



**Global Shelter Cluster**  
ShelterCluster.org  
Coordinating Humanitarian Shelter

# Global Shelter Cluster Working Group: Settlement Approaches in Urban Areas

Compendium of case studies

October 2017

*DRAFT FOR CIRCULATION*

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## INTRODUCTION & RATIONALE

An objective of the Global Shelter Cluster WG on Settlement Based approaches in Urban Areas<sup>1</sup> is to **contribute to building a body of knowledge to promote and improve the application of settlement based approaches** in humanitarian response. This initial collection of case studies represents one vehicle the WG is using to further the discussion on settlement based approaches.

Following a recent call-out to various urban fora and communities of practice, this compendium includes a total of **11 draft case studies**, with several more in development. The following case studies focus on unpacking the specific settlement approach undertaken by the implementing agency, **highlighting achievements, challenges and lessons experienced**. Case studies include initiatives focused on the **built environment, support to governance, social engagement, cohesion or other thematic focus areas**.

Over the coming 6-months, additional case studies will be collected, complemented by further analysis. Regional events may also be scheduled to provide further forums for discussion and knowledge exchange.

Agencies interested in submitting case studies, please contact [james.schell@impact-initiatives.org](mailto:james.schell@impact-initiatives.org).

## INTERIM CASE STUDY OBSERVATIONS AND ANALYSIS

Reviewing the attached case studies, specific achievements, challenges and lessons reoccurred in several case studies, as summarized below. This initial analysis will be further expanded on in the coming months through further literature reviews and case study submissions.

### COMMON KEY ACHIEVEMENTS

- › **Understanding the community:** Initiatives resulted in a more in-depth understanding of the community. High levels of community engagement, supported through the use of maps, spatial data and participatory mapping exercises were important vehicles in achieving a nuanced understanding of the community/settlement.
- › **Engagement with multiple actors:** Numerous case studies prioritised engaging with multiple and diverse actors, including: local, national and international stakeholders; humanitarian and development actors; and government, civil society and private sector actors.
- › **Information sharing & a common point of reference:** Settlement based initiatives often also provided a platform for information sharing, dialogue and coordination – either through a physical centre or virtual platform. Providing such fora was valued and – depending on the specific nature (physical, virtual etc) contributed to social cohesion, information management and relationship building.
- › **High levels of community engagement:** Successful settlement-based projects by nature require a strong level of community engagement at all stages. Case studies reiterated this importance of engaging with all community member constituencies, and supporting (or creating) community level committees/structures to support the project and potentially contribute to other community processes.
- › **Considering the humanitarian development nexus:** A settlement based approach proved useful when addressing both humanitarian and development concerns. Identifying short, medium- and long-term priorities in a defined geographic community often acted as an important catalyst to ensure initiatives remain complementary and both humanitarian and development actors were involved in planning processes.
- › **Capacity strengthening of local actors:** Several case studies prioritized direct engagement with and capacity strengthening of local municipal authorities. Engagement with authorities was considered vital to ensure projects: remain participatory and inclusive; increase legitimacy and local support; and contribute to more macro-level government priorities (urban planning and zoning, infrastructure development etc).

### COMMON CHALLENGES & SHORTCOMINGS

- › **Engaging with multiple actors:** Although case studies prioritize the importance of multiple actors, effectively navigating numerous and diverse actors brought significant challenges in terms of resource investment, ensuring a thorough understanding of the environment, and often fluid relationships with actors to manage.
- › **Limited capacity of local actors:** Settlement based projects inherently involved strong engagement with local counterparts and partners. However, numerous case studies highlighted the challenges of working with local actors

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<sup>1</sup> Co-convened by Catholic Relief Services, IMPACT Initiatives and InterAction

with current limited capacity, questioning the longevity and sustainability of potential initiatives, and significant investment required to ensure strong partnerships.

- › **Relationship and impact on nearby settlements and the city level:** Challenges and tensions can arise when balancing the needs and priorities of affected populations within the specific settlement, in relation to neighboring settlements and overall city level planning. Engaging with municipal authorities in this regards is considered vital, but is not without these associated tensions.
- › **Who represents the settlement?** Urban communities are more diverse than rural communities, placing significant importance on ensuring a diversity in representation.
- › **Urban risk and volatility:** Whilst not exclusive to urban contexts, risks and impact of urban instability and violence can be compounded in urban environments with poor socio-economic indicators and diverse population groups. Such tensions impacted a number of case studies.
- › **Complex Housing, Land and Property contexts:** Settlement based programming including a Housing, Land and Property (HLP) focus was relatively common. However, in numerous case studies, proof of ownership was non-existent (for various reasons) in urban contexts. Close collaboration with numerous actors on sensitive HLP issues required significant time-investment and could become a source of tension.
- › **Multiple coordination platforms:** Several case studies highlighted challenges associated with engaging with numerous coordination mechanisms, i.e. national and international coordination mechanisms operating during a humanitarian response, with mechanisms often structured sectorally, as opposed to geographically, which can bring confusion to coordination efforts.

## COMMON LESSONS LEARNT

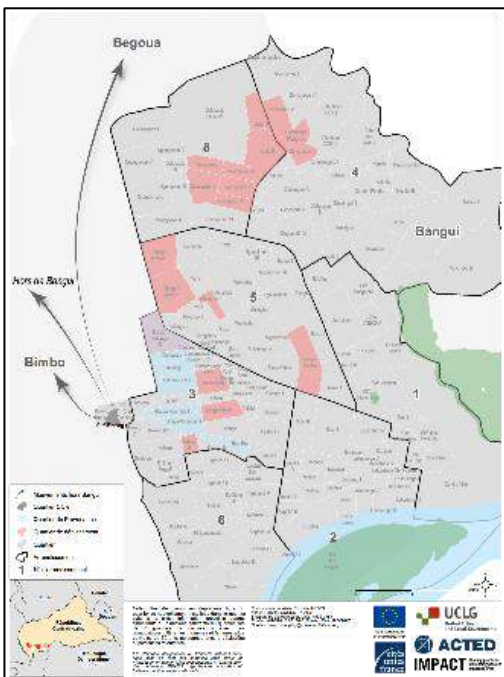
- › **Proactive engagement with different levels of government:** Acknowledging the challenges of balancing priorities at settlement/neighbourhood, city and national humanitarian and development priorities, a number of case studies reiterated the importance of engaging with numerous levels of governments to ensure response and recovery plans complement wider initiatives and address both humanitarian and development priorities.
- › **Prioritise partnerships and engagement with diverse (and especially local) actors:** Despite the challenges and significant resource investment required for strong engagement, investing in community participation and capacity strengthening is key and generate sustained ownership, recognition and leadership. Peer to Peer support model for Municipality capacity building as an efficient way of increasing acceptance of support from local municipality stakeholders
- › **Be realistic about coverage:** Projects following a settlement based approach can have a catchment area incorporating hundreds of thousands of people. Agencies need to be realistic about what can be undertaken in large catchment areas and promote strong coordination and partnerships wherever possible.
- › **Anticipate a fluid urban context:** A strong focus on planning and actor mapping is vital, as is the need to remain flexible in an often fluid urban environment.
- › **Invest in information management capacity:** Several case studies stressed the importance of investing in strong IM capacity to ensure effective monitoring of settlement based programming, especially when undertaken by multiple actors.
- › **Integrated programming, with a focus on livelihoods, HLP:** Numerous case studies reiterated the need for urban, area based initiatives to proactive address HLP rights and strengthen livelihoods where ever possible.
- › **Advocate for donors to support settlement based approaches:** Having donors that support settlement-based approaches is critical to further improve and upscale the approach
- › **Close coordination between agencies is essential:** For many settlement based projects to succeed, organizations must work in different sectors simultaneously. Where common road, sewer, or water infrastructure exists, coordination between implementing agencies and governments becomes essential. Further, sector-level or cluster-level coordination mechanisms should be complemented by area-based coordination.

# Support to settlement-based response and recovery planning in Bangui

## CONTEXT

Since 2013, a major political-military crisis has been affecting the Central African Republic and its capital Bangui, with wide-spread violence and insecurity, persistent communal tensions and population movements. This crisis has generated massive needs among affected populations, with rising poverty and declining economic activity, destruction of housing and infrastructure and disruption of basic services.

Thanks to the recent political transition and the hopes for future stability, the proportion of internally displaced persons has declined steadily since 2016, with increasing level of returns to certain regions, including over **20,000 people returning to Bangui in 2016 and 2017**. Within this context of stabilisation of Bangui and returns, humanitarian and development actors have upscaled their programs to support affected populations in Bangui and enable a peaceful return and reintegration. Despite this increase in focus, there still a limited understanding of displacement dynamics, neighbourhood-level vulnerabilities and capacities, and a still very limited engagement of local authorities and local actors within the neighbourhoods of return.



## PROJECT APPROACH

AGORA, a newly launched joint initiative of IMPACT and ACTED, in partnership with CUF/UCLG, conducted a pilot project to support a more integrated and efficient response to the returns in Bangui, through settlement based assessments and response plans. This approach was **piloted in 4 neighbourhoods of Bangui and Cite' Boing**, with funding of the European Union, through the establishment of an urban-level Working group inclusive of local and international actors, the implementation of a settlement-based assessment and of settlement-based response plans, and a capacity building component in support of local authorities in partnership with UCLG/CUF.

**Urban Centre:** Bangui, covering 4 neighbourhoods of Bangui (Fondo, Gbaya Ndongbia I and II, Bloc Sara (Banga Sara I and II as well as Poto Poto Souma) and the Cité Boing

**Project Timeframe:** February – July 2017

**Type of project:** Settlement Based Assessment and planning, support to local authorities

**Project partners:** IMPACT, CUF/UCLG, ACTED (AGORA)

**Coordination framework:** HCT, in support of local authorities and OCHA, NGOs and other relevant humanitarian actors

**Agency submitting the case study:** IMPACT, on behalf of the AGORA initiative

## PROJECT OUTPUTS

- > Assessment and Settlement-based Response Plan report at this [link](#)
- > Lessons learned document available upon request

## KEY ACHIEVEMENTS

**Strong engagement of community representatives at neighbourhood level**, including neighbourhood Mayors, civil society representatives and informal community leaders in the definition of needs and response priorities.

**High level of engagement from humanitarian actors**, including INGOs, key UN Agencies (UNHCR, OCHA, UNDP, etc.), and Clusters in the development of the response plan and the coordination through the urban Working Group.

Settlement-based assessments and response plans enabled a **shared prioritisation and planning across sectors / clusters and between international / local actors**, resulting in a joint understanding of the context and of response priorities.

Focus on promoting the **engagement and building the capacity of local authorities**, also using a **municipality-to-municipality peer support scheme** through CUF and UCLG

The settlement-based assessment findings and the subsequent response plan was **used by donors for funding allocation and prioritisation**. Specific donors (EU, Humanitarian Fund and others) requested partners to engage in the urban Working Group as a condition for funding to ensure Bangui-level programs are coordinated through the urban Working Group.

The urban working group and the settlement-based response plan were a good practice to **link humanitarian and development response**. Short, medium- and long-term priorities were identified through a joint prioritisation process, enabling linkages between local and international actors on the one hand and development/stabilisation and humanitarian actors on the other hand.

## PROJECT PHASING

The project was rolled out in 5 steps, as follows:

**Step 1:** **Set up of institutional framework and Urban Working Group:** AGORA conducted a series of consultations with OCHA, the Clusters, INGOs, Local Authorities and civil society representatives as well as donors to develop a strong institutional framework. The Bangui Urban Working Group was launched in May 2017, inclusive of local and international humanitarian and development stakeholders and co-chaired by OCHA and the Mayor.

**Step 2:** **Settlement-based Assessments:** AGORA facilitated multi-sectorial assessment focused on most affected neighbourhoods of the city of Bangui through collection of primary data and consultation of local actors. Results were shared with humanitarian actors in Bangui, as well as with the Mayor at central and arrondissement-levels, and community representatives in each of the neighbourhoods.

