

# **FRAME PROJECT**

# **INTRODUCTION**

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**UNHCR**

**CARE International**



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## EXECUTIVE SUMMARY

**H**umanitarian relief activities can cause significant damage to the environment if timely and appropriate measures are not taken to minimise or prevent impact, and if minimum standards – whether defined by UNHCR or by the national government – are not respected.

UNHCR has, in recent years, defined a series of requirements and basic standards that, if applied at the onset of a refugee operation or as early as possible thereafter, will help contain and minimise possible adverse impacts on the surrounding environment. In doing so, good relations between refugees and local communities and authorities can expect to be favoured. Without such action, however, experience shows that conflicts will often emerge over accessing and using natural resources and that the situation can quickly deteriorate – a situation which is both time consuming and cost demanding.

Obtaining and using the best available information at the earliest phases of refugee and returnee operations is therefore vital. So too is knowing how to use the information resulting from initial assessments, for planning and co-ordination purposes, but also to assist with and influence the decision-making processes, and to serve as a comparative basis for future monitoring programmes.

As part of an ongoing effort to provide UNHCR managers and field staff, as well as key operational partners, with appropriate tools that will enable them to look into the issues of environmental assessment, monitoring and evaluation, UNHCR, together with a range of organisations and specialist individuals, has prepared this collection of tools and guidance under a project known as **FRAME – Framework for Assessing, Monitoring and Evaluating the Environment in Refugee-related Operations**.

The tools contained in this Toolkit range from a relatively simple guide on how to conduct a rapid environmental assessment within a period of 48-72 hours, to describing how to develop a highly participatory formulated community environmental action plan and to highlighting some of the opportunities for using the latest technology with geographical information systems. All of the tools are described in the context of the project or programme cycle, the intention being to enable users to see which of the tools might be beneficial to their own needs and purposes at a specific point in time. In addition, it is hoped that by following the steps outlined in the Toolkit's modules vital activities such as environmental assessments, regular monitoring and periodic evaluation will be undertaken as a routine event in future operations and will be undertaken in a more systematic and technically sound manner that has been the case thus far – all of which is intended to further strengthen UNHCR's and partners' responses to ensuring that environmental management becomes more streamlined and better managed in refugee and returnee operations, worldwide.

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The entire FRAME Toolkit has been subjected to a peer review and specific input to the tools has also been forthcoming from UNHCR's Environmental Co-ordinators. Special thanks to all those who reviewed parts of the Toolkit, often on more than one occasion, namely: Paul Thompson, Cleophas Mubangizi, Mr Weja Lutobola, Jason Hepps, Joel Houdegbe, Musibono Eyul' Anki Dieudonné, Amare G-Egziabher, Marc-André Bunzli and Jenny Bredin.

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## GLOSSARY AND ACRONYMS

**Action** refers to the 'on the ground' implementation of a structured set of activities arising from a decision to achieve a specific goal or set of objectives, for example, the siting of a new camp in an emergency situation.

**Alternative** refers to a different option for achieving the same goal or objectives. An alternative might be the selection of a different site for a camp, or the suggested use of agroforestry practices instead of the inappropriate and damaging practice of monocultures.

**Baseline Study:** An analysis describing the situation prior to a development intervention, against which progress can be assessed or comparisons made.

**Beneficiaries:** the individuals, groups or organisations – whether targeted or not – that benefit, directly or indirectly, from the development intervention.

**Community Environmental Management Plan (CEAP)** is a plan produced together with stakeholders from the affected community, using input – in this instance – from either an environmental assessment or a rapid environmental appraisal. It takes recommendations on measures to mitigate and monitor impacts and combines them within a systematic framework of operation. The framework provides for the allocation of responsibilities, resources and specific time periods to individuals and organizations so that they can implement mitigation and monitoring in the most cost-effective way.

**Environmental Assessment (EA)** is a structured approach to predicting the impacts of a proposed action *before* it is implemented. An EA is generally used when the impacts of an action cannot be understood without a systematic and focused study. Once the impacts are known or estimated, measures can then be taken to avoid damaging the environment (including the livelihoods of people living in that environment) and enhance benefits. Environmental assessment is a tool to prevent unnecessary damage that can be expensive to repair once the action has been implemented.

**Environmental Impact** is the *expected* change in an environmental factor over a specified period, and within a defined area, resulting from a particular proposed action.

**Evaluation:** the systematic and objective assessment of an ongoing or completed project, programme or policy, its design, implementation and results. The aim is to determine the relevance and fulfilment of objectives, efficiency, effectiveness, impact and sustainability. An evaluation should provide information that is credible and useful enabling the incorporation of lessons learned into the decision-making process or both recipients and donors.

**Ex-ante Evaluation:** an evaluation that is performed before implementation of a specific intervention.

**Ex-post Evaluation:** evaluation of an intervention after it has been completed.

**External Evaluation:** the evaluation of an intervention conducted by people outside the donor and implementation organisations.

**Evaluator(s):** The person or persons charged with undertaking an evaluation.

**Feedback:** the transmission of findings generated through the evaluation process to parties for whom it is relevant and useful so as to facilitate learning. This may involve the collection and dissemination of findings, conclusions, recommendations and lessons from experience.

**Geographical Information System (GIS)** is an organised collection of computer hardware, software, geographic data and personnel designed to capture, store, update, manipulate, analyse and display all forms of geographic data in an efficient manner.

**Geographical Positioning System (GPS)** is a navigational system based on a constellation of 27 satellites that provides users with a means for accurate and constant navigation anywhere on the Earth's surface.

**Impact Significance** refers to a judgement on the importance of an expected impact and whether it is acceptable or unacceptable: if the latter, it will require *mitigation*.

**Impacts:** positive or negative, primary and secondary long-term effects produced by an intervention, directly or indirectly, intended or unintended.

**Independent Evaluation:** an evaluation carried out by people free of control of those responsible for the design and implementation of the intervention being evaluated.

**Indicator:** quantitative or qualitative factor or variable that provides a simple and reliable means to measure achievement, to reflect the changes connected to an intervention or to help assess the performance of a particular agency.

**Internal Evaluation:** evaluation of an intervention conducted by a unit and/or individuals reporting to the management of the donor, partner or implementing organisation.

**Lessons Learned:** generalisations based on evaluation experiences with projects, programmes or policies that abstract from the specific circumstances to broader situations. Frequently lessons highlight strengths or weaknesses in preparation, design and implementation that affect performance, outcome and impact.

**Livelihood** refers to the capabilities, assets and activities by which an individual, household or community maintains and tries to enhance his/her/their standard of living and quality of life.

**Local Government** is the entity recognized as the decision-making body for local policies and actions. Members can be elected or appointed by central government. Local government can also refer to traditional institutions (e.g. councils of elders and or chiefdom) that derive their legitimacy from a specific society or ethnic group.

**Mid-term Evaluation:** an evaluation performed around the middle of the period of implementation of an intervention.

**Mitigation** refers to actions that can be taken to prevent, avoid or reduce damaging impacts – some such actions can have beneficial impacts.

**Monitoring** is the activity involved in tracking environmental impacts once an action has been implemented. It involves the selection of an indicator such as vegetation cover and measuring this over a specific time period to detect whether it is increasing, decreasing or remaining stable. Monitoring requirements are often contained in *Community Environmental Action Plans*.

**Participatory Evaluation:** an evaluation method in which representatives of agencies and stakeholders work together in designing, carrying out and interpreting an evaluation.

**Rapid Environmental Assessment (REA)** is a quick, focused environmental study of the likely impacts of proposed small-scale projects that do not require the more formalised and detailed approach of an environmental assessment to be undertaken. The aim, like that of an environmental assessment,

is to avoid unnecessary environmental damage, but it is completed usually with fewer resources and in less time than a formal assessment.

A **Refugee** is a person who "owing to a well-founded fear of being persecuted for reasons of race, religion, nationality, membership of a particular social group, or political opinion, is outside the country of his nationality, and is unable to or, owing to such fear, is unwilling to avail himself of the protection of that country..." (the 1951 Convention relating to the Status of Refugees).

