



**URBAN SETTLEMENTS WORKING GROUP**

# AREA-BASED APPROACHES IN URBAN SETTINGS

## Compendium of Case Studies

MAY 2019 EDITION

**USWG**

Urban  
Settlements  
Working  
Group

[www.sheltercluster.org](http://www.sheltercluster.org)



Source: CRS

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- Care International UK
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- Feinstein International Centre at TUFTS University
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- IMPACT Initiatives
- International Federation of Red Cross and Red Crescent Societies (IFRC)
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## EDITORIAL

Affected communities do not perceive their recovery in sectoral terms, but from a holistic, multi-sectoral perspective. Whilst sectoral approaches and technical expertise remain important ingredients in humanitarian response and recovery, understanding the holistic needs of affected communities require improved sectoral and stakeholder collaboration. Applying an area based / settlement-based approach, which “advocates for assistance that considers the whole population affected by a crisis, living in a specific geographic area in need of multi-sectoral support by working with multiple stakeholders”, contributes to this achieving holistic understanding and program logic.

Area based / Settlement-based approaches define “an area, rather than a sector or target group, as a primary entry point”. This approach can be particularly appropriate if residents in an affected area face complex, inter-related and multisectoral needs. Whilst this approach is recognised as one of many, its strength is realised through building a deeper understanding of the affected populations’ holistic needs and complex contexts, and by building on existing community cohesion and capacity, governance structures, markets and service delivery mechanisms.

In recent years, this approach has gained traction among humanitarian actors seeking to provide more effective responses to crisis affected populations and pave the way for recovery. The increasing application of this approach builds on experiences of urban and regional planners working on community renewal through ‘area-based initiatives’ in poor and vulnerable locations since the 1960s and 1970s. This was reinforced by the Inter-Agency Standing Committee’s call in 2010 for a “paradigm shift in humanitarian assistance in urban areas, based on a community-based - rather than - an individual or household approach”. More recently, the Habitat III summit, the Global Alliance for Urban Crises, InterAction, and strategy papers by OFDA, ECHO, and UNHCR have acknowledged and promoted these approaches. However, whilst humanitarian and development agencies are increasingly applying this approach, it occurs in a rather sporadic nature and is yet to reach scale and be recognised as ‘a tool in the toolbox’ by the overall humanitarian system.

To support the adoption of this approach, the Urban Settlements Working Group (USWG) was established in May 2017. Co-chaired by Catholic Relief Services, Impact Initiatives and InterAction, under the auspices of the Global Shelter Cluster, a key objective of the USWG is to identify and promote best practice and lessons learnt from existing practices. With over 60 organisations engaged, the USWG provides a platform to bring together global clusters, implementing agencies, donors and academics to research, discuss and operationalize these approaches in humanitarian assistance. This publication represents a key output and important milestone of the USWG, consolidating current practices, identifying common challenges & constraints and providing operational guidance.

The USWG would like to thank the numerous agencies who have contributed to this compendium. We hope this publication will serve as a useful point of reference for organisations applying a settlement-based approach to response and recovery.

Overall, the approach requires further research, application and evaluation to create an informed evidence base to influence change across the traditional humanitarian response mechanisms. Looking ahead, the USWG will continue to champion this approach in global and regional discussions, develop accessible guidance and tools wherever it can add value and count on humanitarian and development communities’ continued support.

**GSC Urban Settlement WG co-conveners**  
Catholic Relief Services, IMPACT Initiatives and InterAction





Source: OCHA/Audrey Jany

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# INTRODUCTION

## 1. What is this document about?

This Compendium is a pioneering collection of case studies describing area-based approaches to urban challenges (2010-2019). The case studies were sourced from multiple agencies, collected by the Urban Settlements Working Group of the Global Shelter Cluster, co-chaired by Catholic Relief Services, IMPACT Initiatives and InterAction. The case studies documented here are in responses to both humanitarian crises and developmental challenges and from a mix of contexts such as rapid onset Natural disasters, Conflict induced crisis and effects of Rapid urbanisation. The case studies are organised in three sections according to the administrative scale of project / initiative. From City level scale (C) to District/ Borough scale (D) and to Neighbourhood / ward level (N).

The matrix below is a log key information about the case studies which may guide the reader to find the case study they wish to learn from. From the matrix one can see which combination of multi sectorial interventions were implemented, such as Shelter, WASH, Health, Protection DRR, Urban planning, Early Recovery, Livelihoods, Infrastructure and Psychosocial support and includes experiences which focused around multi-sectorial assessments and coordination. The period of the projects/ initiatives varies in duration from a few months (for multi-sectorial assessment/action planning) to several years (including implementation across multiple sectors and scales).

The term 'area-based approaches' is used to include a wide-range of approaches described in policy, practice and academia as 'area-based', 'settlement-based' or 'neighbourhood-based' for this compendium project / initiative included here are one that has the characteristics of area-based approaches: multisectorial, multi-stakeholder, geographically targeted, and consider the whole population within that location (further defined in Section two and Figure 1). Whilst the focus of the compendium is area-based approaches undertaken in urban areas, area-based approaches remain equally applicable in per-urban and rural areas with high levels of complex, inter-related and multi-sectorial needs. This introductory chapter is based on analysis of these case studies in this compendium supported by a review of existing literature on the topic by subject matter experts.

See Table 1 and Figure 3 for more detailed information on each case-study.

**Table 1: Case studies summary table**

Case Study Number	Location (city, country)/ title	Year(s)	Type of crisis			Type and Scale of Coordination	Multi-sectorial assessment 	Multi-sectorial coordination 	Multi-sectorial support									Implementing or lead agency / donor
			Rapid urbanization	Conflict	Natural disaster				Shelter 	WASH 	Health 	Early Recovery 	DRR 	Urban planning 	Infrastructure 	Protection 	Livelihoods 	

## CITY LEVEL SCALE

C1	Ar-Raqqa, Syria / <b>Ar-Raqqa Area Based Assessment</b>	2017-2019			None specified													REACH + partners
C2	Dar es Salaam, Tanzania / <b>Open Mapping for Flood Resilience</b>	2015-2019			Project based coordination													'Humanitarian OpenStreetMap Team (HOT) + partners / DfID, The
C3	Jakarta, Indonesia / <b>Enhancing Capacity within Disaster Management Agencies through Open Exposure Data</b>	2016-2019			Project based coordination													Humanitarian OpenStreetMap Team + partners/ USAID/OFDA
C4	Mosul, Iraq / <b>Settlement Based Coordination following the Mosul Offensive</b>	2017-2018			Cluster system													UNHCR/IOM/CRS/ NRC
C5	Various, Sri Lanka/ <b>Disaster Resilient City Development Strategies for Sri Lankan Cities</b>	2012-2014			Project Unit (including a Steering Committee)													UN-Habitat + partners
C6	Aleppo, Syria / <b>Multi-sector prioritisation to rehabilitate conflict-affected neighbourhoods</b>	2017			Three-sector taskforce													UNHCR + partners

Icons Source: Kiddo; Symbolon; Andreas Vögele from The Noun Project

Case Study Number	Location (city, country)/ title	Year(s)	Type of crisis			Type and Scale of Coordination	Multi-sectorial assessment 	Multi-sectorial coordination 	Multi-sectorial support								Implementing or lead agency / donor
			Rapid urbanization	Conflict	Natural disaster				Shelter 	WASH 	Health 	Early Recovery 	DRR 	Urban planning 	Infrastructure 	Protection 	

## CITY LEVEL SCALE CONTINUED

C7	Governorates of Erbil, Duhok and Sulaymaniyah, Iraq / <b>Urban Profiling in Erbil, Kurdistan Region of Iraq</b>	2015-2016			Profiling Steering Committee, Technical Working Group facilitated and supported by the Joint IDP Profiling Service (JIPS)											Joint IDP Profiling Service (JIPS) + partners /DfID
C8	Roxas City, Panay, Pontevedra, Estancia; Philippines / <b>Post-Yolanda Support for Safer Homes and Settlements</b>	2014-2015			Homeowners' associations											UN-Habitat

## DISTRICT/BOROUGH SCALE

D1	Afghanistan / <b>Supporting the response to urban displacement in eastern Afghanistan</b>	2017+			Neighbourhood committees											Norwegian Refugee Council
D2	Maiduguri, Nigeria / <b>Application of Local Area Based Coordination mechanisms for Cholera Response</b>	2017			Local area coordination group (primarily (I)NGOs)											Solidarites International (SI) and CRS
D3	Mogadishu, Somalia / <b>Tri-cluster support in response to the 2011 famine and conflict</b>	2011-2013			Tri-cluster coordination											Various (14 partners)
D4	Kabul, Afghanistan / <b>Kabul Area Shelter and Settlements</b>	2008-2010			Community councils (gozar shuras)											ACTED/ USAID/ OFDA

## NEIGHBOURHOOD SCALE

N1	Bangui, Central African Republic / <b>Support to settlement-based response and recovery planning</b>	2017			Urban-level working group inclusive of local and international actors											AGORA (IMPACT and ACTED) and CUF/UCLG / ECHO
N2	Kampala, Uganda / <b>Partnering with Kampala Capital City Authority on refugees and migrant integration</b>	2017-2018			Government (Kampala Capital City Authority (KCCA))											International Rescue Committee and IMPACT Initiatives
N3	Nairobi, Kenya / <b>Building Resilience in Urban informal settlements through innovation and partnerships</b>	2008-2020			Community committees											Kenya Red Cross Society
N4	Tripoli, Lebanon / <b>Supporting urban rehabilitation for Syrian Refugees and Host Communities</b>	2015-2018+			Neighbourhood committees											CARE International Lebanon and Akkarouna/ BPRM (USA Gov)
N5	Beirut and Mount Lebanon, Lebanon / <b>Lebanon Refugee Crisis response</b>	2015-2016			Community focal point networks and committees											ACTED
N6	Tripoli, Lebanon / <b>'El Hay' Integration multi-scale interventions for vulnerable populations</b>	2016-2018			None specified											Solidarites International + partners /Lebanon Humanitarian Fund, managed by OCHA

Case Study Number	Location (city, country)/ title	Year(s)	Type of crisis			Type and Scale of Coordination	Multi-sectorial assessment 	Multi-sectorial coordination 	Multi-sectorial support										Implementing or lead agency / donor
			Rapid urbanization	Conflict	Natural disaster				Shelter 	WASH 	Health 	Early Recovery 	DRR 	Urban planning 	Infrastructure 	Protection 	Livelihoods 	Psycho-social 	

## NEIGHBOURHOOD SCALE CONTINUED

N7	Colombia / <b>Legalisation of Urban Settlements</b>	2013-2016+				'Government led'												UNHCR and partners
N8	Portmore, Jamaica / <b>BRACED: Disaster Risk Reduction in Vulnerable Urban settlements</b>	2015-?				Community committees												Habitat for Humanity LAC
N9	Port-au-Prince, Haiti / <b>Neighbourhood Revitalisation in Simon Pelé, Port-au-Prince</b>	2010-2017				Haiti Shelter Cluster, local municipality authorities, line ministries.												Habitat for Humanity International
N10	Port-au-Prince, Haiti / <b>Neighbourhoods Approach to Urban Disaster in Ravine Pintade</b>	2010-2011				Cluster system, neighbourhood committee (and five zonal committees)												Global Communities (then CHF International), Project Concern International /USAID/OFDA
N11	Port-au-Prince, Haiti / <b>Applying the neighbourhood approach</b>	2011-2017				Project based coordination												extracted from Shelter Projects U.5 /A.10
N12	Port-au-Prince, Haiti / <b>LAMIKA – Integrated neighbourhoods approach to recovery and reconstruction in Port-au-Prince</b>	2013-2017				Project based coordination												American Red Cross + partners
N13	Port-au-Prince, Haiti / <b>The neighbourhood approach to 'build back better' in Christ Roi</b>	2013-2017																Solidarites International + partners/ EU
N14	Barrio Mio, Guatemala / <b>The neighbourhoods Approach for Emergency Response and Urban Resilience</b>	2012+				Project based coordination												Project Concern International + partners / USAID/ OFDA
N15	Kabul, Mazar-e-Sharif, Kandahar, Herat and Jalalabad; Afghanistan / <b>Community-Led Infrastructure Programme</b>	2015-2016				Community Development Councils, Gozar Assemblies												UN-Habitat
N16	Tacloban, Philippines / <b>Typhoon Haiyan Recovery Program in Tacloban City</b>	2013-2015				Neighbourhood Committees												Catholic Relief Services (CRS) + partners / USAID/ OFDA
N17	Istanbul, Turkey / <b>Innovative Local Solutions to Migration Crisis</b>	2016				Online platform (data management)												Feinstein International Centre at TUFTS University + partners



## 2. What are area-based approaches?

### Definition

Area-based approaches provide multi-sectoral support and work with multiple stakeholders, considering the whole population living in a specific geographic area with high levels of need (see Figure 1).

### Characteristics

**Multi-sectoral** support can include interventions in sectors such as health, education, housing, livelihoods, social safety nets, water and sanitation. Not all needs will be met, but all individuals in the target area will receive a level of support appropriate to their relative needs (such as access to improved public spaces, information or training).

**Multi-stakeholder** refers to active engagement of numerous, diverse stakeholder groups present in the target area, including local government, civil society, international humanitarian and development actors, the private sector and the affected community (see below).

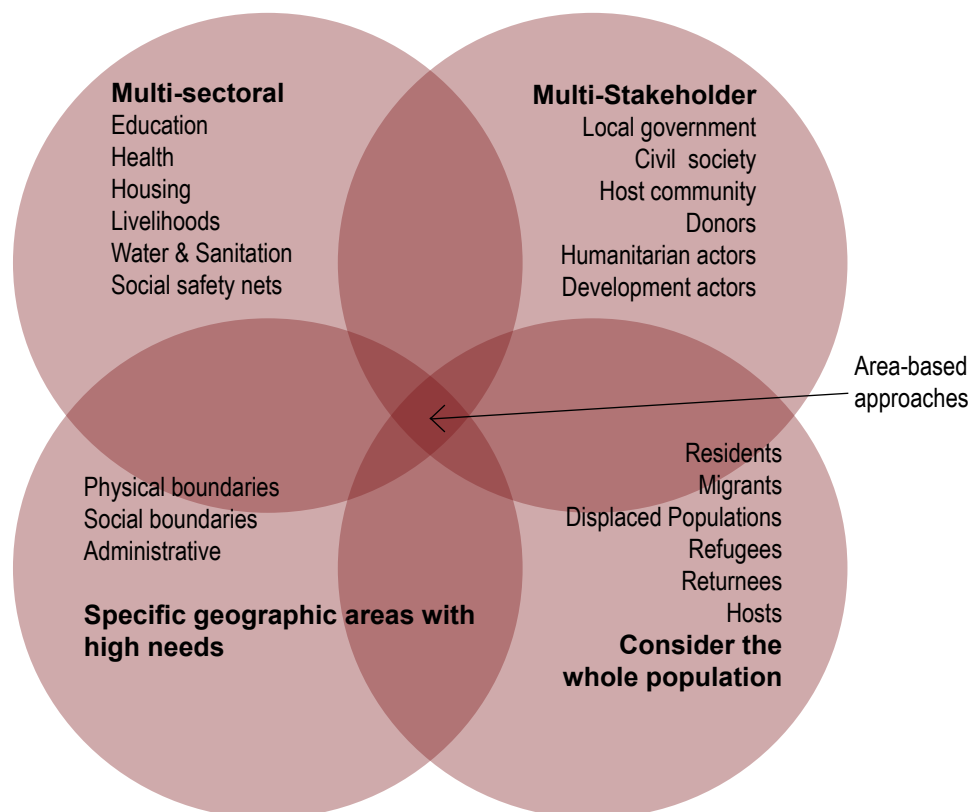
**Area-based approaches consider the whole population of an area**, which includes all affected people regardless of their legal status, or risk category or associated groups. (Sphere 2018). The whole population also includes long-term residents who could have been affected in different ways. Providing a degree of assistance to the whole population in an area can be described as an 'inclusive' approach.

**Specific geographic areas with high levels of need** can be delineated by physical, social or administrative boundaries (or a combination of factors) and vary in scale from neighbourhoods, through wards and districts, to the whole town or city (see Figure 3).

### Common attributes of area-based approaches

Learning from the case studies in combination with the existing literature, area-based approaches are more likely to be successful if they:

Figure 1: Characteristics of area-based approaches



Source: Adapted from Parker & Maynard (2015)

- are **people-centred** and include meaningful, early and ongoing engagement with all impacted population groups in the target area;
- include the **active participation of all stakeholders relevant to the context**. The type of stakeholder and the level of engagement will vary but could include local, regional and national government, civil society, faith-based organisations, diaspora, academia and the private sector;
- are based on **multi-sectoral, multi-agency assessments** ;
- are used selectively and **focus on areas with a high concentration of needs**;
- are **linked to wider city or regional plans and policies** (across multiple sectors and scales);
- address **immediate needs** while focusing on longer-term outcomes and impacts (including the transfer of roles and responsibilities to local actors);
- allow **sufficient time** to build relationships and bring together multiple stakeholders;
- adopt **iterative, flexible and adaptive approaches** to programme design, management, funding and coordination;
- work with, and **build on existing systems** of local governance and service delivery;
- monitor and evaluate **multi-agency contribution to change rather than solely single-agency attribution of outputs to outcomes**.

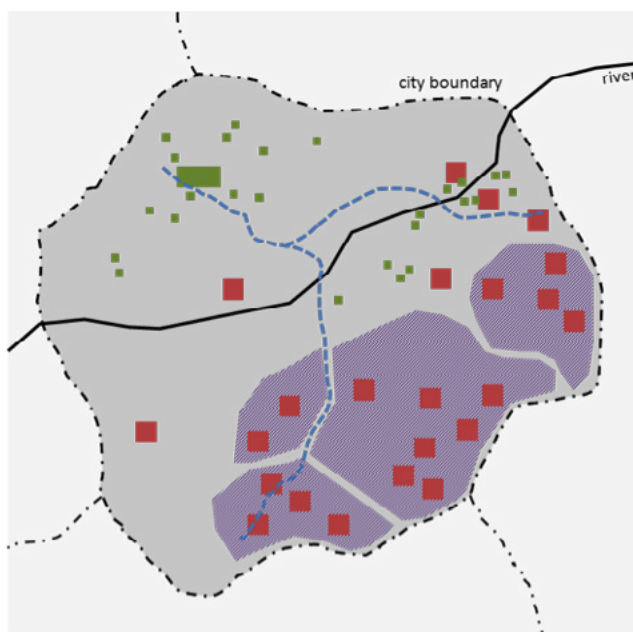
### 3. Reasons for adopting area-based approaches

Policymakers and donors are calling for a **paradigm shift in humanitarian response in urban areas as the complexities of urban crises require a greater understanding of urban systems, collaboration with local government, and interventions across multiple sectors and scales**. If well designed and implemented area-based approaches can:

- create “a ‘platform’ which brings together a diversity of actors with different capacities to discuss the collective response”;
- “complement existing governance systems and accommodate the multi-sector and multi-stakeholder approach that cities and towns require”;
- reduce the creation or reinforcement of tensions and inequalities and “contribute to improving social cohesion”
- effectively focus resources and “enhance clarity and understanding of how best to coherently provide multi-sectoral assistance”.

However, if poorly designed and implemented, area-based approaches can: increase inequalities between the target area and surrounding areas; create an unnecessary distraction from underlying social, economic or institutional problems; shift responsibility onto local stakeholders when national or international action is required; be costly to implement and an ineffective use of resources; take a long time to deliver; lead to a disconnect between local plans and wider city or regional plans, become highly politicised; and be difficult to monitor and evaluate .

Figure 2: How are area-based approaches different from other approaches?



Source: Authors

Individuals or households

Communities of interest  
- such as schools or workplaces

Area-based approaches

Systems/infrastructure  
- roads, water, telecommunications

Markets (not location specific)

Institutions (not location specific)

Advocacy (not location specific)

## Comparison with other approaches

Humanitarian organisations have traditionally provided assistance to individuals or households in need, or to communities associated with a particular livelihood (e.g. fishing communities) or services (such as schools or health centres). In these approaches individuals or households are identified according to a set of specific criteria of need or vulnerability. For example, people facing unique protection risks, and groups at risk of discrimination and social exclusion due to their ethnicity, nationality, caste, indigenous group, or religious or political affiliation, their tenure situation, displacement status, informal settler status or renter status; the location of dwellings that are difficult to access, in hazardous areas, insecure areas, urban settlements or informal settlements; and their vulnerability and status within society. **Area-based approaches** define “an area, rather than a sector or target group, as the main entry point” – an approach which can be particularly appropriate if the residents in a particular area of a city have high levels of complex, inter-related and multi-sectoral needs.

Alternative approaches to delivering assistance in urban areas include (also see Figure 2):

- **systems-based approaches** – supporting the rehabilitation of critical infrastructure and improved access for vulnerable groups;
- **market-based approaches** – working through or supporting the recovery of local markets;
- **institution-based approaches** – such as providing urban planning support to local government or creating a network of community-based organisations;
- **advocacy-based approaches** – for example, challenging policies which limit access to services for vulnerable groups.

Deciding which approach is most appropriate depends on the mandate and capacity of the assisting organisation and “the proportion of the population that needs assistance, the type of programme contemplated, trade-offs between targeting cost and targeting accuracy, and the feasibility of targeting options”. Area-based approaches should not necessarily be prioritised over other ways of targeting or coordinating assistance. In fact, they are most likely to be successful when supported by, and linked to, interventions that restore or strengthen city-wide markets, institutions or systems.

