



REFUGEE AND HOST POPULATION EMPOWERMENT
**REHOPE STRATEGIC
FRAMEWORK**

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Executive Summary

Refugee and Host Population Empowerment (ReHoPE) is a transformative strategy and approach to bring together a wide range of partners in a harmonized and cohesive manner to overcome fragmented programming. It is a response to specific challenges faced in developing durable solutions for both refugee and host communities.

Challenges

- The presence of refugees can dramatically affect host communities. However, host community needs are not systematically addressed when programming for refugee needs, which can lead to resentment and conflict.
- Refugees who are vulnerable or exceed the 5 year support limit do not have the development support needed to become resilient.
- Host communities and broader government bodies have limited involvement in displacement issues at all levels (local, district, and federal).
- There are two parallel systems for coordination and implementation to address the needs of refugees and host communities. This highlights a split between humanitarian and development response:
 - Traditional humanitarian responses to refugees are not geared towards sustainability.
 - Funding is short term which limits longer term planning and interventions.
 - There are separate coordination mechanisms that cause unnecessary duplication and reduce synergies.
- The current way of working is fragmented, inefficient and duplicates efforts:
 - Project based approaches prevail with a confusing range of different approaches. This places an extra burden on communities and the GoU to deal with multiple implementation partners.
 - Fragmentation undermines opportunities for greater efficiency and value for money.
 - Lessons are not effectively captured and shared; lessons do not inform improvements to the overall system.
 - Efforts to strengthen the governments' ability to deliver services are limited, hard to sustain, and often displaced by humanitarian action.
 - The current humanitarian model is not financially sustainable.

ReHoPE Response to the Challenges

The ReHoPE response is outlined in this strategic framework which will be translated into a multi-partner programme design. The core elements required to meet these challenges include:

- Design interventions that are multi-annual and multi-sectoral to support both host communities and refugees; and deliver these together under government leadership. Ensure local government and communities are key partners in ReHoPE. Operate at three levels:

- At household level:
 - Target the most vulnerable in refugee hosting districts.
 - Ensure they have access to the support needed to become resilient following a graduation approach:
 - Ensure access to consumption support, access to financial literacy through VSLAs, and access to social and productive services.
- At community level:
 - Empower communities to plan, implement and account for activities that enable both HH and community resilience.
 - Use CDD approach with activities focused on environmental infrastructure and those that support household livelihoods (e.g. market infrastructure).
- At the systems level:
 - Help integrate community level participation into government systems (planning, implementation and accountability).
 - Progressively enhance the social service delivery system and capacity while integrating services with local government systems.
 - Support local government capacity to better coordinate, plan, implement, monitor and adjust the system according to experience.

ReHoPE is guided by nine core principles:

- Government in the lead
- Harmonized area-based approach
- Community engagement and empowerment
- Build on existing programmatic blocks
- Leverage comparative advantage
- Harmonized program tools
- Build on and strengthen existing coordination structures
- Equity, gender responsiveness, and women's empowerment
- Fill the evidence gap

Implications

- ReHoPE requires fundamentally changing the way we operate because the current model is not sustainable:
 - Harmonized approaches supported by a Secretariat. Progressively phase in:
 - One results framework
 - One situation and problem analysis in a shared analytical framework
 - One joint area-based plan under the District planning process
 - Joint targeting that contributes to a single registry
 - Joint M&E including reporting
 - Joint systems strengthening approach
 - Moving from short term single agency response to multi-year and multi-sectoral approaches.
 - Seamless coordination that spans both humanitarian and development:

- Support the roll out of the DRDIP/STA institutional arrangements.
- Establish a development partner coordination body supported by a secretariat to provide unified support to GoU through one channel (to reduce GoU transaction costs).

Benefits of the ReHoPE approach

- Greater impact by combining efforts
- Better value for money and increased overall efficiency
- Reduced transaction costs on GoU, communities, and households
- More uniform support and capacity building to GoU and communities
- Access to multi-year funding with a seat at the development table for the refugee sector
- Greater improvement in effectiveness of the overall system

Acronyms

AGDM	Age, Gender and Diversity Mainstreaming
BTVET	Business, Technical and Vocational Education and Training
CBOs	Community-based organizations
CGAP	Consultative Group to Assist the Poor
DLGs	District Local Governments
DRC	Democratic Republic of Congo
DRDIP	Development Response To Displacement Impacts Project In The Horn Of Africa
FAO	Food and Agriculture Organization
GoU	Government of Uganda
IDPs	Internally Displaced Persons
IOM	International Organisation for Migration
LIPW	Labour-Intensive Public Works
LDPG	Local Development Partners Group
MDA	Ministry, Department or Agency
MGLSD	Ministry of Gender, Labour and Social Development
NDP	National Development Plan II
NUSAF	Northern Uganda Social Action Fund
OPM	Office of the Prime Minister - Refugee Department
PRDP	Peace, Recovery and Development Plan for Northern Uganda
ReHoPE	Refugee and Host Population Empowerment Strategic Framework
SACCO	Savings and Credit Cooperative Organisation
STA	Settlement Transformation Agenda
UNAIDS	Joint United Nations Program on HIV/AIDS
UNCT	United Nations Country Team in Uganda
UNDAF	United Nations Development Assistance Framework
UNDP	United Nations Development Programme
UNFPA	United Nations Population Fund
UNHCR	United Nations High Commissioner for Refugees
UNHS	Uganda National Household Survey
UNICEF	United Nations Children's Fund
UNRCO	United Nations Resident Coordinator's Office
UN WOMEN	United Nations Entity for Gender Equality and the Empowerment of Women
WFP	World Food Programme
WHO	World Health Organisation
WHO	World Health Organisation

1. Introduction

1. Refugee and Host Population Empowerment (ReHoPE) is a transformative strategy and approach to bring together a wide range of partners in a harmonized and cohesive manner to overcome fragmented programming. **It is a strategic framework to drive a pragmatic programming design for the self-reliance¹ and resilience² of refugee³ and host communities in Uganda.** Through a multi-year and multi-sectoral partnership, the Government of Uganda (GoU), the World Bank, and UN agencies, supported by their development partners,⁴ will embark on new development programming in refugee-impacted districts. ReHoPE will work with local institutions to help enable refugee and host communities to meet their immediate needs and manage future shocks using a more integrated developmental approach.

2. **The development of ReHoPE has been collaborative and participatory.** ReHoPE builds on Uganda's progressive protection laws and has been marked by an extensive process of engagement in policy and technical level dialogue⁵. At the heart of this collaborative approach is strong Government leadership; ReHoPE aims to support the GoU to deliver effective services to both refugee and host communities. This strategy will form the basis for the next step in the process - an in-depth programme design process.

2. Strategic Context

2.1. Global Context

3. **Global forced displacement is arguably the defining humanitarian/development challenge of this generation, having reached unprecedented levels in 2016.** By the end of 2015, 65.3 million individuals were forcibly displaced worldwide as a result of persecution, conflict, generalised violence, or human rights violations. This is 5.8 million more than the previous year. On average 24 people worldwide were displaced from their homes every minute of every day during 2015 – some 34,000 people per day. If they were a country, the forcibly displaced would be the 21st largest in the world.⁶

4. **Countries in developing regions hosted 13.9 million of the world's total refugee population in 2015, compared with the 2.2 million hosted by countries in developed regions.** In particular, the Least Developed Countries – those least able to meet the development needs of their own citizens, let alone

¹ "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." Definition from the [UNHCR Handbook on Self-Reliance](#), Geneva, 2006

² "Resilience is defined as a capacity that ensures stressors and shocks do not have long-lasting adverse development consequences." ReHoPE proposes to use this definition relating to Food Security, as recommended by [FAO](#) and tested in Karamoja. A specific Ugandan approach to system and community resilience is being developed as part of the UNDAF process. There is general agreement that it should be people-focused, and reflect the distinct capacities and coping mechanisms of women, girls, boys and men

³ Throughout this document the term "refugee" includes both refugees and asylum seekers

⁴ These are development and humanitarian donors, the multilateral development banks, and independently-funded organisations including CSOs, private foundations and international NGOs

⁵ See Annex 1

⁶ UNHCR, Global Trends: Forced Displacement in 2015

the humanitarian needs often associated with refugee crises – provided asylum to over 4 million refugees.⁷

5. **The average duration for refugees in protracted situations is now 26 years.**⁸ Displacement thus speaks directly to key global initiatives pushing for greater coherence between humanitarian and development approaches – and for sustainability. It has gained international prominence and is now an urgent global priority. In 2016, refugees and displacement took a central position in discussions on addressing the humanitarian-development nexus:

- The Secretary General has made the integration of humanitarian and development responses a priority focus area
- The World Humanitarian Summit and the Grand Bargain⁹ push the concepts further by engaging actors and donors across the spectrum to enhance flexibility and transparency of actions
- Aid effectiveness approaches from Paris to Busan point to the processes needed to implement greater integration
- It is the goal of the international community to develop a Global Refugee Compact by 2018, the first step of which will be adopted in 2016 at the 19th September General Assembly by means of the Comprehensive Refugee Response Framework which seeks to integrate a humanitarian and development approach under the leadership of UNHCR.

6. **The Sustainable Development Goals (SDGs) provide an important framework for greater coherence of approaches.** The 2030 Agenda for sustainable development and its principles of leaving no one behind was negotiated under Uganda’s leadership through its presidency of the UN General Assembly. In line with the 2030 Agenda principle of not leaving anyone behind, the National Development Plan (NDP II 2015/16 -2019/20) already uniquely integrates refugees into national development planning through the Settlement Transformation Agenda (STA). Furthermore, in support of this, ReHoPE reflects Goal 16 which “promote[s] peaceful and inclusive societies for sustainable development”.

7. **The Global Solutions Alliance is a new initiative that was established in 2014, out of recognition that indefinite humanitarian responses to displacement are no longer adequate.** It brings together host and donor governments, UN agencies, multilateral financial institutions, civil society institutions, national and international NGOs, the private sector, and academia. It is helping to shape the global policy agenda, including the post-2015 development agenda and the New Deal process. It works with governments in affected countries to include displacement issues as a cross-cutting theme in national and local development plans. It was established to:

- Find lasting solutions to protracted displacement
- Rethink how displacement is managed in order to prevent new protracted situations from developing
- Promote and enable increased resilience, self-reliance and development

⁷ IBID

⁸ IBID

⁹ The Grand Bargain is the name for a package of reforms to humanitarian funding, launched at the World Humanitarian Summit. Thirty representatives of donors and aid agencies produced 51 “commitments” to make emergency aid finance more efficient and effective. The core principles call for: greater transparency, more support and funding to local responders, increase use of cash, reduce duplication and management costs with functional reviews, improve joint and impartial needs assessments, include people receiving aid in making decisions, increase collaborative multi-year planning and funding, reduce earmarking of donor contributions, harmonize and simplify reporting requirements, and enhance engagement between humanitarian and development actors.

- Mobilise a broader range of stakeholders to work together for the benefit of displaced persons and host communities.

8. **Uganda is set to launch a National Solutions Alliance.** It will adopt the global structure of partnerships to find and model innovative solutions to displacement. This will be centered on the implementation of the Government's Settlement Transformative Agenda and ReHoPE, so as to inform other countries and partners of best practices in finding solutions to displacement.

9. **The Comprehensive Refugee Response Framework outlines the new international approach to refugees.** On September 19, 2016, the UN General Assembly adopted the New York Declaration on Refugees and Migrants, a set of commitments to enhance the protection of refugees and migrants. Rather than responding to refugee displacement through a purely, and often underfunded, humanitarian lens, the Declaration is a commitment to a more systematic and sustainable response that benefits both refugees and their hosts. The Comprehensive Refugee Response (CRR) Framework is designed to ensure: rapid and well-supported reception and admission measures; support for immediate and ongoing needs (e.g. protection, health, and education); assistance to national/local institutions and communities receiving refugees; and expanded opportunities for durable solutions.¹⁰

2.2. Regional Context

10. **There is broad policy support for finding solutions to protracted refugee situations in the region.** By the end of 2015, Africa was host to almost one third of global refugees with the Horn of Africa accounting for approximately 9.5 million displaced persons. Of these, almost three million were refugees. In line with the Common Africa Position action plan to "address root causes and durable solutions", Uganda has demonstrated its commitment to uphold its leadership role in promoting and supporting regional capacity for peaceful resolutions in the region, including leadership in mediation of conflicts. Because Uganda is host to refugees from several neighbouring regions, ReHoPE is situated within three regional peace and security frameworks: [Framework of Hope: Peace, Security and Cooperation Framework for the Democratic Republic of Congo and the Region](#), the [High Commissioner's Global Initiative for Somali Refugees](#), and the [Comprehensive Strategy for the Rwandan Refugee Situation](#). There is no such regional framework in place yet for the South Sudanese refugees. However, given the ongoing conflicts within South Sudan and the DRC, the prospects for widespread voluntary repatriation to either country are considered slim in the medium term, and it is expected that most of the refugees currently in Uganda are at risk of becoming protracted.

11. **In recent years, new actors have begun to engage on displacement, starting the process of tackling displacement through a development response.** The World Bank in particular, established the Global Program on Forced Displacement in 2009, to enhance the global development response to

¹⁰ A CRR is broader than a typical refugee response in the following ways:

- It engages a wide array of stakeholders, including: (i) national and local authorities; (ii) international and regional organisations and financial institutions; (iii) civil society partners (including faith-based, academia, media, and private sector); and (iv) refugees.
- It is inclusive of, but not limited to, a UN refugee operational plan and funding appeal. The Comprehensive Refugee Response (CRR) Framework includes both humanitarian responses and development actions early on to strengthen the overall response.
- It supports local service provision in areas hosting refugees and links national and local humanitarian and development strategies.
- It invests in resilience of refugees and local communities to address poverty and lessen aid dependence.
- It embraces private sector engagement, diverse forms of investment and innovative humanitarian delivery.
- Initiates long-term planning for solutions, setting out specific responsibilities of countries of origin, host countries, and third countries and international support required.

forced displacement through economically and socially sustainable solutions. The World Bank has now also joined the Governing Board of the Global Solutions Alliance.

12. **The World Bank’s approach recognises that there are both positive and negative development impacts as a result on forced displacement.** There is recognition that in most protracted displacement situation there is complex relationship between the refugee and host communities. These affect human and social capital, economic growth, poverty reduction, and environmental sustainability. If the displaced are able to develop skills and coping mechanisms in situ, they can contribute to economic growth. Therefore, both in protracted displacement and when solutions emerge, development responses become critical to address the needs of the displaced and their host or return communities. The World Bank supports development response to situations of crisis, protracted displacement, and return, through five core lines of activity: operational support, partnerships, analytical work, technical assistance, and knowledge dissemination.

