cannot access or cultivate their land because of landmines and UXOs • Percentage of villages with more than 100 returnee families which have been demined • Establishment and maintenance of returnee-affected areas as a priority for demining in MAPA
Access to natural resources: Livestock	<ul style="list-style-type: none"> • Returnees in rural areas have access to livestock for either domestic consumption or commercial purposes 	<ul style="list-style-type: none"> • Number or % of returnees having livestock for domestic consumption purposes • Number or % of returnees having livestock for commercial purposes
Access to markets	<ul style="list-style-type: none"> • All returnees engaged in agricultural production, small trade and small industries can market their products directly 	<ul style="list-style-type: none"> • Existence of public market within a reasonable distance from the production sites • Number of returnees who use middlemen for the marketing or finishing (value-added) of their products






Field experience: Proposal for inclusion of reintegration issues in returnee monitoring for Afghanistan


Issue:	Benchmark:	Indicators:
Year-round accessibility	<ul style="list-style-type: none"> All returnee-affected communities are easily accessible, including during the winter De-mining of secondary and tertiary roads in returnee-affected areas 	<ul style="list-style-type: none"> Establishment and maintenance of returnee-affected areas as a priority for de-mining in MAPA
Employment-related secondary migration and reverse movements	<ul style="list-style-type: none"> The majority of returnee families do not need to resort to migration and remittances 	<ul style="list-style-type: none"> Reverse movements of individuals to countries of asylum (by gender, age group and skills/occupation) Secondary migration of individuals to urban centers (by gender, age group and skills/occupation) Reverse movements to countries of asylum and secondary migration to urban centers in Afghanistan by entire families Percentage of returnee families dependent on remittances from abroad
Access to employment opportunities	<ul style="list-style-type: none"> Temporary employment schemes, such as National Emergency Employment Programs, are implemented in returnee-affected areas Returnees in rural areas have access to off-farm employment (both temporary and semi-permanent) Returnees in urban areas have access to steady employment 	<ul style="list-style-type: none"> Number of returnees who have benefited from temporary employment Number of returnees who are self-employed in sectors other than agriculture Number of returnees in urban areas employed on a permanent or semi-permanent basis (i.e. not day laborers), disaggregated by gender
Access to microfinance	<ul style="list-style-type: none"> Returnees have equal access to microfinance schemes, both in rural and urban areas 	<ul style="list-style-type: none"> Number of returnees who have received a microcredit (disaggregated by gender, age group and rural vs. urban)
Indebtedness	<ul style="list-style-type: none"> The indebtedness of returnee families is significantly reduced 	<ul style="list-style-type: none"> Percentage of returnee families who claim to have a debt (either to individuals or agencies)
Access to vocational training and other skills-enhancing opportunities	<ul style="list-style-type: none"> Returnees have equal access to vocational training courses and other forms of skills improvement 	<ul style="list-style-type: none"> Number of returnees engaged in vocational training (disaggregated by gender, age group and rural vs. urban)



Social



<p>Access to basic social services: Primary Education</p>	<ul style="list-style-type: none"> All returnee children have equal access to primary education All returnee children, especially girls, are allowed by their parents to attend primary schools All communities with significant numbers of returnees have a primary school within an accessible distance All communities with significant numbers of returnees have a primary school where girls can be taught 	<ul style="list-style-type: none"> Number of returnee children who are denied access to primary schools due to discriminatory practices (e.g. due to their ethnicity or returnee status) Number of returnee children who are denied access to primary schools due to limited capacity Number of returnee heads of household who respond that girls' education is not a priority or is not in their culture or traditions Number of returnee heads of household who respond that their children (or some of them) cannot attend school as they have household chores to fulfill Number of returnee heads of household who respond that their children (or some of them) cannot attend school as they have to contribute to the household's income Returnses' right to primary education enshrined in national education policies Number of returnee-affected communities without a primary school
<p>Access to basic social services: Primary Health Care</p>	<ul style="list-style-type: none"> All returnees have equal access to primary health care All returnees, especially women, are allowed by their families to frequent health services All communities with significant numbers of returnees have a primary health center within an accessible distance All communities with significant numbers of returnees have a health center with staff able to care for women 	<ul style="list-style-type: none"> Number of returnees who claim to have been refused access to public health services Number of returnee women who cannot access public health services due to gender-related concerns (e.g. lack of female medical staff) Number of returnee affected communities without a health center or clinic within an accessible distance Number of returnee-affected communities without a traditional birth attendant Returnses' right to primary health care enshrined in national health policies
<p>Access to basic social services: Potable drinking water</p>	<ul style="list-style-type: none"> Returnees have access to potable drinking water sources Communities with significant numbers of returnees have access to potable drinking water sources according to established national standards Communities with significant numbers of returnees have established a working water pump maintenance and repair system 	<ul style="list-style-type: none"> Number of returnee-affected communities with access to a water point within an accessible distance Percentage of returnee-affected communities with a malfunctioning water well (e.g. due to pump disrepair, etc.) Percentage of returnee families without access to drinking water





