

Handbook for Self-reliance



UNHCR

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

Geneva August 2005

Handbook for **Self-reliance**

Prepared by

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

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For further information, please contact:

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

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Design and Layout by:

Creative Lynx, Jackson et Associés
Rue de Saint-Léger 2
CH-1205 Genève

Illustrations prepared by Dorothy Migadde, Nairobi, Kenya.

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For further information, please contact:

Infocus Programme on Crisis Response and Reconstruction

Recovery and Reconstruction Department

International Labour Office

4, route des Morillons

1211 Geneva 22

Switzerland

Tél: +41/22 799 62 70 or 799 61 32

Fax: +41/22 799 61 89

E-mail: IFPCRISIS@ilo.org

FOREWORD

Currently, the world has 12 million refugees, nearly 8 million of whom have been living in camps or settlements for more than ten years. Some refugees have lived in such camps for generations. Many of them are prohibited from moving about freely and, over time, develop dependency on humanitarian aid, such as food, shelter, health care and education. Durable solutions cannot be realized if refugees are denied some of the basic human rights, and remain passive recipients of aid. Furthermore, situations in which refugees lack opportunities for self-reliance can quickly lead to resentment and become breeding grounds for further conflict.

Self-reliant refugees are more likely to achieve durable solutions. This is why the promotion of self-reliance is an integral component of UNHCR's Framework for Durable Solutions for Displaced Persons. The Framework is based on the realization that the protection provided to refugees and other displaced persons by UNHCR and its partners can be effective only if material assistance is directed towards enhancing self-reliance and empowering refugees. The Handbook for Self-Reliance was developed against this backdrop.

The Handbook is based on the premise that refugees who have achieved some degree of self-reliance during asylum, either through enhanced skills or engaging in income-generating activities, can be an asset to their war-torn homelands once they return. They can also have a positive influence in their hosting communities by bringing new skills and additional income, thus galvanizing the local economy. Uganda and Zambia provide clear examples of countries that have witnessed the positive change that refugees can bring to isolated and neglected areas.

The Handbook for Self-reliance provides UNHCR field-based staff and their partners with an invaluable operational tool for formulating and implementing self-reliance strategies. Based on the realization that employment and the opportunity to make a sustainable income are building blocks not only for self-reliance but also for local economic growth, the Handbook also contains practical material that will guide Field Offices to promote employment-oriented strategies in conflict-affected settings. These were developed with the support of the International Labour Organization (ILO).

It is expected that the Handbook will be put to use in the initial phase of the planning of all operations to support the development of multiyear self-reliance strategies. As planning is an inclusive process involving all stakeholders, including persons of concern, the Handbook will guide the joint effort to support refugees in making decisions on their own development and to provide opportunities for sustainable livelihoods - such as access to land, skills training and microcredit.

It is my sincere hope that this Handbook will establish an environment conducive to helping refugees and other displaced persons to gain the courage to start anew, to seek powerful opportunities for personal and community development, and to find dignity and hope in the challenges they confront in their search for durable solutions.

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

Marjon Kamara
Director, DOS/UNHCR

ACKNOWLEDGEMENTS

The Reintegration and Local Settlement Section (RLSS) in UNHCR's Division of Operational Support (DOS) has completed the Handbook for Self-reliance. We would like to express our gratitude to all of those who contributed to the realization of this publication.

We wish to thank, in particular, Christopher Davey for writing and finalising the Handbook. His creative ideas have materialized into a practical tool based on field experiences and a range of scenarios and situations. Myriam Houtart, former Senior Self-reliance Officer for RLSS, initiated the work and led the team - providing commitment, input and a wealth of practical experience. Thanks are also due to Joanne Philpott for research and preparation of initial material for this publication; Maria Eugenia Lazarte, intern to RLSS, for her valuable insight and work on the short-guides; and Soo-Eun Chae, Associate Economist Planner, Johanna Reynolds, Junior Professional Consultant with RLSS, for excellent support in editing and finalising the Handbook. Special thanks go to Dorothy Migadde who prepared the illustrations. She has captured the messages and provided marvellous drawings that are also simply good to look at.

Many UNHCR colleagues have contributed valuable input and we wish to thank all of them - with special mention of those in the Department of Operational Support (DOS), the Department of International Protection (DIP) and the Bureaux.

We are grateful for input by the International Labour Organization (ILO) - particularly their preparation of Employment for Peace: ILO Tools to Rebuild Conflict-Affected Communities in Appendix Two.

Finally, we would like to thank Pablo Mateu, Chief of RLSS, for his continued support, guidance, input and excellent management.

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GLOSSARY AND ABBREVIATIONS

INTRODUCTION

This section explains: what the Handbook is about; for whom the various sections have been written; where and when it should be used; and how to use it. It also indicates how this Handbook relates to other relevant publications prepared by UNHCR.

A. Introduction

Self-reliance is a key component in any strategy aimed at avoiding or addressing protracted refugee situations, enabling agencies and refugees to find durable solutions that are truly sustainable; providing a foundation for building towards the Millennium Development Goals; and developing capacities contributing to the pursuit of the Agenda for Protection¹.

B. Purpose of the Handbook

This Handbook is about social and economic self-reliance - developing and strengthening livelihoods of people of concern, and addressing or preventing their long-term dependence on humanitarian assistance. It will be used by different people in different ways - but mostly by people working with UNHCR. It is written for:

- **Senior managers**, to explain why to direct efforts towards self-reliance - clarifying what it is, justifying its incorporation in programmes, recognising that it requires a change in attitudes among staff and partners, strengthening commitment to its adoption, and providing guidance to ensure implementation is effective.
- **Middle managers**, to help them make self-reliance work by knowing what should be done, when and where - guiding the design of self-reliance activities, tailoring interventions according to local natural and policy environments, planning their implementation, identifying where resources will come from, supervising implementation and evaluating impact and sustainability.
- **Field staff**, to tell them how to go about it - providing ideas and possibilities, providing tools and knowledge for implementing self-reliance activities, building partnerships, coordinating implementation, maintaining records and monitoring progress.

¹ Goals 4 and 7 of the *Agenda for Protection*, UNHCR/DIP, 3rd Edition. Geneva: UNHCR, October 2003.

C. When to use the Handbook

It is relevant in all phases of refugee operations and programmes.

- For **senior managers** it is particularly useful when exploring ways to avoid dependence and the loss of human capacities, and when: old programmes need new approaches; avoiding conflict between refugee and host populations; anticipating breaks in the food supply pipeline; budgets decrease but needs do not; and building a basis for durable solutions.
- For **middle managers** it is especially important when: reviewing and designing programmes; undertaking assessments; preparing the Country Operational Plan; preparing reports; and preparing/undertaking evaluations.
- For **field staff** it will be in regular use for a wide range of purposes including: preparing proposals; working with partners; undertaking surveys, assessments and understanding refugee needs/opportunities; monitoring implementation; and reporting.

D. How to find your way around the Handbook

After this brief introductory section there are two 'books', a toolkit and three annexes.

- **Book 1: Why self-reliance** is short, and is essential reading for everyone.
- **Book 2: Making self-reliance work** is for use by those who are to catalyse the establishment and monitor the implementation of self-reliance activities.
- **The Toolkit** contains guidelines and other tools for doing the various tasks.
- **Appendix One: References** contains essential information - the sort of detail that is important, interesting and useful, but which would clutter up the practical detail in the two 'books'.
- **Appendix Two: Background reading** contains a lot of general reading on the subject.
- Finally, **Appendix Three: Employment for Peace** contains materials prepared by ILO.

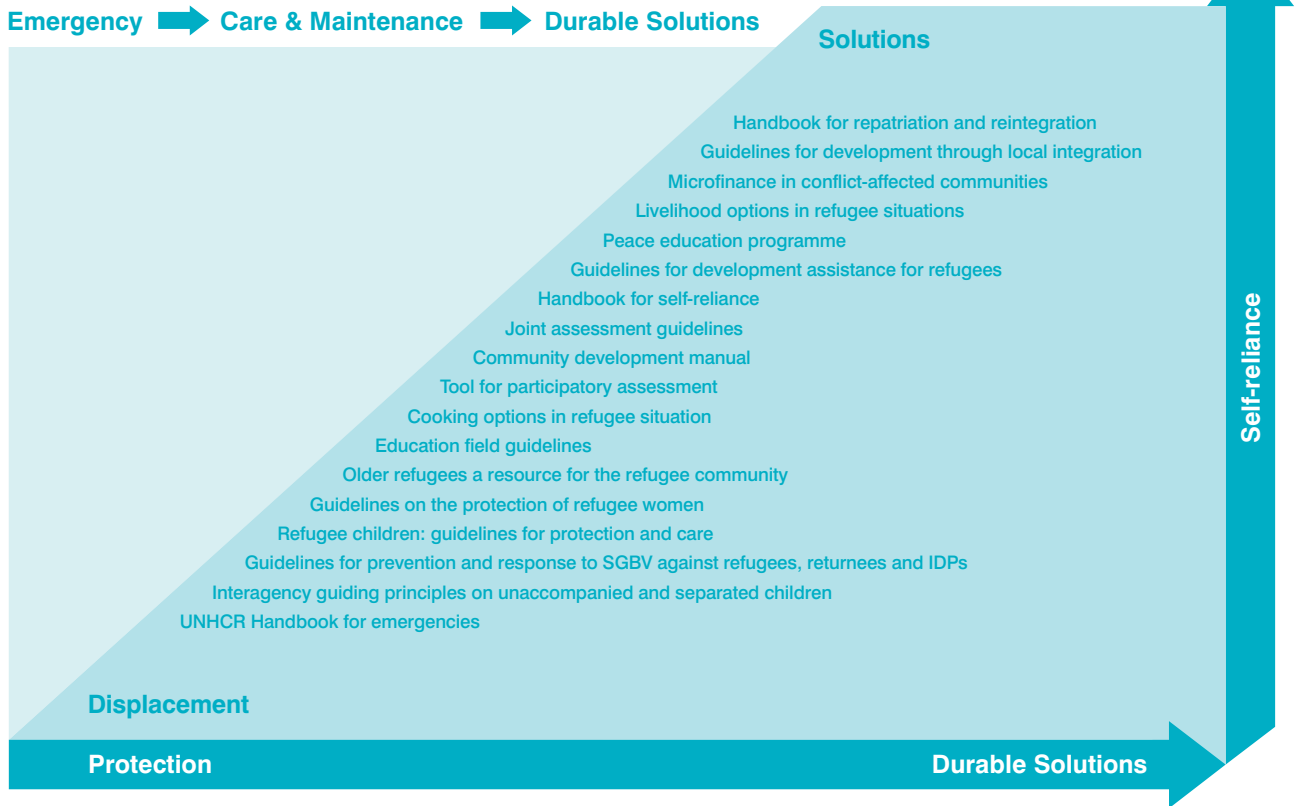
E. Links with other UNHCR publications

Self-reliance is a key component in any strategy aimed at avoiding protracted situations and is central to building durable solutions. A number of other publications address these related areas. How do you know which publication to use for what sort of tasks? The chart (Figure 1: UNHCR publications and their use in an operation) provides an indication of 'what' comes 'where' or 'when'.

F. What to do next

This is suggested in Book 1 in the section **H: What to do**.

Figure 1: UNHCR publications and their use in an operation



Book 1

WHY SELF-RELIANCE?

This section explains why it is important to direct efforts towards self-reliance - clarifying what it is, justifying its incorporation in programmes, recognising that it requires a change in mentality, strengthening commitment to its adoption, stressing that UNHCR's role is to catalyse the development of initiatives (rather than directly implement them), and providing guidance to ensure implementation is effective. It should be read by all UNHCR programme staff but has content of particular importance to representatives, their deputies and other senior managers.

A. What is self-reliance

UNHCR's community development approach gets communities involved in decision-making and planning (right from the emergency phase), and regards refugees as active partners in assistance and protection activities, rather than passive recipients¹.

The **community development approach** uses empowerment to enable refugees/returnees to shape their futures, improve their environment and overcome limitations in service provision. It is applied from the start of an operation and continues throughout, working towards the identification and implementation of durable solutions. The approach involves refugees/returnees from all population groups (women, men, boys and girls, older persons and host communities) in programme planning, assessments, implementation and monitoring. The use of committees to represent all groups within the community enables everyone a voice and acts as an effective and sustainable targeting mechanism leading to self-reliance.

The community development approach builds from, and further enhances, self-reliance.

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

Self-reliance will build upon strong social structures and increasing levels of economic activity, and social and economic links with local communities

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

(the hosting communities among whom refugees live, or those communities receiving returnees). Social self-reliance refers to the ability of a community to function with a level of cohesion, social accountability and mutual dependence-taking decisions, mobilising resources, and building and maximising interpersonal capacity to address issues and initiatives for mutual benefit. Economic self-reliance is based upon access to, and management of, material and monetary assets.

Self-reliance provides: the basis for Durable Solutions; a foundation working towards the Millennium Development Goals; and capacities contributing to the realisation of the Agenda for Protection².

B. Why adopt self-reliance

Traditional humanitarian/relief assistance is increasingly viewed as undermining the capacities of individuals to cope with crisis. It leads to dependency.

Self-reliance is a process that is feasible in your programme setting - it is appropriate in all stages of an operation. Self-reliance is right no matter what the ultimate durable solution will be. There are a number of arguments:

- 1. Ensuring that refugees are treated in accordance with human rights principles**
- 2. Addressing human development and self-esteem among refugees/returnees**
- 3. Addressing coexistence issues and peace-building**
- 4. Ensuring food security and tackling poverty reduction**
- 5. Working with host governments and poverty reduction strategies**
- 6. Guiding the UN Development Group**
- 7. Building from policy**
- 8. Coping with budget constraints**
- 9. Developing donor interest**
- 10. Harmonising approaches**
- 11. Building a basis for durable solutions**
- 12. Learning jargon and recognising reality**

² Goals 4 and 7 of the *Agenda for Protection* (2003). See Annex 1.1: References.

C. The possible arguments

1. Ensuring that refugees are treated in accordance with human rights principles

All activities should be rights-based. Protection includes all activities aimed at ensuring the equal access to and enjoyment of rights by women, men, girls and boys of concern to UNHCR - in accordance with the relevant bodies of law. Self-reliance can, if undertaken properly, assist in ensuring that persons of concern are better protected by strengthening their capacity to claim their civil, cultural, economic, political and social rights. It can also provide a basis for equality, equity, empowerment and participation of persons of concern, as well as more accountability of humanitarian agencies within an operation.



Self-reliance - a further step up for refugees and returnees.

2. Addressing human development and self-esteem among refugees/returnees

Old programmes need new approaches. Self-reliance can: empower refugee and hosting populations; renew hope and vigour; and demonstrate real and measurable changes in the nature, impact and cost of a programme - addressing protracted situations where there is no end in sight and there is pressure to do something.

3. Addressing coexistence issues and peace-building

Avoid conflict by sharing development benefits. Disparities can lead to friction between refugee and hosting populations. As a key component of development processes (that are inclusive of both refugee and host populations) self-reliance will promote collaboration, trust, and social and economic interaction between communities, and strengthen coexistence.

Field experience: Coexistence in Ecuador

In Ecuador, the spill-over of the Colombian conflict is creating a serious humanitarian crisis, with some 1,000 Colombians requesting asylum in the country each month (June 2004). Since 2000, more than 29,000 Colombians have presented asylum claims to the Government's Refugee Office, of which some 9,000 persons have obtained refugee status. Although the refugee statistics are relatively small, estimates show that the total number of Colombians in Ecuador might be far higher and could well reach a quarter of a million.

Colombian refugees and asylum seekers are well received by the Ecuadorian people and authorities. The Ecuadorian Government has an effective eligibility commission to carry out refugee status determination and, instead of living in refugee camps or settlements, Colombians live alongside nationals, dispersed in host communities. Many settle in urban areas.

With the continuous flow of Colombians into Ecuador there is an increasing need for more equitable burden-sharing. The presence of large numbers of Colombian nationals in Ecuador raises security concerns among authorities and affects relations between nationals and Colombians in refugee hosting areas. Although public opinion concerning the arrival of Colombians has become more negative, the Government of Ecuador has confirmed that its humanitarian and refugee policy remains in line with international norms and standards.

In coordination with the Government, UNHCR wants to promote self-reliance and co-habitation between the national and refugee population³ - building broad-based partnerships between governments, humanitarian and multi- and bilateral development agencies. As a first step UNHCR has initiated a programme of community-based Quick Impact Projects to address the vulnerability of refugee hosting areas, support self-reliance, and develop a dialogue to build social cohesion between refugees and local communities. Instead of creating a parallel refugee support system UNHCR wants to enhance local development, which would allow the Government's Refugee Office to support local communities that absorb important numbers of refugees.

Americas Bureau, UNHCR, Geneva.

³ This is based on the Development Assistance for Refugees (DAR) approach.

4. Ensuring food security, and tackling poverty reduction

Offset constraints in the food supply pipeline. Self-reliance can yield food crops, and generate income for purchasing food - alleviating human suffering, preventing social unrest and avoiding political embarrassment.



Human potential potentially lost.
Hold on to human resources or
you may lose them.

5. Working with host governments and poverty reduction strategies

Host countries like to see benefits for their own populations. Governments work towards the MDGs and want to see results. Self-reliance, as the basis for development and economic growth in both refugee and hosting populations locally, can strengthen host government support for poverty reduction strategies and programmes - leveraging concessions and exemptions, and strengthening partnerships⁴.

⁴ See the *Handbook for Planning and Implementing Development Assistance for Refugees (DAR) Programmes* (2005), Part 1, Module 1, Section 3.

Field experience: Government support and healthy media coverage in Tanzania

On 16 December 2004 an Annual Regional meeting for Coordination, chaired by the Regional Commissioner, took place at the Regional Commissioner's office attended by Members of Parliament, District and Regional Sector Heads from Kibondo, Kasulu and Kigoma. UNHCR and WFP were invited to attend.

On the agenda was UNHCR's contribution in the Kigoma region. The chairman of the meeting, the Regional Commissioner, thanked UNHCR and WFP for the contributions they had made in the region, noting the construction of secondary schools, roads, Kasulu police station, water wells, the rehabilitation of the airstrips, provision of furniture for secondary schools, etc. The Regional Commissioner had earlier broadcast this message on (the local) Kigoma radio station and requested UNHCR staff collate details of these contributions in order that he may ensure nationals know what UNHCR has been doing not only for the refugees but also for Tanzanians.

It was minuted that... "UNHCR and WFP were working and collaborating well with the local authorities in the whole region" and that the local government was "happy with the team".

UNHCR Tanzania and operational partners.

6. Guiding the UN Development Group

The undg, of which UNHCR has been a member since 2004, has issued a Guidance Note on Durable Solutions for Displaced Persons⁵. This document recognises durable solutions as a development challenge, and that poverty reduction and self-reliance contribute to solving displacement situations. The Note also uses the Millennium Development Goals (MDGs) to motivate UN Country Teams to ensure that displaced persons are included in national development strategies and programmes, and that equal attention be given to the needs of host communities.

7. Building from policy

UNHCR directives (derived from UN General Assembly recommendations⁶) call for the adoption of self-reliance through Convention Plus⁷, the Agenda for Protection⁸ (Goal 5 - Redoubling the search for durable solutions⁹), and the Framework for Durable Solutions for Refugees and People of Concern¹⁰.

⁵ See Annex 1.1: References for undg's *Guidance Note on Durable Solutions for Displaced Persons* (2004).

⁶ The General Assembly has recommended that UNHCR enable refugees to become self-reliant, has recognised the need for additional assistance to promote self-reliance, and has urged governments to cooperate in such efforts. (United Nations General Assembly Report of the Fifty-Fourth Session of the Executive Committee of the High Commissioner's Programme - Item 19 k. EC/51/SC/CRP)

⁷ The High Commissioner's Convention Plus Initiative complements the 1951 Geneva Convention. Convention Plus provides a forum for countries hosting large refugee populations to increase burden sharing via the provision of additional development assistance through multilateral agreements. Convention Plus asserts that promoting self-reliance is an obligation.

⁸ The *Agenda for Protection* (2003) recognises that improved refugee protection is best achieved through enhanced multilateral commitment, cooperation and coordination in implementing practical arrangements and solutions to protracted displacement.

⁹ See Annex 1.1: References for UNHCR's *Agenda for Protection* (2003), page 74.

¹⁰ The *Framework for Durable Solutions for Refugees and Persons of Concern* (2003) - see Annex 1.1: References - guides the implementation of durable solutions: Development Assistance for Refugees (DAR); Development through Local Integration (DLI); and sustainable Repatriation, Reintegration, Reconciliation and Reconstruction (4Rs). The promotion of self-reliance is an integral part of all three approaches.

8. Coping with budget constraints

Prevention is cheaper than cure. Invest early and get money into self-reliance in good time in order to: reduce dependency; offset demand for handouts and subsidised services; and reduce the impact of budget constraints.

9. Developing donor interest

Donors are increasingly interested in providing development aid, rather than humanitarian aid, to support refugees in protracted crises. Self-reliance, as the basis for development, is likely to increase donor interest in a programme.

10. Harmonising approaches

Self-reliance complements other UNHCR innovative approaches. Self-reliance builds on other initiatives like the Community Development Approach¹¹ and the Team Approach¹².

11. Building a basis for durable solutions

Prepare refugees for durable solutions. Self-reliance provides the basis for whatever comes next - whether it is resettlement, local integration or repatriation and reintegration¹³.

12. Learning the jargon and recognising reality

It's time to catch up. Self-reliance is not new. It has been part of the language and process of development for some time as the basis for livelihood development. It is only relatively new to us in the humanitarian field. There are ways to strengthen and develop this in early stages of an operation.

¹¹ The community development approach builds refugee empowerment to enable them to shape their futures, improve their environment and help overcome limitations in service provision. This approach is applied from the start of operations, and continues through to the implementation of durable solutions. It promotes involvement of refugee representatives in programme planning, assessment, etc., and the use of committees to voice concerns, contribute to targeting and identify durable solutions. The community development approach was adopted by UNHCR through the Executive Committee of the High Commissioner's Programme in 2001. See Annex 1.1: References for details of the UNHCR community development manual which is to be published in 2005.

¹² The promotion of durable solutions requires consensus and coordination between agencies, governments, NGOs, refugees and hosting populations, as well as within UNHCR itself. This requires a multi-sectoral approach - mainstreaming policy priorities (such as gender, age and the environment).

¹³ See Appendix Two, Annex 2.4: *Framework for Durable Solutions for Refugees and Persons of Concern* (2003), page 4, paragraph 10.

D. When to promote self-reliance

Ideally self-reliance will be promoted in all stages of operations - from an emergency phase through to durable solutions. It is crucial, in particular, in situations of protracted displacement. Phasing-in self-reliance in protracted care and maintenance programmes becomes increasingly difficult with time¹⁴. Begin the process as early as possible. Start while there is something to build from, in order to:

- avert a dependency mentality among refugees and the local population
- capture refugee initiative and resourcefulness while they are most innovative (before the appearance of complacency and social degradation, and a loss of self-respect)
- build from the refugees' existing skills and knowledge base before it is lost
- retain human capacity and human assets among the refugee population before they are lost, i.e. prevent a 'skills and brain-drain'
- maximise the availability of local natural resources (by addressing their sustainable use/preventing depletion) early in an operation
- build from a positive relationship between host and refugee populations before resentment, suspicion and conflict appear
- influence the interests and priorities of field teams and operational partners when they are most easily moulded
- maximise donor interest - it's usually stronger at the beginning of a refugee crisis, and decreases soon after.

Field experience: East Timorese dispel the myth

Many assume that, in major disasters, victims are traumatised and incapable of making major decisions that affect their recovery. As my experience in East Timor demonstrates - this is a myth.

The outbreak of violence against the East Timorese which started on 5 September 1999 was very sophisticated. Rape was used as a systematic weapon of terror, and with highly targeted burning of houses, was designed to drive away the population. The severity and intensity of the army's aggression over 14 days left 5,000 killed. 270,000 people fled southwards by boat and other means of transport, and 600,000 fled to the relative safety of the mountains. Worst hit was the west side of the island. Trauma was generalised, intense and evenly spread; with pockets of great intensity.

On the 20 September international forces landed and stopped the generalised mayhem, and in their wake came humanitarian agencies that reached and developed a working partnership with the IDPs. By the 8 October the first planning meetings for a shelter programme had been held and IDPs were

¹⁴ See the *Handbook for Planning and Implementing Development Assistance for Refugees (DAR) Programmes* (2005) - Part I, Module 1, Section 2.1 on self-reliance versus care and maintenance. See Annex 1.1: References.

organised into sector groups to address water and sanitation, health, etc. By May 2002 over 35,000 houses had been built using 16,000 tonnes of materials, involving eight partner organisations and spending \$23 million.

During the operation relief teams were challenged during the emergency not only by the circumstances but by the determination of the IDPs themselves. The displaced were starving, had lost everything and were traumatised, but they engaged in decision-making from the outset once humanitarian support was available. They decided on the construction materials to be used. They selected the beneficiaries of the operation. They planned who should do what. Despite their circumstances their social organisation (their social self-reliance) provided a very strong basis for their recovery. Furthermore, the people made key critical decisions and designed and implemented what they wanted, to the extent that some agency workers were defending the wishes of IDPs despite their own personal bias. Iron sheets are notoriously uncomfortable in hot lowland areas, but these were used. All relief-effort logic (and the assertions of funding organisations in the donor countries) argued that iron sheets were not suitable, yet the population wanted them. Iron sheets represent status and achievement. By going against the wishes of these communities relief agencies would have undermined local initiative and provided support that, at a later date, would have required further costly- and logistically-demanding interventions. Responding to local needs and wishes, and suppressing the wish to impose external solutions, helped make the operation a success.

Bernard Kerblat,

Chief, Emergency Preparedness and Response Section, UNHCR, Geneva.

E. When to phase out

UNHCR's role is to catalyse the establishment of self-reliance initiatives among operational partners. Once sound programmes are underway the role of UNHCR staff is to monitor their effective implementation, and support approaches to donors and lobby for government support. Direct involvement can be reduced progressively.

F. Self-reliance and urban refugees

Urban assistance tends to be expensive, time consuming (with many individual cases) and may have security-related problems. The task is to protect refugees, and to get to a position where they become part of the existing environment, access national resources, and don't require specific services for themselves beyond legal protection (i.e. to stop refugees "coming back for more"). The issues are the same; the responses are similar; the goal is to develop capacity for self-reliance.

G. Making a case to the host government

One of the biggest barriers to maximising self-reliance opportunities for refugees/returnees and local communities may be the absence of a suitable legislative environment. In addition to identifying opportunities for livelihood development for persons of concern, it may be necessary to present a case to the host government. The argument is not likely to succeed if it focuses narrowly on the rights of refugees¹⁵. A broader argument will be needed¹⁶. A case may be built from some of the following arguments:

- Supporting government **reviews of laws, policies and regulations** relating to refugee employment, taxation, movement, access to markets, legal support, etc. and identifying opportunities for tangible benefits.

Field experience: The integration of the Guatemalan refugees into the practices of UNHCR

Even in refugee situations we can find positive examples where protection and assistance have been applied in such a way as to exceed the normal expectations of what can be achieved by refugees in exile. Mexico is one of these examples.

First, the protection provided to the Guatemalan refugees was not only of a legal nature but also of a socio-economic and cultural nature. Second, the implementation of more than one durable solution simultaneously had the effect of fusing the merely humanitarian with self-sufficiency and development. In Mexico, refuge was not used as an excuse to negate either local integration or repatriation. Both the integral nature of protection provided and the simultaneous application of durable solutions are what define the Mexico operation as exemplary.

The experiences of the Mexican camps place special emphasis on legal integration, via the definition of a migratory status favourable to all refugees; economic integration derived not only from careful planning of the multi-annual programme but also articulation of development programmes in the states of Campeche and Quintana Roo; and cultural integration as demonstrated by the unique rehabilitation project carried out by the refugees in the Maya ruins of Edzna in Campeche. Another very notable aspect of the integration process is that it was continuously fortified via training of the refugees in the areas of health, education and, above all, gender. The promotion of women deserves full recognition and evolved into a paradigm for the local peasant communities and for UNHCR itself. All of the above constitutes in practice a process of development and education for peace which the refugees have lived and breathed in for nearly two decades of refuge.

All of this has an obvious impact on the type and characteristics of the repatriation and reintegration of the refugees in their country of origin. Indeed, the experience of having access to, and management of, land and various resources, especially in Campeche and Quintana Roo, raised local integration to its highest level and enabled the Permanent Commissions to incorporate it as a central issue in the negotiations for return.

There has been a political and democratic advance in the Guatemala of today expressed with the return of its citizens. The peace process has produced a complete socio-political and cultural diagnostic which indicates the problems still to be resolved. The process has also created



¹⁵ See arguments in the *Framework for Durable Solutions for Refugees and Persons of Concern* (2003) page 4 - Issues at Stake. The Framework is provided in Appendix Two, Annex 2.4.

¹⁶ Positive examples are provided in Part II, Module 3, Section 2.1 (Initiating Consultations and Building Consensus) in the *Handbook for Planning and Implementing Development Assistance for Refugees (DAR) Programmes* (2005). See Annex 1.1: References.

participatory mechanisms which incorporate all sectors of Guatemalan society. The Technical Commission created by the Agreement on Uprooted Populations is represented by the State, the international community, and the returnees and displaced populations.

The Guatemalan refugees made an undeniable contribution to the pacification and democratization of their country of origin. They began this contribution well before the signature of the Peace Agreements in 1996 with an absolutely peaceful return and a socio-economic reintegration enriched by their high capacity. The refugees not only lived in peace with the very people who occupied their land and accused them of maintaining connections with the insurgent movement, but they also began to relate with the Government of Guatemala in a mature and dynamic fashion.

We cannot pretend that the refugee programme in Mexico can act as a panacea for all of the problems faced in achieving peace, development and democratization. However, from the lessons learned during the Guatemalan refugee experience in Mexico, there were undeniable gains made by both the Mexican and Guatemalan Governments. For instance, they acquired awareness of the causes of forced displacement and ways to confront emergencies and lack of protection in harmony with the interests of the international community and in co-ordination with UNHCR. What we have learned from this experience is that the definitive support of human rights in all aspects of population movements, the view that migrants also bring positive contributions with them, and the strengthening of governmental institutions charged with protecting the undeniable right to asylum, will all lead to avoid new flows of refugees or at least to ensure that they will be managed in the best way possible.

Roberto Rodríguez Casabuena,

Former Regional Representative, UNHCR, Mexico.

Comisión Mexicana de Ayuda a Refugiados (COMAR) and UNHCR. *Presencia de los Refugiados Guatemaltecos en México* (México, D. F.: COMAR, 1999), page 308.

- Building host-country **capacity for supporting community development** to provide services to both hosting and refugee populations.
- **Capacity-building** in planning at regional and local levels to address the additional challenge of refugees and provide development benefits both to host communities and refugees.
- Providing **institutional strengthening** and technical assistance for schools, health centres and other local institutions in order that they support both host communities and refugees.

Field experience: Capacity building in Uganda

During the operation for displaced Sudanese in northern Uganda, refugees represented up to 42% of the population in the hosting area. One of the most effective humanitarian agency responses was to provide support to government institutions in order to increase and improve local services and resources to cope with the added challenge of providing for refugees and the local population (rather than setting up parallel services and facilities).

There were a number of successful initiatives: SNV (Netherlands Development Organisation) worked to build local government capacity for planning; SNV, with GTZ and UNHCR, also worked with the Department of Education to look at the needs of schools - determining what input was needed for additional students, supporting the local development of the Universal Primary Education programme and building management capacity for accommodating increasing numbers of students; and Save the Children UK worked with Department of Health officers to build the capacity of the line ministry, developed data analysis expertise and supported staff development. Everybody benefited: refugees received good support; the local population received more and better quality services; local and national institutions developed their capacities; UNHCR and its operational partners established sustainable mechanisms; and relationships between local people and the refugee population were strengthened.

Reintegration and Local Settlement Section, UNHCR, Geneva.

- Advocating **donor support to hosting governments** that promote refugees' economic rights and self-reliance.
- Exploring mechanisms **to support refugee production and marketing** without creating detrimental competition in local markets by, for example, opening wider market opportunities that will benefit both refugee and hosting communities.
- Identifying and encouraging commercial production activities among refugees, to **strengthen regional and national economies**.
- Promoting **local businesses** and therefore local economic development.

Field experience: Benefits from bees in Uganda

The national body promoting beekeeping development in Uganda developed market links with Europe but the volume of honey produced was insufficient to meet demand. UNHCR worked with the organisation to establish their support in the refugee hosting area. Both refugees and the local population were involved. The beekeeping organisation wanted to increase national production and improve honey quality to conform to national standards. The agricultural office of the local district was also involved.

UNHCR's involvement was minimal once the linkages had been made. The project started with the identification of carpenters and tailors as well as beekeepers (and potential beekeepers) with whom to work - and then it: ran a training programme; supported the establishment of a local organisation; developed links between the national and local entities; and provided various inputs. The immediate outputs were improved beekeeping skills, the local production of beehives, and local capacity for making beesuits. The initial beekeeping systems promoted were simple, based on basic management, harvesting and processing. Harvested honey was sent to the organisation's Kampala base on public transport, and extracted in conditions that maximised its quality and value; and producers were taught how to process the formerly discarded beeswax for selling locally.



It was a win-win situation. Refugees and local people generated more income from beekeeping (with higher volumes and better quality honey). The national organisation improved production and had a local body through which to work; UNHCR helped refugees and the local community towards greater self-reliance; and honey-processors, honey-packers and traders gained additional business.

Myriam Houtart,

Former Senior Self-reliance Officer, RLSS/DOS, UNHCR, Geneva.

- Stimulating, where possible, **skills transfer** between refugees to host populations. (The field experience below is not a particularly relevant example for a host government but it's an interesting case in its own right).

Field experience: Better vegetables in Tanzania

Prior to the influx of refugees, agriculture was not well developed in western Tanzania. The incoming Rwandans changed that pretty quickly. As farmers who had made the most from limited areas of land they knew how to maximise production and productivity. They were not allowed to cultivate plots of their own, but they did work for local Tanzanian farmers. Within a few seasons the diversity, volume and quality of produce in the local markets had increased dramatically. Not only did the standard of living increase (among both local Tanzanians and refugees) but also the economy of the area improved - almost visually. Grass thatch was replaced with iron sheets for roofing in an increasing number of homes.

When the refugees left, the District Commissioner admitted that it was a big blow to the local economy, but improved agricultural skills remained.

Reintegration and Local Settlement Section, UNHCR, Geneva.

H. What to do

The adoption of self-reliance requires a change in mentality among key humanitarian agency actors and (probably) the host government. There must be a shift away from viewing refugees as a captive and passive audience and clientele, towards seeing them as people with a range of ideas, skills and positive coping mechanisms. Recast them as agents of development and their own durable solutions (rather than as idle recipients of humanitarian aid). Reinforce their initial coping mechanisms and encourage their initiatives.