**Remote Sensing** is a means of acquiring information about an object without contacting it physically. Methods include aerial photography, radar and satellite imaging.

**Re-integration** refers to the ability of returning refugees (as well as internally displaced persons and others) to secure the necessary political, economic, legal and social conditions to maintain their life, livelihood and dignity.

**Repatriation** relates to the return of refugees to their country of origin in safety and dignity.

**Residual Impact** is the expected impact once the effects of mitigation have been taken into account.

A **Returnee** is a refugee who has returned to his/her country or community of origin.

**Scoping** is a structured means of identifying the likely significant impacts of a proposed action by careful, structured consultation with stakeholders. Scoping results form the starting point for environmental assessment work. Not a requirement for rapid environmental appraisal.

**Self-evaluation:** an evaluation by those who are entrusted with the design and delivery of a specific intervention.

**Stakeholders** are government agencies, organizations, social groups (such as indigenous people) or categories (such as women or the elderly) and individuals whose interests might be affected by a project and/or who might be able to influence decisions on whether an action should be implemented.

**Terms of Reference (TORs)** are prepared for environmental assessments either before scoping or immediately afterwards. They are a written statement of the work to be done to prepare an Environmental Assessment Report and usually include timing requirements, the consultations to be implemented and the number and form of the reports (interim, draft or final) to be produced.

## ACRONYMS

CEAP	Community environmental action plan
EA	Environmental assessment
EMG	Environmental Management Group
EWG	Environmental Working Group
FRAME	Framework for Assessing, Monitoring and Evaluating the Environment in Refugee-related Operations (Project)
GIS	Geographical information system
GPS	Global positioning system
IP	Implementing Partner (of UNHCR)
NGO	Non-governmental organisation
REA	Rapid environmental assessment
PRA	Participatory rural appraisal
TOR	Terms of Reference
UNHCR	United Nations High Commissioner for Refugees

# 1. INTRODUCTION

## 1.1 THE NEED FOR SOUND ENVIRONMENTAL MANAGEMENT

**G**ood planning and management is essential for all aspects of projects and programmes to reach their goals and deliver the outcomes for which they were intended. Although consideration for the environment now features more prominently in UNHCR's planning and management processes, there are still occasions where this is not assiduously followed, or perhaps as effective as it might be. Experience over the past decade, in particular, has shown the many benefits of accounting for the environment in refugee and returnee operations and in particular where activities are structured and implemented in such a way so that local community members too might gain from any intervention relating to improved management of natural resources.

Environmental assessments, for example, are a legal requirement for development activities in a growing number of countries, occasionally even for the establishment of a refugee camp or settlement. Yet, and largely because of time pressure and a need to provide refugees with security, shelter and food as priority items, an environmental assessment is rarely – if ever – conducted before a camp or settlement is established or even enlarged. Experience, however, has shown the detriment of this oversight, as decisions taken with regards the environment at this time of a relief operation are often time consuming and costly to reverse, if indeed this can be done.

Likewise, the lack of rigorous monitoring and periodic evaluations of environmental projects and programmes weakens the potential of activities to reach their intended goals, and prevents valuable lessons from being learned. Local people or even the refugee community are often not consulted with regards the type of environmental activity which is to be set in motion – another example of a situation which if addressed from the outset would only strengthen the impact of an activity. Instead of channelling funds into large-scale tree planting exercises, for example, better results might be achieved through carefully planting trees in and around people's homes where people can care for the trees and directly benefit from them as they grow. Any activity such as this, however, requires careful assessment, planning, monitoring and periodic evaluation.

### WHAT IS MEANT BY "ENVIRONMENT"

In the present context, the "environment" includes natural features such as flora and fauna, water quality and quantity, tree cover and soil fertility that can be affected by a proposed action.

The term also includes specific social, health and economic aspects (of refugees, returnees and/or the host population) that may change, due to a proposed or actual action, and cause environmental impacts. An example would be if access to, or use of, a particular resource was no longer available to local people as it had been impacted by refugees, the local population might have no alternative but to exploit another resource in order to maintain their livelihood and/or standard of living.

This broad definition has been adopted to ensure that the welfare of refugees and the host community is protected and, if feasible, enhanced through the consistent use of environmental assessments, monitoring programmes and periodic evaluations.

Treatment of the environment, however, should not only be limited to distinct, tangible physical resources. Consideration also needs to be given to the broader function of the ecosystem(s) in which a camp or settlement might be located, e.g. wetlands, watersheds or forests.

## 1.2

### ENVIRONMENTAL CONSIDERATIONS OF REFUGEE-RELATED OPERATIONS

UNHCR's **Environmental Guidelines** (1996, 2005) summarise some of the commonly experienced impacts associated with refugee, returnees and humanitarian operations (see Box 1). One important message from this is that impacts on natural resources and the environment are always accompanied by social impacts of some kind, and commonly by associated health, cultural and economic impacts. Unless due attention is given to the breadth and scale of possible environmental impacts, local populations can easily suffer as much as refugee populations.

#### BOX 1. POSSIBLE ENVIRONMENT-RELATED IMPACTS OF REFUGEE AND RETURNEE OPERATIONS

**Natural resources degradation:** Degradation of renewable natural resources such as forests, soils, pasture and water dominates the environmental problems associated with refugees and some refugee operations. Depletion of these resources is often accompanied by their biological impoverishment. Contamination of surface and ground water can occur when sanitary measures are inadequate, or through improper application of agro-chemicals or the leakage of vehicle fuels. In the case of settlement schemes, poor land-use practices may further exacerbate land degradation.

**Irreversible impacts on natural resources:** Particularly serious are impacts on areas of high environmental value that may be related to the area's high level of biological diversity, its function as a haven for endangered species or as an important recreation destination. Some of these areas may be of global importance. Damage to these natural assets can be irreversible, and thus deserve special efforts of prevention or mitigation.

**Impacts on health:** Impoverishment of surrounding natural resources undermines the long-term nutritional base and can cause further adverse impacts on the health of an already weakened group of people. Shortage of fuelwood, for example, may result in undercooking food. A high percentage of adverse health impacts is related to faecal and chemical contamination of drinking water and ease of disease transmission in overcrowded refugee camps. Dust and smoke, created by the burning of low-quality fuelwood, heightens the incidence of respiratory disease. Most of these problems tend to disproportionately affect the vulnerable groups, i.e. the very old or the very young.

**Impacts on social conditions:** The effects of environmental degradation, particularly those related to fuelwood gathering, are felt with a particular force by women and children. Women must spend long hours seeking and carrying wood, activities which put them at increased risk of fatigue and exposure to assault, as well as detracting from their child-care and family and social functions.

**Social impacts on local populations:** Host communities suffer similar social impacts as those felt by refugees. Competition between locals and refugees for scarce resources (fuelwood, fodder, water) can result in conflicts and resentment. In some cases, a refugee influx has led to the breakdown of traditional and sustainable local systems of natural resource management – a change that may not always be easy to reverse.

**Economic impacts:** An influx of refugees is often felt in the local markets. While sections of the local population may benefit, the local poor are usually affected adversely as refugee demand forces up the prices of fuel. Deforestation, land degradation and water resource depletion all carry with them an economic cost for the local population, as does the reduced availability of fuel, housing materials, medicines, and wild game from forests. The consequences of environmental degradation in the vicinity of refugee camps may be felt at considerable distances from the camps: soil erosion and resulting sedimentation can shorten the life of reservoirs and erosion-related floods can destroy local infrastructure.

Source: UNHCR 1996, 2005

Conscious of these issues, and taking into account the role which environmental management plays in the safety and welfare of refugees and returnees, as well as the importance of environmental management *vis a vis* concerns of local hosting populations, UNHCR has made a deliberate effort to develop a package of tools and guidance aimed at helping improve project and programme management in its global operations.