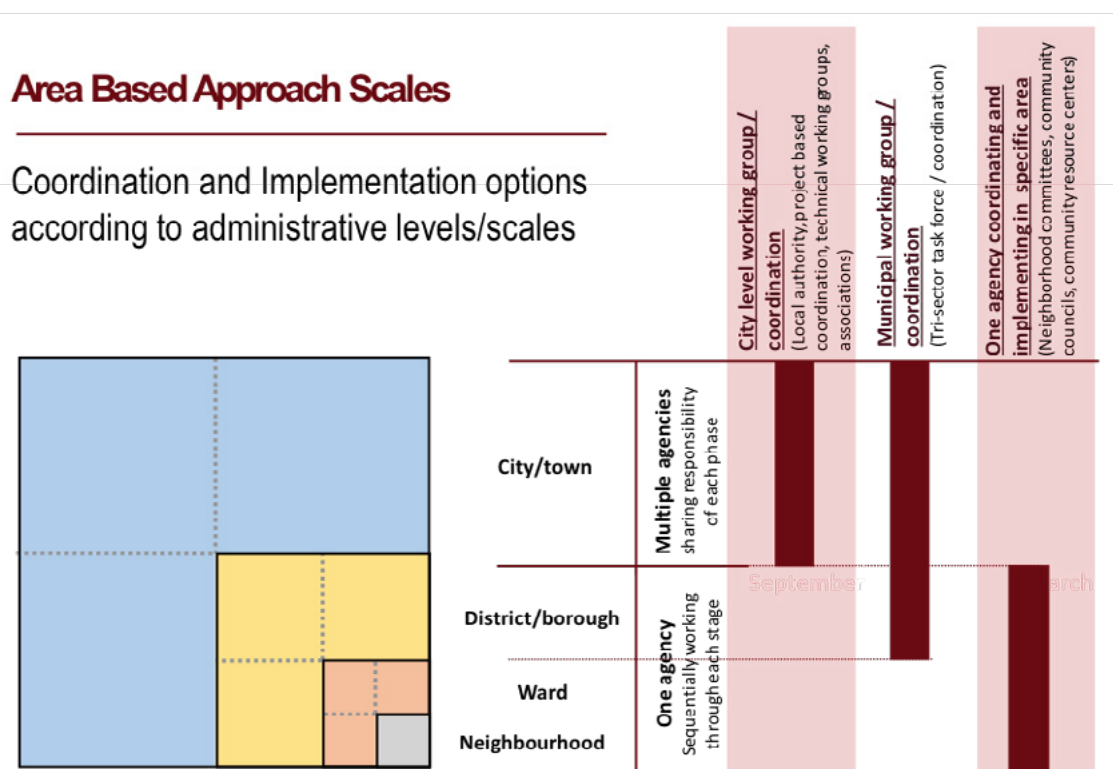
## 4. What do area-based approaches look like in practice?

Different scales and stages of area-based approach

Within the programmes detailed in the case studies, there were three different scales of area-based approach, including:

1. City scale
2. District, Borough
3. Ward or neighbourhood scale

Figure 3: Area-Based Approach Scales



Programmes that adopted Approach 1 (city scale) or Approach 2 (district, ward or neighbourhood scale) typically followed a five-stage process:

1. Initiation
2. Assessment and data collection
3. Analysis and planning
4. Official (or unofficial) approval of the Plan
5. Implementation and monitoring

This process is similar to a typical urban planning process undertaken by cities and has a greater emphasis on the built environment (e.g. housing, infrastructure etc.).

In the programmes which worked at a district, ward or neighbourhood scale (Approach 2) typically one agency (and partners) worked through each of the 5 stages sequentially – as part as of one programme (for example case studies 4 in Mogadishu and 10 in Port-au-Prince). However, in the programmes working at a city scale (Approach 1) the stages were more distinct – typically with different agencies responsible for each stage (for example case studies 23 in Erbil or 27 in Aleppo). This highlights that when working at a city scale specialist staff, equipment and processes may be required to complete each stage (due to the more complex and specialist nature of the work) and that sufficient time and funding needs to be allowed.

Approach 3 followed a four-stage process:

1. Initiation
2. Assessment and data collection
3. Establish Community Centre(s)
4. Implementation and monitoring (e.g. running Community Centres)

In parallel to the two final stages, an outreach programme was implemented that identified smaller target areas for intervention, engaged the community through committees and carried out training (see case study 14 in Afghanistan).

## Type and scale of area-based coordination models

All the programmes included coordination throughout all stages. A key part of coordination is establishing a multi-sectoral coordination body – see stage 1 (initiation). The majority of the district, ward or neighbourhood scale case studies- approaches 2 and 3- in both a humanitarian and developmental context, established new, or worked with existing, Community Committees (for example case studies 10 in Port-au-Prince, 14 and 16 in Afghanistan, 19 in Tacloban and 24 in Tripoli). A variety of other coordination mechanisms were adopted based on the scale of intervention (e.g. city or sub-city), type of approach (approach 1,2 or 3), context (e.g. developmental or humanitarian), type of crisis, or population affected (e.g. displaced or non-displaced). Different coordination mechanisms included:

- **City level working group / coordination body** Establishing and supporting an Urban Working Group – led by local government/the Mayor and key humanitarian agencies and inclusive of local and international actors (see case studies 1 in Bangui and 6 in Kampala).
- **Municipal level / sub-city coordination body or cluster task forces.** Including experiences of establishing a three-sector taskforce. In Aleppo (case study 27) the

shelter sector set up and led a three-sector taskforce (Shelter, WASH and Early Recovery), led by the three national sector coordinators in close collaboration with national and local government and sub-national sector coordinators. In Mogadishu (case study 4) Tri-Cluster coordination (Shelter, WASH, Health) was established, facilitated by a specific Tri-Cluster coordinator.

- **One agency-led coordination.** Coordinating with, or via, existing humanitarian Clusters – typically with one humanitarian agency coordinating activities in a specific area and acting as a link between Clusters and partners active on the ground (see case studies 9 and 10 in Port-au-Prince and 22 in Mosul), including the creation of community resource centres.

## 5. What can we learn from the case studies?

### Achievements

Key achievements identified in the case studies included:

- **Multi-sector, multi-agency assessment, planning, coordination and implementation** led to: shared prioritisation and planning; better communication between partners; faster response to evolving needs; more efficient implementation; and better links between humanitarian and development interventions and actors (for example case studies 4 in Mogadishu and 22 in Mosul).
- **High levels of engagement with all relevant stakeholders** helped to: develop consensus around a shared response plan; demonstrate impartiality and respect; ensure no key influencers were left behind; build the capacity of local actors; and create and/or strengthen relationships between communities and government (for example case studies 24 in Tripoli and 27 in Aleppo).
- The use of **participatory tools and approaches** for community-based assessment, mapping, action planning, settlement planning, coordination, implementation and monitoring helped to: build trust; generate ownership; strengthen community cohesion; efficiently identify needs; manage expectations; and work with communities to solve complex problems (see case study 10 in Port-au-Prince).

### Challenges

The case studies highlighted the following challenges to implementing area-based programmes:

- **Targeting:** Defining boundaries and focusing assistance on specific (high profile) areas created tensions with residents in surrounding areas and a risk that they would not receive support (see case study 1 in Bangui).
- **Stakeholder engagement:** The number and complexity of stakeholders led to difficulties: mapping all the stakeholders (especially as their influence changed over time); clarifying the relationship between sector-based and area-based coordination structures; agreeing where to work and which agency should lead; synchronising the implementation of programmes at different scales (e.g. individual, household or community-level) and at different times (for example case studies 4 in Mogadishu and 22 in Mosul).

**Linking between scales:** Coordinating smaller-scale plans and interventions with wider city and national government initiatives – for example incorporating smaller-scale projects into city development plans or integrating national- or city-government plans into community-based planning (see case study 19 in Tacloban).

Other challenges identified in the case studies, which also included challenges associated with many humanitarian and development initiatives: the poor quality of existing housing and/or infrastructure; lack of clarity around land ownership and tenure; broader gender, cultural, governance, economic or security issues; lack of mandate, capacity, and/or funding of local actors; the diversity and mobility of urban populations; and limitations caused by funding conditions or cycles.

## Enabling contexts

According to the case studies, area-based approaches were more likely to be successful in contexts where:

- they had sufficient funding as well as donor support for the multi-sectoral working group, assessment and response plan (for example case studies 1 in Bangui and 10 in Port-au-Prince);
- there was an existing multi-sectoral coordination system or culture (see case study 4 in Mogadishu);
- communities were less transient and more cohesive (see case study 6 in Kampala);
- local government was supportive and area-based programmes were aligned with government policies and plans (see case study 19 in Tacloban).

## Scaling up

The case studies included examples of scaling-up area-based approaches through:

- **pilot projects in specific areas** to demonstrate results, develop standard tools and develop the capacity of partners prior to replicating the approach in other areas (for example case studies 7 in Colombia and 13 in Guatemala);
- **starting multi-sectoral coordination with just two to three core sectors**, then adding additional sectors and programmes once a system and culture of multi-sectoral coordination had been established (see case study 4 in Mogadishu).

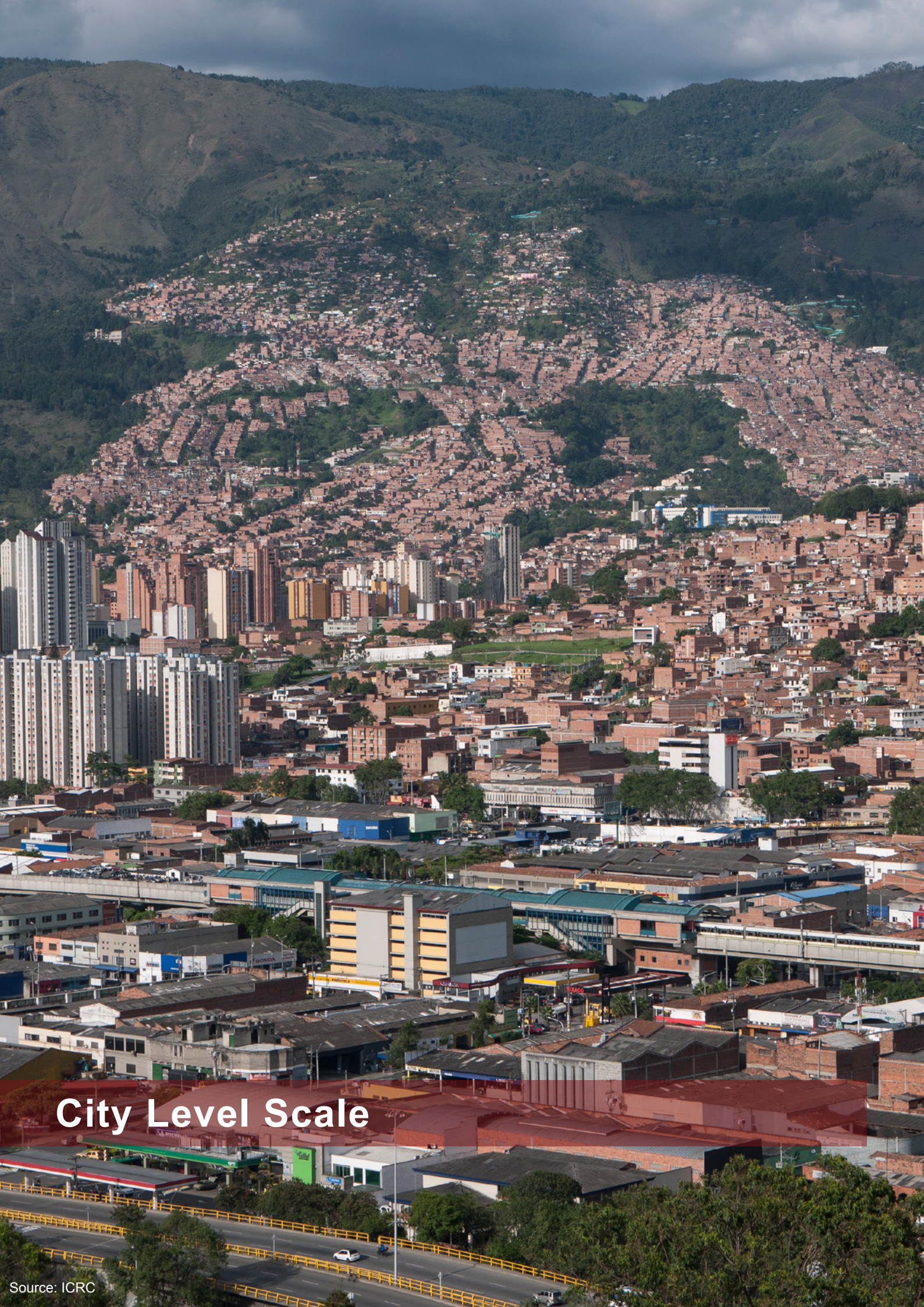
## 6. How can area-based approaches be improved?

Area-based approaches can be a useful methodology for working in cities (or areas of cities) with high levels of complex, inter-related and multi-sectoral needs. As outlined in section two of this introduction, area-based approaches are best implemented when they adhere to a set of common characteristics or attributes. Within the framework of these characteristics area-based approaches can be further strengthened if they:

1. are based on **multi-sectoral, multi-agency assessments and focus on areas with high levels of complex, inter-related and multi-sectoral need.**

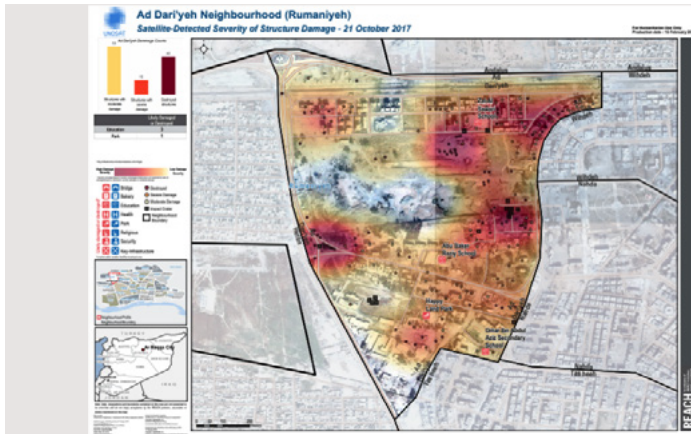
2. are **people-centred and include meaningful engagement** with the whole population in the target area. This can include establishing community committees and the use of participatory tools and approaches for community-based assessment, mapping, action planning, settlement planning, implementation and monitoring.
3. include the active **participation of all stakeholders** relevant to the particular context. The type of stakeholder and their level of engagement will vary but could include local, regional and national government, civil society, faith-based organisations, diaspora, academia and the private sector. Stakeholder engagement can include: stakeholder mapping (including relationships between actors and existing decision-making/approvals processes); establishing multi-sectoral working groups to coordinate activities in specific areas (potentially with separate but connected working groups operating at different scales); mechanisms to coordinate and share decision making, and engagement with local government (potentially as lead, or co-lead of the working group).
4. are **linked to wider city or regional plans and policies** (across multiple sectors and scales). For example, ensuring neighbourhood plans are aligned with city planning processes, and city plans align with regional strategies. Area-based approaches can link with wider plans for the city by complementing area-based approaches with other types of interventions (such as institutional support and advocacy – see Figure 2) and extending support to surrounding communities (such as protection, health and cash for work programming).
5. **work with, and build on existing systems** of local governance and service delivery to address **short-term needs** while focusing on **longer-term outcomes** and impacts. This can include supporting local actors and authorities to define priorities and deliver public services in the longer-term (rather than engaging in direct implementation) and the development, communication and implementation of clear exit strategy (including the roles and responsibilities of different stakeholders).
6. have **sufficient funding** (including donor support), **staff with adequate experience and expertise** in urban environments (specific areas of expertise required included community engagement, land titling, settlement planning, shelter and engineering), and **allow sufficient time** to build relationships and trust and bring together multiple stakeholders.
7. adopt **iterative, flexible and adaptive approaches** to programme design, management, funding and coordination in order to respond to changes in context, shifting priorities or new emergencies when operating in complex operating environments.
8. monitor and evaluate **multi-agency contribution to change rather than single-agency attribution of outputs to outcomes.**

Key issues which would benefit from further research include: the **context/enabling environment**, such as what factors in the context help or hinder area-based approaches; the **outcomes and impacts** of area-based programmes (at different scales and over time); and comparing the **efficiency and effectiveness** of area-based approaches to other approaches (those targeting individuals, households, markets or systems etc.).



# City Level Scale

## Ar-Raqqa, Area Based Assessment



Urban Centre: Ar-Raqqa, Syria

Project timeframe: October 2017 - current

Type of project: Area Based Assessment

Coordination framework: Informing multiple humanitarian actors responding to IDP returnees and host populations in Ar-Raqqa

Agency Submitting the case study: IMPACT Initiatives/ REACH and North East Syria INGO forum

### CONTEXT

Ar-Raqqa city, with an estimated population of 279,000 prior to its takeover by ISIL in early 2015, was fully evacuated in October 2017 following intense conflict. Despite high levels of contamination and widespread destruction, and an initial reluctance of humanitarian actors to provide services in order to reduce the pull factor for returnees, large numbers of civilians have returned to the city – which commenced in November 2017, immediately following the offensive. The city faces the prospect of major structural impediments to service delivery coupled with fluctuating populations in need as people continue to return and move around the city.

As of March 2018, the city's population is estimated at 100,000 –150,000, and despite a fluid and volatile security situation, response activities have increased. To date, such response activities have been undertaken by local authorities, NGOs, stabilization actors as well as mine clearance actors.

However, there remains a lack of up-to-date, consolidated and detailed information on the current situation in the city as well as the ongoing response. Further, access and security challenges persist, and it will likely take months before large-scale humanitarian response can reach affected populations.

### PROJECT APPROACH/OVERVIEW

A number of contributing factors exist which called for a detailed Area Based Assessment of Ar-Raqqa. Since 2014 until late 2017, no humanitarian action was occurring within the city, resulting in significant information gaps for all sectors throughout the city. Since a level of access returns, humanitarian actors have been operating with limited capacity to conduct in-depth assessments, compounded by security and logistical challenges. Any assessment activities undertaken therefore, need to be as collaborative as possible to ensure sufficient data is available to inform a growing response.

The Ar-Raqqa Area Based Assessment, undertaken by REACH in partnership with the Syria NES forum aimed to provide a comprehensive overview of the situation across the city, including more detailed and granular assessments at the neighbourhood- level. Due to a fluctuating security context,

the methodology and tools utilised throughout the Area Based Assessment required a degree of flexibility, resulting in different information gathered depending on the available access.

To provide both a macro city overview and more detailed analysis in targeted locations, the Area Based Assessment was undertaken divided into three distinct phases. Including: **Phase I:** Returns, Population and Access Mapping; **Phase II:** Service and infrastructure mapping and damage assessment; **Phase III:** Neighbourhood level needs assessment and service access mapping.

#### STEP 1

##### Populations, returns and access

**Objective:** provide clarity on commonly accepted neighbourhood boundaries, provide regular updates on number of permanent returnees and temporary visitors to the city, as well as access constraints and restrictions.

**Methodology:** neighbourhood-level remote KI interviews with Key Informants living in the city or visiting regularly.

**Outputs:** monthly neighbourhood-level maps with population figures, routes, and key findings

#### STEP 2

##### Services; infrastructure and damage

**Objective:** mapping and assessment of basic services and infrastructure; detailed damage assessment.

**Methodology:** neighbourhood-level remote KI interviews and participatory mapping with sectoral experts living in the city or visiting regularly.

**Outputs:** sectoral service overviews; comprehensive damage atlas.

#### STEP 3

##### Needs assessment and access to services

**Objective:** full assessment of needs and analysis of access to services at the neighbourhood-level.

**Methodology:** Key Informant (KI) interviews with a minimum of 3 per neighbourhood, and 2 FGDs per neighbourhood (one female, one male) including participatory mapping exercises with community residents and sectoral experts.

**Tools, indicators and methodology designed in collaboration with humanitarian actors:** Whole of Syria Clusters, NES INGO Forum, NES ISWG Focal Points, individual NGOs implementing or planning to implement in the city.

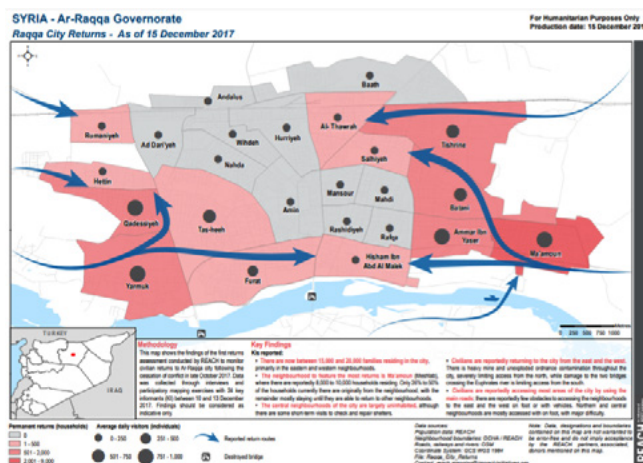
## KEY FINDINGS

Overall findings of the Area Based Assessments highlighted that:

- **Ar-Raqqa city residents have been spontaneously returning to the city since November 2017**, initially concentrated in Ammar Ibn Yaser / Ma'amoun (Meshlab), Tishrine (Rmelah) and areas along the Euphrates river. Households have now returned to areas across the city.
- **The number of households is greatest where damage is relatively less severe.** Neighbourhoods in the centre and north have extensive damage and significant UXO contamination, and consequently remain less populated than areas adjacent to the Euphrates river and on the city's periphery.
- **Population numbers are highest in neighbourhoods with a greater number of functioning services.** This likely reflects two trends: households prefer to return to areas where goods and services are more easily accessible, while governmental and private actors (such as bakery owners) prefer to provide such services in more populated areas.
- **UXO contamination is a reported barrier to movement in both sparsely-populated neighbourhoods and in areas with more households**, such as Furat. Damaged roads are barriers to movement in nearly all neighbourhoods.
- **Movement within some neighbourhoods remains challenging.** Movement by foot is difficult in central neighbourhoods, which have extensive damage and significant UXO contamination. Access to these neighbourhoods with large vehicles is also extremely difficult, limiting households' access to critical goods and services, such as trucked water.
- With regards to services, some services operate on a more local level than others:
  - > **Education:** Households do not commonly travel elsewhere to access schools, even when insufficient in their own neighbourhood, as a result, populations in neighbourhoods without education services more likely to remain absent from education.
  - > **Health:** A small number of neighbourhoods act as hubs for healthcare, with people travelling across the city to reach often overcrowded services. Access remains a challenge for many residents in many neighbourhoods due to road blockages and UXOs.
  - > **Markets and cash:** There remains a preference for residents to remain within their own neighbourhood to obtain goods, which as predominantly sufficient. Residents do also travel to nearby neighbourhoods to access other goods, and reported less access barriers – however the main issue was reports as residents' purchasing power.