Getting started

Ensure that this Handbook does not sit on a bookshelf. Launch it, and use it. These are initial steps:

A

1. A middle manager should be assigned the responsibility for studying and facilitating the launch of this material.

2. Develop strategies for staff training and orientation on self-reliance and its application, consider which budget-lines to use and assess staff implications. (Dialogue with the Reintegration and Local Settlement Section (RLSS) in the Division of Operational Support (DOS) at UNHCR HQ¹⁷ as necessary for advice on these areas, and details about other avenues in UNHCR for further support - especially to get started).

B

3. The assigned middle manager should facilitate the establishment (or strengthening) of self-reliance in the programme. This is a brainstorming exercise involving a team comprising: programme, technical support and field staff; partners (both humanitarian and development); and government representatives. Link this with the Multifunctional Team as piloted by those involved in mainstreaming gender and age.

4. Discuss the relevance of points raised during the brainstorming exercise, and identify further issues. Prepare (with the team) a simple analysis of the benefits to be gained by the programme and operations from working towards self-reliance, i.e. what programme problems and opportunities might be addressed.

The next step

Once the team is convinced, you may then have to develop a case to argue with the host government. Proceed with these steps:

5. Under the guidance of the assigned middle manager the team should explore further how self-reliance will contribute positively to donor and development actor interest and funding, programme reviews and assessments, Country Operation Plans (COP) etc. Consider how refugees

A

See Task 1: Launch your self-reliance strategy in **Book 2**.

B

See Task 2: Facilitate the promotion of self-reliance in the country operation in **Book 2**.

¹⁷ The RLSS mailbox is HQT502.

are part of a larger population, and how they (may) contribute to that area. Explore partnerships with government, humanitarian agencies and development actors that may promote more integrated area-development approaches to benefit everybody (including refugees/returnees and local communities). (Task 3 in Book 2 also provides guidance on how middle managers may address these issues as well).

6. Develop a statement on added value and an argument - to make a case (to government and donors) for creating a climate in which self-reliance is possible. Determine their concerns and objections; work out what will leverage concessions and exemptions; develop a strategy for informing, influencing and gaining their support¹⁸.
7. Using the outputs from this process, senior managers should be presented with a case for self-reliance to make to government.
8. The same case may be made to local donors.

Maintaining momentum

The main tools for ensuring that self-reliance is fully mainstreamed in a programme are to demand:

- description of self-reliance projects and activities in Country Operation Plans
- submission of specific self-reliance funding applications to donors
- progressive adoption of self-reliance by operational partners
- the use of self-reliance indicators in programme activities
- evaluation of self-reliance activities, and their impact on operating budgets and government collaboration as well as refugee protection, health, education, participation, social stability and conflict
- establishment of partnerships for the promotion of livelihood in refugee hosting and returnee areas.

Book 2: Making self-reliance work clarifies what to do.

¹⁸ Consider also the need to convince refugees that self-reliance is not a substitute for resettlement. If some refugees believe that self-reliance may impact upon their chances of resettlement to a third country, their commitment to self-reliance activities may be undermined. (New skills and livelihood may even enhance resettlement possibilities). This will be explored further by programme managers. See **Book 2: Making self-reliance work**.

I. It's worth it but challenging

A

Things can go wrong - there are risks and constraints. Progression towards self-reliance requires an appropriate social, economic, political, legal and physical environment, good initiatives and effective partners.

Field experience: You man, get out of your car

Driving in a UNHCR vehicle along dirt roads in Zambezia province of Mozambique, a village woman stopped us. "Look" she said "the water pump is broken".

"Yes?" I replied.

"UNHCR installed the pump." She continued.

"But UNHCR has handed it over to you."

"Fine, but there are no spare parts available; and UNHCR showed us how important clean water is, when we were in the refugee camps. We had good water and we had healthy children. It's UNHCR's fault. You taught us the value of clean water and now we are dependant on it. We learned the lesson from you. But we can't install and repair a pump.

What did we do wrong?

Pablo Mateu,

Chief of Section, RLSS/DOS, UNHCR, Geneva.

J. If you want to read more

Dip into **Book 2: Making self-reliance work**. This is also small, but provides links to tools and has references to a considerable amount of primary and secondary information.

A

See section **F: Addressing the challenges**, the final section of **Book 2**.

Book 2

MAKING SELF-RELIANCE WORK

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

A. Understanding self-reliance

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

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

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

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

A

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

B. The middle manager's tasks

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

B

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

C. The field staff's jobs

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

A

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

B

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

D. The tasks

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

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

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

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

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

E. The tasks and jobs

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

Intended outcomes

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

Who should facilitate the launch

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

Who should participate

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

Middle manager's tasks

What needs to be done

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

How to do it

- Develop a training plan.

Field staff's jobs

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

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

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

² The RLSS mailbox is HQTS02.

Step one - integrate self-reliance strategies

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

Intended outcomes

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

Who should facilitate this

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

Who should participate

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

Middle manager's tasks

What needs to be done

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

How to do it

- Facilitate a brainstorming session.

Field staff's jobs

Contribute to strategy development.

A

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

B

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

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

Intended outcomes

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

Who should facilitate this

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

Who should participate

NGO managers and other partners, with government representatives.

Middle manager's tasks

What needs to be done

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

How to do it

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

Field staff's jobs

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

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

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

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

Step two - design self-reliance projects

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

Intended outcomes

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

Who should facilitate this

UNHCR middle managers with government and operational partners' managers.

Who should participate

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

Middle manager's tasks

What needs to be done

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

How to do it

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

Field staff's jobs

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

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

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

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

Intended outcomes

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

Who should do it

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

Middle manager's tasks

What needs to be done

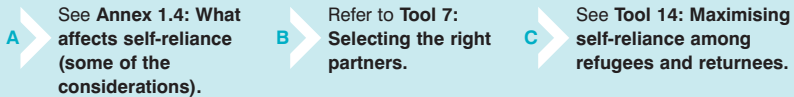
- Determine what skills are needed. Make sure you tackle self-reliance with the right skills on board - there are risks and constraints to be considered.
- Find partners with staff experienced in the field of self-reliance, livelihoods and development. Who is good/not so good? Don't just follow the traditional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

How to do it

- Review the options and select suitable partners.

Field staff's jobs

Assist in the identification of competent partners.



Step two - design self-reliance projects

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

Intended outcomes

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

Who should drive this process

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

Who else should be involved

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

Middle manager's tasks

What needs to be done

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

How to do it

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

Field staff's jobs

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

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

Step two - design self-reliance projects

Task 7: Plan and help coordinate joint assessments

Intended outcomes

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

Who should coordinate this process

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

Who should support planning and implementation

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

Middle manager's tasks

What needs to be done

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

How to do it

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

Field staff's jobs

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

<p>A > Make everyone's job easier - remember the guiding principles for good assessment practice which are listed in Annex 1.5: Guiding principles for assessments.</p>	<p>B > See Tool 3: Preparing TORs for specialist input to self-reliance programmes.</p>	<p>C > Check Annex 1.6: Targeting assessments for a quick reminder.</p>
<p>D > See Annex 1.8: Who to target.</p>	<p>E > Refer to Annex 1.7: Types of assessment.</p>	<p>F > See Tool 10: Developing and using benchmarks</p>
		<p>G > This is in the Toolkit - Tool 4: Making a self-reliance assessment.</p>

Step two - design self-reliance projects

Task 8: Ensure effective analysis of assessment results

Intended outcomes

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

Who should do it

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

Middle manager's tasks

What needs to be done

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

How to do it

- Develop and use formats and checklists.

Field staff's jobs

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

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

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

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

Step two - design self-reliance projects

Task 9: Contribute to the development of plans and projects

Intended outcomes

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

Who should do it

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

Middle manager's tasks

What needs to be done

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

How to do it

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

Field staff's jobs

Contribute in the following areas:

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

<p>A > See Tool 10: Developing and using benchmarks.</p>	<p>B > See Annex 1.11: Indicators.</p>	<p>C > Refer to Tool 9: Monitoring the activities; • and Annex 1.10: Monitoring and evaluation.</p>	<p>D > Tool 13: Phasing-out involvement in self-reliance initiatives provides guidance on how to address this.</p>
<p>E > See Tool 8: Writing up plans. Refer to Annex 1.8: Who to target for more thoughts to focus attention on the beneficiaries of interventions. • See also Tool 14: Maximising self-reliance among refugees and returnees.</p>	<p>F > See Tool 6: Assessing options against available resources.</p>	<p>G > Refer to the Community Development Manual³ for further information on working with communities.</p>	

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

Step two - design self-reliance projects

Task 10: Prepare proposals and a funding strategy

Intended outcomes

Funding for self-reliance projects committed by donors.

Who should do it

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

Middle manager's tasks

What needs to be done

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

How to do it

- Follow the checklist.

A

Field staff's jobs

Contribute to the development of proposals, and review drafts.

A

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

Step two - design self-reliance projects

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

Intended outcomes

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

Who should do it

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

Middle manager's tasks

What needs to be done

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



How to do it

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



Field staff's jobs

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

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

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

Step three - implement self-reliance projects

Task 12: Ensure common understanding of objectives and strategies

Intended outcomes

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

Who should do it

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

Middle manager's tasks

What needs to be done

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

How to do it

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

Field staff's jobs

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

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

Step three - implement self-reliance projects

Task 13: Make linkages for short-term employment

Intended outcomes

Refugees/returnees generating income through short-term employment.

Who should do it

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

Middle manager's tasks

What needs to be done

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

How to do it

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

Field staff's jobs

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

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

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

⁴ See Annex 1.1: References.

Step three - implement self-reliance projects

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

Intended outcomes

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

Who should do it

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

Middle manager's tasks

What needs to be done

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

How to do it

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

Field staff's jobs

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

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

Step three - implement self-reliance projects

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

Intended outcomes

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

Who should do it

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

Middle manager's tasks

What needs to be done

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

How to do it

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

Field staff's jobs

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

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

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

Step three - implement self-reliance projects

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

Intended outcomes

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

Who should do it

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

Middle manager's tasks

What needs to be done

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

How to do it

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

Field staff's jobs

Support activities that:

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

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

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

⁷ See Annex 1.1: References.

Step three - implement self-reliance projects

Task 17: Ensure interventions are implemented and coordinated effectively

Intended outcomes

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

Who should do it

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

Middle manager's tasks

What needs to be done

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

How to do it

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



Field staff's jobs

Support partners to:

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

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

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

Step three - implement self-reliance projects

Task 18: Ensure joint monitoring systems are established and used

Intended outcomes

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

Who should do it

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

Middle manager's tasks

What needs to be done

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

How to do it

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

Field staff's jobs

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

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

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

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

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

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

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

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

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

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

Who should do it

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

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

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

How to do it

- Develop/adapt a checklist.

Field staff's jobs

Support the development of a checklist.

A

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

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

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

Task 20: Developing and implementing a phase-out strategy

Intended outcomes

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

Who should do it

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

Middle manager's tasks

What needs to be done

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

How to do it

- Prepare and implement a phase-out plan.

Field staff's jobs

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

A

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

B

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

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

Task 21: Support and review the evaluation processes

Intended outcomes

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

Who should facilitate this

UNHCR middle managers, government counterparts and partner managers.

Who else should participate

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

Middle manager's tasks

What needs to be done

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

How to do it

- Develop and use a checklist.

Field staff's jobs

Support/facilitate evaluation as required.

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

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

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

Task 22: Ensure evaluation findings inform continued implementation

Intended outcomes

Project impact enhanced.

Who should do it

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

Who else should participate

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

Middle manager's tasks

What needs to be done

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

How to do it

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

A

Field staff's jobs

Ensure accessibility of the evaluation reports and:

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

A

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

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

Task 23: Ensure timely and effective reporting

Intended outcomes

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

Who is responsible

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

Middle manager's tasks

What needs to be done

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

How to do it

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

Field staff's jobs

Support:

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

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



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

Task 24: Ensure generation of lesson learning materials

Intended outcomes

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

Who should coordinate this

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

Who else might be involved

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

Middle manager's tasks

What needs to be done

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

How to do it

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

A

Field staff's jobs

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

A

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

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

Task 25: Further promote self-reliance among partners

Intended outcomes

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

Who should lead this

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

Who else should be involved

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

Middle manager's tasks

What needs to be done

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

How to do it

- Publicise successes and the benefits.

Field staff's jobs

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

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

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



F. Addressing the challenges

There are a number of challenges:

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

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

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

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

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

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

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

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

5. Ensuring refugee/returnee communities collaborate effectively.

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

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

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

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

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

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

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

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

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

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

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

11. Ensuring collaboration with and between partners remains effective.

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

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

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

13. Ensuring projects are conceived well and planned properly.

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

14. Ensuring project management is effective.

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

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

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

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



<p>Identify current Self-reliance activities in the operations</p>	<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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<p>Explore whether all possibilities for self-reliance have been developed</p>	<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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<p><i>Objective: To identify what must be addressed in order to strengthen self-reliance in the programme</i></p>			
<p>Clarify the potential benefits of increasing self-reliance among refugees/returnees, identify the constraints and challenges, and indicate how these challenges may be addressed</p>	<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





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**.



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**.



A **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	<p>Installation of mud stoves</p> <p>Maintenance of equipment, vehicles...</p> <p>Preparation of natural remedies and treatment of livestock diseases</p> <p>Masonry, plumbing, electrical work</p>	<p>Ensure demand exists for services, and potential clients have money to pay for them,</p> <p>Ensure access to tools, structures and other physical resources to establish the enterprise</p> <p>Identify existing technical skills, resources and knowledge, and strengthen them as needed</p> <p>Ensure access to microfinance services</p> <p>Ensure access to business skills (or access to business skills training and support)</p>	<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	<p>Stalls and shops</p> <p>Food vending</p> <p>Service provision (e.g. mobile phone services and battery charging)</p>	<p>Work with Government for approvals/trading licenses</p> <p>Ensure economy is adequate for purchasing goods</p> <p>Ensure access to equipment and resources to establish the enterprise</p> <p>Ensure access to products to sell</p> <p>Ensure access to savings (and credit) services</p> <p>Ensure access to business skills (or access to business skills training and support)</p>	
Trading	<p>Livestock and foodstuffs trading</p> <p>Trading in natural products (e.g. honey, gums and resins, timber and firewood)</p>	<p>Work with Government for approvals/trading licenses</p> <p>Unsure capital for initial trading purchases, and the resources to transport goods as necessary</p> <p>Ensure access to business skills (or access to business skills training and support)</p>	
Professional	<p>e.g. doctors and dentists, veterinarians, legal advisors</p>	<p>Work with Government for endorsement for practicing professionals</p> <p>Ensure access to equipment and other resources</p> <p>Identify means for certification and confirmation of a right-to-practice</p> <p>Ensure understanding of the prevailing professional climate (e.g. what legal system applies in the country of asylum for those practicing law)</p>	

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 Number of returnees who express their intention to participate in elections, either as voters or as candidates
	<input type="checkbox"/>	Returnees are actively engaged in community-level democratic processes	<ul style="list-style-type: none"> 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:
<p>Government, operational partners and local authorities committed to initiatives that progressively strengthen refugee/returnee and local community self-reliance</p>	<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
<p>Refugees/returnees committed to increasing their self-reliance, and believe the necessary resources are/will be available</p>	<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
<p>Hosting/receiving populations supportive of self-reliance initiatives among refugee/returnee populations, and believe mutual benefits will accrue</p>	<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
<p>Host governments remove all major barriers to refugees' participation in the local economy and encourage involvement in development activities</p>	<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.
<p>Receiving governments incorporate returnees into local development processes and provide full resources and rights to enable their reintegration</p>	<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
<p>UNHCR playing a progressively smaller role in the identification and design of self-reliance initiatives</p>	<ul style="list-style-type: none"> • Operational partners taking the initiative for identifying, planning and seeking funding for self-reliance initiatives
<p>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</p>	<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	(see Tool 13)
	77. Help in formulating self-reliance initiatives provided to others	(see Tool 13)
	78. Help for consolidating government capacity provided	(see Tool 13)
	79. Guidance on the closure of sub-projects sought	(see Tool 13)
	80. Development assets transferred	(see Tool 13)

REFERENCES (ESSENTIAL INFORMATION)


This Appendix has 17 annexes that contain essential information related to self-reliance. All annexes are referenced in Book 2: Making self-reliance work. This Appendix is divided into five sections so that the reading material is clustered according to topics. If you wish to browse this material without working from the references in Book 2, the table on the next page will help you to identify what you want.

Contents			
Annex no:	Annex title:	Content:	Headings
Annex 1.1	References	<i>This contains references cited in the text. These provide useful background reading</i>	Bibliography Useful links
<i>About self-reliance</i>			
Annex 1.2	Understanding the context (where self-reliance fits)	<i>This explains why UNHCR is increasingly active in self-reliance, and how self-reliance is central to the successful implementation of pending and durable solutions</i>	The issues Self-reliance and the Framework for Durable Solutions Self-reliance and sustainable livelihoods
Annex 1.3	Self-reliance in different phases of an operation	This explains what self-reliance can mean in different phases of a refugee operation	What self-reliance can mean in an emergency phase What self-reliance can mean in care and maintenance What self-reliance can mean in local integration What self-reliance can mean in repatriation and reintegration
Annex 1.4	Self-reliance in different phases of an operation	This looks at what can hinder or constrain the promotion or adoption of self-reliance. There are circumstances in which advocating self-reliance may at times begin to seem challenging if not futile. These are some of those factors	Political considerations Legal and institutional considerations Physical and natural resource considerations Socio-economic considerations Issues for urban refugees Issues relating to gender Issues for separated or unaccompanied children Issues relating to adolescents Issues for people living with HIV/AIDS Issues relating to war and insecurity
<i>Assessments and design</i>			
Annex 1.5	Guiding principles for assessments	<i>This stresses the importance of making assessments, and the key principles for getting them right</i>	The principles





Annex 1.6	Targeting assessments	<i>This describes the ways in which different groups can be targeted for assessment - how to talk with who for what</i>	Key informants Focus groups Household visits Market visits Vulnerability ranking
Annex 1.7	Types of assessment	<i>This explains what is covered by different assessments, how the assessment should be carried, with whom and when</i>	How to decide which assessments to do
Annex 1.8	Who to target	<i>This presents some of the ways in which refugee/returnee and hosting/receiving populations may be conveniently grouped when looking at self-reliance interventions</i>	General points Potential benefits Potential problems
Annex 1.9	Some less conventional ideas for production, marketing and service provision	<i>This lists some of the less conventional business opportunities that may be considered. Use this table to stimulate further possibilities as well as exploring any of those that may be appropriate</i>	
<i>Project management</i>			
Annex 1.10	Monitoring and evaluation	<i>This looks at the difference between monitoring and evaluation - what monitoring is, and what evaluation is</i>	
Annex 1.11	Indicators	<i>This describes what indicators are, why they are used, and how to use them. It also provides guidelines on the identification of indicators, and the selection of indicators from UNHCR's Guide on the Systematic Use of Standards and Indicators in Operations</i>	UNHCR standards and indicators How to use indicators How to select further indicators Verification of indicators
<i>Interventions</i>			
Annex 1.12	Strengthening social self-reliance	<i>This explains the meaning of social self-reliance, what it consists of and the ways in which it is important not only to the earlier stages of an operation but also how it provides a firm basis for economic self-reliance</i>	What social self-reliance consists of Why social self-reliance is important





Contents			
Annex no:	Annex title:	Content:	Headings
Annex 1.13	Employment and business related interventions	<i>This describes a number of activities (based upon labour, enterprise and business development, training and local area development) that will contribute both to social and economic self-reliance. Each activity is explained, and 'why', 'when' (or when not) and 'how' to implement them is outlined. (These guides have been derived from ILO publications)</i>	<ol style="list-style-type: none">1. Vocational and skills training2. Local economic development3. Public employment services4. Cash-for-work5. Food-for-work6. Labour-based infrastructure projects7. Community contracting8. Micro and small enterprise promotion9. Microfinance10. Business development services11. Start and improve your own business12. Women entrepreneurship development
Annex 1.14	Voucher systems for payment of labour	<i>This describes the way in which food or cash for work systems can be replaced by vouchers systems, and why this may be appropriate in some situations</i>	
Annex 1.15	Remittances and in-kind loans	<i>This describes alternatives to providing cash grants and credit, and why these systems are beneficial in many situations. It also looks at how remittances, non-cash grants and savings-in-kind schemes compliment business development</i>	Non-cash grants for initial start-up business Savings in-kind In-kind loans Remittances
Annex 1.16	Relief substitution	<i>This describes what relief substitution activities are, and how they utilise local production of relief items for distribution to refugees, and how this contributes to self-reliance</i>	Relief substitution and self-reliance Managing relief substitution activities The down-side
Annex 1.17	Quick impact projects	<i>This describes what QIPs are, why they were developed and what they are usually designed to do. Criteria are provided, and the typical QIP project cycle is described</i>	

Annex 1.1

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B. Useful links

Topic	Website
The Microfinance Gateway	www.microfinancegateway.org/
Millennium Development Goals	www.un.org/millenniumgoals
Post-conflict Microfinance Project	www.postconflictmicrofinance.org
Refugees International	www.refugeesinternational.org
Refugee Livelihoods Network	<p>The UNHCR Evaluation and Policy Analysis Unit (EPAU) has initiated an e-mail list-serve on livelihoods, which includes a network of practitioners and researchers with a common interest in refugee livelihoods and self-reliance issues. The purpose of the network will be to exchange ideas and lessons learned, to keep members abreast of current initiatives and to provide an opportunity for learning and inter-agency co-operation.</p> <p>You can join the list by sending a message to Ms. Cindy Horst (REF.NET@inter.NL.net) briefly describing your interest and experience in livelihood issues and what you would hope to get out of this list-serve.</p>
ReliefWeb	www.reliefweb.int/w/rwb.nsf
Small Enterprise Education and Promotion Network	www.seepnetwork.org
UNDP Sustainable Livelihoods Documents	www.undp.org/sl/Documents/documents.htm
World Refugee Website	www.worldrefugee.com



A receiver - of training and business support.

Annex 1.2

UNDERSTANDING THE CONTEXT (WHERE SELF-RELIANCE FITS)

This annex explains why UNHCR is increasingly active in self-reliance, and how self-reliance is central to the successful implementation of pending and durable solutions.

A. Introduction

UNHCR is viewing protracted refugee situations, refugee livelihoods and self-reliance with a new commitment. This reflects several factors:

- With fewer large-scale emergency operations and repatriation programmes to implement, UNHCR is able to give greater attention to other aspects of its work including the need to address and resolve protracted refugee situations.
- Given the increasing budgetary shortfalls and declining levels of relief available to refugees in many parts of the world, minimum humanitarian standards are difficult to maintain through assistance programmes. Simultaneously donors and other actors are increasingly interested in identifying strategies for reducing levels of relief expenditure.
- An increasing number of host states and societies are expressing concern over the presence and negative impacts of refugees on their territory - issues that may be addressed in part by emphasising the positive and productive potential of refugees.
- When refugees are restricted to camps, with few or no productive activities and little hope for the future, there are likely to be negative consequences including frustration, anti-social behaviour and insecurity. These do not contribute to the search for durable solutions.

B. The issues

In many situations refugees are reduced to mere recipients of humanitarian assistance. Countries hosting large refugee populations are usually poor; refugee hosting areas are often remote, are neglected by development actors, and are not regional priorities for the host government;

hosting refugees for protracted periods has long-term social and economic impacts (that can lead to conflict and insecurity if not properly addressed in a timely manner); and refugees frequently face restrictive (asylum) regulations that limit their freedom of movement, access to education and other needs, rights and opportunities. As a result refugees, and their hosting populations, remain excluded and marginalised.

In post-conflict situations the sustainable reintegration of returnees is a major challenge. After initial assistance from humanitarian agencies, returnees may be left in deprived conditions for extended periods with few opportunities, often in a politically fragile environment. This has considerable implications for refugees/returnees and local communities, their political, economic and social stability, and their environment.

C. Self-reliance and the Framework for Durable Solutions

This publication is written within a broader framework that recognises refugee protection is best achieved by finding durable solutions to displacement - through repatriation, local integration or resettlement. Self-reliance underpins these strategies.

In protracted refugee situations there is clear justification for building similar processes. Care and maintenance alone, with refugees remaining dependent on humanitarian assistance, are not acceptable options. An essential key to solving this is political; but a key element with more immediate benefits is development. Refugees must be able to pursue productive livelihoods and increasingly support themselves with food, water, shelter, personal safety, health and education - both sustainably and with dignity. They require the kind of support that development, rather than humanitarian, agencies generally provide. UNHCR has developed an approach for providing this support - the Framework for Durable Solutions.

The Framework for Durable Solutions seeks to increase opportunities for refugees and returnees as well as local populations to pursue productive livelihoods and positively contribute to society and the economy. It builds cooperation and commitment to burden-sharing with the focus on refugee-hosting areas or returnee areas, rather than the refugees or returnees alone. It seeks: to include refugees and returnees in development processes, transition plans and recovery plans; and to strengthen refugee productive capacity. It also advocates for an integrated approach between UN agencies, NGOs, international financial institutions, donors and government.

There are three approaches:

1. Pending the implementation of durable solutions (i.e. through repatriation, local integration or resettlement) UNHCR adopts a strategy to promote additional development assistance for refugees and hosting populations in the country of asylum. This is termed **Development Assistance for Refugees (DAR)**. The underlying principle for a good programme is self-reliance.
2. When implementing a durable solution that involves the return of refugees to their country of origin, UNHCR promotes a strategy that brings humanitarian and development actors (and funds) together to create a conducive environment inside that country. This is termed **Repatriation, Reintegration, Rehabilitation and Reconstruction (4Rs)**. The underlying principle for a good programme is also self-reliance
3. When refugees are integrated in the country of asylum, or resettled to a third country, UNHCR solicits additional development assistance in that country and builds partnerships between government, humanitarian agencies and development organisations for the benefit of refugees and local communities. This is known as **Development through Local Integration (DLI)**, and again self-reliance underpins its approach.



Refer to the UNHCR publication **Framework for Durable Solutions for Refugees and Persons of Concern**¹, and **Annex 1.3: Self-reliance in different phases of an operation**.

¹ See Annex 1.1: References

D. Self-reliance and sustainable livelihoods

As well as securing autonomous access to water, health, education and shelter, self-reliance will impart food and income security. This requires the development of sustainable livelihoods - the means by which individuals and households acquire food and incomes e.g. fishing, farming, employment and trading. Livelihood support is an essential way of promoting self-reliance.

Interventions are to preserve and strengthen livelihoods and households' capacities to protect productive assets and positive coping strategies. Livelihoods are sustainable, therefore, when individuals, households and communities can cope with or recover from stress and shocks, maintain capabilities and assets, and provide sustainable opportunities for the next generation.



Harness those skills and share them with others.

Annex 1.3

SELF-RELIANCE IN DIFFERENT PHASES OF AN OPERATION

This annex explains what self-reliance can mean in different phases of a refugee operation.

A. Introduction

In the same way that operations move from an emergency phase to Durable Solutions, there is a gradual transition from dependency to self-reliance that should also be facilitated and nurtured. (We should, as much as possible, avoid creating dependency - right from the outset of an operation). While the tasks for establishing effective self-reliance activities remain essentially the same, the environments, needs and issues certainly do not. Self-reliance is a process to be taken as far as possible - depending on the legal, social, political, natural and economic environment.

B. What self-reliance can mean in an emergency phase

It may not seem appropriate at the time, but while refugees need emergency assistance it is essential to strengthen their self-reliance - to reinforce their coping strategies, protect whatever productive assets they remain with, and rebuild their social capacity to address essential needs. We aren't just looking at food production and jobs, but are trying to prevent people resorting to distress strategies that make them even more vulnerable in the long term. We are looking at building self-esteem and social self-reliance as well. For example:

- Use a community development approach at the earliest - strengthening community institutions and capacity; and mobilising both refugee and host communities for self help, community-based care and community-based decision-making.
- Incorporate refugee (and host community) representatives in sectoral committees.
- Mainstream age and gender considerations from the first stages of an operation.

- Identify and train community workers from within the refugee (and hosting) communities.
- Utilise ILO's labour-, rather than mechanised-, approach for emergency works programmes.
- Encourage the first steps towards food production (with simple kitchen gardens and small livestock).

Find specific ways to enhance hosting community self-reliance/livelihoods. For example:

- Invite tenders for camp construction from local businesses - to support economic growth, provide employment and generate new businesses locally.
- Encourage host populations to establish supply services where refugees are restricted to camps e.g. firewood, and access to raw materials for business purposes.
- Utilise voucher systems to enhance host community and refugee incomes. They inject cash into the local economy.

C. What self-reliance can mean in care and maintenance

It is particularly important to build self-reliance at this stage of an operation. While refugees continue to require humanitarian support they must further strengthen their positive coping strategies, build their productive assets, and use their social capacity to address needs. They require the means to develop their own livelihoods - to produce food, generate income, rebuild self esteem and strengthen social cohesion. This will lead to decreasing reliance upon relief and the lesser need for refugee-specific services. To achieve this:

- Know the social and economic environment (for example through market and labour patterns, and analysis of gender and cultural dimensions to livelihood).

A > See **Annex 1.13.6: Labour-based infrastructure projects.**

B > See **1.14: Voucher system for payment of labour** for more information.

REFERENCES (ESSENTIAL INFORMATION)

- Liaise with communities, and local and national governments to access resources for livelihood activities (including land for agriculture and livestock production).
- Build partnerships and collaboration between refugee and hosting populations to bring complementary skills and resources together for mutual benefit (and to strengthen coexistence).
- Build capacity and increase accessibility of local institutions (i.e. extension services, training facilities, service providers, input suppliers and credit facilities) for the benefit of both refugee and hosting populations.
- Develop the local infrastructure to improve market access, reduce transport costs and improve incomes.
- Support business development by providing access to microfinance institutions and business development, linking refugee producers with host traders and markets.
- Strengthen linkages with hosting community opportunities for employment - find ways for refugees to earn wages.



Field experience: Urban refugees and unemployment in Mexico City

Research on Central American refugees in Mexico City in the late 1980s found a correlation between unemployment and humanitarian grant assistance. Refugees who received financial assistance (grants) sooner, and for longer periods, tended to remain unemployed while those who did not receive assistance initially, or who received it for a short period of time, tended to find employment more readily.

SOURCE: O'Dougherty, Laura.

Uprooted and silent: Central Americans in Mexico City.

(Mexico: Mexican Academy for Human Rights, 1989).

- Provide training to develop skills for viable enterprises and real employment opportunities - particularly important when the productive environment and income generating opportunities in a host country are different from those in the country of origin.  A
- Develop relief substitution - the production and sale of goods and items to agencies for their subsequent distribution to refugees (from soap, mosquito nets, mats and utensils, to blankets, school uniforms, knitted jumpers and bags. And from building bricks to mud stoves, wheel barrows to school desks).  B

A

See **Annex 1.13.1: Vocational and skills-training.**

B

See **Annex 1.16: Relief substitution.**

- Support the development of representative, effective and accountable committees, involving both refugees and hosting community representatives, as a way to strengthen social capacity, collaboration and responsibility as well as to address sectoral needs such as education, health, water and sanitation, as well as security and development.



Over the hills, not far away, in the place we used to live.

D. What self-reliance can mean in local integration

Self-reliance is central to any durable solution. For local integration, this means an end to reliance upon relief (at par with local communities) and the need for refugee-specific services. Coping strategies, productive assets and social capacity are integrated with those of the hosting community. Livelihoods of returnees and receiving communities are linked and legal status allows full integration in the social, political and economic life (at par with local populations). In an urban setting this means unrestricted access to training, employment opportunities, microfinance, legal documentation, health-care and education services. In a rural environment this is likely to also mean: access to land, livestock, water resources, services, production inputs and markets; participation in local groups and cooperatives; and cash-for-work and other employment opportunities.

E. What self-reliance can mean in repatriation and reintegration²

Preparations for self-reliance in repatriation begin while refugees are in asylum. This may even facilitate voluntary repatriation as refugees feel more confident in their capacity to reintegrate and earn a living back at home. Self-reliant refugees are better equipped to take advantage of new opportunities - increasing livelihood options, enhancing their sustained reintegration and strengthening their commitment to returning to their places of origin. Unskilled refugees are less able to integrate, and young adults coming from a protracted situation may know nothing other than life as refugees. The needs are, therefore the same - positive coping strategies, productive assets and social capital must be strengthened for local human and economic development.

Before repatriation:

- Together with humanitarian and development actors from both the country of asylum and the country of return, promote a cross border planning process.
- Encourage the development of a 4Rs/transition strategy and an integrated planning process in the country of return that will include returnees, local communities and other populations of concern (IDPs, ex-combatants, etc). Define roles and responsibilities as well as phase-in/phase-out strategies for various agencies.



² See the UNHCR publication *Handbook for Repatriation and Reintegration Activities* (2004). (Annex 1.1: References).

- Ensure access to comprehensive information on areas of return to provide a basis for designing sound strategies, and update this information regularly.
- Provide information on refugee profiles (social and economic) and tentative areas of return to the team (Government, UN agencies, donors, NGOs and receiving communities) in the country of origin.
- Identify the livelihood needs and economic opportunities in the areas of return to guide self-reliance preparations, and provide training to refugees and receiving communities as appropriate. Training should also address: water, sanitation and community infrastructure; organisational skills; and even language skills for those born in asylum and have adopted a different language.
- Ensure recognition of certificates delivered in asylum, and explore possibilities for qualified refugees to be absorbed in national and local services and structures in the country of return (e.g. teachers, health staff, community development workers and extensionists).
- Target skills training on households that are able and most likely to repatriate. Vulnerable households are likely to be dependent on able households after repatriation (when assistance is no longer available).
- As part of a 4Rs/transition strategy in the country of return, address the recovery of (or access to) land and other productive assets (as well as property) for returnees - obtaining commitments from the country of origin to participate in planning and identifying reintegration areas. Inheritance and women's rights should also be addressed, and the needs and rights of youth.
- Facilitate links between refugee representatives, the agencies and the communities in areas of return, to build trust and cooperation, and provide opportunities for potential returnees to visit their 'home' areas to build on this. Ensure the visiting groups provide feedback and discuss the situation on the ground with other refugees, and contribute to visioning and planning.
- Prepare receiving communities for absorbing and reintegrating returnees - developing the notion that returnees will contribute to, rather deduct from, their livelihoods.

REFERENCES (ESSENTIAL INFORMATION)

- In cooperation with development actors (e.g. UNDP for governance) enhance the capacity of local authorities and service providers with skills and resources to support returning and receiving communities in their social and economic development and in the promotion of peaceful coexistence.

And during repatriation:

- Consider the relevance of the season during which repatriation will take place - particularly for cultivation and the growing season, as well as the construction of homes.
- Monitor absorption capacity of returning areas and communities and, when possible, adjust the pace of repatriation.
- Develop partnerships with development actors. They are familiar with the participatory processes that will build commitment, develop realistic plans, and prepare strategies that will ensure sustainability - ensuring refugees and receiving communities are involved, and strategies are integrated in development plans in the country of origin.
- Recognise the potential for conflict between receiving communities and returnees, and involve them in developing plans for coping with the upheaval, hostilities, ownership disputes and use rights.
- Enable refugees to transfer productive/economic assets (e.g. transport, machinery, equipment and livestock) from their country of asylum to strengthen their move towards self-reliance - easing reintegration and promoting reconstruction.
- Facilitate the transfer of skills from asylum to return areas.