Avoiding, or radically reducing, the sorts of environmental problems described in Box 1 makes sense for a number of reasons. For instance, it saves expensive restoration and rehabilitation costs later on and thus enables funding to be directly used to help refugees. It can also reduce conflict (see Box 2) between refugee and host communities, and improve the health and overall welfare of both communities. As a result of some of the lessons learned in the past, UNHCR now therefore sees environmental management as an essential component of its refugee operations.

#### **BOX 2. FRAME AND CONFLICT RESOLUTION: EXPERIENCE FROM THE FIELD**

Many of the processes contained in this Toolkit involves bringing together participants from refugee and host communities to discuss issues, to identify common concerns and to agree on collective actions to address shared priorities. When testing this process, concerns were aired about how the tensions between these communities might surface during joint meetings and exercises.

Observing such sessions in many countries, it was clear that tensions were sometimes not far from the surface and the facilitator of the process at the time had to act with considerable diplomacy on some occasions. However, even in the short time of these exercises, notable changes were recorded in peoples' perspectives. In particular, host communities were seen to alter their impressions from a position of accusations and blame to a position in which they expressed the desire to work in partnership with the refugees. Some participants described this progress as being "beyond their expectations"; others described it as a "very rewarding" experience.

### **1.3 THE FRAME PROJECT AND TOOLKIT**

To help promote the regular use of assessments, monitoring practices and evaluation with regards environmental issues, projects and programmes, in 2001 UNHCR initiated a project known as **FRAME – Framework for Assessing, Monitoring and Evaluating the Environment in Refugee-related Operations**.

The project was designed specifically to develop, test and deliver a series of tools (Box 3) to a wide range of users, primarily UNHCR field staff and managers, but also its many implementing partners, relevant government authorities, specialist consultants and individuals working on (primarily) environment-related support projects or programmes. In addition to providing sound technical advice in a simple and practical manner, the **FRAME Toolkit** (as this collection of resources is called) **is intended to ensure that environmental assessments, monitoring programmes and evaluations are carried out in future in a more systematic manner, along proven guidelines, through appropriate means and approaches, and that the information from each of these stages is then put to good use for improved environmental management and livelihood security of displaced persons and those who may be affected by their presence in a particular region – the hosting community.**

The tools and technical guidance contained in this Toolkit is intended to complement existing materials relating to the sound management of natural resources, and plugs an important gap in the resources currently available to managers, field staff and community members.

### **BOX 3. WHY MORE TOOLS?**

The FRAME Project and resulting Toolkit was conceived following a recognised gap in the tools and guidance available for field workers and managers, in particular, with regards consistent and rigorous project and programme management of environmental activities. Initial concerns focused on the need for clear and simple assessment and monitoring tools, but this was later broadened to include evaluations, as well as describing different ways of approaching some of these three elements, for example, by looking at participatory approaches as well as more technically demanding interventions such as geographical information system methodology for database development, satellite image interpretation and much more.

Extensive reviews of other materials and assessment and monitoring tools at the time showed that none of those available related adequately to the particular situation of a refugee or returnee operation, and that users would have difficult interpreting and adapting these to their own needs.

Evolution of the FRAME Project thus followed a number of meetings and consultations with UNHCR's partners, government representatives and other agencies to try and develop an appropriate response to this need. Specific questionnaires were circulated to receive input regarding the proposed Toolkit components as well as the proposed audience for the tools and the manner of presentation. A one-day design workshop was hosted by UNHCR in Geneva to seek advice from a range of intended stakeholders on the design of this project and its intended outputs. A number of specialist agencies and individuals were then contracted to work on the various tools, the result now being the present FRAME Toolkit. Despite being tailor made for use in refugee and related operations, it is nonetheless hoped that at least some of these tools will find wider application in emergency as well as longer term situations.

## 2. WHY USE THIS TOOLKIT?

### 2.1 Introduction

UNHCR, government departments, UNHCR Implementing Partners and communities are increasingly having to respond to the environmental degradation caused in and around refugee camps and settlements. Although much can be done to help prevent or at least minimise the physical footprint of these structures on the environment, the reality of most situations is that large numbers of people, and often their livestock, need to be sustained for sometimes quite extensive periods of time. This has and will likely always have a negative impact on the physical environment, unless appropriate and timely actions are taken.

#### **WHO IS THIS TOOLKIT INTENDED FOR?**

After much initial consultation with a range of stakeholders, this Toolkit has been designed for use by a range of people, in particular:

- specialist consultants engaged to undertake one or more of the activities pertaining to the FRAME Toolkit, primarily to ensure consistency in the approaches taken and tools used;
- UNHCR's Implementing Partners who, once training has been provided, should naturally assume many of the tasks described;
- UNHCR Environmental Co-ordinators or Focal Points, to understand the different processes involved so that they are able to prepare for, participate in and/or monitor progress of a particular phase or activity;
- camp and settlement managers who should review the results from these exercises and use the analysis and results for future management purposes;
- UNHCR management who should likewise consider how findings could be used to improve particular situations or activities;
- government authorities, some of whom might be actually involved in some of the activities, but who should otherwise be duly informed of any recommendations or decisions stemming from an assessment or evaluation, for example; and
- representatives from refugee and host communities – for example, members of an Environmental Committee – some of whom at least will be directly implicated in some of the activities

Different parts of the Toolkit, however, will be more appropriate and useful to specific users some of whom at least should not be compelled to use the entire collection of tools and approaches.

Although unlikely to be involved in any of the activities that might be undertaken with this Toolkit, it may also be prudent to consider informing key donors of any important findings from an assessment or evaluation, or to simply keep them informed on progress through a synthesis of regular monitoring reports.

Experience is growing on how to manage natural resources and safeguard ecosystem integrity at times such as a refugee influx or protracted period of stay. This Toolkit has been designed specifically to add to this body of knowledge by focussing on certain vital issues and activities, and by offering a suite of approaches which may be taken – as they are presented, or adapted to suit local needs or conditions – on such occasions.

### 2.2 Some Practical Examples of how this Toolkit could Help You

Users of this Toolkit are encouraged to adapt many of the tools and approaches contained herein to suit their particular needs. To help encourage and enable this, practical examples are also worked into the various modules at certain points. Early application of an environmental assessment (see Annex I of Module II) in Sierra Leone, where a planned expansion for an enlargement to an existing settlement

was being considered, for example, allowed a number of important issues to be highlighted, including the fact that:

- the rate of forest cover loss outside the camp and its accompanying ripple effects could result in a serious and significant situation where the carrying capacity of the environment is exceeded in terms of sustainable utilisation of certain vegetation resources;
- when the refugee population reaches its climax, there is the potential for key resources to become unobtainable for both refugees and the host communities;
- at this stage, the entire sustenance of the camp will depend on UNHCR, with no input from the refugees – even fuelwood may not be available. When this situation becomes apparent to the host community, local people may become hostile to the refugees;
- inside the camp the current and continuing removal of vegetation will have potentially serious implications in terms of microclimate change, soil fertility and quality of life for the refugees; and
- the likely adverse health impacts are also quite significant. If the impacts identified are not appropriately mitigated, there may be an outbreak of an epidemic like cholera and consequent illnesses and, perhaps, loss of life.

Early identification of these issues alone allowed appropriate measures to be taken, the options being to either find an alternative site on which to locate additional refugees or to identify measures which needed to be put in place to prevent these likely impacts from happening.

#### **WHAT CAN THIS TOOLKIT OFFER?**

This **Toolkit consists of a series of analytical, planning and management tools** which will help ensure:

- timely collection of baseline data on the state of the environment, in particular, that will help influence decisions and actions taken at all phases of a relief operation;
- that potentially negative impacts of a refugee or returnee operation are identified and appropriate remedial steps taken to counteract or at least limit the possible impacts;
- appropriate monitoring systems are put in place;
- affected communities are consulted and helped to be part of the project or programme process, through the use of a series of participatory approaches and tools;
- activities are routinely evaluated, with the results being used to further improve project or programme management;
- data are analysed, lessons are learned and information is shared;
- government authorities are informed of decisions taken or recommended following conclusion of a particular activity; and
- that the investigations will have been undertaken using technically sound and appropriate guidance.