**Step 3:** **Settlement-based response planning:** Based on the assessment findings and on the consultations with local and international actors, a settlement-based response plan was developed reflecting priorities jointly agreed by local and international actors and response actions in the short, mid and long term. This response plan was also accompanied by a Web Platform tracking interventions and progress of these different activities by all partners.

**Step 4:** **Coordination and Implementation of response plans:** The urban working group, headed by the mayor and OCHA, used the response plans as a basis for the coordination of a settlement based, multi-stakeholder response in the city. Neighbourhood-specific operational coordination bodies were established for local and international actors intervening within a specific area, on the basis of the response plan. AGORA supported the early facilitation of the working group & neighbourhood specific coordination platforms, and established their IM framework.

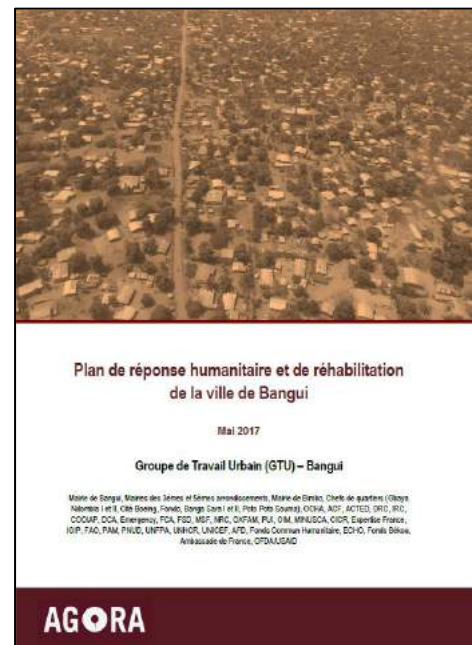
**Step 5:** **Capacity building of Local Authorities:** Cites Unies France, a Network of French collectivities, representing the global Union of Cities and Local Government, provided a peer support to the Municipality of Bangui by mobilising French municipalities with expertise and capacity on selected topics. Coordination with international stakeholders & water management were selected as the priority topics for the peer-support, which took place through in-loco visits, mentoring & development of joint action plans between French and Bangui Municipalities.

## MAIN CHALLENGES AND SHORTCOMINGS

**Linkage with existing coordination platforms:** A lot of time was required to clarify the link between existing Clusters and inter-cluster systems and the Urban working group, causing delay in project implementation.

**Local capacities and resources:** Local actors were not very familiar with the humanitarian architecture/system and had limited and thinly spread resources to engage in coordination. This caused delays in the launch of the Urban WG, and has been identified as a key component for support in the framework of the CUF/UCLG deployment.

**Geographical coverage:** as this program is a pilot, the assessment was conducted in only 4 most affected neighbourhoods of Bangui. While gathering information on these 4 neighbourhoods created a momentum for a better response, there is a risk in only having the capacity to focus on certain areas as other areas – also affected – might be neglected due to simple lack of information and context understanding.



## KEY LESSONS LEARNT

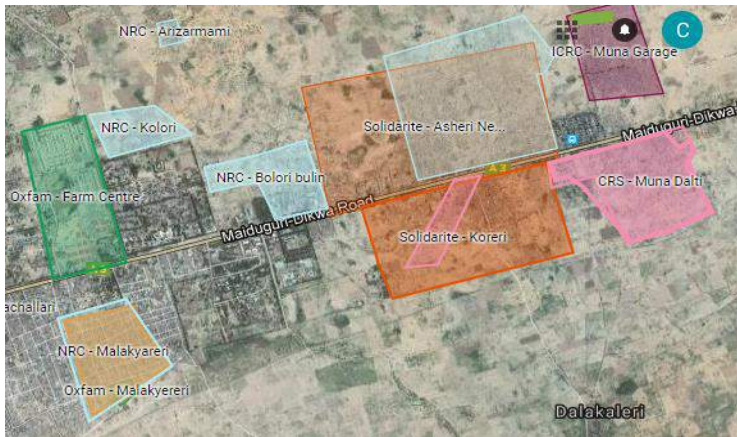
- › **Engagement of local and international actors** for joint prioritisation of response activities
- › Use of **neighbourhoods as settlement-units** for assessment and planning of response
- › Engagement of both **humanitarian and development actors** for joint planning of short and long term activities within the city of Bangui, linking humanitarian to development responses and plans
- › **Peer to Peer support model for Municipality capacity building** as an efficient way of increasing acceptance of support from local municipality stakeholders

## CONTACT

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# Application of Local Area Based Coordination mechanisms for Cholera Response in Maiduguri, Nigeria



**Urban Centre:** Muna Corridor, Maiduguri, Nigeria (covering Muna Garage IDP camp)

**Project Timeframe:** August - September 2017

**Type of project:** Coordination, WASH Cholera Response

**Project partners:** SI, CRS, LAC participants

**Coordination framework:** INGO-led LAC at the Local Government Area level, endorsed by HCT

**Agency submitting the case study:** CRS

## CONTEXT

In May 2013, the Government of Nigeria declared a State of Emergency in the NE states of Yobe, Borno and Adamawa in response to the ongoing militant Islamic movement of Boko Haram. Since then more than 1.8 million individuals have been displaced, of whom 1.4 million are in Borno. In Borno, many have sought safety in Maiduguri Metropolitan Council, where an estimated 811,000 IDPs now reside.<sup>2</sup> Others have fled to adjacent communities in Jere, Gubio, Magumeri and Kaga Local Government Areas (LGAs). Approximately 32% of IDPs in Borno State have found refuge in camps, while the majority (68%) have settled within host communities. The ongoing conflict has resulted in widespread disruption of agricultural, market and livelihood activities. Frequent, cyclical displacement has resulted in the loss of key assets, the interruption of livelihoods, and the erosion of resilience mechanisms for IDPs, while the high prevalence of hosting has also resulted in the depletion of host populations' limited resources.

Local coordination issues in North-eastern Nigeria are typically not addressed adequately at the State level and are often not being taken up by the local-level cluster mechanisms. As a result, local area coordination (LAC) groups managed by implementing partners have sprung up in North-eastern Nigeria over the last six months. These groups exist at the LGA, ward and sub-ward levels, to respond to challenges in field-level coordination. As of July 1, 2017, the UN and INGOs agreed to formalize LGA coordination in Borno, Yobe and Adamawa states. The Humanitarian Country Team endorsed this formalization and agreed that INGOs will be the lead agencies for coordination at the LGA-level.

## PROJECT APPROACH

LAC in the Muna Corridor, east of Maiduguri city center in Borno State, is co-led by Solidarte International (SI) and CRS. Muna Corridor is the first place in which CRS began LAC and started out as a WASH-only group. As other sectors recognised the importance of coordinating at the local level, the group became multi-sectoral. Meetings are held monthly and sometimes include local government. During the week of August 21st, 2017 several suspected cholera cases were reported in Muna Garage IDP Camp (MGC), which is located within the Muna Corridor and falling within the LAC coverage area.

The LAC co-leads immediately responded to the suspected cases by closely coordinating WASH activities in the Muna Corridor. The first phase included identification of a control zone around Muna Garage IDP Camp. All actors performing WASH activities in the area were invited to an initial coordination meeting, during which a current map of Muna Corridor actors was used to guide the discussion about adequate coverage of all potentially affected locations.

The LAC co-leads confirmed each actor had capacity to immediately implement cholera hygiene promotion activities within their assigned geographies & received commitments from actors with additional capacity to cover unassigned geographies or support other actors. Several actors indicated their hygiene promoters needed training, specifically around cholera symptoms, prevention and appropriate care seeking behaviours. In response, CRS and Oxfam committed to offering two trainings within the next two days.

The LAC group also initiated planning in the event that the additional suspected cholera cases were confirmed, with a focus on increased hygiene promotion, water and sanitation activities, and distribution of NFI hygiene kits. As part of this, CRS immediately began mapping water points, locations of suspected cholera cases, and other significant points. Actors on the ground provided coordinates for each.

On August 26<sup>th</sup>, MSF reported two confirmed and three suspected cholera deaths, making it necessary to finalize and implement these additional activities. At this point, coordination activities became hyper-local, focusing on coordination within Muna Garage IDP Camp where the cholera cases/deaths occurred. Throughout the entire camp, actors committed to ensuring complete door-to-door hygiene promotion coverage. Using satellite imagery, the LAC co-leads worked with actors to divide the camp into nine zones, with each of four WASH actors taking responsibility for hygiene promotion in two or more zones. Within the areas of the camp where suspected cholera cases and suspected/confirmed cholera deaths were reported, actors coordinated latrine rehabilitation, desludging, and chlorination activities as well. During this phase all actors provided the LAC leads with daily activity updates, which were circulated within the group.

## PROJECT OUTPUTS

- › Active participation of ten WASH actors in the Muna Corridor LAC forum as part of the focussed cholera response.
- › Open training events by Oxfam, CRS and DRC in hygiene promotion for the cholera response (three events) and by Oxfam in batch chlorination of water sources for actors operating within the local area (two events).
- › Daily WASH SitReps initially produced by the CRS IMO for the LCA forum, later transitioning to the WASH Sector.
- › Updated online maps of operational water sources to support batch and bucket chlorination by multiple actors.

## KEY ACHIEVEMENTS

Aspects that facilitated successful coordination of the cholera response included the following:

- › INGOs working in Muna Corridor have been well-represented in on-going LAC meetings;
- › Muna Corridor mapping of actors, completed before the cholera cases as a part of LAC efforts, was pivotal in facilitating the initial coordination; and
- › LAC leadership engaged early, coordinating a local area response plan as soon as suspected cases were reported.

## CHALLENGES AND SHORTCOMINGS

The main challenges facing coordination of the cholera response included the following:

- › Many actors were not **accustomed to thinking spatially or using maps**, making it difficult to assign specific areas or use coordinates to identify the water infrastructure in need of chlorination/desludging, etc;
- › There was **no existing standard approach for hygiene promotion** and hygiene promoters were not previously trained in cholera prevention messaging;
- › **Some actors did not promptly follow-up on commitments** they made or initially acknowledge they needed additional support; and
- › In the rush to operationalize the cholera response, the **LAC co-leads did not consult with the local government officials early in the process**; this led to some initial confusion as the government was unaware that daily activity reports did not show aggregated information.

## KEY LESSONS LEARNT

- › The **LAC leads were able to quickly coordinate a response** to the cholera outbreak due to the pre-existing LAC network.
- › **LAC TORs should be formalized, in conjunction with and buy-in from implementing organizations**, the local and state government, sector coordinators, and OCHA; the TOR should include standard operating procedures for secondary emergencies that occur in the area of responsibility.
- › **Local and state government should be included** as soon as possible in coordination efforts.
- › Having **Information Management specialist staff** present was **crucial** to the process.
- › Having a **Program Manager who could focus on the response** as the highest priority was essential.
- › In addition to having 3W maps, which all LAC groups are aiming to develop, it would have been useful to have water and sanitation infrastructure mapped in advance.
- › Using **maps at meetings and collaborating with actors to improve maps** may help habituate actors to leveraging these tools to improve coverage validation in the future.
- › Asking actors to establish their geographical boundaries of operation by easily identifiable natural or man-made features, such as streams or roads, may facilitate geographic coverage in urban areas.



## REFERENCES

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<sup>2</sup> FEWSNET Food Security Outlook February - May 2017,  
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## CONTACT

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# Neighborhood Approach to Urban Disaster in Ravine Pintade, Haiti



**Urban Centre:** Port-au-Prince, Haiti, the neighborhood of Ravine Pintade

**Project timeframe:** February 2010 – January 2011

**Type of project:** Settlements-based approach to disaster response

**Project partners:** Global Communities (then CHF International), Project Concern International (PCI)

**Coordination framework:** Cluster system; direct meetings with government officials

**Agency submitting the case study:** Project Concern International (PCI) and Global Communities

## CONTEXT

In the wake of the 2010 earthquake, large numbers of Haitians were displaced due to severe damage to their homes. In one neighborhood (*Katye in Creole*) known as Ravine Pintade, ninety percent of the residents, or around 2,000 people were displaced. The 16-acre settlement, located in the heart of Port-au-Prince, is built on a steep slope that suffered severe damage during the earthquake, and, when combined with the damage to roads and large amounts of rubble, was made inaccessible in the aftermath.