Field experience: Proposal for inclusion of reintegration issues in returnee monitoring for Afghanistan		
Issue:	Benchmark:	Indicators:
Sanitation	<ul style="list-style-type: none"> Returnee families have access to public or private baths and latrines/toilets 	<ul style="list-style-type: none"> Percentage of returnee families without access to baths (either public or private) Percentage of returnee families without access to latrines or toilets (either public or private)
Rehabilitation of social infrastructure: schools and clinics	<ul style="list-style-type: none"> Returnee-affected areas receive priority in the implementation of programs aimed at rehabilitating social infrastructure (especially schools and clinics) 	<ul style="list-style-type: none"> Percentage of rehabilitated schools and clinics located in villages concentrating more than 100 returnee families
Access to shelter	<ul style="list-style-type: none"> All returnees have access to dignified shelter 	<ul style="list-style-type: none"> Percentage of returnee families who still lack access to their own shelter Percentage of returnee families without a plot of land to build a shelter
Rights of the child	<ul style="list-style-type: none"> Returnee-affected communities are aware of the rights of children Number of returnee children abused and/or abducted is reduced 	<ul style="list-style-type: none"> Number of returnee-affected communities who have undergone ARC training Number of Government and NGO officials who have undergone ARC training
Returnees with specific needs	<ul style="list-style-type: none"> Returnees with specific needs (e.g. physically or mentally challenged, widows and orphans) have access to social protection schemes 	<ul style="list-style-type: none"> Percentage of returnees with specific needs who are being assisted by institutions involved in social protection
Drug use and abuse	<ul style="list-style-type: none"> All returnee drug users and abusers are aware of programs and agencies (NGOs and governmental) providing rehabilitation support to drug addicts 	<ul style="list-style-type: none"> Number of returnees who are aware of drug rehabilitation programs Number of NGOs having rehabilitation projects in returnee-affected communities
Psycho-social support	<ul style="list-style-type: none"> Community-level and institutional psycho-social support is readily available to returnees and other war-affected groups 	<ul style="list-style-type: none"> Incidence of psychosocial trauma (as reported by returnees and by medical staff)
Human security: Landmines, small arms and UXOs	<ul style="list-style-type: none"> Returnees are aware of the perils of landmines and UXOs, thus reducing the number of victims 	<ul style="list-style-type: none"> Number of returnee landmine victims (fatalities and injuries) and percentage of total number of victims (per quarter) Number and frequency of different types of firearm related crimes (homicide, aggravated assault, robbery) affecting returnees in rural vs. urban areas
Human security: Gender-related violence	<ul style="list-style-type: none"> Overall reduction of gender-related violence in returnee-affected communities 	<ul style="list-style-type: none"> Number of reported rapes and other forms of gender-related violence involving returnees (either as victims or perpetrators) <p><i>Prepared by UNHCR Reintegration Unit, Kabul, Afghanistan (2003)</i></p>

Tool 11

DEVELOPING A JOINT FUNDING STRATEGY

This tool is to guide the preparation of a joint funding strategy for self-reliance projects.

A. What is the tool

A simple checklist.

B. Who is involved

UNHCR and partner managers (including agencies such as FAO, ILO, UNDP, Unicef, WFP, or World Bank) working with government, NGOs and UNHCR field staff.

C. How long will it last

A few weeks to start the process; but to secure the funds will take longer.