Using GIS as a decision-making tool is equally appropriate in some situations as the previous example. In a study undertaken in Uganda by the Institut de recherche pour le développement (IRD) and UNHCR, spatial analysis of topographical details shows the potential of GIS as an ideal first step to take when identifying possible sites for refugee settlements, where the intention was to help families become totally self-reliant. Analysis of features such as land use, topography, hydrography and more, in one region north of Adjumani, however, clearly showed up the different situations in which some settlements were located – a large part of Elema settlement, for example is located in a zone subject to temporary flooding, while another settlement, Nyeu, is traversed by an inselberg, making much of this site unsuitable for agriculture (IRD/UNHCR, 2003). As a result, the potential of parts of these settlements at least will be unsuitable for meeting the operation's goal of self-sufficiency.

Such data can also be used as powerful persuadants for decision-makers and for setting the facts straight. Satellite analysis of vegetation change around Rhino Camp, northern Uganda, showed a 15 per cent decrease of vegetation cover (395km<sup>2</sup>) in the sub-counties around the camp in the period 1984-2000. Further investigation, however, revealed that the loss of vegetation was not as a result of

clearance for refugees to practise agriculture, but was in fact linked to an influx and expansion of local populations.

A parallel initiative by the Centre de cooperation internationale en recherche agronomique pour le développement (CIRAD) and UNHCR in Guinea showed the extreme changes in land use in a transboundary region of Guinea and Sierra Leone between 1979 and 2001 as a result of population displacement. In 1979, the landscape patterns and types of land occupancy were basically the same. By 2001, aerial photography combined with satellite imagery showed that while there was intense deforestation around the refugee camps in Guinea, forest regrowth of almost the same dimension was recorded in Sierra Leone as forest land was no longer being cleared and, in the absence of any disturbance, had already started to recolonise the region and regrowth was at an advanced stage (CIRAD/UNHCR, 2003).

In a totally contrasting situation, and with only some sheets of paper and a few coloured pens at their disposal, a representative group of refugees from Mtabila camp in western Tanzania sat with people from a nearby village (Bohoro) to discuss their concerns and some aspirations with regards the state of the environment in their area, and specifically to look at patterns of natural resource use. One of the outcomes from several days of discussions – guided by a range of participatory tools such as **community mapping** – (see the **Community Environmental Action Planning (CEAP) Handbook** – was the realisation that uncontrolled grazing in parts of the village land was seriously disrupting the seasonal flow of water to part of the refugee community – an issue which had been a growing source of tension and conflict between the two communities. Discussions on how to address this issue together led to better appreciation of the situation affecting both communities and a strong determination to work more closely together to better manage natural resources in the immediate and surrounding area of the camp and village.

Similarly, use of the CEAP tool with Sudanese refugees and local Chadian village communities in northern Chad led to the joint identification of grazing areas for refugee livestock, reducing pressure on the land around the settlement in question and thereby relieving much of the tension which had been building in the six months following the arrival of refugees in the Milé region.

Using tools like these, and others, can therefore play an important role not only in project and programme management, but also with regards reducing tensions and heightening awareness of certain issues regarding the environment.

Although dealing with specific technical subjects, the Toolkit has been prepared and written so that it can, in large, be used by non-specialists – those who may not have had previous experience with assessment, monitoring or evaluations, but equally those without environmental expertise. It is clear, however, that such expertise would be a bonus when using this Toolkit, at least for the first occasion.

To help users further appreciate the merits of specific tools described here, included in the various volumes are practical examples of some of the results from developing and testing many of the tools. Several of the individual Handbooks describe the respective process in a step-wise manner, but this is not always the case and users who feel confident with their knowledge of these tools and the requirements of a particular situation should feel free to adapt these to their particular needs, as long as this will not detract from the technical integrity of that particular tool, e.g. by introducing less rigorous standards or by bypassing essential considerations in a process.

Toolkit modules have been prepared to allow people to think and act with regards environmental management in refugee and returnee situations, in particular. Although emphasis is on the physical environment, much of the guidance should also prove relevant to other programme sectors and thus enable possible or real impacts of other sectors to also be taken into account, thereby helping ensure that the environment is not seen as a stand alone entity.

### 3. HOW TO USE THIS TOOLKIT

#### 3.1 OVERVIEW

This Toolkit consists of a total of seven modules, arranged as follows:

Module I – **Introduction**.

Module II – **Environmental Assessment (EA)**.

Module III – **Rapid Environmental Assessment (REA)**.

Module IV – **Community Environmental Action Planning (CEAP)**.

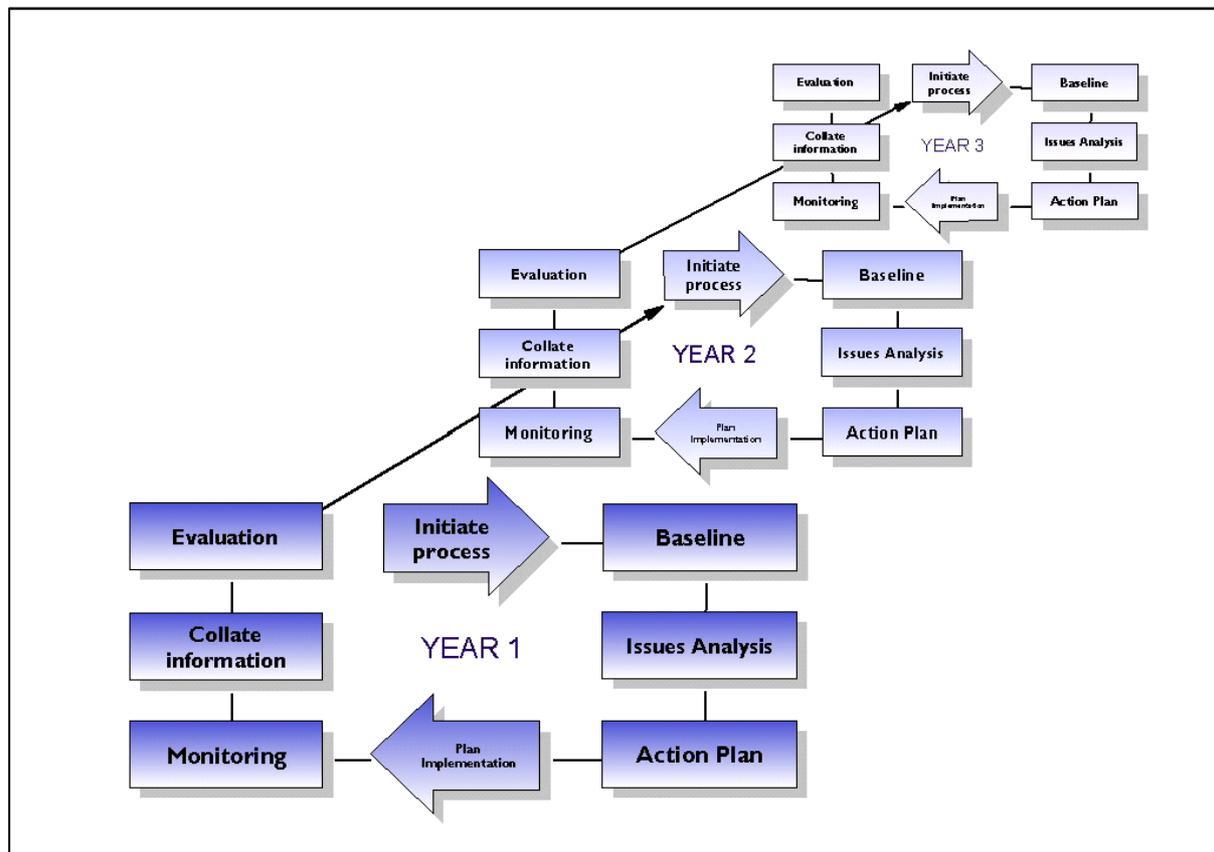
Module V – **Environmental Indicator Framework**.