Even before the earthquake struck however, Ravine Pintade faced a host of problems. The location on a hillside increased vulnerability to floods and landslides, and poor planning, construction practices, and public infrastructure meant that internally displaced persons (IDPs) would be vulnerable to future displacement in the event of other natural disasters. Many of the households did not have access to adequate water and sanitation infrastructure, and households spent a significant amount of money on bottled water. The area was considered a “red zone,” with high levels of crime and gang-related activity; there was very poor infrastructure for access for more vulnerable individuals including the elderly and disabled; and there were complex land title issues that complicated planning for reconstruction.

In order to quickly start neighborhood reconstruction, minimize reliance on the use of camps, jump-start recovery, and address other longer-term issues, Global Communities and PCI, with funding and technical input from USAID’s OFDA, created the Katye Neighborhood Improvement Program. Katye utilized a “neighborhood” or “settlements” approach that aimed to combine humanitarian assistance with immediate activities that would lay a foundation for recovery and longer-term development.

It emphasized coordination of many activities including: integrated, multisector activities at the neighborhood level rather than only at the broader inter-cluster level; strong community participation, enlisting the community in helping to re-plan and build a safer and healthier neighborhood; reconfiguring and upgrading infrastructure with a broader city planning perspective; incorporating disaster risk reduction measures to mitigate common hazards; and programming to meet ongoing immediate needs in protection, WASH, and health (including addressing an outbreak of cholera).

## PROJECT OVERVIEW

The goal of the Katye program was to meet the basic humanitarian needs of earthquake-affected, displaced households by providing safe, habitable neighborhoods and creating conditions for the upgrading of essential services. Earthquake recovery activities under Katye thus included the following major components: community mobilization; settlement planning and shelter; water, sanitation and hygiene; protection; and health.

### Community mobilisation

Katye staff encouraged community engagement on every level throughout the entire course of the project, including through participatory mapping and planning. A planning committee was established for Ravine Pintade as well five relatively autonomous zonal committees (with 5-7 elected or designated leaders), representing the unique needs of each of the zones. The project also employed a community mobilization manager, six experienced mobilizers, and five community facilitators, all of whom created essential linkages between the community and the Katye project team.

### Settlement planning and shelter

Settlement planning was highly participatory with community members involved in every step of the process, from mapping and enumeration to supervision of final construction and the placement of shelters, and in all levels of decision-making. Other important elements of settlement planning included the negotiation of concessions by land owners to find more space for community infrastructure, and the use of consensus verification of land ownership in situations where documentation was lacking. The Katye approach also integrated site protection for disaster risk reduction with humanitarian assistance through rubble clearance, terracing and retaining walls, storm drainage, footpaths, and rehabilitated streets. For shelter, Katye relied on transitional units including one story transitional shelters, two-story transitional shelters, and temporary relocation.

### Water, sanitation and hygiene

A key element of the Katye approach was the integration of improvements in water and sanitation infrastructure, as well as a focus on the “software” of these improvements to encourage adoption of healthful hygiene and sanitation behaviors. Specifically, Katye used community-centered programming to establish water points, septic tanks for waste management, and a rainwater catchment system; trainings on sanitation systems, water treatment, water storage, hand washing, and other essential WASH behaviors were conducted as needed, and water committees formed. The broader context of water and sanitation infrastructure in the municipal area was considered in the design of local WASH systems, and a community-based program for the purchase and provision of lower cost clean water was established.

### Protection

Protection activities focused on ensuring that the needs of vulnerable populations were met in the short term and considered in discussions on long term recovery. The project addressed trauma, physical health and wellbeing, and worked to increase school attendance and vocational training, provide neighborhood safe spaces and improve site conditions. The project focused on mainstreaming protection mechanisms into the community rehabilitation and planning process to ensure sustained reduction of vulnerability.

### Health

Katye operated an emergency clinic staffed entirely by Haitian nationals, supported by trained community health workers that provided free basic health, lab testing, and counselling services. Over the course of the project, Katye trained a clinic-based Urban Health Committee to supervise and support clinic operations, as well as establish means for sustainability, and participated in broader efforts at disease prevention, e.g. cholera.

### PROJECT OUTPUTS

Immediate support for humanitarian needs while laying the foundation for recovery. Activities included rubble removal, improved water systems, solar lighting to promote public safety, the construction of retaining walls, improvements to access and egress, the provision of health services, the creation of protective spaces, an ongoing response to cholera, and the building of one- and two-story shelters that could be formalized into more permanent housing.

### KEY ACHIEVEMENTS

- › **High impact at neighborhood level:** Almost 2,000 people benefited from Katye, including 574 families who had previously lived in the settlement and others on the south side of the ravine and surrounding areas. Over 97% of the housing stock was reinstated, allowing families to move back into the neighborhood.
- › **Accurately mapping the neighborhood:** Using enumeration and participatory mapping exercises, residents were able to provide critical information about their neighborhood including existing risks, property ownership/occupation, and key infrastructure, e.g. underground drainage lines. Data on infrastructure and services was made available to local authorities for their continued use at the municipal level.
- › **Community consensus on ownership/tenure:** Following community consensus verification exercises, many people received documentation about their rights to land for the first time, a vital component to long term recovery.
- › **Disaster risk reduction measures:** DRR interventions such as retaining walls, drainage infrastructure and wider footpaths were integrated into broader site planning to build the resilience of the community to future disasters while simultaneously addressing its immediate needs. Technical experts helped residents to implement measures, reducing the risk that the community would be displaced in the future.
- › **Achievement of a multi-sectoral approach:** Katye provided a holistic and integrated response by including free community health care, training programs, protection initiatives, water and sanitation (WASH) programs, cholera prevention, and infrastructure improvements, and was able to incorporate perspectives on a broad range of community matters into longer-range planning.
- › **Services provided to surrounding communities:** The project extended many of its non-infrastructure related interventions (e.g. protection, health, cash-for-work programming) to a much broader surrounding area, which helped to mitigate tensions with adjacent neighborhoods not receiving the same degree of support as Ravine Pintade.

### KEY LESSONS LEARNT

- › **Planning for recovery is possible – and usually more effective – in the early stages of a crisis.** By engaging communities in all aspects of the project and building their capacity, integrating site protection and mitigation infrastructure, and working closely with local authorities, it is possible to set the groundwork for the post-emergency phases. In fact, neighborhood or settlements-based approaches can facilitate recovery planning by encouraging the type of community engagement that enables better, more inclusive immediate and future planning, limiting the time that people spend in camps, reducing the likelihood of the re-creation of high-risk, informal settlements, restoring social networks at the neighborhood level, facilitating the rapid restoration of basic services, and enabling the time, resources and expertise to tackle the immediate and long-term needs at once.

## KEY LESSONS LEARNT (continued)

- › **Community engagement is key.** By working directly with the community, not only can needs be most efficiently identified, but also a sense of ownership can be created, building trust and helping alleviate problems that arise during implementation. In Katye, this proved especially important in dealing with land-rights issues, a problem that could not have been resolved on a house-by-house basis, and in the creation of additional space for community infrastructure.
- › **There is a need for a broad number of experts with specific skills.** Beyond those knowledgeable about rubble removal and shelter construction, programs need adequate staff who understand urban planning, land title, community engagement, and civil engineering.
- › **Close coordination between agencies is essential.** For a program like Katye to succeed, organizations must work in different sectors simultaneously. Where common road, sewer, or water infrastructure exists, coordination between implementing agencies and governments becomes essential. The same is true for long-term planning; all agencies working on a neighborhood must work together to ensure contiguous infrastructure is compatible and that all key needs are met. Related to this, sector-level or cluster-level coordination mechanisms should be complemented by area-based coordination.
- › **Resolving issues around differing approaches from the outset can be useful.** The neighborhood approach often requires that agencies with different areas of specialization work closely together, and integrate their methodologies and principles as they relate to many aspects of programming. In the case of Katye, these relationships were managed successfully, yet often “on the fly;” the project would have benefitted from generating a consensus on many aspects of the approach at the outset.
- › **Having a donor that enables neighborhood-based approaches is critical:** Katye benefited from both funding and technical inputs that promoted the overall approach of the program. Many donors limit funding for interventions that are considered appropriate for “emergency response” or “development,” yet few currently provide funding to respond to emergencies in a way that lays a foundation for longer-term recovery.

## CONTACT

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# Barrio Mio: Using the Neighborhood Approach for Emergency Response and Urban Resilience in Guatemala



**Urban Centre:** Seven municipalities within the Department of Guatemala, including Guatemala City (Guatemala municipality), and the six municipalities that comprise the Mancomunidad Gran Ciudad del Sur (Villa Nueva, Villa Canales, Amátitlan, Santa Catarina Pinula, Mixco and San Miguel Petapa)

**Project timeframe:** Phase One: October 2012-March 2015; phase Two: April 2015-April 2017; Phase three: June 2017 - Present

**Type of project:** Urban upgrading and DRR based on the Neighborhood Approach

**Project partners:** Project Concern International (PCI) with support from over 40 partners on the ground.

**Coordination framework:** Direct coordination with local, state, and national government, academic, and private sector partners.

**Agency submitting the case study:** Project Concern International (PCI)

## CONTEXT

As the world urbanizes, an increasing number of households are living in high-risk and informal settlements prone to a wide array of disasters such as floods, earthquakes, hurricanes, and outbreaks of disease, as well as high rates of crime, gender-based violence, malnutrition, economic exploitation, and limited access to basic services and livelihood opportunities. When disasters happen, emergency responses often fail to lay an adequate foundation for recovery, make effective use of existing urban resources and infrastructure to provide quick assistance to affected households, provide meaningful opportunities for affected communities to shape the recovery, or provide linkages with existing longer-term strategies to provide social housing.

According to the HABITAT III report for Guatemala, the **urbanization process in Guatemala is just beginning**. With an annual urban growth rate of 3.3%, mainly due to internal migration (urban area), the country is estimated to reach a total urban population of 75% by 2030 (currently 52%), with the arrival of more than 6 million inhabitants in the main urban centers. As in many areas of the world, these trends are particularly significant on the outskirts of political and financial capital cities, where there is a rapid rise in population growth in newly settled areas. Guatemala City and the Mancomunidad Gran Ciudad del Sur, which encompasses six municipalities in the Department of Guatemala (Amatitlan, Mixco, San Miguel Petapa, Santa Catarina Pinula, Villa Canales and Villa Nueva), mirrors many of these challenges. **Guatemala City, with its 2.1 million inhabitants, currently faces the enormous challenge of responding adequately to the complex configuration of unplanned city growth, including the more than 800 informal settlements that have formed on its slopes.**

Similarly, the **majority of communities within the Mancomunidad are informal** and lack the basic services and necessary infrastructure to promote safe and healthy communities. Major risks identified in all of these municipalities include **mudslides, landslides, flooding, fire, earthquakes, storms, and volcanic activity**. One demonstrative example of urban risk exposure is Santa Catarina Pinula, where 31% of settlements reaching a total of 3,190 hectares, covering about 989 hectares, are found on hillsides with slopes between 20° and greater than 45°.

Barrio Mio, which means “my neighborhood” in Spanish, is a **partnership between PCI and USAID’s Office of Foreign Disaster Assistance** that began in 2012 to develop scalable methodologies for upgrading high risk informal urban settlements into safer, healthier, and more resilient neighborhoods. The strategy, **based on the “Neighborhood Approach,” brings together a broad range of stakeholders**—from women, men, children, youth, the elderly and persons with disabilities in dangerous communities, to banks, municipalities, ministries, the privates sector, universities, and local organizations—to identify urban risks and resources and develop collaborative strategies to increase urban resilience.

Barrio Mio, which started in the municipality of Mixco, has now **scaled to 7 municipalities and has the support of over 40 partners**. The Ministry of Communications, Infrastructure and Housing in Guatemala has now signed an agreement to use the “Neighborhood Approach” as a basis for urban disaster response and as a national strategy for upgrading high risk informal settlements throughout Guatemala.