Field experience: Taking good experience home

As returnees, some Afghan communities recognised the benefits they had gained from community mobilisation and girls' education when in asylum. They stimulated the processes of change for wider development benefits. And in some parts of Eritrea, returnees set up effective women groups for savings and credit and small business. The leaders or catalysers of these groups were people who had worked as community health workers when in asylum in Sudan. Now they were applying their skills in mobilising communities in new ways - making substantial differences to the communities in which they lived.

If you are working on self-reliance in a reintegration operation, and want to support community empowerment activities, then find those who have had relevant training in the refugee camps. Who are the community development and sanitation workers etc.? Recognise them as a resource. Are there other human resources available that you don't know about? Use the Project Profile or the new registration data-base to find what human resources there might be.


Myriam Houtart,

Former Senior Self-reliance Officer, RLSS/DOS, UNHCR, Geneva.

- Consider (with development actors) the impact of your interventions on long-term development - the achievement of rehabilitation, reconstruction, local economic recovery and growth. Recognise that sustainable repatriation is determined in part by the absorption capacity of the areas of return/country of origin.
- Contribute to rebuilding any traditional social mechanisms that provide for the most vulnerable. These may have broken down in asylum, but links with receiving community structures, with external support, may nurture their revival.
-  A • Promote access to microfinance services in returning areas (and cash grants in certain cases) to enable start-up of small businesses.
- Provide information on good microfinance clients in asylum and link them with microfinance service providers in return areas.

After repatriation and as part of an interagency and government team strategy:

- Recognise that community cohesion can contribute to livelihood development and self-reliance and vice versa. Identify opportunities for returnees to network, share information and develop social as well as economic ties with the receiving population - for example through farmer associations, teacher and other vocational organisations, day centres and women's groups or youth clubs.
- Ensure receiving communities benefit from development interventions.
- Promote an area development approach and see how various initiatives (such as return of refugees and IDPs, DDR and others) can be linked.
- Recognise that the absorption capacities in areas of return reflect the levels of achievement in rehabilitation, reconstruction, local economic recovery and development. Limited absorption can lead to backflows - and backflow refugees are typically more destitute than when they were repatriated. Their limited coping strategies, productive assets and social capital may have been lost.
- Harness refugee capacity to advance the recovery process - building from their productive capacities.

 A See **Annex 1.13.8: Micro and small enterprise promotion** and **Annex 1.13.9: Microfinance**.

REFERENCES (ESSENTIAL INFORMATION)

- Ensure access to training to develop technical capacity and build confidence, using skills of former refugees and the receiving population.
- Enhance the potential of overseas remittances through the establishment of banking systems for handling international private resource transfers.
- Advance the processes of mine clearance, reconstruction activities and restitution of property rights to ensure access to productive resources from which self-reliance activities will build.
- Strengthen economic development potential by promoting market areas and supporting the construction of access roads (through Quick Impact Projects).
- Harness the resources and expertise of development actors to strengthen community-based structures for economic development, capacity building and skills development.
- Harness the private sector as well.

Annex 1.4

WHAT AFFECTS SELF-RELIANCE (SOME OF THE CONSIDERATIONS)³

This annex looks at what can hinder or constrain the promotion or adoption of self-reliance. There are circumstances in which advocating self-reliance may at times begin to seem challenging if not futile. These are some of those factors.

A. Introduction

Many factors influence the promotion and achievement of self-reliance. There are political implications, legal issues, institutional considerations, environmental factors and socio-economic considerations. We need to pay particular attention to gender and age risks and constraints, the specific circumstances and needs of urban refugees, the vulnerabilities of separated or unaccompanied children, adolescents and people living with HIV/AIDS, as well as single heads of households. Additionally there may be the added dynamics of war and insecurity, psycho-social issues, and the influence of culture and religion.

B. Political considerations

Political factors such as: host government policy; a particular UN Country Team approach; the commitment, guidance and management of agencies; and donor policies, can stimulate or deter self-reliance.

National policies (and public attitudes) towards refugees and returnees may limit self-reliance options - resulting perhaps in national and local government regulations that: prevent refugees from accessing land (for productive purposes); limit employment options, access to markets and access to financial services; forbid freedom of movement, access to and use of natural resources, and social services; and deter the promotion of self-reliance activities by aid organisations. These regulations may be enforced to varying degrees.

The UN Country Team (including the World Bank) have a major role to play in emphasising self-reliance - promoting and supporting its integration in the CCA/UNDAF planning process and the overall government poverty

³ This annex draws fully on the in-depth assessment for food security and self-reliance in the *UNHCR/WFP Joint Assessment Guidelines* (2004).

reduction strategies. Their commitment is central to self-reliance being mainstreamed in development programmes. Donors must also be committed to self-reliance based approaches. And development-oriented agencies (as well as government and the NGO practitioners at field level) must build their involvement in refugee and (re)integration programmes around development approaches.

C. Legal and institutional considerations

Experience shows that self-reliance works best where legal and institutional frameworks strengthen relevant civil, social and economic rights (e.g. over land, employment, education, freedom of movement, identity documents and access to courts). Where these cannot be negotiated satisfactorily the promotion of self-reliance among refugees will be constrained. Consider the following points:

- Lack of secure residence rights, identity documents, work permits, documentary proof of professional qualifications etc. will limit employment opportunities, and render refugees vulnerable to extortion and abuse.
- Lack of freedom of movement curtails market access and limits other income generating opportunities. Extortion at checkpoints outside of camps impacts on profit margins. Closed camps encourage absolute dependency and illegal activities.
- Lack of legal rights over land and water constrain long-term planning, and commitment to sound management. Vulnerability to eviction leads to unsustainable natural resource utilisation e.g. exploitative farming practices or unsustainable harvesting of woodland.
- Lack of valid documentation (e.g. birth and registration certificates) may lead to problems in accessing basic services and human rights, including resources with which to build self-reliance.
- Lack of rights and access to banks may limit access to remittances and credit, impacting on potential for livelihood development.
- Poor security and the threat of SGBV among those who leave camps to collect firewood, water or food, and pursue productive other activities, may curtail self-reliance.
- Residual camp caseloads can be more difficult to support, in terms of developing their self-reliance, especially if they consist of the more vulnerable households.

While for returnees:

- Non-issue of documentation to regularise personal status, and non-restitution of assets and resources, will limit livelihood opportunities and impact on their reintegration.

D. Physical and natural resource considerations

In many operations, locally available natural resources are likely to provide the basis for livelihood development and self-reliance activities. The resources available, and their respective productivity, will influence the choice of activities and guide their use. There are resources over which households have direct control (household assets), and resources regulated through membership of a larger community (common property assets). Whichever are available, the need is to 'use them don't lose them' - ensure the sustainable use of local resources. To benefit from the local natural environment consider the following:

- Involve the specialists - work with organisations and individuals having skills in environmental assessments and natural resources management.
- Avoid conflict over natural resources between hosting and refugee populations, through stakeholder analysis and mapping (using participatory methods).
- Identify the widest range of resources available. Determine areas and resources that are sensitive environmentally, economically and culturally to host communities, local authorities and commercial interests. Identify suitable self-reliance activities with the respective communities.
- Identify potential environmental threats and risks from self-reliance activities, including damage to water catchments, soil erosion, water pollution and forest destruction.
- Select and formally allocate land for productive uses (e.g. cultivation and livestock production) and identify sustainable husbandry practices (bearing in mind refugees may not be familiar with the natural environment or the husbandry methods that are appropriate, and are likely to have only limited access to inputs).
- Ensure access to extension services, training and inputs - building local capacity as possible.

E. Socio-economic considerations

Refugee and returnees can be agents of economic development locally, benefiting not only themselves but also strengthening the local economy. They may bring or develop skills that enhance local production and trade - stimulating development and building self-reliance. Consider the following:

- Refugee skills, in relation to host community skills, may help or hinder potential options - either complementing or competing with them.
- Newly arrived refugees will not have diversified their skills to suit their new environment.
- Former livelihoods determine the skills people have, but these may be inappropriate in the host environment. (Former pastoralists are particularly difficult to cater for in the confines of a camp, and camp life will not equip them for skills as returnees if they resume pastoralism based economies).
- Former class backgrounds may inhibit or encourage self-reliance. Refugees from middle and upper class backgrounds may find it difficult to take up menial work or adjust to life in rural areas.
- Single male-headed households may find it problematic to undertake work traditionally done by women such as collecting firewood and water, and cooking.
- Women-headed households may not have the time, relevant skills and social status (based on cultural values) to access the necessary resources and labour markets.
- An informal economy and labour market offers economic opportunity provided: labour laws permit; unemployment in the local population is not high; and that the labour market is not saturated with specific skills and services.
- Microfinance can play an important role but host country microfinance/financial institutions may consider loans to refugees too great a risk. Informal, traditional or community-based savings and credit mechanisms may hinder as well as help business start-up.



See **Annex 1.13.9:**
Microfinance.



F. Issues for urban refugees

Urban refugees are frequently dispersed or isolated among host populations - making little or no social, cultural or language ties. They may lack leadership and traditional community structures. They are vulnerable to a range of protection threats including: arbitrary arrest, detention and extortion by police; human trafficking (especially of women and girls); exploitation by employers (including child labour), traders and landlords; discrimination and physical abuse (including sexual violence) at the hands of the local population, the police and other authorities, or by refugees themselves. Self-reliance promotion can expose refugees to these risks. Also consider that:

- Urban self-reliance usefully focuses on social and economic integration to avoid social tension.
- Some groups will have little or no work experience, and may need more training support.
- Refugees from rural areas or different cultures, religions or class, may have few relevant skills, and may find it difficult to integrate and become self-reliant in their new environment.
- Urban labour markets may be saturated with individuals having similar skills - opportunities may be limited.
- Refugees may, in effect, be confined to a slum or shanty town when local authorities are hostile. This limits their employment options, and increases vulnerability to exploitation. Women and youth are groups that require particular consideration.
- Means testing, to determine assistance needs, often creates resentment, prompting refugees to hide their level of income and conceal their assets.
- Using ‘vulnerability’ as the main criterion for assistance may encourage refugees to act in desperate and humiliating ways in order to qualify for specific types of support.

G. Issues relating to gender

Women may find it harder than men to set up in business - perhaps with:

- Fewer business networks.
- Less opportunity for accessing credit, cash, markets or traders - particularly in more conservative societies.
- Fewer assets and rights.
- Restricted access to education and skills training.
- Reduced options due to traditions, customs and cultures (including pressure to adopt only lower-income roles).
- Opposition to girl-child education and single women working away from their households.
- Risks to and social disapproval of women being away from home after dark.
- A tendency for women with dependents to adopt low-risk ventures with guaranteed incomes, rather than potentially more profitable ventures.

Furthermore, works initiatives, such as food-for-work to replace distributions, may add to women's workloads. Women are often overloaded with household chores that leave little opportunity for them to engage in substantial profit-making ventures, or benefit from skills training.

Field experience: Women's empowerment in Mexico

"In the process of integration, we have had the opportunity to reaffirm the skills we have acquired throughout the different stages of asylum. In the last few years, we have demonstrated that, as women, we can also organise and manage our own income generation projects, and not just take care of our homes and children. An example of this is the first community credit scheme established in Los Laureles refugee settlement. At the beginning, it was difficult to organise ourselves, since we had never had this opportunity, and our husbands discouraged us telling us and making us believe that we would never be able to manage any projects."

"Now we realize that we have learned many things, from operating a calculator, to writing cheques, depositing and withdrawing money from the bank, applying for loans and assessing whether a project will succeed or not. We can do the paperwork, voice our concerns and vote on issues not just in the meetings of our organization but also in large community gatherings. We now have the courage to participate, and our male colleagues have started to realise and to be conscious of the importance, for our families and for our communities, of our participation."

Esperanza Vázquez,

Member of the Technical Committee of the Social Welfare Revolving Fund (FORBIS), Campeche, in The Integration of Former Guatemalan Refugees in Mexico: A Multi-Faceted Experience, edited by Edith F. Kauffer-Michel (San Cristóbal de Las Casas, Mexico: El Colegio de la Frontera Sur, 2002).

H. Issues for separated or unaccompanied children

Separated or unaccompanied children are extremely vulnerable, and most at risk from neglect, sexual assault and abuse - leading to dependency and undermining potential for pursuing meaningful livelihoods and becoming self-reliant. Further problems include dependency on social welfare, the difficulty in finding a role in the community, and discrimination when accessing services.

I. Issues relating to adolescents

Adolescents often account for a large proportion of displaced or war-affected populations. While their needs are similar to those of adults, they also encounter distinct problems:

- Adolescence is a formative period that shapes adulthood. Unless adequately protected, sensitised and trained in skills for a productive independent life, and provided with a meaningful role in their community, adolescents tend to contribute to future combat situations.
- Adolescents may be treated as dependents even though they are at an age where they would normally be productive - they fall between adults and children and may be treated like neither e.g. in receiving vocational training or accessing credit.

J. Issues for people living with HIV/AIDS

HIV/AIDS affects the productive age-groups, limiting individual, household and community self-reliance in many ways:

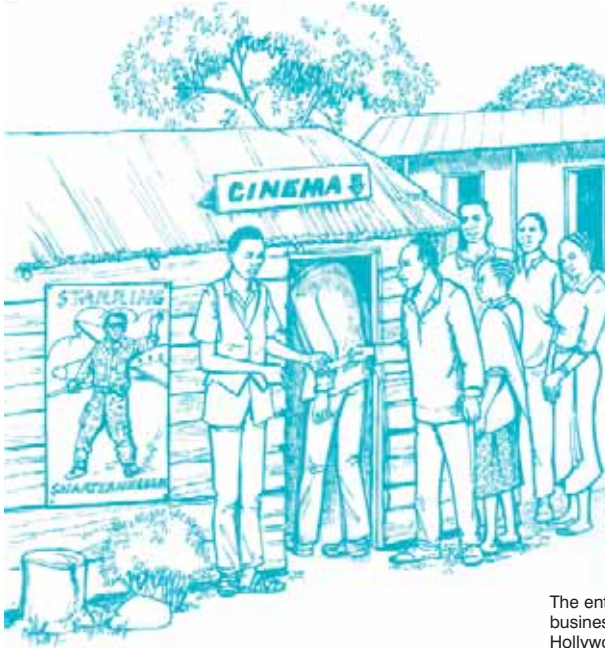
- Food availability is likely to decrease because of: falling farm production, loss of labour and loss of other productive assets; shifts to less labour-intensive production methods; and declining incomes.
- Households may be fragmented, with the elderly left to care for young dependents, or left without careers themselves.
- Because of conflict and/or HIV/AIDS children may lose role models and the opportunity to learn productive activities from their parents/relatives, with minor-headed households having inadequate livelihood skills and knowledge.
- Formal and informal institutions can be weakened, and cooperation may be diminished.

- Expenses and debts may be high, and crippling to an already weakened household, with costs for medical expenses and funerals leading to the sale of productive assets.
- Children's education may be interrupted as households are disrupted - with long-term implications e.g. for earning-potential and child labour.

K. Issues relating to war and insecurity

War and insecurity threaten self-reliance both during and after (often long after) war or conflict ends - not least if families are displaced and/or separated, and the head of household disappears:

- Families may be short of labour, with cultural factors influencing the degree to which women can take on new roles e.g. cultivating the land and undertaking business activities.
- Trauma, psychological problems, anxiety, despair and depression etc. influence the effectiveness of livelihood activities.
- Destruction of infrastructure, insecurity and land mines may limit access to productive areas, assets and activities including land, livestock and grazing areas, markets, the transportation of goods or the provision of services. Those injured by land mines may be perceived as or be less productive or a liability to a household.
- Prolonged conflict may weaken welfare networks and weaken social institutions.
- Raids may deplete households of valuable and productive tools, while interventions that increase the accumulation of assets may 'invite' violence e.g. increasing numbers of livestock. Farmers in conflict affected areas may resort to subsistence farming rather than maximising production and profit, to reduce the incidence of raiding. Increases in traditional livelihoods may increase vulnerability.
- Displacement and the lack of perspective for the future will hinder individual, household and community abilities to plan ahead for socio-economic self-reliance.



The entertainment business - from Hollywood to Dadaab.

Annex 1.5

GUIDING PRINCIPLES FOR ASSESSMENTS

This annex stresses the importance of making assessments, and the key principles for getting them right.

A. Introduction

Assessments provide the basis for: deciding what can be done; developing a strategy; selecting activities; and designing interventions. They investigate community and sectoral needs, skills and resources as well as opportunities and constraints. They identify what existing physical resources (and what can and cannot be used). They discover what can be done, and by whom.

B. The principles

For good practice:

- 1. Include all stakeholders in the assessment team.** Joint assessments that are planned, undertaken and analysed with the genuine participation of development and relief agencies (as well as refugees, returnees and host communities) will lead to the development of more pertinent and sustainable interventions.
- 2. Collect enough relevant information for making sound decisions.** What is 'enough' depends on the context and on the kind of decision to be taken. Avoid collecting too much. Collect only what is useful, and forget what is only interesting. Consider what the answers to each question will enable you to do.
- 3. Minimize the amount of time between assessment, analysis and design,** and maintain an interactive relationship with all stakeholders throughout.
- 4. Ensure the priorities and aspirations of refugees, returnees, host communities (and other people of concern) are central to analysis.** This will maximise the impact of subsequent interventions.
- 5. Keep the broadest view.** Be holistic and consider all cross-sectoral linkages and cross cutting issues.

- 6. Ensure assessment and design involves adequate technical people.**
A cross-section of technical backgrounds e.g. in agriculture, food security, health, water, community development, education, local economic and livelihood development etc. will be very valuable. Specialist input needs specialists!
- 7. Agree terms of reference, expected results and outputs in advance.**
For what reason is the information required? What information do you need for pertinent and appropriate programme design? Agree on how to maximise the use and impact of findings.
- 8. Target different livelihood groups.** i.e. conduct separate discussions with fishermen, farmers, widows and adolescents in refugee/returnee and local communities.
- 9. Use triangulation to cross-reference information collected.**
- 10. A paper trail of tools and processes is imperative.** Deviations from former assessment methodologies should be highlighted and explained.
- 11. Remember that baselines may be inaccurate and become obsolete rapidly.** Combine assessment findings with surveillance to monitor changes and trends.
- 12. Supplement assessments with smaller studies dealing with sectoral needs** e.g. nutrition, health, water, social counseling. These may be undertaken by specialist agencies.



Milk for the calf, the family and to sell.

Annex 1.6

TARGETING ASSESSMENTS

This annex describes the ways in which different groups can be targeted for assessment - how to talk with who for what.

A. Introduction

Assessments have to be done properly. There are no short-cuts. One of the critical issues is deciding who will participate in the assessments, and why. There is more detailed useful information in the UNHCR/WFP Joint Assessment Guidelines⁴.

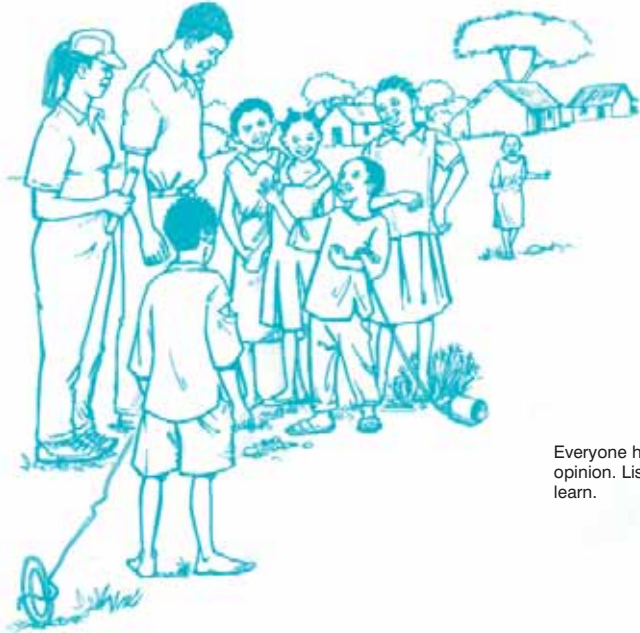
B. Key informants

Information may be sought from individuals with particular knowledge on specific subjects. These include: UNHCR office, camp management and administration staff; refugee leaders; religious leaders; government personnel; and staff of NGOs. They might also include health workers, teachers, traders, transporters and shopkeepers. They may be able to provide information about the refugee/returnee and host communities on:

- Numbers and demography.
- Health and nutrition status.
- Gender and age considerations.
- Legal status and accompanying rights and obligations.
- Social organisation and attitudes.
- The characteristics of the location.
- Food security.
- Refugee and returnee access to food, income and essential non-food supplies.
- The availability of and access to natural resources.
- The market situation (goods, employment and services).
- Food handling, targeting and distribution as well as supplementary and therapeutic feeding.

⁴ See Annex 1.1: References for the *UNHCR/WFP Joint Assessment Guidelines* (2004).

- Household food utilisation.
- Public health conditions and health care (including HIV/AIDS).
- Education and community services.
- Prospect for durable solutions.



Everyone has an opinion. Listen and learn.

C. Focus groups

Meetings with focus groups of refugees/returnees and host communities can yield valuable information, looking at:

- Health and nutrition problems.
- How households and communities organise themselves.
- The local environment and natural resources.
- Relationships between refugees/returnees and hosting/receiving populations.
- Gender roles.

- Food security, self-reliance and food aid.
- Protection concerns.
- Expectations and visioning for the future, and prospect for durable solutions.
- If voluntary repatriation is a likely durable solution, relevant information on the situation in the country of origin.
- How do households access, spend and save income.
- What is the pattern of crisis expenditure (e.g. burial, marriages, pre-harvest time) and what are the coping mechanisms.

D. Household visits

Household visits provide verification of information drawn from other sources, and to identify aspects which require more detailed enquiry. Do not assume the information is representative of a whole population unless a very large number of households are sampled in an appropriate programme of sampling and analysis. Household visits can provide us with information on:

- The material condition and assets of the household.
- Availability of productive assets.
- Gender roles.
- Availability of savings and other assets (e.g. livestock).
- Its food storage facilities and their effectiveness.
- Food preparation facilities tools and practices.
- Cooking fuel type, quality and management practices.
- Infant and young child feeding and care practices.
- Water supply.
- Environmental sanitation.
- Health care.

E. Market visits

A

Markets provide opportunities to gather information on current market conditions and expectations - looking at prices, supply and demand for different produce and products among refugees/returnees and local people. Information may be gathered by: walking through the market and observing what is being bought and sold, and what isn't there; and talking to buyers and sellers, traders and processors (e.g. grain millers).

F. Vulnerability ranking

When physical status symbols are uncommon it is difficult to rank households by wealth. An alternative is identify those using distress strategies - income generating activities that deplete the household or community resource base, i.e. illegal or socially less acceptable activities such as theft or prostitution. Other income generating activities include those that are less favoured and with lowest incomes e.g. collecting and selling wild foods or water dug from dry river beds. It is often difficult to involve the most vulnerable in participatory approaches to assessment - feeling stigmatised by their status.

A > See pages 143 to 146 in the *UNHCR/WFP Joint Assessment Guidelines*⁵.

⁵ See Annex 1.1: References for the *UNHCR/WFP Joint Assessment Guidelines* (2004).

Annex 1.7

TYPES OF ASSESSMENT

This annex explains what is covered by different assessments, how the assessment should be carried, with whom and when.

A. Introduction

Self-reliance, food security, the environment, markets and nutrition issues are closely interlinked. A range of assessments can be used to determine the extent to which income generating activities will actually generate sustainable returns. These assessments are context specific - the setting in which they are used should guide what tools (or parts of them) should be used. The assessments described here are:

- Self-reliance assessments.
- Food security and livelihoods assessments.
- Nutrition surveys.
- Environmental assessments.
- Market demand assessments.
- Business development services assessments.
- Feasibility assessments.
- Labour skills market assessments.
- Protection assessments.
- Country of origin assessments.
- Reviewing the involvement of women.

B. How to decide which assessments to do

A

A self-reliance assessment will be useful in almost all settings.

Once this is organised, the difficulty is deciding which other assessments will be useful as well. How do you decide what else to look at? One way is to review **Figure 7.1** to work out: what existing assessment reports should be able to provide you with additional useful data; which other full assessments might be undertaken; or which assessments tools will have components you may use if you design your own. So use **Figure 7.1** to see what key areas of data you are lacking, and what expertise you will need to generate it. (Unless you are an expert don't try to implement these assessments yourself).



Guarding the family bank account.

A

To undertake a more standardised in-depth food security and self-reliance assessment, use the procedure described in the *UNHCR/WFP Joint Assessment Guidelines*⁶ (Chapter 4 and Chapter 7.2). This is summarised in the Toolkit - **Tool 4: Making a self-reliance assessment**.

⁶ See Annex 1.1: References.

Figure 7.1: Assessments used for developing self-reliance

Study/ Assessment	Why to use it	What it does	What you want from it	When to use it	When not to use it
Self-reliance assessment	To provide a brief overview of the self-reliance situation in the community	<ul style="list-style-type: none"> Identifies constraints to, capabilities of and options for strengthening livelihoods Identifies potential links with development programmes and partners Guides the selection of sectors on which to focus effort (but is not a basis for designing interventions) Guides the selection of further sector-based assessments Builds participation 	All of it	At any stage of an operation	
Food security and livelihood assessment	To identify the relative importance of different food sources and incomes for different socio-economic and livelihood groups	<ul style="list-style-type: none"> Identifies the strengths, vulnerabilities, risks and opportunities for each group Identifies those at most risk Identifies the (likely) impact on food security resulting from changes in the natural, economic and social environment Guides decisions on increasing or reducing food rations (with nutritional surveys) 	Information on how food security and livelihood activities are impacting on self-reliance (for example to find which self-reliance activities work/don't work, what coping methods have been adopted and developed, which groups are particularly vulnerable, and the impact of the food basket on market prices of foodstuffs)	In post-emergency phases, and in protracted displacement. Also in pre- and post-repatriation	When there are delayed distributions or ration reductions in the food pipeline (reducing the relative importance of rations even though dependence is as high as ever)
Nutritional survey	To assess the nutritional situation and guide the development of suitable interventions	<ul style="list-style-type: none"> Determines the level of any malnutrition, and its underlying causes Identifies the groups most at risk (and why they are at risk) Guides the development of self-reliance activities to address the specific needs of vulnerable groups 	To identify and address underlying risks of malnutrition among vulnerable groups	At any stage of an operation	





Figure 7.1: Assessments used for developing self-reliance

Study/ Assessment	Why to use it	What it does	What you want from it	When to use it	When not to use it
Environmental assessment	To provide a basis for maximising benefits from the environment sustainably	<ul style="list-style-type: none">• Identifies the available natural resources• Investigates opportunities for natural resources based self-reliance activities• Guides the development of appropriate land husbandry and natural resources management• Identifies environmental threats arising from Self-reliance activities and the operation as a whole• Provides a basis for reducing conflict between refugees and hosting populations• Demonstrates commitment to government that self-reliance activities will be environmentally sustainable	All of it	As soon as a site for a camp or settlement is proposed or identified	
Market demand assessment	To assess the viability of potential income generating activities	<ul style="list-style-type: none">• Guides the selection and design of income generating activities• Determines the market for a particular business, and the trends• Identifies the skills training required	Information on the sustainability of potential income generating activities and businesses	Post-emergency, protracted displacement and post-repatriation phases	Pre-repatriation
Business services demand assessment	To assess potential for business services	<ul style="list-style-type: none">• Identifies business opportunities and constraints• Provides input to the design and set up of new businesses• Provides input to addressing funding, marketing issues• Identifies potential growth areas for new and emerging businesses	To clarify demand/potential demand for business services	Protracted displacement and post-repatriation phases	Pre-repatriation





Feasibility assessment	To assess the position in the market for particular products or services	<ul style="list-style-type: none"> • Determines potential demand for a particular product/service • Guides decisions on quality and pricing of the product or service • Guides the rate of production - how quickly will the goods or services be sold • Reviews the availability of raw materials and other inputs 	Information on the production and marketing environment when considering investment in a new business venture	Protracted displacement and post-repatriation phases	Pre-repatriation
Labour skills market assessment	To assess what skills are in demand	<ul style="list-style-type: none"> • Determines the main employment sectors and the labour they require • Identifies patterns in the demand for labour • Identifies the relationships between skills and income • Identifies relevant skills training programmes • Clarifies the legal and regulatory environment for businesses and employment 	Information that will help the placement of labour, with guidance to approaches to local authorities, estimating wages, providing training etc.	Post-emergency, protracted displacement and post-repatriation phases	Pre-repatriation in country of asylum
Protection assessment	To identify protection gaps and constraints	<ul style="list-style-type: none"> • Determines the legal framework for refugees being granted protection in the host country, the scope of that legal status, and which civil, social, economic and cultural rights they have legal and practical access to. It also determines their obligations • Determines the government position on refugee rights, and clarifies relevant national and local regulations • Highlights problems with physical security of refugees, including the presence of armed elements, and the occurrence of SGBV • Determines refugee access to natural and other productive resources • Determines refugee access to social services, schools etc. • Investigates the degree to which refugees suffer harassment 	<p>Understanding of the legal constraints and deterrents in the realization of self-reliance</p> <p>Information on the priorities given to refugee/returnee and hosting/receiving areas at national government, UN and donor levels</p> <p>Understanding of protection issues for refugees/returnees when working towards self-reliance</p>	At any stage of an operation	





Figure 7.1: Assessments used for developing self-reliance

Study/ Assessment	Why to use it	What it does	What you want from it	When to use it	When not to use it
		<ul style="list-style-type: none"> • Determines government policy to and support for aid agencies • Clarifies if the refugee operation on the agenda of the UNCT, UNDAF, CCA or the PRSP 			
Country of origin assessment	To provide a sound basis for repatriation and reintegration	<ul style="list-style-type: none"> • Appraises the economic, livelihood and development situation in the area of return • Guides the development of self-reliance activities prior to repatriation • Identifies development actors in areas of return • Develops linkages and partnerships between refugee and receiving populations • Determines the degree of restoration of national protection 	<p>Information that will allow planning for repatriation (e.g. skills development, matching of skills, economic opportunities on return) and reintegration (building social and economic absorption capacity and local economic development)</p> <p>Building coexistence links between receiving communities and future returnees</p>	When return appears to be one of the durable solutions in the future (even if the situation is yet to be fully stabilised)	
Reviewing the involvement of women	To increase opportunities for women to develop Self-reliance	<ul style="list-style-type: none"> • Clarifies the constraints faced by women, and identifies ways to address them • Determines possible occurrence of SGBV • Ensures the participation of women in project design • Identifies appropriate employment and income generating opportunities • Identifies opportunities for improving women's access to resources • Identifies means for ensuring women have access to the development services they require 	Information on the potential for women to play an increasing part in economic development, and understanding of the issues that constrain them	Post-emergency, protracted displacement and post-repatriation phases	

Annex 1.8

WHO TO TARGET

This annex presents some of the ways in which refugee/returnee and hosting/receiving populations may be conveniently grouped when looking at self-reliance interventions.

A. Introduction

Realistic and clear targeting of interventions is essential. The existence of social strata in a population is a reality that must be recognised and used to ensure effective development assistance - focusing strategies, building from internal social structures and strengthening suitable local institutions.

B. General points

- The type of self-reliance activities, the way the skills are developed and how resources are delivered will vary from target group to target group.
- Targeting should take into account intra-household relationships and responsibilities. Not everybody will be in a position to respond to opportunities.
- Projects can target vulnerable households with specific training and support to reduce dependency. Furthermore, non-food interventions may create less resentment among those who are not part of a project. For example, unaccompanied children may prefer to receive sheep or goats as a basis for building a livelihood, while the elderly may prefer to receive support for small kitchen gardens.
- Distinguish between old and new arrivals.
- Targeting must build from workers, committee and representation from the different socio-economic groups.

C. Potential benefits

- Support to more able households may generate small businesses that lead to employment opportunities for other households.
- Attention to the potential for and involvement of youth can provide adolescents with income and a sense of social value. Successful interventions will increase their self-esteem and enhance their standing in their community.

D. Potential problems

- Impoverished host populations may resent exclusion, leading to conflict between refugees and hosting communities.
- Targeting can lead to the marginalization and social tensions, and can undermine community integration e.g. a programme focusing only on women might generate resentment from men and lead to domestic violence.
- The main criteria for selecting vulnerable households for self-reliance activities are their potential to become fully economically active if provided with the means to do so. Do not invest in self-reliance activities for individuals or households that are too vulnerable to carry out viable economic activities. Focus on able families that will be supporting such vulnerable people of households.

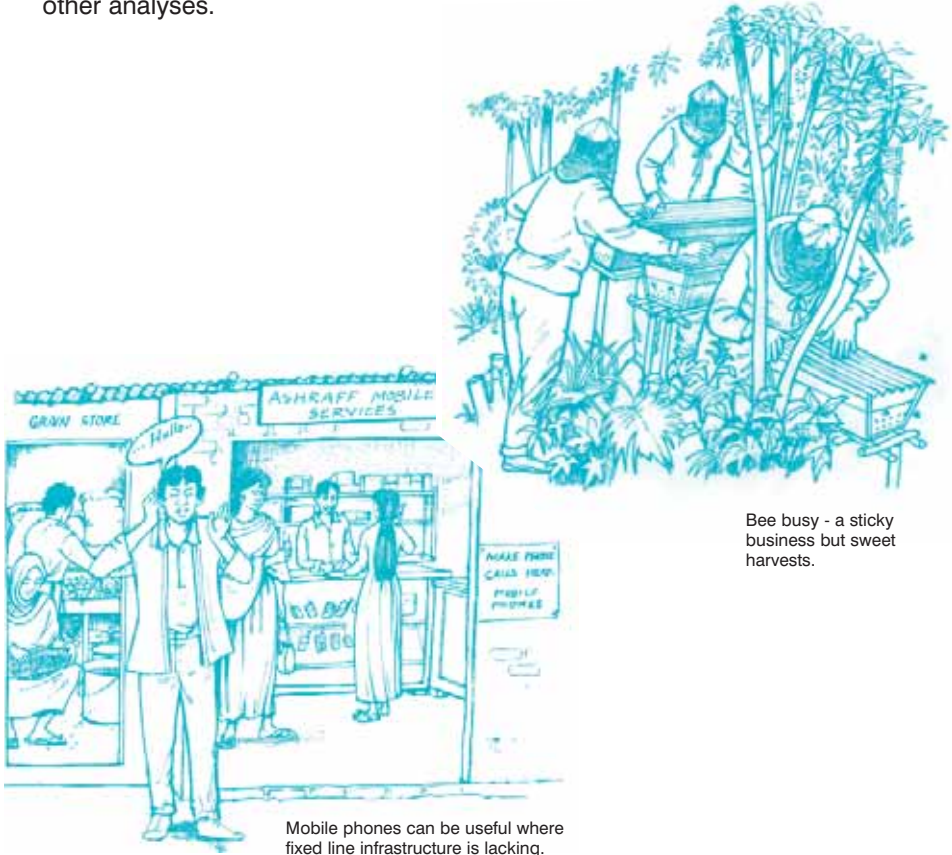


Annex 1.9

SOME LESS CONVENTIONAL IDEAS FOR PRODUCTION, MARKETING AND SERVICE PROVISION

This annex lists some of the less conventional business opportunities that may be considered. Use this table to stimulate further possibilities as well as exploring any of those that may be appropriate.