2.3. Country Context

13. **Uganda has a long history of providing asylum and has hosted an average of 168,000 refugees per year since 1961.** Uganda is a signatory to the 1951 Convention Relating to the Status of Refugees and its 1967 Protocol, and the 1969 OAU Convention Governing the Specific Aspects of Refugee Problems In Africa. Today, the country is host to more than half a million refugees and asylum-seekers, making it the third largest refugee-hosting country in Africa and eighth largest refugee-hosting country in the world. When measured against GDP per capita, Uganda has the third largest refugee population in the world relative to its economic wealth. As of September 2016, the influx of refugees fleeing conflict in South Sudan has increased dramatically. With this dramatic increase, the need for sustainable solutions has gained a new urgency.

(insert graphic)

14. **A significant majority of refugees and asylum-seekers currently in Uganda, over 60%, have arrived in the last three years.** The main countries of origin are South Sudan, the Democratic Republic of Congo, Somalia and Burundi. Congolese, Burundian and South Sudanese refugees receive prima facie refugee status, while other nationalities go through individual refugee status determination. As of September 2016, Uganda is host to over 631,000 refugees and the numbers keep growing every day. So far in 2016, as of September, Uganda has received over 180,000 refugees – with over 119,000 arriving from South Sudan alone since the beginning of July. The South Sudan influx is just one example of a continuous movement of refugees into Uganda.¹¹

15. **Uganda’s refugee policy environment is amongst the most progressive in the world.** Rather than being hosted in camps, refugees are settled in villages, located within refugee-hosting districts. The majority of refugees in Uganda, more than 80%, are hosted in settlements within these refugee hosting districts. The land for these settlement areas has mostly been gazetted by the Government for hosting refugees. Where land has not been gazetted, the Government negotiates for land with leaders from the host community. In some areas, refugees make up more than a third of the total population. The settlement approach allows refugees the possibility to live with greater dignity, independence and normality within their hosting community. The refugee-hosting village clusters are administered by the Government, who registers and provides documentation to the population, allocates land for shelter and subsistence farming/agriculture, and ensures area security.

¹¹ insert reference

16. **Uganda has enshrined refugees’ rights within the 2006 Refugee Act and the 2010 Refugee Regulations, which are widely regarded as a model for Africa and beyond.** The Act, formally launched in 2009, reflects the international standards of refugee protection provided in international legal instruments. It recognizes the rights of refugees to work, establish businesses, move around freely within the country and live in refugee settlements rather than camps. It also outlines how a refugee situation can cease once durable solutions have been found. The Act promotes refugees’ self-reliance and clearly favours a development based approach to refugee assistance. In the 2010 Refugee Regulations, the Government of Uganda lays the foundations for refugees to become self-reliant however, the Uganda Constitution (in its current interpretation) does not allow for refugees to become naturalized.

17. **Refugee management and protection is mainstreamed in the National Development Plan.** In line with the 2030 Agenda principle of not leaving anyone behind, Uganda’s firm commitment to peace and security in the region, and in recognition of the protracted nature of displacement, the Government of Uganda took a bold decision to integrate refugee management and protection within its own domestic mid-term planning through the National Development Plan (NDP) II (2015/2016 – 2019/2020). The settlement approach, combined with these laws and freedoms, provide refugees with some of the best prospects for dignity, normality and self-reliance found anywhere in the world, and creates a conducive environment for pursuing development-oriented planning for refugees and host communities to become integrated with the humanitarian response.

18. **Through the NDP II, the Office of the Prime Minister is mandated to “develop and implement a Refugee Settlement Transformative Agenda” to assist refugee and host communities by promoting socio-economic development in refugee-hosting areas.** This is the first time in Uganda that refugees have been included in development planning (also through the UN Development Assistance Framework 2016-2020 which supports the NDP II), and thereby provides the basis for intervening at the district level to serve the entire population, both nationals and refugees. It also recognizes that refugee hosting areas are in need of special attention due to the added demands of hosting displaced populations. Thus, an overall focus on host communities and not just refugees is paramount.

- The GoU is borrowing US \$50 million from the World Bank to finance the STA initiative. The loan is under the World Bank’s Development Response to Displacement Impacts Project in the Horn of Africa (DRDIP). This is a US\$175 million lending operation that aims to improve access to social services, expand economic opportunities, and enhance environmental management for host and forcibly displaced households in the targeted areas of Djibouti, Ethiopia and Uganda. The DRDIP is fully aligned with the World Bank’s Country Partnership Framework (FY16-FY21) for Uganda.

19. **The UN is committed at the highest level to addressing displacement issues through a coordinated approach for all constituent UN agencies.** The Secretary General is leading the initiative to adopt the Comprehensive Refugee Response Framework. The goal is to develop a global compact on refugees by 2018, which sees an integrated and holistic response to displacement, led by UNHCR.

“Securing durable solutions for internally displaced persons and refugees is a joint responsibility and one that needs to be undertaken progressively... We have learned many lessons in the field. Now we must use what we have learned to bring together more actors to achieve common commitments”
UN Secretary General, Oct 2014

20. **In Uganda, there is a clear UN Country Team (UNCT) commitment to “Deliver as One”, with all UN agencies actively engaging through the UNDAF.** The

UNDAF explicitly includes refugees and their impact upon refugee-hosting districts. While aspects of support for the self-reliance and resilience of refugees are present in several UNDAF outcome and output areas, by UNCT agreement the primary reference point for ReHoPE lies under UNDAF Strategic Intent 1 on Governance, through which ReHoPE is a stated activity to be undertaken under the Outcome 1.4 on Peace, Security and Resilience.

3. Challenges

21. **The benefits of economic growth are not evenly distributed.** Uganda has experienced robust GDP growth, averaging 6 percent from 2005 to 2014, but poverty reduction, while substantial, has not kept pace. Uganda has a record of prudent macroeconomic management and structural reform that has helped the country overcome exogenous shocks. However, due to high population growth, real GDP growth per capita averaged only about 3.5 percent over the 2005–14 period. The poverty rate fell from 56.4 percent in 1992 to 19.7 percent in 2014, but there is substantial and growing urban–rural and regional inequality.¹² Uganda will need to address several challenges in order to enable structural transformation of the economy, strengthen competitiveness, and sustain high growth. Lack of integration with northern Uganda further creates challenges of social cohesion. Infrastructure gaps and bottlenecks need to be addressed to promote greater physical and digital connectivity both within the country, the wider region, and the global markets. Agricultural productivity and value addition need to be strengthened to improve the livelihoods of the average citizen.

22. **Refugee-impacted areas are more vulnerable to shocks and need a focus on resilience.** Within refugee hosting districts, refugees and nationals face similar development and basic service delivery challenges. However, refugee-impacted sub-counties are more vulnerable to shocks than non-

FAO/UNICEF/WFP define resilience as “a capacity that ensures stressors and shocks do not have long-lasting adverse development consequences.” This approach is recommended for ReHoPE because it has a capacity focus, it is multidimensional, it is shock and context specific, it is linked to an outcome of interest (e.g., food security) – observed over time in the face of shocks, it has instrumental value, and finally, it is already tested in Uganda in Karamoja.

impacted areas. This is due to refugees’ underlying poverty in relation to nationals, the demands on already-stressed resources, and refugees’ limited resilience. The lack of resilience is mainly because their community organization/social capital is not as robust, their livelihoods are less diverse, and they have less assets or capital to carry them through difficult periods. For both refugees and host communities, a focus on community resilience can help them better weather the impact of conflict (e.g. new influx, community tensions), economic shocks (e.g. market price volatility, food ration reductions) and environmental stress (e.g. drought, climate change).

23. **Host community needs are not systematically addressed when programming for refugee needs.** Historically, displacement and development have been dealt with in parallel, rather than holistically. They fall under different mandates and operational approaches. Host communities are often neglected in district plans as they are expected to be taken care of by UNHCR and partners and often fall between the cracks. However, refugee situations cannot be seen in isolation. Firstly, the impact on the host community must be addressed, and secondly, it should be recognised that addressing the needs of the host communities will enhance and protect the asylum space. There is a tremendous political and socio-

¹² Insert reference

economic pressure on the host country, which threatens asylum space if host community and broader needs are not met.

24. **Refugee hosting communities are often worse off than the national average.** Most host communities are remote and already vulnerable with limited access to resources. For instance, the Uganda CPF shows the disparity between northern Uganda and the rest of the country. There is a tendency to leave these vulnerable areas to humanitarian actors who are limited in terms of funding, and short planning and implementation cycles to apply development interventions. In such circumstances, the impact of an increased human population affects the quality and availability of services, access to and quantum of natural resources, and can lead to a breakdown in social cohesion.

25. **Uganda has taken steps to address this, but more needs to be done.** The vulnerability criteria in the National Development Plan II recognises refugee-hosting districts, making them a priority for development interventions. Within refugee interventions, as a guiding principle 30% of the humanitarian response for refugees supports the needs of the host communities, and services are shared and not developed as parallel structures. However, the implementation is at best patchy. The development of the Settlement Transformation Agenda, annexed to the NDP II, is a concerted move to specifically recognise and address the needs of those most affected by displacement in Uganda and systematically integrate displacement into the development programming.

26. **Host communities and broader government bodies have limited involvement in displacement issues at all levels (local, district, and federal).** Refugee management and protection in Uganda is centralised through the Department of Refugees in the Office of the Prime Minister, whilst Uganda otherwise employs a decentralised political structure. While this function will remain centralized, service delivery and livelihoods support needs to be better coordinated at the district level.

Refugee structures are put in place to replicate Ugandan structures. Refugee Welfare Committees are established as parallel to the Local Council structures, through which refugee leaders are elected. This is to ensure that refugees can systematically engage with the district structures. However, it should be recognised that as refugees do not have the right to vote, it is not possible to fully integrate these structures.

27.

Women remain economically marginalized in Uganda. Among Ugandans 90% of all rural women work in agriculture, as opposed to 53% of rural men ([IFAD](#)). As a result, women in refugee and host communities are disproportionately affected by changing livelihood patterns, conflict, natural disasters and climate change. In particular among refugee women, disparities in access to financial services, land and property exacerbate these vulnerabilities. Furthermore, as has been widely documented, gender-based inequalities in access to and control of productive and financial resources inhibit agricultural productivity and reduce food security.

The ReHoPE Strategy

28. **ReHoPE is a fundamental shift in how we address the needs of refugees and host communities.** It is a new approach that aims for greater impact by combining efforts, for better value for money and increased overall efficiency, for reduced transaction costs on GoU, communities, and households, and for more uniform support and capacity building to GoU and communities. Access to multi-year funding with a seat at the development table for the refugee sector should be a clear benefit helping to lead to a greater improvement in effectiveness of the overall system.

4. Rationale

29. Traditional **humanitarian response to refugees is not geared towards sustainability due to a limited focus on ownership and long term sustainability.** However, protracted displacement requires a different approach that is often beyond the traditional tools available to humanitarians. The challenges with a strictly humanitarian approach include:

- Short term humanitarian funding limits long term planning and the ability to respond to the full range of refugee and host community needs
- There is limited focus on effectiveness and value for money
- There is a limited scope for effective learning to inform systems strengthening

30. **A “hand-out” culture persists despite much progress.** The first priority of humanitarian response is to meet immediate basic needs which often means direct distribution of goods and services. However, in a protracted refugee situation, it can lead to a dependency culture at both the recipient and institutional levels; it also risks undermining peaceful co-existence¹³. This is characterized by a supply driven rather than demand responsive approach with refugees as beneficiaries or recipients rather than partners in the process. There are however opportunities to combine efforts for greater impact. Refugees and host communities are keen to build sustainable livelihoods with significant demand for land, credit and skills development.

31. **Fragmentation exists on multiple levels.** It starts with the parallel implementation of humanitarian and development interventions in the same area. Different approaches in refugee and host communities leads to a lack of uniformity in the application of interventions. This in turn risks duplication of effort and increased transaction costs for both communities, implementing partners, and government. Project based approaches further fragment the potential for a more cohesive program approach. There is also a lack of full integration between the OPM and decentralized government structures in Uganda. The potential for greater shared learning is often missed because of a fragmented evidence base. A more systematic lesson learning process is needed to improve programming and to better inform system strengthening.

32. **There are two parallel coordination and delivery systems: one for humanitarian response and one for development.** Refugees are addressed by the former, host communities by the latter which leads to unnecessary duplication and reduces synergies. The traditional humanitarian response is not

¹³ As refugees are integrated with host communities, the fact that they continue to receive inputs from humanitarian actors while nationals do not can breed hostility. In this case, the 70-30 rule of thumb to allocate resources--70% to refugees and 30% to host communities--may not be good enough (NB. This rule does not apply to food distribution which only goes to refugees).

fit for purpose to address long term needs. The system is not geared towards sustainability with short term funding and approaches which limits longer term planning and interventions.

33. **There is a history of mixed success in targeting refugee-hosting districts for self-reliance in Uganda.** The 1999 [Self Reliance Strategy \(SRS\) for Refugee Hosting Areas in Moyo, Arua and Adjumani Districts](#) and 2006 [Development Assistance for Refugee \(DAR\) Hosting Area Programme](#) each had their strengths and weaknesses. The main strengths were in the foundations they laid for integrated programming, for service delivery by local government, and for an improved legal regime. Weaknesses included insufficient consultation with refugee and host communities, lack of differentiation between refugees who were ready to transition away from assistance and those who were not,¹⁴ insufficient attention to the participation of local governments, and inadequate funding. In addition, the design of SRS and DAR did not take into consideration the priorities and competing interests of local governments, as a result of which refugees were sometimes disfavoured in relation to host communities especially when resources were limited. In the end, these strategies were superseded by two events: the return of the majority of the Sudanese refugees to what became South Sudan, and the legislative reforms of 2006 and 2010 that codified the freedom of movement and the right to work, as a result of which a number of refugees sought and found economic pathways outside the settlements.

34. **District level capacity is limited.** It is important to recognize the limited government capacity, and the need for significant support in particular in the refugee-affected Districts. NDP II characterizes weaknesses of the past in this way: “Public sector management was characterized by low enforcement of critical reforms and innovation; inappropriate procurement procedures, processes and management; corruption; conflicting, overlapping and duplication of mandates; low levels of productivity; non-compliance with service delivery standards where available; and low motivation and remuneration compounded by the poor mind set and negative attitudes which further contributed to the slow progress in the implementation of the core projects. Weak and limited subnational institutional and technical capacity to plan and deliver on mandated services coupled with limited fiscal space and inadequate public service standards to follow were also constraining factors in the achievement of the NDP I objectives”. Concerted efforts are needed to ensure ReHoPE focuses on the challenge of limited district level capacity.