D. What to do

1. Maximise the use of existing resources. Identify what resources are available. Explore the possibility for re-orienting their use to address some of the objectives.
2. Decide when you are ready to involve donors and technical cooperation agencies on the ground. (The sooner the better).
3. Agree on a common strategy and develop a joint proposal for the promotion of self-reliance.
4. Start with local donors. Consult with donors (humanitarian and development branches) who are interested, who are on the ground in the refugee/returnee area or who can be mobilised from headquarters. It will strengthen the case if a number of the different collaborating agencies, UNHCR, UNDP, WFP and ILO etc. all approach a potential donor with the same project - adding weight to the approach.
5. Seek alternative arrangements to ensure greatest funding flexibility and support (including joint UNHCR-NGO approaches to donors for direct funding to NGOs for multiple-year funding).
6. Finalise operational arrangements including roles and responsibilities.

Tool 12

TOOLS FOR SHORT-TERM EMPLOYMENT OPTIONS - FOOD-FOR-WORK

*This tool is to **check the application of food-for-work projects** in a programme. It will guide decisions on: whether it is a suitable strategy; if it is best used as an incentive or to create temporary employment; and how to establish and implement such projects. This tool will be used by field staff and programme managers.*

A. What is the tool

A simple checklist.

B. Who is involved

Field staff working with partners (including WFP, ILO, UNDP, NGOs, local and national authorities).

C. How long will it last

Planning over one week.

Implementation is usually less than six-months.

D. What to do

A

1. Understand food for work.
2. Analyse why food-for-work should (or should not) be used - **see E**.
3. Undertake an impact assessment.
4. Plan the project.

A

See Annex 1.13.5:
Food-for-work.

5. Where temporary employment is the goal i.e. wage-earning, set the wage using the ILO/WFP guideline - **see F**.
6. Where food-for-work is used as an incentive, ensure that work is voluntary, and that it is a self-help activity.

E. Points to consider

A number of questions will help to inform decision-making:

1. Are the conditions appropriate? Is there interest among beneficiaries in receiving food? Is the need for food critical? (*Consider self-sufficiency in food production, the scarcity of food, interest in food-for-work among beneficiaries, wage levels, whether market mechanisms are working*).
2. Can food-for-work be used to build local capacity and infrastructure that will lead to self-reliance?
3. Can cash payments be made instead? Are food prices stable? (*Look at whether there is a highly developed labour culture and if workers can afford to buy sufficient food from markets. Consider if ongoing food-for-work activities will undermine livelihood development and sustainability*).
4. Should food-for-work be continued: once the emergency phase has ended; when workers are unhappy with the arrangement; or when a programme can no longer maintain the logistics and costs?
5. What food resources can be made available? How will food-for-work impact on local patterns of food production and trade (on an item-by-item basis)?
6. What will the project do? (*Work out the: size of the project, reflecting the food available and number of beneficiaries; the cost of the project; the strategic importance of work outputs; and the subsequent maintenance needs in terms of cost and labour*).

F. Setting the wage

Figure 12.1: The ILO/WFP guidelines on remuneration

Remuneration should always include a cash component of at least 50% of the minimum wage; or where there is no minimum wage the cash component should be set at the market wage for similar types of work. To calculate the maximum amount of food that can be provided:

1. Determine the current wage, or the market wage for related types of activities. Divide the monthly minimum by 30
2. Pay half of the daily minimum in cash
3. Establish the value of the food that will be used as partial payment. Ensure that this food is given an adequate and fair value
4. Using this information calculate the amount of food that will cover the remaining half of the daily wage. When the value of food fluctuates the amount of cash remuneration can be adjusted accordingly, as long as it remains at least 50% of the total wage

If a set ration is to be used it must not exceed the ILO/WFP guideline:

1. Determine the amount of the food ration, and calculate its cash value
2. Calculate the amount to be paid in cash (50% of the daily minimum wage) and in-kind (the remaining 50%) using the methods outlined above
3. If the value of the food ration is lower than the amount in-kind calculated in step 2, pay the difference in cash
4. If the value of the food ration is higher than the amount in-kind calculated in step 2, the ration could be reduced, but the amount to be paid in cash must remain the same

Tool 13

PHASING-OUT INVOLVEMENT IN SELF-RELIANCE INITIATIVES

*This tool is to **provide a check on whether UNHCR can phase-out** of a direct role in the development and implementation of self-reliance initiatives - providing a means for determining if self-reliance activities are on a stable footing with adequate institutional, financial and technical resources, whether there is sufficient political will to support activities and if refugees/returnees and local populations have developed sufficient momentum to achieve increasing self-reliance. It also identifies actions that will facilitate phasing-out.*

A. What is the tool

Sample checklists.