Get away from the conventional ideas of tailoring and woodworking. They may be relevant to the situation but are more likely to be developed by refugees/returnees and local people without interventions by agencies. **Figure 9.1:** may start a thinking process to complement assessments and other analyses.



Bee busy - a sticky business but sweet harvests.

Mobile phones can be useful where fixed line infrastructure is lacking.

APPENDIX ONE

Figure 9.1: Some less conventional ideas for business development

Activity:	Notes:
Agricultural tools production	Useful relief substitution activity
Animal health workers	Sustainable support to livestock keepers through sale of services for livestock treatment and technical advice, and sale of veterinary drugs. (Explore the production of local medicines, and don't encourage or subsidise use of proprietary drugs if their use is not sustainable)
Battery-charging	For powering lighting systems, radios and TVs (considering solar recharging systems)
Beekeeping	Excellent income generating opportunities with minimum investment (utilising whatever is available and building from traditional/existing skills)
Brick-making	Excellent means for offsetting deforestation for construction materials in many areas if soils are suitable (but don't encourage brick burning methods unless firewood sources sustainable. Look at stabilised block or sun-dried brick technologies as possible)
Charcoal production	Approach with caution. (Only to be developed as part of a sustainable woodland/forest management package with excellent monitoring and control mechanisms - adopting efficient kiln for processing)
Dairy goats	Excellent alternative if dairy cows are too expensive or unsuitable to location. Valuable among communities to improve nutrition
Drying fruits and vegetables	Simple and excellent way to preserve seasonal abundance of fruit and vegetables Important in improving nutrition
Fish farming	Valuable source of protein
Goats	Good four-legged bank account. Very robust and tolerant to diseases. Perform in high temperature climates
Internet café	A service in increasing demand given interest in the web and the use of e-mail
Metal stoves	Useful relief substitution activity - fuel-saving stoves to reduce firewood demand
Mobile phone services	Providing a telephone service to refugees/returnees and local people using pay-as-you-go services. (Consider this as an option for vulnerable households, but don't pay recurrent costs like top-up cards)
Mud stoves	Making/installing fuel-saving mud stoves for households
Multi-storey gardens	Excellent low cost means for growing vegetables in confined areas - to improve nutrition
Pot-making	For sale for water storage, crop (grain) storage and cooking
Poultry production	For improving nutrition (and reducing insect pests etc)
Rabbit-keeping	Excellent source of protein
Soap making	Useful relief substitution activity Making soap to sell to relief agencies for distribution

Figure 9.1: Some less conventional ideas for business development

Activity:	Notes:
Tap-stand gardens	Good way to grow vegetables using waste water A good way to remunerate tap stand-managers (the opportunity to irrigate small plots of crops)
Traditional medicines	Increasingly acceptable and sought-after alternative to 'modern' medicine
Tree planting	Useful relief substitution activity Valuable for addressing aspects of land degradation, nutrition (if fruit trees) and welfare issues (e.g. shade in hot climates)
Tree nurseries	Useful relief substitution activity
Tailoring	As well as the usual range of clothes etc. look at specialist items using locally available materials (e.g. beesuits made from food sacks, mosquito nets, school bags)
Video cinemas	Very popular among rural communities in many developing countries
Woodlots	Excellent for a wide variety of purposes (with short-term as well as medium and long-term value)

Some general points to bear in mind:

For most activities

- Get technical expertise involved at set-up.
- Build from traditional skills, knowledge and practices.
- Don't adopt high input systems.
- Maximise locally available resources wherever possible and encourage innovation.
- Ensure sustainable access to resources.
- Link with local ministry personnel (e.g. from the departments of agriculture or livestock development).

For enterprises based upon providing services

- Ensure there is a market for the proposed service.
- Ensure training and accountability systems to ensure quality service.

For enterprises based upon manufacturing

- Ensure quality control on product.
- Look at what the market wants, or might usefully have available, before setting up projects.
- Ensure there is a market for the proposed product.

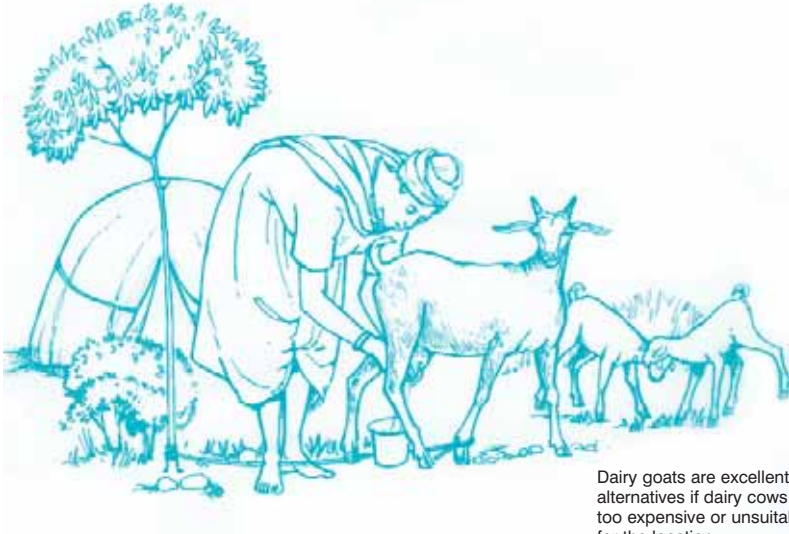
Annex 1.10

MONITORING AND EVALUATION

This annex looks at the difference between monitoring and evaluation - what monitoring is, and what evaluation is.

A. Introduction

Monitoring and evaluation are different processes that provide information on different aspects of project implementation. First the differences will be clarified. Second the elements of each will be described.



Dairy goats are excellent alternatives if dairy cows are too expensive or unsuitable for the location.

B. The differences

Figure 10.1 presents the differences between monitoring and evaluation.

Figure 10.1: Monitoring and evaluation

	Monitoring:	Evaluation:
What it is	A process to continually review how well a project is being implemented - to make sure the inputs, work-schedules and activities are done according to plans and budgets	A time-bound assessment of a project's achievements - have the objectives been accomplished, has this been done efficiently, have the partnerships worked etc.
What its based on	It is largely based on facts using indicators identified during project design and establishment, e.g. have activities listed in project documents or agreements have been carried out?	Largely based on informed analysis i.e. were the objectives focused on real needs, were costs appropriate for the outputs delivered, did the outputs produce the desired results etc.
Why do it	<ul style="list-style-type: none"> • Inform managers and staff when taking timely and well-informed operational decisions • Identify and correct operational problems • Ensure implementation plans are followed, and benefits are equitable • Identify protection problems in a timely manner • Contribute to reporting for HQ, ExCom, donors, governments etc. 	<ul style="list-style-type: none"> • Determine whether expected results are achieved - improve accountability • Identify good practices and learn from them • Close the gap between the organisation's views and those of the beneficiaries • Build institutional memory to ensure valuable institutional knowledge is not lost when there is a high turnover of staff
How to do it	<ul style="list-style-type: none"> • Collect data • Analyse it • Use the results to improve current or future projects 	<ul style="list-style-type: none"> • Collect data • Analyse it • Use the findings to improve the organisation's policies, decision-making and strategies

C. Monitoring activities

A

Monitoring builds from the selection and use of clear indicators. These may be specified in project development (often in a log frame) or identified later during project identification. Whenever they are selected, the process must involve representation by all stakeholders. Indicators must be tangible - their achievement must be easily confirmed or verified.

D. Evaluation activities

Evaluations are best undertaken by specialists who have experience of suitable techniques, good analytical skills and excellent writing/communication skills.

A

Refer to **Annex 1.11: Indicators.**

Annex 1.11

INDICATORS

This annex describes what indicators are, why they are used, and how to use them. It also provides guidelines on the identification of indicators, and the selection of indicators from UNHCR's Guide on the Systematic Use of Standards and Indicators in Operations.

A. Introduction

UNHCR uses a results-based management method which relies on the formulation and application of indicators. Indicators are the core of a monitoring system, signaling progress towards achieving project objectives. They allow staff to make objective and reliable qualitative and quantitative judgments about operations.

B. UNHCR standards and indicators

UNHCR has developed a range of tools to enhance its programming and accountability, and as part of its Result-Based Management approach is now introducing a set of Standards and Indicators to reinforce this. Standardised indicators are expected to be used as a global yardstick to measure operational progress towards targets or standards of delivery of protection and assistance. Standards and indicators will provide quantifiable evidence of needs as a basis for accurate problem definition and analysis. Clarification of the problem will provide a basis for identifying the causes of the problem. Accurate problem definition is essential to avoid anecdotal evidence guiding the design of interventions and the management of programmes.

Standards and indicators should be used against baseline data as both are needed for measurement. Standardised indicators are provided in UNHCR's practical guide⁷, including a set of impact and performance indicators that should be used in operations management:

- In planning documents (the Country Operational Plan, Project Submission and Sub-Project Agreement) to describe the current position.
- In reporting documents (Country Reports, Sub-Project Monitoring Report, Situation Report and the Mid-Year Progress Report).

⁷ See Annex 1.1: References which provides details on UNHCR's *Practical Guide to the Systematic Use of Standards and Indicators in UNHCR Operations* (2004) - Annex 4: Cross-cutting Policy Priority Indicators.

The use of standards and indicators (in the UNHCR practical guide) is, at present (2005) mandatory in planning and reporting for camps with over 5,000 people, and in return- reintegration situations.

C. How to use indicators

Humanitarian agencies are increasingly aware of the importance of the link between quality control and maintaining standards of their activities. These standards are a basis for accountability and the need to maintain delivery under varying and often unstable conditions. Standards are, quite literally, standards - the provision of quality protection and assistance activities, attainment of rights and the optimal use of resources. Minimum standards are set; indicators are identified; baselines are prepared; and the gap between the baseline (i.e. the outset of the initiative or at a given time) and the standard is determined. Indicators provide evidence of the difference between the baseline and a standard. Planning then addresses the problem by addressing the cause. Objectives are set with a target - an impact indicator. Objectives are to be achieved by the attainment of Outputs. Outputs are measured by the attainment of performance indicators. A log frame is a valuable tool for thinking through and articulating this. See **Figure 11.1**

Figure 11.1: Logical framework format

FMIS sector code:	FMIS sector:	
Current situation	Sector objectives	Impact indicators
	Outputs	Performance indicators

Figure 11.2 provides an example of a log frame for self-reliance activities.

Figure 11.2: Example of a log frame for a self-reliance activity

Income Generating Activities for Refugees in Uganda - 2001

Description of Objectives and Outputs (by Sector/and Sector-Activity)

FMIS sector code: N	FMIS sector Name: Income Generation Activity	
Current situation	Sector objectives	Impact indicators
<p>As of August 2000, a total refugee population of 211,242 refugees in Uganda, in 9 districts (103,866 females and 107,376 males) of which 91.5% are Sudanese, 4.17% are from DRC and 3.69% are from Rwanda. The rest are from Somalia, Ethiopia, Kenya, Burundi, Eritrea and Nigeria</p> <p>Although the main source of income is agriculture, it is not undertaken as a business. Sometimes, limited access to land makes it difficult to promote full self-reliance</p> <p>Levels of agricultural production are low hence not attractive to external buyers</p> <p>There is a lack of skills and IGA diversification therefore several persons are undertaking the same IGAs hence not making so much profit</p> <p>Refugee hosting districts are isolated and distant from the centre of commercial activity hence transportation costs for merchandise are high</p>	<p>Overall objective</p> <p>To promote self-reliance and socio-economic well being of refugee and refugee-hosting communities (including those with special needs such as women, youth, children and disabled) through a multi-sector approach and enhanced participation in profitable IGA and sustainable rural/microfinance system</p>	<p>Improved standards of living and increased income at household and community level</p> <p>Multi-sector mechanisms in place</p> <p>Involvement of refugees with special needs in IGA</p> <p>Surplus production</p> <p>Rural/microfinance systems in place</p>
<p>There is limited or lack of technology for diversification of marketable projects</p> <p>Post harvesting technologies and skills are poor</p> <p>Marketing of products still a problem due to inadequate market infrastructure, inadequate market outputs and information systems. Limited demand due to poverty</p> <p>IGA planning and management skills are limited</p> <p>Several groups and associations are developing but have inadequate association management skills</p>	<p>Specific objectives</p> <p>To increase by the end of 2002, the capacity of 5000 refugee and national households (including those with special needs such as women, children, youth and disabled) in refugee affected areas, to participate in IGAs resulting in fundamental changes in their living conditions</p>	<p>Impact indicators</p> <p>Number of households involved in IGA disaggregated by nationality and vulnerability.</p> <p>Number of direct and indirect beneficiaries by gender</p> <p>Number of Small-holder Associations formed</p> <p>The number of successful/profitable IGAs initiated or expanded</p>



Figure 11.2: Example of a log frame for a self-reliance activity

FMIS sector code: N			FMIS sector Name: Income Generation Activity		
Current situation		Specific objectives		Impact indicators	
<p>NGO and district technical staffs have been trained in Small-holder Association in Adjumani/Moyo and in financial landscape in Adjumani/Moyo and Mbarara</p> <p>Financial landscape and/or economic surveys were undertaken in Adjumani, Moyo and Mbarara</p> <p>Training in Apiary/Apiculture in Arua and Adjumani has resulted in birth of several Apiary associations</p>				<p>Number of refugees with special needs involved in IGA and small-holder associations by gender/nationality</p> <p>Business mortality rate</p> <p>Socio-economic status of small business/entrepreneur households in the community</p> <p>Ability for households to meet basic needs</p> <p>Stronger role and impact of Small-holder Associations on production and marketing</p>	
<p>The demand for products and the capacity for communities and households to maintain and access services have improved slightly</p> <p>However, refugees and hosting populations still live on subsistence farming rather than producing surplus</p> <p>Demand for products is low as the variety offered and the household income is low</p>		<p>To change responses of household and community as a result of improved access to and quality of resources, goods and services</p>		<p>Number of groups and associations better able to support EVIs (Extremely Vulnerable Individuals).</p> <p>Number of EVIs supported through groups and associations benefiting from the programme.</p> <p>Change in type, quality and volume of goods and services produced (more suitable facilities or equipment, diversification of products)</p> <p>Changes in number of business employees</p> <p>Changes in business profitability or income (perception/hard data)</p> <p>Changes in saving amount and type</p> <p>Number of new/additional business started</p> <p>Increased access of small-holder associations' members to goods and services, essential for their business</p> <p>Increased profitability of business</p> <p>Increased linkage and networking with formal business sector</p>	





<p>ROSCAs and ASCAs are prevalent in the communities but management and business skills need to be strengthened. They are not linked to formal sector</p> <p>Formal credit sources are limited; loan repayment rates less than acceptable standard of 95% (AAH has 44% and ACORD 90%)</p> <p>The IGA programme lacks systematic impact assessment and indicators to evaluate progress.</p> <p>Skills in development and rural finance in particular need to be enhanced among UNHCR, District and NGO partners</p>	<p>Increase access of individuals engaged in IGA, including those with special needs such as women, youth, disabled, to appropriate and sustainable community-based and other financial system for initiating and expanding IGA</p>	<p>Increased number of individuals accessing and utilising rural financial schemes (ROSCAs, ASCAs, etc.) for savings & credit services-disaggregated by type of disaggregated service provider, gender, vulnerability and nationality</p> <p>Amount of community-based credit accessed - disaggregated by type of service provider, gender, vulnerability and nationality</p> <p>Number of persons involved in community-based financial systems - disaggregated by type of financial system, gender, vulnerability, nationality, service provider</p>
<p>Co-ordination between the various sectors and partners in the refugee hosting areas and the District has improved but need further attention</p>	<p>To ensure close cross sector co-operation especially with skills training and non-formal education, agriculture and the private sector</p>	<p>Cross sector co-ordination mechanisms</p> <p>Involvement of the private sector</p> <p>Number of associations with direct links with private sector or skills development/skills training programmes</p>

Intended Impact on Protection Issues and Policy Priorities:

What impact will the activities planned under this sector have on:

The protection of the beneficiary population?

Increase social and economic security of the person and family. Increase ability of households to access basic social services including education and health

The environment (is environmental damage being prevented, mitigated, or repaired)?

Increase the capacity of individuals to purchase energy saving materials, e.g. energy saving stoves.

Knowledge acquired through skills training leads to more sustainable use of environmental resources

D. How to select further indicators

A

Further indicators should also be used for monitoring and evaluating Self-reliance projects. These are often selected during project design, especially if a log frame is the basis for project development. Stakeholders, including the beneficiaries of the project, should be fully involved in choosing them and agreeing on the methods for collecting information.

Indicators should be selected on the basis of the following criteria⁸:

- Relevance
- Measurability
- Clarity
- Practicability
- Reliability

There is no need to accumulate huge volumes of data. Keep it simple. A smaller amount of high quality, usable information is far better than large amounts of ‘anything that might seem interesting’; and avoid anything that requires major collection effort, or needs expert analysis.

The following self-reliance indicators can be monitored easily at household or community level. These may provide a basis for identifying other indicators relevant to the project, community interests and the prevailing conditions. See **Figure 11.3**.



See **Tool 8: Writing up plans** for an example of a log frame.

⁸ Practical Guide to the Systematic Use of the Standards & Indicators in UNHCR Operations. Geneva: UNHCR, January 2004.

REFERENCES (ESSENTIAL INFORMATION)

Figure 11.3: Self-reliance indicators that can be monitored regularly⁹

	Household level:	Community level:	Means of verification:
Expenditure	Share of household budget devoted to food as a proportion of total expenditure		Household survey questionnaire/interview
Assets	Number of assets (non-food items, livestock, tinned roofs etc.)		Context specific studies
Health	Nutrition data - stunting, wasting (in children), anaemia (in women), under 5 mortality rate		Records and interviews with clinics and nutrition centres; nutrition surveys
School attendance	Percentage of school-age children from a household attending full-time education	Number of children attending, compared to enrollment (and number of registered school age children in the community)	School attendance records
Employment	Number of days worked per month; and wages received	Number of days worked per month and the type of work available	Household surveys (questionnaire interview); key informants; observation, focus group discussion
Market	Access to and use of markets	Costs of staple foods Costs of normal fuels Number of different goods available	Key informants; observation, focus group discussion
Services	Use of services	Number and type of services available (e.g. bicycle repairs, tool-making and repairs)	Key informants; observation, focus group discussion
Participation	Rate of participation in cooperatives, production groups and community-based organisations	Number of cooperatives, production groups and community-based organisations	Household surveys Key informants; observation, focus group discussion
Inclusion in development		Percentage of refugees included in local development plans (by sector)	Local and national development plans and programmes, national strategies, CCA/UNDAF, PRSP and donor strategies

Notes: 1. No indicator should be considered in isolation. 2. Correlate household indicators with community indicators. 3. Make a triangulation between household and community indicators and the baseline (if available) or use the data obtained as baseline for future monitoring. 3. Compare the same indicators for refugees/returnees and hosting/receiving communities.

⁹ From the WFP-UNHCR Self-reliance Workshop in September 2003.

E. Verification of indicators

The means of verifying indicators generally include:

- Regular meetings at the project sites and agency offices.
- Field visits to observe implementation and check activities in situ.
- Conversations with refugees and returnees, hosting populations and receiving communities, local authorities, local technical advisors, religious leaders etc.
- Surveys.
- Review and analysis of reports and records.



Cultivate skills, knowledge and resourcefulness, and self-reliance will grow.

Annex 1.12

STRENGTHENING SOCIAL SELF-RELIANCE

This annex explains the meaning of social self-reliance, what it consists of and the ways in which it is important in the earlier stages of an operation, and how it provides a firm basis for economic self-reliance.

A. Introduction

Social self-reliance refers to the existence of social cohesion and coexistence within and between refugee/returnee and host populations - the capacity of individuals, households and groups within and between communities for collaborating and addressing their own visions, needs and opportunities.

B. What social self-reliance consists of

Displaced people have various coping mechanisms and resources - many that build from traditional structures and mechanisms. Among them they are likely to have:

- Traditional leaders.
- Individuals with specific skills, interests and capacities.
- Knowledge and beliefs systems that help them adjust and accommodate trauma and change.
- Relationships (among themselves) that help to maintain momentum and confidence for dealing with problems - some perhaps based upon extended family structures, former neighbours or age groups.
- Informal leadership structures (comprising perhaps elders or those who are more educated).
- Formal leadership structures based upon former political representation at local or regional level, or social interest/activity focused committees.
- Members of former self-help groups, farmer associations and management committees of various producer organisations.
- Members of youth or women's groups.

APPENDIX ONE

- Child care, recreation and education leaders and groups.
- Leaders of sporting, cultural and social activities.

They represent social capital and provide the basis for social self-reliance. They contribute to a community's cohesion and capacity to cope with trauma and upheaval. They strengthen a community's resourcefulness, and provide structures, mechanisms and individual skills for maintaining and then rebuilding self-esteem, addressing livelihoods and increasing self-reliance.



C. Why social self-reliance is important

By working with the various coping mechanisms and resources, humanitarian agencies will not only improve the delivery of relief inputs and the establishment of services, but also reinforce these mechanisms and resources. Their survival and reinforcement will provide communities with the opportunity to:

- Prevent or redress the development of a dependency mentality.
- Capture initiative and resourcefulness while these qualities are still strongest.
- Utilise existing skills and knowledge, building from this and strengthening their value.
- Strengthen initial positive relationships between refugees/returnees and the local population (to avert resentment, suspicion and conflict).
- Improve the delivery of social welfare activities through increased project ownership and commitment.

The existence and effectiveness of these various coping mechanisms and resources are essential in developing economic activities. The same skills will be harnessed - but harnessed for different purposes.

Field experience: Taking the initiative in Thailand

Khao I Dang, a 1,000 acre refugee camp for some 130,000 people designed and built by Khmer refugees together with UNHCR, was a symbol of independence on the Khmer border in Thailand.

The bamboo and thatch huts of the original camp were built in a fairly disorganised manner. The camp was hard to manage and security was difficult to control. The next generation of huts and infrastructure was part of a major reconstruction that addressed flooding and other improvements. Everything was rebuilt. In addition to putting in 42 KM of drainage channels and a proper road network, new huts were built in squares around yards. There were many among the refugees who helped UNHCR make (and implement) appropriate decisions - providing a basis for rebuilding the social capacity that had been suppressed or eliminated under the Khmer Rouge. As participation increased and the physical environment of the camp was improved, the social structures of the refugees redeveloped. The process was, in part, catalysed by the new layout of shelters. Each house-block (one on each side of a square yard) had two or three families. This helped the refugees to look after themselves. Each square chose one representative. Twenty representatives established a committee; and committees began to address an increasing and widening range of tasks - from security and the tracing of lost relatives, to vector control, sanitation and garbage management, the allocation of newcomers to houses, and mailing. The strength and competence of these committees developed quickly - the population was empowered.

Released from 'control by fear' under the free environment of the camp, people rebuilt their social self-reliance. Crime in the camps was almost unheard of, accountability was high, some semblance of a normal life returned; and the humanitarian agencies benefited from the process of recognising and working with community structures. It helped UNHCR to help refugees organise themselves and to assist them to manage their own lives in the camp. Refugees were prompted to take greater initiative. "Participation and the promotion of self-reliance helped the people we were working with, and helped us to do our work more easily and effectively."

Surasak Satawiriya,

Senior Resource Manager, Regional Bureau for Asia and the Pacific, Resource Management Unit, and Bernard Kerblat, Chief, Emergency Preparedness and Response Section, UNHCR, Geneva.

Annex 1.13

EMPLOYMENT AND BUSINESS-RELATED INTERVENTIONS

This annex describes a number of activities (based upon labour, enterprise and business development, training and local economic development) that will contribute both to social and economic self-reliance. Each activity is explained, and ‘why’, ‘how’, and ‘when’ (or when not) to implement them is outlined in a brief guide. (These guides have been derived from ILO publications).

A. Why these guides

These guides provide a practical introduction to employment and business-related interventions. They are written for humanitarian and development field practitioners working on the promotion of self-reliance and livelihoods of displaced populations and other conflict-affected communities. They highlight opportunities and limitations of different relevant ILO approaches and methodologies for socio-economic empowerment through employment-oriented strategies. They should help field staff decide the suitability and feasibility of adopting these approaches in their particular operations; and will also help identify any need for specific ILO expertise to support relevant UNHCR operations.

These guides will not substitute for technical expertise in the field; rather they are programming and decision-making guidelines that will help programme and technical staff oversee the design and implementation of relevant activities. Further technical training or partnerships should be developed as appropriate.

The subjects can be divided into three major categories:

- ‘Cash-for-work’, ‘Food-for-work’, ‘Labour-based infrastructure reconstruction’ and ‘Community contracting’ belong to the first. These four areas concentrate on the creation of temporary jobs that can inject cash into a community rapidly. These jobs are not meant to provide sustainable livelihoods, but are designed to revive the local economy, provide a boost to household economies, either in refugee hosting areas or in the reconstruction phase of a post-conflict situation, in order to create the means for further development.

- The second category includes micro and small enterprise development and its subsections: 'Microfinance', 'Business development services', 'Start and improve your business' and 'Women entrepreneurship development'. This group concentrates on building sustainable self-employment, and on micro and small enterprise support and development.
- The last group contains general strategies that can be used in combination with strategies above in order to promote individual and communal economic development. These include 'Emergency public employment services', 'Skills-training', and 'Local economic development'.

B. Who should use them

These guides are written for middle managers, national and international field experts and associated partners.

C. How should they be used

The guides comprise of a combination of briefings and a compilation of major relevant ILO tools on each subject.

The guides provide decision-oriented information on each area, and expansive methodological guidelines as well as a reference to an additional online bibliography and contact information for further resources and technical help.

The guides are divided into the following sections:

- A brief summary of each strategy ('what is').
- Its main advantages ('why implement').
- Information on when to implement each strategy ('when to').
- Warnings ('when not to implement').
- Problems and challenges to consider before and during implementation ('problems/challenges').
- Basic steps or different forms of each particular strategy, and some recommendations to consider during the implementation of each strategy ('how to').

D. Contents

There are twelve guides:

Building a basis for employment and enterprise development

1. Vocational and skills-training
2. Local economic development
3. Public employment services

Short-term employment options

4. Cash-for-work
5. Food-for-work
6. Labour-based infrastructure projects
7. Community contracting

Business development options

8. Micro and small enterprise promotion
9. Microfinance
10. Business development services
11. Start and improve your own business
12. Women entrepreneurship development

Annex 1.13.1

VOCATIONAL AND SKILLS-TRAINING

A. What is skills-training

Vocational and skills-training involves helping individuals develop technical and entrepreneurial skills in order to increase their employability. Skills-training does not create employment but assists individuals to develop skills necessary to earn a livelihood, enhance and sustain their productivity, and improve their flexibility in the labour-market. Skills-training will also develop social skills.

B. Why implement skills-training

There are a number of reasons:

- Crises can have a destructive effect on a national socio-economic framework, dramatically reducing job opportunities and damaging the institutions usually involved in providing the necessary skills for generating a livelihood. Skills-training is therefore crucial in reconstruction and economic rehabilitation.
- Displacement involves adjusting to new socio-economic environments. It can provide an opportunity for learning new skills and contributing to the economic development of the hosting districts.
- If skills-training is carefully targeted to address market opportunities, potential entrepreneurs and other individuals entering the job market have increased chances of success.
- Youth affected by conflict have often had an interrupted education. Skills-training allows them to learn skills that, if adjusted (or responding) to market demand, can help youth to: generate income; avoid idleness and frustration; and avoid the risk of their enrolment in military or criminal activities.
- Women's roles are also affected by conflict. Conflict often produces a large number of women heads of household. Such women may engage in paid or self-employment for the first time, but lack the relevant skills.

- Skills-training also has clear development benefits if adapted to current market needs - broadening the range of skills available and increasing job possibilities. It is also likely to make these services and skills available to the most vulnerable and poorest groups.

C. When to implement skills-training

These are the key opportunities:

- When there is interest in raising employability and generating job opportunities (in order to diversify the applicant pool with a variety of targeted skills).
- When the market requires upgraded or new skills, or where existing skills-training mechanisms are no longer working e.g. after a crisis involving loss of human resources and a loss of entrepreneurial and related skills.
- Training should start as early as possible after an emergency, whether it is a displacement or (re)integration situation. The skills learnt should be applicable both in asylum and return situations.
- When it can be combined with Income Generating Activities (IGAs), as it will substantially increase the success and impact of both skills-training and IGAs.
- When it can be linked with other projects to support employment and labour absorption capacity (e.g. microfinance, business development services, labour-based works).



D. When not to implement skills-training

Best not undertaken:

- When skills-training activities are not adapted to the local cultural context. If activities such as self-employment, micro-enterprise or cooperatives are encouraged in an area where there is no previous tradition and/or similar organisations or groups, the initiative may not be successful.
- When the number of people trained in certain skills exceeds the existing or likely market opportunity/capacity. Avoid saturating the market with a large number of individuals trained in any one specific craft.

E. Problems/Challenges

In the context of crisis:

- Training may create high expectations, disillusionment and aggravate relations between trainees/communities and trainers/agencies if finding a job, after completion of training, remains difficult. This is particularly important in crisis-affected areas where jobs are scarce.
- Limited demand, due to poverty, conflict and low purchasing power, may force trainees to seek other sources of income. Correlating training to market demand is crucial.
- Important labour market processes and institutions (including information and services, as well as business support and coordination) are often ineffective or damaged in conflict-affected environments.
- Poor diversification of skills will saturate the market and will have a damaging effect on craftsmen already making a living from those skills. Mobile and creative training are some possible solutions (e.g. introducing new skills, self-employment options, cooperatives, etc).
- In the case of refugees there might be legal difficulties including the need for work permits, payment of taxes, and restrictions on freedom of movement to access markets and employment.
- Skills need to be put into practice immediately. The longer the time-lapse between gaining skills and putting them into practice, the greater the risk they will be lost or become obsolete (ideally skills acquired through vocational training should be put into practice within 3 to 6 months).

- Deep-seated ideas on ‘traditional roles’ can limit women’s access to a variety of skills. Training women in only ‘traditional tasks’ (e.g. knitting) will further reinforce these beliefs.
- Rapid implementation may not be possible. Training can be expensive. In rural areas it may be difficult to access raw materials and resources, and the number of people requiring training might be too large - posing problems if resources are limited and few can benefit from training. This can lead to resentment and exclusion at a time when cooperation and social cohesion are most needed in an unstable environment.
- The target beneficiaries may vary. Some may have only recently left school (or have only school experience), others may have previous work experience. Some may have other responsibilities, or suffer from trauma, mobility problems, etc., and the training may have to be adapted for content and delivery (see different delivery strategies in ‘how to’).
- Access to training, particularly for the most vulnerable, might be difficult - especially reflecting any minimum education requirement. Other problems may include: the timing of the training (it may take place during normal working hours), the location of facilities (they might be too far away), or the duration of the training (it may last too long and take up too much time). Flexibility is essential when designing a training strategy.
- The capacity and/or expertise of NGOs, local institutions and partners in the field are not always adequate. Trainers can be hard to find, be unmotivated or unsuitable, and may not possess adequate expertise and/or capacity to assist trainees.
- Training can be agency- rather than community-driven. Communities might have a limited capacity to manage the entire process and final result of the programme.

F. Partners/Targets

Targets

A wide range of individuals may require skills-training - from the unemployed to those seeking a change or improvement to their livelihood. Pay particular attention to women, youth, ex-combatants and other groups with special needs.

Partners

ILO, UN agencies, NGOs, donors, public and private national training institutions, traditional and community structures and authorities, employers and worker's organisations, and the private sector (e.g. for apprenticeship).

G. How to implement skills-training



Informal training

The most common and practical form of training, linked directly to daily life needs (e.g. adult literacy, food preparation, agriculture techniques, basic health, peace education, on the job training, workshops, sensitisation, mobilisation). Care must be taken to adapt audio visual and communication aids for illiterate audiences.

Skills development in school

Delivery of practical and life-skills-training to children in school, through intra/extra curricular activities.

Vocational training

Training, usually at training centres, in activities with recognised national standards (e.g. in teaching, agriculture, nursing, electrics and mechanics).

Formal training centre

This strategy offers formal education but it has often proved inefficient and expensive. It can create dependency on the project agency. Should be done only if the alternative is constructing parallel training centres.

Apprenticeships

Appropriate in communities where there are skilled people producing goods and services. Craftsmen are then given benefits in cash or kind in return for training apprentices. Apprenticeships maximise work experience and take training to the people.

Combination of apprenticeships and training centres

Trainees benefit from work experience during or at the end of their training.

Mobile training centres

Instructors move to teach trainees in their own communities. These are easier for trainees to access, particularly marginalised or disadvantaged people. The centres rely on facilities such as participant's homes, classroom blocks, and places of worship.

Scholarships

Scholarships can be used for vocational training colleges or universities (long-term). The skills offered should be selected according to community needs. The programme should be small as it is often expensive and its impact is not immediate.

Institutional capacity building

Provide capacity building (e.g. infrastructure and equipment) to national vocational training institutions or secondary schools, also offering practical skills in exchange for admitting refugees and other groups with special needs.

H. Considerations

Identify skills to be imparted according to local needs (e.g. agriculture in rural areas), existing community resources and capacities (of locals and displaced populations) and market demand. Introduce new skills but ensure that these can be marketed successfully (e.g. shoe-shining in urban areas). In the case of refugees consider reinforcing or rehabilitating former skills (i.e. the occupation of individuals prior to becoming refugees). Multiple skills can improve employability (e.g. literacy, management, computer skills, accounting). Give communities a voice in the decision. Community management will enhance sustainability.

Training should also be a means for developing social integration and social cohesion -through the promotion of skills on reconciliation, peace, crisis prevention and health issues.

Training should have a gender 'lens'. This is particularly important after a crisis in order to recognize how gender roles have changed (e.g. with more female heads of households) and strategically target and include women. For instance, develop training packages that allow for other household responsibilities (i.e. preparing food, fetching water in the morning, caring for children) with flexible timetables, etc. Youth and other groups with special needs should be considered in a similar way.

However, it is necessary to establish a balance between inclusiveness and targeting of special groups in order to ensure social harmony. Inclusiveness is particularly important in areas where the population at large is extremely poor, and when the target group is perceived negatively (e.g. ex-combatants). Mixed groups can promote social integration, though a degree of targeting can be necessary to ensure that groups with special needs benefit from these opportunities.

Partnerships and coordination helps avoid duplication, while permitting programmes to complement each other - maximising efficiency, sharing of responsibilities, increasing cost-effectiveness, and paving the way for sustainability and local ownership.