5. Overview

35. **ReHoPE aims to bridge the divide between humanitarian and development approaches, and actors.** The line between humanitarian and development response is not a clear divide. ReHoPE recognizes that this is continuum, a process that requires sequencing interventions in a coordinated manner throughout the spectrum of the divide. It situates humanitarian response in a developmental framework so that the transitioning is seamless.

36. Building on past experience, it will ensure that humanitarian objectives do not undermine long term development objectives. **ReHoPE will ensure that the humanitarian mandate is protected, but that it is seen through a development lens; neither mandate should suffer, both should be enhanced.** New and protracted displacement should coexist. Humanitarian response needs to be life saving for the newly

¹⁴ In particular, it will be important to ensure that households continue to receive sufficient consumption support until they are demonstrably ready to “graduate” from cash or food assistance. See figure 5 for an example of the proposed graduation approach

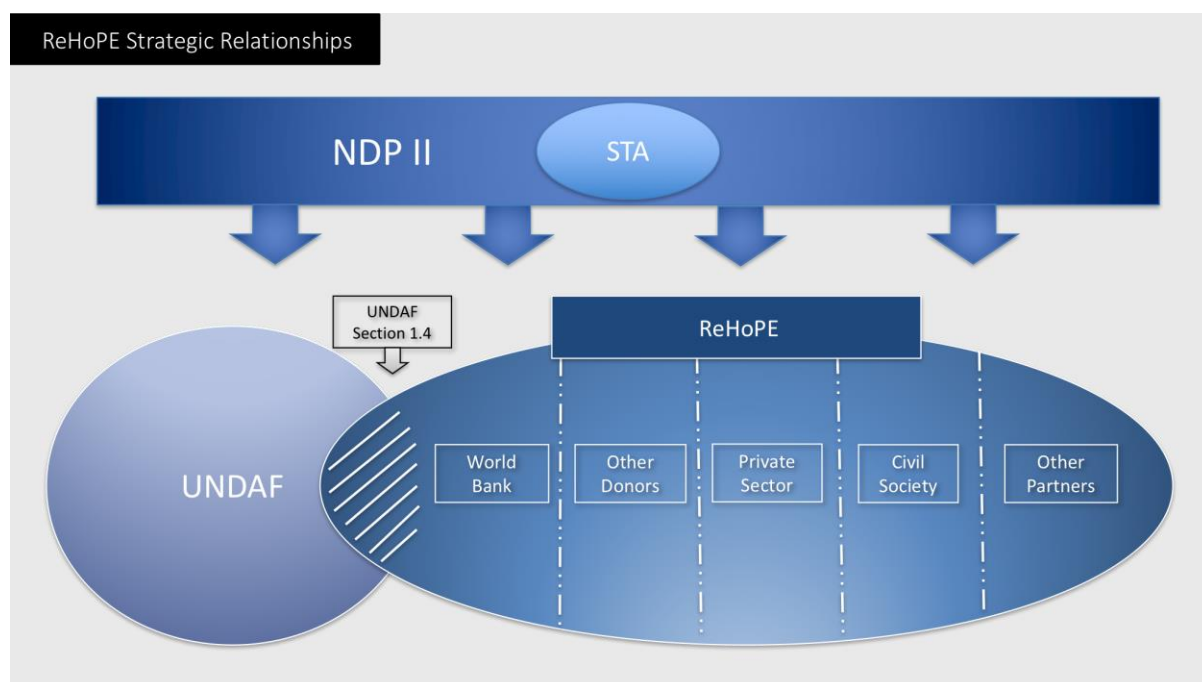
displaced but needs to be developmental in coordination with Government for the protracted situation. Thus both are important but the response is tailored to the situation.

37. **ReHoPE will aim to begin humanitarian action with a long term developmental lens.** In this way, humanitarian action can be a catalyst to initiate activities that are then transitioned over to development actors, rather than end when humanitarian funding dries up. Humanitarian interventions will be initiated with the engagement of local government structures from the onset to ensure all action is in line with the District Development Plans and to ensure ownership and sustainability in the long-term.

38. **The ReHoPE strategy has a twenty year time frame to emphasize the necessity of thinking long term.** This is crucial if the aim is development impact, and to recognize the time required for both sustainable resilience to be built, and for systems to be strengthened. A detailed programme design process will build on the long term concepts of this strategy and will be programmed in 5 year increments. The strategy will be responsive to changing demand; it will be reviewed annually to make rolling adjustments to both the strategy and the operational programme design.

39. **ReHoPE provides the basis for collective programming** between UN agencies, multilateral development banks, the Government of Uganda, development partners and the private sector. It complements the major GoU policy initiatives including NDP II and the Settlement Transformation Agenda (STA).

Figure 1 : ReHoPE strategic relationships



6. Principles

40. ReHoPE will be guided by nine overarching principles.

1. Government in the lead
2. Harmonized area-based approach
3. Community engagement and empowerment
4. Build on existing programmatic blocks
5. Leverage comparative advantage
6. Harmonized program tools
7. Build on and strengthen existing coordination structures
8. Equity, gender responsiveness, and women's empowerment
9. Fill the evidence gap

1. **Ensure Government is in the lead; and actively strengthen the ability to lead.** Government leadership and ownership is paramount to the success of ReHoPE. Building on the strong leadership for refugee affairs under the Office of the Prime Minister, ReHoPE will work to link these efforts to district level government needs assessments and planning processes. In the process, ReHoPE will focus on strengthening the overall service delivery systems and providing capacity development support.
2. **Promote a harmonized area-based approach aligned under the district development plans and the district planning processes.** In order to address the fragmentation of efforts both within the refugee context and between development actors, ReHoPE will move away from project based approaches. The goal is to collectively address the refugee and host community needs within the wider operational area in a way that combines inputs in support of government plans. Central to this is the full participation of communities in their own development.
3. **Prioritize community engagement and empowerment and place refugees and host communities within a development context** The Ugandan refugee policy provides a unique enabling environment for empowering communities. In order to capitalize on this, ReHoPE will:
 - Ensure active and intense participation of both refugee and national communities
 - Address the needs of individuals in need, affected communities, and the systems and institutions that support them
 - Transition refugees and host communities into strengthened GoU social services
 - Focus on the planning, coordination, and implementation functions as a first step in empowering communities
 - Build on the DRDIP CDD approach as operationalized in the STA through World Bank support under DRDIP

-
- Include a strong community contribution to the development effort to promote community ownership and sustainability
 - Support improved linkages between community level planning and DLG planning processes.
4. **Build on existing programmatic blocks and best practice.** There is a wealth of programmes and services currently being delivered in refugee and host communities. However, the full potential of the interventions is often missed due to fragmented project-based approaches and a lack of learning from experience. ReHoPE will ensure that interventions build on existing programs and progressively move away from project and agency based silos.
5. **Leverage comparative advantage, build on the strong examples of agencies working together based on comparative advantage.** Each implementing agency within ReHoPE has areas of clear comparative advantage in addition to areas of shared expertise. ReHoPE will aim to begin by clearly defining areas of core competency building on the UNDAF process. For example, currently in the agriculture sector within the refugee context, the agreed areas of agency comparative advantage are:
- FAO/UNHCR on inputs such as seeds and tools, home kitchen gardens, farmer field schools
 - WFP on post-harvest and the link to markets
 - UNDP on markets, climate resilience/environment, and policy level engagement
6. **Use harmonized program tools to adopt a common approach and ensure that this harmonized approach aligns with and supports government systems.**¹⁵ Reducing existing fragmentation and maximizing the impact of interventions means doing things differently. ReHoPE is an opportunity to put the international principles of aid effectiveness into practice. At its core, this requires:
- One results framework, one analytical framework, joint area based planning under the DLGs, joint M&E, and joint systems strengthening.¹⁶
 - Prioritize effectiveness and value for money. It is imperative that ReHoPE strives to maximize impact while ensuring value for money throughout all operations. Investments will be analysed for economic viability to determine which will have the greatest impact at the lowest investment point. Transparency and accountability will be the bedrock principles throughout ReHoPE.
7. **Build on and strengthen existing coordination structures.** There is an existing coordination architecture for both refugee and development actors. This includes :
- GoU coordination of ongoing development initiatives with a focus on decentralized structures
 - Refugee coordination architecture led by the OPM
 - UNCT leveraging One UN
 - Local Develop Partner Coordination Group

¹⁵ See Section 9 for more details.

¹⁶ See Section 9.1 for more details.

ReHoPE will work to help support the better integration of the coordination structures throughout the transition towards DLGs providing integrated services to both refugee and host communities.

8. **Prioritize equity, gender responsiveness, and women’s empowerment.** ReHoPE recognizes that the needs of women, men, boys and girls of refugee and host communities are different, and as such will need to be specifically identified and addressed, primarily through enhanced Age, Diversity and Gender Mainstreaming (AGDM) analysis. The concept of equity extends to ensuring consistent treatment of the two communities including access to services. Indicators of inequity will be monitored to also help provide early warning for potential conflict.

It is critical that gender is mainstreamed in every step of this strategy in order to ensure that resilience and self-reliance interventions are culturally appropriate, relevant, effective and sustainable for women and men from refugee and host populations. Gender mainstreaming ensures that resilience efforts will reduce, rather than reinforce inequalities by avoiding assumptions, generalizations and stereotypes, and by promoting positive change. Gender-sensitive planning can also increase and broaden ownership and sustainability of recovery initiatives by ensuring greater ownership through equal involvement of the population as a whole.

[UN Women PDNA Guidelines](#)

9. **Address the evidence gap.** ReHoPE will stress the importance of evidence based action. Collectively, the ReHoPE partners generate a significant amount of evidence yet it is often not shared or used to its full potential. To address this, the approach will emphasize the need to systematically gather evidence with a “learning as we go” approach with clear and practical mechanisms. Most importantly, the evidence collected will systematically be synthesized and fed back into the systems strengthening process.

7. Objectives

Strategy Outcome¹⁷

- Strong and resilient institutions in place that can deliver appropriate, cost-effective and affordable services to all people of the targeted districts in ways that build resilience and self-reliance.

Overall Objective

¹⁷ The strategy outcome is what ReHoPE contributes to but cannot fully realize with only the inputs of the ReHoPE actors

- To strengthen collaboration between humanitarian actors, development partners, and the private sector, under the leadership of the Government of Uganda, to enhance resilience and self-reliance of refugees and host communities in the refugee hosting areas.

Objectives

- Improve basic social service delivery in terms of access, quality, and efficiency
- Improve economic opportunities and sustainable livelihoods
- Address environmental degradation in refugee hosting areas
- Strengthen government and community institutions

7.1. ReHoPE Beneficiaries

41. **The strategy will be focused on communities in refugee-hosting areas** that have experienced impacts due to a refugee presence. The beneficiaries of the ReHoPE investments will be both the host and refugee communities. The most vulnerable individuals will be targeted on the basis of vulnerability within the entire district, taking into account both nationals and refugees.

7.2. Geographic areas of intervention

42. **The areas of geographic focus have fundamental differences in context** primarily between community-owned land, gazetted land, and urban dwellers. ReHoPE will be demand driven and thus will remain flexible to cover new emerging areas of need. The preliminary geographic areas of intervention under ReHoPE are:

- 1) Northwest Uganda (Koboko, Arua, Adjumani, and Yumbe)
- 2) Southwest and Mid-west Uganda (Hoima, Kiryandongo, Kyegegwa, Isingiro and Kamwenge)
- 3) Kampala

43. **The overall principles, objectives and approach will be consistent across all areas with flexibility to define entry points and areas of emphasis based on local dynamics.** It is important to be responsive to the variations in the demographic, cultural and economic context of the various refugee and host populations while ensuring a consistent overall approach. This requires an understanding of both the demand and supply side (that is, how to match an understanding of household level strengths and constraints to opportunities in agriculture, off-farm, or employment markets).

7.3. ReHoPE Partners

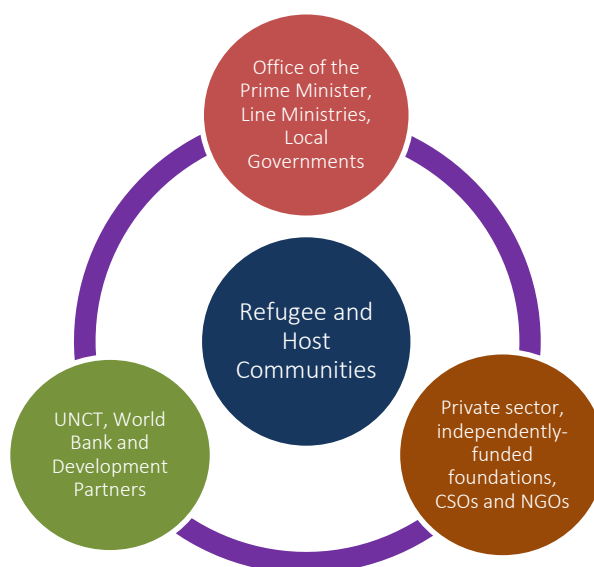
44. **Collective effort based on comparative advantage is core to the ReHoPE approach.** ReHoPE emphasizes close working relationships between Government partners and the UNCT in planning and implementation. The Office of the Prime Minister (OPM) Department of Refugees and the relevant

district local governments¹⁸ (DLGs) are the primary partners in the planning and coordination of development-oriented interventions and in basic service provision, and each participating Agency is expected to make appropriate linkages with their counterpart line ministries. Government leadership ensures that UNCT support will promote resilience and self-reliance in line with national and local development priorities.

45. **ReHoPE will require the engagement of the widest range of stakeholders from across the humanitarian and development spectrum:**

Figure 2 : ReHoPE Partners

Government of Uganda: ReHoPE will support strong coordination between OPM, line ministries, district local governments, and other bodies (e.g. disaster management committees) to enhance service delivery for refugees and nationals in refugee-hosting districts. Local Governments, in particular, will become much more central since they are responsible for the agricultural and social services that will constitute the bulk of the Joint Program. It is expected that refugee settlements will be included in district planning, and that district-level technical experts will receive support from line ministries.



Communities: Both refugee and host communities are integral ReHoPE partners.

They will be empowered to increasingly plan, oversee, implement and account for ReHoPE activities.