Module VI – **Geographical Information Systems (GIS)**.

Module VII – **Evaluation**.

Although each of the tools described in this Toolkit can be used independently it is important to note that there are many close and essential links between these and that, for maximum achievement, these should be used according to the sequence outlined in Figure 1.

**Figure 1. A Basic Model for Effective Planning and Management of Environment-related Projects and Programmes**



From lessons learned with regards environmental planning and management with refugees and returnees – as documented elsewhere by UNHCR, – particular emphasis has been given to developing, adapting and testing various tools which involve local participation on the part of refugees, returnees and/or local community members. There are clearly some times and during particular exercises where participation will not be possible, e.g. during an emergency or with regards the analysis of GIS data, but where this is possible, users are encouraged to try and ensure that local representation is included. Particular guidance on how to approach this issue is given in the **Community Environmental Action Planning Handbook**.

The complete Toolkit is in fact largely centred around the CEAP process as the Action Plan resulting from this can serve as an appropriate means of organising stakeholders, acquiring and analysing information, presenting information in forms that are easily understood, putting desired actions into motion, and monitoring the impacts and outcomes of these actions. To be effective, however, such a process needs considered and timely input from the other tools and processes outlined in this Toolkit, each of which is explained in a little more detail below.

## **3.2 Environmental Assessment**

### **3.2.1 Overview**

Environmental assessment is an internationally established **tool used to predict the environmental impacts of a proposed action before a decision is made to implement the action**. In many countries, an EA is a legal requirement for certain types of proposed projects – including in some situations the construction of a new refugee camp/settlement or extension to an existing one. The advice presented in this Toolkit’s EA Handbook on how to conduct an EA reflects current international practice. As a result, any EA reports prepared by following this guidance ought to be acceptable to donors, governments and non-governmental organisations in terms of being in accordance with accepted good EA practice.

The EA Handbook applies to the use of environmental assessments for proposed actions that fall within the following types of assistance:

- an emergency or emergencies;
- care and maintenance;
- voluntary repatriation;
- local settlement – assimilation in first country of asylum; and
- resettlement in a third country.

In addition to explaining the steps to follow when conducting an EA, particular guidance is given on the role of EA in site identification and selection, given the recognition that environmental degradation can often be traced back to this phase of an operation.

An EA is often conducted by a team of people, with a clear terms of reference established for the scope of work. Consultation with involved stakeholders is an important part of this process, as is sharing the information and analysis of findings with all those who have been involved in the process. Given the rigorous process that must be followed for an EA, the methodology described in this Toolkit requires sufficient time to be completed – allowing 10-14 days should be adequate. An alternative, but less rigorous, methodology is described in a separate **Handbook on Rapid Environmental Assessment (REA)** – Module III.

### **3.3.2 Using the Handbook**

Following a general introduction to environmental assessments, Chapter 2 (**The Handbook Explained**) of the EA Handbook answers a number of commonly asked questions about environmental assessments in general, before then describing how to use this particular Handbook in more detail.

In preparing for an EA, the first step for the user is to define the type of proposed activity or action that may need environmental attention. By consulting Chapter 3.1 (**Is an Environmental Assessment Required?**) the user can decide whether or not an EA or REA is necessary. In most cases the decision will be easy. If there is any doubt, however, an environmental specialist – from within UNHCR or another agency – should be consulted. If a decision is taken to undertake an EA, Chapter 3.3 (**Preparing for an Environmental Assessment**) outlines some of the steps to consider taking.

Chapter 4 (**Conducting an Environmental Assessment**) describes the overall process to be followed, guiding the user through this most critical phase of an EA, following eight main tasks, which are as follows:

Task 1 – **Characteristics of the Proposed Action.**

Task 2 – **Identify Impacts of Concern.**

Task 3 – **Describe the Baseline Conditions.**

Task 4 – **Predict Impacts.**

Task 5 – **Assign Significance.**

Task 6 – **Environmental Management Plan.**

Task 7 – **Reporting.**

Task 8 – **Decision-making.**

These tasks should be adhered to in all applications of this tool so that all EAs meet certain basic requirements, according to accepted international practice. Following the instructions outlined in this section, the user will be guided from the first phase of describing the characteristics of the area/situation in question to being able to assimilate data in a format suitable for reporting and decision-making.

While the guidance outlined in Chapter 3 will find relevance in most situations, further illustration of how an EA can be usefully applied to the process of site selection is given in Chapter 5 (**The Use of Environmental Assessment to Identify Sites for Camps and Settlements**). Experience shows that this is often a critical phase when environmental degradation can take place or be prevented.

**A specific example on the use of EA in a field situation** – where enlargement of a refugee camp was being considered – is given in Annex I of this Handbook. Examining this EA report may be helpful for those working on an EA for the first time. Linked to this, **Sample Terms of Reference for a Preliminary Environmental Assessment** are described in Annex II. These should be modified to suit particular needs in a given situation. Finally, Annex III of the EA Handbook contains a number of **Checklists** which might help users identify concerns that relate to forestry, infrastructure, agriculture and related subjects.

### **3.3 Rapid Environmental Assessment**

#### **3.3.1 Overview**

The REA in this Toolkit has been designed to provide results within a maximum of 72 hours. It is based on information gathered from a wide range of sources, including a site visit. Best conducted by a team of 3-5 people (with one agreed leader), it does not require specific expertise in environmental management, although if one of the team members has such expertise then this is obviously an added bonus. The REA can be conducted at any phase of a relief operation, although it was designed initially for use in emergencies.

The REA provides a snapshot of the environmental situation at a given point in time and, through consultation with representatives from the local and refugee communities, and others if appropriate, can already begin to identify some of the main problems experienced or perceived. In addition to considering the environmental impacts of refugees or returnees, this REA also considers the anticipated or real environmental impacts of relief operations and helps begin to formulate responses as to how these might then be mitigated.

The REA can or may not involve much local participation, depending on the situation. During an emergency, for example, priority should be given to getting information to the emergency response team as quickly as possible, to influence decisions taken with regards camp siting and layout, in particular, as experience shows that much of the longer term environmental impact stems from decisions taken at this time. Maps and available satellite images can be useful sources of information for the REA team: the geographical scale of the REA should also be plotted using a global positioning

system (GPS) handset, as this too will serve as an important benchmark reference for all later follow-up (see the **GIS Handbook** for more information on this topic).

It is important that the findings from a REA are clearly documented. The FRAME REA records observations following a series of checklists and a short, simple report prepared at the end. These checklists are designed to help users:

- begin to gather essential baseline data;
- identify actions which might cause short- or longer term impacts;
- identify possible solutions to at least some of the negative impacts which might be revealed;
- assess where additional technical expertise might be required; and
- identify what actions can and should be addressed immediately – possibly through very simple interventions.

Copies of the final report and recommendations for action should then be submitted to UNHCR as well as local authorities, in particular.

While a REA can highlight key environmental concerns, prioritise them and influence discussions prior to actual implementation, its purpose is not to provide the definitive solution or identify needed actions to the concerns identified. It will, however, begin to provide the answers to some of the problems identified and the broad overview of the prevailing environmental situation it will create should allow more informed decisions to be taken. Equally important is the fact that a REA will also – from the outset of an emergency – identify environmental concerns that may require immediate action or further investigation. Prevention, being far better than cure, might therefore be enabled. For more thorough analysis, however, or in cases where a particularly serious problem has been identified, a more detailed environmental assessment should be carried out (see above).