B. Who is involved

UNHCR middle managers liaising with protection and field staff, operational partners, government and donors, with decisions approved by senior managers.

C. How long will it last

Can be drafted over a few days.

D. What to do

1. Establish a team comprising field staff, operational partners, government and donors to develop the checklist.
2. Determine in principle what should be achieved by the time that UNHCR withdraws from direct involvement in self-reliance initiatives - **see E**.
3. Specify the criteria/indicators that will permit UNHCR to phase-out direct involvement in self-reliance initiatives - **see E**.
4. Identify actions that can facilitate UNHCR phase-out from self-reliance projects - **see F**.
5. Finalise the checklist with UNHCR senior managers and senior representatives of government, operational partners and other agencies working in the programme.

E. Preparing a checklist for phasing-out

A clear strategy for exit or phase-out requires careful planning to make sure that projects are transferred to development agencies or government, or that some other process ensures the benefits of the project are maintained. The strategy will vary from one intervention to another, and will differ between communities. In principle however:

- If technology transfer is a cornerstone of the development process then extension, communication and training skills must be developed within an alternative institution to the operational partner - because when the operational partner's money runs out the service stops. The alternatives include strengthening government extension networks, developing community-based service providers and linking extension and technology transfer to input suppliers.
- If credit schemes to support enterprise development are a cornerstone to the development process, then ensure you build support mechanisms that offer the right expertise, and that will continue to provide financial services in a sustained way, even after the departure of humanitarian actors, e.g. place it in a local institution (like a bank) or in a local NGO, with a profit margin to maintain the capital base and an overhead to cover operating costs.
- If farm product marketing is a key component of (say) an agricultural production system, then avoid direct intervention in trading, but support the development of local producer associations with skills in quality control, bulking produce, finding buyers and negotiating prices, as well financial transparency and money management.

Use the following table (**Figure 13.1**) as a reference when preparing a checklist that is specific to the programme in which you are working.

Figure 13.1: Examples of status and indicators

Examples of status sought:	Possible indicators:
Government, operational partners and local authorities committed to initiatives that progressively strengthen refugee/returnee and local community self-reliance	<ul style="list-style-type: none"> • Self-reliance initiatives reflected in operational plans, regional and national development plans, etc. • Letters of agreement with partners concluded • Existence of projects and other activities that promote self-reliance implemented by these actors
Refugees/returnees committed to increasing their self-reliance, and believe the necessary resources are/will be available	<ul style="list-style-type: none"> • Existence of active community groups exploring, planning and implementing self-reliance activities • Refugee/returnee representative participation in livelihood development forums and programme meetings
Hosting/receiving populations supportive of self-reliance initiatives among refugee/returnee populations, and believe mutual benefits will accrue	<ul style="list-style-type: none"> • Existence of joint committees or reciprocal participation in local committees • Examples of mutually beneficial collaboration between refugees/returnees and local communities (that reflect a positive trend) • Lack of conflict and clear expressions of commitment to the adoption of self-reliance activities by refugees among local populations
Host governments remove all major barriers to refugees' participation in the local economy and encourage involvement in development activities	<ul style="list-style-type: none"> • Appropriate legislation and policies in place that permit refugees to pursue livelihood opportunities • Demonstrated commitment to availing the necessary technical, natural and other raw resources to refugees • Demonstrated commitment to support for self-reliance activities among government departments e.g. in providing extension/technology transfer services, issuing trading licenses, etc.
Receiving governments incorporate returnees into local development processes and provide full resources and rights to enable their reintegration	<ul style="list-style-type: none"> • Financial and material resources availed and access to natural resources provided • Social, financial and technical services provided without discrimination • Individual rights fulfilled
UNHCR playing a progressively smaller role in the identification and design of self-reliance initiatives	<ul style="list-style-type: none"> • Operational partners taking the initiative for identifying, planning and seeking funding for self-reliance initiatives
Competent agencies, to take over responsibility for self-reliance initiatives and for implementing effective projects with refugees/returnees and local population, are present in the area	<ul style="list-style-type: none"> • Participating humanitarian agencies have developed/strengthened relevant capacity and/or development agencies drawn in to the programme • Operational agencies have adopted appropriate, effective and sustainable strategies • Local NGOs established and registered, with credentials established