## CONTACT

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- Will Cragin: [wrcragin.nesforum@gmail.com](mailto:wrcragin.nesforum@gmail.com)



## KEY ACHIEVEMENTS

- Findings from the initial assessment identified a series of immediate priority needs in relation to shelter, WASH, education, NFIs and access to markets
- ABA findings were informed decision making in several domains, including:
  - Operational:** Assessment findings were used by NGOs to assist with their individual planning and programming, as well as field operations- neighbourhoods' profiles serve as a guide for working in each area.
  - Coordination:** The clear identification of gaps within and between neighbourhoods enables outputs to be used by NES Forum and NES ISWG to assist with NGO response coordination.
  - Strategic:** Area Based Assessment findings provided an overview of the city highlights priority needs and key messages for actors outside of Northeast Syria.
- The initial Area Based Assessment exercise was well received by humanitarian actors and as such, REACH is in the process of undertaking iterative updates to monitoring ongoing needs.
- Building on the area based assessment, detailed actor mapping (4W) is in progress. Overall needs, service provision, 4W mapping and response priorities will be consolidated to create an initial gap analysis and further inform response priorities

## MAIN CHALLENGES

- Access challenges remained throughout the data collection as a UXOs, road blockages and (?), which hampered various data collection activities.
- Ensuring input from stabilization actors has been challenging due to their lack of participation in the NES sector system and data sharing concerns around interaction with actors with political objectives
- Ensuring direct input from the United Nations has been challenging due to the fragmented coordination structure in NES and firewall between UN and INGOs



## Open Mapping for Flood Resilience in Dar es Salaam, Tanzania



Urban Centre: Dar es Salaam, Tanzania

Project timeframe: 2015 - 2019

Type of project: Mapping; disaster risk reduction; resilience

Agency submitting the case study: Humanitarian OpenStreetMap Team

Left: Household reports of experienced flooding in the Msimbazi basin

### CONTEXT

Dar es Salaam has been listed as the fastest growing city in Africa by [the African Development Bank](#), with a population of over 5 million and growing at an estimated 6% per year. This rapid and unbridled growth causes problems for its residents in a host of (interconnected) areas, from a lack of access to basic services (potable water, electricity, access to healthcare and education) to increased vulnerability to natural hazards, such as flooding. Large parts of the city consist of slums, or “unplanned settlements”.

One of the problems is large-scale annual flooding. When these arrive, life in Dar es Salaam comes to a standstill. In slum areas such as Tandale, roads become impassable and deep mud makes even a short walk to school impossible. Hospitals are closed, and businesses halt their operations, affecting the livelihoods of thousands of people. These impacts are prevalent in the unplanned and informal settlements that abound in the city, costing Dar es Salaam significant resources in emergency response, damage to infrastructure, and loss in income and livelihoods, to name but a few. By helping communities collect their own data on residential areas, roads, streams, floodplains, and other relevant features, residents become more aware of risks and are better able to mitigate them.

Despite the importance of quality open geospatial data for decision making, developing countries like Tanzania lack sufficient incentives for commercial map providers to develop quality data. Maps that are produced remotely are often inaccurate, outdated, or contain insufficient data for decision makers to plan and make decisions in the event of disasters. Access to and use of detailed, up-to-date maps has become vital to improve disaster planning and response in flood-prone areas of the city, and to enhance its capacity to cope with and adapt to the impacts of shocks and stressors.

In Dar es Salaam, like [Ramani Huria](#) and [Data Zetu](#), the team from Humanitarian OpenStreetMap Team (HOT) in Tanzania has obtained knowledge of and level of integration with local communities and administrative structures. This provides effective input to policy making across sectors - from the national level, down to the very lowest “Shina” level, where a handful of houses has their own local contact person for all matters big and small.

### PROJECT OVERVIEW

Employing an area-based approach at the ward level, the main administrative level within the five municipalities that make up greater Dar es Salaam, allowed HOT to form long-lasting and constructive relationships with these communities, and has led to a much improved understanding among all project partners of these areas, down to the lowest level of the [Shina boundaries and their local leaders, the wajumbe](#).

“Flood Resilience in Dar es Salaam”, known locally as “Ramani Huria” (Swahili for “Dar Open Map”), is a community-based mapping project in Dar Es Salaam, Tanzania. Under funding from DfID and the World Bank, the project trains teams of local university students and community members from throughout Dar Es Salaam to use OpenStreetMap to create sophisticated and highly accurate maps of the most flood-prone areas of the city.

At the same time, HOT’s participatory mapping approach has been employed by Data Zetu, or “Our Data”, a PEPFAR and Millennium Challenge Corporation (MCC) initiative focusing on providing accessible, actionable data to local people. In partnership with Data Zetu, the HOT Tanzania team have conducted community mapping in Dar es Salaam and Mbeya which has uncovered unprecedented data on hyperlocal boundaries called Shina. Shina are subdivisions of Subwards, which are divisions of Wards and are the most granular level of community administration that exists in Tanzania. Shina maps, which are the first of their kind, will allow local leaders to leverage information at a micro level. Teamed with the field data collection undertaken to better understand local health facilities, health providers will be able to improve services such as access to maternal health care and HIV support initiatives.

Since the actual mapping is performed together with inhabitants and community members of the wards, and in collaboration with local university students from Ardhi University and University of Dar es Salaam (UDSM), the project also brings awareness of the need for services, and how having data and maps can help communities advocate for these, based on a better understanding of their own environment and the constraints they face.

## PARTNERSHIPS

- Government at all levels, such as the National Bureau of Statistics (NBS), Disaster Management Department (DMD), Dar es Salaam municipality, and ward leaders.
- Ramani Huria is an initiative of the World Bank funded by the UK Department for International Development (DfID) in partnership with Humanitarian OpenStreetMap Team, Tanzania Red Cross, Ardhi University and the City of Dar es Salaam.
- Data Zetu is an initiative of IREX funded by MCC-PEPFAR and implemented in coordination with a consortium of partners including HOT.

## ACHIEVEMENTS

- Trained over 500 students and almost 500 community members in data collection, mapping and other technical skills.
- Mapped every building in greater Dar es Salaam (approximately 950,000 buildings, home to an estimated 5-6M people).
- Produced detailed mapping for over 24 wards of Dar es Salaam. This data is being put to use in a wide range

of urban planning, public health, and disaster response scenarios.

## LESSONS LEARNT

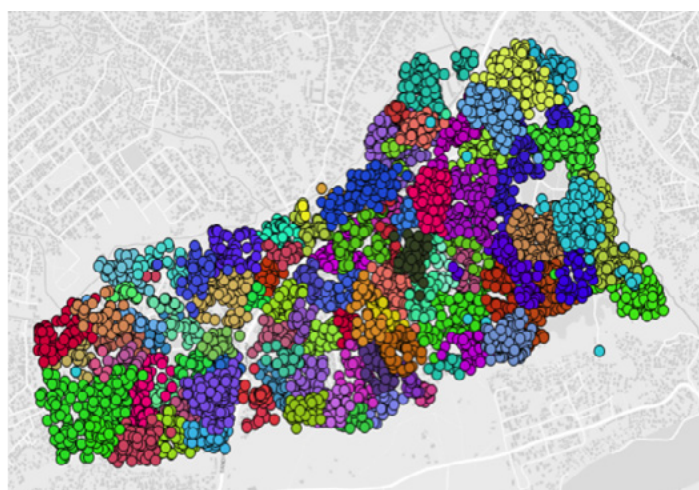
- The process of open/participatory mapping in a single platform like OpenStreetMap can be a powerful tool to unite communities, NGOs, and government agencies in addressing a common challenge, such as flooding.
- Open community maps can inform broader resilience-building efforts and foster new collaboration among humanitarian and development actors working in the area.
- The impact of open data toward resilience does not happen overnight. Participatory mapping involves building trust, both among community members and government stakeholders in using citizen generated data sources.
- Open source software is a powerful component in community-based approaches to resilience. Emphasizing use of locally-available devices for data collection and free an open source software tools, which contribute to increased cost effectiveness and post-project sustainability.



Community member and Shina leader collect data on access to maternal health services from local residents in Dar es Salaam using OpenDataKit



Asha Mustapher, a HOTA supervisor, chairing a community workshop in Mbeya region to explain the importance of Shina mapping for improving health services



## CONTACT

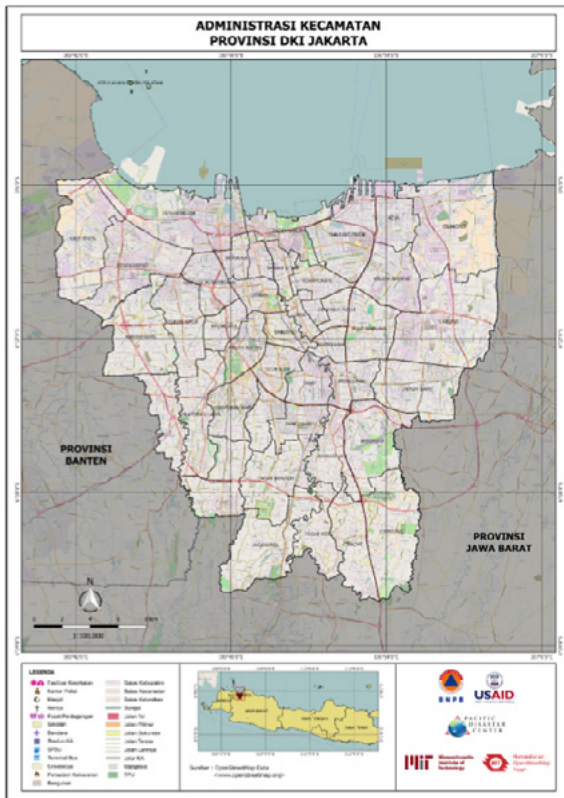
<http://ramanihuria.org/>

Tanzania Urban Resilience Program:  
<http://www.worldbank.org/en/programs/tanzania-urban-resilience-program>

<http://www.hotosm.org>

To implement an open cities mapping project, see our guide: <http://www.opencitiesproject.org/guide/>

# Enhancing Capacity within National and Provincial Disaster Management Agencies through Open Exposure Data, Indonesia



**Urban Centre:** Jakarta, Indonesia

**Project Timeframe:** March 2017 - August 2017

**Type of project:** Disaster Management Field Mapping

**Project Partners:** Pacific Disaster Centre, Massachusetts Institute of Technology, PetaBencana, and Badan Nasional Penanggulangan Bencana

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

**Agency submitting the case study:** Humanitarian OpenStreetMap Team (HOT)

Mapping these hotspots, identifying the vulnerability of individuals and the capacity of infrastructures to withstand hazards in those areas, is crucial to properly plan for disaster mitigation and response activities. Being one of the most densely populated cities in the world—averaging 14,000 people per kilometre square—contributes to the need for a comprehensive and regularly updated infrastructure map for disaster risk reduction and response.

## CONTEXT

OpenStreetMap (OSM) is a crowdsourced geospatial database of the world built largely by volunteers and professionals digitising aerial imagery, collecting attribute information on the ground and liberating existing public sources of data. Known as the 'Wikipedia' of maps, the data is freely accessible to all under the Open Database License (ODbL), meaning that it can be queried, used, manipulated, contributed to and redistributed in any form.

OSM is the ideal database for humanitarian efforts and disaster management, as it is a great source of geographic baseline data for many cities around the globe, especially in countries with emerging economies that are not always on the map. The Humanitarian OpenStreetMap Team (HOT) collaborated with the Pacific Disaster Centre (PDC), Badan Nasional Penanggulangan Bencana (BNPB), Massachusetts Institute of Technology (MIT) and Disaster Management Innovation (DMI) to utilize OpenStreetMap as a single cross-sector repository of lifeline infrastructure data across Jakarta, Indonesia.

Jakarta is a city where 40% of the area is below sea-level and is losing approximately three inches of land every year. There are 13 rivers that flow through the city, four of which were the sources of previous flash floods.

## PROJECT APPROACH

Indonesia has a population of 250 million and is the fourth largest country in the world, with DKI Jakarta region home to 10 million. To tackle data collection across such a large metropolis, the mapping approach will be executed in 3 stages: importing existing open datasets; remote mapping of building footprints and road networks; and detailed data collection on the ground.

Datasets provided by the regional disaster management agencies, Badan Penanggulangan Bencana Daerah (BPBD) were reviewed and validated for import into OSM. Concurrently, satellite imagery was digitized using a HOT coordination tool called the Tasking Manager. An area-based approach to data collection was utilized, and the city divided by its administrative subdistricts, known as kecamatan. Once all the building footprints and road networks were digitised, HOT deployed a team of local surveyors across the entire city of Jakarta. Exposure data on the built environment was collected in OSM. This included attribute information such as the building use, structure type, wall type, floor type, levels, and the current condition with the Android mobile app, OpenMapKit. Data is openly available via OpenStreetMap and feeds the InAWARE platform, an online tool used by Indonesia's National Disaster Management Agency that aims at improving overall risk-assessment, early-warning and decision-making in Indonesia.

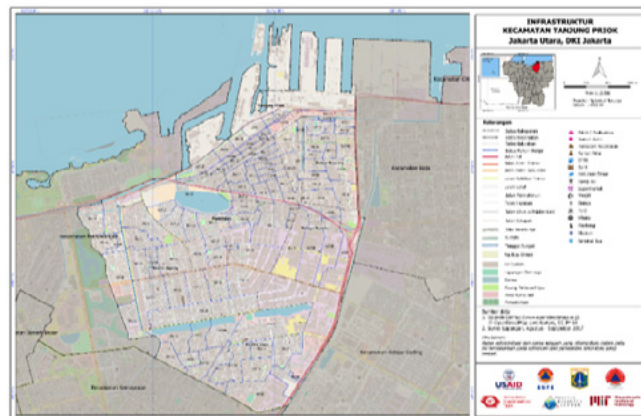
The project aimed to not only collect vital lifeline infrastructure data, but to also work towards developing a simple streamlined data collection method that can easily be replicated and implemented for future mapping projects. A key focus of the project is to strengthen and expand the OpenStreetMap volunteer community in Jakarta, to increase public awareness and participation so that the data can be understood, and continue to be updated, for use by the disaster management agency in Indonesia.

## PROJECT OUTCOMES AND OUTPUTS

- Hiring and Training Of Local Citizens in OSM and Associated Tools
- Collaboration with National and Local Government, the Indonesian Disaster Management Agency
- Data Collection of Key Lifeline Infrastructure In OSM
- Data Collection of Administrative Boundaries in OSM
- Data Collection of Evacuation Routes and Shelters in OSM
- Integration of OSM Data into the InAWARE Disaster Management Platform
- Building Capacity to Access and Apply Data through Continued Training Workshops with Government Bodies
- Promoting the Sustainability of the Data through Scale-Up Plans for the Rest of the Country in Collaboration with the Government and Universities

Key	Possible values
manmade	pumping station
building	pumping station
name	<name>
addr:full	<address>
addr:city	<city>
operator	<operator name>
pump:unit	<number of total pumps>
elevation	<elevation in metres above sea level>
capacity:pump	<the capacity of a filled pipe (l/s)>
building: levels	<number of building levels>
building: structure	<i>confined_masonry (Rangka beton bertulang), steel_frame (Rangka baja), wood_frame (Rangka kayu), bamboo_frame (Rangka bambu)</i>
building: walls	<i>brick (Bata), concrete (Beton), wood (Papan kayu), bamboo (Bambu), glass (Kaca)</i>
building: floor	<i>ground (Tanah), wood (Papan kayu), cement (plester/Semen), tekhel (Tegel), ceramics (Keramik)</i>
building: roof	<i>tile (Genteng), tin (Seng), asbestos (Asbes), concrete (Beton)</i>
access: roof	yes (Ada), no (Tidak ada)
building: condition	poor (Buruk), good (Baik)
backup_generator	yes (Ada), no (Tidak ada)
source	HOT_InAWARESurvey_2017

Sample lifeline infrastructure feature collected using the open mapping methodology



## KEY ACHIEVEMENTS

- Strong Support and Collaboration from Indonesia's Disaster Management Agency
- Registration of an ISBN for the Production and Publication of an Atlas of our Work

## MAIN CHALLENGES

- Requirement of Local Association for the Processing of a Surveying Letter
- Lack of Cooperation from Village Leaders Due to Lack of Surveying Permit

## KEY LESSONS LEARNT

- The process of open/participatory mapping in a single platform like OpenStreetMap can be a powerful tool to unite communities, NGOs, and government agencies in addressing disaster management challenges. All partners including citizens and universities were vital to the implementation and success of the project.
- Open community maps can inform broader resilience-building efforts and foster new collaboration among humanitarian and development actors working in the area, outside of immediate project stakeholders.
- The impact of open data toward resilience does not happen overnight. Participatory mapping involves building trust, both among community members and government stakeholders in using citizen generated data sources.
- Open source software is a powerful component in community-based approaches to resilience. We emphasize use of locally-available devices for data collection and free an open source software tools, which contribute to increased cost effectiveness and post-project sustainability.

## CONTACT

For more information on the InAWARE project, please visit: [https://wiki.openstreetmap.org/wiki/HOT\\_-\\_PDC\\_InAWARE\\_Indonesia\\_Project\\_\(Surabaya\\_%26\\_Jakarta\)](https://wiki.openstreetmap.org/wiki/HOT_-_PDC_InAWARE_Indonesia_Project_(Surabaya_%26_Jakarta))

Or contact Yantisa Akhadi ([yantisa.akhadi@hotosm.org](mailto:yantisa.akhadi@hotosm.org)) and Mhairi O'Hara ([mhairi.ohara@hotosm.org](mailto:mhairi.ohara@hotosm.org)) to learn more.

To implement an open cities mapping project, see: <http://www.opencitiesproject.org/guide/>

## Iraq Shelter and NFI Cluster Mosul Offensive - Settlement Based Coordination



**Urban Centre:** East and West Mosul

**Project Timeframe:** October 2017 – January 2018

**Type of project:** Coordination – principally Shelter and NFI  
**Project partners:** Shelter / NFI Cluster Partners

**Coordination framework:** OCHA led IDP

**Agency submitting the case study:** UNHCR

### CONTEXT

On the **16 October 2016**, the military offensive to retake Mosul city started, with military engagement 50Km from the city centre on all sides. The city originally had a population of 2.5 million although by the time the offensive started, it is estimated that over 1 million had already fled. The city is split by the River Tigris into the left bank, East Mosul and the old city on the right bank and the West.

Although the East part of the city was eventually taken first, initially gains were made in the surrounding villages around the whole circumference of the city. **Residents were fleeing from all sides and new areas were also being taken in the South and West as well as the East almost on a daily basis.**

The Shelter and NFI Cluster, led by UNHCR and co-chaired by NRC, was responsible for first-line assistance in the 'newly taken' areas and for IDPs seeking sanctuary away from the fiercest fighting. For those who did not go to the formal camps, assistance was provided at **household level – predominately life-saving NFIs** including cooking equipment and fuel as it was winter, with temperatures consistently below 10 degrees during the day and colder at night.<sup>1</sup>

The coordination was **challenging and unwieldy** due to the myriad of needs, security concerns and the constantly changing access to beneficiaries and fluid nature of those who stayed out of the camps. Access was possible one day; denied the next. The population was very mobile and moved where it was safest but also in search of assistance.

To aid coordination, in collaboration with other Clusters, the Shelter / NFI Cluster **implemented a settlement-based coordination structure.**

### THE 'WEDGES'

It was clear that over the next 2-3 months access would improve slowly as the military actors converged on the city and then **pause at the heavily fortified city limits.**

<sup>1</sup> Mosul Humanitarian Response Situation Report No. 10 (28 November - 4 December 2016) [https://www.humanitarianresponse.info/sites/www.humanitarianresponse.info/files/documents/files/ochairaqmosulhumanitariansituationreport10\\_0.pdf](https://www.humanitarianresponse.info/sites/www.humanitarianresponse.info/files/documents/files/ochairaqmosulhumanitariansituationreport10_0.pdf)

OCHA had already created a new coordination 'zone' for the city itself and so as shown in the map opposite, the city was omitted and five wedges were created – W1 – W5, for the peri-urban.

Main vehicle arteries and rivers made natural boundaries for the creation of the five wedges. **The wedge shapes allowed the same areas to be maintained as the frontlines moved towards the city.**

Immediately dividing the vast areas and needs into the distinct areas of responsibilities aided the Coordination Team as staff could focus on the different settlements within their wedge and start to **drill down into the 4Ws and assessment reports coming** from numerous sources.

Distinct and agreed settlements of responsibility allowed better coordination and clearer lines of communication between partners on the ground and the Coordination Team in Erbil and Dahouk.

Agencies were asked to **step forward to assist** in the coordination of settlements in the wedges and act as focal points and field level coordinators. The following was agreed:

- Wedge 1:** Shelter / NFI Cluster
- Wedge 2:** UNHCR from its Dahouk office
- Wedge 3:** Shelter / NFI Cluster
- Wedge 4:** People in Need (PIN)
- Wedge 5:** DRC/NRC/IOM

N.B: No wedge directly west of city as area is very sparsely populated without roads.



## ROLES AND RESPONSIBILITIES OF FOCAL POINTS

Although formal TORs (see comment in lessons learnt) were not published, the focal agencies undertook the following broad roles:

- Acting as key link between the Cluster and the partners active on the ground;
- Setting up communication structures (Skype, WhatsApp, Google Docs) between the key actors in the area;
- Consolidate and filter needs reports from various sources and share with the group, flagging key issues to the Cluster;
- Share assessments, provide overview of settlements, highlighting gaps and areas of duplication;
- Provide induction to new partners wishing to work in the area and making links with authorities and other partners.

## OUTCOMES OF SETTLEMENT BASED COORDINATION

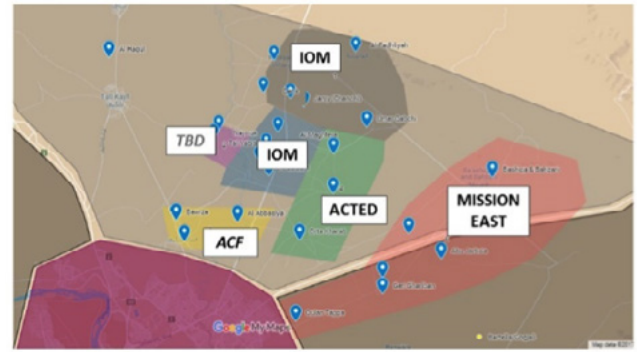
Introducing the settlement-based coordination model for the Mosul response resulted in:

- Better communication between the Coordination Team and partners on the ground;
- Faster response to evolving needs;
- Better geographical focus for the partners;
- More communication and coordination between the partners and understanding about the gaps and needs of the population;
- More integrated programming as better awareness of the needs and who's working where;
- Easier identification of settlements which were least served or not served at all;
- Allowed key Cluster team to pull-back and provide broader coordination support;

## CHALLENGES AND SHORTCOMINGS

The main challenges of implementing a settlement-based coordination model for the Mosul Response was:

- Partners already had settlements where they were working and so agreeing on how to divide the settlements once projects had started was difficult, time consuming and at times acrimonious;
- Some partners were hesitant to step forward and take the lead in coordination due to a lack of confidence and familiarity with the concept;
- Some partners did not promptly follow-up on commitments leaving gaps and uncertainty;
- Following long days in the field, reporting back immediately to the Cluster on achievements was not necessarily a priority. This hampered real-time coordination when assistance was life-saving;
- Security was always an issue and so sharing planned interventions widely in advance went against many agency protocols;
- Opportunistic agencies that gained access to an area would distribute regardless of agreements, which frustrated partners and so made them less inclined to follow the settlement-based coordination model.



Map shows the breakdown of Wedge 2 and exactly where partners were working.