### **3.3.2 Using the Handbook**

Chapter 1 (**What is Rapid Environmental Assessment and Why Do It?**) of the REA Handbook provides useful background information on the tool itself, describing when it might be used and what one might expect from using it. Chapter 2 (**How to Plan and Manage a REA**) contains helpful information on actually preparing for a REA and what data sources and other resources might be useful or required. The structure of this particular REA is described in Chapter 3 (**How to Use this Handbook**), which is followed in Chapter 4 (**Five Steps towards Conducting a REA**), by the main part of this exercise, the five different, but inter-related, checklists each of which is designed to assess a different aspect of the environmental situation. These checklists are as follows:

Checklist 1 – **Situation Analysis.**

Checklist 2 – **Key Influencing Factors.**

Checklist 3 – **Environmental Situation.**

Checklist 4 – **Environmental Impacts of Relief Activities.**

Checklist 5 – **REA Results Summary.**

The **Situation Analysis** is intended to describe the overall scenario and is normally completed as a result of initial meetings and briefings. Its purpose is to begin to define the area and general humanitarian situation, determine whether there are any outstanding or obvious threats to the local environment, and begin to identify local expertise. All this should help orient the team in future meetings and on-site examinations.

More precise information is required to complete Checklist 2 (**Key Influencing Factors**), data for which would normally be gleaned through interviews and on-site investigations. A simple ranking system is introduced in this checklist to help the REA team identify the seriousness of specific situations. Low expectations of self-sufficiency, for example, will almost certainly imply a higher dependency on local natural resources, a situation which could lead to resource depletion,

environmental degradation and conflict with other communities. It is therefore timely to identify such crucial aspects as this at this stage of the assessment.

The value – not only monetary – that indigenous communities place on the environment, together with possible environmental impacts of humanitarian relief activities are assessed independently in Checklists 3 (**Environmental Situation**) and 4 (**Environmental Impacts of Relief Activities**), respectively. The highest ranked issues in these two forms represent what the most important threats to the environment are likely to be, where these will take place, and what they are likely to amount to.

The final results are summarised for easy understanding and analysis in the **REA Results Summary** (Checklist 5), which should help users identify the most important issues where environmental priorities and humanitarian actions may conflict. The prioritisation and cross references in the same form will assist managers by determining immediate action points and identifying issues that require additional follow up, possibly by relevant technicians and/or environmental experts. This form should be accompanied by a short (2-4 page) narrative report describing how the process was approached and undertaken.

When the REA is completed and all five forms have been completed, it is important that the results and recommendations are shared back with those who participated in the exercise. A separate meeting may need to be called, at which the **draft** findings can be presented and discussed openly. While helping to ensure transparency, this may also be an important occasion to cross check and verify certain conclusions.

Final REA documentation should be kept on file for subsequent follow-up and to serve as a baseline against which future changes in the situation can be evaluated. UNHCR and local authorities, at least, should be provided with copies of the final REA report with specific attention being given to recommendations for future action.

### **3.4 Planning and Monitoring**

#### **3.4.1 Overview**

Local participation is one of the four principles on which UNHCR's **Environmental Policy** is founded. This stage of the project/programme management process is designed to be undertaken in a highly participatory manner that involves discussions and consensus building with government agencies, implementing partners and representatives from the refugee or returnee and host communities.

When should local and refugee communities be involved in these various processes? “Whenever there is an opportunity to do so” is the best answer to this question but there are clearly certain limitations one needs to bear in mind. During an emergency, time and resource constraints will tend to prevent extensive community consultation and participation. Yet, the greater the involvement of local communities even in tasks such as site planning, the greater the chance of avoiding later conflicts over resource use and the more informed the decision-making process will be.

Opportunities for participatory environmental management are much greater, however, during the care-and-maintenance phase when both refugee and local communities can play an important role in planning, implementing and monitoring environmental management measures in response to existing or planned activities in and around the camp or settlement. Likewise, the durable solutions phase will also allow for community input to environmental restoration plans as well as environmental assessment of development projects linked to the integration of refugees into either their host country or their home country.

Different skills and approaches are required for this phase of work as planning and monitoring activities are not as clear cut as either the REA or EA process. Stronger facilitation skills will be more

of an advantage at this time as many of the tools described in Handbook IV (**Community Environmental Action Planning**) and Handbook V (**Environmental Indicator Framework**) rely on these traits.

Use of handbooks IV and V typically builds on the results from an REA or EA – when baseline data have been gathered and when the same people consulted might still be available and willing to participate further in selected exercises. Much consultation, discussion and finally negotiation and consensus building will need to be undertaken. The end result from applying this approach is a **Community Environmental Action Plan** which can be for one or more years – often one year’s activities are described in much detail with an outline of activities sketched out for subsequent years.

As with the EA process, as time pressure is not likely to be a major issue during the CEAP process, advantage can again be taken of GIS methodology (See Module VI) to help describe, analyse and map the natural features and resources of the area under investigation. Specialist assistance will almost certainly be required if GIS is to be applied and consideration should be given to how the GIS system can be operated and maintained locally to provide best results and to serve the project or programme best.

Establishing a CEAP is seen as an important contribution towards enhanced environmental management, particularly as this has proven to be an effective and appropriate level at which to address issues with displaced and local communities, as well as the fact that such people often show greater commitment to caring for the environment once they are given the opportunity to manage this for their own benefit.

### 3.4.2 Using the Handbooks

The CEAP Handbook outlines a process for UNHCR and other agencies and authorities to apply to help ensure that environmental concerns and issues are addressed in a holistic manner at the local, community, level. At the same time, applying this tool would also help ensure adequate and appropriate links with other related sectors, such as agriculture, water, sanitation and others.

Chapter 1 (**Community Involvement and Responsibility in Environmental Management**) provides useful background information on participatory environmental management with direct reference to UNHCR’s operations. A number of essential guiding principles are also highlighted. Chapter 2 (**This Handbook Explained**) provides a detailed description on how to use this particular module.

Chapter 3 (**Participatory Environmental Management – Key Steps to Follow**) briefly outlines the main stages involved in this community-based environmental management process. The overall process is described – showing how this needs to be a rolling event, from one season or year to the next, with the information gleaned along the way being used to revise activities as appropriate – and the main stages of the process are described. As with other sections of this Handbook, some suggestions are made on how each stage *might* be carried out in practice, but it is expected that these steps would be modified to suit local circumstances.

Once the baseline data has been gathered and analysed (from an EA/REA or as part of the CEAP exercise itself), the CEAP process follows the steps outlined below. It is suggested that the most useful way to proceed is to organise a series of semi-structured meetings or workshop during which focus group discussions can be used to discuss the following steps/activities:

1. Identify **environmental threats/concerns through baseline studies**.
2. Identify **root causes**.
3. Identify **needs**.
4. Set clear and meaningful **objectives**.
5. Determine practical and appropriate **activities** to attain these objectives.
6. Discuss and assign **responsibilities**.
7. Identify what **resources** are needed and at what stage of the process.

8. Discuss and agree on an **implementation schedule**.
9. Discuss and establish an appropriate **monitoring** and **evaluation** system.
10. Determine **next steps**.

Specific participatory methods to use in this process are described in Chapter 4 (**A Step-by-Step Guide to Community Environmental Action Planning**) as well as various annexes. Chapter 4 more specifically provides a step-by-step guide to the community environmental action planning process, guiding the user through the initial phase of conducting a baseline study, providing useful pointers on how to get the CEAP process started, how to organise and conduct workshops, and suggesting how to translate the steps outlined in Chapter 3 into practical actions.

Module V of this Toolkit, the **Environmental Indicator Framework**, helps understand the much tormented issue of selecting, using and measuring indicators as a means of monitoring. A series of worked sector-related indicators are described which can be used either individually or as part of the overall framework suggested. These indicators, however, are only broad definitions of specific and targeted environmental interventions. Those who are responsible for selecting and ultimately measuring the indicators *per se* may need to modify the scope or focus of specific indicators according to their operational context.

## **3.5 Geographical Information Systems**

### **3.5.1 Overview**

Geographical information system is a technology that is used to view and analyse data from a geographical perspective. GIS provides the facility to amass, sort and store data from a wide range of parameters and to extract different sets of information (to create a map of roads, settlements, vegetation patterns and so forth, for example) and use these as required. This provides great flexibility, allowing a paper map to be quickly produced which exactly meets the needs of the user. However, GIS goes further, because the data are stored on a computer, analysis and modelling become possible. For example, any number of layers of data – topography, climate, vegetation, settlements, etc. – can be stored on a computer, with the user choosing which of these can be combined to provide the overview s/he needs at that point in time.