Figure 13.1: Examples of status and indicators



Examples of status sought:	Possible indicators:
<p>Donors committed to financing self-reliance initiatives coordinated by implementing agencies, government or community-based organisations</p>	<ul style="list-style-type: none"> • Appropriate budget-lines established in-country • Donors' commitment to self-reliance/livelihood development demonstrated (or documented) • Donors committed to financing self-reliance initiatives through operational partners and government, etc. (rather than UNHCR)
<p>Government extensionists and other technology transfer agencies providing sustainable services to refugees/returnees and local communities</p>	<ul style="list-style-type: none"> • Government departments (and other agencies) actively involved in extension, training and other technology transfer activities with refugees/returnees as well as local communities
<p>Refugees/returnees and local communities able to maintain and further develop self-reliance initiatives without external technical or financial support</p>	<ul style="list-style-type: none"> • Refugees/returnees in an economically productive and socially stable environment with productive activities advanced and contributing to the greater part of their livelihood needs • Local service providers and coping mechanisms established • Commercial activities (e.g. marketing of crops, small businesses and other enterprises) contributing substantially to the local economy

F. Facilitating phase-out

Consider the following issues.

Option:	Activity:
Establishment of an information management strategy	Keep a record of who is doing what, where and when. This will ensure that linkages can be made by and between different actors and complementary initiatives, as UNHCR phases-out its direct involvement
Help in formulating self-reliance initiatives for others to implement	Where other agencies are yet to progress with this work, UNHCR's direct involvement in formulating projects for other UN agencies to implement, may be valuable. This role would extend to assistance in the identification and design of projects, and fundraising
Help for consolidating government capacity	Capacity on-the-ground is essential. UNHCR cannot hand over to government services if these are yet to be consolidated - with competence, adequate human and physical resources, and taking a lead role in planning and the management. Refugees, returnees and local people must have confidence in local authorities, as must donors and operational partners
Closure of sub-projects	If UNHCR has had implementation Agreements with partners, specific guidelines must be used for sub-project closure. These address financial control and the management of assets. Guidelines are provided in Section 5.5: Sub-Project Closure of <i>Partnership: an Operations Management Handbook for UNHCR's Partners</i> ¹¹ and the UNHCR Manual Chapter 4 Section 7.4 ¹²
The transfer of development assets	If a loan fund to support the development of businesses/ enterprises has been established and managed by an implementing partner (using funds provided by UNHCR) do not request the loan fund be returned unless there are clear reasons concerning transparency and financial management. By taking back the loan fund, the opportunity for continued benefit from such credit will disappear unless other financial resources are available. The ownership of assets remains with UNHCR regardless of the source of funding, and the eventual disposal of assets is the responsibility of the Asset Management Board. Section 4.3: Asset Management of <i>Partnership: an Operations Management Handbook for UNHCR's Partners</i> ¹³ provides details
Setting up monitoring systems	As UNHCR winds down its catalysing and supervisory roles, existing monitoring systems will also be phased-out. The establishment of effective refugee and local community-based monitoring and assessment systems will redress this provided that arrangements have been made about who will oversee such responsibilities

¹¹ See Annex 1.1: References.

¹² See Annex 1.1: References.

¹³ See Annex 1.1: References.

Tool 14

MAXIMISING SELF-RELIANCE AMONG REFUGEES AND RETURNEES

*This tool is to **check that the details** for implementing self-reliance initiatives have been addressed. Does the right environment exist, and has strategic and project planning been done satisfactorily?*

A. What is the tool

A checklist.

B. Who is involved

UNHCR middle managers liaising with operational partners, government and donors.

C. How long will it last

The life of an operation.

D. What to do

Use the checklist as part of your routine management and monitoring systems.