As the field level coordinators now had defined areas to work, they were able to coordinate with the individual partners to define exactly where they were working and bring them together for field level coordination meetings. Not only were these platforms used to **fill in gaps** and **eliminate duplications**, they were also used to discuss access issues (checkpoints), best practice for distributions and joint resources for a more integrated approach.

## KEY LESSONS LEARNT

- Settlement-based coordination models clearly aid all stakeholders and provide an easy to understand framework for communicating needs, plans and achievements;
- Allows services to be provided in an integrated manner to meet all needs and cuts across 'silo' architecture of Cluster system;
- The more agencies that coordinate on the ground and at peer to peer level the more responsive and flexible activities can become;
- Unless resources are provided, the Cluster's role is to facilitate and introduce the framework but once set-up the responsibility for making it work in the field lies with the partners;
- Partners need encouragement to get involved with coordination due to a lack of understanding of the process, reluctance to be seen to be taking control and lack of understanding from donors and head-offices;
- In rapid changing contexts, coordination models need to be flexible<sup>2</sup> and may have a limited lifespan before a new model is needed. The Cluster has to recognise this and constantly be one step ahead.
- A formal ToR for the agencies acting as focal points for settlements were not finalised in this case as the situation was very fluid and was clearly temporary. However, for longer term agreements a ToR is recommended.

## CONTACT

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How to Adapt Humanitarian Coordination to the Complexities of Urban Areas?  
[http://fscluster.org/sites/default/files/documents/humanitarian\\_responses\\_in\\_urban\\_areas\\_-\\_hnpw\\_side\\_event\\_report\\_iasc-gfsc-gauc.pdf](http://fscluster.org/sites/default/files/documents/humanitarian_responses_in_urban_areas_-_hnpw_side_event_report_iasc-gfsc-gauc.pdf)

## Disaster Resilient City Development Strategies for Sri Lankan Cities



**Urban Centre:** Batticaloa, Ratnapura, Kalmunai and Balangoda Council Areas, Mannar, Vavuniya and Mullaitivu in the Northern Province and Akkaraipattu in the Eastern Province

**Project Timeframe:** January 2012 – March 2013 (Phase I) and April 2013 – March 2014 (Phase II)

**Type of project:** Vulnerability assessment and DRR outlines planning

**Coordination framework:** University of Moratuwa, Urban Development Authority (UDA), Ministries of Local Government and Disaster Management, Municipal Councils/Urban Council, NGOs and Communities

**Agency submitting the case study:** UN-Habitat

### CONTEXT

With the end of the three decades of conflict in Sri Lanka, the Northern and Eastern Provinces are now undergoing rapid economic development, especially in terms of infrastructure and housing. At the same time, these provinces are also highly vulnerable to natural disasters, particularly cyclones, floods, lightning strikes and strong wind events. Despite these developments, state mechanisms particularly at Local Government levels have taken a more reactive approach. Their focus was more on post disaster emergency response, rescue activities, relief work and evacuation of the affected. This project shifted the focus and emphasized on strengthening the capacities of the communities in the disaster-prone areas to adapt to the disaster and mitigate the risks as much as possible.

### PROJECT APPROACH

The project was implemented by UN-Habitat in partnership with the Urban Development Authority, Ministry of Local Government and Provincial Councils and the Disaster Management Centre to prepare land use plans and development plans incorporating Disaster Risk Reduction (DRR) features.

The selected MCs/UC were supported in assessing vulnerability, preparing Disaster Preparedness Plans and developing building guidelines. A Project Unit was set up in each selected MC/UC and a Steering Committee was established to enhance coordination and provide linkages to other similar projects especially those funded under Enhanced Humanitarian Response Initiative / AusAID.

UN-Habitat and the University of Moratuwa provided technical inputs in the areas of Hazard, Vulnerability and Risk Assessments and Strategic Town Planning. Communities were linked to local authorities and empowered through increased awareness on DRR. Community-based Disaster Response Teams were trained and worked closely with local authorities (LAs) to implement Disaster Risk Reduction Preparedness Plans.

### PROJECT OUTCOMES AND OUTPUTS

- **Formulation of Disaster Risk Reduction and Preparedness Plans** for the selected LAs that are aligned to the City Land Use Plans and City Development Plans that have also been revised and updated through this project.
- **Introducing Disaster Risk Reduction (DRR) into the building guidelines** based on DRR risk assessments.
- **Establishing City Disaster Preparedness Committees (CDPC) and Community-based Disaster Response Teams** ensuring women's representation.
- **Implementing Disaster Mitigation Pilot Projects** with a scope of city-wide upscaling under the city development plans.

### KEY ACHIEVEMENTS

- This is **the first time in the history of UDA that community views have been incorporated** to urban planning process using participatory methodology, bridging the gap that existed between the LAs, decision makers and the communities.
- The project activities **promoted closer integration among the Institutions** due to the opportunity to convene a series of meetings and consultations during its implementation.
- **Foundation has been laid down by the Project to achieve its primary goal of establishing sustainable disaster resilient cities** thanks to the comprehensive set of DRR&P Plans that include Strategic Directions and Action Projects.

### MAIN CHALLENGES AND OUTCOMES

- The **communication gap** noticed between the Lane Committees (a network of community-based Disaster Response Teams) in some municipal councils (MCs) was a significant negative impact and may disrupt the maintenance of the Action Project implemented and the continuity of the strategic action deliverables.

- In some municipalities, **there were challenges in adequately and consistently incorporating the DRR&P Plan to the Development Plan.** Not all Action Projects have been incorporated to the Development Plans and most of the building guidelines are not incorporated to the Development Plans of all locations due to insufficient specifications and quantification.
- DRR equipment supplied to some communities without consultation and consensus of the Local Authorities **were unable to be traced as there were no inventories.** Traceability would enable greater ownership of the supplies whilst being able to pin down responsibility to replace or repair the items.

## KEY LESSONS LEARNT

- It is recommended **to share the hazard risk maps and connected information with relevant Government Agencies** such as the Central Environmental Authority, etc., to allow benefits from such endeavours to accrue

to a larger segment of the population in and outside the realm of the project.

- As disasters do not occur regularly, **a strategy should be put in place to keep the Lane Committee members active.** If not, there is a risk of the committees going into dormancy. One way to do this is to utilize the communication channels established through Lane Committees for DRR&P in carrying out other village initiatives.
- To make the best use of the limited resources **a needs analysis should be conducted for the trainings provided.** Evaluation findings revealed that the participants of the GIS training did not need the knowledge in the subject to discharge their duties and responsibilities.

## CONTACT

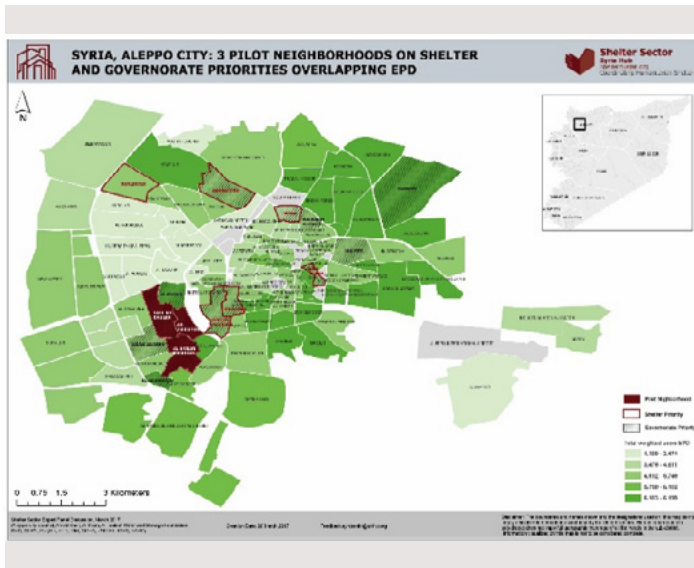
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## Multi-sector prioritization exercise for the rehabilitation of conflict-affected neighbourhoods in Aleppo city, Syria



**Urban Centre:** Aleppo city's 106 neighbourhoods, prioritizing 9 including 3 pilot neighbourhoods

**Project timeframe:** January – April 2017 (prioritization phase)

**Type of project:** Coordination, joint multi-sectoral neighbourhood prioritisation

**Project partners:** Shelter, Wash and Early Recovery Sectors

**Coordination framework:** Shelter Sector-led together with the WASH and Early Recovery Sectors, in collaboration with national and local authorities (High Relief Committee, sectors' related Ministries and Administrations at Governorate level).

**Agency submitting the case study:** UNHCR, as Global Shelter Cluster co-lead.

### CONTEXT

In the first 6 year of the Syrian conflict, the city of Aleppo underwent numerous frontline shifts and changes in control areas. During most of 2016, the eastern part of Aleppo (roughly half of the city), was completely besieged. In November 2016, the Government of Syria launched an offensive against the opposition held areas of Eastern Aleppo. One month of heavy aerial bombing resulted in the government forces taking control of all 31 previously besieged neighbourhoods; internally displacing approx. 150'000 people and evacuating approx. 35'000 remaining rebel combatants to Idlib (OCHA SHF, January 2017). Since January 2017, people have been returning to their neighbourhoods, residing in their homes or with friends or families.

In most of these neighbourhoods, as well frontline areas in the formerly western part, the built environment (housing and public) and basic public infrastructures (water supply, sewage and electricity) have been massively damaged. Following the recapture of Aleppo city, the Governorate rapidly produced a list of 15 priority neighbourhoods, to receive humanitarian assistance and launch the rehabilitation process, without consulting the sectors or humanitarian agencies. The Shelter Sector coordinator proposed to the Governorate and the High Relief Committee to review this list in consultation with humanitarian stakeholders. This case study explains the process that was undertaken by the Governorate and the Syria Shelter Sector to jointly revise the list of priority neighbourhoods and plan the intervention accordingly.

### PROJECT APPROACH/OVERVIEW

In January 2017, the Shelter Sector in Syria launched a joint initiative with the WASH and Early Recovery (ER) Sectors, in partnership with local authorities, to support a comprehensive coordinated and planned neighbourhood level response. The objective was to facilitate and coordinate the rehabilitation of

the newly accessible and damaged areas, by promoting a multi-sector approach, through a neighbourhood prioritization methodology.

The project aimed at defining shared priorities between partners and the government, to draft a common plan in line with humanitarian principles, advocating for need-based and capacity-based considerations, to ensure a more integrated and efficient response, and support sustainable returns.

This joint exercise identified short and long-term priorities enabling a phased response, thus anticipating the future transition between humanitarian and development responses. The follow-up and long-term objective of this pilot initiative was to draft an inclusive and convergent rehabilitation plan in pilot neighbourhoods, following a joint assessment and combining Shelter, WASH and ER specific priorities, while integrating area- based methodologies. This would then constitute a base to repeat the prioritization process in order to target the rehabilitation of the adjacent affected neighbourhoods of Aleppo city, proceeding a phased-approach.

This case study will focus on the **prioritization phase** that took place from **January to April 2017**, and that was rolled out in 5 main steps as follows (see following page):



## STEP 1

### **Multi-sector taskforce, January 2017**

In January 2017, the shelter sector set up a 3-sector taskforce together with the WASH and ER sectors, in order to assess the regained neighbourhoods and launch a joint prioritization exercise in consultation with the government. The taskforce was led by the three national sector coordinators, in close collaboration with their sector's field focal point (or sub-national coordinators) and inclusive of all active sector's partners.

## STEP 2

### **Expert Panel Discussion (EPD), February 2017**

In February 2017, the taskforce organized an Expert Panel Discussion in order to rapidly collect data on the state of Aleppo city neighbourhoods, by bringing together humanitarian actors present in the field and local government representatives. The EPD led by the three sectors, included experts from Aleppo Governorate (City Council, Technical Office, Water and Sewage Foundation), UN, INGOs and NNGOs representatives active in Aleppo. These experts assessed the 106 neighbourhoods of Aleppo city, through 14 pre-established vulnerability indicators (primary, secondary and tertiary criteria). The result of the EPD allowed listing and mapping the most vulnerable neighbourhoods, based on a severity scale analysis. A set of maps was developed, mapping each indicator and overlapping all on a final overall vulnerability map, allowing to visually compare the governorate list of 15 priority neighbourhoods with their actual severity and damage status.

## STEP 3

### **Shelter specific Prioritization, February 2017**

Following the EPD, a shelter specific prioritization methodology was developed by the shelter sector in order to define the neighbourhoods most suited for durable shelter interventions with a comprehensive and phased rehabilitation perspective. Four extra criteria were defined as qualifier indicators to identify neighbourhoods suitable for durable shelter interventions, such as newly accessible neighbourhoods, proximity to functioning areas, availability/means of transport and proximity to former frontline, and defined as qualifier indicators. A second analysis was done focusing on feasibility and potentiality concerns, including shelter, WASH and ER acceptable values for their individual programs. It resulted in a list of 10 priority neighbourhoods most suitable for durable rehabilitation (as a first phase).

## STEP 4

### **Government workshop, March 2017**

In March, the 3-sector taskforce organized a workshop to present the results and outcomes of both the EPD and shelter specific prioritization to the High Relief Committee, the relevant Ministries, Directorates, Local Administrations (both National and Governorate level), and the Syndicate of Engineers. The outcome of the workshop was a common agreement on a list of 9 priority neighbourhoods, as a first batch, suitable for durable rehabilitation. Out of these 9 neighbourhoods, and based on the agreement of a convergent approach, 3 were defined as pilot; requesting a comprehensive response plan to be drafted by the task-force in cooperation with local authorities, and in consultation with international and national partners; as an example of a coordinated multi-sector neighbourhoods level response. Main strategic directions for Shelter, Wash and ER interventions in prioritized neighbourhoods (both emergency and durable) were discussed and agreed on during the workshop.

## STEP 5

### **Preparation of neighbourhood level assessments, April 2017**

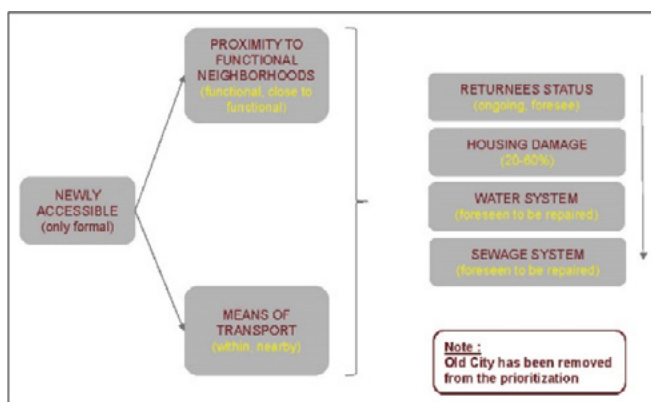
The week following the workshop, the results were shared and endorsed by all sectors' partners. A special meeting allowed defining area of responsibilities for each 12 shelter partners active in Aleppo, endorsed by the authorities, in order to facilitate approvals and access for partners, and avoid overlaps and gaps in the future response. The Shelter Sector together with the Syndicate of Engineers developed a tool for rapid structural assessment and UNHabitat was selected to support the sector collecting the data and mapping the damage of all 9 priority-neighbourhoods. Structural neighbourhood level assessments were launched in November 2017 by the sector and UNHabitat, through the Engineers from the Syndicate and in collaboration with the Technical Office of the Governorate.

## NEXT STEPS: update on the project since May 2017

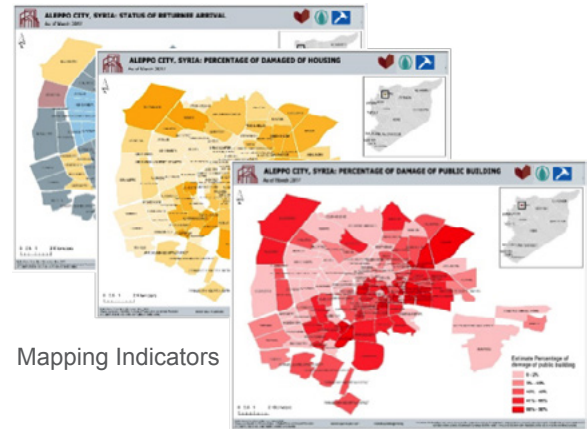
- **Neighbourhoods level rapid structural assessments:** The launch of the assessments was postponed and duration prolonged, due to negotiations with the Syndicate, delay in the agreement approval and lack of funding. It was finally completed in January 2018 in all priority-neighbourhoods. At the time of writing (February 2018), UNHabitat is finalizing the mapping of the damage.
- **Partners' interventions and convergent approach:** Since April 2017, sectors' partners and local authorities have coordinated their response to answer to the most urgent needs in all 9 neighbourhoods, and focused their interventions in the three pilot ones, through a convergent approach agreed on by all three sectors. To date humanitarian actors are addressing both short-term and long-term priorities and shelter partners are launching durable shelter rehabilitation interventions. However, the response could not be upscaled, as partners had to include rural Aleppo in their priorities areas for interventions, as it was regained by the Government a few month after the workshop.

## PROJECT OUTPUTS

- Establishment of a three-sector taskforce, to lead the prioritization process and response plan.
- Development of urban multi-sector and shelter specific prioritization's methodologies.
- Mapping: set vulnerability and prioritization maps.
- Agreement on a common list of 9 priority-neighbourhoods for a coordinated multi-sector integrated rehabilitation response. Agreement on a three-sector convergent approach in 3 pilot neighbourhoods. Agreement on extra neighbourhoods to receive shelter emergency response.
- Development of rapid structural assessment tool together with the syndicate of engineers and local authorities, to map damage at neighbourhood level.
- Launch of rapid structural assessment in 9 neighbourhoods covering approx. 6'600 buildings (benefitting approx. 33'500 families/175'000 individuals).



Shelter specific prioritization



## KEY ACHIEVEMENTS

- **Common approach and common plan.** The participatory initiative allowed for a shared prioritization and planning across sectors resulting in a joint understanding of the context and response priorities. It also helped define priorities based on needs and existing capacities, ensuring a more targeted and efficient planning. All actors, both humanitarians and local authorities, coordinated their efforts with a same strategy in mind. Furthermore, OCHA used the prioritization results to fund allocations and requested partners to engage with the sectors as a condition for funding.
- **A coordinated response in 9 neighbourhoods and three- sectors convergent approach in the 3 pilot ones** enabled actors to coordinate and focus their interventions where most needed, avoiding gaps and overlaps, and speeding the rehabilitations. In a year, most of the basic needs in infrastructures such as water, sewage and electricity were reinstated in the prioritized neighbourhoods (especially in the 3 pilot ones), allowing families to return to their neighbourhoods (approx. 300'000 returnees). Moreover, to date, approx. 63'000 individuals benefitted from debris removal, and 25'000 received shelter support.
- **Strong engagement of the authorities** both at Governorate and national level, as well as the civil society such as the Engineer Syndicate, enabling cooperation and consultation to reach a common agreement. The collaboration helped the authorities define a response plan, prioritize and focus their interventions in affected neighbourhoods with the most potential for returns.
- **Engagement of shelter sector partners.** The 12 international and national shelter partners in Aleppo engaged & endorsed the prioritization process. Negotiation through the sector facilitated access and interventions and allowed to jointly define area of responsibilities to coordinate the response.
- **Achievement of multi-sectoral coordinated area-based approach.** The three-sector partnership provided an integrated methodology both for the prioritization and the response planning. The taskforce encouraged the use of a more comprehensive and area-based approach to rehabilitation, raising the awareness of both the humanitarian partners and local authorities.
- **A phased methodology:** Both the prioritization and assessment processes developed can be repeated to integrate new priorities (change of situation), integrate other sectors criteria or launch a following phase.

## MAIN CHALLENGES

- **Working in conflict-area.** The instability of the situation and ongoing conflict makes it challenging to plan on the long-run and often difficult to complete long-term interventions, such as durable shelter rehabilitations. Security constraints, severe control, presence of UXOs or debris, prevents from accessing certain areas or buildings, hindering the launch of assessments or projects.
- **Quality and source of information.** Information gathering and quality of the information, while not always being able to access areas, are main challenges. The instability and fast changing situation often makes information rapidly obsolete, especially considering the limited understanding of the return movement, scale and displacement dynamic.
- **Collaboration with government.** Complicated procedures with heavy security measures hampers approvals for access, staff displacement as well as for organizing meeting or workshops. Access to “sensitive” documents and information sharing often requires long procedures.
- **Coordination / Number of actors:** Difficulties to coordinate all actors (humanitarian and authorities) and take into account their specific agendas and priorities, to achieve shared prioritization and a common plan. Complex negotiations with the authorities, especially when not allowing NNGOs and INGOs to participate in certain government workshops. Although the number of humanitarian actors is limited and the capacity of local partners is low if considering the massive needs.
- **Rapid structural Assessments:** Agreement on assessment procedure with the syndicate and UNHabitat delayed the process. The responsibility of the engineers as well as their technical capacity was for some inconsistent and partners did not have the dedicated resource to support and follow-up.
- **Ensuring common plan in the long run:** Challenge to ensure all sectors have enough funding to complete their interventions. (The limited funding of the ER sector could only cover the removal of debris). New priorities: after a couple of month rural Aleppo became a priority area for humanitarian actors, as emergency needs

## KEY LESSONS LEARNT

- **Engagement of all actors and coordination:** The participation of all concerned actors during all steps of the process is key to ensure an inclusive and endorsed shared prioritization, as well as a coordinated and efficient response. Coordination through dedicated coordinators, consultation and participatory workshops are crucial when dealing with many actors in an urban context. A multi-sector taskforce or joint committee, including local authorities, is required to coordinate and follow-up on the response.
- **Use of multi-sector neighbourhood approach:** Rehabilitation in urban areas requires a multi-sector comprehensive approach (including, as a minimum, the main three relevant sectors), through shared prioritization to inform decision-making and strategic response planning, using neighbourhoods as settlement-units for assessment and planning. There is a need to advocate for area-based approach & neighbourhood level methodologies, combining prioritization methods, assessments tools and mapping
- **Phasing and adaptability to situation change:** Prioritization, assessment and response planning methodologies should be replicable, enable phasing and flexibility in order to be responsive to change of situations, shift in priorities or new emergencies. Phasing enables short, medium and long-term concerns to be integrated in a longer-term planning perspective, adapting the response to the main needs and existing capacities, while initiating the transition toward development/stabilisation.
- **The role of humanitarian actors in urban neighbourhood rehabilitation?** Understanding the role of humanitarian actors in urban rehabilitation is key to appropriate and informed planning. Besides providing life-saving assistance, they can support local actors and authorities in defining priorities and informed decision making, while avoiding raising expectation on targets they might not be able to meet. Particularly in urban settings, humanitarian aid should not be a substitute for government provision of public services and infrastructures. Smart prioritization, targeting based on needs, feasibility and potential for returns within a comprehensive and long-term planning perspective, will later facilitate the transition to early recovery and then development phases.