A GIS is most often associated with maps. A map, however, is one of many ways a GIS can be used to work with geographic information. A GIS, for example, can be seen from the perspective of a **database**, a collection of geographic information which thus serves as an important repository for all sorts of information. Alternatively, a GIS can be seen from a **mapping** perspective, in which specialist maps and views can be constructed. Finally, GIS is a set of information transformation tools that take information from existing data sets, applies analytical functions and transforms these into new sets of information.

UNHCR has used GIS for a range of activities relating to refugee and returnee operations, as well as many specific applications to environmental management. While it is recognised that this is still, and always will remain, a highly specialised tool, special attention is given to its practical use and potential for helping enhance current environmental management practices and systems given its sheer potential as a planning and management tool. The outcome of a GIS can be used by non-experts as well as GIS professionals.

### **3.5.2 Using the Handbook**

This Handbook has been designed with two main purposes in mind: first to help users of this Toolkit who are not entirely familiar with what GIS is or what it might be able to do, and second to highlight some practical examples of GIS as a tool used for environmental management. Reading this Handbook will not allow a user to become as competent in the use of GIS as one might expect to be from using other tools in this series, simply because GIS is a technology which requires specific training in its use

and application and it is also dependent on having at least a limited range of quality equipment and resources to purchase additional information, as might be required. However, training and assistance in the use of GIS is available.

This particular Handbook is arranged in two parts. In Part I, following a general introduction to GIS and a guide to this particular Handbook, Chapter 3 (**What is GIS?**) enters into some of the specific elements of a GIS system, allowing a user to get a better understanding of some of the key, underlying principles of this technology. Chapter 4 (**How to Read a Map**) touches on one of the most often used appliances of a GIS, while Chapter 5 (**Remote Sensing**) outlines again some of the basic principles of remote sensing and provides an overview of the various types of sensing which can be used. The last chapter in Part I focuses on the use of a global positioning system (GPS) and highlights important considerations for users to be aware of when actually applying this tool in the field.

Part II of this Handbook focuses on actual GIS applications for environmental management. This draws on broad experience but to help users of this Toolkit, it focuses as much as possible on GIS being a support tool for use in assessments, monitoring programmes and evaluations. Different chapters (7, 9, 10) therefore refer to GIS applications for EA and REA, the CEAP, but also specific guidance is given to site selection (Chapter 8) and the important role which GIS can play at this stage of an operation. Chapter 11 draws attention to a wide range of existing data sets which GIS users might find of interest. Topics covered here range from data available on administrative and infrastructure sets, to a vegetation index, land cover, the location of the world's protected areas and surface reflectance. Essential information such as the source of the different data sets, their degree of coverage, cost and possible applications for environmental management are all described.

## **3.6 Evaluation**

### **3.6.1 Overview**

Evaluation is a time-bound exercise which attempts to assess systematically and objectively the relevance, performance and success of ongoing or completed projects or programmes. An evaluation is undertaken to answer specific questions, answers to which should help guide decision-makers, managers and individual actors determine what worked and did not work, and why this was so.

Evaluation in this context is also a means to determine cross-cutting lessons from humanitarian relief operations and determines the need for changes to specific activities, programmes or overarching strategies. An evaluation should provide information that is credible and useful, enabling the incorporation of lessons into the decision-making process. In this manner, an evaluation also introduces a common language among all those agencies and individuals involved in a particular project or programme.

The main purpose of UNHCR's evaluation function is to provide UNHCR managers, staff and partner organisations with useful information, analysis and recommendations thereby enabling the organisation to engage in effective policy making, planning, programming and implementation. In addition to being a means by which project or programme managers can fulfil their duty of accountability, evaluation is also a useful management tool used in decision-making and is increasingly being appreciated as a potentially useful learning process for all parties concerned.

UNHCR's evaluation function is guided by the following principles, outlined in the organisation's Evaluation Policy (UNHCR, 2002):

- **transparency:** evaluation activities are conducted openly. Terms of reference, findings and recommendations are always placed in the public domain. Major evaluation contracts are awarded through a process of competitive bidding;
- **independence:** the findings and recommendations of evaluation projects are not subject to the control or interference of senior UNHCR management. The independence of the evaluation function is ensured through the extensive use of external evaluators;
- **consultation:** UNHCR's stakeholders, including refugees whenever possible, participate in the identification, planning, implementation and utilisation of evaluation projects. Evaluation findings and recommendations are never placed in the public domain without such consultation;
- **relevance:** evaluations focus on those operations, functions and operational policy issues that are of most direct concern to UNHCR, its partners and beneficiaries. Evaluations are used as a means of enhancing the organisation's capacity to fulfil its mandate on behalf of refugees and other people of concern to the organisation; and
- **integrity:** staff members and external evaluators engaged by UNHCR will maintain the highest possible professional and personal standards. In particular they will ensure the honesty and integrity of the evaluation process, and respect the security and dignity of the stakeholders with whom they interact.

The **Evaluation Handbook** has been prepared for a number of reasons, but primarily to complement other modules in this Toolkit and to enable users to:

- better understand the underlying principles of evaluation;
- appreciate the importance of evaluations in the project/programme cycle;
- help users prepare for and actually conduct an evaluation of environment-related aspects of an operation; and
- demonstrate how information obtained through evaluations can and should be used to enhance planning and management.

### 3.6.2 Using the Handbook

Following the Introduction and Chapter 2, which describes how to use this volume in more specific detail, the **Evaluation Handbook** is essentially structured around three chapters which:

- provide a broad overview of some of the most **commonly used methods for conducting an evaluation** (Chapter 3);
- **outline seven key steps to follow when considering why an evaluation should be undertaken**, and describes how this might happen (Chapter 4); and
- **practical considerations to help users actually get started and to complete an evaluation** (Chapter 5).

A selection of suggested reading materials on evaluation methodologies and other guidance follows Section 5.

Good preparation is essential for all evaluations. This can be guided by focusing on the following considerations, each of which is described in detail in Chapter 4 of the Evaluation Handbook, but summarised as follows:

1. Why is the evaluation being undertaken at this point in time and who is requesting it to be done?
2. When should the evaluation be carried out – what season, for example, or at what stage of a project/programme cycle?
3. What is the precise scope (geographical and thematic) and focus of the evaluation?
4. Who is responsible for the evaluation – management and implementation?
5. How will the evaluation be conducted – what methods are to be applied, what information sources are likely to need consulting?
6. What resources are needed – financial, human and logistics primarily?

7. Next steps: what will become of the findings from the evaluation, how will these be shared to broader audiences and who will be responsible for ensuring that recommendations from the evaluation will be duly considered and translated into action?

A number of practical considerations, including possible evaluation methods, are described to help the user get started and conclude the exercise by following these steps:

- clarification of the purpose of the evaluation;
- preparation for the evaluation through the development of Terms of Reference which will define the purpose of the evaluation and guide the entire exercise;
- selection of the evaluator or evaluation team who will be responsible for carrying out the study;
- preparation of the work plan and methodologies to be used;
- identification of information sources and collection methods;
- data collection; and
- analysis of the information and preparation of the final report.

#### 4.

### APPLYING THE TOOLS AND GUIDANCE

The FRAME Toolkit has been prepared for a particular purpose – to enable and promote more consistent approaches to environmental management in refugee and related operations – and for a range of different users. Emphasis has been given to providing sound technical guidance in as simple and appropriate a manner as possible. Consultation with a broad range of stakeholders, field testing and peer reviews will hopefully have ensured that this is the case.

Translating the contents of this Toolkit into practice, however, will depend largely on whether users who are in a position to use this guidance – and who recognise the merits of the various processes outlined in the Toolkit – will have the resources and support necessary to allow this to happen.