UNCT, the World Bank and Development Partners: These are UNCT members, the World Bank and other multilateral development banks, and development arms of donor governments, some of whom work directly in the target districts with their own implementing partners, and others who work through UN counterparts of Government agencies.

Independently-funded actors: These are the private sector, independently-funded organisations including CSOs, and international NGOs. The private sector is a major driver of service provision, employment creation and income generation. Private enterprises are important service providers in the fields of health (e.g. pharmacies, medical stores, private clinics that currently provide about half of the health care to Ugandans), education (e.g. pre-primary, primary and secondary schools, private vocational centres, apprenticeships), credit and business services. A strong private sector has the potential to fill a gap in services that the government cannot meet.

¹⁸ For the purposes of this document, the term “District Local Government” refers to all levels of local government including Districts, Sub-Counties, Municipalities and Parishes

8. Strategy Description

8.1. Enhancing Resilience and Sustainability at 3 levels

46. **The Strategy will operate at 3 levels** that work together to reach the overall objectives and contribute to the strategy outcome:

- Household level
- Community level
- Institution and systems level

8.1.1. Enhancing household level resilience and sustainability

47. **Building sustainable livelihoods starts at the household level.** This requires converging and sequencing a number of inputs at the level of the same households, as opposed to co-locating projects in the same area. A single agency alone cannot deliver all of these inputs, which leads directly to joint targeting and other harmonized approaches.

48. **ReHoPE will build on the diverse range of experiences by UNCT and partners, and the World Bank in building sustainable livelihoods** with the aim of complementing and building upon the approach developed in STA/DRDIP.

49. **Follow a graduation approach.** Programming for inclusive economic growth requires a holistic approach with interventions sequenced and provided equitably to vulnerable households in both refugee and host communities. Activities should be planned to match different levels of need and capacities within the target population, following a “graduation approach” which combines elements of social protection, livelihoods development, and financial inclusion.¹⁹

¹⁹ The Graduation Approach is a pragmatic approach to help the extreme poor move into sustainable livelihoods. It combines elements of social protection, livelihoods development, and access to finance to protect participants in the short run while promoting sustainable livelihoods for the future. Although not a panacea, the Graduation Approach seeks to reduce inequality by moving greater numbers of highly vulnerable households into sustainable livelihoods and toward economic stability. (www.cgap.org)

A **graduation approach** has number of core inputs targeted to the most vulnerable households.²⁰

1. Provision of consumption support
2. Access to basic social services
3. Access to protection
4. Enrolment in Village Savings and Loans Associations (VSLAs)
5. Support to choose the right productive pathway
6. Access to mentoring/life skills coaching, and appropriate technical skills training
7. Access to the entry level of the appropriate value chain
8. Provision of an asset transfer to enable graduation
9. Access to appropriate financial services

1. **Provide consumption support** for a defined, clearly communicated, period²¹. Consumption support is the starting point of a graduation approach. The more vulnerable the household, the more risk averse they become as even small productive investments could risk their ability to feed the family. It is critical that vulnerable households have a predictable transfer in order to take a risk on a productive activity and to budget accordingly.
2. **Ensure access to existing basic social services by integrating ReHoPE with strengthened local government systems.** Poor households often lack access to social services even when they are available. If a poor household is malnourished, sick or uneducated, their chance of graduation is greatly reduced. ReHoPE partners have a comparative advantage in working with local governments to strengthen the delivery and access to social services, which is an important complement to the STA/DRDIP. The strategy will focus on facilitating access to existing services, providing gap filling service delivery in the humanitarian space, but primarily on strengthening existing social service delivery under the district government.
3. **Ensure access to protection.** Protection has a specific legal definition in the refugee context; refugees are entitled to a range of protection measures that must be safeguarded. Protection can also be defined more broadly to include protection against conflict and other shocks.

Protection against the risk of communal conflict and violence. In the context of refugee and host communities the greatest risks of conflict and violence centre on access to farmland, environmental degradation, and competition for economic opportunities (jobs, market access, technical training etc.).

²⁰ See Annex 2 for a detailed description of each step

²¹ Consumption support is already in place for refugees but is required for the targeted vulnerable beneficiaries in host communities.

Protection against shocks. More broadly speaking in the Disaster Risk Management (DRM) sense, households need to be protected from shocks that can undermine their resilience. In the first instance, ReHoPE will look to define an innovative new risk financing mechanism for both refugee influxes and natural shocks building on the Disaster Risk Financing mechanism designed in NUSAF 3²².

4. **Promote Village Savings and Loans Associations (VSLAs)** for financial literacy, savings, group collateral, skills enhancement and confidence building.
5. **Provide support to choose the right productive pathway** (either agriculture productivity or employment/income generation; traditional or non-traditional) that best matches household capacity and potential with market demand based on market analysis. In general, there are two main livelihood pathways in rural Uganda. In areas where refugees and host populations have access to land²³ – an agriculture-centric livelihood approach is more likely. In areas where land is limited, and for populations (in particular the youth, and urban men and women) for whom agriculture is not a preferred economic pathway, then wage employment and viable non-farm sustainable livelihoods would be more appropriate.
6. **Ensure access to mentoring/life skills coaching, and appropriate technical skills training.** The poorest generally lack self-confidence and social capital. Regular inputs are required to help participants with business planning and money management, along with social support and health and disease prevention services. A key role for ReHoPE will be to encourage and strengthen the provision of 'productive services' at the district level by both DLGs and, where appropriate, the private sector (e.g. the use of small private animal health workers at community level to deliver basic services)²⁴.
7. **Facilitate access to the entry level rung of the appropriate value chain.** A key step in building sustainable and resilient livelihoods is to help link households to the value chain appropriate to their productive pathway. ReHoPE will aim to help build awareness amongst households, map out value chains with partners, and facilitate linkages to the actors within the value chain including the various markets at different stages of the value chain.
8. **Provide an asset transfer to enable graduation.** Once the process of financial literacy and group formation in the VSLAs has been firmly established, including the ability to save, an asset transfer is given either in kind or in cash to help jump-start economic activities.
9. **Facilitate access to appropriate financial services (microfinance including credit and insurance).** Microfinance is the provision of financial services to people with low incomes including. micro-savings, micro-insurance, payment and remittance transfer services and micro-credit. ReHoPE will facilitate access rather than deliver credit through linkages to partner with accredited microfinance institutions in implementing microfinance activities which includes Savings and

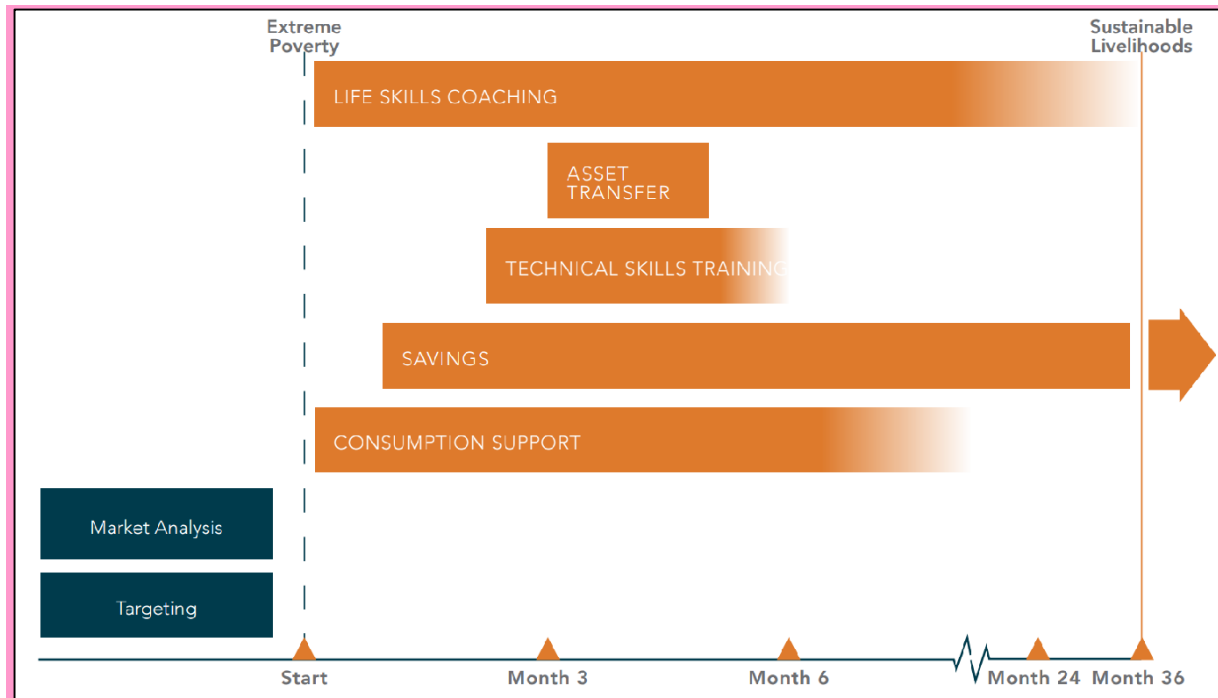
²² The DRF sub-component of NUSAF 3 will be activated following disasters to scale up the Labour Intensive Public Works (LIPW) activities temporarily and rapidly to provide additional support to core LIPW clients and/or to extend coverage to new beneficiaries. The ability to rapidly scale up LIPW is expected to prevent household consumption from dropping after climatic disasters and to protect their livelihoods and assets, leading to a more rapid post-crisis recovery. While the core LIPW sub-component will be implemented throughout Northern Uganda, the DRF sub-component will be piloted in selected districts to generate adequate evidence on which to base the design of a possible extension of the program to other areas after the midterm review.

²³ Refugees in Uganda live in settlements from which they are free to move provided they register appropriately with the authorities

²⁴ The experience of community based animal health workers (CAHW) points to the benefits of outsourcing some aspects of service delivery. http://fic.tufts.edu/assets/TUFTS_1423_animal_health_workers_V3online.pdf

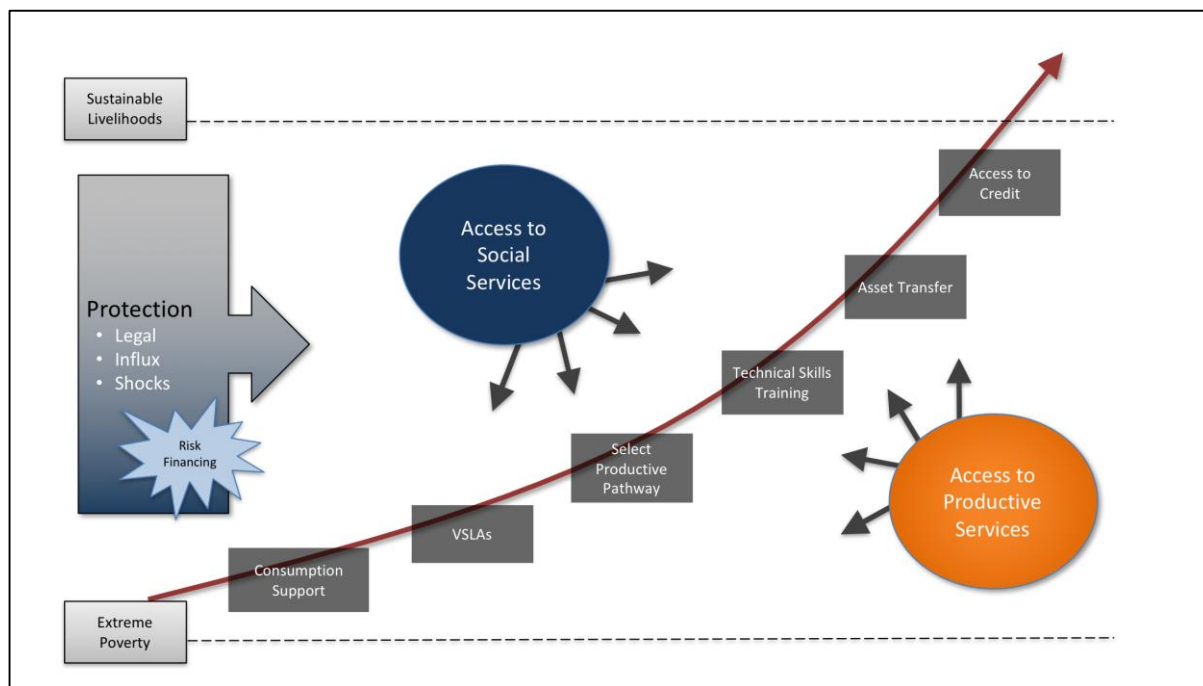
Credit Cooperative Organizations (SACCOs). At a minimum, ReHoPE will aim to ensure that by the end of the program, participants are creditworthy and in a position where they can access credit if they want to.

Figure 3 : Sequencing Livelihood Interventions for Refugee and Host Communities²⁵



²⁵ www.graduation.cgap.org/about/

Figure 4 : Sequencing Livelihoods with Integrated Service Delivery and Protection



8.1.2. Enhancing community level resilience and sustainability

50. The community level involves empowering refugee and host communities to plan, implement and account for activities that build the enabling environment for both community and household resilience. This builds on the humanitarian principles of [Communication with Communities](#), [Accountability to Affected Populations](#) and [Gender in Humanitarian Action](#), as well as established best practice for effective development planning. Women and men from refugee and host communities will be fully and equally involved in the planning, delivery and monitoring of Government and UNCT programmes in refugee-hosting districts,²⁶ as well as in the key governance mechanisms of the Joint Program. Community interventions will be based on an area based approach aligned under the district development plans and the district planning processes. Communities will plan and build the social, environmental, and economic infrastructure that contributes to community resilience, and facilitates household economic empowerment.

51. **Focus on appropriate natural resource use and management to increase the potential for sustainability.** The STA stresses the importance of natural resource management to address environmental degradation. Damage to the natural environment (deforestation, land quality degradation, water source depletion, and solid waste disposal) increases climate and conflict risks. In ReHoPE, refugee and host communities will work with local governments to reverse damage and increase resilience through improved natural resource management including public works initiatives.