Finally, link trainees to the market to help them on their path to self-reliance (e.g. by introducing them to microfinance schemes/services).

Monitoring and evaluation will help you profit from lessons learnt.



For a community-based training approach see:

- *Skills development, skills-training, vocational training for self-reliance*, Houtart, M. UNHCR BO Kampala.
- *Community-based training for employment and income generation: a guide for decision-makers*, Haan HC. International Labour Office. Training Department (now please refer to IFP/SKILLS). Geneva: ILO, 1994.

Links:

www.ilo.org

www.ilo.org/skills

ILO contacts:

Skills and Employability Department (IFP/SKILLS)

Employment Sector

International Labour Office

4, route des Morillons

CH-1211 Geneva 22

Switzerland

Tel: +41.22.799.7512

Fax: +41.22.799.6310 or 8573

E-mail: ifpskills@ilo.org

Annex 1.13.2

LOCAL ECONOMIC DEVELOPMENT

A. What is Local Economic Development (LED)

Local Economic Development (LED) is a participatory development process that encourages partnership arrangements among the main private and public stakeholders in a locality. The objective is to enable the joint design and implementation of a common development strategy, using local resources and competitive advantages in a global context. The ultimate goal of LED's is to create decent jobs and stimulate economic activity.

In crisis contexts LED is to bridge-the-gap between relief and development through reintegration, rehabilitation and reconstruction investment efforts. Its aim is to re-build the local economy and society by supporting business capacity, generating jobs and maximizing local resources.

In refugee contexts, LED would contribute to peaceful coexistence between refugees and hosts in asylum conditions, and among returnees, IDPs and locals in return and reintegration situations. LED would constitute the basis for self-reliance and would therefore contribute to the search for durable solutions for refugees, whether in asylum or in return situations¹⁰.

These objectives are accomplished through consensus and partnership between public and private agents working together, with a common design, towards a shared development strategy - contributing to reconciliation by raising common goals and visions in fragmented societies, and promoting economic inclusiveness for the disadvantaged.

The LED approach integrates locally the economic, social, political and institutional aspects of development. It provides context-specific solutions based on place, culture, economic potential and political circumstances, as well as in the social and institutional environment.

¹⁰ UNHCR's *Framework for Durable Solutions for Refugees and Persons of Concern* (2003) promotes self-reliance of refugees, and development of refugee-hosting areas in preparation for local integration or repatriation/reintegration of refugees.

B. The principles of LED

Participation and social dialogue

Participatory mechanisms to promote social cohesion through local awareness, consensus building, institutional partnerships and networking of capacities, ensure sustainable growth. LED seeks to provide a voice to all local actors, including those with special needs (women, refugees, IDPs, youth, etc.).

Private/public partnership

Cooperation and coordination among all agents, both public and private, establish the legitimacy and sustainability of the development process and contribute to restoring institutional confidence.

Territory

A LED programme should profit from local experience and knowledge of available resources and assets, and on communal needs, by drawing on mutual interests and priorities, traditional forms of cooperation and cultural understanding. Greater social, economic and political interaction resulting from proximity can be directed to facilitate dialogue among local actors and various community groups, and promote social cohesion and trust. A decentralized strategy relies less on central authorities and institutions (which are often weak, affected by the crisis or removed from local interests), but helps create a strong representative local voice.

LED promotes the following elements:

- Social and political development - building from existing institutions, stimulating representative political participation in decision-making, promoting social dialogue and cooperation, developing the process of institutionalization, and encouraging private/public partnerships.
- Economic development - promoting social inclusion, poverty alleviation, greater social and political stability and innovation.
- Local development - building common interests, self-regulation and knowledge, strengthening the intensity and frequency of interactions, and enhancing the likelihood of tapping into national and global decision-making structures.

LED strategies are adapted to frail post-conflict contexts, and can work predominantly with the informal sector.

C. Why promote LED?

Post-crisis contexts produce both threats and opportunities for social reform. Issues such as social inclusion and environmental conservation should form an integral part of humanitarian and development assistance from the emergency stage.

LED seeks to enable the local economic environment in order to establish a base for the sustainable socio-economic (re)integration of groups affected by crises. Conflicts can lead to considerable damage to the physical, natural and 'human' resources of an area - affecting property, machinery, and financial and marketing services that will slow down or stop production. Communication centres may also be damaged, isolating an area from suppliers and customer networks. Interrupted media, telephone and other national and international communication systems disconnect a locality from the outside world at a stage when external input is most important. Banks may refuse to provide credit for lack of communication, and competition and cooperation among enterprises will also suffer. Moreover, a loss of human resources means, among others, a loss of technical knowledge, marketing and entrepreneurial expertise, and of links with supplier and customer networks. Furthermore, in an environment of crisis, disappointment, divisions, mistrust and animosity are rampant, making the task of reconstruction even more difficult.

A system based on transparency and accountability will rebuild trust and confidence - strengthening local institutions and local frameworks, and encouraging participatory decision-making processes where all local stakeholders (including the most vulnerable) have a voice. Working and participating together around the common goal of local development and/or reconstruction will bring hope, self-respect and collaboration. This will also build a lasting peace.

D. When to promote LED

LED is most likely to succeed: in post-crisis contexts, once planning begins on reintegration, rehabilitation and reconstruction activities; in areas with a fragile economy and a divided environment, where there is a need for social dialogue; and in refugee hosting areas of developing countries.

E. When not to promote LED

It is important to ensure that before the LED forum starts it relies on a fair balance of representative actors and there is no dominance of one group over another. If this is not the case then it is necessary to concentrate on activities aimed at addressing these differences before the LED forum takes place, otherwise the process can end in failure.

F. Problems/Challenges

Trust, coordination and collaboration are crucial for the success of LED, yet these might be difficult to attain in a post-conflict scenario. In these circumstances LED can introduce small specific 'entry' activities to facilitate the formation of links between institutions and organisations. These will also promote LED principles, strategy and organisation.

In order to ensure the financial sustainability of the LED process it is important to rely on local stakeholders. Only establish new and larger technical units if necessary to ensure unity, coordination and effectiveness of partners.

G. Partners/Targets

Targets

In Local Economic Development the 'local' is determined as an area small enough to: be able to achieve coordination and consensus among local actors; pursue a joint strategy; and decide implementing measures with relative ease: But big enough to: have an economic, political and institutional potential sufficient to carry out a successful LED; to lobby at government level; and compete internationally.

Partners

ILO, UN agencies, NGOs, donors, relief and development agencies.

Forum (see forum step in next section - H):

Members should include: the local government; international and national development agencies; NGOs; private foundations; community-based organisations; local economic and trade bodies; village elders; and group representatives. A LED expert for consultation should also be present.

Once consensus is reached, the next steps should be followed jointly with the forum as an implementing agency, or where this is not possible with the appropriate government department or agency.

H. How to promote LED

Steps

Territorial diagnosis. Rapid needs-assessment of pressing issues and potential actions; institutional mapping, and research and analysis of the socio-economic situation.

Sensitizing. Encouraging awareness of socio-economic problems and issues in the locality, and establishing a sense of ownership for the LED process.

Promoting a forum. Initiate a forum (that includes all public and private actors, and a LED expert) to answer questions, provide information and provide recommendations. This will provide a basis for: sharing views and opinions on LED to increase understanding of policies and technical areas; assessing the potential of the approach; identifying practical solutions, resources and possible synergies; formulating a LED strategy and building consensus around it; and ensuring its effective coordination, monitoring and implementation.



Designing a LED strategy. Prepare a reference document for interventions.

Establishing coordination/implementation structures. Coordinate reconstruction and implementation within the framework of LED by establishing institutional mechanisms such as Local Economic Development Agencies (LEDA) where necessary.

Actions. Implement LED strategic priorities in the areas of business services, microfinance, skills-training, planning, groups with special needs, investment promotion, and environmental consciousness.

In order to guarantee the success and sustainability of LED it must rely on representative actors (local and national authorities, grass-root organisations, producers, workers, etc.) and a fair partnership between them. Social legitimacy depends on broad support for economic activities that reach different actors - including the most vulnerable.

The institutionalization of the LED process can guarantee its sustainability, and this should be decided during the forum stage. At this stage it should also be determined whether a LEDA is necessary. (LEDAs are professional institutions that identify and support income-generating projects and organize the technical and financial resources necessary for these activities).

A LEDA is not necessary if there is another institution that local actors recognize as a possible legitimate leader for LED, or when there is a balanced network of the different local actors that could self-coordinate and allocate the tasks fairly.



For more information on LED and how to implement it see the LED operational guide:

- *Local economic development in post-crisis situations: operational guide.* Gasser, Martin, Salzano Carmela, Di Meglio Roberto, Lazarte-Hoyle Alfredo. ILO, InFocus Programme on Crisis Response and Reconstruction. International Labour Organisation, Recovery and Reconstruction Department. Geneva: ILO, 2003.
- *Applying the comprehensive LED approach - The case of Mozambique.* Boekel van, Geert; Logtestijn van, Marjon; ILO Local Economic Development Programme2002, International Labour Office, Cooperatives Branch. Geneva: ILO, 2002.

For more information on the LED approach see:

- *The role of the ILO in implementing Local Economic Development strategies in a globalised world.* Rodríguez-Pose, Andrés. ILO Local Economic Development Programme; International Labour Office, Cooperatives Branch Geneva: ILO, 2002.
- 'Local Economic Development in Post-Conflict situations' by Lazarte, A. in *Jobs after war, a critical challenge in the peace and reconstruction puzzle.* Ed. Date-Bah, E. ILO, InFocus Programme on Crisis Response and Reconstruction. International Labour Office, Recovery and Reconstruction Department. Geneva: ILO, 2003.

Links:

www.ilo.org/led

ILO contacts:

Skills and Employability Department (IFP/SKILLS)

Employment Sector

International Labour Office

4, route des Morillons

CH-1211 Geneva 22

Switzerland

Tel: +41.22.799.7512

Fax: +41.22.799.6310 or 8573

E-mail: ifpskills@ilo.org

Annex 1.13.3

EMERGENCY PUBLIC EMPLOYMENT SERVICES

A. What are Emergency Public Employment Services (EPES)

EPES are crucial in building links between job seekers and employment opportunities in areas where crises have had a severe impact on the economy, and employment promotion is essential for recovery.

The roles of EPES are: to register job seekers and vacancies; offer information and counseling on job searching and self-employment; match job seekers to vacancies; address the needs of particular groups such as refugees, women, youth, ethnic and minority groups (ensuring equal access to employment opportunities); refer interested persons to training programmes, social services and other relevant employment support initiatives and institutions; and conduct rapid assessments of local labour markets. The role of EPES can range from acting as a support for specific initiatives targeting particular groups, to providing general employment aid to all affected parties in a crisis.

Initially, EPES should focus on pursuing short- and medium- term interventions, prioritising specific target groups with the aid and support of international organisations, NGOs and other national and international actors involved in the humanitarian and reconstruction processes. EPES can start immediately after a crisis, with relatively simple service centres (perhaps consisting of a tent and a small number of staff) matching job seekers to vacancies such as identifying individuals to help set up refugee camps or other related jobs. This can evolve over time, expanding the variety of services offered (e.g. skills-training). Some could eventually become permanent.

B. Why establish EPES

In crisis contexts employment problems arise when large numbers lose their jobs and means of livelihood. In particular, groups with special needs (including refugees, demobilized soldiers and widows) might need to find a job for the first time. In addition, following a crisis, work opportunities are usually drastically reduced, especially within the formal sector.

REFERENCES (ESSENTIAL INFORMATION)

Post-crisis interventions can produce temporary employment through infrastructure reconstruction, relief-aid distribution, establishment of temporary shelters, socio-economic reintegration and self-employment possibilities.

C. When to establish EPES

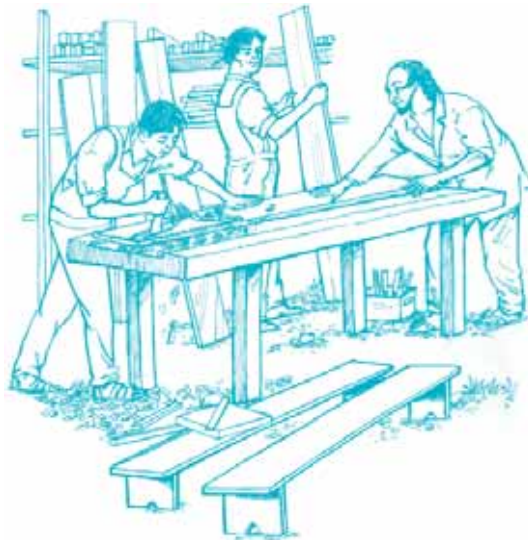
EPES should be established in the aftermath of armed conflicts, displacement and other crises (including natural disasters, difficult political and social transitions, etc.). They should be set up in areas where alterations in the supply and demand of labour are substantial, frequent and take unpredictable directions, and where employment requirements are consequently urgent.

D. When not to establish EPES

They should not be attempted if there are other EPES offices in the area. They should not be duplicated, but adapted to the needs of the emergency context.

E. Problems/challenges

Coordination between employment agencies is crucial to avoid duplication and address targets efficiently. It is also important to coordinate between different employment promotion programs to increase their efficacy (by linking skills-training, micro and small enterprise promotion, labour-based works and other employment related programmes).



Flexibility is vital in emergency contexts, to ensure that EPES can be adapted easily to emerging needs (e.g. bringing EPES to groups with special needs in remote areas).

F. Partners/Targets

Targets

EPES are focused on unemployed individuals in conflict-affected areas or in displacement situations. In this context they can also be used to facilitate access to employment to groups with special needs (women, youth, refugees, ex-combatants, etc.).

Partners

ILO and other relevant UN agencies, national authorities, NGOs, crisis-response government agencies, private employment service agencies, employers' and workers' organisations, local authorities and donors.

G. How to establish EPES (Steps/Stages)

EPES should form part of the wider emergency response programme in the area. In order to determine what type of EPES to establish it is necessary to have a good understanding of the context. In particular, it is important that EPES address the specific needs of a displacement or post-crisis situation, focusing on vulnerable target groups and affected areas and services. It is therefore necessary to assess the facilities already in existence and their adequacy for crisis response and reconstruction. In this way it will be possible to target action successfully, and coordinate to avoid duplication and address the most salient gaps. Although EPES can collaborate with private employment service agencies for this purpose, they cannot be substituted by them as long as the emergency situation and/or emergency reconstruction process lasts.

EPES should be directly relevant to the displacement and post-crisis context. They should be viable, visible, and enjoy the support of other key actors in the area, including the UN and other international agencies. EPES should be regarded as the focal point for recruitment, orientation, and other related activities including skills-training, decent work conditions and wage setting.

Setting up a pilot EPES with limited scope and services can prove extremely useful to produce rapid results and therefore gain trust and

experience. However, it is important that these pilot EPES have reasonable goals and adequate financial resources to ensure that they do not lose credibility by creating unrealistic expectations.

It is important therefore, through careful planning and realistic expectations, to ensure that the objectives of EPES are attainable, that sufficient resources are available to guarantee their sustainability, and that donors and national authorities remain committed to the project. A “memorandum of understanding” can set up arrangements for the actors involved, including actions to be taken, distribution of responsibilities, time frame, projected results and long-term sustainability.

To establish a successful EPES it is also vital to begin by sensitizing the authorities and national and international crisis response actors to the role and importance of EPES in their work. In this way it will be possible to obtain their support and participation in EPES activities, as well as their commitment to the longer term continuity and development of EPES. EPES should be owned by a national counterpart (usually the ministry of labour). Therefore, it is important that they be regarded as credible, reliable, result-producing services that provide valuable support to job seekers and employers.

EPES should be flexible to address rapidly emerging necessities. These might take the form of informal services, such as creating temporary mobile registration centres, visiting job seekers in camp settlements or return areas and other removed locations or employers in large project sites, and offering special information sessions for vulnerable groups. Staff should be trained to regard job-seekers and employers as clients, and treat them with respect.

Finally, EPES should market their services in pragmatic and creative ways, through the media, special events, publicity materials, agencies and other mediums (such as local churches or mosques) appropriate to the specific context.

Steps

- 1. Needs assessment.** Conduct a needs-assessment with other national and international actors involved in responding to the crisis. Determine whether public employment services already exist, and if they can be adapted to fit the needs of the emergency context.
- 2. Collaboration.** Coordinate with other relevant agencies and local community networks. Establish consultation and cooperation with local workers' and employers' organisations.

- 3. Targeting.** Ensure that assistance can be targeted to groups with special needs, such as women, youth and persons with disabilities, and for all community groups (refugees, returnees, IDPs, locals).
- 4. National authorities.** Ascertain the commitment of the relevant national authorities.
- 5. Location.** Identify the location of the EPES premises and prepare them.
- 6. Staffing.** Recruit EPES officials and train them.
- 7. Setting up the systems.** Concentrate on job-making at the outset. Set up job seeker registration arrangements. Contact employers and contractors engaged in major projects, to assist them with programme design (to promote labour-intensive methods) and recruitment requirements. Collect basic labour market information concerning the area including all community groups, to identify skills shortages, areas of growth, training requirements, etc.
- 8. Providing training.** Develop links with training institutions to make these services available to job seekers, including on-the-job options.
- 9. Provide the services.** Establish advice and information services to assist job seekers and employers on employment alternatives, small-business development and sustainable livelihood options.



For practical information on how to set up an EPES see:

- *Guidelines for Establishing Emergency Public Employment Services.* InFocus Programme on Crisis Response and Reconstruction. International Labour Office, Recovery and Reconstruction Department. Geneva: ILO, 2003.

Links:

www.ilo.org
www.ilo.org/crisis
www.ilo.org/seed

ILO contacts:

InFocus Programme on
Crisis Response and Reconstruction
International Labour Office
4, route de Morillons
CH-1211 Geneva 22
Switzerland
Tel.: +41-22-799-6132
Fax: +41-22-799-6189

Annex 1.13.4

CASH-FOR-WORK

A. What is cash-for-work

Cash-for-work (CFW) refers to short-term temporary employment (usually lasting no more than six months) where workers receive their remuneration in cash. CFW is often employed in infrastructure reconstruction or other similar temporary jobs such as harvesting, where labourers are paid in short-term intervals. The overall goal is to generate provisional employment rapidly and inject cash into the community.

B. Why implement cash-for-work

- To generate provisional employment rapidly for as many individuals as possible.
- To inject cash into the community. A cash injection can start a chain reaction in various sectors of the market. In particular, the purchasing power of the community will be increased. The use of local resources will provide an added bonus, particularly if these come from the target locality (e.g. by producing bricks locally rather than bringing them from the capital or abroad).
- To stimulate the economy through the strategic provision of services, production of materials and machinery, and the development of infrastructure (e.g. by building roads that grant access to market places).
- Cash is cost-effective and has lower transaction and logistical costs than food-for-work (which has high transport costs, easily disrupts the food market where it exists, and can become a source of exploitation and dependence when there is no food emergency).

C. When to implement cash-for-work

- When there is an urgent need to inject cash into a community and provide a source of rapid income in emergency situations.
- When undertaking public and community works, infrastructure reconstruction and other recovery interventions.

D. When not to implement cash-for-work

- Do not use CFW to pay salaries of civil servants.
- Do not use CFW for long-term ongoing activities such as teacher's salaries or road maintenance.

E. Problems

CFW provides an unstable short-term income which might prove problematic for labourers seeking long-term job security.

On wage setting

Wages higher than the average local wage can disrupt markets. Other local businesses, in particular poorer ones, might suffer if labourers are drawn away by the prospect of higher wages. Moreover, fixing the wage too high will exclude vulnerable target groups that are rarely incorporated into the average market. Setting a wage lower than the regular labour market will attract more disadvantaged groups. However, it is important that this does not lead to exploitation, particularly in areas where wage labour is not generally available.

In remote (isolated) markets restricted to their respective communities, cash injections can produce local inflation. The rise in prices will benefit local producers selling their produce in the market. However, it will be problematic for poor consumers buying food and goods in the market, unless they can profit in one form or another from CFW activities.

CFW activities might empower men over women, particularly in areas where women have little control over cash, but several measures can be taken to prevent gender discrimination such as:

- Avoid setting distinct remunerations for different jobs (i.e. pay women and men equally for work of equivalent value).
- Establish single-day task rates.
- Allow for half-tasks and flexible schedules so women and other disadvantaged groups can accommodate other responsibilities.
- Pay women directly for their labour (not to their husbands or other relatives).

On wage payment

Workers must be paid on time. Lack of timely wage payment can lead to exploitation, discontent, and a failure of labourers to return to the work place.

Payment problems can range from delays in getting access to the funds for wages, delays in establishing the wages owed to the labourers (administrative procedures that are especially cumbersome with 'piece work'), insufficient funds of contractors, delays in transferring cash to the worksite or in informing the total amount to the funds provider.

A revolving fund or soft loans endorsed by the client, and a timely coordination of monthly advances to cover salaries, can address administrative bottlenecks. During a pilot phase trials can help determine the time period necessary to process payments. (Short-payment intervals can be more problematic than longer intervals due to administrative, organisational and cash-flow difficulties).

Paying workers in advance is risky. It can lead to forced labour if a worker spends his/her wage too fast, and is subsequently unable to change employment because of his/her debt. Some workers might also leave the work unfinished.

F. Partners/Targets

Targets

Targets include potential labourers in the locality - with particular focus on groups with special needs. In order to avoid social tension it is important to make recruitment as open as possible, using quotas (careful that they do not become maximums) and wage setting to attract more workers from groups with special needs.

Partners

UN agencies (FAO, ILO, UNDP) and other international organisations, NGOs, and local and national authorities.

G. How to implement cash-for-work

The wage should be fixed, based on the legally established **minimum wage** (which can be adjusted through formal exemptions in consultation with social partners if deemed necessary).

Apply collectively bargained wages, which include the labour-based sector, wherever they exist.

When there are no minimum wages or collectively bargained wages the following can be used as reference:

- The current wage for unskilled agricultural labour in the area.
- The regulated wage (public or private, and collectively bargained or legislated) for other similar types of work.
- The ‘cost of living’ index, though it might be misleading in a rural environment.
- The incidence of other paid labour in the area.

There are two fundamental systems of remuneration: timed based; and productivity based.

Figure 13.1: Two Fundamental Systems of Remuneration

	Time based	Productivity based	
	(daily paid)	(piece work)	(task work)
<i>Typical methods of application</i>	Fixed wage for a fixed number of hours (establish breaks, start time, etc.)	Wage fixed according to small quantities of output. No reference to amount of time	Fixed wage for a fixed quantity of work /task. Usually set to accomplish in 6 hours (can vary)
<i>Means of assuring production</i>	Production assured by supervision, and disciplinary measures for lack of production	Assured because payment is only made upon production	Assured because payment is only made upon production*
<i>Units of work per day</i>	One day's worth; no assurance of quantity	Many pieces, usually unlimited	Usually one task. Can set 2 or 3 small ones, or a fraction of a large one per day**
<i>Major advantages</i>	Easy book-keeping, simple to organize	Pay relates to output, and output can be maximized each day. Preferred in highly monetized economies	Where set properly, allows typical worker to finish task and go home (particularly useful in rural areas)
<i>Major disadvantages</i>	High amount of supervision required. Rate of progress can be extremely variable	Tendency to self-exploitation. Difficult to control by government administration. Complex to administer, organize, monitor and pay	Requires close supervision and monitoring in the daily laying out of work and overall setting of task size. Deviations in usual amounts of task can lead to exploitation

* adaptations are common

** establish a rule to limit the number of tasks per day

(adapted from: *employment intensive infrastructure programmes, labour policies and practices*, ILO 1998. p. 67)

H. Payment systems and management

Productivity based remuneration

This is particularly appropriate in employment-intensive works - requiring less supervision whilst maximising productivity, increasing income potential and flexibility for workers.

Bonus systems

These can augment income and boost productivity e.g. for extra productivity, attendance, exceptionally rapid achievement of tasks, etc.

Ensure that the workers understand the system of remuneration. Make work norms (expected productivity and outputs) and wage rates known to workers in a simple form and in the local language. Consider establishing work norms with their participation to gain their confidence.

Records

Records, showing workers' time inputs and outputs (production), are necessary to calculate wages, productivity and production. Keep:

- Daily muster rolls - showing for each day who worked and for how long.
- Monthly pay sheets - monthly records also including information on absences.
- Weekly records - describing the daily progress made on different activities by gangs or individual workers.

Disciplinary systems

The disciplinary system should be transparent, fair and take into account national legislation and collective agreements. Termination of employment should only occur when the project is completed and the period of employment is over, or where there has been an infringement of work rules leading to dismissal.

Workers must be informed of the expected period of employment. For example, 'daily' labour refers to hiring workers on a day-by-day, rather than on a more sustained, basis. Unskilled labour-based workers should only be considered as 'daily', if they are not expected to return to the workplace the next day.



For more detailed and practical info on remuneration see:

- *Good labour policies and practices in employment intensive programmes - Quick overviews from the guide* (section on wage setting, basis of remuneration, protection of wage payment, duration and termination of employment). ILO Employment-Intensive Investment Branch, International Labour Office, Recovery and Reconstruction Department. Geneva: ILO.

Links:

www.ilo.org

www.ilo.org/public/english/employment/recon/eiip/

ILO contacts:

The Employment-Intensive Investment Programme

ILO EMP/INVEST

4, route des Morillons

CH-1211 Geneva 22

Switzerland

Tel. +41 22 799 65 46;

Fax: +41 22 799 84 22

E-mail: eiip@ilo.org

Advisory Support, Information Services and Training Programme (ASIST) Africa

Harare office postal address:

ILO/ASIST

PO Box 210

Harare

Zimbabwe

Harare office physical address:

Block 8, Arundel Office Park

Mt Pleasant

Harare

Zimbabwe

Tel: +263 4 369 824 up to 828

Fax: +263 4 369 829

E-mail: asist@ilo.org

asist@ilosamat.org

zwasist@africaonline.co.zw

Nairobi office postal address:

ILO/ASIST

PO Box 39493

Nairobi

Kenya

Nairobi office physical address:

2nd Floor

AAYMCA Building

State House Crescent

Off State House Road

Nairobi

Kenya

Tel: +254 2 713028 / 719413 / 715293

Fax: +254 2 710083

E-mail: asist@itdg.or.ke

ASIST Asia-Pacific

Bangkok office postal address:

ILO/ASIST Asia-Pacific

P.O. Box 2-349

Bangkok 10200

Thailand

Annex 1.13.5

FOOD-FOR-WORK

A. What is food-for-work

- Food-for-work (FFW) refers to short temporary employment, where workers receive up to 50% of their remuneration in kind.
- FFW can also be provided in the form of self help activities, where workers are offered an incentive that can be entirely in kind.

B. Why implement food-for-work

In some situations workers might prefer to receive part of their remuneration in kind, for example, in circumstances where food is scarce and wages low or market mechanisms are not operating. Payment in kind however will only motivate labourers for as long as these circumstances persist.

Food-for-work can be introduced as an incentive for self-help community activities that directly benefit labourers (e.g. irrigation works undertaken by the farmers who will later utilize them).

C. When to implement food-for-work

- Administrative obstacles impede or delay cash payments.
- Food is scarce and wages low, or market mechanisms are inappropriate.
- Emergency drought or famine situations exist.
- The emergency state is not completely critical and there is a lack of self-sufficiency in food production. (In such situations FFW can be used as the delivery mechanism of food aid - particularly for infrastructure rehabilitation, or support linked to food production and market access).

When there is no interest in receiving food as payment, food resources can be used as an incentive to encourage workers to undertake self-help projects.

D. Problems

- The value of food can vary significantly and therefore constitutes an unstable form of payment.
- Payment in kind might result in lower productivity and quality, especially if there is no desire for this form of payment.
- There can be logistical and storage difficulties and high delivery costs.
- Food quality might vary.
- Payment in kind can have a negative effect on local food production and markets.

E. When not to implement food-for-work

- When prices are stable and workers can buy their food.
- Once emergency situations requiring FFW cease or food is no longer scarce. (Workers are likely to be unhappy to receive their remuneration in-kind).
- If the project cannot sustain the logistical and administrative capabilities required for FFW.
- When the project requires continuous community involvement e.g. use FFW for road-building (short-term activity) but for not road-maintenance (long-term commitment).
- Food as an incentive might be unsuccessful in areas with a highly developed labour culture.

F. Partners & Targets

Targets

Target interventions where food is scarce and market mechanisms are not working.

Members of a community engaged in self-help activities.

Partners

WFP, NGOs, ILO, UNDP, local and national authorities.

G. How to implement food-for-work

Public benefit activities

Carry out an impact assessment on the introduction of the target food (current market supply, local production etc.) prior to using it as payment, in order to examine how this form of remuneration will influence local markets.

Select the programme’s size according to available resources, likely maintenance, strategic importance (e.g. how it contributes to improving access to markets, etc.), community needs and capacities, and other similar considerations.

Remuneration should always include a cash component which must constitute at least 50% of the minimum wage or where there is none, of the market wage for similar types of work. See **Figure 13.2**.

Total Remuneration (minimum daily wage)

Cash (required)	Food/Cash (optional)
50%	50%

Figure 13.2: Calculating payments for food-for-work

In order to calculate the maximum amount of food that can be provided:

1. Determine the current wage or market wage for related types of activity, and calculate the daily rate
2. Pay half the daily rate 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 surpass the ILO/WFP guideline:

1. Determine the amount of the food ration and calculate its cash value
2. Using the methods outlined above, calculate the amount to be paid in cash (50% of the daily minimum daily wage) and the in-kind (the remaining 50%)
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

In situations where food is scarce and wages low, and where many but not all labourers would prefer to have part of their wages given in kind, workers can be motivated and attracted with a system that entitles them to buy food at government-fixed prices with up to 50% of their wages (given fully in cash). The profits of such a system can be used to purchase tools and other materials to continue the programme (as with Mozambique's Feeder Roads Programme).

Field experience: Food-for-work for feeder roads

In Mozambique, workers could use up to 50% of their wages to buy food at government-fixed prices (lower than market value). The maximum entitlement was a five-person family ration defined by WFP. This attracted and retained the workforce in a food scarce area. The local funds generated were placed in a revolving fund enabling the National Directorate of Roads and Bridges to purchase tools for the Feeder Roads Programme¹¹.

Self-help activities

Food can be given as an incentive, and not as a wage, to encourage workers to engage in self-help activities - food is only a bonus. The actual work is voluntary and therefore the limitations concerning food as payment do not apply.

A self-help activity must be of direct interest to the worker and be regarded as such e.g. building a school that his/her children can attend. It must be seen as a community benefit (and therefore agreed with community participation) and not a general benefit e.g. small sections of road that improve access to the area, but not larger stretches of roads, or highways that may be considered of wider interest.

If self-help policies are not applied correctly they can result in low quality infrastructure.

For more information on FFW regulations and guidelines see:

- *Good labour policies and practices in employment intensive programmes - Quick overviews from the guide* (section on Remuneration in Kind). ILO Employment-Intensive Investment Branch, International Labour Office, Recovery and Reconstruction Department. Geneva: ILO.
- *A guide on: Food as an incentive to support vulnerable households and communities in securing and improving their assets*, International Labour Office-World Food Programme, 2002.

¹¹ *Employment-Intensive Infrastructure Programmes: Labour policies and practices* (1998). ILO/EMP/INVEST, page 81.

Links:

<http://www.ilo.org/eiip>

ILO contacts:

The Employment-Intensive Investment Programme

ILO EMP/INVEST

4, route des Morillons

CH-1211 Geneva 22

Switzerland

Tel. +41 22 799 65 46; Fax: +41 22 799 84 22

E-mail: eiip@ilo.org

**Advisory Support, Information Services and Training Programme
(ASIST) Africa**

Harare office postal address:

ILO/ASIST

PO Box 210

Harare

Zimbabwe

Harare office physical address:

Block 8, Arundel Office Park

Mt Pleasant

Harare

Zimbabwe

Tel: +263 4 369 824 up to 828

Fax: +263 4 369 829

E-mail: asist@ilo.org

asist@ilosamat.org

zwasist@africaonline.co.zw

Nairobi office postal address:

ILO/ASIST

PO Box 39493

Nairobi

Kenya

Nairobi office physical address:

2nd Floor

AAYMCA Building

State House Crescent

Off State House Road

Nairobi

Kenya

Tel: +254 2 713028 / 719413 / 715293

Fax: +254 2 710083

E-mail: asist@itdg.or.ke

ASIST Asia-Pacific

Bangkok office postal address:

ILO/ASIST Asia-Pacific

P.O. Box 2-349

Bangkok 10200

Thailand

Annex 1.13.6

LABOUR-BASED INFRASTRUCTURE PROJECTS

A. What are labour-based infrastructure projects

Labour-based infrastructure projects (LBIP) are short and medium term infrastructure works that generate employment and income by maximizing the use of available unskilled labour.

LBIPs are particularly useful in rehabilitation and reconstruction of areas devastated by conflict, where the rapid injection of cash into a community is necessary. The focus is on the rehabilitation of essential infrastructure for addressing immediate needs.

LBIPs contribute to longer-term development through improvements to the physical and social infrastructure (e.g. roads and irrigation systems; and drinking water, schools, health clinics and housing respectively).

B. Why carry out labour-based infrastructure projects

Job creation

Labour-based reconstruction rapidly generates jobs and income. LBIPs contribute to poverty alleviation by acting as a bridge between immediate needs and long-term development.

In displacement situations where there is a need for additional infrastructure, LBIPs allow displaced populations and locals to access immediate income, and contribute to peace-building.

In crisis situations, thousands of jobs can be created. LBIPs enable local and displaced (IDPs, refugees, returnees) populations to become less dependent on humanitarian aid, and reduce the impact of food distribution on local markets. In disaster zones LBIPs can prevent mass migration in search of employment, and introduce the resources necessary for initiating self-recovery. Moreover, maintenance needs will create further jobs once the project is finished.

Labour-based vs. equipment-based technology

If implemented successfully, labour-based methods will produce standards similar or more advantageous than equipment based techniques which favour technology over labour power.

Labour-based projects can be up to 50% cheaper than equipment based projects (if wage levels are set below \$4), and generate up to 20 times more jobs - with 50-60 percent of costs going to wages. (In equipment-based projects wages are typically 5-10% of costs¹²). In this way labour-based technology (LBT) can inject more cash into a community than equipment-based methods. Moreover, its benefits are multiplied as workers spend their wages and fuel other businesses (other concerns: duration and quality- refer to section E).

Use of local resources

LBT limits the import of machinery and encourages the use of local human and physical resources (local contractors and materials). LBIP therefore maximises the injection of cash into the community, and the project's impact on rehabilitating the local economy.



On the road to self-reliance.

¹² Fact sheet folder: Decent work matters in crisis; ILO response to crisis challenges, ILO, IFP Crisis.

Skills development/empowerment

Labour-based methods strengthen the socio-economic capacity of populations living in the area. They build-up the vocational skills of workers (when preparing them to undertake technical tasks e.g. training on road building) increasing the value of labour and rate of salaries. LBT develops planning, negotiation and decision-making skills, and promotes capacity-building towards the maintenance and repair of infrastructure. In particular, it can empower groups with special needs, who are often its main target.