## PROJECT PHASING

The project was rolled out in 3 phases, as follows:

### Step 1:

PCI adapted its previous work with the **Neighborhood Approach** as a means of emergency response to the challenge of convening communities, government agencies, NGOs, private companies, and universities to generate scalable strategies to upgrade high risk urban informal settlements into safer, healthier, and more prosperous neighborhoods. The project demonstrated risk reduction and upgrading strategies at the community-level, and conducted capacity building of community, municipal, and national level partners. Barrio Mio demonstrated a broad range of upgrading strategies, from participatory enumeration and community mobilization, to construction of water and sanitation infrastructure. Upgrading activities included retrofitting houses, installing retaining walls and other risk management infrastructure, the establishment of systems to reduce environmental contamination, and the implementation of strategies for women's social and economic empowerment. Strategies were replicated by local partners in other communities.

### Step 2:

PCI expanded Barrio Mio to five additional municipalities and laid the groundwork to scale the model to a wider context. The focus of the second phase was capacity-building for the Neighborhood Approach as the basis for urban humanitarian assistance and DRR. PCI built the capacity of community, municipal and national level public and private partners in urban risk management, upgrading, integrated emergency response, and the use of data for decision making in urban contexts. PCI partnered with banks and other institutions to develop financial products designed to increase access to safe land and housing in high risk informal settlements. With its partner Build Change, Barrio Mio demonstrated strategies for housing retrofitting in earthquake prone areas and scaled its economic and social empowerment methodologies for women to 72 communities.

### Step 3:

**Consolidate the gains of the first two phases, expand to a seventh municipality** & support partners to scale the approach nationally. Key activities include:

- › Supporting public and private sector partners in their efforts to use the Neighborhood Approach as a framework for settlement upgrading and to respond and recover from urban emergencies;
- › Creating sustainable platforms to promote cross-sectoral partnerships;
- › Providing technical assistance to the Government of Guatemala and its partners as they dedicate resources to the upgrading of high risk, informal settlements;
- › Informing policies and practices that reinforce livelihoods in high risk neighborhoods;
- › Pursuing efforts to scale retrofitting of houses with innovative financing models; and supporting efforts in Central America in urban risk management, together with GOAL, Honduras.

## KEY ACHIEVEMENTS

Through Barrio Mio, PCI developed and demonstrated Neighborhood Approach methodologies for upgrading high risk informal settlements, and built the capacity of partners – including government, municipalities, local organizations, private sector, and universities – to work together to implement and scale them. Examples of these strategies include:

- › Constructing innovative **urban water and sanitation infrastructure**;
- › **Reinforcing housing construction** to reduce vulnerability to disaster (including with support from partner Build Change) and constructing urban mitigation infrastructure;
- › Generating **neighborhood and household level strategies to improve urban health** and protection of vulnerable populations;
- › Reinforcing the **social and economic empowerment** of women in urban areas;
- › Improving **urban planning and zoning**, and generating inclusive strategies to move households to safer land;
- › Developing **plans to extend lower cost loans to families** living in unsafe areas so they can afford safer housing;
- › Engaging communities and **collecting data through participatory enumeration**.

Similarly, PCI is building the capacity of these same partners to use the Neighborhood Approach to collectively respond to crises in urban areas. For example:

- › **Using GIS and other tools** for integrated disaster assessments, designed to inform decision making of a broad range of partners in immediate disaster response and recovery strategies;
- › **Reducing reliance on camps** and green field construction through hosting and utilization of available housing stock in emergencies, including with vouchers and other forms of assistance from the public and private sectors;
- › Using **community mobilization for engagement at all levels** of the emergency response;
- › **Linking disaster response strategies to longer-term** urban planning and land use assessments;
- › Strengthening the **mainstreaming of protection** in disaster response;
- › Linking **banks, micro-finance institutions, ministries and other partners** to examine strategies to utilize low or no cost financing to facilitate recovery.

## MAIN CHALLENGES AND SHORTCOMINGS

- › **Continuity of engagement with government**, particularly at the municipal level, can be challenging due to electoral cycles. PCI has mitigated somewhat against this through a range of new strategies including work with municipal associations.
- › The **capacity and political will of local partners** to dedicate adequate resources has been inconsistent.

## KEY LESSONS LEARNT

- › By engaging communities and public and private institutions and helping them to identify their incentives for participation in urban risk reduction, **high risk informal settlements can be upgraded at relatively low cost.** PCI studies of the comparative cost of reactive emergency responses in urban areas of Guatemala versus proactive risk reduction found that it is more than 5 times less expensive to upgrade neighborhoods than it is to respond to urban disasters, host displaced households in camps, and develop reactive housing solutions for them.
- › Integrating primary and secondary data on trends associated with urban vulnerability, and tailoring the analysis of that data to different stakeholders with varied information needs, can help to **align a broad range of partners behind urban risk management strategies.**
- › **The upgrading of urban infrastructure and services, such as basic water and sanitation services, in existing neighborhoods is possible without displacing households in the process;** further, it is often preferable (and possible) to find safe housing solutions in urban areas in the aftermath of a disaster (e.g. hosting arrangements, using existing housing stock, reclaiming land, etc.), enabling communities to stay in or near by their neighborhoods of origin, and thus avoiding long-term encampment or “greenfield” construction.

- › **Building the capacity of local public and private partners in the Neighborhood Approach** as a means of urban upgrading and risk management gives partners the tools, motivation, and skills to apply similar approaches to integrated disaster response in future crises, thus better meeting on-the-ground needs while also laying a foundation for recovery.



## CONTACT

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# Supporting the response to urban displacement in eastern Afghanistan



Photo 1

## CONTEXT

Since the beginning of 2016, over 1 million Afghans have returned to Afghanistan from Pakistan, including around 750,000 undocumented returnees. The majority returned between July and October 2016, but families continue to arrive. There are no reception camps, so families are displaced in urban areas, renting rooms or staying with extended family in over-crowded shelters, and in some cases installing makeshift shelters on private land. Some extremely vulnerable families are left in the open with no shelter at all, heightening their exposure to the elements, disease, and other protection concerns. Displacement tracking is limited: the intended final destinations of returnees is recorded at their point of entry, but not consistently followed up. This makes it difficult to locate and assess humanitarian needs, and most humanitarian agencies are relying on local community elders to locate the returnee household – an incomplete and unreliable method for tracking the unassisted returnees.

The influx of returnees (on top of on-going IDP arrivals) means that local services including schools, healthcare, and water networks are overstretched. Access to life-saving assistance is also limited by insufficient humanitarian funding and agencies, and security challenges. Moreover, lack of service mapping and inadequate local-level coordination, combined with complex procedures and poor information dissemination to communities, means that people lack information and awareness on how to access humanitarian assistance even where it is available. Since most returnees and many IDPs intend to settle in their areas of arrival, there is a need for durable solutions; however, most assistance is one-off and unsustainable, is not connected to longer-term development initiatives, and involves little or no consultation with affected communities.

NRC is developing an area-based Urban Displacement and Out of Camps (UDOC) approach, drawing on Camp Management methodologies, to ensure that displacement-affected communities are protected and able to access life-saving assistance and durable solutions for their recovery.

**Urban Centre:** 8 (sub-) urban districts with high numbers of IDPs and returning refugees

**Project timeframe:** On-going since January 2017

**Type of project:** Urban Displacement and Out of Camps (UDOC)

**Coordination framework:** Engagement in and support to local coordination (local authorities and NGOs) and coordination also at national and regional level with Clusters, UN agencies, provincial authorities, and line ministries.

**Agency submitting the case study:** Norwegian Refugee Council

The approach targets areas of high displacement, and provides communities with information to access assistance, identifies and refers the most vulnerable within these communities, creates structures for community mobilization and self-management, and supports localized area-level coordination of humanitarian and recovery response activities. It does this primarily through the mechanisms of Community Centres, Mobile Outreach Teams, and representative Neighbourhood Committees.

## PROJECT OUTPUTS

The project is new and still in development, but with the following outputs so far: (as of end July 2017)

- > **8 Community Centres** established
- > **Over 400 information sessions** on humanitarian assistance procedures and services
- > **51 Neighbourhood Committees formed** and trained, comprising 276 members
- > **Localised service mapping and service directories, and more than 90 coordination meetings held**, involving local authorities, service providers, and Neighbourhood Committees
- > **1,324 referrals of vulnerable households** (comprising 8,051 individuals) to services including cash for food, shelter, and protection



Photo 2

## PROJECT PHASING

### Step 1:

**Identification of areas of high return:** In consultation with IOM, 8 districts were targeted. Within each district, a location was chosen to establish a Community Centre - based on ease of access for surrounding villages or neighbourhoods with large numbers of displaced

### Step 2:

**Community-based assessment consisting of:** First, a survey of host community members, returnees, and IDPs to find out about their access to information on services, opinions on accountability of humanitarian actors, and opportunities for community engagement. Second, key informant interviews with local authorities and leaders (formal/informal) and service providers to understand services and community structures already in place. Third, community mapping FGDs to identify services and needs/gaps in the areas.

### Step 3:

**Selection of neighbourhoods within the wider target areas and creation of neighbourhood committees:** Mobile Outreach Teams prioritised neighbourhoods in which to establish Neighbourhood Committees and concentrate community outreach work. The Committees were established using participatory methods, involving a series of meetings with community members to consult them and involve them in the selection process. Committees (separate male and female) comprise IDPs, returnees, and host community of different age groups and including people with specific needs.

### Step 4:

**Implementation of activities:** Training and supporting Committees in dissemination of information, referrals, and coordination; providing information and referrals within Community Centres; building relationships with local stakeholders; collecting data and information on needs to aid humanitarian coordination; and supporting local authorities. This phase is ongoing.

## KEY ACHIEVEMENTS

**Accessible platform for information provision and community networking through Community Centres:** Centre visitors have expressed particular appreciation for the Centres as a source of information that does not rely on local community leaders, whom they do not always trust, and which allows them face-to-face access to NGOs. They also appreciate the Centres as a physical space where they can meet with other community members for informal networking and sharing of information.

**Matching eligible vulnerable beneficiaries to available services and protection:** In an urban displacement context, identifying vulnerable households can be a challenge, and many local service providers were struggling to identify eligible beneficiaries despite needs. Regular and consistent presence of Mobile Teams in targeted neighbourhoods as well as staff at Community Centres has enabled an entry point for community members to access service providers and vice versa. Moreover, through bilateral coordination with service providers, NRC has been able to leverage additional service provision for beneficiaries and communities that might otherwise have been left behind.

## KEY ACHIEVEMENTS (CONTINUED)

**Involving displaced communities in identifying needs and implementing solutions, including through coordination:** By forming neighbourhood committees and linking them with local service providers and authorities, the host community together with displaced residents are able to address community concerns such as water supply, education, and health facilities. NRC has facilitated trilateral coordination meetings at local levels with the involvement of neighbourhood committees alongside a range of local organisations, authorities, informal community leaders, and NGOs.

**Linking of humanitarian and development/durable solutions:** support to initiatives including land allocation and livelihoods development schemes – for example by facilitating community identification of appropriate land for agricultural livelihoods projects.

## MAIN CHALLENGES AND SHORTCOMINGS

**Security constraints:** Limit access to some areas where needs are great, and at times prevent presence of Mobile Teams.

**Initial resistance by some local informal leaders:** Existing power structures resisted formation of new committees. However, after discussion and coordination the vast majority have accepted and welcomed the additional structures.

**Limited service mapping and complex procedures for IDP and returnee registration and assessment:** This makes it challenging to provide clear and accurate information messages for communities.

**Geographical coverage:** The displaced populations are widespread, making it impossible to cover all affected areas.



Photo 3

## KEY LESSONS LEARNT

**Area-based approaches require a narrow geographical focus:** The Community Centres have a catchment population of tens or (in the more densely populated districts) even hundreds of thousands of people, which is too large for an area-based approach. As such, it was necessary to target smaller neighbourhoods within the wider catchment areas of the Community Centres to focus the mobile outreach and community mobilization elements of the work. Each Community Centre could then function as a central 'hub' for coordination within and between the multiple neighbourhood structures in the vicinity.