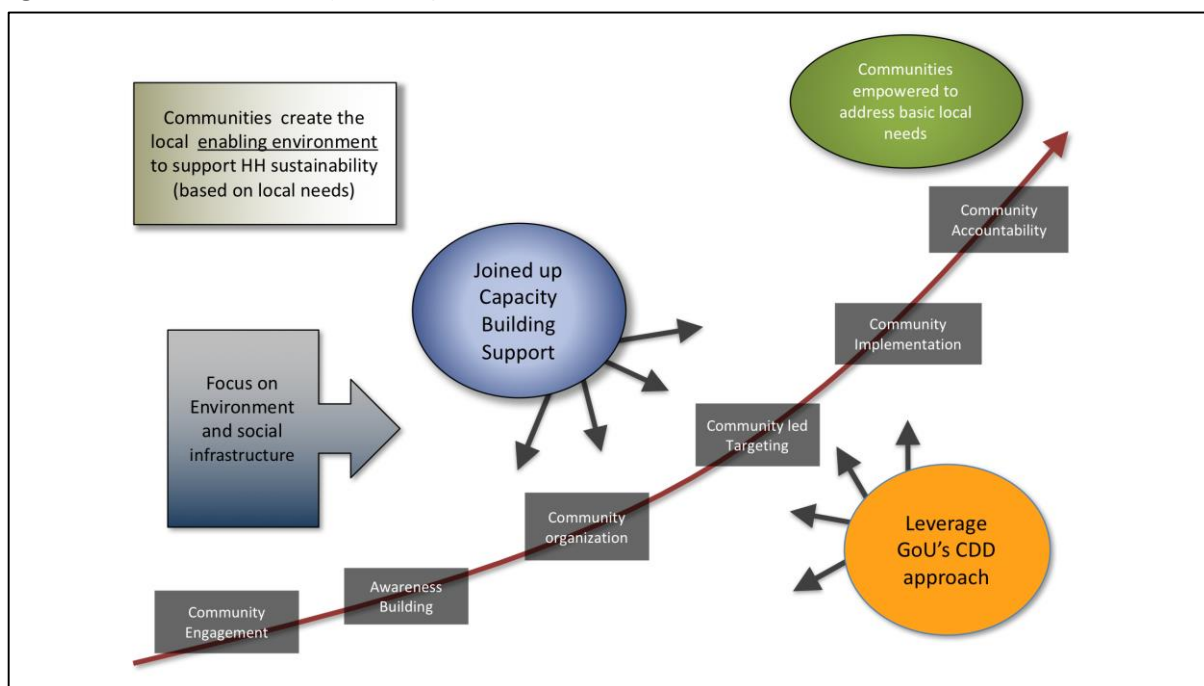
²⁶ Given the weaknesses of past consultations, a significant investment will be needed in community leadership, organization and management – in particular for refugees

52. **Build on the Community Demand Driven Development approach (CDD) designed under the STA component as supported by the World Bank.** ReHoPE will support the roll-out and enrichment of this agreed system of community engagement used in DRDIP and NUSAF 3. The CDD approach embeds the required flexibility needed to respond to the scale and nature of communities’ needs in diverse local conditions. It allows decision making to devolve to communities, ensuring that resource distribution is fair, supports priority local infrastructure and service delivery needs, and incentivizes collective action.

53. **Build on the community based fund approach.** DRDIP uses an innovation fund that finances proposals coming from refugee-hosting communities. Communities are responsible for the oversight and accountability of these funds which support both community and household level sustainability efforts. ReHoPE will build on this approach and look to complement this by piloting a complementary community level fund for asset transfer grants for graduating households and/or a fund for initial access to credit.

54. **Use community engagement for conflict risk mitigation.** In the context of refugee and host communities, the greatest risks of conflict and violence centre on access to farmland, environmental degradation, and competition for economic opportunities (jobs, market access, technical training etc.).

Figure 5 : The Process of Empowering Communities



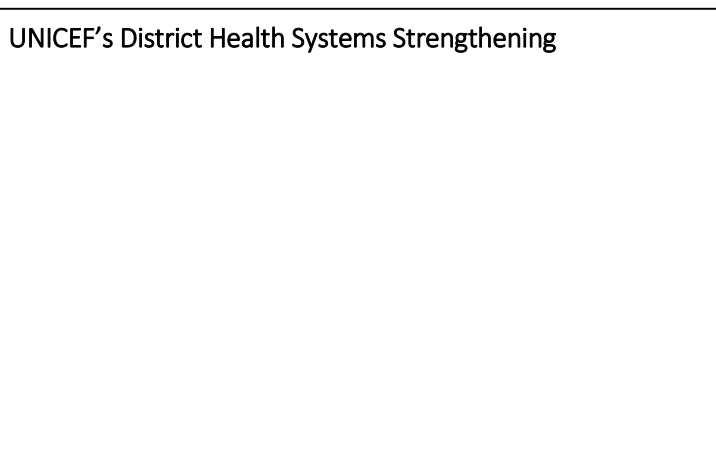
8.1.3. Enhancing Institutional and systems level resilience and sustainability

55. **Progressively enhance the social service delivery system and capacity while integrating services with local government systems.** ReHoPE will ground its work with refugee and host communities in Ugandan standards and systems with a focus on the district level and below as an area of comparative advantage for the ReHoPE partners. The integration with local government begins with support to local planning and coordination, and a process of jointly identifying and supporting institutional capacity needs. The district level planning process is the key entry point for planning which will require all actors to ensure they plan with, and provide support to the DLGs. This includes ensuring that humanitarian planning for refugees is systematically included in district plans.

56. **Systems strengthening begins as soon as a humanitarian or development intervention begins.** In the past, humanitarian action for refugees has tended to be conducted in isolation from DLGs with most services delivered directly to refugees by implementing partners. The new approach stresses a change in this approach that starts at the onset of humanitarian action. The aim is to ensure that the Government is in the lead from the start.

57. **System strengthening goes beyond providing training and equipment.** In the past, capacity building has been narrowly defined in these terms. However, global evidence suggests that the overall impact of this narrow approach has been limited²⁷. ReHoPE will aim to broaden the vision to strengthen the overall service delivery system for refugees and host communities and to then help develop required capacities for the system itself. It requires sustained engagement to understand where and how best to add value to the existing GoU systems, and a strong partnership with government, civil society and the private sector.

58. **Enhancing service delivery is an area of comparative advantage for the ReHoPE actors and a complement to the DRDIP intervention component of the STA.** Building on the experience of the ReHoPE partners, social service provision will be integrated with the systems of DLG in order to improve equity, relevance and cost-effectiveness in ways that support refugees and host communities without distinction. The way service delivery is integrated may differ between regions. In West Nile, where refugees are settled on community-owned land, as well as in Kampala, refugees live in smaller groups interspersed among the local host community – so service integration there implies scaling up and extending services to include refugees. In contrast, in those regions where refugees are in gazetted settlements, receiving services from UNHCR partners with infrastructure already built by the Government and UNHCR through their partners, it will be a matter of integrating existing services and infrastructure with those of local government and ensuring that levels of service to refugee and host



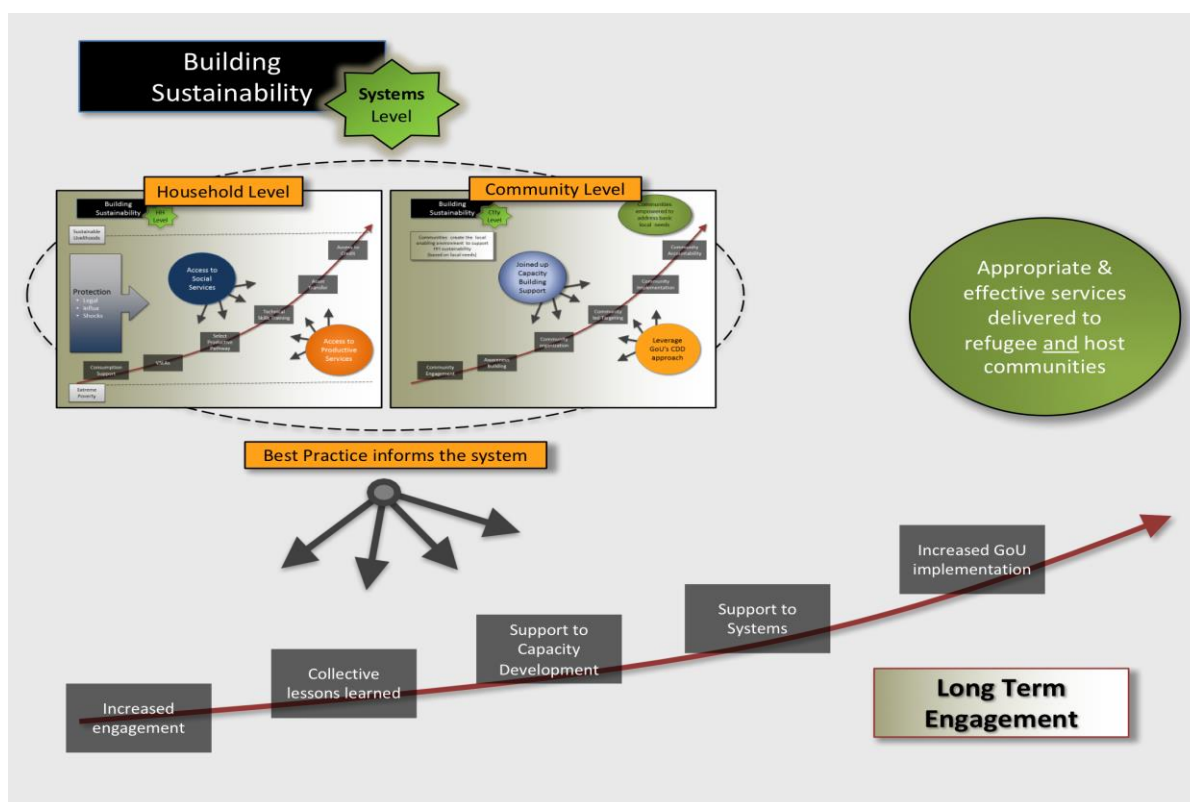
communities are comparable in content and quality. In both situations, the support of relevant ReHoPE

²⁷ ODI reference from PSNP first revision

partner agencies will be needed throughout the process to strengthen the resilience and capacity of DLGs, in order to ensure that basic service delivery is maintained despite the added population.

59. **Systems strengthening requires a better way to distill best practice gained from implementation that can be fed into GoU systems as they improve.** There is a wealth of experience being generated in both refugee and host community settings that are not always being documented or shared. The ReHoPE actors will aim to distill their best practice together with government partners in a way that can better lead to improvements in the overall system of service delivery. For example, many actors are currently implementing the VSLA approach. ReHoPE would collect and summarize these experience to then work with GoU to see how to best adapt the approach for use within GoU – and how other actors can be involved such as the private sector and civil society.

Figure 6 : The Process of Building Sustainable Systems



8.2. Strategy Level Indicative Indicators

60. A comprehensive results framework will be developed in the program design phase. The indicative framework for the strategy is:

Overall objective	Outcome indicator
To strengthen collaboration	(i) Partners using the same PIM to design and implement all

<p>between humanitarian actors, development partners, and the private sector, under the leadership of the Government of Uganda, to enhance resilience and self-reliance of refugees and host communities in the refugee hosting areas.</p>	<p>their activities in refugee hosting areas (Number)</p> <ul style="list-style-type: none"> (ii) Participating partners who are using one results framework (Number) (iii) Partners who are using one joint M&E and reporting framework (Number) (iv) Government bodies involved in displacement issues at all levels (local, district and federal) of Government (Number) 	
<p>Sub-Objective 1:</p> <ul style="list-style-type: none"> ▪ Strengthen capacity of Government and community institutions 		
	<p>Outcome indicators</p>	
	<ul style="list-style-type: none"> (i) Communities with functional Operation & Maintenance committees of infrastructure for basic social services (health, education, water) (%) (ii) Communities who consider that their views have been taken into account in the local development process (%) (iii) Local Governments in refugee hosting areas publishing financial transfers and budgets at local level (Number) (iv) Communities who have been sensitised about ReHoPE strategy and are familiar with its objectives and core principles (%) 	
<p>Sub-Objective 2:</p>		

<ul style="list-style-type: none"> ▪ Improve basic social service delivery in terms of access, quality and efficiency 	
Outcome indicators	
	<ul style="list-style-type: none"> (i) Primary school completion rate (% , of which girls) (ii) Population in refugee hosting area with access to basic package of health services (%) (iii) Population in refugee-hosting areas with access to safe water source (%) (iv) Population in the refugee hosting areas with access to safe and effective sanitation facilities (%) (v) Level of satisfaction among targeted population with quality of services (disaggregated by specific category of services/general) (%)
<p>Sub-Objective 3:</p> <ul style="list-style-type: none"> ▪ Improve economic opportunities and sustainable livelihoods 	
Outcome indicators	
	<ul style="list-style-type: none"> (i) Persons in the refugee hosting areas with livelihood skills who are self-employed (%) by gender (ii) Increase in the value of beneficiary household assets (%) (iii) Micro-enterprises in the refugee-hosting areas with value addition to their products (%) (iv) Persons in the refugee hosting areas who have accessed micro-credit as start-up or for expansion of their enterprises (%), disaggregated by gender (v) Persons in refugee- hosting areas who are members of VSLA (number) , disaggregated by gender

Sub-Objective 4: <ul style="list-style-type: none"> ▪ Address environmental degradation in refugee hosting areas 	
	Outcome indicators
	<ul style="list-style-type: none"> (i) Land area in the refugee-hosting areas under soil and water conservation practices (ha) (ii) Degraded wetlands in the refugee hosting area restored (ha) (iii) Land area in the refugee hosting area planted with trees (ha) (iv) Households in the refugee hosting areas using energy saving devices (Number) (v) Communities in the refugee hosting area trained in soil and water conservation measures (%)

9. The Implications of ReHoPE

61. **ReHoPE requires fundamentally changing the way we operate because the current model is not sustainable.** The current ways of working are fragmented and dominated by project based approaches with a confusing range of different approaches. This places an extra burden on communities and the GoU to deal with multiple implementation partners. Fragmentation also undermines opportunities for greater efficiency and value for money. Without improved efficiencies, the current humanitarian model is not financially sustainable, nor can it deliver the development gains required to build resilient communities.

62. **ReHoPE will build on the existing synergies between the OPM, the One UN approach of the UNCT, the World Bank, implementing and operational partners, and the Donors.** The Strategy will be further elaborated and developed into a dedicated Joint Program. Its programmatic aspects will also be given shape and weight within the regular programmes and activities of all members of the UNCT and Government that touch upon refugee-hosting districts. It will be essential to ensure that existing programming in the defined ReHoPE areas will be coordinated and planned under the same DLG planning umbrella.