E. Preparing a checklist for phasing-out

Refine the checklist to conditions prevailing and the nature of specific projects. Adapt it to the particular circumstances of your programme - cross out what is not relevant; and add what is missing. The last column, **Related tasks**, refers to the Tasks indicated in Book 2, and will guide the implementation of activities to address these (and other) needs.

Area:	What is in place; what has been done?	✓	Related tasks in Book 2:
Issues to be addressed at UNHCR programme level	<i>A strategy for durable solutions</i>		
	1. UNHCR staff is trained/oriented and committed to self-reliance	<input type="checkbox"/>	1
	2. The UNHCR programme has the capacity to promote self-reliance initiatives	<input type="checkbox"/>	2
	3. An overall country strategy for the promotion of socio-economic empowerment and maximum self-reliance of refugees (or the full reintegration of returnees) has been prepared	<input type="checkbox"/>	11
	4. The country strategy was planned and discussed with development actors and the UN Country Team (among others)	<input type="checkbox"/>	6, 7, 11
	5. A refugee hosting (returnee receiving) area approach has been adopted	<input type="checkbox"/>	9
	6. The country strategy fits into a long-term perspective (even if we are planning for an emergency/contingency)	<input type="checkbox"/>	11
	7. The country strategy has been developed in a consultative and participatory manner with all actors, including the targeted population; and communities are committed to and own the implementation process	<input type="checkbox"/>	7, 9, 11
Measuring progress	<i>Benchmarks to gauge increasing self-reliance</i>		
	8. Participatory monitoring mechanisms are in place with realistic indicators identified	<input type="checkbox"/>	18
	9. Benchmarks have been developed	<input type="checkbox"/>	17
	10. Evaluations and reviews have been scheduled and TORs are outlined/prepared	<input type="checkbox"/>	
Issues to be addressed with the host or receiving government	<i>Policies on asylum and/or reintegration</i>		
	11. The government policy and strategy for refugee asylum is known, and has been analysed for content that promotes durable solutions (local integration, resettlement, and repatriation-reintegration)	<input type="checkbox"/>	6
	12. The degree to which the physical location of refugees is conducive to the promotion of self-reliance is understood, and specific constraints are recognised	<input type="checkbox"/>	7
13. The government perceives refugees and refugee-hosting areas as part of their priorities and as part of the target population when making plans for national development	<input type="checkbox"/>	11	





Area:	What is in place; what has been done?	✓	Related tasks in Book 2:
	14. Government reintegration policy and strategy, to ensure that returnees are included into national reconstruction and development programmes from the day of return, have been addressed	<input type="checkbox"/>	6, 11
	15. The possible integration of refugees/returnees into other national development plans and programmes has not been compromised by perceptions that "UNHCR will be there to take care of the refugees/returnees"	<input type="checkbox"/>	
	<i>Legal aspects for durable solutions</i> ¹⁴		
	16. Freedom of movement of refugees (for economic purposes) is supported by the host government	<input type="checkbox"/>	6, 13, 14
	17. Access to land (the right of land use for productive purposes) has been approved/accepted by the host government	<input type="checkbox"/>	6, 15
	18. Access to other productive assets/resources from which to generate income has been approved/accepted by the host government	<input type="checkbox"/>	6, 15
	19. The legal aspects of accessing employment, skills training and education have been understood and/or addressed as necessary	<input type="checkbox"/>	12, 13, 14, 14
	20. Access to financial services with which to engage in business has been approved/accepted by the host government	<input type="checkbox"/>	14
	21. Taxation on refugee/returnee income reflects refugee/returnee integration in the economic system in the hosting/receiving country	<input type="checkbox"/>	13, 14
Issues to be addressed with humanitarian and development actors	<i>Government support</i>		
	22. A mechanism for funding projects and channelling humanitarian and/or development funds to provincial, regional, local levels has been identified/established	<input type="checkbox"/>	10
	23. Links between the government's refugee/returnee directorate/department and other government departments/line ministries are established, with future possibilities for co-operation identified, constraints recognised, and the refugee directorate/department involved in national planning for development	<input type="checkbox"/>	6
	24. Development plans and funds take refugees/returnees and other special groups into account	<input type="checkbox"/>	11

¹⁴ See *Capacity-Building for Contracting in Employment Intensive Infrastructure Programmes* in Annex 1.1: References.