## KEY LESSONS LEARNT (continued)

**Neighbourhood selection depends on local understanding and experience:** Identifying and prioritising neighbourhoods in which to focus the area-based approach was only possible once field staff had gained a deep understanding of the wider areas. This was after several weeks conducting information dissemination and outreach in many neighbourhoods surrounding the Community Centres, as well as consultation with local authorities and informal community leaders. The staff were then able to select neighbourhoods according to the following criteria: significant number and needs of displaced households; social cohesion among residents; small enough area for community representatives to be known by most people in the neighbourhood; acceptable security risks; and acceptance by local leadership.

**Service mapping should be a priority from the beginning and throughout the project:** Development of detailed and localised service mapping and directories should take place at the outset of the project and be updated on a regular basis following development of relationships with service providers – this is essential to allow useful information dissemination and referrals. Outreach Teams must be well trained on all procedures relevant to humanitarian assistance and referrals in order to adequately advise community members.

## CONTACT

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## NEXT STEPS: TOWARDS DURABLE SOLUTIONS

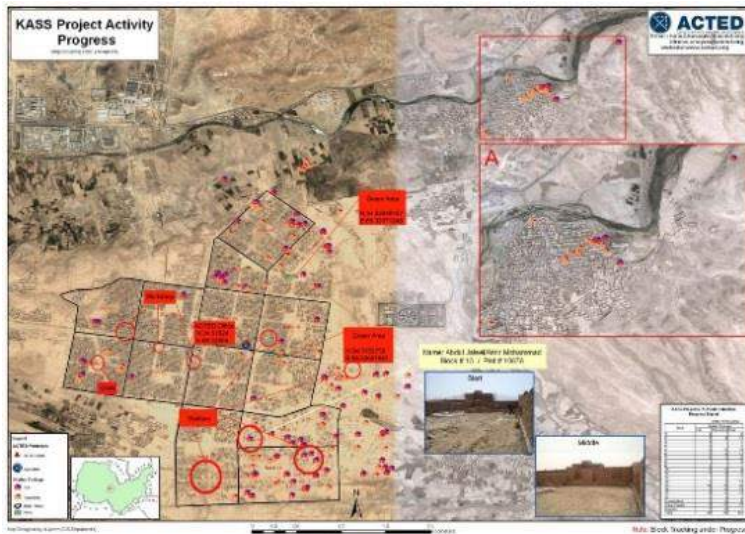
As the situation of returnees stabilizes and governmental and non-governmental schemes for durable solutions are developed, the project will continue to run Community Centres to support such initiatives. The Centres will provide a physical base for communication with communities, community mobilization, and coordination – as well as providing a platform for the provision of a range of different integrated services – such as legal counselling, psychosocial support, and skill-building activities. Meanwhile, Neighbourhood Committees will be encouraged and supported to take increasing responsibility to manage problems and solutions in their neighbourhoods, in coordination with authorities and other stakeholders.

## PHOTO CAPTIONS

Photos taken by Jim Huylebroek:

- › **Photo 1:** Women's Neighbourhood Committee members use a problem tree to analyse the root causes of the community problem they have prioritised for solving
- › **Photo 2:** A member of the outreach team meets displaced community members in the Community Centre to give them information on services and conduct referrals
- › **Photo 3:** Community members meet to select members of their Neighbourhood Committee

# Kabul Area Shelter and Settlements (KASS)



**Urban Centre:** Kabul, Afghanistan, covering 2 Districts of Kabul 12, 16 (total programme covered 4 districts with Care and CHF)

**Project Timeframe:** 2008 - 2010

**Type of project:** Integrated, area-based shelter and settlement programme linking emergency type shelter and settlement programme with the broader city development strategy and planning

**Project partners:** ACTED

**Coordination framework:** Mayors Office, municipal departments, local and traditional governance organisations, OFDA

**Agency submitting the case study:** ACTED

## CONTEXT

The project was designed to cope with the dramatic increase in the **population size of Kabul which was estimated to be increasing at a rate of 15% per year since 1999**. Part of this was due to the high number of returns from Pakistan and Iran (around 5 million of the 8 million estimated had returned by this time) and IDPs displaced because of increasing insecurity in other parts of the country and in part due to general trends towards urbanisation.

The needs were multiple and the target districts were devoid of basic services.

ACTED worked in two districts: one was an old settlement which was densely populated and the other a brand new site earmarked for development. Both were located on the outskirts of Kabul city, far from markets and employment opportunities.

Neither district was included in the Master Plan of the city. The local governance structures which existed were consequently marginalised, neither included in rural programmes nor urban. Land planning and land tenure was a persistent issue (across the country, not just Kabul).

At the time, there was no urban-based humanitarian shelter program by the international community in Afghanistan since the 2002 to 2004 emergency assistance, unlike rural.

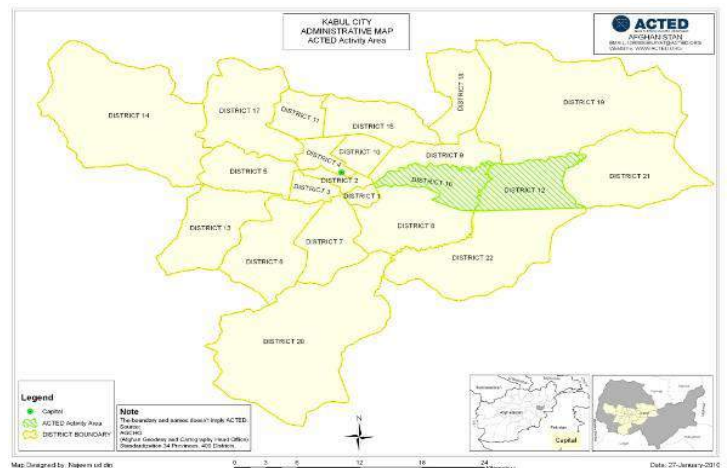
## PROJECT APPROACH

In order to deal with the multiple needs, the project took an **integrated, multi-sectoral approach to resettlement and re-integration based on lessons learned from previous shelter programmes for returnees** which took a sectoral based approach and ended up being un-sustainable because they didn't meet the needs and people abandoned the sites.

The project **adopted an area-based approach**, working with local and traditional authorities where they existed and setting up community councils where they didn't and linked these authorities in with Kabul Municipality.

## PROJECT OUTPUTS

- › **Shelter, water, sanitation facilities, hygiene awareness, improved environment, jobs, vocational training.**
- › The project also set up **community councils (gozar shuras)** in targeted areas to enable communities to prioritize their needs and enhance communication mechanism with relevant authorities, respond to local needs for public services and liaise with government officials on urban issues.
- › **Parcel identification and mapping** to facilitate certification of customary land titles and resolution of land tenure



## KEY ACHIEVEMENTS

**Successful example of LRRD:** the first time such a large emergency type shelter and settlements improvement project was linked with the broader city development strategy and planning.

**Parcel identification using traditional governance jurisdictions**, which were by and large familiar to all residents irrespective of background and ethnicity

**Mapping** to facilitate planning, certification of customary land titles and resolution of land tenure issues.

## KEY ACHIEVEMENTS (Continued)

**Strong engagement of community representatives at neighbourhood level**, including gozar shuras, informal community leaders in the definition of needs and response priorities and implementation.

**Strong engagement of residents (beneficiaries)** – total programme grant for KASS was USD 14,7 million and the community contribution was USD 5 million, around 34%

**High level of engagement from Kabul Municipality and Mayors offices**, regular monthly meetings, common understanding of issues, consensus building

Focus on promoting the **engagement and building the capacity of local authorities**, also using lessons learned from National Solidarity Program

Approach created a vibrant community integrated into Kabul as opposed to an isolated ghetto-ised community as had been the fate of many other peri-urban resettlement programmes for returnees.



## CONTACT

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## MAIN CHALLENGES AND SHORTCOMINGS

**Working with the Mayor's office:** reaching common understanding of needs and priorities, balancing the Mayor's evolving city-wide priorities with the project's priorities in a restricted area, building and maintaining consensus, reaching agreements, signing MOUs.

**Proper representation:** Urban communities are less homogeneous than rural communities (more diverse) and there is no one common representative. This diversity needs to be reflected in the local governance framework.



## KEY LESSONS LEARNT

- > **Need continued improvement of linkages between different levels of local governance:** Gozar shuras with district shuras, District shuras with district office, District office with Kabul Municipality
- > **Need continued assistance to beneficiaries and district officials in resolution of land tenure issues** and certification of customary land titles
- > **Rural models** (e.g. National Solidarity Program) **should not just be replicated but adapted** to urban context/needs
- > **Awareness campaigns / civic education on duties of citizens** should be added to complement urban reintegration programmes.

# Typhoon Haiyan Recovery Program in Tacloban City



Figure 1-No build and dwell zones were identified but not enforced by authorities.

## CONTEXT

Super Typhoon Haiyan (local name Yolanda) made its first landfall on November 8, 2013 with a speed of 384 km/h. Haiyan is the strongest tropical cyclone on record, causing powerful storm surges up to 6 meters. The official death toll went up to 6,201 people. Tacloban City in Leyte island, comprised of 138 barangays (administrative neighbourhoods), experienced widespread destruction and loss of life. There were an estimated 20,000 families living in informal settlements throughout the city that were severely affected. Infrastructure damage was severe.

Prior to typhoon Haiyan, the Government of the Philippines designated “No Build/Dwell Zones” for areas deemed hazardous. However, many of the informal settlements rest in these vulnerable areas. The city government began planning for large relocation sites in the north of Tacloban, but those plans take years to be completed. The proposed resettlement locations are far from the city centre, which created problems for families in accessing livelihoods and essential services.

## PROJECT APPROACH

In close collaboration with the local government, CRS implemented an integrated project addressing shelter, water, sanitation, hygiene, protection and disaster risk reduction. The results were safer and more resilient neighbourhoods within Tacloban city. Specific neighbourhoods were identified following six steps (Fig.1) that helped map impacts, needs and stakeholders before start-up. Neighbourhood committees were engaged and the subsequent planning was a participatory process taking place in a series of sessions.

Despite the many interests, the overall enabling urban environment in Tacloban included:

- › willingness of people to repair on-site or move out to safer locations,
- › availability of hosts and apartment rental units,
- › supportive local government, and functioning cash transfer system already known by population

**Urban Centre:** Tacloban, covering 24 neighbourhoods of Tacloban (17 in Sagkahan and 7 in Anibong)

**Project Timeframe:** December 2013 – December 2015

**Type of project:** Integrated assistance to typhoon-affected families to live in resilient communities

**Project partners:** Tacloban City Government, Philippines Statistics Authority, All Hands Volunteers

**Coordination framework:** Local authorities via sectoral groups, NGOs and other relevant humanitarian actors

**Agency submitting the case study:** Catholic Relief Services (CRS)

All these conditions favoured the development of an owner-driven approach, thus requiring *each household and neighbourhood* to take an *active role in their recovery*. The shelter options included on-site repair or reconstruction, land or apartment rental subsidies, and host family support. The settlement assistance achieved improved rain water drainage, repaired municipal water systems, reconnected household water taps, built community infrastructure and drilled evacuation plans.

Initially challenging due to the extent of social mobilisation needed at start-up, this urban intervention attained a comprehensive improvement that fostered a stronger sense of place, better quality of life in the settlement, accountability and ownership.

## PROJECT OUTPUTS

- › [Pintakasi](#): A review of shelter/wash delivery methods in post-disaster recovery interventions.
- › [Extending Impact](#): Factors influencing households to adopt hazard-resistant construction practices in post-disaster settings.
- › Evaluation document available upon request.

## KEY ACHIEVEMENTS

**Typhoon-affected families achieved their preferred shelter solution either in their original settlement or other of their choice.** 3,297 solutions were completed, including 1,104 repairs, 594 new constructions, 383 land rentals, 1,573 apartment rentals, and 384 host families. 1,132 households completed or repaired their latrines. Four transitional relocation sites were established for families willing to move out of hazardous areas.