63. **Build on the commitment of the UN Country Team to Deliver as One (DaO).** DaO is an initiative by the United Nations aimed at making the UN better coordinated, and more efficient and effective. ReHoPE can build on the groundwork laid by DAO to build harmonized ways of working internally amongst the UN (e.g. the single UNDAP results framework). The UN aims to achieve this through having one leader, one programme, one budget framework, one voice and one house/shared common services. Figure 44 illustrates the structure of DaO model adopted for UNDAF implementation and

results. This should allow the UN partners to engage in ReHoPE more efficiently with a common position.

64. **Leverage the existing resilience strategy of the 3 UN agencies in Karamoja.** FAO, UNICEF and WFP have developed a multi-year resilience strategy to clearly understand and assess both the opportunities and constraints in Karamoja. The three agencies will combine their efforts more systematically to empower households, communities and the government systems that support them to reduce, mitigate and manage their risks; and to work to transform the lives of the vulnerable in Karamoja. The strategy focuses on 4 building blocks to strengthen the productive sectors, improve basic social services, establish predictable safety nets, and strengthen Disaster Risk Management support. It aims to increase impact by adopting a joint approach to ways of working (see Annex 4).

9.1. One set of Harmonized Programmatic Tools and Approaches

65. Design and **Implement using harmonized core programmatic tools aligned with GoU systems.** The ReHoPE partners agree to phase in harmonized tools and approaches that bind them together. Adopting a harmonized approach will reduce duplication, increase impact, reduce transaction costs for communities and government, and allow the agencies to more powerfully leverage their experience for systems strengthening. The aim is to bring down the visible and invisible barriers between agencies, maximize the comparative advantages of each partner, and gain the efficiency and effectiveness benefits of collective action.

- **One results framework.** This will guide the overall direction of ReHoPE and will be the basis for measuring impact. It will build on existing frameworks as much as possible to ensure alignment with GoU, the UNDAF and other relevant frameworks.
- **One situation and problem analysis based on a shared analytical framework.** Much analysis has already been undertaken in Uganda but often it is fragmented and at times contradictory. Having a shared analysis process will be important to identify gaps together and fully understand the realities on the ground of both refugee and host communities.
- **Joint area-based district planning under the DLGs (focus on district level).** Government stakeholders and ReHoPE members will work together to develop and implement joint processes under district level coordination.
- **Joint work plans under District planning system.** The integration of planning under district planning will extend to the coordination of operational workplans as well.
- **Joint targeting that contributes to a single registry.** A harmonized approach is most successful when targeting is jointly undertaken. This helps greatly in ensuring vulnerable households have access to the services and inputs for building resilience and sustainable livelihoods, as well as reducing the cost of redundant procedures and overlap. Work is already ongoing in NUSAF 3 as supported by WFP to develop a 'single beneficiary management system' with the Ministry of Gender, Labour and Social Development.
- **Joint M&E including reporting;** Evidence is the basis for informed decision-making. To the extent possible, monitoring and evaluation will be a shared responsibility and involve Government as much as possible. This will help reduce transaction costs, strengthen coherence and generate cross-learning. The starting point is to harmonize M&E processes including reporting with one standard agreed report to donors.

- **Support development of information management systems for effective planning, monitoring, service delivery and decision making in the refugee hosting districts.** A robust knowledge management component will be required to document lessons learned, to ensure that future planning is best informed by the lessons of the past, and to help strengthen the overall service delivery system.
- **Joint systems strengthening support and approach.** All of the UNCT partners engage in capacity building and systems strengthening to varying degrees. There is an opportunity to build on the collaborative successes to date, especially in the areas of social service delivery, and in particular health, education and WASH. Each of these sectors is advanced in terms of the inter-sectoral collaboration in support of overall government programmes. ReHoPE will build on this to further the support to strengthening government systems with a focus on the integration between sectors.

9.2. One Voice

66. **One voice of ReHoPE partners to the GoU to reduce transaction costs.** Government institutions deal with a large number of stakeholders which can overstretch their capacity, especially at the lower administrative levels. ReHoPE will develop a mechanism for internal coordination so that engagement with government will be simple and efficient, and through one agreed channel. This will involve developing a mechanism within ReHoPE to agree on key messages to bring forward when engaging with either OPM or DLGs.

67. **One voice to funding agencies.** Multi-year funding is essential to bridge the humanitarian to development divide and to have the time to build sustainable development-based solutions. The ReHoPE partners will submit one integrated multi-year funding proposal to donors. They will aim to develop a harmonized funding mechanism(s) in support of this including a possible pooled fund (see section0).

68. **One Voice for advocacy and for lessons learnt.** The ReHoPE partners all have a mandate to advocate for positive change both within communities, and at the policy level with governments and donors. The partners will positively and proactively engage with communities to promote key messages, to help change attitudes, and to understand the issues important to the community. There will be an emphasis on a more rigorous process of documenting and synthesizing evidence and lessons learnt; and bringing the results into the systems strengthening process to inform improvements.

10. Financing Mechanisms

"Addressing global challenges requires a collective and concerted effort, involving all actors. Through partnerships and alliances, and by pooling comparative advantages, we increase our chances for success."

Ban Ki-moon

69. **ReHoPE will aim to accommodate a wide range of funding modalities.** No one source of funding will be adequate by itself to achieve the objectives of ReHoPE. Instead it will require a comprehensive approach that: (i) mobilizes different sources of funding, including domestic and international private and public sector funds; and (ii) ensures that the mobilized funds are used effectively and efficiently. While the details of the financing modalities will be developed during the Program Design Phase of ReHoPE, it will follow a number of guiding principles:

- **Additionality.** Humanitarian financing for both refugees and refugee-hosting communities will remain a critical need to be mobilized as part of the refugee response and the Official Development Assistance (ODA). However, ReHoPE will require additional sources of financing to be mobilized. The humanitarian assistance and ODA going to refugee-hosting areas will be used strategically to leverage additional private and public funds at the domestic and national levels.
- **Efficiency.** The various financing mechanisms will be designed to add value by reducing risk and improving financial efficiency.

Effectiveness. ReHoPE's financing architecture will be designed to increase the purchasing power of available funds by incorporating incentive structures that enhance accountability and ownership.

70. **Improving efficiency and effectiveness by using pooled funds to enhance coordination and collaboration.** Pooled funds – including multi-donor trust funds and joint programs – are used to: (i) enhance coordination and harmonization among donors, (ii) enable operation on a larger scale and with lower transaction costs, and (iii) allow participating donors to pool the risks of operating in fragile contexts. They can provide a framework for dialogue with the government along with direct support to capacity development and service delivery. Despite these advantages, pooled funds have been criticized for failing to mobilize resources additional to those already earmarked for development assistance and for complicating the aid architecture. The pros and cons of setting up a pooled fund mechanism and the structure of such mechanism will be dealt with during the ReHoPE Program Development Phase.

“Country pooled funds, used both by humanitarian and development actors, are becoming an important channel for assistance to transition situations. Pooled funds, such as Multi-Donor Trust Funds (MDTFs) and joint programs ... offer a number of advantages. For example, they promote a more programmatic approach to service delivery, and can increase national ownership and political visibility, while at the same time giving international actors political leverage in discussions with partner governments. They also spread donors' exposure to political and reputational risk by sharing the burdens of control and oversight. Finally, pooled funds can reduce transaction costs for both donor and partner countries by transferring the costs of coordinating and managing funds to a fund administrator ... such costs will likely be significantly lower than the combined costs of separate bilateral funding mechanisms”

Adapted from [International Support to Post-Conflict Transition Rethinking Policy, Changing Practice](#), OECD 2012

11. Coordination

71. **To meet the challenge posed by large movements of refugees, close coordination will be required between a range of humanitarian and development actors.** The ReHoPE partners commit to putting those most affected at the centre of planning and action. Government stakeholders and UNCT members will work together to develop and implement joint processes of analysis, advocacy, planning, fund-raising, programming, monitoring and evaluation. The aim is to bring down the visible and invisible barriers between agencies, maximize the comparative advantages of each partner, and gain the efficiency and effectiveness benefits of collective action.

72. **ReHoPE will build on and strengthen existing coordination architecture as much as possible to avoid creating new structures.** Given the amount of effort already invested in coordination, ReHoPE will aim to piggy-back and support existing operational coordination wherever possible. These include:

- Existing GoU coordination structures with a focus on decentralized structures
- New STA structures developed under DRDIP
- UNCT internal coordination leveraging One UN
- Local Develop Partner Coordination Group

73. **Coordination efforts will be informed by lessons from other countries.** There is a wealth of experience in other countries that ReHoPE can help introduce for discussion. For example, Jordan has established 'refugee and resilience response plans' that demonstrate that coordination can be multi-sectoral even in the humanitarian space. This is an important lesson for ReHoPE and demonstrates the need to begin all action, even humanitarian, with a multi-sectoral long term approach.

74. **Enhance coordination mechanisms at both the policy and technical levels.** At the national level, ReHoPE will explore ways to help strengthen inter-agency and national- coordination structures with a focus on policy and programme coherence. In order to add value and leverage the global [Solutions Alliance](#), ReHoPE will explore the possibility of establishing a policy forum to discuss refugee and host community policy issues.

75. **Refugee-centric coordination (and humanitarian-centric coordination) will transition into coordination led by District Local Government. ReHoPE will aim to accelerate this transition.** ReHoPE will support the clarification of roles between the OPM and DLGs throughout this transition to help ensure that two parallel coordination systems are not in place. This will be articulated within the mandates of each agency including those of the UN partners. For example, UNHCR will maintain its mandate to co-lead a refugee response with government.

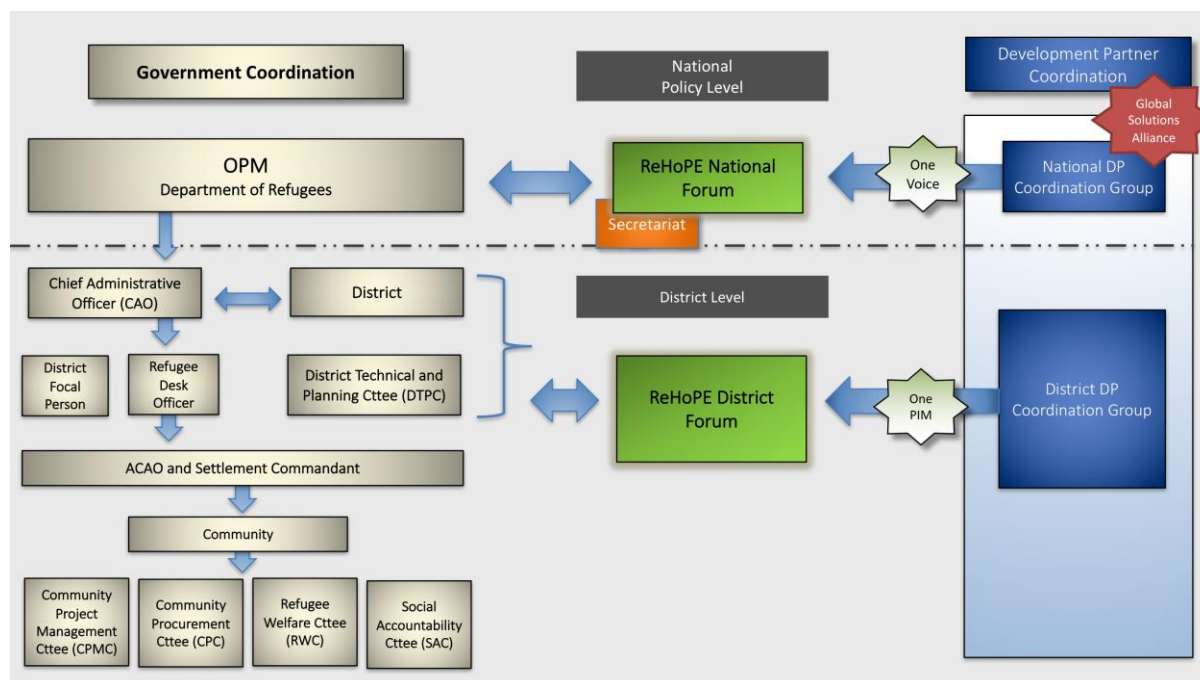
11.1. Proposed Coordination Structures

76. **Phase 1 Transition Coordination Model.** In the first phase of implementation²⁸, the current refugee coordination model will be modified to include a wider range of key humanitarian and development stakeholders including: GoU (local government and line ministries), Donors, the World Bank and other multi-laterals and communities. It will feature an additional rotating chair position to complement the OPM and HCR co-chair roles. The current system for financing flows will be maintained. Financing allocation will be based on a joint plan under a common results framework, and comparative advantage.

²⁸ see Road Map – Annex 5 for the phases of implementation

77. In the second phase, ReHoPE will be a bridge between the humanitarian and development coordination structures by supporting a Refugee Coordination Model 2.0 for lasting solutions (for both refugee and host communities). This will build on the government coordination structures and the principles of the refugee coordination model, and the aid effectiveness agenda. It will be phased in systematically as detailed in the Road Map.

Figure 7: Institutional Framework for Coordination of ReHoPE (in Phase 2)



Features:

- Links to GoU development coordination and implementation structures
- Includes a broader range of development actors with a focus on involving communities and other government institutions
- Ensures that the needs of both refugees and host communities are met under government led systems

Description:

- ReHoPE coordination will follow the government system and will include an internal DP coordination mechanism to reduce fragmentation and to encourage the common ways of working articulated in ReHoPE.
 1. **Overall coordination.** ReHoPE will build on the existing government coordination structures as articulated in STA/DRDIP
 - Use the same STA/DRDIP institutional coordination structures have already been designed down to community level.

- Establish a ReHoPE Forum at both the national and district levels. This will be the main forum for interaction between DPs and GoU. It will be chaired by OPM and co-chaired by a rotating ReHoPE development partner. UNHCR will have a permanent role as secretary. An independent secretariat will support the functioning of the forum. All participants will be guided by an MoU and a code of conduct.
2. **Internal DP coordination.** ReHoPE will require a cohesive approach to ensure all of the development partners relate to government through one collective mechanism.
- **ReHoPE Development Partner Coordination Group (ReHoPE DCG).** The primary purpose of the ReHoPE DCG is to support and ensure development partner harmonization as it relates to the implementation of ReHoPE. Specific responsibilities include the management of implementation support missions, agreement on common reporting requirements, development of a mechanism to reduce transaction costs on Government and development partners for programme implementation, coordination of the response to emerging issues such as those related to humanitarian risks, sharing information on specific agency information requirements during the implementation. The ReHoPE DCG will be chaired by a DP on a rotating basis with UNHCR as a permanent co-chair.