25. Working relations with relevant line Ministries (education, health, environment, agriculture, social and community development, gender, interior, etc.) have been developed, and respective national policies have been identified	<input type="checkbox"/>	11
26. National development plans, national reconstruction/rehabilitation plans and programmes exist and include displacement issues	<input type="checkbox"/>	11
<i>Donor agency assistance</i>		
27. The main donors supporting the 'development' sector are identified and their geographical area of focus, sector of interest, conditionality for funding development projects/programmes are known	<input type="checkbox"/>	10
28. Funding mechanisms are established for supporting self-reliance through central government, local authorities in the field (by direct funding) and to NGOs (by direct funding)	<input type="checkbox"/>	10
29. Funding support to initiatives is based on national development plans and priorities	<input type="checkbox"/>	10
30. Co-ordination mechanisms are established with government, other donors and focal persons; and joint planning has been undertaken (at least at a preliminary level)	<input type="checkbox"/>	16
31. UNHCR participation or future participation in such co-ordination and planning bodies is confirmed	<input type="checkbox"/>	16
32. Humanitarian and development arms of embassies have been approached to raise their awareness of the refugee/returnee situation and explore ways of including refugees/returnees in their development priorities and programmes	<input type="checkbox"/>	16
<i>UN agencies involvement</i>		
33. The Resident Representative has been briefed and his/her support has been sought in integrating refugees/returnees in UNCT concerns	<input type="checkbox"/>	1, 2
34. UNHCR has participated fully in the CAP	<input type="checkbox"/>	10
35. UNHCR has participated fully in the CCA/UNDAF process (using the joint assessment as a tool for planning)	<input type="checkbox"/>	10, 11
36. UNHCR's overall country objectives and strategy support the country UNDAF objectives, and joint planning and programming is based on joint UNDAF objectives	<input type="checkbox"/>	11
37. Programmes of other UN agencies in-country (their objectives, priorities, geographical areas, constraints, possibility for expansion, awareness about the refugee situation, etc.) are understood	<input type="checkbox"/>	5





Area:	What is in place; what has been done?	✓	Related tasks in Book 2:
	38. The area of expertise of other UN agencies (that could be of use to UNHCR) are known e.g. UNICEF - children, education, health; WFP - food security, food for work; FAO - agriculture; UNDP - income generation - judiciary system; ILO - microfinance, socio-economic development, skills training, small enterprises and co-operatives; UNAIDS - HIV/AIDS	<input type="checkbox"/>	5
	39. Discussions have been initiated with those UN agencies for possible co-operation, joint planning and joint programming	<input type="checkbox"/>	5
	<i>NGO/civil society participation</i>		
	40. Local or international NGOs working in refugee hosting areas or/and in the country of operation (and their respective areas of expertise) have been identified	<input type="checkbox"/>	5
	41. The use of local expertise is being maximised	<input type="checkbox"/>	5
	42. The need for any capacity building with potentially good local NGOs has been identified and addressed	<input type="checkbox"/>	5
	43. Details of the experience of other UN agencies and donors in dealing with specific local NGOs/ associations have been obtained, and recommendations on possible partners sought and received	<input type="checkbox"/>	5
	44. A strategy for local fundraising for NGOs (to become non-UNHCR funded operational partners) has been developed	<input type="checkbox"/>	10
	<i>Management information systems</i>		
	45. An inter-agency mechanism for collecting information on existing humanitarian and development programmes and activities in-country (to be used as a basis for joint planning) is in place	<input type="checkbox"/>	17
	46. Key agencies involved in relevant initiatives have been identified, i.e. UN agencies, development actors, government bodies, donors, civil society/NGOs	<input type="checkbox"/>	5
	47. Mechanisms to initiate or strengthen management information systems have been identified/adopted	<input type="checkbox"/>	17
Issues relating to field planning	<i>Strategic plans</i>		
	48. Plans for self-reliance initiatives have been integrated in local, regional and national development plans	<input type="checkbox"/>	11
	49. Cross-sectoral, integrated approaches have been adopted	<input type="checkbox"/>	