**Increased awareness on Build Back Safer (BBS) construction techniques**, following key Shelter Cluster messaging.

## KEY ACHIEVEMENTS (Continued)

**High level commitment to DRR from neighbourhoods and Tacloban City government.** The project assisted 17 barangays from Old Road Sagkahan to submit their Contingency Plans the Tacloban City DRR Office with an updated constituents' master list to facilitate evacuation planning. In complement, households also had increased DRR awareness as they took part of two typhoon evacuation drills to test early warning systems, communication and evacuation procedures. 4,000 people joined the events.

**Strong engagement of neighbourhood authorities to operate and maintain the WASH infrastructure built.**

**Improvement of overall settlement quality through:**

- > The recovery of vacant spaces or buildings to improve overall settlement quality, thus avoid irregular use or new dwellers. 14 small projects took place including six basketball courts, three barangay halls, a day care center, a learning center, repaired sea walls, and installed street lights.
- > Improving the drainage network. 1,386 linear meters of household grey water drainage, 7,176 linear meters of drainage, and 1,257 square meters of pathway was constructed or repaired.
- > Placement of solid waste collection bins. 55 bins were placed across the affected neighbourhoods.
- > Increasing access to water facilities. 295 individual water taps were installed in Sagkahan, and 10 communal water points in Anibong.

**Improved dignity and access to services thanks to the recovery of civil documents.** 2095 households recovered at least one civil document (birth certificate, marriage certificate, etc.) facilitating access other services such as school admission, health insurance, etc.



Figure 3-Basketball courts and playground for barangays 52 and 51, spaces previously used for informal tents and junkyard.

## CONTACT

For more info, visit [www.crs.org/stories/typhoon-haiyan-anniversary-shelter-success](http://www.crs.org/stories/typhoon-haiyan-anniversary-shelter-success), or contact [HRDShelter@crs.org](mailto:HRDShelter@crs.org)

## MAIN CHALLENGES AND SHORTCOMINGS:

**Concerns over the long-term occupation of land and apartments.** Landlords were hesitant about how they could ensure that the households would leave the land once the rental contract expired. In addition, most households in the No Dwell Zone also had the same concern of what they would do after the two-year subsidy expired.

**Various projects from the city and national government affected the target areas.** The Department of Public Works and Highways presented plans for a tidal embankment and road widening that would negatively impact several components, such as the community infrastructure and one of the transitional relocation sites.

**Lengthy processes to access basic services.** Processes to ensure electrical network and water service required paperwork and 3 different approvals before the utility company could process the connection. Despite CRS' best efforts to communicate deadlines and facilitate the processes, it was not possible to control the delays.

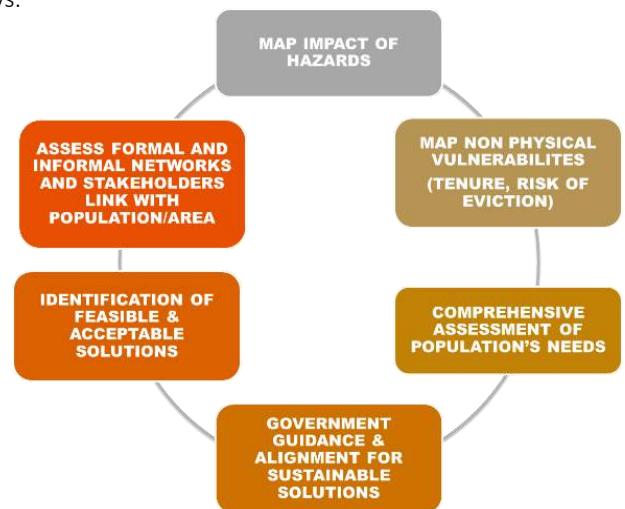


Figure 2- Steps to identify the project area

## KEY LESSONS LEARNT:

**Embrace urban complexity but plan accordingly.** Urban households have more complex and diverse needs, thus it is important to address them with multiple options for solutions. This is likely to require substantial skills and resources to communicate and execute in the field.

**Negotiate and align with long-term government plans.** Leverage assistance framework to agree with authorities on adequate solutions.

**Develop and communicate a clear exit strategy.** Engage local authorities and relevant stakeholders to define long-term solutions. Inform and empower households and stakeholders about the processes.

**Invest in community participation, capacity building.** Such efforts generate sustained ownership, recognition and leadership.

**Nurture constructive relationships between stakeholders.** Establish means of communication; conduct regular stakeholders' meetings. This will facilitate coordination during and after the project ends.

# Innovative Local Solutions to Migration Crisis: Addressing refugee needs at local level through innovation in Sultanbeyli, Istanbul, Turkey

## CONTEXT

Since 2011, Turkey has experienced the largest influx of Syrians in its history. Today, around 3 million Syrians, who fled the civil war in their home country, live in Turkey. Where many countries of first asylum place refugees in camps on arrival, in Turkey more than 90% of all refugees live in cities. In the early stages of the conflict, Syrians were mostly clustered in Southern Turkey close to the Syrian border. But as the protracted nature of the crisis became apparent, they began to move to the big cities such as Istanbul, Ankara and Izmir.

According to the latest official numbers, since 2011, around 500,000 Syrians migrated to Istanbul, the largest metropolis in Turkey with a total population of 15 million. Generally, in Istanbul, refugees chose to settle in areas, where urban poor is clustered. According to the descriptive statistics, there is a negative correlation between refugees' top choices of residence, and the quality of life provided in those towns. There are several common attributes of the districts refugees settle down. They are the towns where poverty is prevalent, conservatism and religiousness is part of every day life, informal social networks among poor is active, and life is considerably cheap compared to the other parts of Istanbul.

Located on the outskirts of Istanbul, Sultanbeyli is a low-income neighborhood with low levels of educational attainment and female employment, and high levels of fertility. Today, Sultanbeyli is among the top five districts where the Syrian population in Istanbul settles. As of March 2016, around 20,192 of the 485,227 Syrian refugees in Istanbul reside in Sultanbeyli, and approximately 6.27% of the district's population consists of refugees. The size and intensity of the most recent Syrian migration to the district raised concerns about already limited resources available. At the end, despite the Turkish governments' overall focus on centralized solutions, Sultanbeyli Municipality has found effective ways to map refugees' needs and match them to service delivery organizations at the local level.

## RESEARCH OBJECTIVES:

- > How can local governments and municipalities facilitate sustainable access to basic services for refugees?
- > What types of innovative tools can be used for refugee integration to ensure the most effective use of limited resources?



**Urban Centre:** Sultanbeyli, Istanbul, Turkey

**Project Timeframe:** March 2016 – August 2016

**Type of project:** Settlement based support to migrants

**Project partners:** Feinstein International Center at TUFTS University, Department of Political Science at Northeastern University, Boston Consortium on Arab Region Studies (BCARS)

## PROJECT OUTPUTS

### Policy Innovations:

#### A research based approach

To begin, municipal decision makers organized a series of workshops with public institutions and national and local NGOs to learn the best practices of refugee integration. The workshops were followed by an extensive survey of the refugee population in Sultanbeyli to understand the profile of the refugee population and how it would change the district's social fabric. As part of the survey, 10,281 individual refugees were interviewed by native Arabic speaker researchers, along with the data collected from 2,032 households. After the initial collection of data, periodic follow up visits have been scheduled for the regular updates on the data set.

In Sultanbeyli Municipality, sociologists and social workers are working closely to come up with policy solutions that benefit everyone.

After sociologists analyze the data and identify and assess the needs of the refugee population, social workers develop policy alternatives that decision makers can choose from. So far, the municipality provides healthcare services for refugees (including internal medicine, pediatrics, cardiology, women's services, and other specializations as well as a pharmacy), education services (integrated with Turkish schools, providing education in grades 1 through 8 according to the Syrian curriculum), employment services (via an employment office matching job seekers with private sector employment opportunities), and services for disadvantages and vulnerable groups such as support for rent and other expenses for widowed and single mothers. They also established a guest house, albeit with limited capacity, for Syrian women and orphaned children.

## PROJECT OUTPUTS (CONTINUED)

### Establishing an online platform

The municipality established a **sophisticated software package, to capture and share the information on refugees systematically**. In the software, each and every refugee family living in Sultanbeyli has a profile page with their demographic information, and the list of their needs in order of urgency. The aim of the system is affective coordination of services: to **understand who is living in Sultanbeyli, identify their needs, and match them with NGOs and civil society organizations that can help meet those needs**. The system captures the demographic information of refugee families (family size, number of kids, education levels, disability status etc.) along with their national registration numbers given by the Directorate General for Migration Management (DGMM), and uses the data to match the refugees in need with the service delivery organizations.

### Cooperation and coordination among stakeholders

As well as an online platform, the municipality has also **established a physical space, a coordination center for the refugees**. The center serves as a multipurpose complex: in the five-story building, refugees can benefit from wide varieties of services – from healthcare to vocational classes and psycho-social support-provided for them for free.

More importantly, the **center brings together all the national institutions and non-governmental organizations working in refugee assistance**. The DGMM recently opened a branch in the 5<sup>th</sup> floor of the center, so that refugees in Sultanbeyli can complete their official registration without taking a long commute to the main registration bureau located at the other end of Istanbul. The center also has office spaces for the NGOs and the civil society organizations operating in the district, so that they can all work in coordination and collaborate on projects.



## MAIN CHALLENGES

### Restrictive legal framework

Despite all the good work done by the municipality, it is important to note that Sultanbeyli Municipality operates under the Municipality Law (No: 5393), which sets governmental restrictions for limiting the municipalities' ability to carry out direct service provision.

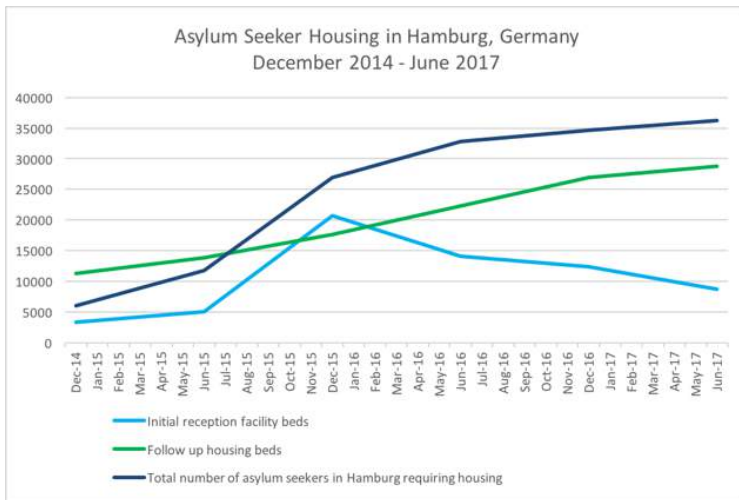
### Ensuring justice

Given the fact that the host population of Sultanbeyli is also suffering from impoverished living conditions, it is very critical for the municipality to minimize the perceptions that the aid is disproportionately distributed between the host community and the refugees.

## CONTACT

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# Housing Innovation in the Midst of a “Migration Crisis”: Transitioning to Long Term Refugee and Asylum Seeker Housing in Hamburg, Germany through Land Use Planning



**Urban Centre:** Hamburg, Germany

**Project Timeframe:** November 2014 - December 2019

**Type of Project:** Asylum seeker housing, area-based approach

**Project partners:** Hamburg local government

**Agency submitting the case study:** Massachusetts Institute of Technology (MIT)

## RESEARCH OBJECTIVES:

- > To better understand how urban planning practices facilitate the provision of long-term refugee and asylum seeker housing.
- > To analyze how these planning policies affect housing typologies and spatial integration within the local community in Hamburg.