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## Urban Profiling in Erbil, Kurdistan Region of Iraq



### CONTEXT

Erbil Governorate, with a total population of 2.01 million people, hosts the capital of the Kurdistan Region of Iraq. The governorate, like the rest of the Kurdistan Region, has been deeply affected by recent waves of displacement resulting from the conflicts in Syria and the rest of Iraq, as well as a pervasive financial crisis affecting the public and private sectors of its economy. Erbil Governorate has taken in Syrian refugees over the last 5 years. This displaced population has arrived as a direct consequence of the violent conflict in Syria or due to the economic opportunities that Erbil offered. When this influx started, the Kurdistan Region of Iraq enjoyed relative stability and economic progress. People seeking refuge thus entered a benign and even welcoming environment with both the Kurdistan Regional Government (KRG) and host community willing to support them.

The situation changed in 2014, given the evolving security and economic dynamics in the Kurdistan Region of Iraq resulting from both the Islamic State's violent entry into Iraq and the economic downturn. The deteriorating security situation caused by the Islamic State's take-over of large portions of western and northern territories in Iraq, including the country's second largest city, Mosul, unleashed a severe displacement crisis within Iraq. Of the 3.4 million people internally displaced in the country, around 1.5 million are now in the governorates of the Kurdistan Region. This resultant 30% increase in population in just 2 years has put the region's authorities under immense strain, particularly with respect to the provision of public services. Coupled with this, the current conflict in Iraq has also negatively impacted the economic outlook for the country, including the Kurdistan Region. Foreign investment has drastically decreased, trade routes have been disrupted and the dynamics within the labour market have been altered dramatically after the large inflow of people into the workforce. Taken together, conflict, displacement, and a weak economy are negatively impacting government function, household resilience, private sector survival, and public services provision in the Kurdistan Region of Iraq, including Erbil Governorate. Solutions to redress the situation must come from a holistic analysis taking into account all the dynamics outlined above. This profiling exercise, hence, takes place within a complex environment, affected by many layers of external and internal shocks.

**Urban Centre:** Urban areas in the Erbil Governorate  
**Project Timeframe:** September 2015 to August 2016

**Type of project:** Collaborative profiling exercise co-lead by UNHCR and the Erbil Refugee Council

**Coordination framework:** A collaborative approach was taken in designing and implementing the profiling exercise, with a Profiling Steering Committee overseeing the process and contributing at different stages. Partners included Government and Governorate bodies (Joint Crisis Coordination Centre, Kurdistan Region Statistics Office, Governorate Statistics Offices, and the Erbil Refugee Council), humanitarian and development actors (UNHCR, UN-Habitat, OCHA, UNFPA, and IOM), representatives of these participated in a Technical Working Group facilitated and supported by the Joint IDP Profiling Service (JIPS)

**Agency submitting the case study:** Joint IDP Profiling Service (JIPS)

### Why a profiling?

While a significant amount of information was available on IDPs and refugees residing in camps in the Kurdistan Region of Iraq (KRI), less was known about those residing outside of camps, particularly in urban areas. Furthermore, most of the existing strategies to mitigate the effects of displacement focused on addressing the needs of either the IDP or refugee populations, while the needs of the host communities living alongside these displaced groups received much less attention. However, the local communities and authorities were deeply affected by the waves of displacement resulting from the conflicts in Syria and the rest of Iraq. By 2016 the urban population in Erbil Governorate had increased by 25%, in Duhok Governorate by 31% and in Sulaymaniyah Governorate by 15% due to the displacement.

This combined with the pervasive financial crisis greatly exacerbated the strains already placed on local communities. In this context, the Governorate authorities in Erbil, Duhok and Sulaymaniyah together with UN partners decided to conduct studies comparing population groups (IDPs, refugees, and host communities) in different urban areas to inform longer term planning for the Kurdistan Regional Government authorities as well as the humanitarian and development community.

### PROJECT OVERVIEW

The overall objective for all exercises was to provide the Kurdistan Regional Government (KRG) and humanitarian and development actors with an evidence-base for comprehensive responses to the displacement situation in the three KRI Governorates of Erbil, Duhok and Sulaymaniyah. This was to be achieved through an area-based analysis of the displacement situation in areas with high concentrations of displaced populations living out of camps in urban settings.

## PROJECT OVERVIEW (Continued)

The specific objectives were:

- To provide demographic profiles disaggregated by gender, age, and displacement status (i.e. refugees, IDPs and host communities) in the targeted areas;
- To provide profiles of urban areas with high concentration of out-of-camp displaced populations;
- To analyse the capacities, vulnerabilities and coping mechanisms of the population in these areas;
- To analyse the relationships between displaced and host populations;
- To analyse the resilience of urban areas in relation to the availability and limitations of services;

To provide a dataset available to the KRG and humanitarian / development community.

A collaborative approach was taken in designing and implementing each profiling exercise, with a Profiling Steering Committee comprising all relevant partners jointly overseeing the process and contributing at different stages.

In addition to this, a Technical Working Group made up of representatives from the respective Governorate bodies, Statistics Offices, and UNHCR was established to lead the technical work, with support from JIPS throughout the process.

The Statistics Offices administered the household surveys while the Governorate authorities and UNHCR organised the qualitative data collection.

## PROJECT OUTCOMES AND OUTPUTS

The urban profiling exercises in Erbil, Duhok and Sulaymaniyah combined quantitative and qualitative methods to explore

- The diversity within each target group by different types of urban areas, and
- The differences as well as similarities between groups by location.

Methods used included: A sample-based household survey of approximately 1,200 households in each Governorate

targeting IDPs, refugees and host communities. The profiling produced a basic demographic profile of the groups disaggregated by sex, age, location and diversity focusing on livelihoods, community cohesion, education and future intentions ; Focus group discussions with the host community and a desk review of already collected qualitative data with the displaced populations to complement the survey on the topic of social cohesion and inter- group relations and perceptions ; and Key informant interviews and a desk review focusing on availability and capacity of services in targeted urban areas.

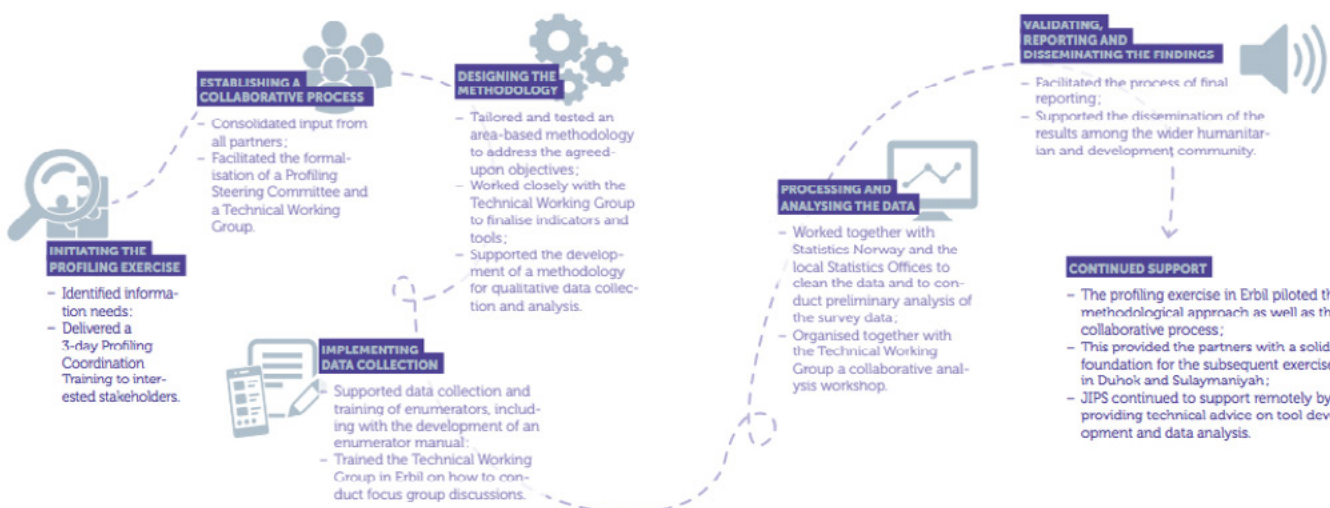
**An area-based methodology was developed** for the exercises, which allowed for a comparative analysis not only between population groups but also between certain types of urban areas/geographic strata with the highest concentration of displaced populations.

These comprised the following areas:

- In Erbil: Erbil District Centre, Erbil District Periphery and selected towns.
- In Duhok: high-density districts, medium-density districts and low-density districts.
- In Sulaymaniyah: Sulaymaniyah District Centre, Sulaymaniyah District Periphery, as well as Kalar and Kifri District Centres.

## KEY ACHIEVEMENTS

- **More targeted responses:** The profiling results provided an evidence-base necessary to improve targeting of cash-based interventions as well as urban planning projected by UN and NGO partners.
- **Improved and shared understanding and data:** The profiling results helped to better understand the impact of displacement on different population groups in various urban areas in KRI. In addition, local authorities as well as the humanitarian and development community all agreed upon and welcomed the profiling results. This enabled each actor to improve their interventions and led to a shared understanding of the urban dimension of displacement as well as its impact on the host communities.



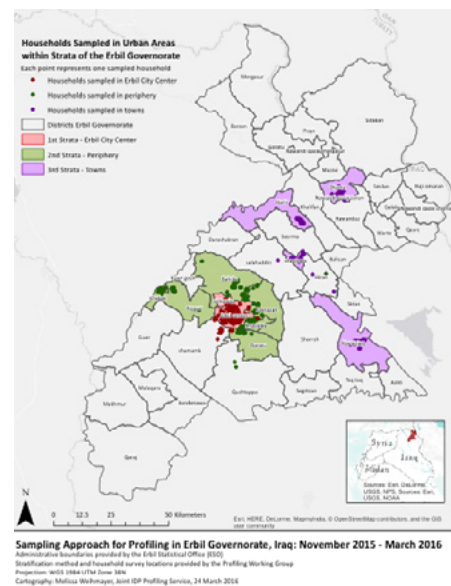
- **Two-way capacity building:** The Kurdistan Region Statistical Offices and local statistics offices had a significant role in carrying out the profiling process (e.g. pertaining to mapping, data collection and preliminary analysis). This combined with the collaborative nature of the profiling exercise led to significant technical capacity sharing between the Governorate authorities, including the Statistical Offices, and the humanitarian and development agencies involved.
- **A locally owned process:** The collaborative character of the profiling exercise enabled local ownership of the process. This ensured that the profiling approach was adequately tailored to the specific context of each Governorate, ensuring the relevance of the results.
- **In other words an area-based approach was understood as a way to capture diversity linked to location rather than only population group. The aim was to capture intra-group diversity and cross-group similarities.** This was of interest because of two main reasons expressed by partners: >Expectation/recognition of diversity within the target population (especially the IDP population), meaning that partners did not want to group these populations only as one homogeneous category. >Findings captured by location would be more operational when it came to recommendations and responses.
- **How the area-based approach translated into a methodology in Erbil? The area-based approach took the form of the following two methodology elements:** >Survey stratified by location: The household survey sample was to be stratified not only by population group (i.e. IDPs, refugees and locals) but also based on different characteristics indicating cross-group diversity (e.g. different socio-economic characteristics) linked to location of residence. >The aim was to capture diversity within target groups and similarities across groups based on socio-economic characteristics linked to location (thus going beyond only target group belonging as the only defining characteristic).

## MAIN CHALLENGES

- The methodology sought to combine information on the pressure on or demand for city services with the needs of the displaced populations. This would have required very strong secondary or administrative data on the availability and capacity of infrastructure and services in order to create the link. While the methodology was able to draw comparisons between the needs and situations of population groups (IDPs, Syrian Refugees, and host communities) by typology, it was not able to overlay the information on the infrastructure and services to provide urban planners and local authorities with the full scope of information they required for their area-based interventions.

## KEY LESSONS LEARNT

- **Creating a productive capacity sharing process was a valuable asset to the exercise overall.** In this process, Governorate authorities, including the respective Statistics Offices, constituted key partners of the profiling and shared their technical capacities with the humanitarian and development community. Though time-intensive, the capacity built throughout the exercise enabled the Statistics Offices to replicate the process in other Governorates after the pilot exercise in the Erbil Governorate, demonstrating a lasting impact of the process.
- **How to develop and tailor area-based methodologies to profiling exercises was a key lesson learnt for JIPS and the partners involved.** An area-based approach was decided upon in order to address the following research questions elicited from the partners of the exercise during the scoping mission to Erbil:
  - > To which degrees are different areas able to absorb and accommodate the displaced populations and address the general economic crisis? Which types of areas are more under strain and why?
  - > What is the diversity within the population groups? Within the IDP population great socio-economic differences are expected; is the diversity within/between the target populations more observable by location than the differences by population group alone?



Neighbourhood-level information on infrastructure and service delivery: The household survey giving us information 'about/from the people' was to be complemented with a neighborhood level analysis of the services in the targeted areas. This information about services provided and the degree of pressure on these services would be collected via key information interviews and/or desk review.

- The aim was to capture the service and infrastructure capacity of different areas to address the needs of its residents (i.e. instead of only looking at reported access to services by the population we would also know the availability and capacity of services).

## CONTACT

Access to the [full report](#), [summary of the process](#) and datasets are available online on [HDX](#) or the [Dynamic Analysis and Reporting Tool](#), or contact JIPS at [im@jips.org](mailto:im@jips.org) for more info.

## Post-Yolanda Support for Safer Homes and Settlements, Philippines



**Urban Centre:** Roxas City and the municipalities of Panay and Pontevedra in Capiz, and the municipality of Estancia in Iloilo.

**Project Timeframe:** 1 April 2014 to 30 June 2015

**Type of project:** Strengthening community capacity in self-recovery of shelter and community facilities

**Coordination framework:** Department of Social Welfare and Development (DSWD), Housing and Urban Development Coordinating Council (HUDCC), Social Housing and Finance Corporation (SHFC), 28 homeowners' associations, local government units (LGUs), United Architects of the Philippines (UAP), Association of Structural Engineers of the Philippines (ASEP), Base Bahay, Inc., BDO Foundation, Inc

**Agency submitting the case study:** UN-Habitat

### CONTEXT

In 2013, Typhoon Haiyan (locally known as Yolanda) damaged over 1 million houses and affecting 1.47 million families across 14 provinces in the Philippines, including 130,688 households in Capiz and 153,480 in Iloilo. UN-Habitat launched the Post-Yolanda Support for Safer Homes and Settlements project in these provinces with the primary goal of capacitating Yolanda-affected communities as well as local governments in rebuilding homes and communities through a community-driven approach called the People's Process. Under the People's Process, the community led and managed the project with technical assistance and monitoring from UN-Habitat and the project was implemented through community contracting with legally organized homeowners' associations (HOAs). This was the first UN-Habitat project to use the People's Process in the Philippines, following previous successful implementation in other countries, notably in Indonesia, the Maldives, and Sri Lanka after the 2004 Indian Ocean tsunami.

### PROJECT APPROACH

The project process involved 13 components as follows:

1. Selection of partner communities
2. Community damage assessment and mapping
3. Formation of the UN-Habitat project team
4. Community orientation on project parameters and people's process
5. Community action planning
6. Design development of permanent core shelters and community infrastructure
7. In-depth individual house and family assessments
8. Community contracting
9. Project implementation, including both community strengthening interventions and shelter and infrastructure construction
10. Partnership building
11. Shelter and community infrastructure turnover
12. Monitoring and Evaluation including construction monitoring, toolbox meetings, community reporting, family journaling and financial monitoring.
13. Final turnover activities

### PROJECT OUTPUTS

- 28 communities underwent damage assessments
- 660 permanent houses built with WASH facilities
- 323 semi-skilled artisans and 31 foremen trained
- 54 community infrastructure projects completed
- 4,594 households trained and their houses assessed

### KEY ACHIEVEMENTS

- **The Emergence of a Cohesive Community Partnership:** Communities adjacent to one another worked hand in hand in shelter and infrastructure construction and operated under one purchase committee to lower the cost of construction materials, resulting in a more harmonious relationship between them.
- **Raising Awareness through Public-Private Partnership:** This project opened the door for public-private partnerships between the LGUs and the homeowners' associations. The LGUs discovered their role in the development of community associations in their areas.
- **Rising from the Slums:** The People's Process did not only act as a framework in building houses in partner communities, but the lessons learnt from it are continually being used in solving problems in the community.
- **Financial Management through Transparent Leadership:** Through numerous trainings and encouragement, homeowners' associations officers gained confidence in handling the finances of their community. The officers also gained the trust of the community members through regular updates and transparent auditing.
- **Capacity Building through Teaching DRR Techniques:** The reach of the project was larger than originally planned thanks to the housing assessment guiders. Knowledge on building back better was disseminated to more people because of the training provided by these trained volunteers.



## KEY ACHIEVEMENTS (Continued)

- **Additional Community Infrastructure through Construction Management:** Community savings played a big role in the implementation of community infrastructure projects. Several communities were able to add to what was funded by UN-Habitat through their savings from the shelter component of the project.
- **Communities on the Rise through Empowerment:** Throughout the project, women were always at the front and centre. From plain homemakers, they have been transformed into laymen experts in shelter construction who, according to them, can identify materials by sight, read perspectives and shelter plans, as well as oversee other construction projects in the future.



## MAIN CHALLENGES

The main challenges and shortcomings of the project revolved around the financial aspects and the delayed timing of the procurement of funds and construction materials. To mitigate these, arrangements were made with major suppliers or builders like asking for one-month credit line and conducting turn-key arrangements. The prices of the materials were lowered using the homeowners' haggling skills, maximizing material usage, and minimizing waste. There were also challenges with financial management but these were overcome through regular auditing, close monitoring of the communities' finances, and regular meetings with communities for fund updates.

## CONTACT

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## KEY LESSONS LEARNT

- **Potential for public-private partnerships.** Mainly due to a lack of coordination, potential improvement through LGU intervention was not tapped for a very long time. Projects like these can serve as an eye-opener for stakeholders regarding the roles of LGUs and private actors in the development of their communities.
- **Tapping into local community procurement skills.** The homeowners' associations' haggling and procurement skills, which translated to savings, enabled additional infrastructure projects for their communities.
- **Purchasing of construction materials available in the market and employing the locally trained builders.** In the end, the project was 30% cheaper as it optimized the available resources, injected cash in to the local economy since the money remains in the community, resulted in faster construction and employment creation, generated livelihood opportunities for the affected population, and even improved skill levels of the community.



## District/Borough Scale

## Supporting the response to urban displacement in eastern Afghanistan



Photo 1

**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

### 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.

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

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

### 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.

### 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.

**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.

**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.

## 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:

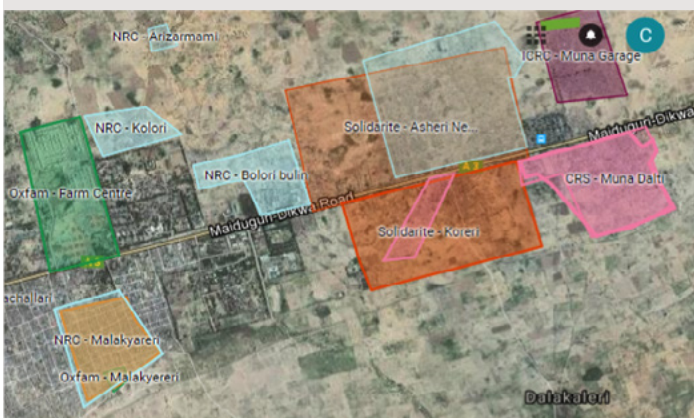
- **Photo 1:** Women's Neighbourhood Committee members use a problem tree to analyse the root causes of the community problem they have prioritised for solving
- **Photo 2:** A member of the outreach team meets displaced community members in the Community Centre to give them information on services and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

## 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.<sup>1</sup> 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 led by implementing partners began to form in late 2016 in response challenges at the field level. . . These groups exist at the LGA, ward and sub-ward levels covering areas ranging between 10s and 100s km<sup>2</sup> dependent on the concentration of need and humanitarian actors. . . 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.

Meetings provide an opportunity to locally coordinate assessments and access to services for existing actors and to assist new actors to target appropriately. The engagement of LACs varies greatly with some providing a forum for regular program updates and other undertaking joint field visits and assessment and together developing action plans to address either chronic or acute needs.

### PROJECT APPROACH

The LAC in the Muna Corridor, east of Maiduguri city center (MM→C) in Borno State, is co-led by Solidarte International (SI) and CRS. Muna Corridor, an area covering around 30km<sup>2</sup>, is the first place in which CRS began LAC and started out as a WASH-only group in response to gaps and duplications on the ground that were not easily coordinated through the regional WASH coordination structure. As other sectors recognised the importance of coordinating at the local level, the **group became multi-sectoral** incorporating food security and livelihoods, shelter and health actors. 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 to provide information management support, gathering data from the LAC actors in order to map water points, locations of suspected cholera cases, and other significant points.

On August 26th, 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.

Moving out across the broader control zone actors were able to contribute according to their available skills and resources to work in complementarity, with SI providing an on-call disinfection services throughout the area, CRS activating emergency funds to rehabilitate infrastructure where needed and the Government and other local actors increasing coverage of community mobilisation for hygiene promotion.

## REFERENCES

1. IOM DTM Round XV Report March 2017 [https://nigeria.iom.int/sites/default/files/dtm\\_reports/01%20DTM%20Nigeria%20Round%20XV%20Report%20March%202017.pdf](https://nigeria.iom.int/sites/default/files/dtm_reports/01%20DTM%20Nigeria%20Round%20XV%20Report%20March%202017.pdf)
2. FEWSNET Food Security Outlook February - May 2017, <http://www.fews.net/west-africa/nigeria/food-security-outlook/february-2017>

## 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.

## CONTACT

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## Tri-cluster support in response to the 2011 famine and conflict in Mogadishu



**Urban Centre:** Mogadishu, Somalia

**Project timeframe:** 2011 – 2013

**Type of project:** Tri-cluster coordination, supporting shelter, NFI and WASH emergency response

**Coordination framework:** Tri-cluster coordination system developed with shelter, WASH and health.

**Agency submitting the case study:** Extracted from Shelter Projects 2011 – 2012, Ref U.9 / A.28

### SUMMARY OVERVIEW

The Tri-Cluster project is a coordinated group of 16 projects implemented by 14 partners across the sectors of shelter, WASH and health. Zona K in Mogadishu was chosen as the target area as it had the densest concentration of Internally Displaced Persons (IDPs) and was the least likely IDP settlement to be evicted once Mogadishu stabilised and developed. The project goal was to improve the protection for displaced people living in Zona K through improved settlement planning and the provision of integrated services from multiple sectors

### CONTEXT

Mogadishu has hosted displaced people from conflicts since 1991. However, as drought worsened in late 2010 and famine approached in early 2011, more and more Somalis were driven away from rural areas to Mogadishu looking for assistance and safety. Displacement was compounded by the ongoing conflict in Somalia.