	50. Long-term sustainability and capacity building mechanisms have been adopted among local line-ministries and authorities, refugees/returnees and local communities, civil society, etc.	<input type="checkbox"/>	6
	51. The refugee hosting or returnee 'areas approach' has been widely adopted and is leading to tangible local development processes/initiatives and the integration of services	<input type="checkbox"/>	9
	52. The legal and protection aspects of refugee/returnee access to resources, productive assets, services, rights, freedom of movement, education etc. has been addressed	<input type="checkbox"/>	6, 14, 15, 16
	53. Joint information sharing and joint planning with local authorities, humanitarian and development actors, target population and civil society is an operational reality	<input type="checkbox"/>	16
Issues relating to implementation	<i>Community development processes</i>		
	54. Community development activities promoting community organisation and strengthening leadership structures within refugee/returnee populations have been established (i.e. social self-reliance)	<input type="checkbox"/>	15
	55. Refugee/returnee and local community structures are linked; and constructive dialogue exists	<input type="checkbox"/>	15
	<i>Assistance packages</i>		
	56. Packages to enhance economic self-reliance (benefiting men and women equally) through the provision of agricultural land and related support have been developed	<input type="checkbox"/>	15
	57. Programmes are in place to protect productive assets of populations of concern, and to strengthen positive coping mechanisms	<input type="checkbox"/>	15
	58. Packages to enhance economic self-reliance (benefiting men and women equally) through income generation and the provision of financial services have been developed	<input type="checkbox"/>	14
	59. In rural settings, income generating activities (other than cultivation) are promoted to support local economic development	<input type="checkbox"/>	15
	60. Packages to enhance economic self-reliance (benefiting men and women equally) through direct job placement and job creation programmes have been developed	<input type="checkbox"/>	3, 12, 13
	61. Packages to enhance economic self-reliance (benefiting men and women equally) through job-oriented skills-development for refugee adults and adolescents have been developed	<input type="checkbox"/>	12, 13, 14





Area:	What is in place; what has been done?	✓	Related tasks in Book 2:
	62. Programmes supporting refugee/returnee and local populations' access to education or scholarships, as well as the accreditation of educational degrees and professional designations have been developed	<input type="checkbox"/>	14
	63. Community development activities (e.g. the establishment of community-based financial services) have been developed	<input type="checkbox"/>	15
	64. Projects for improving/developing the infrastructure, developing community services, strengthening the local economy and rehabilitating/protecting the local environment have been developed using a labour-based approach i.e. FFW and CFW	<input type="checkbox"/>	12
	<i>Further aspects of self-reliance are being addressed</i>		
	65. Food security is being addressed through subsistence and commercial farming activities, with production groups and marketing associations established and effective	<input type="checkbox"/>	15
	66. Skills development is being provided	<input type="checkbox"/>	14
	67. The infrastructure is being developed and maintained to satisfactory standards through community-based mechanisms	<input type="checkbox"/>	12
	68. Integrated services are being provided for social/community development	<input type="checkbox"/>	13, 14, 15, 16
	69. Integrated services are being provided for health care	<input type="checkbox"/>	13, 14, 15, 16
	70. Integrated services are being provided for formal and non-formal education	<input type="checkbox"/>	13, 14, 15, 16
	71. Integrated services are being provided for agricultural and livestock production	<input type="checkbox"/>	13, 14, 15, 16
	72. Integrated services are being provided for economic and financial activities	<input type="checkbox"/>	13, 14, 15, 16
	73. Integrated services are being provided for environmental management and protection	<input type="checkbox"/>	13, 14, 15, 16
	74. Integrated services are being provided for psycho-social support	<input type="checkbox"/>	13, 14, 15, 16
	75. Integrated services for, health care, formal and non-formal education, agricultural production, economic and financial activities, the environment and psycho-social support are being provided	<input type="checkbox"/>	13, 14, 15, 16





Issues relating to phasing out	<i>Mechanisms for phasing out direct involvement in self-reliance initiatives</i>		
	76. Information management strategy developed	<input type="checkbox"/>	(see Tool 13)
	77. Help in formulating self-reliance initiatives provided to others	<input type="checkbox"/>	(see Tool 13)
	78. Help for consolidating government capacity provided	<input type="checkbox"/>	(see Tool 13)
	79. Guidance on the closure of sub-projects sought	<input type="checkbox"/>	(see Tool 13)
	80. Development assets transferred	<input type="checkbox"/>	(see Tool 13)