## PROJECT OUTPUTS

Policy Outcomes in Hamburg as a result of §246:

**Reliance on a temporary land use exception to spur rapid housing development for asylum seekers:** Olaf Scholz, the Mayor of Hamburg since 2011, recognized the difficulties of locating a high amount of asylum seeker housing in a highly developed, land constrained city-state firsthand. Scholz personally led the development of §246 and petitioned for its inclusion in the federal Building Code. After the federal government approved §246, the local government of Hamburg relied on the Code to pursue follow up housing development. As of June 2017, there were 121 follow up housing sites throughout the city with nearly 29,000 beds. These housing sites have been built in diverse locations across the city such as parks or land reserves, large parking lots or commercial areas. The house process for asylum recipients is supplemented by language programs, social services and education or job training

**Creation of a new local government unit** – In the German local government system, the Ministry of the Interior and Sports manages initial reception facilities, while the Ministry of Social Affairs, Integration, Labor and Family manages follow up housing and integration activities. These two phases of housing are inextricably linked. Coordination between the Ministries at the height of the migration crisis proved complicated and time intensive. In order to facilitate a more streamlined housing and asylum seeker support system, the local government of Hamburg created the Central Coordination Unit for Refugees which is tasked with managing all stages of refugee accommodation, preliminary integration measures, coordinating volunteers and organizing citizen participation. It sourced employees from both ministries. As of Fall 2017, the Central Coordination Unit for Refugees has been formalized as a permanent government unit to continue managing the city’s refugee housing and to be prepared for future crises.

## CONTEXT

Since the beginning of 2015, Germany has received more than 1.3 million asylum seekers. The significant influx led to increased demand for the already limited social housing stock. Asylum seekers are assigned to each of the sixteen federal states according to a distribution system based on population and tax revenue. This results in densely populated city-states receiving disproportionately more refugees. In Germany, asylum seekers are first assigned to an initial reception facility with communal living arrangements and a cafeteria. Upon receiving asylum for between one to three years, individuals are transferred to a follow up accommodation site that has shared apartments with bathrooms and kitchens.

Hamburg, a city-state in northern Germany with a population of 1.8 million people, has received more than 55,000 asylum seekers. At the peak, Hamburg was receiving more than 500 people per day and the local government had a goal of preventing homelessness among asylum seekers. However, the rapid population increase exacerbated an already limited stock of social housing units and there were insufficient locations for new development. To enable accelerated housing construction, the Mayor of Hamburg proposed an amendment to the federal Building Code (§246) that would allow the development of temporary asylum seeker accommodations in non-residential areas. The unprecedented land use policy was intended to both provide for construction of temporary accommodations and offset the existing affordable housing shortage. Approved in 2014 and expanded in 2015, the new land use exception enables land-constrained city-states, such as Hamburg, to build housing in non-residential areas such as parks, parking lots, and commercial sites for a maximum duration of 3-5 years. A select group of follow up sites were planned with the objective of becoming permanent facilities. These sites were built to federal social housing standards and will be reserved exclusively for asylum seekers for fifteen years, but after that time the apartments will become part of the city’s social housing pool. Hamburg is viewed as a particularly successful example of implementing §246 to provide innovative asylum seeker housing and thus serves as a useful case to explore key research questions related to urban refugee housing provision.

## PROJECT OUTPUTS (CONTINUED)

**Dispersed and comprehensive site selection process** – Once the approval of §246 provided the possibility to build asylum seeker accommodations in non-residential areas, the local government of Hamburg developed a site selection process to maximize efficiency and systematically vet potential construction sites. Political leaders and urban planners from each of the seven city boroughs were required to identify sites. In the fall of 2015, the local government also made a public request of local residents to propose potential sites. The review process started as a haphazard and laborious weekly meeting with representatives from relevant agencies, but has since been standardized into a regular review group with specific site criteria. From March 2014 to June 2017, the review team vetted 1,608 locations.



**Partnering temporary exception policy with long term land use planning** – In October 2015, the Hamburg city government announced a new “accommodation with a housing perspective” policy to incorporate asylum seeker housing with social housing units and promote integration. Each borough was required to identify a site to semi-permanently house 3,000 asylum seekers in private apartments. The objective is to reserve these apartments for asylum seekers for fifteen years, after which point the units are added into the city’s social housing program for another fifteen to thirty years. After that time, the developer is free to sell the apartments. These semi-permanent sites are initially built under the §246 land use exception to enable fast construction, with the understanding that each borough will amend its development plan to make these sites permanent residential locations. This policy effectively identifies non-residential sites that will become new residential areas and enables a more granular level of spatial integration as asylum seeker apartments will coexist with social housing units.

## MAIN CHALLENGES:

**Transitioning asylum seekers from initial facilities into follow up housing** – Given the limited existing affordable housing stock and local prejudices against renting to asylum seekers, few people living in follow up facilities are able to find their own private rental home in the general housing market. As a result, spaces are not vacated as quickly as expected in follow up housing, forcing many people who have receiving asylum have to stay in initial reception facilities much longer than the maximum of six months.

**Managing public participation processes and local perception** – Temporary construction under §246 essentially bypasses standard urban planning processes, thus minimizing (or even eliminating) the extent of public participation typically required by law. Lack of public engagement, particularly during the height of the crisis, increased local residents’ feelings of dissent and incited nearly forty separate law suits that delayed the construction of many planned asylum seeker accommodations.

**New limits to number of asylum seekers allowed per site** – In July 2016, the local government entered into citizen agreements with 13 resident groups agreeing that no more than 300 asylum seekers will be housed on any given site. This agreement limits the local government’s ability to fill large private apartment buildings that were initially designated for asylum seekers and requires even more new construction.

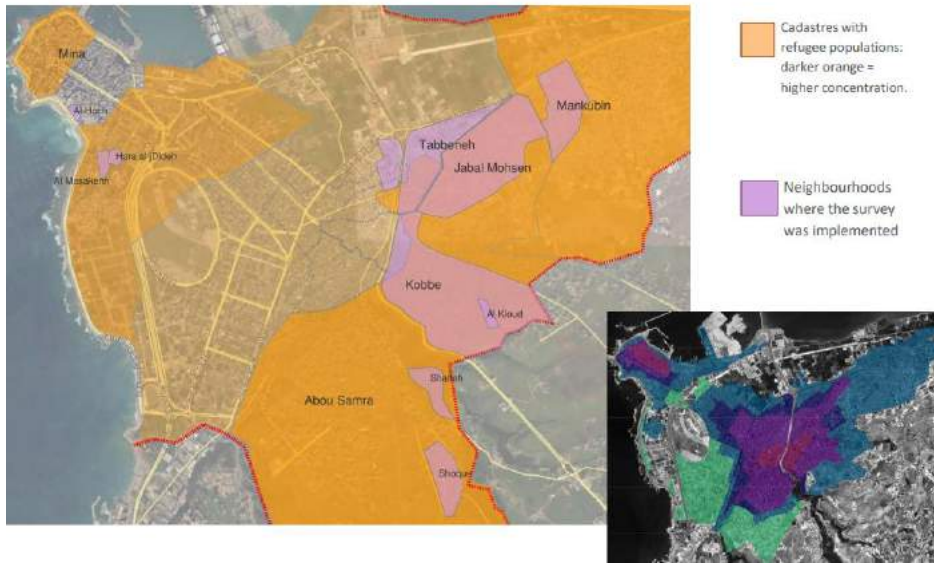
## FUTURE RESEARCH:

In comparison to other refugee housing programs, Hamburg’s use of urban planning regulations to provide temporary and long-term housing is exceptional. Lessons from Hamburg’s unprecedented approach to embedding asylum seeker housing into national and neighborhood planning processes will demonstrate new, transferable methods to bridge the historically segmented phases of relief and reconstruction. Identifying effective practices from this policy, and opportunities to refine the approach will provide invaluable insights to the development of settlement policies in land-constrained urban areas in the future. Future research will continue to examine implementation, spatial distribution of follow up housing sites (considering local income, demographics, access to livelihoods, land ownership and underlying land use), ethical implications and longitudinal impacts on asylum seeker communities as a result of this new asylum seeker housing policy.

## CONTACT

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# Supporting urban rehabilitation for Syrian Refugees and Host Communities in Tripoli



**Urban Centre:** Tripoli, Lebanon, covering 5 neighbourhoods of Tripoli (Abou Samra, Mankoubin, Shalfeh, Shok, Wadi Nahle)

**Project Timeframe:** 3 year programme, September 2015– August 2018 (Year I,II,III)

**Type of project:** Neighbourhood Based Approach, shelter, WASH, protection and community participation

**Project partners:** CARE International Lebanon (CIL Profile) and Akkarouna (NGO Profile)

**Coordination framework:** UNHCR Shelter working group

**Agency submitting the case study:** CARE International UK, on behalf of CIL

## CONTEXT

UN-Habitat estimates 72,211 refugees are in urban Tripoli, which is about a quarter of the city's population living in high density neighborhoods. Tripoli is a highly vulnerable city in Lebanon, with residents exposed to **poverty, poor living conditions, a lack of sufficient public services, and a built environment which poses threats to residents.** Tripoli is ill-equipped to house the increase in population. With a poor local economy (over 57% of families live in poverty), and a lack of adequate sanitation and housing in its poor neighborhoods, Tripoli's living conditions pose significant problems for Syrian refugees and host communities alike.

Two main problems face the communities with few livelihood opportunities; refugees can only afford sub-standard housing: **a Caritas study showed averaged rents in Tripoli were 92% of average earnings of a refugee adult.** Many Syrian families are falling into arrears on rent and property owners cannot afford to invest in maintaining dwellings to an adequate living standard. Secondly, **protection concerns, particularly for women and children are rising from multiple sources.** CARE's M&E research found that up to **76% of Syrian refugees in the neighbourhoods where CARE operates lack valid residence permits,** and most are unaware and/or afraid to obtain civil status documents meaning that marriages, births, etc. are in irregular status. All this increases their vulnerability for abuse and exploitation, especially for women.

CARE International Lebanon (CIL) with its local partner Akkarouna, focus their work in these vulnerable areas in urban Tripoli, as identified in coordination with the Shelter Working Group, peer agencies, and its internal assessments. The programme is funded by BPRM.

## PROJECT OVERVIEW

In Phases I and II of BPRM funding, CARE developed its urban, **community-based approach to improve the living conditions of refugees and host communities with a focus on shelter and WASH.** Phase I & II has generated **learning on best practices** in urban settings, including a set of **standard operating procedures (SOPs)** for neighborhood approaches, as well as management and implementation tools for technical and socio-economic assessments. **Phase III** includes a **greater focus on neighborhood committees** as a vehicle for community participation and linkages to social services based on beneficiary requests for a more active community role.

CARE's rehabilitation approach concentrates on **specific vulnerable neighbourhoods in inner Tripoli.** The rehabilitation programme targets Syrian refugees and Lebanese host communities, bringing a **focus on whole streets and specific buildings as well as individual household support,** to serve Syrian and host communities alike with conflict-sensitive and "do no harm" methods. The **shelter project targets dwellings and apartments** whose conditions pose environmental or protection risks to their inhabitant including leaking roofs, lack of windows or doors, inadequate WASH facilities, and access to electricity and hot water. The selection of housing unit is done using a well-developed technical assessment and beneficiary selection tool to determine socio-economic and shelter condition. In buildings, upgrades to individual units will be based on vulnerability criteria for Syrian refugees and host communities, and upgrades to the common areas which benefit all residents.

**Community engagement and capacity building is provided by working with community committees** and through information outreach and door to door peer to peer trainings on topics such as early marriage, GBV, tenants' rights, and conflict resolution. The committees are linked to the local authorities to build a more sustainable relationship and dialogue to improve local governance and development in the longer term.