To help intended users determine what own particular role, as well as those of others, might be in implementing this Toolkit, a schematic outline of possible tasks, responsibilities, needs and directions in which people might wish to consider is shown in Table 1.

**Table 1. Indicative Roles of Different Actors in Using the FRAME Toolkit**

<b>FRAME Activity</b>	<b>UNHCR's Role</b>	<b>Other Possible Actors</b>	<b>Likely Resources Needed</b>	<b>What Do I Do With the Information?</b>
<b>REA</b>	<ul style="list-style-type: none"> <li>Initiate the study</li> <li>Identify and contract Consultant (if required) to lead process</li> <li>Facilitation (including access to camp site and information/ plan(s) and co-ordination</li> <li>Funding</li> <li>Dissemination of information</li> </ul>	<ul style="list-style-type: none"> <li>Local government/ authority representative</li> <li>Camp/settlement manager</li> <li>Implementing partner(s)</li> <li>Consultant</li> <li>UNHCR Environmental Co-ordinator or Focal Point</li> <li>Representatives from refugee and/or local community</li> </ul>	<ul style="list-style-type: none"> <li>Funding</li> <li>Security arrangements and logistical support</li> <li>Site plans</li> <li>Maps</li> </ul>	<ul style="list-style-type: none"> <li>Awareness raising</li> <li>Influence decision making</li> <li>Identify mitigation measures if necessary</li> <li>Prepare for a formal EA</li> <li>Use baseline data for elementary monitoring</li> <li>Establish lessons learned</li> </ul>
<b>EA</b>	<ul style="list-style-type: none"> <li>Consult with government, partners and others</li> <li>Draft Terms of Reference</li> <li>Agree on and contract (if necessary) EA Team Leader</li> <li>Facilitation</li> <li>Monitor progress</li> <li>Funding</li> <li>Dissemination of Information</li> </ul>	<ul style="list-style-type: none"> <li>EA Expert (if such expertise is not available within UNHCR or its partners)</li> <li>Identify team members (if not from below)</li> <li>Local government/ authority representative</li> </ul>	<ul style="list-style-type: none"> <li>Funding</li> <li>Security arrangements and logistical support</li> <li>Site plans</li> <li>Maps</li> <li>Office support</li> </ul>	<ul style="list-style-type: none"> <li>Influence decision making</li> <li>Arrange for necessary mitigation measures if needed</li> <li>Use data for project development/ re-orientation</li> <li>Use data for subsequent monitoring and evaluation</li> </ul>

Contd/

**Table 1 (Contd)**

<b>FRAME Activity</b>	<b>UNHCR's Role</b>	<b>Other Possible Actors</b>	<b>Likely Resources Needed</b>	<b>What Do I Do With the Information?</b>
<b>EA (Contd)</b>		<ul style="list-style-type: none"> <li>• Other UN agencies in area or those working on national/ regional development plans</li> <li>• Camp/settlement manager</li> <li>• Implementing partner(s)</li> <li>• UNHCR Environmental Co-ordinator or Focal Point</li> <li>• Representatives from refugee and/or local community</li> </ul>		<ul style="list-style-type: none"> <li>• Data feeds in to national, local, regional development plans</li> <li>• Establish lessons learned</li> </ul>
<b>CEAP</b>	<ul style="list-style-type: none"> <li>• Organisation and facilitation of process (incl recruitment of specialist assistance if required)</li> </ul>	<ul style="list-style-type: none"> <li>• Representatives from refugee and/or local community (may require separate meetings, at least initially)</li> <li>• Local government/ authority representative (if appropriate)</li> <li>• Camp/settlement manager (if appropriate)</li> <li>• Implementing partner(s)</li> <li>• Facilitator(s)</li> <li>• UNHCR Environmental Co-ordinator or Focal Point</li> </ul>	<ul style="list-style-type: none"> <li>• Funding</li> <li>• Security arrangements and logistical support</li> <li>• Maps</li> <li>• Limited materials</li> <li>• Support to participants</li> <li>• Meeting facilities</li> </ul>	<ul style="list-style-type: none"> <li>• Use discussions for consensus building and findings for agreement on actions and next steps</li> <li>• Establish time-bound action plan</li> <li>• Conflict resolution</li> <li>• Findings and recommendations should be shared with broader community and community leaders</li> <li>• Lobby for additional support and resources to implement and support the action plan</li> <li>• Lessons learned</li> </ul>

Contd/

**Table 1. (Contd)**

<b>FRAME Activity</b>	<b>UNHCR's Role</b>	<b>Other Possible Actors</b>	<b>Likely Resources Needed</b>	<b>What Do I Do With the Information?</b>
<b>GIS-related activities</b>	<ul style="list-style-type: none"> <li>• Identify needs and opportunity for applying GIS technology, e.g. vegetation monitoring or identification of water sources</li> <li>• Draft Terms of Reference</li> <li>• Identify and contract experts</li> <li>• Provide standards and other key requirements</li> </ul>	<ul style="list-style-type: none"> <li>• Specialist GIS agency and/or individual</li> <li>• Implementing Partners</li> <li>• Government authorities</li> </ul>	<ul style="list-style-type: none"> <li>• Funding</li> <li>• Security arrangements and logistical support</li> <li>• Site plans</li> <li>• Maps</li> <li>• Materials – computers, GPS, plotter, satellite imagery</li> <li>• Office back-up facilities</li> </ul>	<ul style="list-style-type: none"> <li>• Interpret analysis and make information available in a form understandable and accessible to others</li> <li>• Establish active database set</li> <li>• Use information for monitoring progress and evaluation of impacts</li> </ul>
<b>Evaluation</b>	<ul style="list-style-type: none"> <li>• Identify needs and timing of evaluation according to project/ programme cycle and plans</li> <li>• (Co-) commission evaluation</li> <li>• Recruit necessary expertise</li> <li>• Draft/agree on TORs</li> <li>• Monitor progress</li> <li>• Assess draft outcomes and discuss how findings can be used</li> <li>• Present final outcomes and recommendations</li> </ul>	<ul style="list-style-type: none"> <li>• Government authorities</li> <li>• Implementing Partners</li> <li>• Community stakeholders</li> <li>• Donors</li> <li>• Other technical agencies/ institutions</li> </ul>	<ul style="list-style-type: none"> <li>• Funding</li> <li>• Security arrangements and logistical support</li> <li>• Site plans</li> <li>• Maps</li> <li>• Project/ programme documents</li> <li>• Reports (progress and any previous evaluations)</li> <li>• Office back-up facilities</li> </ul>	<ul style="list-style-type: none"> <li>• Awareness raising</li> <li>• Lessons learned</li> <li>• Revise (if needed) project/ programme plan of action</li> <li>• Use experience to replicate or revise other similar activities elsewhere</li> </ul>



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### **Selected Web Sites**

The following list is a selection of Internet sites where further information can be obtained. Several of the sites provide links to numerous other web sites. All these sites were accessible and fully operational at the time of writing. However, it should be appreciated that addresses can change without warning.

African Evaluation Association ([www.afrea.org/index.htm](http://www.afrea.org/index.htm))

ALNAP ([www.alnap.org](http://www.alnap.org))

American Evaluation Association ([www.eval.org/](http://www.eval.org/))

Australasian Evaluation Society ([www.aes.asn.au/](http://www.aes.asn.au/))

OECD-DAC ([www.oecd.org](http://www.oecd.org))

Department for International Development: [www.dfid.gov.uk](http://www.dfid.gov.uk)

EBRD's Environmental Appraisal Unit: [www.ebrd.com/enviro/intro/e01.htmv](http://www.ebrd.com/enviro/intro/e01.htmv)

US Environmental Protection Agency: [www.epa.gov/](http://www.epa.gov/)

Canadian Environmental Assessment Agency: [www.acee.gc.ca/](http://www.acee.gc.ca/)

International Association for Impact Assessment: [www.iaia.ext.nodak.edu/IAIA/](http://www.iaia.ext.nodak.edu/IAIA/)

World Conservation Union (IUCN): [www.iucn.org](http://www.iucn.org)