Annex 1 – ReHoPE alignment with the STA and UNDAF

UNDAF Outcomes (January 2015 draft)	Settlement Transformation Project Objectives
ReHoPE objective 1: Improve basic Social Services delivery in terms of access, quality and efficiency	
<p>Outcome 2.1. Learning and Skills Development (ECD, primary and secondary education emphasis) By end 2020, an effective and efficient well-resourced formal and non-formal quality education system that is accessible, inclusive, relevant, and produces highly skilled and innovative graduates for the job market and emerging national development needs</p> <p>Outcome 3.2. Infrastructure, Production & Trade By end 2020, Uganda’s stock of infrastructure adheres to physical planning policies and standards to support production and trade; production systems (agriculture, industry, mining & tourism) are internal & international market oriented, competitive, climate resilient, environmentally friendly, gender responsive, green technology driven and generating sustainable job opportunities for all, particularly women and youth; trade is formalized, competitive, scalable, ICT-enabled, regionally integrated, promoting MSMEs and corporate governance</p> <p>Outcome 2.2. Health By end 2020, strengthened national capacity to deliver improved health outcome through delivering preventive, promotive, curative and rehabilitative services that are contributing to: reduced mortality and morbidity, especially among children, adolescents, pregnant women and other vulnerable groups, and sustained improvements in population dynamics</p>	<p>6. Community infrastructure - To progressively enhance economic and social infrastructure in refugee hosting areas, in accordance with local government plans and systems</p>
ReHoPE objective 2: Improve economic opportunities & sustainable livelihoods	
<p>Outcome 2.1. Learning and Skills Development (technical and vocational emphasis)</p>	

UNDAF Outcomes (January 2015 draft)	Settlement Transformation Project Objectives
<p>By end 2020, an effective and efficient well-resourced formal and non-formal quality education system that is accessible, inclusive, relevant, and produces highly skilled and innovative graduates for the job market and emerging national development needs.</p> <p>Outcome 3.3. Employment By end 2020, Uganda has an expanded and well-regulated labour market with safe and decent jobs benefiting all, particularly women, youth and other vulnerable groups.</p> <p>Outcome 2.3. Social Protection By 2020, a nation with resilient communities and reduced extreme poverty and inequalities</p>	<ol style="list-style-type: none"> 1. Land management - To ensure that settlement land is managed in a way that is efficient and sustainable 2. Sustainable Livelihoods - To foster sustainable livelihoods for refugees and host communities, and thereby contribute to socio-economic growth
<p>ReHoPE objective 3: Strengthen Government and Community Institutions</p>	
<p>Outcome 1.1. Rule of Law and Constitutional Democracy By end 2020, Rule of Law, separation of powers and constitutional democracy are entrenched in Uganda and all individuals are treated equally under the law and have equitable access to justice</p> <p>Outcome 1.2. Human Rights and Gender Equality By end 2020, gender equality and human rights of all people in Uganda are promoted, protected and fulfilled.</p> <p>Outcome 1.4. Peace, Security and Resilience By end 2020, Uganda enjoys sustainable peace and security, underpinned by resilient communities and institutional systems that are effective & efficient in preventing and responding to natural and man-made disasters.</p> <p>Outcome 2.4. Addressing GBV and Violence Against Children By end 2020, incidence and impact of GBV and VAC on women and children is substantially reduced, underpinned by a strong institutional, societal and media response.</p>	<ol style="list-style-type: none"> 3. Governance and rule of law - To ensure that settlements are governed in a way that respects the rights and obligations of refugees and promotes the rule of law among refugees and host communities 4. Peaceful coexistence - To create an enabling environment for refugees to live in safety, harmony and dignity with host communities, and together contribute to social cohesion

UNDAF Outcomes (January 2015 draft)	Settlement Transformation Project Objectives
<p>Outcome 3. Institutional Development, Transparency and Accountability</p> <p>By end 2020, targeted public institutions and Public-Private Partnerships are fully functional at all levels, inclusive, resourced, performance-oriented, innovative and evidence-seeking supported by a strategic evaluation function; and with Uganda’s population enforcing a culture of mutual accountability, transparency and integrity.</p>	
<p>ReHoPE Objective 4: Addressing Environmental Degradation in refugee hosting areas</p>	
<p>Outcome 3.1. Natural Resource Management and Climate Change Resilience</p> <p>By end 2020, Natural resources management and energy access are gender responsive, effective and efficient, reducing emissions, negating the impact of climate-induced disasters and environmental degradation on livelihoods and production systems, and strengthening community resilience</p>	<p>5. Environmental protection - To protect and conserve the natural environment in and around refugee settlements</p>

Annex 2 – Pathways to Sustainable Livelihoods and Details of the Graduation Approach

Section 8.1.1 outlines the two main pathways to sustainable livelihoods: through agriculture, and income generation (business and/or employment).

Agricultural Productivity pathway – enhances agriculture production, by accessing land or improving land quality, providing in-kind or credit support for agricultural inputs, building agricultural skills including the introduction of modern techniques and higher-value or more resilient crops, enhancing the value of the harvest by improving post-harvest handling and primary processing or improving on-farm or aggregated storage, and finally by improving market linkages.

Given the high proportion of vulnerable women and children in the target populations, strong gender analysis and active measures for gender empowerment will be needed to ensure sustainable results

Depending on the detailed design, this could include strengthening of agriculture extension services in the nine target districts. As described below, until farmers are able to produce a sufficient harvest to cover their consumption needs and a marketable surplus to cover their other household expenses, they will need continued consumption support either in the form of food assistance or cash. It is expected that WFP, FAO, IFAD and development donors supporting agriculture projects will have a comparative advantage in this domain.

Income Generation pathway – promotes high potential value chains in the non-farm sectors (including wage employment, identifying viable livelihoods opportunities, business literacy, credit, small business development and skills training), in order to increase and diversify household income and reduce vulnerability. Access to post-primary education including tertiary education is a key enabler for non-agricultural households. [Initial studies](#)²⁹ show that refugees in established settlements and in settlements with limited agricultural land pursue highly diverse economic pathways. UNCT members with a comparative advantage in this area include ILO, IOM, UNDP and UNHCR, but it is anticipated that the bulk of support for non-farm livelihoods will come from the private sector including microfinance³⁰ institutions and employers, as well as from international NGOs, multilateral development banks and growth-oriented development projects.

In order to ensure that assistance is needs-based in a period of anticipated resource constraints, and to avoid the risk of reversing positive gains by misallocating resources, it will be important to take advantage of available technologies to ensure that only those in need are assisted by household-targeted interventions

²⁹ In particular the 2013 [Refugee Economies](#) study by Oxford University

³⁰ Microfinance is the provision of financial services to people with low incomes. Microfinance is broader than micro-credit, encompassing services such as micro-savings, micro-insurance, payment and remittance transfer services. Micro-credit is the provision of credit services to low-income entrepreneurs. Micro-credit can also refer to the actual micro-loan. Micro-insurance is the protection of low income people against specific perils in exchange for regular monetary payments (premiums) proportionate to the likelihood and cost of the risk involved. Micro-savings are deposit services that allow people to store small amounts of money for future use, often without minimum balance requirements. It is best practice to partner with accredited microfinance institutions in implementing microfinance activities

Details of the Steps in the Graduation Approach

1. **Provide consumption support** for a defined, clearly communicated, period³¹. Consumption support is the starting point of a graduation approach. The more vulnerable the household, the more risk averse they become as even small productive investments could risk their ability to feed the family. It is critical that vulnerable households have a predictable transfer in order to take a risk on a productive activity and to budget accordingly. Consumption support is a grant for a defined period that includes support for basic needs such as shelter, water and sanitation, and food assistance in the form of in-kind food, cash and/or vouchers. Consumption support is designed to support households during the planning and livelihood start-up phase (which could be as long as two years), before income is sufficient to meet the family's consumption needs. As households consolidate new ways of accessing income and food, and move toward greater self-reliance, consumption support is gradually scaled down in a targeted way. Consumption support is also a key tool for enhancing resilience, as it may also be temporarily scaled up to protect assets and productive capital during times of hardship (e.g. prevent households from selling livestock to access food during the lean season).³²
2. **Ensure access to existing basic social services by integrating ReHoPE with strengthened local government systems** (see 0). Poor households often lack access to social services even when they are available. If a poor household is malnourished, sick or uneducated, their chance of graduation is greatly reduced. ReHoPE partners have a comparative advantage in working with local governments to strengthen the delivery and access to social services, which is an important complement to the STA/DRDIP. The strategy will focus on facilitating access to existing services, providing gap filling service delivery in the humanitarian space, but primarily on strengthening existing social service delivery under the district government. The main social service components critical for household graduation are:
 - public health (including nutrition, sexual and reproductive health, and HIV/AIDS)
 - WASH (including awareness creation and provision of water and sanitation access)
 - education (including early childhood education, primary, secondary, tertiary, and non-formal education)
 - child protection services and programmes to prevent and respond to gender-based violence (including legal recourse and other survivor services)
 - environmental protection and conservation services (reforestation, erosion control, watershed management)
 - local infrastructure (including rural roads, rural electrification, water and sanitation)
3. **Ensure access to protection.** Protection has a specific legal definition in the refugee context; refugees are entitled to a range of protection measures that must be safeguarded. Protection can also be defined more broadly to include protection against conflict and other shocks.

Protection against the risk of communal conflict and violence. In the context of refugee and host communities the greatest risks of conflict and violence centre on access to farmland, environmental degradation, and competition for economic opportunities (jobs, market access, technical training etc.). Displaced and poor women and girls face particular risks of SGBV and exploitation when trying to provide for themselves and their dependents. It is important to

³¹ Consumption support is already in place for refugees but is required for the targeted vulnerable beneficiaries in host communities.

³² The programme design process will identify who among the ReHoPE partners is best placed to support or deliver each service or process to the communities in a challenging refugee/host community environment.

analyze and understand the specific drivers of SGBV, such as access to energy. These risks will be mitigated by ensuring full involvement by refugee and host communities in planning, implementation and monitoring, by equal and equitable treatment of both communities, and by particular efforts aimed at peaceful coexistence through community-based conflict prevention mechanisms to ensure that host communities perceive a net benefit as a result of hosting refugees.

Protection against shocks. More broadly speaking in the Disaster Risk Management (DRM) sense, households need to be protected from shocks that can undermine their resilience. In the first instance, ReHoPE will look to define an innovative new risk financing mechanism for both refugee influxes and natural shocks building on the Disaster Risk Financing mechanism designed in NUSAF 3³³. The concept is to help GoU design a fund integrated into the regular GoU budgeting framework that can respond as an early and first response to protect the ongoing development investments, and allow an initial response to refugee influxes.³⁴ This should be designed in tandem with a ‘crisis modifier’ type mechanism that builds a degree of flexibility into ongoing programs to ‘surge’ at the first signs of stress. Neither of these replace a humanitarian response if the shock is severe enough but allows rapid, in-built, and institutionalized early action.

4. **Promote Village Savings and Loans Associations (VSLAs)** for financial literacy, savings, group collateral, skills enhancement and confidence building. Once people’s food consumption stabilizes, joining a VSLA helps encourage savings. Regular savings not only builds assets but also instills financial discipline and familiarizes participants with formal financial services. Financial inclusion starts with financial literacy training, teaching participants about cash and financial management, and familiarizing them with savings and credit. Basic literacy and numeracy may also be required. VSLAs introduce the concept of group collateral which is important for accessing entry level financial services.
5. **Provide support to choose the right productive pathway** (either agriculture productivity or employment/income generation; traditional or non-traditional) that best matches household capacity and potential with market demand based on market analysis. Facilitate analysis with the DLGs of the local market’s infrastructure and support services to identify sustainable livelihood options in value chains that can absorb new entrants. Once range of viable options has been identified, the participant is supported to choose the option that best matches their livelihood preferences, abilities and capacities, and past experience.

In general, there are two main livelihood pathways in rural Uganda. In areas where refugees and host populations have access to land³⁵ – an agriculture-centric livelihood approach is more likely, although this should extend beyond subsistence production to include access to more

³³ The DRF sub-component of NUSAF 3 will be activated following disasters to scale up the Labour Intensive Public Works (LIPW) activities temporarily and rapidly to provide additional support to core LIPW clients and/or to extend coverage to new beneficiaries. The ability to rapidly scale up LIPW is expected to prevent household consumption from dropping after climatic disasters and to protect their livelihoods and assets, leading to a more rapid post-crisis recovery. While the core LIPW sub-component will be implemented throughout Northern Uganda, the DRF sub-component will be piloted in selected districts to generate adequate evidence on which to base the design of a possible extension of the program to other areas after the midterm review.

³⁴ The World Bank and other development partners have been developing similar risk financing instruments in other countries which will be an important input to designing this component.

³⁵ Refugees in Uganda live in settlements from which they are free to move provided they register appropriately with the authorities

land - ideally 1.0 ha per refugee family,³⁶ and for refugees and host communities alike access to agricultural finance, agricultural extension services, post-harvest management, value-chain processing and market linkages. In areas where land is limited, and for populations (in particular the youth, and urban men and women) for whom agriculture is not a preferred economic pathway, then wage employment and viable non-farm sustainable livelihoods would be more appropriate, notably through post-primary skills and business literacy training, and support for entrepreneurship, credit and small business (see page 36 for more details).

6. Ensure access to mentoring/life skills coaching, and appropriate technical skills training.

The poorest generally lack self-confidence and social capital. Regular inputs are required to help participants with business planning and money management, along with social support and health and disease prevention services. Participants require skills training on caring for an asset and running a business. Training should also provide information on where to go for assistance and services.

A key role for ReHoPE will be to encourage and strengthen the provision of ‘productive services’ at the district level by both DLGs and, where appropriate, the private sector (e.g. the use of small private animal health workers at community level to deliver basic services)³⁷.

Best Practice: In a series of new pilots, UNHCR is developing an “employment track” as a complement to the CGAP classic “microenterprise track.” Participants in the employment track receive technical skills in areas where the markets can offer jobs for relatively low-skilled workers. In parallel, UNHCR works with the potential employers to determine the needs and raise awareness on the particularities of their populations of concern (typically refugees or internally displaced people).

7. **Facilitate access to the entry level rung of the appropriate value chain.** A key step in building sustainable and resilient livelihoods is to help link households to the value chain appropriate to their productive pathway. Many of the poor do not understand nor have access to the markets for their chosen pathway. Lessons from the use of a value chain approach point to the need to analyze each step in the value chain including the actors involved. Key to the approach is to engage the private sector to help facilitate the linkages between the demand and supply sides. In some cases, group-based production schemes are needed and it makes sense to create or strengthen cooperative structures. Cooperatives can also facilitate linkages to larger markets, for example by organizing product collection centers, bulk- buying facilities, or selling outputs jointly. ReHoPE will aim to help build awareness amongst households, map out value chains with partners, and facilitate linkages to the actors within the value chain including the various markets at different stages of the value chain.