Social cohesion

In LBIPs communities will work together towards goals that will be beneficial to all its members (e.g. schools, roads). In this way, LBIP contributes to social stability and cohesion, and the promotion of peace.

C. When to implement labour-based infrastructure projects

Labour-based infrastructure projects should be implemented in areas where:

- There is an abundant supply of unskilled labour;
- Building, repair and rehabilitation of infrastructure are pressing needs.

This approach is particularly useful in emergency situations where infrastructure is lacking or has been severely damaged, or poor infrastructure was a factor leading to the emergency.

Labour-based methods can also be adopted in areas with low populations or labour surpluses as long as a sufficient number of workers are prepared to move to the site e.g. in areas where employment is scarce (see migration in section E).

Labour-based projects are particularly useful in developing countries and areas heavily affected by crisis, where heavy equipment and advanced engineering are not readily available. Labour-based technology is especially suitable in situations where there is an urgent need to stimulate the economy, and provide a rapid source of income to as many people as possible.

LBIPs are suitable for emergency, rehabilitation and development phases of a crisis. An employment programme should combine LBIPs, skills and vocational training, and micro and small enterprise development.

D. When not to implement LBT works

LBT is not likely to be feasible when:

- The cost and availability of labour compares poorly to alternative technologies.
- The technical capacity and quality standards of a project are high.
- Small equipment and local material resources are available.
- It is not possible to reach an effective compromise between cost, labour intensity and the envisioned duration of works.

A needs-assessment must be completed before starting the project. It should address technical, financial and social issues (such as the need for mine clearance, security and accessibility of an area, number of conflict-affected people, condition of infrastructure, labour supply, and institutional capacity).

It is important, when undertaking short-term projects, to avoid dependency through involvement in ongoing maintenance activities. Ongoing maintenance should be the responsibility of the community or government (see **Annex 1.13.4 Cash-for-work**).

E. Problems/challenges

Common concerns

- **Duration.** Rapidity will be proportional to the number of workers involved. (There are productivity/costs saturation indexes that inform you when hiring more workers will not increase productivity or cost-effectiveness significantly). It is possible therefore to achieve a desired time-frame using an adequate balance of costs and number of employees (in some cases with a substantive advantage over equipment-based methods e.g. in mountainous or elevated terrains).
- **Quality.** Technical quality ultimately depends on the standards enforced. LBIP can produce quality equal to equipment-based works. In some cases, some minor equipment might be necessary for this purpose. Quality also depends on achieving the right balance between the amount of labour to be used and the technical capacity for its management (see **Figure 13.3**).

Figure 13.3: Technical persons per unskilled labour

Position	Ratio tech pers. / unskilled labour
Engineers	1:500
Technicians	1:100
Supervisors	1:100
Sub-contractors	1:50
Foreman	1:20

Source: *Reconstruction in El Salvador and the use of Employment Intensive Labour Technologies*, ILO, IFP Crisis.

- **Costs.** Depending on the set wage, costs can be equal or even lower than equipment-based works (average \$4 or less / day).

In LBIPs compromises must be achieved between the expected time frame, costs, quality and level of employment generation.

Implementation challenges

It is important that the government and private sector are positively disposed towards and well informed of LBT works, to ensure successful impact.

Prevent forced labour i.e. persons compelled to work under fear of punishment. In particular, avoid recruitment through intermediaries, which can lead to exploitation.

Attaining a diversified workforce might be difficult. However, several steps can be taken to include groups with special needs (ex-combatants, returnees and displaced populations) and minorities, and to address gender concerns. Measures include:

- Changing the remuneration. Lower wages attract more vulnerable groups.
- Setting quotas (e.g. heads of household), but these should not be maximums.
- Reorganising the content of the work.
- Communicating the existence of job opportunities widely in the community.
- Advertising job opportunities in areas accessible to women and minorities, using audio and visual means.
- Encouraging female gang leaders/forewomen to persuade other women to join.

Migration might be viewed negatively by the local population. Contractors can mix locals and migrants at appropriate ratios to reduce tensions. Recruiting local workers can prevent unexpected social implications and contribute to developing a local sense of ownership.

Rationing can be applied in areas where there is an over-abundance of labour, but this must be transparent. Rationing methods include: lowering remuneration (to attract groups with special needs¹³); reducing individual task size (creates more jobs by lowering the daily request of productivity); lotteries; job rotation; and staggered recruitment.

Regular **attendance** might be difficult to achieve if there are other conflicting activities (e.g. domestic or seasonal agricultural labour demands), the wages are too low, or outward migration takes place. The standard rule is “no work - no pay” rather than having high expectations on regular attendance. Bonus systems can encourage attendance. Adequate record-keeping is necessary to track and monitor attendance. Workers should be aware of and understand the regulations and expectations concerning attendance.

F. Partners & Targets

Targets

Targets include male and female labourers in the locality from all community groups, with particular attention to groups with special needs. In order to avoid social tension it is important to make recruitment as open as possible, using quotas (careful that they do not become maximums) and wage setting to attract more workers from groups with special needs.

Partners

UN agencies and other relevant national or international organisation involved in the emergency, rehabilitation and/or development phase (ILO, UNICEF, ICRC, WFP, UNDP), national and local authorities, bilateral programs, NGOs.

¹³ Only at exceptionally low wages does labour supply decline. This can simply reinforce poverty

G. How to carry out labour-based infrastructure projects

Steps

1. **Planning.** Identify problems and needs. Draw terms of reference detailing scope and content, interventions and budgets of a LBIP (e.g. calculate the appropriate combination of labour-based and equipment-based works).

In order to determine the level of labour-intensity consider the Time Quality Cost (TQC) approach: calculate the maximum duration of works, the number of labourers to be employed and any small machinery necessary to guarantee quality. Ensure that a cost-effective compromise is reached between these elements. Maximise local use of resources.

Infrastructure works can be of medium- or high-intensity:

- **Medium-intensity** works (15-50% investment on labour) may include irrigation structures and canals, paths, primary and secondary bridges, public offices, parks, playgrounds, parking and cemeteries.
- **High-intensity** works (more than 50% investment on labour) include irrigation maintenance and operation, general maintenance of primary and secondary paths, street cleaning, waste management, trash disposal and transport.

Planning and implementation of LBIPs should be done in consultation with target groups.

2. Conducting **damage and gap assessments.** Gather information on the pre-emergency condition of infrastructure, local planning needs, extent of infrastructure damage, design and location, features that contributed to the degree of destruction, ways in which the damage impedes recovery, ways in which the destruction hinders reconstruction, and other concerns such as level of security, number of people affected, and so on. If there has been a sudden population increase in a locality, as a result of displacement or return to country of origin, identify existing infrastructure gaps, and the extent of damage or limitations of these structures.

Priorities should be established with community participation, and should aim to restore a degree of self-sufficiency while re-establishing basic needs such as water supply and sanitation, health and education services and facilities, roads and housing.

3. Establishing mechanisms for **coordination, planning and prioritising** infrastructure works together with other UN and international agencies, national authorities (e.g. within UN programme priorities if existing) and communities.
4. Addressing **training** needs and programmes. Local technical and supervisory personnel must be trained in the basic skills necessary for the implementation of labour-based programme implementation.
5. Establishing LBIPs as a long-term **policy of government**.

Community ownership of the projects should be encouraged to ensure sustainability (community-based works over public-works).

On wage and payment see: **Annex 1.13.4 Cash-for-work**.

Some practical considerations

A task-based remuneration method is better adapted to LBIPs than a time-based approach. In task-based systems, the disciplinary system is self-regulating (workers are interested in finishing fast to leave early) and require less supervision.

Never employ a child under the age of 14 and a person under the legal minimum age, or allow them to assist in the workplace.

A clear, simply written description of the recruitment process, and the terms of employment, should be made available generally prior to recruitment. Ensure information is distributed through a variety of channels, and in different forms, at several locations.

For more information on LBIP see:

- *Employment intensive reconstruction works in countries emerging from armed conflicts*. InFocus Programme on Crisis Response and Reconstruction. International Labour Office, Recovery and Reconstruction Department. Geneva: ILO, 1998.
- *Good labour policies and practices in employment intensive programmes - Quick overviews from the guide*. ILO Employment-Intensive Investment Branch, International Labour Office, Recovery and Reconstruction Department. Geneva: ILO.
- *Capacity-building for contracting in employment intensive infrastructure programmes*. ILO Employment-Intensive Investment Branch, International Labour Office, Recovery and Reconstruction Department. Geneva: ILO.
- *Re-opening Mozambique - Lessons learned from the Feeder Road Programme*. ILO Employment-Intensive Investment Branch - SIDA - United Nation Development Programme - Administração Nacional de Estradas. Maputo: UNDP, 2002.
- *Of nets and assets: effects and impacts of employment-intensive programmes - a review of ILO experience*. Keddeman, Willem. ILO Employment-Intensive Investment Branch, International Labour Office, Recovery and Reconstruction Department. Geneva: ILO, 1998.



Links:

www.ilo.org

www.ilo.org/public/english/employment/recon/LBIP/

www.ilo.org/crisis

ILO contacts:

The Employment-Intensive Investment Programme

ILO EMP/INVEST

4, route des Morillons

CH-1211 Geneva 22

Switzerland

Tel. +41 22 799 65 46; Fax: +41 22 799 84 22

E-mail: eiip@ilo.org

Advisory Support, Information Services and Training Programme (ASIST) Africa

Harare office postal address:

ILO/ASIST

PO Box 210

Harare

Zimbabwe

Harare office physical address:

Block 8, Arundel Office Park

Mt Pleasant

Harare

Zimbabwe

Tel: +263 4 369 824 up to 828

Fax: +263 4 369 829

E-mail: asist@ilo.org

asist@ilosamat.org

zwasist@africaonline.co.zw

Nairobi office postal address:

ILO/ASIST

PO Box 39493

Nairobi

Kenya

Nairobi office physical address:

2nd Floor
AAYMCA Building
State House Crescent
Off State House Road
Nairobi
Kenya
Tel: +254 2 713028 / 719413 / 715293
Fax: +254 2 710083
E-mail: asist@itdg.or.ke

ASIST Asia-Pacific

Bangkok office postal address:

ILO/ASIST Asia-Pacific
P.O. Box 2-349
Bangkok 10200
Thailand

Bangkok office Physical address:

UN Building
Rajdamnern Nok Avenue
Bangkok
Thailand
Tel: +66 2 288 23 03
Fax: +66 2 288 10 62
E-mail: asist-ap@ilo.org
asist-ap@ilobkk.or.th

ASIST Asia Pacific representatives in:

Nepal: Ganesh Ghimire

Annex 1.13.7

COMMUNITY CONTRACTING

A. What is community contracting

Community contracting is an agreement between a community-based organisation and an external funding or support agency to implement a development project for the benefit of the community (e.g. minor construction works).

In community contracting, the community, along with the government and other supporting external agencies, has a significant role in the decision-making process. For instance the community can decide on the type of infrastructure improvements to be adopted, according to its perceived needs (with the assistance of a technical support team that define options and provides technical advice).

B. Why carry out community contracting

- Private contractors are not accountable to the community, but to the government or donor agency. Consequently community concerns are not always taken into account, leading to conflict between the residents and the contractor.
- Community contracting encourages beneficiaries in the community to participate and assume responsibility for the project, allowing them to actively contribute to their own development.
- The community will develop a stronger sense of ownership and increase their involvement and interest in its subsequent maintenance.
- Community contracting offers an opportunity for disadvantaged communities to participate in negotiations with public authorities and external institutions. It is important therefore to include groups with special needs (e.g. women) in the negotiation, operation and maintenance processes. Consultation with target beneficiaries is an essential component of community contracting.
- Community contracting builds up the operational, decision-making and management capacity of community organisations. It makes use of local

skills and initiatives, involving and employing local residents, and therefore strengthening their technical, administrative and managerial skills. It increases their employability, and hence promotes self-reliance.

- Community contracting encourages ‘partnerships’ between local communities and local governments. It therefore contributes to the social and political recognition of community-based organisations. With community contracting, refugee communities can forge partnerships with local communities.

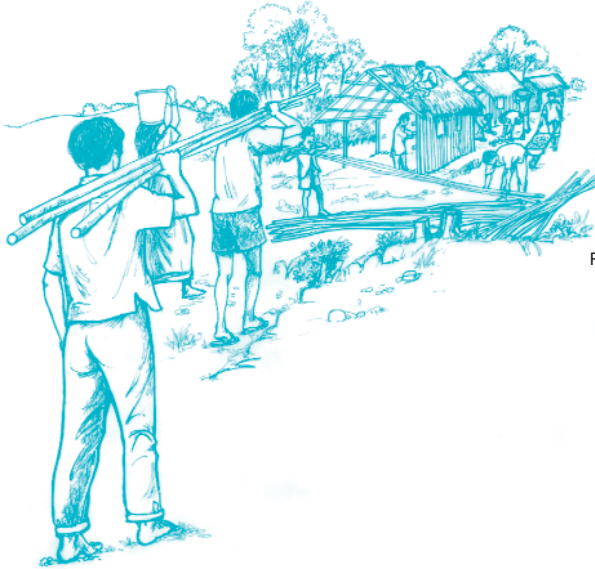
C. When to implement community contracting

Community contracting is suitable for urban unplanned settlements and for rural areas. Necessary preconditions include:

- An organised target group.
- Local or national government policies that support community development.
- A minimum level of capacity and efficiency among members of the community-based organisation.
- Legal recognition (if possible) of the representative community organisation.
- An enabling environment for the implementation of development projects at community level.
- A degree of decentralization, and the ability of local authorities to enter into community contracts.

D. When not to implement community contracting

- If the community does not have the necessary capacity to implement the works. It is important to assess the community’s capability - including the strength and potential of the community-based organisation (CBO) itself, before entering into a contract. Since it might be difficult to find community organisations, in urban and rural areas, with the experience or skills necessary to enter into a contractual arrangement of this nature, it becomes crucial in this context to promote community capacity building as a preparatory step for this strategy.
- If the community is not providing a fair and balanced representation of interests.



Rebuilding a life.

E. Problems/challenges

Community contracts will be influenced by political, cultural and economic factors. Contractual procedures may be subject to cultural-specific interpretations and practices. They will also be affected by power relations in the community/municipality. Established groups, moreover, might regard community contracting with distrust.

The concept of written contracts and negotiations might be unfamiliar in the local cultural context if the tradition is for verbal agreements.

Contracts will differ in nature, purpose and content. It is important to ensure that: issues on sharing of responsibilities; establishing contributions and inputs; clarifying rights and legal duties; understanding the nature of work; and clarifying financial arrangements are all included. Communities, however, may be inexperienced in drafting and implementing contracts for infrastructure works, accessing financial resources and in accessing administrative or managerial services.

Communities, in particular poorer ones, may not fully understand the implications of contractual arrangements - which can be fairly complex. Communities might be attracted by the benefits of contractual approaches without really comprehending the consequences of their involvement.

Communities might also be ill-equipped for dealing with the bureaucracy of contracts - lacking experience, skills and the organisational capacity necessary to advance their interests. It is necessary therefore to have an efficient monitoring system to track contracts and prevent this type of difficulty, as well as support organisations that provide training and support capacity-building on community-engagement in contracting.

Development agencies may have difficulties engaging with locals as equal negotiating partners, particularly if they are used to more authoritarian approaches or dependent on humanitarian assistance.

Contractual approaches can also be frustrated by: excessive bureaucracy; awarding of contracts and establishment of conditions according to the political influence; lack of control over wages paid by contractors; and difficulties of quality control.

F. Partners/targets

Targets

Communities.

Partners

Contracting parties: national and local authorities, community-based organisations (CBOs), NGOs, donors, international organisations.

Facilitators/technical advisors/co-financing partners/supervisors: ILO and other UN agencies, NGOs, national and international agencies, government departments, private sector consultants.

G. How to implement community contracting

A community contract can be developed by a technical team in close consultation with the community. The type of contract depends on the capacity of the community and its control over the work (e.g. while one community might only be able to take responsibility for labour, other communities might also have the capacity to be in charge of materials, and so on). Types of contract therefore include: community providing labour only (which is relatively simple for the community); community providing labour and materials (with the community more involved and using local resources whilst benefiting the local economy); full contract (where all responsibility lies with the community).

The contract should specify the release of capital from the funders (e.g. UNHCR or city council) to the Community Development Committee. Technical standards must be realistic, tailored to the needs of the community and affordable. The process must be simple and flexible to be accessible to the wider community.

The works can be major or minor (according to scale), and the contracts and roles will differ accordingly. In the former, communities will execute subcontracts locally. In the latter, communities will be involved in forming Community Development Committees, deciding priorities, collecting local contributions, executing contracts etc. Community contracting usually uses a 'task based' type of remuneration where rates and size are established in consultation with the community.

It is important to train community members in contract formulation, so that this can continue to benefit them in the future. This is particularly valuable for the maintenance of infrastructure works (through community maintenance contracts).

Community organisations are responsible for executing the tasks specified in the contract including: establishing a legal association (perhaps difficult in the context of refugees); acquiring any supplementary resources; ensuring the use of local materials; implementing the works; and guaranteeing maintenance. Technical teams can offer support for the implementation of the contract. The role of authorities is facilitating programme implementation in the area.

The strength and potential of the community organisation is key. It is important to: support the shared interest of its members; strengthen the organisation's ability to build links with similar organisations; and enter into partnerships and alliances. It is essential to assess the capacity of the organisation for promoting the development of the community.

Community Development Committees (CDC) are elected democratically, and should be legally registered as community-based organisations representing the interests of the communities during the negotiation process and contract agreements. CDCs act as a link between the communities they represent, the municipalities and the funding agencies. CDCs should work with the participation and approval of their communities. The members of the committee should therefore be representative of all members of their target group including women, youth, and the elderly. They are the decision-makers that will identify priority needs, be involved in the planning, designing and implementation of projects, and support their subsequent maintenance.



For more information see: Section on Community contracting in:

- *Capacity-building for contracting in employment intensive infrastructure programmes* (section on Community contracting). ILO Employment-Intensive Investment Branch, International Labour Office, Recovery and Reconstruction Department. Geneva: ILO.
- *Organisation and Contracting in Development Programmes and Projects: a study of current practice at the community level*. Overview report. Peter Oakley, ILO Employment-Intensive Investment Branch, International Labour Office, Recovery and Reconstruction Department. Geneva: ILO, 1999.
- *Community contracts in urban infrastructure works: practical lessons from experience*. Tournée, Jane; Esch, Wilma van. International Labour Office. Advisory Support, Information Services, and Training for Employment-intensive Development. Geneva: ILO, 2001.

Links:

www.ilo.org/public/english/employment/recon/eiip/

ILO contacts:

The Employment-Intensive Investment Programme

ILO EMP/INVEST

4, route des Morillons

CH-1211 Geneva 22

Switzerland

Tel. +41 22 799 65 46;

Fax: +41 22 799 84 22

E-mail: eiip@ilo.org

Advisory Support, Information Services and Training Programme (ASIST) Africa

Harare office postal address:

ILO/ASIST

PO Box 210

Harare

Zimbabwe

Harare office physical address:

Block 8, Arundel Office Park

Mt Pleasant

Harare

Zimbabwe

Tel: +263 4 369 824 up to 828

Fax: +263 4 369 829

E-mail: asist@ilo.org

asist@ilosamat.org

zwasist@africaonline.co.zw

Nairobi office postal address:

ILO/ASIST
PO Box 39493
Nairobi
Kenya

Nairobi office physical address:

2nd Floor
AAYMCA Building
State House Crescent
Off State House Road
Nairobi
Kenya
Tel: +254 2 713028 / 719413 / 715293
Fax: +254 2 710083
E-mail: asist@itdg.or.ke

ASIST Asia-Pacific

Bangkok office postal address:

ILO/ASIST Asia-Pacific
P.O. Box 2-349
Bangkok 10200
Thailand

Bangkok office physical address:

UN Building
Rajdamnern Nok Avenue
Bangkok
Thailand
Tel: +66 2 288 23 03
Fax: +66 2 288 10 62
E-mail: asist-ap@ilo.org
asist-ap@ilobkk.or.th

ASIST Asia Pacific representatives in:

Nepal: Ganesh Ghimire

Annex 1.13.8

MICRO AND SMALL ENTERPRISE PROMOTION

A. What is micro and small enterprise promotion

Micro and small enterprises (MSEs) promotion is the provision of support to existing and potential enterprises and entrepreneurs. In crisis situations MSEs promotion can be used to generate self-employment and encourage socio-economic recovery.

MSE promotion involves supporting:

- Existing and potential micro and small entrepreneurs. In this case it includes facilitating business development services, business training and consultancy on the development and provision of technical and management skills (such as the ILO's Start and Improve Your Business training package), information on business opportunities and technology, and microfinance.
- Entrepreneurial organisations.
- Business support organisations, to create an enabling MSE environment (including through policy advocacy).

B. Why implement MSE promotion

MSE promotion can help to generate self-employment and jobs, and can be used to address those groups most excluded from the labour market. Through employment and dignity, disadvantaged target groups like refugees can be (re)integrated in society.

MSEs have several advantages. They:

- Function with simple, low-cost equipment, local resources and limited space.
- Work with basic technical and management skills.
- Can adapt easily to new market conditions.
- Contribute to restoring or substituting infrastructure and equipment; fabricating tools for agriculture and construction (among others); and producing vital goods and services crucial for recovery in crisis situations.

C. When to implement MSE promotion

In conflict-affected contexts special care must be taken when promoting MSEs. Business failure rates can be high in unstable environments. It is important to coordinate MSE promotion with other supporting strategies in order to enhance their impact and success, for example with skills training, institutional support, capacity building, labour-based infrastructure reconstruction, and local economic development.

MSEs need a degree of market development in order to be successful¹⁴.



Making beesuits from food bags - a new protection role for WFP

D. When not to implement MSE promotion

Interventions will be difficult in areas where the market is non-existent - where there is no supply and demand.

¹⁴ A market is a place or mechanism where sellers and buyers can communicate and complete an exchange for goods and services if they agree on the price, and terms and conditions of the sale.

E. Problems / Challenges

In conflict-affected contexts there may be several constraints including:

- Low availability of skilled labour.
- Limited market demand and investment capacity due to a reduced capability to pay for services and products.
- Uncertainty and lack of security.
- Damaged infrastructure and equipment, and disruption of public services (e.g. water, electricity) and of financial, marketing and business support services.
- Communication and transportation difficulties (because of political/administrative constraints and destroyed infrastructure).
- Social division, distrust and conflict.

The challenge is to promote and support MSEs to become viable under these circumstances.

F. Target groups and partners

Target groups

Potential or existing entrepreneurs (female and male) and enterprises.

Partners

Always aim to build on existing structures including local ministries and financial institutions, local support agencies (e.g. accounting, management and marketing support enterprises, NGOs and public services) and market structures. Various agencies might be involved depending on the complexity of tasks. This includes ILO and other relevant UN agencies, NGOs, national and international organisations, complementary labour market institutions (employment services, training institutions), the private sector and existing associations of entrepreneurs.

The main stakeholders include existing entrepreneurs, training institutions, government agencies, service/support institutions, community and target/group leaders and international actors. All these should be involved at all stages of MSE programmes in order to allow swift reactions, develop partnerships, acquire information rapidly, ensure good communication, overcome distrust and reach the informal economy.

G. How to implement MSE promotion

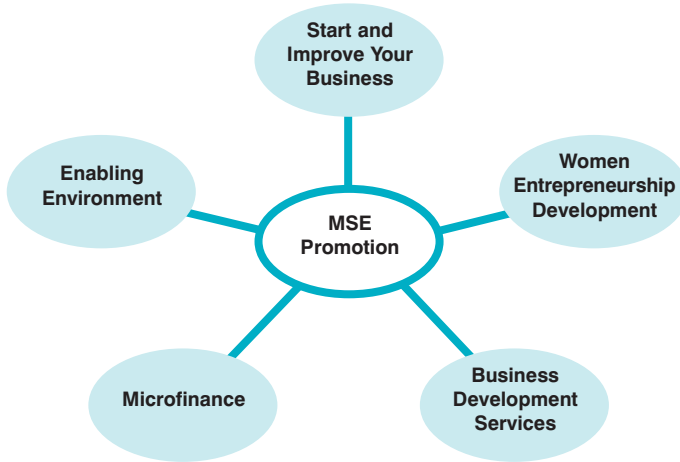
Start with a thorough assessment of the context, to appraise the feasibility and scale of business opportunities for local, displaced and returnee populations including the legal, institutional and financial environment (e.g. security, available resources, policies, number of interested parties i.e. displaced or local people, level of destruction, etc.). Training, for example, should be adapted to local needs, potential and capacity. (Consider local regulations, information on local resources and successful MSE examples in the locality). Services should include access to credit where, as a result of crises, individuals have lost their savings, the banking systems are destroyed, and it is especially difficult for groups with special needs to access formal bank credits. (Options such as village banks should also be considered).

Evaluate the skills, education, experience, motivation and interest of potential beneficiaries in order to ensure that they are prepared to become entrepreneurs, and to identify the most suitable form of approach and assistance.

In crisis situations it is necessary to act quickly. Therefore favour a phase-by-phase approach that can start immediately, rather than trying to formulate a more comprehensive approach that will take longer to develop.

Timing therefore should be realistic and interventions should be organised rationally. For example combine business skills training with support and finance mechanisms to help trainees start their business.

Long-term support is important to improve survival rates of MSEs, especially in crisis contexts and with target groups with special needs. Time is also necessary for various features of MSE promotion to become effective, e.g. business associations, Business Development Services (to create demand for their services and acquire a credible reputation), to develop entrepreneurs and client networks, and so on.



MSE promotion includes:

- Microfinance: the provision of financial services on a very small scale to micro entrepreneurs. A
- Business development services: formal and informal non-financial services provided to businesses. B
- Start and improve your business: training programme for women and men interested in starting or improving a business (ILO - Employment - Job Creation and Enterprise Development).
- Women's entrepreneurship development: women face greater barriers in starting or developing their businesses because of constraints in accessing credit, training, information on business opportunities, support programmes, business, supply and market networks. They might also face difficulties in mobility due to socio-cultural obstacles. Entrepreneurship development activities therefore need to be designed in a flexible and creative manner to address and include women. C

A

See the ILO/UNHCR Microfinance short guide in **Annex 1.13.9**.

B

See the ILO/UNHCR Business development services short guide in **Annex 1.13.10**.

C

See Women's Entrepreneurship Development in **Annex 1.13.12**.



For more information on Micro and Small Enterprise Promotion

For Enabling Environments for SMEs see:

- *Small Enterprise Development - An Introduction to the Policy Challenge*. ILO InFocus Programme on Boosting Employment through Small Enterprise Development. International Labour Office, Job Creation and Enterprise Development Department. Geneva: ILO, 2003.

For BDS provision see:

- *Reference Guide on Business Development Services*. Gerrit Ribbink, SNV/Netherlands Development Organisation, 2003. <http://www.snvworld.org/cds/rgBDS/table-of-contents.htm>

For Women's Entrepreneurship Development:

- *Gender-oriented Entrepreneurship Promotion Strategies and tools along the project cycle (A manual for practitioners)*. Claudia Ulrike Gminder. Swiss Agency for Development and Cooperation (SDC), Employment and Income Division. Bern: SDC, 2003. www.sdc.admin.ch/themes
- *GET Ahead for Women in Enterprise Training Package and Resource Kit*, Susanne Bauer, Gerry Finnegan and Nelien Haspels. ILO InFocus Programme on Boosting Employment through Small Enterprise Development. International Labour Office. Job Creation and Enterprise Department. Bangkok: ILO, 2004.

Links:

www.ilo.org

www.ilo.org/seed

www.ilo.org/crisis

ILO contacts:

InFocus Programme on Boosting Employment Through Small Enterprise Development

International Labour Office

4, route des Morillons

CH-1211 Geneva 22

Switzerland

Tel: +4122/7996862

Fax: +4122/7997978

E-mail: IFP-SED@ilo.org

Annex 1.13.9 MICROFINANCE

A. What is microfinance

Microfinance is the provision of financial services in a sustainable way to micro-entrepreneurs and other individuals with low incomes, who do not have access to commercial financial services. Microfinance is banking with the poor.

Microcredit is limited to the provision of credit. Microfinance includes a broader array of financial products and services, such as savings, micro-insurance, micro leasing and remittances (micro-money transfers).

Microfinance is not a grant, lending in kind, business development services or charity. It is a tool that, in the context of conflict-affected communities, uniquely blends the strengths of international relief and development work with the advantage of business and banking.

Microfinance development is an umbrella for various services.

business grants

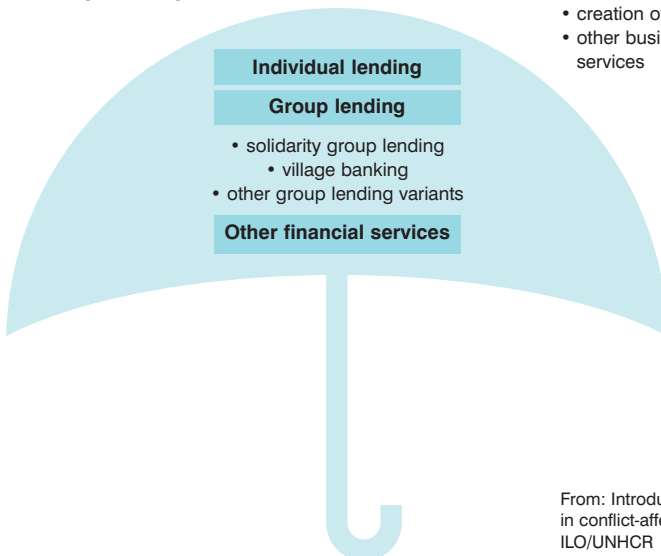
welfare grants

in-kind lending

income-generating activities

business development services

- training
- marketing assistance
- association building
- creation of market chains
- other business development services



From: Introduction to microfinance in conflict-affected communities, ILO/UNHCR

B. Why provide microfinance

Microfinance can positively affect the social and economic welfare of client households, reinforcing their social and physical protection. By contributing to business development it enhances the capacity of poor women and men to generate income. Microfinance augments its clients' ability to satisfy their basic needs (food, health, education and water), increases their control on resources and enhances self-esteem.

In short, microfinance helps poor women and men access the capital necessary to engage in self-employment and contribute to their own development, in circumstances where no other access to this capital is possible. Microfinance is also one way of supporting new and existing businesses.

A sustainable microfinance programme will ensure low-income target groups continued access to financial services even after UNHCR's departure.

C. When to provide microfinance

Microfinance should be provided when a demand for financial services exists. It needs relative security and accessibility as prerequisites.

Self-employment should only be explored when other wage employment options have been fully investigated. Not everybody is suited to running a business successfully, and failure rates can be high even in non-conflict situations.

D. When not to provide microfinance

Microfinance is not always suitable or sufficient for self-employment programmes. Other obstacles to self-employment must be assessed to determine whether microfinance programmes should be coordinated and combined with other projects. The pre-requisites include:

- A degree of political stability.
- A degree of demographic stability. Populations have to be settled, or at least relatively settled given the conditions of refugees and conflict-affected communities.
- The client community must show sufficient economic activity and entrepreneurial spirit (or there will not be an effective demand for microfinance services).
- A functioning cash economy.

Preferred conditions (for increased probability of success) include: the existence of commercial banks; social capital or trust; and macro-economic stability

These requirements may be difficult to meet in certain conflict-affected communities e.g. in refugee operations where economic activity is distorted by relief substitution, or in returnee areas with a small population density and/or little economic activity. Accordingly, UNHCR and its partners must survey the economic and financial activities prior to initiating microfinance support. Refer to existing data and collect additional information as necessary. UNHCR and its partners must also devise innovative approaches to boost the local cash economy, until it reaches a level adequate for initiating microfinance (e.g. CFW, LBIP).

E. Problems/challenges

These are some of the issues:

- Providing microfinance has a cost. Because it is necessary to guarantee sustainability, interest rates on microfinance may be more expensive than that of other loans.
- Lending always involves risk. Microcredit programmes should be designed to reduce this risk by screening borrowers and ensuring that repayment can be enforced.
- Beneficiaries have to be sensitized to the fact that microfinance is not a grant, and that they are expected to repay. Otherwise a microfinance programme cannot be sustainable.
- Few micro-entrepreneurs are able to break out of the cycle of poverty with a one-time loan. People are best helped out of long-term poverty with a series of steadily increasing loans and mechanisms for savings. Sustainability is an important aspect of a successful microfinance programme, guaranteeing its impact and reach.

It is important therefore to build a solid foundation. Relief agencies usually cannot stay in a country long enough after a conflict to build permanent, sustainable microfinance institutions. Further issues include:

- Adopt a long-term approach. This is particularly important in areas where human resources are extremely limited as it will take longer for microfinance to become sustainable.

- Establishing effective microfinance is a greater challenge in conflict-affected areas because of constraints (like damaged infrastructure, disruption of public services, social division, limited market demand and availability of skilled labour). Remember that conflict does not end after the fighting stops.
- More creativity and adaptability is needed when developing microfinance in conflict-affected areas - including knowledge of project design, project management, accounting and finance.
- Women and other groups with special needs can have particular difficulty accessing microfinance - perhaps unable to provide the required collateral or guarantee. Flexibility and innovation in program design can help these groups to access microfinance (e.g. through group lending schemes).

In many places and cultures women are not allowed to own property and do not have a savings history.

Allowing women to use their jewellery as a guarantee opened the doors to microfinance to several women in Senegal and India.

Future orders can also serve as a guarantee. For example, if a woman that wants to open a bakery, receives in advance large orders of bread.



Helping refugees to help themselves.

Remember that microcredit on its own cannot create a business. This will depend on the beneficiaries' skills and business acumen, a market for the output, the availability of supplies and other inputs, and enabling regulations and macro-economic environment.

F. Partners/targets

Targets

Low-income micro enterprises, groups, and other women and men usually excluded from services offered by formal traditional financial sector institutions.

Suppliers

Formal: banks, government and donor programmes, non-bank financial intermediaries, credit unions, international and national NGOs, microfinance institutions and formal transfer systems.

Informal: RoSCAs (Rotating Savings and Credit Associations), traders, moneylenders and money-keepers, pawn brokers, credit and savings associations, informal borrowing and informal transfer systems.

G. How to provide microfinance

Programming cycle

- 1. Assess and analyse.** Gather information for supply and demand analysis.
- 2. Design.** Set objectives, identify partners, define methodology and determine inputs and outputs. Think of innovative and flexible ways to allow groups with special needs to access microfinance. Prepare a financial plan for sustainable services.
- 3. Implement.** Deliver products and services, provide technical assistance and manage the activities.
- 4. Monitor.** Track programme and clients using key indicators.
- 5. Evaluate and follow-up.** Evaluate programme and clients for programme impact and revisions.

Specific points

Set out clear general and specific objectives at the outset. Select clients according to their entrepreneurial spirit, business viability and the capacity to repay. Clients must be economically active. Extremely vulnerable individuals who are dependent on others for their daily living are not suitable candidates for microfinance.