## PROJECT PHASING

The project was rolled out in 6 steps, each year the process is repeated and improved. The steps are as follows:

<b>Step 1:</b>	<p><b>Scoping study of the urban neighbourhoods in Tripoli in February 2015:</b> Involving delineating boundaries, meetings local authorities, stakeholders, community. Neighbourhoods were selected based on needs, access, and % of refuge influx into the area, and condition of accommodation and service provision, all in coordination with the shelter working group.</p>
<b>Step 2:</b>	<p><b>Neighbourhood-based assessments:</b> After Individual neighbourhoods were selected a baseline blanket assessment was carried out of nearly 3000 housing units looking at shelter conditions, socio-economic vulnerability, and housing and community level protection issues. Simultaneously buildings are also assessed for communal space upgrades.</p>
<b>Step 3:</b>	<p><b>Selection of rehabilitation works:</b> The baseline is analysed and the results are weighted to allow a precise beneficiary selection based on shelter and WASH needs and vulnerability. Separate housing units are selected for rehabilitation and where relevant the apartment buildings themselves are selected for upgrade work focusing on improving safety and reducing protection issues, especially linked to poorly lit entrances and dilapidated stairwells.</p>
<b>Step 4:</b>	<p><b>Community level planning:</b> Community committees are set up including existing community and women's groups. Committees undertake action planning in the community focusing on protection and environmental issues and receive protection training. Through consultation with the wider community, community level interventions are identified such as improved access, improved drainage or lighting at street level.</p>
<b>Step 5:</b>	<p><b>Implementation:</b> Detailed bills of quantities are developed and three different contractors are selected from the area to work on the HU's in batches, ideally with experience in the specific neighbourhoods. They are also required to hire local labour to ensure there is capacity building and livelihood opportunities in the area. MOU's are signed with the landlord, beneficiaries and CARE's local partner Akkarouna.</p>
<b>Step 6:</b>	<p><b>Community protection outreach and training:</b> As part of the urban programme field officers and protection staff work with the landlord on contracts with their tenants to ensure they agree not to evict the families living in the units to be upgraded. The committees work with the local partner and social mobilisers from the ministry of social affairs to develop local protection capacity and to carry out community outreach and peer to peer trainings on protection issues.</p>

## PROJECT OUTPUTS

- > Each year, **500 rehabilitated Housing Units in Tripoli are finalised**, 15 buildings have improved access or circulation, and 5 community level upgrading interventions are completed.
- > **20 community committees will have been developed over the 3 year period**, they will have benefited from numerous capacity building and protection trainings and a series of educational theatre will have taken place within the communities.
- > **Initial Rapid Assessment** of Urban Tripoli's vulnerable neighbourhoods available here : [link](#)
- > **Forthcoming: Lessons learnt and recommendations** for sustainable urban interventions



## KEY ACHIEVEMENTS

This approach accomplishes a number of transformative effects by creating:

- > **Needs and capacities within each neighbourhood are highlighted** and engaged through the assessment process, the establishment of community committees and the action planning at neighbourhood level.
- > A **critical mass of rehabilitation is achieved**, so that the general neighbourhood conditions are improved including a significant number of housing units, raising the standards of the housing stock in these Tripolitan neighbourhoods.
- > The **security of tenure is improved** for some of the most vulnerable households in the neighbourhoods and landlords benefit from improved services on their property.
- > A **shared interest and social cohesion among residents is built** upon through a shared vision for a safer built environment through improved relationships via the neighbourhood committees between residents and community stakeholders (municipal officials, religious leaders, etc.); and
- > **Greater awareness and concern for protection of residents, including women and children** are developed across the community and mitigating measures are identified and implemented at multiple scales (from street scape, to apartments to GBV awareness training) to improve these risks.

## MAIN CHALLENGES AND SHORT COMINGS

**Shelter standards:** The shelter standards for rehabilitation developed at the national level were not applicable to the context of inner Tripoli. The existing housing was so far below minimum standards that specific minimum standards were needed to be cost effective.

**Security of tenure:** The landlords in the host communities are often as socioeconomically vulnerable as the refugees, they are dependent on the rent they receive and therefore cannot reduce or freeze rents as a condition of benefitting from the upgrades.

**Local capacities and resources:** Local partners and local staff have strong capacity in development projects but less so in humanitarian projects, which involve highly technical projects at scale with tight M&E and quality control requirements. Additionally the local authorities have little capacity to engage with the project and ensure longevity and sustainability.

**Geographical coverage/ scale:** The project will rehabilitate 1500 Housing units by the end of 2018 and build the capacity of 20 local committees. This will make a significant impact on the neighbourhoods where CARE operates but there is still a lot of need. The question of coverage versus quality is a constant dilemma.

## KEY LESSONS LEARNT

- > **Adapt specific SOPS and Minimum standards** to the specific housing needs and operational context.
- > **Engagement of local and international actors** to ensure good coordination and coverage of vulnerable neighbourhoods.
- > **Use of neighbourhood committees** to develop action planning skills, to raise awareness about protection issues and to understand conflict resolution linked to the implementation of housing and neighbourhood rehabilitation.
- > **Working with local partners allows engagement of both humanitarian and development actors** to ensure short and long term view points as well as local knowledge and connections with communities and authorities.
- > **An integrated approach of shelter, WASH and protection** allows a more comprehensive project which can improve multiple aspects of the beneficiaries living conditions.

## CONTACT

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# Lebanon Refugee Crisis response, 2016



**Urban Centre:** Lebanon

**Project timeframe:** 2015 - 2016

**Type of project:** Settlements-based approach to disaster response

**Project partners:** ACTED

**Coordination framework:** Cluster system; direct meetings with government officials; neighbourhood focal points

**Agency submitting the case study:** ACTED

## CONTEXT

Lebanon suffered from structural inefficiencies even prior to the Syrian conflict. An estimated 87.7% of Lebanon's population in 2015 was urban, and there was a significant heterogeneity between rural, urban and peri-urban areas in terms of institutional service delivery and governance within the country. This was further exacerbated by the conflict in Lebanon and the political fractionalization that brought the country to a standstill.

The influx of Syrian refugees into such a context dramatically deteriorated the living conditions for both refugees and host populations alike. The crisis increased population density in Lebanon from 400 to 520 persons per km<sup>2</sup>, especially in urban areas, leading to urban congestion, competition over housing, increasing pressures on existing resources and tensions between host populations and refugees. This situation was particularly constrained in Beirut and Mount Lebanon, with only a limited number of informal settlements in the area. Most refugees in Beirut and Mount Lebanon (92%) resided in rented apartments or houses, although the comparatively high cost of living meant that many refugee families were only able to afford sub-standard or overcrowded accommodation. An assessment by the organization in the target areas showed that 23% of households in Beirut and 59% in Mount Lebanon lacked basic facilities and were in need of urgent rehabilitations.

## PROJECT APPROACH/OVERVIEW

The objective of this project was to provide immediate community-driven WASH and Shelter support to the most vulnerable Syrian populations and their host communities in Beirut and Mount Lebanon.

The organization used a holistic neighbourhood approach across delineated zones in dense urban areas. Shelter rehabilitations and upgrades were provided to 207 and 499 households respectively, along with improvements to water and sanitation facilities. Campaigns on hygiene promotion and housing, land and property rights were also conducted. Community-wide projects were implemented to improve service delivery such as water and solid waste management.

## Three key phases:

- > **August 2015:** Neighbourhood-level social and shelter mapping, establishment of focal point networks and committees, and capacity building
- > **November 2015:** Beneficiary-led voucher-based emergency shelter and WASH upgrades to sub-standard shelters completed
- > **March 2016:** Rehabilitation of occupied shelters units completed

In order to support vulnerable populations without formal rental contracts, landlords and tenants were asked to sign a lease agreement in order to participate in the project. The organization also provided sessions on hygiene promotion and legal advice on Housing, Land and Property (HLP) issues through this intervention. This included training for local committee members as well as campaigns in targeted neighbourhoods. Participants of these campaigns received information on how to obtain a lease agreement, obligations of each party, how to avoid legal trouble; including advice on handing over of the rented premises, guaranteeing against hidden defects upon move-out and against eviction following end of lease, and advice on conducting major repairs and maintenance to avoid unexpected costs upon lease termination.

## Coordination

In addition to conducting coordination through the local sector working group meetings in Beirut, the organization liaised with local NGOs conducting other shelter projects by sharing beneficiary lists to avoid overlaps, as well as by referring cases between agencies to avoid gaps in coverage. The organization also liaised with NGOs conducting other protection and WASH projects in the target area to share ideas on the Neighbourhood Approach used, and in some cases, other INGOs attended the organization's forums to learn more about this approach.



## PROJECT OUTPUTS

- > **706** households (3,751 individuals) assisted with shelter repairs (499 shelter upgrades and 207 shelter rehabilitations) (Including Lebanese and Syrian families, with a minority of Palestinian and other minorities)
- > **2,745** households attended hygiene promotion sessions (Lebanese, Syrian and Palestinian households)
- > 35,700 individuals attended HLP awareness sessions
- > **25 focal points and committee members trained**
- > Establishment of a roster of 14 skilled workers
- > 1,222 'man-days' of construction activities.

## KEY ACHIEVEMENTS

- > Enhanced **local technical skills** and sense of ownership
- > **Raised awareness about HLP rights** and obligations and improved landlord-tenant relationships
- > Served as a **platform for information sharing** between community members and municipalities
- > The **Neighbourhood Approach used to implement this project relied on beneficiary involvement in the development and delivery of all activities**, at both the community and household levels. Following the mapping of local stakeholders and identification of representative community stakeholders, consultations were held to review proposed selection criteria for household level assistance and identify key challenges of target communities to be addressed through small-scale emergency projects. Following consultations, stakeholders committed to improving their neighborhood and able to act as focal points of their community were identified.
- > At the community level the **project provided a catalyst for change**, combined with continued community engagement and capacity building trainings to highlight needs such as HLP, protection, hygiene promotion, conflict resolution, participatory planning and community-based solutions. The project helped to identify engagement opportunities for better responses in the future. For example, the committee in one of the neighbourhoods was able to solve a 10-year problem related to solid waste management by relying on the initiative of the community and planning opportunities that were generated during this project.
- > **HLP considerations and significant improvement in tenant-landlord relationships**, since both parties became more aware of their rights and responsibilities.

## MAIN CHALLENGES AND SHORTCOMINGS

**Security issues in accessing certain areas:** Such risks imposed restrictions on the selections of beneficiary communities. The rapidly evolving security context in Lebanon required the organization to increase engagement with neighbourhood focal points and local municipalities. Daily monitoring of shelter activities also contributed to stronger relationships with beneficiaries. However, in many other vulnerable areas where other INGOs faced difficulties for gaining access due to socio-political issues, the organization was able to successfully implement the project through its engagement with local authorities.

**Land ownership issues and insecure tenure agreements:** Some of the targeted households had no proof of ownership. Given the complex context in Lebanon, this was a widespread issue. Close collaboration with the Municipality was needed for verifications of ownership. Additionally, very often only verbal agreements existed between landlord and tenants, without any rental contract. This was tackled through prolonged negotiations between both parties to clarify the terms of the housing arrangement and to sign a lease agreement.

**The organization could not identify sufficient empty shelters in the target communities** to be rehabilitated, and for the small number identified landlords refused to sign rental agreements binding them to keep the shelters empty until potential evictions occurred. Given such a context, the organization modified its strategy, and capacitated the focal points to rapidly respond to evictions by providing housing to beneficiaries in alternative houses within the same neighbourhood, as well as conducting emergency referrals to other agencies working in the areas, until a more permanent housing solution could be identified.

## KEY LESSONS LEARNT

**Stimulating local livelihoods.** The beneficiary-led approach was largely successful in stimulating the local economy and empowering beneficiaries in implementing their own rehabilitations. The final assessment found that the target of 490 man-days of labour was greatly surpassed, with 1,222 man-days created through these works.

**The organization was aware that not all target households would have sufficient technical skills.** The organization was aware that not all target households would have sufficient technical skills to conduct such upgrades. As a result, the team identified skilled workers from the neighbourhoods, and households were able to utilize these workers to complete their upgrades. In addition, 30% of beneficiaries were found to have conducted further home improvements at their own expense.

**Maintaining community ties and livelihoods.** One of the key learnings from previous programming was that geographically spread-out shelter works, especially for empty shelters, created a problem for evicted beneficiaries by forcing them to move to a new neighbourhood and severing ties with their communities and threatening their livelihoods. The neighbourhood approach was specifically designed to overcome this.