³⁶ A recent [World Bank report \(Agriculture for inclusive growth in Uganda: Zorya, Kshirsagar, Gautam, Odwongo, Verbeek and Sebudde: 2011\)](#) argues convincingly that in Uganda commercialized smallholder farms are more efficient and more equitable than large-scale farms, and suggests that a farm size of at least 1.0 ha is needed for a smallholder to move from subsistence to resilient and growth-oriented production, while according to the [AfDB](#), the average farm size in Uganda is 2.5ha ([Smallholder Agriculture in East Africa: Trends, Constraints and Opportunities: Salami, Kamara and Brixiova: April 2010](#)). Refugees can access farmland beyond the settlement allocation through leases or informal arrangements with community landowners

³⁷ The experience of community based animal health workers (CAHW) points to the benefits of outsourcing some aspects of service delivery. http://fic.tufts.edu/assets/TUFTS_1423_animal_health_workers_V3online.pdf

8. **Provide an asset transfer to enable graduation.** Once the process of financial literacy and group formation in the VSLAs has been firmly established, including the ability to save, an asset transfer is given either in kind or in cash to help jump-start economic activities. For example, the asset transfer could be livestock if the livelihood involves animal husbandry, or a lump sum to access further technical training if the livelihood involves employment.

9. **Facilitate access to appropriate financial services (microfinance including credit and insurance).** Microfinance is the provision of financial services to people with low incomes. Microfinance is broader than micro-credit encompassing services such as micro-savings, micro-insurance, payment and remittance transfer services. Micro-credit is the provision of credit services to low-income entrepreneurs. Micro-insurance is the protection of low income people against specific perils in exchange for regular monetary payments (premiums) proportionate to the likelihood and cost of the risk involved. Micro-savings are deposit services that allow people to store small amounts of money for future use, often without minimum balance requirements³⁸. It is best practice to partner with accredited microfinance institutions in implementing microfinance activities which includes Savings and Credit Cooperative Organizations (SACCOs).

The Graduation Approach recognizes that not all participants will want to take on credit. However, in some cases, participants do choose to borrow to expand their activities or start new enterprises. At a minimum, ReHoPE will aim to ensure that by the end of the program, participants are creditworthy and in a position where they can access credit if they want to.

³⁸ www.cgap.org/publications/extreme-poverty-sustainable-livelihoods

Annex 3 – Track record of UNCT collective work on resilience and livelihoods

With regard to resilience in Uganda, the Government is committed to strengthening system resilience inter alia through decentralized implementation and monitoring of programmes. In addition to a decade of sustained collaborative work on reconstructing Northern Uganda including [Peace, Recovery and Development Plan for Northern Uganda](#) (PRDP), the GoU, the UN and other partners also have several programmes that enhance communities' capacities to address conflict, environmental, and economic shocks. These disaster risk reduction and climate change adaptation initiatives include, but are not limited to, the FAO/UNICEF/UN Women/WFP Joint Strategy for Building Community Resilience in Karamoja, the EC-funded FAO-implemented [Karamoja Livelihood Programme](#), and the World Bank-funded Ministry of Agriculture, Animal Industry and Fisheries-implemented [Regional Pastoral Livelihood Resilience Project](#) (RPLRP). These holistic interventions are aimed at improving the productivity of pastoral, agriculture, and agro-pastoral livelihood systems, while creating platforms by which communities can mitigate recurrent natural and manmade disasters.

Looking forward, Denmark, WFP and IFAD have projects at the advanced planning stages focused on resilience in the smallholder agriculture value chain in four refugee-hosting districts. With support from Norway, joint work on GBV is ongoing through the UNFPA/UN WOMEN/FAO/UNICEF [Joint Program on Gender Based Violence](#), and with support from DfID there is a [Joint Program on Gender Equality](#) involving seven UN agencies, government and civil society partners. Through the [Joint Program on HIV/AIDS](#), activities are under way in building capacity of young people in HIV prevention, as well as HIV treatment and support. ILO and IOM are providing technical assistance to develop a labour market information and analysis system (LMIAS) that allows for the collection, analysis and sharing of labour market data to assist the GoU, the private sector and other actors to make well-informed decisions related to policies, business plans, education and training offers, career planning, job search and workforce investment strategies.

Recently WHO, UNICEF and UNFPA have supported the MOH to review the community based health program taking the experience in the country in the last decade and in Ethiopia into account. Currently a more robust community health program is being crafted and its implementation is to start soon. Finally, FAO's agro-pastoral field schools; UNICEF's work to improve social service delivery through innovations like U-report and other forms of community engagement; the Joint UNICEF/UN Women Gender Promotion Initiative that aims at social integration of women and girls affected by conflict in Northern Uganda and at addressing cultural and economic barriers to economic assets such as land; WFP's vulnerability assessment and mapping, combined with other organizations' tools, together provide a comprehensive set of mechanisms to build robust, resilient communities.

Annex 4 – Joint UNICEF, WFP, FAO Resilience Strategy

FAO, UNICEF and WFP have more than 20 years of experience working with Karamojong communities, and have been deeply engaged in activities that build resilience and have operated at scale. However, there is a need to do more. Recent joint efforts under DFID funding have not gone far enough and opportunities have been missed.

Within this context, the three agencies have developed a multi-year resilience strategy to clearly understand and assess both the opportunities and constraints in Karamoja. The three agencies will combine their efforts more systematically to empower households, communities and the government systems that support them to reduce, mitigate and manage their risks; and to work to transform the lives of the vulnerable in Karamoja.

FAO, UNICEF and FAO will focus on four complementary building blocks to promote resilience:

1. **Strengthen the productive sectors** - to increase household *income* and *food security* by diversifying livelihood strategies and intensifying production at household level, and by enhancing access to markets and market information.
2. **Improve basic social services** - to strengthen vulnerable households' *human capital* by creating systems able to assess communities and capture the information needed to enhance the demand and access to care practices and capacity building opportunities.
3. **Establish predictable safety nets** - to address the most vulnerable people's *basic needs* through *predictable* and sustainable transfer of food or cash for the extremely vulnerable or seasonally at risk populations.
4. **Strengthen Disaster Risk Management support** including EWS, contingency planning, and risk financing to protect vulnerable households and assets, and the overall development investment.

While these four building blocks are essential for building household resilience, the impact cannot be sustained unless the overall system to deliver these services is strengthened. Consequently, lessons learned from implementation will be the entry point for:

1. **Strong systems strengthening approach** targeting community level structures and government institutions beginning with the lower decentralized levels
2. **A pragmatic learning agenda for decision making and systems strengthening** to ensure that operational lessons learnt are able to feed directly into improvements in the overall system itself.

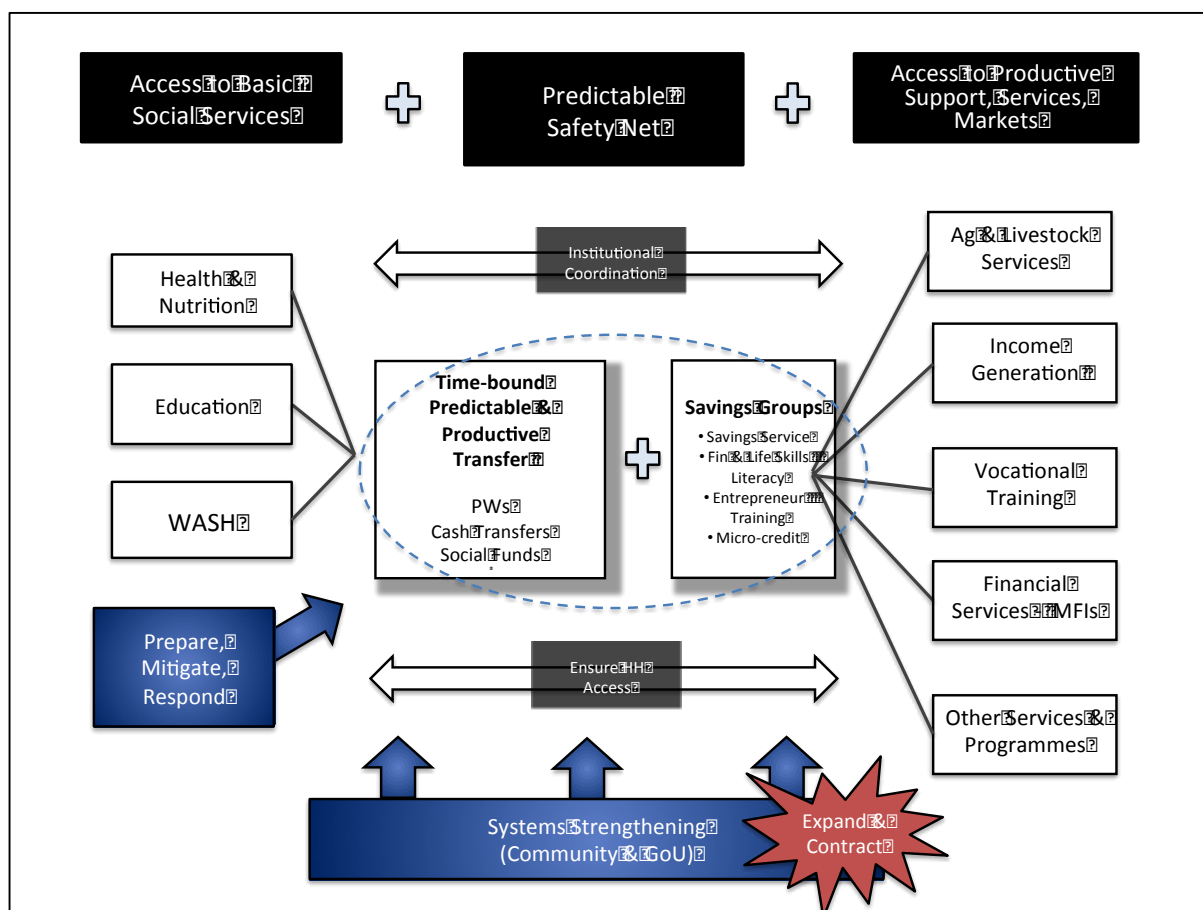
The value of a more coordinated effort – analytically, strategically, operationally and in terms of assessing results – is potentially very significant. The three agencies will leverage their internal harmonisation to encourage and support Government coordination with other all actors in Karamoja. In the process, the three agencies will begin by focusing on areas directly in their comparative advantage and core competencies – food and nutrition security.

The strategy will follow a clear agenda for action. This will reduce duplication, increase impact, reduce transaction costs for communities and government, and allow the agencies to more powerfully leverage their experience for systems strengthening. The agenda for action includes:

The agenda for action includes:

1. Common results framework with joint monitoring and evaluation
2. Common situation and problem analysis based on a shared analytical framework
3. Joint area-based planning of interventions
4. Joint learning
5. Joint systems strengthening
6. Joint advocacy

Operational Framework: Combining the Core Building Blocks of Resilience



Annex 5 – Road Map

Phases		Activities
Preparation	Conceptualizing ReHoPE (2014-2015)	<ul style="list-style-type: none"> ▪ Developing the concept ▪ Supporting the inclusion of refugee and host community issues in the Second National Development Plan (NDPII) ▪ Supporting the development of the Settlement Transformative Agenda (STA) ▪ Securing funding from the UN-WB Partnership Trust Fund
	Preparing ReHoPE Strategy (2016)	<ul style="list-style-type: none"> ▪ Undertaking the Kampala and field-level consultations ▪ Preparing the draft ReHoPE Strategic Framework ▪ Consultations on the draft Strategic Framework ▪ Finalizing and launching the ReHoPE Strategic Framework, which also serves as the Comprehensive Refugee Response (CRR) Framework
	Program Design Phase (2016)	<ul style="list-style-type: none"> ▪ PIM. Designing the Project Implementation Manual (PIM), which outlines how humanitarian and development programs benefiting refugees and host communities are going to be designed and implemented. ▪ Coordination Mechanism. Create the coordination mechanism building on the existing humanitarian and development coordination mechanisms and establish a coordination secretariat ▪ Phase One Financing. Prepare the: resource envelope required for Phase One (2017-2020) and the joint funding proposal. Also outline the financing mechanism (pooled funding, etc)
Implementation	Phase One (2017-2020)	<ul style="list-style-type: none"> ▪ Preparing annual implementation plans at the district level (led by the OPM and LDGs and including UN agencies, development partners and other stakeholders). ▪ Designing and implementing joint and separate activities using PIM (by the various stakeholders with the support of the secretariat). ▪ Knowledge management (with support by the secretariat): <ul style="list-style-type: none"> ○ Monitoring and evaluation ○ Compiling good practices ○ Providing technical support to the various organizations ▪ Independent review of Phase One implementation.

Phases		Activities
		<ul style="list-style-type: none"> ▪ Designing the next generation of coordination mechanism and financing modalities – based on the experience of Phase One. Updating the overall ReHoPE strategic framework accordingly. ▪ Designing Phase Two of the Project
	Phase Two (2021-2025)	<ul style="list-style-type: none"> ▪ Rolling out the new coordination mechanism and financing modalities ▪ Preparing annual implementation plans at the district level (led by the OPM and LDGs and including UN agencies, development partners and other stakeholders). ▪ Designing and implementing joint and separate activities using PIM (by the various stakeholders under the umbrella of the district planning process). ▪ Knowledge management (with support by the secretariat): <ul style="list-style-type: none"> ○ Monitoring and evaluation ○ Compiling good practices ○ Providing technical support to the various organizations ▪ Designing the next generation of coordination mechanism and financing modalities – based on the experience of Phase One (by the secretariat) ▪ Independent review of Phase Two implementation. ▪ Designing Phase Three of the Project (led by the secretariat and including the various stakeholders)
	Phase Three (2026-2030)	<ul style="list-style-type: none"> ▪ Preparing annual implementation plans at the district level (led by the OPM and LDGs and including UN agencies, development partners and other stakeholders). ▪ Designing and implementing joint and separate activities using PIM (by the various stakeholders with the support of the secretariat). ▪ Knowledge management (with support by the secretariat): <ul style="list-style-type: none"> ○ Monitoring and evaluation ○ Compiling good practices ○ Providing technical support to the various organizations