In conflict-affected communities start the programme slowly but steadily to set the foundation for growth. A rapidly changing environment calls for sound objectives and continued adjustment of operations.

The provision of social/welfare services should not be combined with financial services, as there is a conflict between the provision of free services, and a loan repayment scheme that charges interest on its clients (who might not want to pay for these services if they can receive them for free) leading to misunderstanding and jeopardizing its sustainability.

Additionally:

- Human resource development is crucial. External technical assistance and intensive staff development is absolutely necessary.
- Credit should be combined with the clients' assets (financial and physical) in order to ensure that the individual has a stronger interest in success.
- A government regulatory framework may not be needed at the outset, but will be required later. A balance between control and laissez faire is desirable.
- The provision of microfinance should be clearly separated from other relief activities.

Microfinance programs should not be implemented by UNHCR offices themselves, but entrusted to operational partners with a successful record of accomplishment to plan and implement such schemes (UNHCR should only be actively involved in planning and monitoring microfinance, lobbying for inclusion of selected targets, and funding). UNHCR must ensure that microfinance programmes be implemented according to proven sound practices as defined by microfinance experts, and should collaborate with development agencies to ensure availability of adequate funding until sustainability is achieved.



Manual on microfinance:

- *Introduction to microfinance in conflict-affected communities*. International Labour Office, Social Finance Programme/Office of the United Nations High Commissioner for Refugees, Reintegration and Local Settlement Section. Geneva: ILO, 2003.

Links:

www.ilo.org/socialfinance
www.postconflictmicrofinance.org
www.mip.org
www.cgap.org
www.grameen-info.org

ILO contacts:

Social Finance Programme

International Labour Office
4, route des Morillons
CH-1211 Geneva 22
Switzerland
Tel: +41 22 799 6249
E-mail: SFP@ilo.org

Annex 1.13.10

BUSINESS DEVELOPMENT SERVICES

A. What is Business Development Services (BDS)

Business development services (BDS) are formal and informal non-financial services that offer entrepreneurs:

- **Training**
- **consulting**
- **marketing support**
- **business information**
- **access to technology**
- **advocacy**
- **business linkages**
- **infrastructure development**
- **other non-financial services**

BDS help businesses become more profitable by assisting them in:

- Developing and producing quality products effectively.
- Accessing higher value markets.
- Managing their business efficiently.
- Generally improving and developing their business.

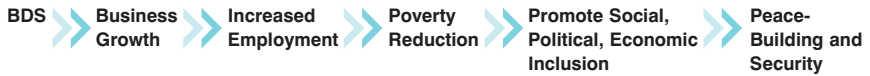
BDS can be directed at micro and small enterprises (MSEs) facing a variety of constraints due to poor levels of education, weak management, competitive markets, low quality products and/or services, lack of marketing skills, inefficient infrastructure and lack of familiarity with the local economic environment (e.g. refugees, returnees). Businesses in this category often find it difficult to develop to their full potential and often risk failure.

B. Why implement BDS

BDS is crucial in areas affected by conflict (e.g. displacement, refugee influx), and in post-conflict reconstruction situations where there has been damage both to human and physical infrastructures. The human infrastructure i.e. the labour force, can suffer a loss of entrepreneurial expertise, networks, and customers. Damage to the physical infrastructure includes destroyed communication and transport networks, and production facilities and machinery. This damage makes it even more difficult for local enterprises to operate in an already weak economic environment.

Entrepreneurs will therefore need support to maintain stable networks with customers and suppliers, obtain finance in an unstable environment, promote cooperative arrangements, and in the overall management of their businesses.

By helping businesses increase sales and reduce costs, BDS contributes to promoting economic development and social goals:



Improved MSE performance resulting from BDS is therefore key to community and national development.

C. When to apply BDS

BDS can be applied whenever there is an interest in improving business performance. In particular, BDS is employed in areas where MSEs can be facilitated to reach their full potential, especially after a crisis, if they are suffering from factors such as:

- poor education
- competitive markets
- insufficient technology
- insecurity
- inefficient infrastructure
- inadequate marketing skills and technical expertise
- lack of information
- weak management
- low quality products and services
- harassment of business owners
- poor services (telephone, electricity, water)
- poor understanding among refugees and returnees of the local economic environment

The provision of BDS should only be facilitated in areas where there is either weak demand and/or supply of BDS, and interventions can build on existing activity.

When there is no supply but there is demand, facilitators can intervene initially to provide BDS services directly and stimulate market demand. However, once private sector BDS providers are able to take over, BDS facilitators should step back (Current thinking in BDS provision - see sections E and H).

D. When not to implement BDS

BDS interventions will be extremely difficult in areas where the market is non-existent and there is no supply and demand. There is also limited potential for BDS in areas where the market is already operating efficiently, with effective patterns of supply and demand.

(Market assessment is crucial to determine the state of the current market, and consequently the feasibility of BDS in an area - see section I).



Getting connected to the world.

E. Problems/challenges in providing BDS

Existing and potential providers might have inadequate capacity for implementing BDS. This can be the case especially after conflicts where business and client networks have been interrupted, infrastructure and communications damaged, and there is a pervasive lack of trust. In particular, these factors can make it difficult for private BDS providers to deliver BDS in a sustainable way e.g. recovering costs.

A market assessment might be difficult to implement in areas where security is poor, and unstable environments mean that information is soon outdated.

Current thinking in BDS provision encourages the promotion of a sustainable and vibrant BDS market, and therefore discourages the subsidizing of services. This poses a challenge when populations have low purchasing capacity, and providers lack capital. This might also be problematic in areas where markets are weak and the operating environment unpredictable. Finally, the short-term perspective of some donors, practitioners, and implementing agencies might not be conducive to sustainability.

In-conflict affected communities and post-crisis areas, dependence on relief and grants might dissuade the development of contractual business relations with providers. Competition and efficiency might be difficult in BDS markets suffering from a shortage of providers and weak demand.

Market distortion might be impossible to avoid in conflict-affected communities and post-crisis areas where relief, outside forces, and security constraints among others are inevitably going to have an impact.

Market distortion: when any one factor interferes with market competition, leading to fewer choices and higher prices.

It is important that programs be flexible to adapt to rapidly changing environments, and to ensure coordination with other humanitarian and development agencies in the area.

F. Partners/Targets in BDS provision

Targets/clients/beneficiaries

All micro and small enterprises.

Partners

BDS facilitators are development-oriented institutions that deal directly with BDS providers to:

- Provide training and capacity building.
- Evaluate BDS providers' performance.
- Ensure quality.
- Promote and analyse market development.

BDS facilitators also work with governments for BDS and MSEs policy advocacy. Facilitators might encourage MSEs (e.g. training institutions) to embark on BDS, but are not involved directly in its implementation (except in situations where there are no viable alternative providers). BDS facilitators include: NGOs, chambers of commerce, UN agencies and other development-based organisations.

BDS providers work directly with MSEs to provide BDS for a fee or as part of embedded services. Providers could include: private sector (for profit) BDS providers, MSEs through embedded business services, associations/cooperatives, individuals, government agencies, NGOs. Providers will differ according to context.

G. How to implement BDS

There are different types of business development services. Operational services address everyday operations (e.g. account management and communications). Strategic services focus on medium and long term goals (e.g. enhancing performance and competition).

H. Different types of service/support

Market access services

Identify and establish new markets for products and services delivered by MSEs, and/or develop existing markets.

Input supply services

Improve MSEs access to production inputs and raw materials. This includes promoting sustainable training and technical assistance products.

Technology and product development

Research and identify new technologies. Assess the capacity for sustainable local production, marketing and service of these technologies. Develop novel and enhanced products specifically targeted to market demand.

Training and technical assistance

Improve the capacity of MSEs to plan and manage their operations, and to develop their technical expertise (see **Annex 1.13.11 Start and Improve Your Business**).

Infrastructure support

Set up adequate sustainable infrastructure that improve MSEs ability to operate.

Policy/advocacy

Produce sub-sector research and analysis on policy opportunities and constraints for MSEs, and assist the formation of organisations and coalitions that advance the interests of MSEs.

Financial support

Help MSEs seek funds through formal and alternative channels, and assist them in establishing connections with banks and microfinance institutions for credit and other financial services.

BDS services can be delivered alone, as a package with other services, or as part of business relations.

Current thinking in BDS provision advocates that BDS should be market driven and sustainable. In order to make BDS sustainable it is necessary to promote an active market of services that MSEs will have both the capacity and the interest to enter. For this reason, BDS services should be demand driven to address both the needs and wants of MSEs. Although BDS implementing and financing strategies will vary in different contexts, BDS are usually provided in exchange of a fee that participating MSEs can afford, as an element in a package deal with vested commercial interests, or based on commission.

However within this approach it is necessary to assume appropriate strategies to ensure access to services for groups that cannot or are less able to pay and/or participate (e.g. women entrepreneurs, female heads of household, disabled, refugees, displaced and ethnic minorities). BDS programmes should be flexible and adapt their content to specific target groups. Some strategies include:

- Treating specific underserved groups as market niches. Address the specific needs of disadvantaged groups as a market opportunity.
- Promoting services appropriate for sectors in which underserved MSEs operate. For example; focusing on a sector where women entrepreneurs dominate the market.
- Paying particular attention to payment mechanisms. Consider special payment options, such as embedded services, third party financing, or payment in installments, for groups that find it difficult to pay for services (e.g. poor MSEs).
- Working with low-cost suppliers. Low cost suppliers might be better adapted to providing services to MSEs, who in turn might also prefer these arrangements.

I. Market Assessment

Before selecting which form of intervention to adopt, it is necessary to engage in a market and needs assessment in order to identify opportunities and constraints in any given area. Market assessments should focus on a particular product or service, its potential clients and competitors, and the geographic areas considered. This will provide valuable information (e.g.

reasons for the absence of demand or supply of a service) and will prove crucial in selecting adequate BDS activities. For example, product development and capacity building are particularly adequate in markets where supply is weak, while promotions and financing techniques are suitable when demand is weak.

Possible methodologies and tools for assessing MSEs' constraints and opportunities:

- Sub-sector analysis involves researching all enterprise actors concerned with a particular product or service, and identifying BDS provision opportunities connected with this product or service (e.g. producers, retailers, distributors).
- Participatory rapid appraisal is based on a set of tools to aid development agents to recognize problems and solutions by making the most of local knowledge (includes: resource mapping, seasonal mapping, network maps and ranking exercises).
- General small enterprise surveys address a number of areas including the number of MSEs, their geographic and gender distribution and growth trends etc.
- BDS market assessment tools identify BDS markets, services and providers (for some examples see 'further reading' in last page of this annex).
- Needs assessment through clusters and networks bring together MSEs working in similar areas of activity, and/or sharing other common factors. The idea is for these enterprises or networks to discuss their development together.
- Action research/incremental approaches develop close relationships with enterprises - to learn from them.

Field experience: Farmers and markets in Mexico

Conservation International effectively links farmers with markets, and encourages them to use sustainable farming techniques that generate income and protect the forests of Chiapas, Mexico. (<http://www.seepnetwork.org/bdsguide.html>)



For more information on BDS see:

- *Seminar Reader, Developing Commercial Markets for Business Development Services*, BDS PRIMER, Annual BDS Seminar, Turin, Italy. Sept. 2003. By: Alexandra O. Miehlebradt and Mary McVay for the Small Enterprise Development Programme of the International Labour Office. Turin: ILO, 2004.
- *Reference Guide on Business Development Services*. Gerrit Ribbink, SNV/Netherlands Development Organisation, 2003. <http://www.snvworld.org/cds/rgBDS/table-of-contents.htm>

For BDS Provision to Women Entrepreneurs see:

- *Are W.E. Being Served? The Work of the International Labour Organisation (ILO) in Promoting More and Better BDS for Women Entrepreneurs*. Gerry Finnegan, ILO InFocus Programme on Boosting Employment through Small Enterprise Development - Women's Entrepreneurship Development. Geneva: ILO, 2003.
<http://www.ilo.org/dyn/empent/docs/F1780218991/Are%20WE%20being%20served-150903.pdf>

For BDS market assessment tools see:

- *Rapid market appraisal: a manual for entrepreneurs / Rapid market appraisal: a manual for trainers*. ILO InFocus Programme on Boosting Employment through Small Enterprise Development. International Labour Office, FIT Programme. Geneva: ILO, 2000.

Links:

www.seepnetwork.org/bdsguide.html

www.ilo.org/dyn/bds/bdssearch.home

www.sedonors.org/

On market assessment: <http://www.seepnetwork.org/PLPinBDSMAR1-final.pdf>

ILO contacts:

InFocus Programme on Boosting Employment Through Small Enterprise Development

International Labour Office

4, route des Morillons

CH-1211 Geneva 22

Switzerland

Tel: +4122/7996862

Fax: +4122/7997978

E-mail: IFP-SED@ilo.org

Annex 1.13.11

START AND IMPROVE YOUR BUSINESS

A. What is Start and Improve Your Business (SIYB)

Start and Improve Your Business (SIYB) is a training programme developed by ILO for women and men desiring to start or improve their business. SIYB includes self-help/training manuals to be used by potential or current micro and small entrepreneurs with some formal education (reading and writing) to guide them through the process of starting or improving a business. SIYB can be implemented as weekly training courses or as self-help tool.

**SIYB Manuals include:**

- *ILO GYBI Generate Your Business Idea, a workbook for potential entrepreneurs.* SIYB Regional Project Office in Harare Zimbabwe, ILO InFocus Programme on Boosting Employment through Small Enterprise Development. International Labour Office. Job Creation and Enterprise Department. Harare: ILO.
- *Start Your Own Business Manual.* SIYB Regional Project Office in Harare Zimbabwe, ILO InFocus Programme on Boosting Employment through Small Enterprise Development. International Labour Office. Job Creation and Enterprise Department. Harare: ILO.
- *SIYB Business Plan.* SIYB Regional Project Office in Harare Zimbabwe, ILO InFocus Programme on Boosting Employment through Small Enterprise Development. International Labour Office. Job Creation and Enterprise Department. Harare: ILO.
- *Improve Your Business Basic Kit: Manual on Marketing,* ILO/SEED. SIYB Regional Project Office in Harare Zimbabwe, ILO InFocus Programme on Boosting Employment through Small Enterprise Development. International Labour Office. Job Creation and Enterprise Department. Harare: ILO. This is a series of manuals covering subjects such as buying, marketing and costing to help existing entrepreneurs develop their businesses.

B. Why promote SIYB

SIYB is a viable self-help strategy to generate self-employment rapidly, and can be used to address those groups most excluded from the labour market provided they fulfill the necessary criteria (basic education and interest). Vulnerable targets such as refugees and IDPs will attain the dignity of employment and self-reliance, and this will contribute to the social and economic development of the area and to their (re)integration in society.

Successful SIYB cases will contribute to local economic development while restoring infrastructure or producing basic goods and services that are

crucial for reconstruction. The ILO SIYB guides are simple to use both as part of a training programme or as a self-help tool. However starting a business might not always be the right solution if the environment is not conducive, or the individual does not have an adequate profile (basic education, numeracy and motivation). Careful market assessment is necessary to identify opportunities available in the area.

C. When to promote SIYB

Assess possibilities and the scale of market opportunities (e.g. security, available resources, policies, number of interested parties) and evaluate the skills, education, experience, motivation and interest of potential entrepreneurs (both female and male) in all community groups (e.g. refugees, returnees, IDPs, locals) in order to ensure that they are prepared to engage in this venture. On that basis identify the best approach and form of assistance.

Complete a list of selected candidates with basic education and an interest in starting a business that have a viable business idea. GYBI can be used to help interested women and men generate a business idea.



The taste of success -
our food canteen is
making profit!

D. When not to promote SIYB

- When market assessment shows that there are no market opportunities in the area.
- When there is insufficient infrastructure or inadequate facilities (e.g. electricity, water) necessary for the successful development of a business.

SIYB has a long-term outlook for economic growth and stability. For immediate and rapid impact consider other options such as labour-based infrastructure reconstruction and/or other cash-for-work activities, etc.

The failure rates of new businesses can be particularly high in unstable environments (which is often the case in post-conflict situations). Careful market assessment is crucial, as well as the simultaneous application of other strategies such as skills training, capacity building and microfinance, in order to enhance impact and probability of success.

E. Problems/Challenges

In the volatile market environment of post-conflict situations (suffering from lack of trust and poor security, destroyed infrastructure and inadequate communications) market demand and investment opportunities might be limited, with a reduced capacity in communities to pay for services and products.

The basic criteria used for selection of candidates might actually exclude the most vulnerable (e.g. due to lack of education or guarantors). Think of flexible ways to address these groups. For example: conduct basic literacy and numeracy training for women and men interested in starting a business; and outreach programmes to women, advertising through women groups and areas frequented by women (e.g. local clinics).

Trainers might be hard to find. They might not be motivated or suitable, may possess inadequate expertise or have little capacity to assist trainees. Finding adequate quality trainers is essential.

Loans might be difficult to obtain in an environment of distrust, or as a result of interrupted communication. Cooperation and competition among enterprises might be affected by a damaged physical/human environment. Reconstruction, and a degree of market stability, is therefore essential.

SIYB training is considered a business development service, and is therefore subject to the issues concerning cost-recovery in current thinking of BDS provision (see the ILO/UNHCR Short Guide on Business Development Services - see **Annex 1.13.10**).



For Training Materials for Women's Entrepreneurship:

- *GET Ahead for Women in Enterprise Training Package and Resource Kit*, Susanne Bauer, Gerry Finnegan and Nelien Haspels. ILO InFocus Programme on Boosting Employment through Small Enterprise Development. International Labour Office. Job Creation and Enterprise Department. Bangkok: ILO, 2004.

F. Partners & Targets

Targets

These include: Potential entrepreneurs (both female and male) with basic education (including reading and writing) who are interested and have the capacity to start a business.

Partners

ILO and other relevant UN organisations, private sector training providers, NGOs and other international and national organisations.

G. How to promote SIYB: The steps

SIYB is a service provided by specialized SIYB master trainers (see ILO contacts). SIYB should normally be provided by these trainers. Master trainers can also contribute to capacity building of BDS organisations by training SIYB trainers (for ILO contacts, and forms to request trainers, please refer to the last page of this Annex). Below you will find a description of the different stages covered by the SIYB training.

Developing a business Plan

Every business needs to follow a business plan to guide the potential entrepreneur through every step of starting a business. A completed business plan has to be presented to donor agencies or banks to obtain loans and/or grants.

A business plan helps a person decide, organize and present business ideas. It contains the sections shown in **Figure 13.4**:

Figure 13.4: Components of a business plan

Step in business start-up

Sections of a business plan:

1. Executive summary

Step 1. Generate your business idea

2. Business idea

Step 2. Marketing

3. Market research
4. Marketing plan

Step 3. Form of business

5. Form of business

Step 4. Staff

6. Staff

Step 5: Legal responsibilities and insurance

7. Legal responsibilities and insurance

Step 6: Costing

8. Costs forms

Step 7: Financial planning

9. Sales and costs plan
10. Cash flow plan

Step 8: Required start-up capital

11. Required start-up capital

Step 9: Sources of start-up capital

12. Sources of start-up capital
13. Action plan



For an example of a business plan see:

- *SIYB Business Plan*. SIYB Regional Project Office in Harare Zimbabwe, ILO InFocus Programme on Boosting Employment through Small Enterprise Development. International Labour Office. Job Creation and Enterprise Department. Harare: ILO. It contains a useful compilation of all the forms necessary on each section of the business plan.

See also:

- *Start Your Own Business Manual*. SIYB Regional Project Office in Harare Zimbabwe, ILO InFocus Programme on Boosting Employment through Small Enterprise Development. International Labour Office. Job Creation and Enterprise Department. Harare: ILO, for a comprehensive and straightforward explanation of all steps and requirements for starting a business illustrated with clear examples.

Step 1: Generate Your Business Idea

Create a short-list of potential business ideas to be refined, tested and developed further through market research. There are four different types of business:

- **Retailing.** Purchasing goods from wholesalers or suppliers and reselling them for a profit e.g. grocery store.
- **Wholesaling.** Purchasing goods in large amounts directly from producers, to package and resell to retailers.
- **Manufacturing.** Making new products using raw materials, e.g. shoe maker.
- **Service providing.** Offering a service, e.g. painter.

A SWOT Analysis (looking at Strengths, Weaknesses, Opportunities and Threats) is an assessment technique usually used to evaluate business ideas.

For a guide to generating a business idea, see:

- *ILO GYBI Generate Your Business Idea, a workbook for potential entrepreneurs.* SIYB Regional Project Office in Harare Zimbabwe, ILO InFocus Programme on Boosting Employment through Small Enterprise Development. International Labour Office. Job Creation and Enterprise Department. Harare: ILO.



Step 2: Marketing

Think about the business and how it should be promoted. Identify potential customers and find out their needs and wants. Undertake market research in order to understand the business environment and its potential customers and competitors. This information will be used to formulate a marketing plan.

- **Marketing** helps you offer the right product or service, set an affordable price and ensure adequate delivery and promotion of the product or service.
- **Market research** involves talking and questioning customers, suppliers and friends running businesses; studying competitors; and reading relevant newspapers and other sources to get ideas and information about the business. Market research should be done in all community groups (refugees, returnees, IDPs and locals).
- A **marketing plan** considers the 4Ps: Product (kind, quality, colour, size, range, packaging, etc.); Price; Place (location, distribution); and Promotion (advertising, sales promotion).



A guide to marketing:

- *Improve Your Business Basic Kit: Manual on Marketing*, ILO/SEED. SIYB Regional Project Office in Harare Zimbabwe, ILO InFocus Programme on Boosting Employment through Small Enterprise Development. International Labour Office. Job Creation and Enterprise Department. Harare: ILO.



On market research see:

- *Rapid market appraisal: a manual for entrepreneurs / Rapid market appraisal: a manual for trainers*. ILO InFocus Programme on Boosting Employment through Small Enterprise Development. International Labour Organisation, FIT Programme. Geneva: ILO, 2000.

Step 3: Form of business

Decide what form of business to adopt. Each form has different advantages and weaknesses:

- **Sole proprietorship** - self ownership of business.
- **Partnership** - a business run by two or more partners.
- **Limited company** - a business owned by one or more shareholders that work with or have invested capital in the business.
- **Cooperative** - a number of individuals working together for a common goal.

Step 4: Staff

Consider whether the business will need any staff and what qualifications and skills would be required to undertake the tasks foreseen/planned.

Step 5: Legal responsibilities and insurance

Find out what are the legal requirements of the business (taxes, license, staff benefits etc.) and consider acquiring insurance. (Insurance can protect against the losses incurred through accidents and theft, and contribute towards health and life costs incurred from business related accidents).

Step 6: Costing

Calculate the total costs of manufacturing and/or selling a product, or offering a service. This allows you to set prices, minimise and manage costs, improve decisions and plan ahead.

Step 7: Financial planning

Ensure that the business will have enough cash to operate by preparing a sales and costs plan, and a cash flow plan. This is particularly important at the start when the business is most vulnerable.

Step 8: Required start-up capital

Calculate how much capital will be needed to start the business. This includes capital for high value investment on business premises or equipment, and working capital to run the business before the business can sustain itself.

Step 9: Sources of start-up capital

Find out how to obtain the start-up capital. Start-up capital can take the following forms:

- **Owner's equity:** personal capital invested in the business. Advantages: less pressure; demonstrates commitment to an idea, and therefore gives a favourable impression on lending institutions.
- **Loans:** Disadvantages: more pressure (repayments, interests, etc.). Main requirements: a clear and detailed business plan and collateral of some form.

Collateral is a guarantee that can be appropriated and sold by the lending institution in case of failure to repay the loan (e.g. the business premises, the home or some equipment owned by the borrower).

In conflict-affected communities there may be few tangible assets, no methods to assess asset values, no legal frameworks to help with confiscation, and no markets to sell assets. For these reasons programmes working in conflict-affected communities usually use the collateral substitute guarantees (for groups) as well as the individual guarantors, i.e. they take on the risk. This requires intimate knowledge of the social and emotional value of the client community.

Types of lending institutions:

- **Banks.** It might be hard for refugees/returnees to obtain loans from a bank due to their strict requirements (including business plans, collateral and ID cards which are particularly problematic for refugees) and unlikely access in areas affected by conflict and other crises.
- **Government credit schemes.** These are typically loans provided by the government and run by government organisations for small entrepreneurs. They may have fewer requirements, and might not ask for collateral. They can often give further assistance, e.g. for training.

- **Non-governmental credit schemes.** These are similar to government schemes but run by non-governmental organisations and microfinance institutions. They may concentrate on particular groups like women, disabled people, refugees etc.
- **Other sources.** These may include family or friends, village banks and traditional lending systems.

Links:

www.ilosiyb.co.zw

www.ilo.org/seed

[www.ilo.org/dyn/empent/empent.portal?p_docid=SIYBHEAD&p_prog=S
&p_subprog=BD](http://www.ilo.org/dyn/empent/empent.portal?p_docid=SIYBHEAD&p_prog=S&p_subprog=BD)

Forms to request trainers: www.ilosiyb.co.zw/siyb_forms.html

ILO contacts:

**InFocus Programme on Boosting Employment Through Small
Enterprise Development**

International Labour Office

4, route des Morillons

CH-1211 Geneva 22

Switzerland

Tel: +4122/7996862

Fax: +4122/7997978

E-mail: IFP-SED@ilo.org

Annex 1.13.12

WOMEN'S ENTREPRENEURSHIP DEVELOPMENT IN REFUGEE CONTEXTS

A. What is women's entrepreneurship development

Women's entrepreneurship development involves supporting women to overcome barriers, which can be a result of their social and economic standing relative to men, in starting and running a business. In a refugee situation these differences in social and economic standing may be greater than in more stable situations. For example: when resources are scarce it is not unusual for the most powerful in a community have access to or own those resources. In many refugee communities the most powerful individuals are men. Therefore support for women entrepreneurs can:

- Ensure they can participate in and benefit from micro and small enterprise development activities: e.g. by ensuring women's participation in businesses networks within and/or outside refugee camps.
- Focus specific activities on women, e.g. business skills training courses for women only.

Many activities promoting women's entrepreneurship are to **reduce risk**. For example:

- Reducing the risks involved in starting a business, through business training and access to credit on reasonable terms. (See the ILO/UNHCR Short Guide on SIYB - see **Annex 1.13.11**).
- Reducing the risk of friction within the family or community by promoting a positive attitude to entrepreneurship for women through awareness-raising.
- Reducing the risks associated with accessing markets through market appraisals and using business development services to improve marketing skills. (See the ILO/UNHCR Short Guide on Business Development Services - see **Annex 1.13.10**).
- Reducing the risks of operating alone in a business by promoting membership of small business associations.

B. Why focus on women entrepreneurs

Micro and small businesses are increasingly seen as a means of generating meaningful and sustainable employment opportunities, particularly for those at the margins of the economy - frequently women, the poor and people with disabilities. UNHCR and ILO realize that the economic empowerment of women refugees and internally displaced women also goes hand-in-hand with strategies for enhancing the protection of refugee women and girls.

By providing a source of income and increasing access to, and control over, resources such as land, women can obtain more control of their own lives. Economic empowerment has been shown to impact positively on the involvement of women in decision-making processes and to improve their negotiating position.

Field experience: Women's empowerment in Mexico

"In the process of integration, we have had the opportunity to reaffirm the skills we have acquired throughout the different stages of asylum. In the last few years, we have demonstrated that, as women, we can also organise and manage our own income generation projects, and not just take care of our homes and children. An example of this is the first community credit scheme established in Los Laureles refugee settlement. At the beginning it was difficult to organise ourselves since we had never had this opportunity, and our husbands discouraged us telling us, and making us believe, that we would never be able to manage any projects."

"Now we realize that we have learned many things, from operating a calculator, to writing cheques, depositing and withdrawing money from the bank, applying for loans and assessing whether a project will succeed or not. We can do the paperwork, voice our concerns and vote on issues not just in the meetings of our organization but also in large community gatherings. We now have the courage to participate, and our male colleagues have started to realise and to be conscious of the importance, for our families and for our communities, of our participation."

Esperanza Vázquez,

Member of the Technical Committee of the Social Welfare Revolving Fund (FORBIS), Campeche, in *The Integration of Former Guatemalan Refugees in Mexico: A Multi-Faceted Experience*, edited by Edith F. Kauffer-Michel (San Cristóbal de Las Casas, Mexico: El Colegio de la Frontera Sur, 2002).

In refugee situations families need income. Income generating activities by women and men can be the source of this income. In particular women's traditional skills could be considered a business asset in refugee situations. Using women's traditional skills as a basis for establishing businesses, the right interventions can help women to become valuable providers for their families. Some grow to provide jobs for family members and others.

C. Ways to promote women's entrepreneurship

The following are ways in which ILO and UNHCR have promoted the economic empowerment of women in refugee and returnee camps in Mozambique and Angola. (See reading list).

- 1. Economic mapping exercises:** examining what businesses women are engaged in, what skills they have, what obstacles exist for them and what market opportunities exist for business start-ups and growth. (See the UNHCR/ILO Short Guide on Micro and Small Enterprise Promotion - see **Annex 1.13.8**).
- 2. Analysis of gender relations:** examining the roles and level of empowerment of women in order to establish the level of intervention. For example if women have limited mobility within the camp the interventions will have to take this into account.
- 3. Collaboration with partner organisations:** working with and building the capacity of existing organisations that represent women and women entrepreneurs. These organisations are vital for decision making processes, setting objectives and creating impact indicators.



Self-reliance
brings dignity and
empowerment.

- 4. Developing entrepreneurship skills:** training women to become entrepreneurs to reduce the risk of business failure due to poor business skills is vital; however training trainers to be able to offer follow-up to trainees is as important. The ILO's business training materials could be used for giving women entrepreneurs the skills needed. (See the ILO/UNHCR Short Guide on SIYB - see **Annex 1.13.11**).
- 5. Building up associations of entrepreneurs:** establishing or supporting member based organisations to be able to support women entrepreneurs. These organisations often provide support networks for women entrepreneurs, and can be capacitated to provide business development services to other women entrepreneurs.
- 6. Encouraging the provision of business services to women:** facilitating the exchange of business and technical production skills often can improve the chances of survival of an income generating activity. Using business associations as providers of these services can be the most effective way of delivery. (See the ILO/UNHCR Short Guide on Business Development Services - see **Annex 1.13.10**).
- 7. Establishing linkages with microfinance providers:** linking to existing microfinance lenders is often the most effective way of making sure women have access to business capital. Starting a microfinance or group lending scheme can be complex. Having access to existing, or attracting in, microfinance providers to a camp can often be the most effective option.
- 8. Developing positive attitudes towards entrepreneurial women within the camp:** promoting entrepreneurship as an acceptable role for women can be done by standard marketing techniques. Promotional materials, participatory workshops and using role models could be ways of reaching out to the camps' communities.
- 9. Sustainability** of all the above activities should be a major concern of any intervention in a refugee situation. Building the capacity of in-camp organisations to carry out entrepreneurship activities after the withdrawal of external support is a priority. This capacity will also be transferred if and when refugees become returnees.

D. Challenges in promoting women's entrepreneurship

In addition to the constraints to starting and running a business in conflict-affected contexts (see the UNHCR/ILO Short Guide on Micro and Small Enterprise Promotion - see **Annex 1.13.8**.) there might be additional cultural challenges in promoting women entrepreneurs' activities:

- Women entrepreneurs are part of a community of men and women. Making sure male members of a refugee community understand the benefits and are supportive of the women's entrepreneurship development activities is vital. This can be done through participatory workshops and working with partner organisations to inform and consult with male members of the community.
- Group businesses and lending are often seen as sustainable ways of setting up businesses at an income generation level. However, experiences in Angola and Mozambique have shown that group-based works are seen as unacceptable for people whose trust levels may be very low after previous life experiences.
- In many countries the standard of numeracy and literacy among women can be lower than that of men. Refugee situations can mean schooling is very limited for women. These levels of numeracy and literacy can mean some interventions such as training have to be done along-side basic schooling or tailored to a less literate target group.
- Women's positions within refugee camps can be lowered due to in-camp decision-making processes, male domination over resources and the threat of violence. It is important to take into account these types of gender relations when planning and implementing activities.
- Women often have multiple roles which means their workloads are already heavy. Take care not to overburden them with the responsibility of time consuming or costly business ideas.



For more information on Women's Entrepreneurship Development in Refugee Contexts see:

- *Jobs, Gender and Small Enterprises in Africa and Asia: Lessons drawn from Bangladesh, the Philippines, Tunisia and Zimbabwe*, Pamela Nichols Marcucci, ILO InFocus Programme on Boosting Employment through Small Enterprise Development. International Labour Office. Job Creation and Enterprise Department. Geneva: ILO, 2001.
- *Economic Mapping and Capacity Building for Female Refugees: Lumbala N'Guimbo Administrative Centre - Moxico Province, Angola*, Rotafina José Sande, Geneva: ILO, 2004.
- *Report on Training and Capacity Building of Female Refugees (Mozambique)*, Namsifu Nyagabona, Geneva: ILO, 2004.
- *Gender-oriented Entrepreneurship Promotion. Strategies and tools along the project cycle (A manual for practitioners)*. Claudia Ulrike Gminder. Swiss Agency for Development and Cooperation (SDC), Employment and Income Division. Bern: SDC, 2003. www.sdc.admin.ch/themes
- *GET Ahead for Women in Enterprise Training Package and Resource Kit*, Susanne Bauer, Gerry Finnegan and Nelien Haspels. ILO InFocus Programme on Boosting Employment through Small Enterprise Development. International Labour Office. Job Creation and Enterprise Department. Bangkok: ILO, 2004.
- *Course Materials: Capacity Building Workshop on Women's Entrepreneurship Development*. ILO InFocus Programme on Boosting Employment through Small Enterprise Development. International Labour Office. Job Creation and Enterprise Department. Turin: ILO International Training Centre, 2004.
- *Promoting Women's Entrepreneurship Development based on Good Practice Programmes: Some Experiences from the North to the South*; Kantor, Paula; ILO InFocus Programme on Boosting Employment through Small Enterprise Development. International Labour Office. Job Creation and Enterprise Dept. Geneva: ILO-SEED, 2000.

Links:

www.ilo.org/seed
www.ilo.org/crisis
www.unhcr.ch

Contacts:

InFocus Programme on Boosting Employment Through Small Enterprise Development

International Labour Office

4, route des Morillons

CH-1211 Geneva 22

Switzerland

Tel: +4122/7996862

Fax: +4122/7997978

E-mail: IFP-SED@ilo.org

Annex 1.14

VOUCHER SYSTEMS FOR PAYMENT OF LABOUR

This annex describes the way in which food-for-work or cash-for-work systems can be replaced by vouchers systems, and why this may be appropriate in some situations.

A. Introduction

If adequate supplies of food are available in local markets, general food distributions are inappropriate. Programmes should seek to address access constraints¹⁵. In the short term, market interventions to improve purchasing power are more appropriate - such as the provision of cash or vouchers via employment programmes (including cash-for-work or vouchers-for-work). Cash is cost-effective as it has low transaction and logistical costs compared to transporting food. Cash injections into a local economy may set in motion chain reactions leading to income generation - thereby stimulating local markets.