Upon arrival in Mogadishu, the Internally Displaced Persons (IDPs) settled on any unoccupied land. This process of self-settlement meant that there was no site planning. Services such as water and sanitation, and access to the 100 or so settlements were sporadic. As the number of sites closer to the centre of town reduced and as Al-Shabaab's influence lessened, many IDPs settled into the area which became known as Zona K.

Zona K's mixed ownership, between the government, the university and some private individuals, meant that it was one of the least likely sites to be evicted. By the end of 2012, the site covered an area of over 3km<sup>2</sup> with an estimated 70,000 IDPs living in make-shift shelters called Buuls (traditional Somali thatched shelter). These were constructed by the IDPs themselves from scavenged materials and items received from humanitarian organisations.

Any attempt to coordinate settlements in Mogadishu would have directly interfered with the economic relationship between the host population and the IDPs. As a result, no formal camp coordination mechanism was established.

### PROJECT OVERVIEW

As a response to the influx of IDPs into Mogadishu, a three-phase strategy was developed in July 2011:

- Provide all displaced people with a non-food item packages
- Provide transitional shelter solutions
- Provide site planning to improve living conditions and access to other basic services such as WASH and health.

The shelter coordination did not advocate the creation of new settlements for the IDPs. This strategy was attempted in Puntland, but was not very successful. Instead, the Cluster advocated that organisations should provide humanitarian assistance to the locations where IDPs had self-settled. This has been the approach in Somaliland and Puntland where the conditions and access are more favourable. The mechanics that control the creation of new camps were deemed too complex and unpredictable to encourage new sites.

Under the umbrella of the Tri-Cluster there were five shelter projects, with a total value of US\$ 4 million. The first project focused on mapping the existing settlement, producing settlement plans, and creating access roads and storm drainage. This mapping was followed by consultations with the beneficiary community and landowners to ensure that people would not be evicted once work was completed.

One organisation chose to work through long-standing partner organisations while the other contracted the work to local construction companies. Where possible the implementing organisations followed the site plans, but they were often forced to deviate from them. Reasons for this included the need to accommodate new demands from stakeholders, the construction of new permanent structures that had been built after the initial mapping, and the need to accommodate a larger population.

Once the shelters were completed, two local organisations provided non-food items, including blankets, kitchen sets, jerry-cans and fuel-efficient stoves. Beneficiary lists were provided by the main shelter partners, and distributions were undertaken once the shelters were handed over.



## COORDINATION

Effective coordination was crucial for success, as there were 16 projects operating in a very concentrated area. In addition, there were many actors who were already working in Zona K. Therefore, a dedicated Tri-Cluster coordinator was brought in to act as a focal point for the 16 projects. Initially there was reluctance from some of the implementing partners to work under the same umbrella. The WASH and health partners did not want to wait for the mapping process to be completed, and wanted to implement projects immediately, regardless of the output from the planning phase.

Over a series of meetings, the importance of coordinating activities was emphasised and a plan was developed where some activities could be carried out at the same time as the mapping. Coordination and communication was needed with the local authorities ensured that they were aware of the project and its implications, and that they approved the temporary development plans. As the final shelter solution was semi-permanent (5 to 10 year lifespan), the urban planning undertaken as part of the Tri-Cluster, will influence the development of this part of the city. Access roads created now, will be the main roads for years to come.

## KEY ACHIEVEMENTS

- Regular coordination meetings achieved a common understanding of aims and objectives amongst all partners
- By integrating services the project was able to act more efficiently to provide shelter, access to water and sanitation and basic health services.
- Settlement planning has enabled organisations to have better access and the beneficiaries have an enhanced sense of community. Displaced people were involved in the development of context-specific planning standards which helped manage expectations.

## MAIN CHALLENGES

- Underestimation of the impact of other projects funded through other sources active in the same project area.
- Although eviction is unlikely in the short-term, there is no clear ownership of land and so displaced people are vulnerable to the Somali 'gatekeepers'.
- A weak community structure combined with the fact that many people were already settled within the settlement meant that it was not always possible to follow site plans and meet minimum standards.
  - > Communal spaces have been eroded by an increase in the numbers of people living in Zona K.

> As the sectors work at different levels (shelter with households, WASH with groups of five families per latrine and health with the whole community) synchronising activities required complex work plans.

> Mapping all the stakeholders in the process was difficult, and their influence changed over time.

> The project had a high profile, putting implementing partners under pressure to produce results quickly, compromising planning and construction quality.

> The Tri-Cluster coordinator took on many of the camp management and camp coordination duties.

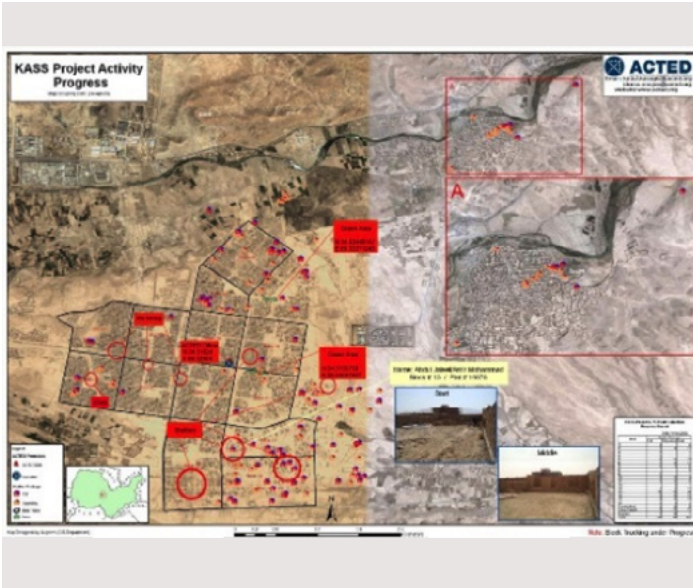
## LESSONS LEARNT

- The Tri-Cluster project was expanded for 2013 to include education and protection focused projects. It was planned for an additional shelter agency to join the existing two partners, and 3,000- 4,000 more shelters were planned. Once the framework and common understanding on coordination was created, it became feasible to add additional sectors and projects.
- The Tri-Cluster approach came about because the Humanitarian Coordinator considered that shelter, WASH and health were the most pressing needs for the IDPs. At the time there was surprise that other sectors were not also included in a multi-sectorial approach. However, the coordination of just three sectors was difficult enough, and in retrospect the presence of additional partners and targets may have reduced the effectiveness of the entire intervention.
- Generally, once an organisation secured funding, the focus was immediately on implementing as quickly as possible in order to meet project targets. To combat this "tunnel vision" amongst organisations, the successful multi-agency approach invested heavily in communication and consultation. This always takes time.
- Starting with just 3 sectors enabled a culture of coordination to be ingrained. Only once the coordination was working with a few key partners was it possible to expand to the full array of humanitarian services.

## CONTACT

For more information, refer to the 2011-2012 Shelter Projects U.9 / A.28

## 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:** Mayor's 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



### 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.

## KEY ACHIEVEMENTS (Continued)

**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.

**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.



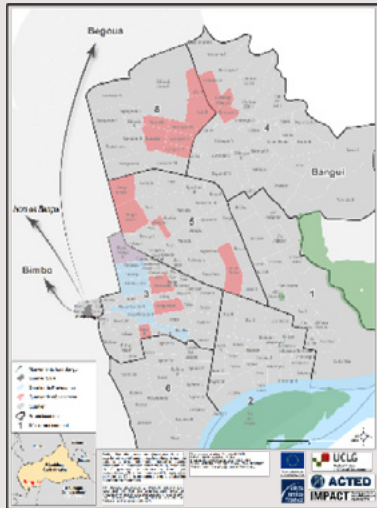
## KEY LESSONS LEARNT

- **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.



## Neighbourhood Scale

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



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

**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: Humanitarian Country Team, 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

### CONTEXT

Since 2013, a major political-military crisis has been affecting the Central African Republic (CAR) 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 remained a limited understanding of displacement dynamics, neighbourhood-level vulnerabilities and capacities, and 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 Cités Unies France (CUF) / United Cities and Local Government (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 four neighbourhoods of Bangui and Cité Boeing, 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.

### PROJECT OUTPUTS

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

### 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

### 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

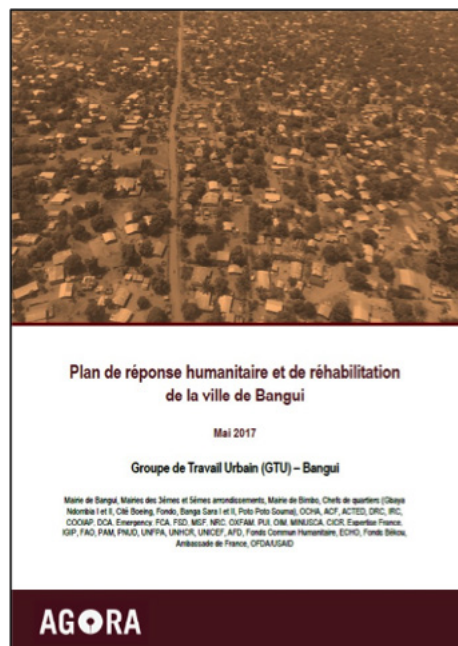
**Capacity building of Local Authorities:** Cites Unies France, a Network of French collectivities, representing the global Union of Cities and Local Government, provided a peer support to the Municipality of Bangui by mobilising French municipalities with expertise and capacity on selected topics. Coordination 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 delays 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 was 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

- For more information, visit [www.impact-initiatives.org/agora](http://www.impact-initiatives.org/agora)
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## Area Based Approach in Kampala: Partnering with Kampala Capital City Authority on refugees and migrant integration



**Urban Centre:** Kampala, Uganda

**Project timeframe:** 2017 - 2018

**Type of project:** Context analysis; area based assessments; planning and coordination; support to municipal authorities

**Agency submitting the case study:** International Rescue Committee and IMPACT Initiatives

### CONTEXT

Uganda is home to over 1.3 million refugees<sup>1</sup> and asylum seekers, primarily from South Sudan, the Democratic Republic of the Congo, Burundi, and Somalia, making it one of the top five refugee-hosting countries in the world.<sup>2</sup>

At the same time, Uganda is rapidly urbanising with refugees and host community members alike residing in low income informal settlements. Kampala's population is currently 1.75 million and the city is growing annually by nearly four – five percent. This growth occurs predominantly within Kampala's low income and/or informal areas and among the city's significant poor population. Approximately 32 percent of Kampala's residents reside in low income informal settlements.<sup>3</sup>

The refugee population of Kampala has nearly doubled since 2012, with a significant increase in the past year. According to the Uganda Office of the Prime Minister (OPM), as of September 2017 Kampala hosts 98,300 refugees from 25 countries.<sup>4</sup> This represents nearly double the 2012 estimated number of 50,646.<sup>5</sup> The rate of refugee arrivals to Kampala exceeds the rate of urbanisation of the city (although at a smaller scale), meaning that an increasing percentage of the city population will be refugees in the short-term.

The lack of specific data regarding the refugee population in Kampala to date has resulted in relatively inefficient humanitarian programs that struggle to reach what is effectively a hidden population. International and local NGOs were largely reliant on anecdotal information regarding A.) where refugees live, B.) the demographics of refugee populations, and C.) the quality and access to services afforded refugees in Kampala.

Further, as refugee numbers in Kampala have been relatively low in comparison to the city's overall population, city planning by the Kampala Capital City Authority (KCCA) has not focused on refugee issues to date. However, after outreach from international humanitarian agencies such as the International Rescue Committee (IRC) and IMPACT, there is increasing recognition by KCCA officials of the challenge and opportunity of the refugee presence in the city and a desire to incorporate refugees into future city plans. The update of the KCCA 2014-2019 plan, which currently emphasizes a city that is "hospitable and welcoming to...newcomers and residents" and reinforces KCCA's efforts to promote social cohesion and well-being of all people residing in the city,<sup>1</sup> provides a unique opportunity for KCCA to include refugees in its future plans as it strives to make Kampala safe, inclusive, and more resilient, for the benefit of all of its residents.

### PROJECT OVERVIEW

Since 2016, multiple international and local NGOs have worked together with KCCA to generate data on the displacement situation in Kampala and use this data to improve coordination and project planning under the leadership of KCCA. This effort includes inputs from the IRC and IMPACT.

With regards to the IRC, inputs included conducting an urban context analysis of displacement in Kampala, engagement of KCCA, and an initial convening of humanitarian and development stakeholders to discuss how to improve long-term refugee response within the city.

1 UNHCR Factsheet for Uganda. July 2017. Available at: <https://reliefweb.int/sites/reliefweb.int/files/resources/UNHCR%20Uganda%20Factsheet%20July%202017.pdf>. Accessed 2 January 2018.

2 UNHCR Global Trends: Forced Displacement in 2016 report. 2017. Available at: <http://www.unhcr.org/5943e8a34.pdf>. Accessed 3 January 2018.

3 *ibid.*

4 Statements made by OPM during the Urban Practitioner Workshop. Other figures are slightly higher.

5 Monteith, W. and Lwasa, S. (2017) The participation of urban displaced populations in (in)formal markets: contrasting experiences in Kampala, Uganda. IIED.

6 Kampala Capital City Authority (2014) Strategic Plan 2014/15 – 2018/19. Available at: [https://www.kcca.go.ug/uploads/KCCA\\_STRATEGI\\_PLAN\\_2015-2016.pdf](https://www.kcca.go.ug/uploads/KCCA_STRATEGI_PLAN_2015-2016.pdf). Accessed 2 January 2018.

With regards to IMPACT, inputs included the implementation of the AGORA initiative in Kampala, in partnership with KCCA and NRC, in order to generate critical data on nine low income informal settlements within the city and the needs of residents within them. Data points include the percentage of residents of each settlement who are refugees, the types of services available to these communities and how they access these services, and the specific vulnerabilities that refugees face in relation to host community members residing in the same area.

The data and coordination from both the IRC and IMPACT's efforts have resulted in:

- Greater understanding of the displacement situation for all relevant stakeholders
- The initiation of a formal coordination platform organized by KCCA
- Joint scoping for ongoing technical support to KCCA
- Joint planning for future humanitarian projects within Kampala

## PROJECT PROCESS

July 2017 – December 2017: To support the project, the IRC implemented the following steps:

- Conducted an urban context analysis, using the IRC's Urban Context Analysis Toolkit: Guidance Note for Humanitarian Practitioners to analyse the underlying political, social, economic, service delivery, and spatial dynamics that impact displaced populations and host communities living in Amman and Kampala.
- Engaged in dialogue with the municipal authority to inform their understanding of displaced residents within their city, identifying mutual priorities between the humanitarian sector and the municipality while focusing on areas for meaningful collaboration.
- Hosted an urban practitioner workshop, titled From Response to Resilience, in September 2017. The workshop was attended by international, national, and local stakeholders active within the city, including civil society organizations (CSOs), humanitarian NGOs, local and national government representation, development agencies, UN agencies, and private sector actors.
- Provided recommendations to KCCA based on findings from the current response to displacement within the city. Based on these recommendations, the IRC, IMPACT, KCCA and other NGOs entered into discussions on potential programmatic relationships around an area based approach.

January 2018 – present: Building on a strong relationship established with KCCA, and with the support of ECHO, IMPACT, as part of an interagency AGORA initiative, is undertaking a series of activities within the framework of the partnership with KCCA:

### STEP 1

Prioritize & delineate crisis affected neighborhoods: KCCA and IMPACT have identified and prioritized nine specific vulnerable neighbourhoods in Kampala. The selection reflects KCCA's strategic priorities for urban intervention, prevalence of structural and social vulnerabilities, as well as the geographic concentration of refugee populations in some areas.

### STEP 2

Undertake comprehensive neighborhood-based assessments: KCCA and IMPACT, in partnership with other humanitarian actors, undertakes comprehensive assessments in identified neighbourhoods. Assessments identify vulnerable populations, response and resource gaps, providing an overview per community. Specific assessments include:

1. Service provision mapping (Key informant interviews with service providers)
2. Vulnerability assessments (household surveys)
3. Actor mapping to identify local service actors and exogenous aid actors (key informant interviews with community leaders and focus groups discussions)

The assessment findings are supporting evidence-based programming for KCCA, development partners and humanitarian actors to strategy urban programming.

### STEP 3

Develop neighborhood-level - and city level response plans: Informed by assessments findings, IMPACT is supporting KCCA to undertake a series of consultations and workshops to develop response plans. Relevant stakeholders, including local civil society and citizens, service providers, government departments and local authorities, national NGOs, UN Agencies, Clusters and INGOs are involved in the planning phase in order to:

1. Highlight priority needs and propose interventions to address both humanitarian needs and longer term development/resilience priorities.
2. Identify international actors with resources, expertise and link with local actors to support vulnerable populations

### STEP 4

Support the establishment of the Kampala Coordination Forum for Migration: IMPACT is supporting KCCA and key humanitarian actors to establish and facilitate a Working Group to support the development of the response plans and the municipal-level coordination and information management.

### STEP 5

Strengthen capacity of KCCA through peer to peer municipal support: Leveraging a global partnership with United Cities and Local Government, IMPACT is supporting support KCCA through fostering links with municipal authorities from other countries. To date, an exchange visit to several European countries with a KCCA delegation has been undertaken, generating learnings for both KCCA and European Local Authority Counterparts.



## KCCA COORDINATION

In April 2018, KCCA hosted a migration dialogue with Ambassadors; Heads of UN agencies; Heads of International Organizations; technical officers from relevant Government Ministries, Departments and Agencies; and members of the private sector. The purpose of the dialogue included

- Link humanitarian programming to long-term development goals of the city;
- Strengthen coordination, sustainability, and impact of multi-stakeholder responses to urban displacement;
- Understand the needs and preferences of urban displaced persons; and
- Ensure that displaced and marginalized residents are included in public services.

Following the dialogue and the processes of the IRC and IMPACT, all relevant stakeholder are currently involved in joint planning for program delivery and further technical and institutional support within Kampala – including the establishment of the Kampala Coordination Forum for Migration.

## KEY ACHIEVEMENTS

### Greater understanding of the displacement situation for all relevant stakeholders.

The data generated by the IRC, IMPACT and KCCA has identified some of the urban neighbourhoods of greatest needs and the specific nature of need within those neighbourhoods. For example, through 700 key informant interviews, approximately 2000 household surveys and complementary focus group discussions, the area based assessment identified that certain settlements host a greater number of refugees. Humanitarian actors may better target their interventions based on this information.

- **Caseload and economic vulnerabilities:** Refugees represent 6% of the total population in the target neighbourhoods. National households are doing slightly better off economically speaking than refugees, but nonetheless share the belief that refugees are wealthier. As a consequence, refugees tend to be charged more to access basic services and amenities such as accommodation and health, being charged more money or frequently asked for bribes. Access to work for refugees is a little more difficult than for nationals with equivalent level of education and income, due to language barriers and to the fact that the slum population (including potential employers), tend to lack awareness on refugees' rights to work. 20% of refugees report not having a refugee ID, therefore not formally registered. There is a slight correlation between the level of wealth and perceived ability to access services and the registration status, registered refugees doing slightly better off than their counterparts who report not being formally registered.
- **Access to services:** Refugees enjoy the right to access to same basic services as nationals in Uganda, and this law is verified in the reality. However, refugees are more at risk

of being asked for bribes, and do not enjoy the same level of information on the availability of services than nationals. Access to education for refugee children is lower than nationals, and it is even more the case for refugees who have arrived in Kampala recently (less than 2 years ago). Regarding health and water and sanitation, challenges to access services are quite similar between the two groups.

- **Trends for social integration and resettlements:** the majority of refugees in Kampala have been here for more than 5 years, and report they came straight to Kampala without going to through the settlements. There are little intentions of return to the country of origin, and thus, refugees tend to emphasize their efforts to better integrate within the socio-economic fabric of the city. Social cohesion between refugees and nationals is not a major concern, while both groups report criminality as an issue affecting the whole community.
- **Assistance:** Refugees report receiving little or no assistance from aid groups. Most of the support gotten in case of financial burden is obtained through their social network, through occasional help from relatives, while nationals have an easier access to formal credit. Both nationals and refugees report a need for assistance, although the type of assistance preferred varies slightly between the two groups. Refugees emphasize primarily the need for food and rent, while national put education higher on the agenda. When it comes to the mode of assistance, all residents tend to report direct cash assistance or a combination of cash and in kind assistance as their preferred mode of support.
- **Formal coordination of humanitarian services under local leadership.** The initiation of a formal coordination platform organized by KCCA, as well as greater technical capacity for KCCA to address the needs of displaced and marginalized residents within Kampala. While KCCA had no previous plans on how to manage displacement and extend their services to displaced residents prior the project, the IRC and IMPACT has since worked with KCCA on how best to plan for the continued arrival of refugees, based on the data generated through our joint efforts. Leveraging these recommendations, KCCA has committed to taking a leadership role in the refugee response within Kampala and taking steps to integrate refugees into the city's social, cultural, and economic fabric.
- **An agreed way forward among stakeholders from different constituency groups.** Based on the project's success, key actors involved have agreed to pursue actions that promote better access to information, prioritise the safety of vulnerable populations while mitigating the risks they face, and beginning to orient new residents to coordinated services offered by the city's various public, private, and civil society service providers. A key component will be the successful implementation of an area based approach within a Kampala settlement that hosts a high number of displaced residents.

**Supporting KCCA in the development of its urban refugees municipal strategy:** With support from IMPACT, KCCA is developing its municipal strategy for refugees integration and inclusive service delivery. This strategy will serve as a guiding framework for intervention for all stakeholder involved in the urban displacement and refugee response in Kampala, incorporating reliable information on humanitarian needs and key policy priorities for Kampala's long-term development. The development of this municipal strategy will be evidence-grounded, mobilising the results of AGORA's assessment. The development and implementation of these municipal strategies will be informed and supported by other municipalities who have gone through similar challenges and successfully implemented a locally-led response for hosting refugees.

## MAIN CHALLENGES

- **So much analysis, so little funding:** Not all refugee-hosting vulnerable urban neighborhoods have been covered by the assessment.
- **International versus local mandates:** More national NGOs than international NGOs are active in the refugee response in Kampala, while there is little interaction between those and international actors and public authorities alike.
- **How much coordination is too much coordination?**

## KEY ACHIEVEMENTS

- It's not just the data you have, but who you share it with
- It's not just the coordination, but how and who leads it and how sustainable you make it
- In the process of working with a local authority, you need to dedicate time and flexibility to account for the local governance system. Longer term approaches should be preferred to short-term initiatives.
- All the coordination in the world doesn't go far without funding
- Need to influence ALL stakeholders

## CONTACT

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## Building Resilience in urban informal settlements through innovation and partnerships, Kenya



**Urban Centre:** Nairobi, Kenya

**Project Timeframe:** 1st October 2016 to 30th September 2020

**Type of project:** Urban Resilience building/Disaster Risk management

**Agency submitting the case study:** Kenya Red Cross Society

### CONTEXT

Escalation of informal settlements is a clear indication of population growth in Nairobi, Kenya. These informal settlements are overcrowded, under-served and insecure, mainly hosting relative newcomers to the city; only 20% of Nairobi's residents below 35 years are believed to have been born in the city. Although the informal settlements only cover 6% of the city ground, it is estimated that 60 % of the population now live in these informal settlements. The lack of structure and infrastructure in the informal settlement predisposes Nairobi to a myriad of health threats, disaster risks and a high risk of crime, fires and industrial accidents.

Informal settlements are located throughout the city, often near areas with employment opportunities such as industrial zones or gated communities/high-end estates. Many of the settlements are located close to or on top of existing and former industrial sites, meaning that the residents are frequently exposed to toxic and chemical waste.

Access to clean drinking water and safe sanitation is limited. Systems for drainage and waste disposal are substandard, if they exist at all, which leaves people even more vulnerable to the spread of water-borne diseases. The informal settlements are primarily located along riverbanks prone to landslides. Air pollution is also widespread, both indoors and outdoors. Most people use solid fuels for cooking which cause emissions of unhealthy fumes. In addition, the traffic and industries pollute the outdoor air. The consequences of living in such an environment are high incidences of respiratory infections and an increased risk of airborne communicable diseases.

The Kenyan Government does not recognise residents living in the informal settlements as living there legally and as such, these residents are live in constant fear of being evicted (some do not have a rural place to return to), have no access to justice system and/or basic services. Due to poverty, unemployment and other socio economic challenges the informal settlements foster a breeding ground for drugs and substance abuse (due to frustrations), SGBV, violence including rise of gangs, prostitution and other illegal or harmful practices.

This especially affects the young people in the informal settlements, a majority of whom are out-of-school and/or unemployed. To survive they tend to engage in gangs and/or other criminal acts.

The population in the informal settlements tend to live in "safe zones" grouped in tribal/ethnicity lines. As the informal settlements cover large areas and include a vast variety of people it is an easy place to be overlooked. Persons with disabilities or other chronic health conditions are often excluded from social activities as are persons living with HIV/AIDS and persons with various Mental Health issues. At the same time they also face stigmatization as does individuals from the LGBT community, of whom a number is finding the informal settlement the ideal living place. Finally, the informal settlements host a vast majority of illegal refugees who have no access to any services and live in their own ethnic group.

The diversity and exclusion among residents in the informal settlements generates lack of trust, which further affects the abilities to create healthy interpersonal relationships and foster communication issues. The informal settlements lack social and cultural structures resulting in an increase in individualism which further worsens the status of social cohesion. This is further exacerbated by the high population movement. Overall, this contributes to a feeling of lack of belonging, insecurity amongst others. It has also led to erosion of some of the important ethics/morals including lack of understanding and respect. This, to a big extent, has contributed to some of the social related challenges including crime, sex work, SGBV, substance and drug use and mental illnesses within the informal settlement.

Linked to above, over the years, the Kenya Red Cross Society (KRCS) has been responding to disasters that affect communities living in the informal settlements. These disasters range from fires, floods, collapsing building, disease outbreaks and conflict. Some of these disasters are linked to environmental degradation and climate change. Evidence shows that the human and economic losses, particularly due to climate change will continue to grow.

Recently, there have been new challenges within the informal settlement that could affect the communities' resilience if not addressed. These include increased cases of non-communicable diseases, crime cases and Reproductive Health Rights issues such as Sexual and Gender Based violence (SGBV). KRCS recognises the need to shift from short term responses/solutions to some these community challenges to having community led sustained long term solutions. It will do so by working differently with communities in order to build their resilience to disasters.

The Kenya Red Cross is one of the first national societies to pilot the IFRC Framework for Community Resilience (FCR) that was developed in 2014 in the urban setting and use it to inform an Urban Resilience programme. Guided by a 'Road Map to community Resilience' that was developed by IFRC and which is implemented in four stages that focus on engaging and connecting, understanding communities risk and resilience, taking action for resilience and learning, a community led assessment to identify community exposures, vulnerabilities and challenges was done. The approach requires the national society to work differently focusing more on having an accompanying, enabling and connecting role to the communities rather than the utilizing the service provider approach.

As per the approach, KRCS conducted assessments in 6 selected informal settlements in Nairobi to understand risk and vulnerability and thereafter develop actions for resilience using a participatory approach.

## PROJECT OVERVIEW

KRCS started working on urban programming in 2008 on Disaster Risk Reduction focusing on fire safety. From 2012 – 2016 KRCS has been implementing an Urban Risk Reduction (URR) project in seven informal settlements in Nairobi. The project had five key outcomes; Raising awareness on existing risks, mitigating risks, preparing the community to respond to frequent disasters affecting them, building the capacity of KRCS staff and volunteers to respond to community disasters and advocating and building partnerships with the Government and other partners. The present project will build on this foundation and continue to raise awareness on health and disaster risks but will now also focus on engaging the youth in a more productive and sustainable way, acknowledging that they are tomorrow's leaders and thus need to be engaged in creating change/enhancing resilience in the community. The project further seeks to strengthen partnerships with the private sector and other like-minded organizations as well as to explore innovative approaches to address urban challenges.

This project looks at building on successes made in the previous Urban Risk Reduction (URR) project as well as to build on the health interventions, strengthening the capacities of the Community Based Disaster Response Teams (CBDRTs) and forming new partnerships that contribute to building the resilience of communities living within the informal settlements in Nairobi. The project design was informed by assessments conducted using the Roadmap to resilience approach which is a step-by-step guide in implementing a resilience project.

The assessments informed the current level of community resilience as per the six characteristics of a resilience and community develop action plans to strengthen their resilience. The action plans were divided into interventions which communities were able to conduct with their internal resources and intervention that they would require external support. The project is therefore supporting some of the interventions where community require support that fall within the mandate of the Red Cross and looking at linking the community with government and private sector on a humanitarian diplomacy approach on support of some of the interventions identified. The project implementation phases are indicated below

### STEP 1

2008 – 2011: Introduction of Disaster Risk reduction focusing on fire safety. This included the formation of community based disaster response unites which created an entry of the community to the project activities

### STEP 2

2012 – 2016: The project evolved into a broader urban risk reduction initiatives which applies a multi hazard approach

### STEP 3

2017 - 2022: Urban resilience initiatives to build on efforts made from the fire safety to the urban risk reduction phases. This includes the formation of community resilience committees who will oversee the community based disaster response units established in earlier phases

## PROJECT OUTCOMES AND OUTPUTS

The development objective and long-term results to which the project seeks to achieve is:

**To improve the overall well-being of urban communities in Kenya by building their resilience against potential disasters.**

The development objective relates to the national situation, the Kenya Vision 2030 and the Sustainable Development Goals (SDGs) and sets the overall framework for the holistic and multi-sector approach to addressing risks, vulnerabilities and needs. Many factors outside the scope of interventions will be contributing to the achievements.

All proposed activities are interrelated and part of the comprehensive community based integrated approach with the aim of ensuring safer and more resilient target communities. The approach combines mutually supportive project elements which collectively contribute to achieving a common project objective. Activities under this action are highly interlinked and all contribute to building of community's resilience through several deliverable areas (outputs) that contribute to three outcomes.

## Outcomes and outputs of the project summarised below:

### Outcome 1: Urban Communities in six informal settlements in Nairobi are knowledgeable, healthy and can meet their basic needs

- Communities have improved knowledge and skills to address selected urban shocks and improved healthy living
- Communities have improved access to basic needs (safe and clean water, safe power access)

### Outcome 2: The community is socially cohesive, connected and economically empowered

- Strengthen community support systems to promote cohesion
- Established platforms that strengthen community interactions
- Improved community business systems, strategies and innovations
- Strengthen relationships between the community and external actors at all levels
- KRCS has enhanced networks and capacity to all levels to engage in Humanitarian Diplomacy activities enhancing the support to community needs in informal settlements

### Outcome 3: Community has well maintained natural assets and accessible infrastructure and services

- Enhanced functional and accessible infrastructure within the community
- Strengthened community ability or support to use, maintain, repair and renovate the public infrastructure and systems
- Communities recognize the value of their natural assets
- Communities have structure that can manage, protect and maintain their natural assets

## KEY ACHIEVEMENTS

- Bridged the gap between private and public fire engines through creation of a Fire Fighters Forum
- Formation of Community Based Disaster Response units/Teams: This has created entry and ownership of the project
- Advocating for the introduction of DRR into school curriculum: Development of DRR facilitators manual together with KRCS & Partners
- Advocacy efforts that saw the development of a fire safety manual, Safer power connection and Nairobi county disaster management Act



- Strengthened KRCS response at all levels through trainings reducing response time to about 7 minutes
- Urban early warning early action – use of hand operated siren
- Activation of disaster management committees at sub county levels: Review of Contingency Plans

## MAIN CHALLENGES

- Community interrelation is often lower in urban centres
- People (especially the poor) move around much more frequently
- Difficult to maintain contact with the same group of people over a significant period of time
- Nature of urban life result in a lower sense of collectively than that found in rural areas
- The lack of common interest and mutual help between people can also make it difficult to initiate action

## KEY LESSONS LEARNT

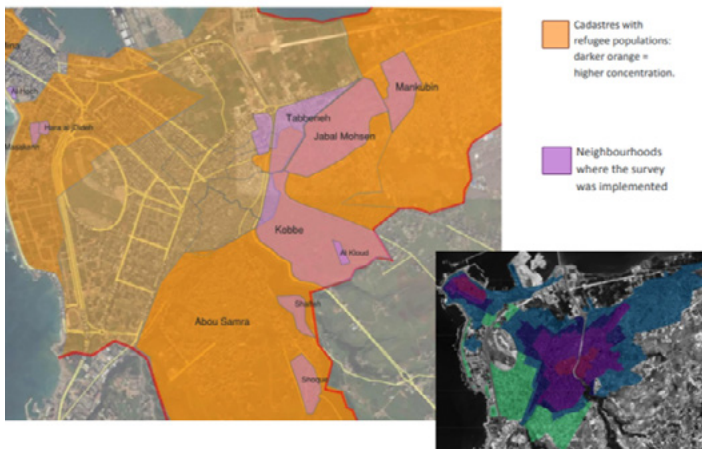
- Training and formation of CBDRTs Improved awareness and risk reduction behaviours in target communities. This is seen in the reduction in the number of fires within the settlement and response time by the community and the first responders.
- The CBDRT's formed during the previous project phases comprise of community volunteers, who were supported, mentored and trained. These teams became reliable units within the target communities on matters of disaster preparedness and response.
- Inclusion of all groups including local authorities, village elders and community gangs ensured that no key influencers were left behind. Engaging with gangs was necessary to show neutrality in action as well as to show respect to groups respected by the community.
- The advocacy component of the project contributed to efforts to have a County Disaster Management Bill passed as a bill which will see Nairobi County take responsibility of a response during a disaster. It is envisaged that this will also channel resources for DRR to KRCS from the County Government.
- Strengthened volunteer management, through volunteer retention and created a positive and productive experience for the volunteers engaged.
- Need for KRCS to engage in more advocacy initiatives to enhance service provision through humanitarian approach . KRCS can play a role of being a connector and accompany the community.

## 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, Shalfah, Shok, Wadi Nahle)  
**Project Timeframe:** 3 year programme, September 2015–August 2018 (Year I,II,II)

**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 neighbourhoods. 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 neighbourhoods, 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 neighbourhood approaches, as well as management and implementation tools for technical and socio-economic assessments. **Phase III includes a greater focus on neighbourhood 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:

### STEP 1

**Scoping study of the urban neighbourhoods in Tripoli in February 2015:** Involving delineating boundaries, meetings local authorities, stakeholders, community. Neighbourhoods were selected based on needs, access, and % of refugee influx into the area, and condition of accommodation and service provision, all in coordination with the shelter working group.

### STEP 2

**Neighbourhood-based assessments:** 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.

### STEP 3

**Selection of rehabilitation works:** 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.

### STEP 4

**Community level planning:** 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.

### STEP 5

**Implementation:** 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.

### STEP 6

**Community protection outreach and training:** 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.

## 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

## 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



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 neighbourhood 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.

# “El Hay”: integrated multi-scale intervention for the vulnerable population of Tripoli, Lebanon



**Urban Centre:** Neighbourhood of Qobbe, Tripoli, Lebanon – in particular the areas of Charani, Rahbet, Old Qobbe.

**Project timeframe:** November 2016 – January 2018 (13 months) – for the component of the program funded by the Lebanon Humanitarian Fund (LHF)

**Type of project:** Neighbourhood approach transitioning from emergency to development including mainly the following sectors: Shelter, WaSH, Energy, Social Cohesion

**Project partners:** SOLIDARITÉS INTERNATIONALE (SI)

**Coordination framework:** Municipality of Tripoli, UN-Habitat

**Agency submitting the case study:** SOLIDARITÉS INTERNATIONALE (SI)

## CONTEXT

The Syrian crisis which started in 2011 has led to the displacement of over 5 million refugees.<sup>1</sup> Over 1 million<sup>2</sup> fled to Lebanon, a neighbouring country with a long common history with Syria. The protracted conflict in Syria has forced these families to remain in Lebanon longer than they initially hoped.

In a heavy historical context (linked in particular to the common troubled history of Lebanon and Syria as well as the settlement of Palestinian refugees, creation of camps and civil war), this protracted crisis has faced multiple challenges from high humanitarian needs to intensification of structural difficulties. This has, in particular, steered 83% of the refugee population to settle outside of informal settlements, very often in urban settings and in particular in highly dense and vulnerable neighbourhoods.

Tripoli, the second biggest city of the country, has been chosen by many refugees as it offers a cheap rental housing stock that they could afford: sub-standard buildings often located in the poor neighbourhoods previously affected by war (conflict between Tabaneh & Jabal Mohsein in particular). There, the needs are numerous and affect both host and refugee communities: deficient WaSH infrastructure, damaged buildings, structural unemployment, drug abuse and tensions leading to insecurity.

## PROJECT APPROACH/OVERVIEW

After a few years of implementation of emergency shelter rehabilitation resulted in build a strong knowledge of urban dynamics, SI started to develop a larger multi-sectorial approach. The vision of the programme was that the structural

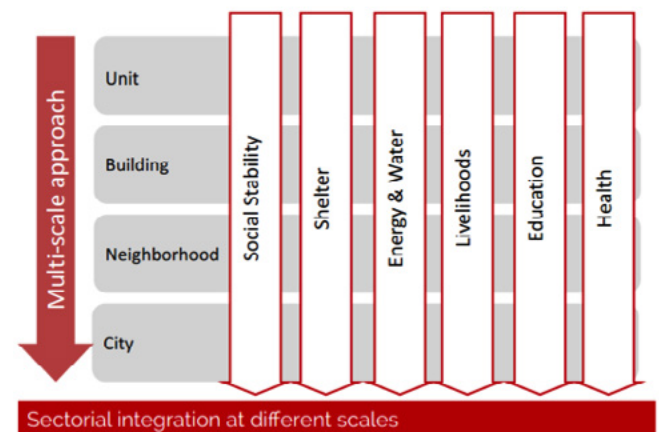
needs mentioned above could only be tackled through a multi-year, multi-scale approach involving the local authorities and

the communities (as well as local partners).

To reach this objective, a transition was necessary: from 1 NGO/1 main sector to a coordinated approach.

The project funded by the Lebanon Humanitarian Fund (LHF) managed by OCHA over a one year period offered the possibility to:

- Continue covering the most pressing needs with emergency intervention (in particular shelter rehabilitation),
- Enlarge the scope of intervention to other sectors (Social cohesion, Energy, WaSH – Solid Waste management),
- Build a stronger relation with the community and in particular build trust through the realisation of visible activities in a “short” timeframe,
- Build the way forward through the collaboration with UN- Habitat in their profiling exercise to identify more precisely the structural needs that would require longer



<sup>1</sup> From “101 facts & figures on the Syrian Refugee Crisis”, Nasser Yassin, AUB, March 2018

<sup>2</sup> Estimation of UNHCR-registered refugees in country in 2017, the figure of 1.5 million is commonly used to include the non-registered refugees.

## PROJECT PHASING

This LHF project (in yellow in the graph below), made it possible to implement activities in a phased manner.



The main project phases were

- STEP 1**  
Identification and selection of sub-neighborhoods of intervention.
- STEP 2**  
Initial community engagement and identification of focal points.
- STEP 3**  
Participation to the profiling exercise with UN-Habitat.
- STEP 4**  
Utilisation of the data to pre-select sites for intervention.
- STEP 5**  
Modification of the foreseen procurement process.
- STEP 6**  
Implementation of activities at household level and building level
- STEP 7**  
Implementation of activities at neighborhood level: public space, street lighting

## PROJECT OUTPUTS

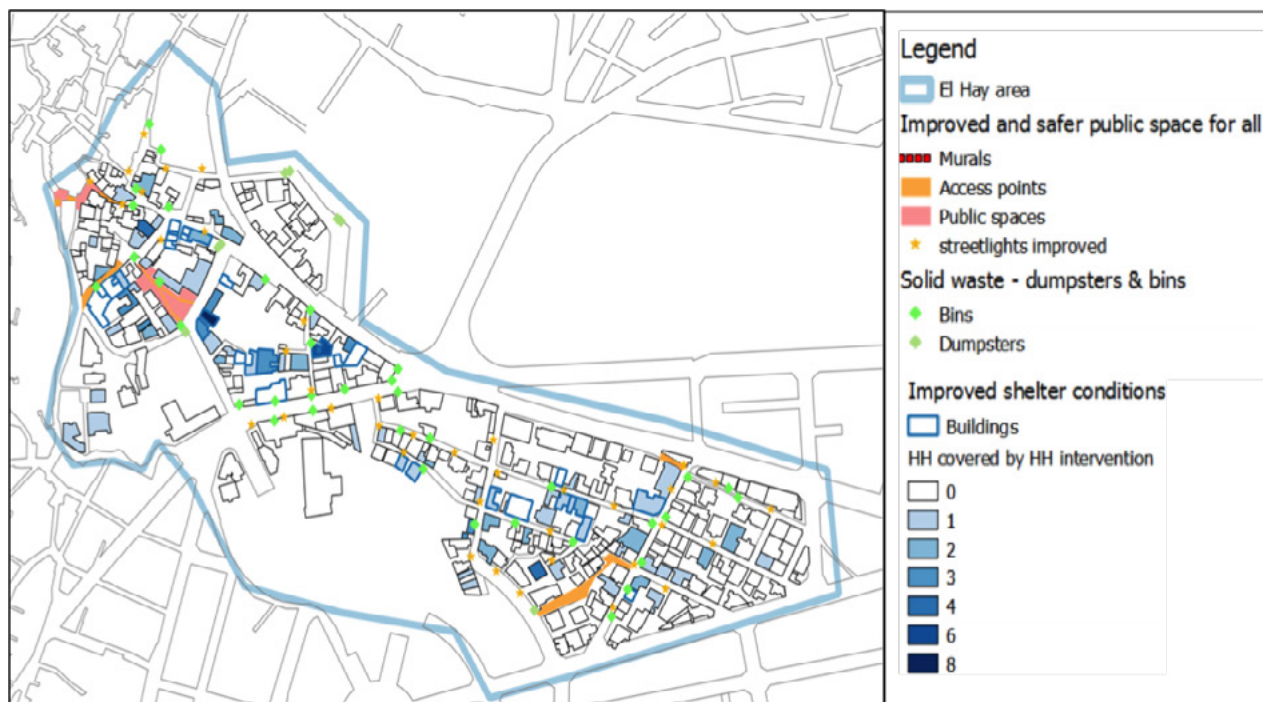
At the end of the project the following outputs were achieved:

- **203 housing units** rehabilitated ensuring privacy, access to basic services (water, sanitation and electricity), safety and weatherproofing. All 203 households also received hygiene promotion sessions;
- **30 buildings** hosting 135 households have seen their **common areas upgraded** (safe staircases, improved accessibility and roof weatherproofing...);
- **3 public spaces were rehabilitated:** including, in particular, the creation of a small basketball field;
- Realisation of 4 murals in the community;
- **5 access points** were enhanced: asphaltting of road, restoration of stairs and pathways eased access in the area.
- **75 streetlights were upgraded:** replacement of HPS bulbs by LED light, addition of solar panels or batteries to cover for black-outs at night;
- **Installation of over 50 bins & dumpsters** in the community to facilitate waste collection;
- **4 events** to raise awareness on improved solid-waste management: promotion of recycling, reduction of waste production and better hygiene practices.

After the end of the project the following behaviours have been noted:

- Self-organisation of mini “cleaning campaigns” by residents in connection with the firm in charge of solid waste collection in the area;
- Maintenance of public spaces.

Map of intervention in the area



## KEY ACHIEVEMENTS

- **Implementation of activities in the neighbourhood while the profiling exercise was being conducted:** this helped manage tensions and expectations in the community.
- **Strong coordination with the profiling exercise:** SI team members participated in the data collection required for UN-Habitat's profiling which contributed to build internal trust and understanding of the data collected. This facilitated the use of the data directly in the project implementation: the pre-selection of buildings and identification of dark areas within SI project (requiring streetlights) were based on UN-Habitat profiling findings.
- **Selection of 3 sub-neighbourhoods (instead of 1):** the neighbourhood identified was actually composed of multiple sub-neighbourhoods with sometimes very different urban patterns (from one that was part of the old city with narrow stairs to one more structured with large avenues) and different community dynamics. 3 of them were selected which allowed to adapt activities depending on needs but also to still be able to implement activities if some tensions were appearing in another neighbourhood.
- **Public spaces are keys to restore social cohesion, dignity and pride** of the inhabitants. At the end of the project, the main highlights mentioned by inhabitants are the public spaces created, mentioning that they have attracted residents from outside the area.
- **Use of noble materials:** for the public spaces, arabesque tiles were used. They were the symbol of a cultural identity as well as a sign of "wealth" that was very appreciated by residents.
- **Objectives were reached thanks to the conjunction of activities of different sectors.** For example: additional dumpsters combined with hygiene sessions and renovated public spaces that the residents would want to maintain (arabesque tiles) ensured that these public spaces would be maintained clean by the residents.

## MAIN CHALLENGES

- **Lack of public space:** The initial hope was to create large public spaces. However the public land in the selected area was finally very reduced which is often the case in the region. This led to re-formulate the public space intervention around main circulations: in areas where public spaces are inexistent, the streets (and the stairs in this case) are the places where people meet, exchange and live together.
- **Committees:** To maintain its governance over its territory, the government of Lebanon refuses to include Syrian refugees in assemblies that would have a decision-making capacity. It was consequently complicated to create committees that would represent the full population of the area. It was therefore decided to work through a network of focal points of all nationalities present and who would be consulted at required times to ensure that the intervention would respect the will of all groups in the community.