Where markets are fragmented (i.e. they are remote from each other) cash injections may contribute to local inflation. This would be particularly problematic for host households that have to purchase their foods from the market. If the local poor are net producers, i.e. small farmers who grow more than they consume and sell their produce on the market, their households would benefit from such inflation. Cash may however pose security risks and may be biased - empowering men over women if men traditionally control household finances. Vouchers on the other hand are more easily dealt with. Where people have purchasing power but supplies are lacking, sales of subsidised foods may be appropriate.

B. What they are

Vouchers can be denominated in money terms or in physical quantities of specific commodities. Vouchers need to state clearly their value i.e. in local currency, quantity of food, or number of chickens etc. They must to be made in a way that limits their susceptibility to duplication. Use a UNHCR stamp, colour printer or have them printed in larger cities where more sophisticated technologies enable the production of vouchers that could not be made locally.

¹⁵ The Sphere Project 2004. Humanitarian Charter and Minimum Standards in Disaster Response www.sphereproject.org

C. How to use them

Distribute vouchers to registered target households. Alternatively, community committees can distribute the vouchers under agreed criteria of vulnerability. The team must agree in advance the value of the vouchers to be distributed. This is essentially determined by the programme budget.

Arrange a market day when vulnerable households will exchange the vouchers with surplus households for food etc. Both vulnerable and surplus producers must be informed in advance of the date and location of the pre-arranged market day. On an agreed date the surplus households will take their vouchers to the agency's office and exchange the voucher for cash.

D. The advantages

Vouchers reduce agency logistics in purchasing and distributing food etc.; reduce waste and spoilage of foods, incorporate a cash boost into the local economy and transfer food, seed or other supplies from surplus food producing households or traders to pre-registered deficit households. They promote social and economic integration. Vouchers are appropriate in both urban and rural contexts but, as with cash, the impact on local prices needs to be monitored. Where markets are fragmented and a sudden increase in demand will not be met with a sudden increase in supply (e.g. due to poor road infrastructure) such systems can have a dramatic impact on the purchasing capacity of the host population. If the host poor are net producers, vouchers provide a win-win solution. If the host poor are landless labourers, or net consumers, the use of vouchers can promote food insecurity among host communities, as price rises will hit them directly. (UNHCR has used vouchers in urban settings but not camps or rural settings).

Vouchers can be utilised for seed, livestock, poultry, food, vegetables, tools, veterinary assistance, labour and other services such as ploughing or clearing farm land for new arrivals. Vouchers can also be exchanged to purchase commodities from certified traders either at distribution outlets, markets or special relief shops. The traders then reclaim the vouchers at a bank or directly from the implementing agency in order to obtain the equivalent cash value.

Field experience: Using vouchers in Eritrea

In Eritrea, UNHCR is intending to facilitate land clearance and ploughing for labour-deficit returnee households using host community camel ploughs - working with the Ministry of Agriculture, the local administration and village administration committees. The steps include:

1. Distribution of vouchers to returnee households.
2. Collaboration with village administration committees to mobilise ploughing and labour (labour from both host and returnee households).
3. Transfer of vouchers from returnees to whoever ploughs their land once the work is completed
4. Reimbursement of the agreed amount to the labourer or plough-person at the ministry of agriculture or local administration office. (If the returnee clears the land herself she can claim the 2000 shillings).

The advantages: the village administration committees know the location of the returnees; the ministry team knows which land has been allocated (and where it is); and the local administration will liaise with all three institutions. The institutional relations are already in place as they have previously conducted similar activities though they paid cash rather than coupons. Monitoring will be conducted by village administrations and the ministry.



Thinking ahead.

Annex 1.15

REMITTANCES AND IN-KIND LOANS

This annex describes alternatives to providing cash grants and credit, and why these systems are beneficial in many situations. It also looks at how remittances, non-cash grants and savings-in-kind schemes compliment business development.

A. Non-cash grants for initial start-up business

Grants are only recommended in situations where the refugee/returnee target group is very small or spread out such that the implementation of a credit programme and, particularly, the management of the programme become too costly. They may also be more appropriate in the setting up of new businesses rather than providing to support existing businesses. This might help to kick start a business and allow the owner to access microfinance in the future.

Granting in-kind typically includes production items to enable refugees/returnees set up their business - providing tools, vegetable seeds, livestock, fruit tree seedlings, trade tools and agricultural tools. It may also provide support services (transportation, marketing, maintenance) not yet available locally, as a new refugee business community is being set up. In time the new business community will be able to take over with its own arrangements and businesses to secure supplies and services needed to function effectively.

A

Grants in-kind can be used in conjunction with credit programmes or as a first step, and evolve, as soon as possible, to a credit programme. Grant programmes can be developed relatively easily and implemented on a wide scale, particularly when focusing on agricultural inputs.

A

See Module 8, part 2.1 (pages 109 to 111) of the *Introduction to microfinance in conflict-affected communities* (2003).¹⁶

¹⁶ See Annex 1.1: References.

B. Savings in-kind

Livestock can represent a growing asset, particularly those that require minimal inputs and management e.g. sheep and goats, free-range poultry and simple fish farms, but reproduce regularly. A small flock of animals can represent a significant value - a ready source of income to be cashed-in in small numbers as needed. They are particularly valuable among groups where members receiving an animal can repay with offspring which others in-turn will acquire.

C. In-kind loans

This is a similar pattern to grants in-kind, but with a repayment mechanism. Typically this will be used in the provision of tools e.g. in construction work. Tools are used for a specified number of days on a loan basis - returning them daily until they are paid off. Only then are they able to retain them as possessions and take them home. The client repays the loan in advance through the provision of labour. This is useful for businesses that will generate immediate profits.

D. Remittances¹⁷

Remittances are a key source of global development finance. Global remittance flows were estimated to be \$90 billion in 2003. Remittances enable the start-up of businesses - leading to different outcomes between population groups who can access remittances and those who cannot.

Field experience: Remittances in Somalia

In 2003, the estimated value of remittances to Somalia was US\$ 700 million. For many it was a survival mechanism, and for some it was an investment tool as well. By comparison, the 2003 CAP for the UNCT was about US\$ 70 million - and only US\$ 35 million was actually funded.

Remittances are an important factor in development growth and constitute the largest source of financial flows in developing countries after Foreign Direct Investment (FDI). Remittances actually exceed FDI flows in many countries. Unlike other capital flows to developing countries, remittances show remarkable stability over time. They do not create liabilities and, by their very nature, are typically targeted to the poorest section of the

¹⁷ See *International Conferences on Migrant Remittances: Development Impact, Opportunities for the Financial Sector and Future Prospects* (2003) in Annex 1.1: References.

society. Remittances flow most strongly in times of crisis. Recognizing the strong positive correlation between remittances and poverty reduction, many governments have encouraged this trend through pro-active legislative and regulatory policies.

Field experiences: Sewing the seeds of success in The Gambia

Fleeing Sierra Leone during the war in 1999, a 29-year-old refugee arrived in The Gambia with his wife and six year old son. Eager to become self-sufficient, he acquired a small amount of capital in the form of remittances from relatives living in the United States. Previously skilled as a tailor in Sierra Leone, he established a small tailoring business that would take advantage of these skills. In the beginning he rented only one sewing machine, which cost 600 dalasi (about US\$20) per month. Within three years his business had prospered - employing five people and owning six machines. He was not only meeting the basic needs of his family, but was also able to send small remittances to close family members still in Sierra Leone.

Carrie Conway,

Evaluation and Policy Analysis Unit, UNHCR (Geneva) taken from *Refugee livelihoods: a case study of The Gambia (Nov 2004)*.

Remittances impact on social and economic development in a number of ways. They can increase household incomes and help reduce poverty - improving consumption patterns, food security, education and housing, and enable increased investment. At the national level, remittances assist governments with balance-of-payments, improve national credit ratings and reduce the cost of external borrowing.

In order to maximize the development impact of remittances, it is necessary to lobby for improved access to the formal financial sector through mechanisms such as improved information sharing, efforts to overcome barriers to formal institutions, and strengthening of financial infrastructures and outreach to refugee communities. Training in investment of remittances will enable more effective use of remittances and promote self-reliance in the long run. Utilise successful refugee entrepreneurs for training programmes.

Support initiatives to strengthen the impact/potential of remittances:

- Encourage governments to review existing policies affecting remittances with a view to adjusting them in line with prevailing best practice approaches.
- Disseminate information on remittances, assist refugees/returnees to open bank accounts in destination countries, and encourage the provision of low-cost remittance services as possible.
- Encourage governments to enable financial institutions to become more accessible to refugees/returnees. Encourage governments to enable financial institutions to become more cost effective and efficient in handling remittances.

REFERENCES (ESSENTIAL INFORMATION)

Informal transfer systems offer less expensive and reliable alternatives to formal transfers, although formalized transfers have greater development potential and macro-economic benefits. Remittances, beyond the transfer of funds, constitute a point of entry for refugees/returnees and poor local communities to a variety of banking services and products, including access to savings, credit and insurance options with significant long-term benefits to individuals/families. Regulation is needed in the interest of transparency, but regulatory and supervisory policies should not inhibit transfers by driving up costs and reducing access to financial services and products. Thus, the need to strike a balance between appropriate levels of regulation to minimise financial abuse, and to promote cost efficient and accessible services.



Families give birth to new businesses.

Annex 1.16

RELIEF SUBSTITUTION

This annex describes what relief substitution activities are, and how local production of relief items for distribution to refugees or returnees (as a reintegration package) contributes to self-reliance.

A. Introduction

Relief substitution is the local production of relief items for distribution to refugees. Rather than agencies buying-in and distributing proprietary products, they work with refugees, returnees and local communities who produce and sell products to relief programmes. There are a wide range of possibilities such as soap, sleeping mats, clothes, school bags and uniforms, tents, utensils, mosquito nets, agricultural tools and building bricks. Production is often decentralised and external inputs should be minimised.

B. Relief substitution and self-reliance

Relief substitution can be linked to credit for self-employment as the demand for relief goods and services is high and assured. During the early stages of displacement, production will supply relief agencies; but with increasing self-reliance, sales to agencies will reduce and producers will supply to individual refugees/returnees or local communities. It is vital therefore, that sales prices are competitive. Phasing-out agency purchases and distributions will need planning to avoid unnecessary and costly stockpiling of unwanted goods. The gradual decrease of agency purchases, and increasing sales on the local market, will help making business (and services provided) sustainable.

C. Managing relief substitution activities

Where relief agencies purchase goods, contracts should specify quantity, time for delivery, quality and price. Emphasis should be on identifying and developing new contracts once the original contracts have been agreed in order to avoid delays in production between contracts. It is better to encourage decentralised and individual production to increase its compatibility with family responsibilities (but this increases management challenges, and must be balanced with quality control).

Select relief substitution producers carefully. Young people without dependents (from both refugees/returnees and host communities) may be more productive than those with dependents. Host communities may introduce other benefits to the relief substitution economy via business or marketing contacts which will strengthen market viability and sustainability.

Supplies and finished products must be properly stored, with a stock control system in place. Piece-rates should be adopted for all production work. Payments should be based on strict adherence to quality control. Salaried staff should receive set wages, and bonuses for increased production and sales. Distribution of supplies should be recorded and controlled. The provision of raw materials should be clearly delegated and organised to avoid delays.

D. The down-side

A few things can go wrong - relief substitution may not always run smoothly. Typical difficulties include:

- Lack of materials or equipment locally.
- Coping with the need for speedy delivery of goods.
- Lack of skills to produce the right type and quality of products.
- The limited time-span over which relief goods are needed.
- Lack of a local/alternative market for products.
- Poor future employment prospects for the skills acquired by refugees/returnees and local people.
- The cessation of distributions impacts directly on producer incomes.
- Relief items may be produced and imported from elsewhere more cheaply than refugees can produce locally.
- The need to address quality control - relief programmes may be jeopardised and producers may lose opportunities. National quality control mechanisms need to be followed when existing.

Some of these issues will be addressed by undertaking assessments of locally available resources, the prices of materials and production. Do not accept/pay for poor quality products; this won't do anybody any favours.

Annex 1.17

QUICK IMPACT PROJECTS¹⁸

This annex describes what QIPs are, why they were developed and what they are usually designed to do. Criteria are provided, and the typical QIP project cycle is described.

A. Introduction

Quick Impact Projects (QIPs) were developed for implementation over three to six months. Their purpose is to facilitate the rapid integration of refugees and returnees - small projects to meet priority local needs identified by communities. They are mostly used in their country of origin, but they can also be used in asylum to promote area development - serving refugees and host communities.

B. What they are

QIPs are mostly, though not uniquely, physical infrastructure projects. They may also provide small injections of material, financial or technical assistance (such as support for the functioning of a local authority, or projects with quick cash disbursements through local employment). Secondary benefits may include the creation of employment and commercial opportunities. QIPs should be environmentally sound and sustainable. Environmental considerations should therefore be included in the project design.

QIPs are characterised by:

- Simple, small-scale, low-cost and rapid implementation.
- Implementation in areas of high concentration of people of concern to UNHCR.
- Targeting communities rather than individuals.
- Requiring community participation in identification, design and implementation, and responding to basic priorities identified by the community.
- Belonging to, and benefiting the whole community (including local people, displaced people and refugees/returnees).

¹⁸ Refer to *Quick Impact Projects: A Provisional Guide*. See Annex 1.1: References.

- Encouraging a gender-focused approach.
- Having short-term impact, but also long term benefits (in contributing to local development plans and services).
- Being sustainable, replicable and environmentally sound.
- Promoting area development.
- Contributing to peace building.

They are not necessarily easy to implement, being complicated by pressure to act quickly and in a visible way.

QIPs are intended to bring about rapid changes that enable communities to take advantage of new development opportunities. By benefiting all communities, they can provide a significant contribution to reconciliation and promote the inclusion of groups with special needs in development plans.

Some examples of QIPs include:

- Construction or repair of essential services or infrastructure, which are, were, or will be used by refugees or returnees (such as water and sanitation works, hospitals, clinics and schools). Rehabilitation projects would include the provision of furniture, heating and electricity if this is the local standard and if it can be operated and maintained by the local community.
- Rehabilitation of infrastructure that is essential for repatriation purposes (e.g. rehabilitation of roads or border crossing facilities).
- Rehabilitation of community infrastructure such as sports halls, cultural centres, parks, places of worship or community halls. (Community reconciliation may be benefited by the construction of shared community facilities for social, educational and recreational activities).
- Cash and material support to provide labour-intensive services (rubble removal and street cleaning, for instance).
- Material, financial or technical support and capacity building for authorities (e.g. municipal authorities), local NGOs and associations involved in refugee or returnee welfare. These include strengthening of judicial and legal institutions and frameworks.
- Environmental protection initiatives such as the establishment of tree nurseries for production of cash crop trees intended for homestead and agro-forestry planting, domestic waste management schemes and environmental awareness raising campaigns.



Brickmaking may be fun for some and profitable for others.

C. Criteria for QIPs

Implementation should:

- Address communities where people of concern to UNHCR constitute at least 20% of the total population.
- Have a timeframe of six months or less.
- Require funding not exceeding US\$ 50,000.
- Use the UNHCR standard short-agreement format.
- Be entrusted to qualified partners (rather than direct UNHCR implementation).
- Be managed as a “programme” under specialised implementing partners (provided each QIP is properly designed, implemented, monitored and reported).

While QIPs may prove successful in meeting their immediate objectives, they have generally been less effective in attaining their long-term goals - often as a result of poor planning, inadequate technical specifications and poor budgeting. Issues such as the recurrent cost of running and maintaining a QIP as well as the need for communities to assume ownership of projects are easily overlooked.

D. The QIP project cycle

Use a participatory approach in defining community priority needs. The steps required for effective community participation are:

- Identify main priorities of communities; identify key informants; study the locality and facilities, with reference to expressed priorities.
- Check the technical feasibility of proposals, and the way they will contribute to local development.
- Obtain written agreement on beneficiary participation and contributions in implementation
- Explain the constraints of QIPs assistance to communities and their leaders.
- Promote labor-based approaches for infrastructure development QIPs.

The general areas to be addressed by the community in assessments include:

- The key problems and constraints confronting the community.
- The main reasons for these problems/constraints, and understanding of how to overcome them.
- Details of any community attempt to overcome these problems (and why has there been no result).
- Analysis of how a QIP might address these problems.
- Identification of which other organisations may provide any additional support.
- The skills available and organisations working in the community.
- Assessment of the contribution the community may be able to make towards the project (cash, kind or labour).
- The community's previous involvement in community-based projects.

- Mechanisms by which project outputs will be maintained and operated after completion.
- Capacity within the community.

Project design will build from technical information, and there may be need for further specialist assistance (e.g. for a hydro-geological survey to locate groundwater for boreholes). Consider the following technical aspects:

- Include in the survey team technicians with relevant skills, for analysing constraints and justification of technical interventions.
- Encourage community commitment and develop long-term sustainability.
- Prepare specifications, bills of quantities and costs for proposed systems or structures.
- Assess rehabilitation and construction capacities area-by-area (e.g. contracting companies, local building expertise, availability of materials).
- Standardise designs and specifications with Government and other agencies (as far as possible).
- Ensure compatibility and transfer of responsibility to other agencies.

This Appendix contains background reading related to self-reliance, including further reference material developed by the International Labour Office (ILO). The following materials are not provided in hard copy. They are only provided in CD1: UNHCR Handbook for Self-reliance.

I. BACKGROUND READING

Annex 2.1

Practical Guide to The Systematic Use of Standards & Indicators in UNHCR Operations, Division of Operational Support, UNHCR, Geneva: 2004.

Annex 2.2

Strategy Paper on Self-reliance: Self-reliance for Refugee Hosting Areas in Moyo, Arua and Ajumani Districts 1999-2003, UNHCR Uganda, Kampala: 1999.

Annex 2.3

Framework for Durable Solutions for Refugees and Persons of Concern, Reintegration and Local Settlement Section, Division of Operational Support, UNHCR, Geneva: 2003.

Annex 2.4

UNHCR/WFP Joint Assessment Guidelines - Provisional Version, May 2004.

Annex 2.5

Quick Impact Projects: Provisional Guide (DRAFT), Reintegration and Local Settlement Section, Division of Operational Support, UNHCR, Geneva: 2004.

II. EMPLOYMENT FOR PEACE

ILO Tools to Rebuild Conflict-Affected Communities

Employment for Peace was prepared by the International Labour Office (ILO) as part of a collaborative project with UNHCR. This Appendix is composed of documents that contain information and tools used to rebuild conflict-affected communities. These materials are not provided in hard copy. They are provided on the ILO CD enclosed in this Handbook. If you wish to browse this material, the following table of contents will help you to identify what you want.

Contents

Section I: In this guide

Preface
Acknowledgments
Contents
Table of Contents
Overview
About the CD

Section II: For an employment-conducive environment

Short-guides:

Vocational & Skills Training
Local Economic Development
Emergency Public Employment Services

Library:

Vocational & Skills Training

Manual on training and employment options for ex-combatants (IFP/CRISIS, 1997).

Guidelines for Employment and Skills Training in Conflict-Affected Countries (IFP/CRISIS, 1998).

Local Economic Development

Local economic development in post-crisis situations: operational guide (IFP/CRISIS, LED/COOP - 2003).

Local Economic Development in Post-Conflict situations' (IFP/CRISIS - 2003).

The role of the ILO in implementing Local Economic Development strategies in a globalised world (LED/COOP - 2002).

Applying the comprehensive LED approach - The case of Mozambique (LED/COOP - 2002).

Emergency Public Employment Services

Guidelines for Establishing Emergency Public Employment Services (IFP/CRISIS - 2003).

Contacts:

IFP/CRISIS

IFP/SKILLS

LED/COOP

Other Contacts

Section III: For short-term employment creation

Short-guides:

Cash For Work

Food For Work

Labour-based Infrastructure Reconstruction

Community Contracting

Library:

Cash For Work

Good labour policies and practices in employment intensive programmes - Quick overviews from the guide (EMP/INVEST).

Food For Work

Good labour policies and practices in employment intensive programmes - Quick overviews from the guide (EMP/INVEST).

A guide on: Food as an incentive to support vulnerable households and communities in securing and improving their assets (EMP/INVEST, WFP - 2002).

Labour-based Infrastructure Reconstruction

Employment intensive reconstruction works in countries emerging from armed conflicts (IFP/CRISIS - 1998).

Good labour policies and practices in employment intensive programmes - Quick overviews from the guide (EMP/INVEST).

Capacity-building for contracting in employment intensive infrastructure programmes (EMP/INVEST).

Re-opening Mozambique - Lessons learned from the Feeder Road Programme (EMP/INVEST/ILO, SIDA, UNDP, ANE - 2002).

Of nets and assets: effects and impacts of employment-intensive programmes - a review of ILO experience (EMP/INVEST - 1998).

Community Contracting

Capacity-building for contracting in employment intensive infrastructure programmes (EMP/INVEST).

Organisation and Contracting in Development Programmes and Projects: a study of current practice at the community level. Overview report (EMP/INVEST - 1999).

Community contracts in urban infrastructure works: practical lessons from experience (EMP/INVEST - 2001).

Contacts:

EMP/INVEST

Other Contacts

Section IV: For sustainable livelihoods and business promotion

Short-guides:

Micro and small enterprises promotion

Microfinance

Business Development Service

Start & Improve Your Business

Women Entrepreneurship Development

Library:

Micro and Small Enterprises promotion

Small Enterprises, Big Challenges: A Literature Review on the Impact of the Policy Environment on the Creation and Improvement of Jobs within Small Enterprises - SEED Working, Paper No. 23, (IFP/SEED, 2002).

GET Ahead for Women in Enterprise Training Package and Resource Kit, (IFP/SEED, 2004).

Microfinance

Introduction to microfinance in conflict-affected communities (SFP, 2003).

Business development services

Seminar Reader, Developing Commercial Markets for Business Development Services, BDS PRIMER, Annual BDS Seminar, (IFP/SEED, 2004).

Are W.E. Being Served? The Work of the International Labour Organisation (ILO) in Promoting More and Better BDS for Women Entrepreneurs (IFP/SEED, 2003).

Rapid market appraisal: a manual for entrepreneurs/Rapid market appraisal: a manual for trainers (IFP/SEED, 2000).

Start and improve your own business

Improve Your Business Basic Kit, Practical Management for Small Business (IFP/SEED, 1994).

Rapid market appraisal: a manual for entrepreneurs/Rapid market appraisal: a manual for trainers (IFP/SEED, 2000).

Start Your Business Handbook. International Edition (IFP/SEED, 2002).

Start Your Business Workbook. International Edition (IFP/SEED, 2002).

SIYB Business Plan. International Edition (IFP/SEED, 2002).

GET Ahead for Women in Enterprise Training Package and Resource Kit (IFP/SEED, 2004).

Women entrepreneurship development

Jobs, Gender and Small Enterprises in Africa and Asia: Lessons drawn from Bangladesh, the Philippines, Tunisia and Zimbabwe (IFP/SEED, 2001).

Economic mapping and capacity building for female refugees: Lumbala N'Guimbo administrative centre - Moxico Province, Angola (IFP/SEED, 2004).

Report on Training and Capacity Building of female refugees, carried out by ILO's WEDGE team (SEED), in Association with IFP/CRISIS (IFP/SEED, 2004).

GET Ahead for Women in Enterprise Training Package and Resource Kit, (IFP/SEED, 2004).

Promoting Women's Entrepreneurship Development based on Good Practice Programmes: Some Experiences from the North to the South; (IFP/SEED, 2000).

Contacts:

IFP/SEED

SFP

Other Contacts

GLOSSARY

- Assessment:** (and re-assessment): the set of activities necessary to understand a given situation, entails the collection, up-dating and analysis of data pertaining to the population of concern (needs, capacities, resources, etc.), as well as the state of infrastructure and general socio-economic conditions in a given location/area.
Source: UNHCR Handbook for Repatriation and Reintegration Activities (May, 2004)
- Capacity building:** a process by which individuals, institutions and societies develop abilities, individually and collectively, to perform functions, solve problems and set and achieve their goals.
Source: Guidelines on CCA/UNDAF (October 2003)
- Co-existence:** a bridge from the cessation of hostilities that eventually can lead to reconciliation. Initiatives related to the co-existence approach include peace education, sustainable community development, the socio-economic empowerment of refugees, the reintegration of child soldiers and partnership development.
Source: UNHCR/RLSS brochure for the June 2002 Imagine Co-existence Conference
- Common country assessment (CCA):** the common instrument of the United Nations to analyze the development situation and identify key national development issues with a focus on the Millennium Development Goals and the other commitments, goals and targets of the Millennium Declaration and international conferences, summits, conventions and human rights instruments.
Source: UNHCR Handbook for Repatriation and Reintegration Activities (May, 2004)

Community development:

a process to improve the economic, social and cultural conditions of communities. Community development aims to integrate refugees into their host countries or to reintegrate them upon return to their country of origin and to improve living standards for the whole community.

Source: CDEGEC/DOS/UNHCR

Community development approach:

uses empowerment to enable refugees/returnees to shape their futures from their environment and overcome limitations in service provision. It is applied from the start of an operation and continues throughout, working towards the identification and implementation of durable solutions. The approach involves refugees/returnees from all populations groups (women, men, boys, girls, older persons) and host communities in programme planning, assessments, implementation and monitoring. The use of committees to represent all groups within the community enables everyone a voice and acts as an effective and sustainable targeting mechanism leading to self-reliance.

Source: RLSS/DOS/UNHCR

Consolidated appeals process (CAP):

a programming process through which national, regional and international relief systems are able to mobilize and respond to selective major or complex emergencies that require a system-wide response to humanitarian crisis.

Source: UNHCR Handbook for Repatriation and Reintegration Activities (May, 2004)

Decentralization:

the establishment of institutional and legal frameworks for decision making and the empowerment of sub-national institutions at the provincial, district, city, town and village levels in terms of fiscal, administrative, political and legal processes.

Source: UNHCR Handbook for Repatriation and Reintegration Activities (May, 2004)

Development assistance for refugees (DAR):

a programming approach which aims to promote refugees and host communities in development agendas through additional development assistance to improve burden-sharing with countries hosting a large number of refugees and to promote better quality of life and self-reliance for refugees pending durable solutions and a better quality of life for refugee-hosting communities.

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

Development through local integration (DLI):

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

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

Durable solutions (for refugees):

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

Source: Agenda for Protection at www.unhcr.ch

Emergency relief:

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

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

Empowerment:

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

Source: DfID, Sustainable Livelihoods Guidance Sheets

GLOSSARY AND ABBREVIATIONS

- Evaluation:** as systematic and objective an analysis and assessment of the organization's policies, programmes, practices, partnerships and procedures as possible, focused on planning, design, implementation and impacts.
Source: UNHCR Handbook for Repatriation and Reintegration Activities (May, 2004)
- Humanitarian assistance (relief):** aid that addresses the immediate needs of individuals affected by crises and is provided mainly by non-governmental and international organizations.
Source: EU, Linking Relief, Rehabilitation and Development. (LRRD) COM(1996)153
- Institutions:** a) organizations or agencies that operate within the public and private sector and b) the mechanisms, rules and customs by which people and organizations interact with each other.
Source: DFID, Sustainable Livelihoods Guidance Sheets
- Internally displaced persons:** people who have fled from their homes as a result of armed conflicts, widespread violence, human rights violations or natural disasters, but who have not gone outside the borders of their country.
Source: UNHCR Handbook for Repatriation and Reintegration Activities (May, 2004)
- Labour-based infrastructure projects:** short and medium term infrastructure works that generate employment and income by maximizing the use of available unskilled labour.
Source: RLSS/DOS/UNHCR
- Livelihoods:** a combination of the resources used and the activities undertaken in order to live. Resources include individual skills (human capital), land (natural capital), savings (financial capital), equipment (physical capital), as well as formal support groups and informal networks (social capital).
Source: DFID Sustainable Livelihoods Guidance Sheets

GLOSSARY AND ABBREVIATIONS

- Market distortion:** When any one factor interferes with market competition, leading to fewer choices and higher prices.
Source: ILO - www.ilo.org
- Millennium declaration:** was adopted by the UN General Assembly (A/RES/55/2). It lists values and principles and makes commitments for peace, security and disarmament; development and poverty eradication; protecting our common environment; human rights, democracy and good governance; protecting the vulnerable; meeting special needs of Africa; and strengthening the United Nations.
Source: UN Resolution A/RES/55/2
- Millennium development goals (MDGs):** represent 8 major development goals for reducing poverty and improving lives set by world leaders at the Millennium Summit in September 2000. These targets, which have been set for 2015, include the following: 1) Eradicate extreme poverty and hunger; 2) Improve maternal health; 3) Achieve universal primary education; 4) Combat HIV/AIDS, malaria, and other diseases; 5) Promote gender equality and empower women; 6) Ensure environmental sustainability; 7) Reduce child mortality; 8) Develop a global partnership for development. Find a complete list of the goals, targets and indicators at: http://unstats.un.org/unsd/mi/mi_goals.asp.
Source: www.undg.org
- Microfinance:** is the provision of financial services in a sustainable way to micro-entrepreneurs and other individuals with low incomes, who do not have access to commercial financial services.
Source: RLSS/DOS/UNHCR
- Monitoring:** an ongoing review and control of the implementation of a project to ensure that inputs, work schedules and agreed activities proceed according to plans and budgetary requirements.
Source: UNHCR Handbook for Repatriation and Reintegration Activities (May, 2004)

- Operational partners:** governmental, inter-governmental and non-governmental organizations and UN agencies that work with UNHCR to protect and assist refugees/returnees and to achieve durable solutions.
Source: UNHCR Handbook for Repatriation and Reintegration Activities (May, 2004)
- Participatory rural appraisal:** a growing family of approaches, methods and behaviours to enable people to share, enhance and analyze their knowledge of life and conditions and to plan, act, monitor and evaluate.
Source: Robert Chambers. Relaxed and Participatory Appraisal Notes on Practical Approaches and Methods. Notes For Participants In PRA Familiarisation Workshops In The Second Half of 1999 Institute of Development Studies/University of Sussex (1999)
- Peacebuilding:** efforts aimed at preventing the outbreak, recurrence or continuation of armed conflict and therefore encompassing a wide range of political, developmental, humanitarian and human rights programmes and mechanisms.
Source: UNHCR Handbook for Repatriation and Reintegration Activities (May, 2004)
- Poverty reduction strategy paper:** a country's macro-economic, structural and social policies and programmes to promote growth and reduce poverty.
Source: UNHCR Handbook for Repatriation and Reintegration Activities (May, 2004)
- Quick impact projects:** small, rapidly implemented projects intended to help create conditions for durable solutions through rapid interventions. They can, for example, provide for small-scale initial rehabilitation and enable communities to take advantage of development opportunities.
Source: UNHCR Handbook for Repatriation and Reintegration Activities (May, 2004)

- Reconstruction:** developmental interventions which not only seek to build, repair damage or return to the status quo ante, but also address medium- and long-term needs and the need for improvement in policies, programmes, systems and capacities to avert the recurrence of crisis and to reach higher levels of employment and standards of living.
Source: ILO, Generic Crisis Response Modules (2001)
- Rehabilitation:** actions which enable the affected population to resume more or less “normal” patterns of life. These actions constitute a transitional phase and can [occur] simultaneously with relief activities, as well as further recovery and reconstruction activities.
Source: ILO, Generic Crisis Response Modules (2001)
- Reintegration:** a process which enables former refugees and displaced people to enjoy a progressively greater degree of physical, social, legal and material security.
Source: UNHCR, The State of the World’s Refugees (1997)
- Returnees:** refugees who have returned to their country or community of origin.
Source: UNHCR Handbook for Repatriation and Reintegration Activities (May, 2004)
- Self-reliance:** is the social and economic ability of an individual, a household or a community to meet essential needs (including food, water, shelter, personal safety, health and education) in a sustainable manner and with dignity – developing and strengthening livelihoods of persons of concern and reducing their vulnerability and long-term reliance on humanitarian assistance.
Source: RLSS/DOS/UNHCR

Sustainability: the ability of a person/community/country to cope with and recover from the stress and shocks of conflict while maintaining (not undermining) the natural, social, economic or institutional resources which form the basis of her/his/its existence.

Source: UNHCR Handbook for Repatriation and Reintegration Activities (May, 2004)

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

Source: UNHCR Handbook for Repatriation and Reintegration Activities (May, 2004)

ABBREVIATIONS

4Rs	Repatriation, Reintegration, Rehabilitation and Reconstruction
ARC	Action on the Rights of the Child
ASCA	Accumulated Savings and Credit Associations
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BDS	Business Development Services
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CAP	Consolidated Appeals Process
CBO	Community Based Organisation
CCA	Common Country Assessment
CDC	Community Development Committee
CDC	Community Development Council
CDEGEC	Community Development, Education, Gender Equality, and Children Section (UNHCR)
CFW	Cash-for-Work
CGAP	Consultative Group for Assisting the Poor
COP	Country Operational Plan
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DAR	Development Assistance for Refugees
DfID	UK Department for International Development
DLI	Development Through Local Integration
DOS	Division of Operational Support (UNHCR)
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EPAU	Evaluation and Policy Analysis Unit (UNHCR)
EPES	Emergency Public Employment Services
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FAO	Food and Agriculture Organisation
FFW	Food-For-Work
FMIS	Financial and Management Information System
<hr/>	
GYBI	Generating Your Own Business Idea
GAM	Gender and Age Mainstreaming
GIS	Geographical Information Systems
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HH	Household
HQ	Headquarters
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ICRC	International Committee of the Red Cross
IDP	Internally Displaced Person
IGA	Income Generating Activity
ILAC	Information and Legal Aid Center
ILO	International Labour Organization

GLOSSARY AND ABBREVIATIONS

LBIP	Labour-Based Infrastructure Projects
LBT	Labour-Based Technology
LED	Local Economic Development
LEDA	Local Economic Development Agencies
MAPA	Mine Action Programme for Afghanistan
MDG	Millennium Development Goals
MOU	Memorandum of Understanding
MSE	Micro and Small Enterprises
NGO	Non-Governmental Organisation
NSP	National Solidarity Programme (Afghanistan)
PRA	Participatory Rural Appraisal
PRSP	Poverty Reduction Strategy Paper
QIP	Quick Impact Projects
RLSS	Reintegration and Local Settlement Section (UNHCR)
RoSCA	Rotating Savings and Credit Associations
SEED	Employment through Small Enterprise Development (ILO)
SGBV	Sexual and Gender-Based Violence
SIYB	Start and Improve Your Business (ILO)
SWOT	Strengths, Weaknesses, Opportunities, Threats
TOR	Terms of Reference
TQC	Time Quality Cost
UNAIDS	Joint United Nations Programme on HIV/AIDS
UNCT	United Nations Country Team
UNDAF	United Nations Assistance Framework
UNDG	United Nations Development Group
UNDP	United Nations Development Programme
UNHCR	United Nations High Commissioner for Refugees
UNICEF	United Nations Children's Fund
UXO	Un-exploded Ordnance
WFP	World Food Programme