- **Revision of procurement strategy:** SI predominantly worked with a pool of small contractors. These contractors were unfortunately not accepted in the area and residents required that the people from the area would be hired. While maintaining its competitive process of selection, SI finally shifted its approach to larger contractors to whom some quota of recruitment from the area were imposed.

## LESSONS LEARNT

- **Neighbourhood borders are not well defined in Lebanon and trying to define them might create tensions:** at the beginning of the project, a phase of delineation of the area to target was launched, implicating field assessment, contact with local leaders. Recommendation were not to try to identify "neighbourhoods" per say, as the boundaries were actually blurry, and they were afraid that building up on these "artificial borders" could create tensions in the future. The recommendation was to select an area even if it didn't match exactly to a specific artificial neighbourhood identity.
- **Time required for neighbourhood selection:** This initial work generally takes longer than expected but is key to start building necessary relationships for the good development of activities later on.
- **Mapping of authorities:** A good mapping of the different relationships between the different levels of local authorities (ministry, municipality...) would have saved time in execution with some time lost in validation process for intervention.

## CONTACT

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## Legalisation of Urban Settlements in Colombia



**Urban Centre:** Urban Settlements in Colombia

**Project timeframe:** 2016 - 2018

**Type of project:** Informal urban settlements legalization approach

**Project partners:** UNHCR, UNDP, inter-/national organisations (GIZ, Fundación Techo Mio Habitat Digno and others depending on the implementation cases) and landowners

**Coordination framework:** Government Led Agency submitting the case study: UNHCR

### CONTEXT

Prolonged forced displacement is one of the major negative effects of the armed conflict in Colombia on the population, exposing the displaced populations to precarious and marginalized living conditions. UNHCR has been working in Colombia to support people affected by conflict and is working in other countries in the region such as Ecuador, Venezuela, and Brazil.

Adding to the national population movements, there has been an influx of Venezuelan families and Colombian returnees since 2016. As of February 2017 and according to official figures, there are 7,333,133 displaced persons (IDPs) in Colombia. 50% of them have fled to 30 cities in the country, mainly in areas that consist of informal urban settlements where there are high rates of vulnerability related to security conditions, as well as difficulties in comprehensive access to the restoration of their rights. If no interventions take place, the proportion of households in precarious conditions by 2020 will be 17% (CONPES 091, 2015). For this reason, local integration continues to be a huge challenge in guaranteeing the rights for displaced persons.

### PROJECT OVERVIEW

UNHCR has been promoting a comprehensive vision of solutions for the displaced population by strengthening its national strategy in urban areas and by responding to (i) high concentrations of displaced populations, (ii) limited willingness to return, (iii) the rural emphasis on the implementation of the Peace Accord and (iv) the persistence of a long-term displacement situation.

This comprehensive solutions policy includes the legalization of settlements with high concentrations of displaced population and the promotion of institutional presence in these areas, with the aim of reducing the risks faced by IDPs and host communities.

It also takes into account, that one of the most common elements of these settlements (although not in the case of Cúcuta) is the strong presence of armed groups that control the subdivision and sale of land, housing, and provision of public services among others.

UNHCR's National Strategy has three objectives:

1. To promote the **development of a public policy** that achieves the comprehensive **management of urban settlements** as an integral part of solutions for displaced population. This vision includes legalization as an open door to guarantee rights.
2. To advance the methodology of **legalization in urban settlements** prioritized with high concentrations of displaced populations in coordination with competent entities.
3. To consolidate strategic alliances with relevant institutions, development actors and academia, as part of the strategy to **transfer legalization processes and ensure responsible disengagement**.





**UNHCR's Intervention in 2017 is based on four components:**

The process to advance in legalization was established by a national Decree (1077 of 2015). This framework sets out 4 legal components in which UNHCR's interventions are adjusted according to the conditions of each settlement and the possibility of generating alliances.

UNHCR has established a basic route of intervention that takes into account the 4 components defined in the legal framework and a transverse approach of protection that ensures the ongoing analysis of the risks and the security conditions of the settlements; as well as the identification of lessons learned in order to influence public policy in solutions. In the case of Cúcuta, the municipal planning office, together with UNHCR and GIZ, gathered additional basic household information to create a "social profile document" to support the



Aqueducts and sewage works in the Manuela Beltrán neighbourhood (after legalization).

<p><b>1. Legal Component</b></p> 	<p><b>Objective:</b> To identify the legal status of land.</p> <p><b>UNHCR's role:</b> To identify areas for advancing in the legal framework and establish a work plan. This intervention is implemented through a partner NGO, <i>Corporación Opción Legal</i>.</p>
<p><b>2. Technical Component</b></p> 	<p><b>Objective:</b> To perform the required topographic and geotechnical surveys.</p> <p><b>UNHCR's role:</b> To provide technical assistance to communities in their applications for legalization. Given the costs, UNHCR financially supports some cases and for others, establishes partnerships with public entities and academic institutions.</p>
<p><b>3. Social Component</b></p> 	<p><b>Objective:</b> To ensure community involvement throughout the process, including approval of the other 3 components.</p> <p><b>UNHCR's role:</b> UNHCR works to strengthen communities so that they are better able to engage with the legalization processes.</p>
<p><b>4. Urban Planning Component</b></p> 	<p><b>Objective:</b> Define the applicable urban planning regulations for the neighbourhoods that undertake legalization.</p> <p><b>UNHCR's role:</b> Given the institutional competences and the technical specificity required, UNHCR's role focuses on engaging with and promoting the response of the authorities.</p>

## PROJECT OUTPUTS

- **Pilot phase:** From 2013 to 2015 two pilot projects were carried out in the neighbourhoods of Manuela Beltrán and Las Delicias, situated in the Cúcuta municipality, department of Norte de Santander. The pilots shaped the Informe de Sistematización and the Manual de Referencia, the two main tools used for further legalisation processes and adapted to each specific case.
- **Implementation:** From 2016, the national level project included 30 informal settlements which have been legalized or are in the final steps of being so, covering 13 municipalities over 7 departments and reaching 25'000 beneficiaries. Parallel, the UNHCR Field Office in Cúcuta has supported the Municipal Planning office to achieve the global goal established in the Municipal Development Plan, focusing more on public policy to support the process: 7 settlements have been legalized and 18 additional settlements are presently being legalized.

## IMPORTANCE OF THE LEGALISATION PROCESS

Legalization processes allow for the advancement towards the achievement of durable solutions for different population groups at a relatively low cost.

- Legalization represents the right to the city for those who wish to reside there – “rooting”.
- The security of housing tenure prevents people from being linked to activities that represent protection risks in order to cover that need.
- Legalization is an example of peaceful resolution of conflicts. The parties reconcile the basic elements to initiate legalization, instead of going to de facto mechanisms such as evictions or legal claims for process limitations.
- They constitute the first step to consolidating institutional presence, which reduces overall risks of the settlements' inhabitants, enabling municipal administrations to design strategies for the identification and management of risks.
- They also advance in the achievements of the right to housing, facilitate the processes of land titling and access to subsidies for the improvement of housing, and credits for business development projects.
- Legalization is a requirement for access to urban development processes and facilitates access to structured public services like water, sewage, gas, roads, schools, health centres, among others.
- It supports social cohesion and reestablishment of displaced families in the places where they settle and contributes to the stabilization process in these place of reception.



Above: Group of women attending a training for community attention unites (community health response).

## KEY ACHIEVEMENTS – in Manuela Beltran and Las Delicias:

- Individual titles issuance: In both neighbourhoods, approximately 700 titles, out of which 300 to IDPs.
- Proportion of households with access to public services: almost 100% in Manuela Beltrán and 70% in Las Delicias (municipality is presently working on aqueducts in Las Delicias).
- Community infrastructure: UNHCR supported the construction of a sports centre and a community centre in Las Delicias, and a library and a community centre in Manuela Beltrán. Additionally, the community in Manuela Beltrán has managed a new sport centre with the support of national and regional governments as a result of community empowerment from previous strengthening processes.
- Road infrastructure: the municipalities commenced a new project aiming to complete the pavement in both neighbourhoods.
- Water and Sanitation: A governmental project is underway to improve WASH infrastructures within the houses of families in Manuela Beltrán.

## KEY ACHIEVEMENTS – Overall National project

- Elaboration of a **methodology for the settlement legalization**: A central tool was developed, carefully elaborated and contextualised for the community. It is the roadmap which (i) allows the follow up and monitoring of the implementation progress, (ii) enables parallel decision making and (iii) facilitates information, discussions and – if needed – revision of the strategy by the stakeholders. Implementing the methodology requires good prioritisation of action lines, strategic alliances and working in networks of key institutional actors and strategic allies. This methodology is now a reference tool which is being used by other organizations.
- **Housing, Land and Property**: Integrating land title issues within the frame of national laws and regulations, providing juridical advice and assistance to all involved actors by the authorities (Ministerio Público), and creating an exchange platform for all involved actors, to facilitate their coordinated actions throughout the process (Comité de Impulso). An important achievement for the cases of Manuela Beltrán and Las Delicias in Cúcuta was the individual titling of properties for the displaced population. Of the nearly 700 titles in process of delivery, about 300 correspond to displaced families.
- **Economic activities**: The legalization and titling of land has a direct effect on economic development: First, families are more willing to invest in their houses with formal land titles knowing that they can stay there on the long term; Second, families can improve their livelihood productivity thanks to formal public services, and a land deed can facilitate access to credit to improve productive activities; Finally, strengthening productive units has in turn a positive effect on the quality of the houses, since the income can be used to improve the homes.



Above: Cultural activities with younger generations (Rumbos de Paz Project)

- **Attention to the younger generations**: Typically 16-21 years old have a low school attendance rate and are more exposed to precarity. A component of the project supports them through flexible methodologies, combining psycho-social support, help to define their own life project and helping return to school.

## MAIN CHALLENGES

- Building a **nexus of Humanitarian and Development challenges**: Simultaneously responding to urgent short-term necessities and forging longer term community identity, empowerment and consolidation. This is a transversal effort combining psycho social support, judicial advice, formulation of legal bases & tools as well as spatial planning and technical support, and it becomes challenging regarding the number of key actors involved.
- **Achieve sustainability of the legalization processes**: In the case of municipal government change, is important to ensure that the line of work in legalization of settlements remains incorporated in the following Municipal Development Plan, and that it has sufficient resources for its implementation.
- **Facilitate increasing community participation** in the processes of settlement legalization. UNHCR, together with the municipal Mayor's office, has established training spaces for leaders on the legalization procedure, and today GIZ has joined this initiative.

## KEY LESSONS LEARNT

- **Community empowerment is key to allow a self-sustaining and durable settlement process**: Strengthening and supporting the community through the provision of juridical assistance and training on rights eligibility and community leadership, and simultaneously developing legalisation and de-alienation processes.
- **Livelihoods and economic activity should be promoted**: implementing income generating strategies allows the creation and reinforcement of local productive units and the institutional articulation of public-private actors.



## KEY LESSONS LEARNT

- **Public spaces and assets** have a key role in the making of a community. They materialise quality spaces for meeting, exchanging, training and free time activities and they strengthen the community's organisational capacities, sense of ownership and identity. Their location must therefore be clearly studied and defined, and their equipment and maintenance must be officially inscribed in the municipal duties.
- **A truly peaceful culture depends on its capacity to solve conflicts within the community.** Considerable effort must thus be made to facilitate conflict resolution processes, both selecting and reinforcing pre-existing community mechanisms, but also completing them with pertinent institutional initiatives.
- A space for **institutional coordination** to manage progress in legalization processes is essential: a meeting point for the communities, private owners (in cases where they exist), and authorities (can act as a guarantor to

support process).

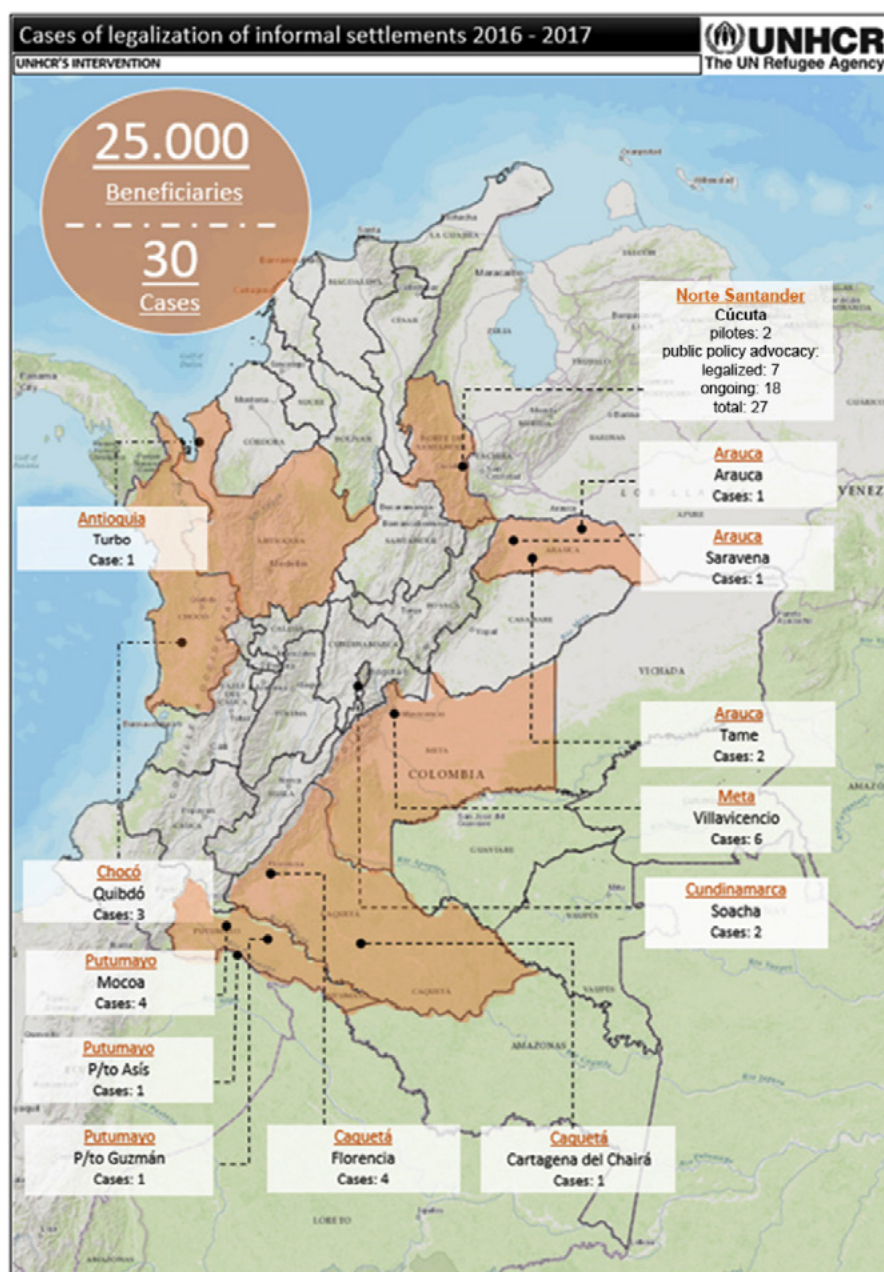
- **Identify and strengthen the elements leading to a durable integration:** In addition to all the immediate benefits provided by the settlement legalization processes, it is important to explore further opportunities, such as the possibilities for beneficiaries to become land owners.
- **Legalization is an integral process** which cannot be reduced to the sole application of a norm and the activation of a legal procedure: it implies and closely depends on other elements, such as community strengthening, local economic development, the construction of community infrastructures and institutional coordination.

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# BRACED program: Disaster Risk Reduction in Disadvantaged Urban Settlements. Portmore, Jamaica

## CONTEXT

Portmore, Jamaica, ranks high among the areas at greatest risk of disaster. Threats include flooding, earthquakes, and destructive wind speeds. It is a highly populated area, with vulnerabilities including uncontrolled urban expansion leading leads to informal settlements, low quality housing, inadequate access to water and sanitation, and weak community structures.

## PROJECT OVERVIEW

Habitat for Humanity Latin America and the Caribbean have been implementing a disaster risk reduction pilot - BRACED (Building Resilience And Capacities For Emerging Disasters) in the municipality of Portmore, Jamaica, since 2015.

Communities plagued by insecure land tenure tend to have poor housing stock, poor physical infrastructure, high crime rates and relatively high levels of illiteracy. This demotivates the community from making improvements which increases their vulnerability over time.

The program was aimed at mitigating housing & settlements related disaster risks (thus reducing vulnerabilities and increasing capacities) in some of the urban communities most prone to natural disasters by working both at community and household levels.

The conventional approach of focusing only on physical infrastructure improvements and using outside technical professionals and staff alienates the community, ignores the real issues, and creates improvements that are short lived because they are not integrated or sustainable.

## PROJECT APPROACH

The project is based on an innovative and inclusive neighbourhood approach that included socio-economic and physical questions, the project used participatory processes to work with members from the target community, including:

- PHAST (Participatory Hygiene and Sanitation Transformation).
- A participatory design of project components.
- And participatory implementation of project activities.
- Participatory approaches permeated all aspects of the project, including:
  - Community mapping.
  - Leadership roles in the project.
  - Using community members to create and vet all publications.

## PROJECT ACHIEVEMENTS

The project worked at different levels:

- Household level: safe and healthy housing.
- Community level: reinforcing capacities of the capacity of community members through training, empowerment of groups and advocacy activities.
- Settlement level: formalize the neighbourhoods (secure

land tenure), deliver urban neighbourhood redevelopment plans and build/improve community infrastructure.

- Municipal level: Through public-private partnerships.
- National level: Advocating for changes in the process of land regularization, making it more affordable (time and cost).

## PROJECT PHASING

### STEP 1

Participatory needs assessment and risk analysis: enumeration (georeferenced surveys data collection, PASSA (Participatory Approach for Safe Shelter Awareness). GIS analysis

### STEP 2

Awareness raising and construction of social capital, participatory design. Creation of local committees. Training on the project's various components, creation of local committees, identification of micro-projects. Community-led creation of a neighbourhood map

### STEP 3

Participatory implementation. Demonstrations of resilient, low-cost interventions such as housing reinforcements, dry toilets and garbage receptacles, community micro-projects, and the reinforcement of collective and individual capacities. Formalization of community land and improved access to infrastructure investments.

## LESSONS LEARNT

- At the household level, the project is showing that securing land tenure increases families' interest in investing in their houses because they feel more confident about not being evicted from their plots, and because the land is a marketable asset that can provide access to credit.
- At the community level, the formalization of community land improves access to infrastructure investments, as the government is now able to provide public services denied to informal settlements, such as water piping, electricity and drainage.
- The minds of the community members had to be transformed from thinking of their community as second rate and their conditions as marginal to envisioning their community as uplifted and their properties as valuable.
- Some community members were engaged in the project, called 'mapping and verification assistants', creating maps of all the plots within the community and recording names of owners and tenants. This active involvement was very well received by the community.
- Capacity building and participatory techniques outlined, increases the strength, stability and self-reliance of households living in precarious settlements, ultimately making them more resilient to disaster.

## Neighbourhood Revitalization in Simon Pelé, Port-au-Prince, Haiti



**Urban Centre:** Simon Pelé neighbourhood, in the heart of the urban area of Port-au-Prince, Haiti

**Project timeframe:** 2010-2017

**Type of project:** Urban revitalization and upgrading after disaster (January 2010 earthquake)

**Coordination framework:** Haiti Shelter Cluster, local municipality authorities, line ministries.

**Agency submitting the case study:** Habitat for Humanity International

### CONTEXT

The January 12 earthquake had a devastating impact on the lives of thousands of Haitian families, many of which lost their family, homes and livelihoods. Located in the commune of Delmas, Simon-Pelé is a densely populated low-income neighbourhood in the capital city of Port Au Prince. It is home to nearly 8,000 households (30,000 individuals) living in cramped conditions (area of the neighbourhood is approximately 1 km<sup>2</sup>). Many families in the Simon-Pelé area live in self-built housing that did not necessarily utilize safe construction methods. In the aftermath of the January earthquake, many residents of Simon-Pelé relocated to nine camps on unused land on the outskirts of the district courts. Basic services in Simon-Pelé (water, sanitation, roads and drainage) were almost non-existent.

Whilst Habitat for Humanity had been working in Haiti for more than 30 years, this was the first time it had approached shelter program solutions in the urban environment of Port-au-Prince. To promote the revitalization of this neighbourhood, Habitat for Humanity Haiti launched a series of integrated projects to support the earthquake-affected community. To date, Habitat's work has benefitted thousands of residents by addressing shelter and settlements needs with a variety of interventions. The program has helped these families put the pieces of their lives back together by repairing and/or retrofitting their homes and implementing infrastructure projects throughout the community such as the construction/repair of drainage canals, new and improved water kiosks, sanitation facilities and road rehabilitation. The program also comprised a disaster risk reduction and preparedness plan, and a training program in a variety of trades to help empower Simon-Pele community members to attain better livelihoods.

### PROJECT APPROACH

The program started with a participatory community enumeration, which accounted for all elements of the built environment in the neighbourhood (e.g. number of houses, people, street posts, water distribution kiosks, community facilities, etc.) and a collection of neighbourhood intangible

elements (neighbourhood sense of security, understanding of disaster risk, expectations for the future, etc.). The outcome of the enumeration process was a comprehensive community action plan with specific interventions and a prioritization of actions. Following this stage, the program was developed in phases corresponding to these priorities and funding cycles. The program approach was highly participative, with community members and organizations taking active roles in planning, decision-making and direct implementation of works through a community contracting mechanism. Initial interventions were focused on community-level quick impact projects such as street lighting, additional water kiosks and clean-up of rain run-off drainage channels. A street-naming contest and house numbering were introduced to help with identification of neighbourhood areas. In a subsequent phase, interventions focused on individual housing, including retrofit of living space and sanitation facilities (toilets).

Trainings on construction skills using the housing retrofits as a practical field of learning have been implemented along the life of the program. Other trainings have included strengthening of community-based organizational structures, conflict resolution and the design of a disaster preparedness community plan. Of special consideration for the program has been a support to community and individual livelihoods, with the implementation of several vocational training programs and the distribution of starter kits for those involved in construction skills trainings (tools and equipment kits).

Coordination within the program has resulted in a renewed relationship between the community organization and the Municipality of Delmas. Periodic meetings to coordinate on issues related to garbage management and maintenance of infrastructure continue to take place.

The community is now focused on the implementation of a comprehensive WASH strategy seeking to improve on the program gains, by addressing remaining issues with water distribution, management of discharged water from households, hygiene behavioural change and solid waste management, among other topics.

## PROJECT PHASING

### STEP 1

Community-based enumeration (6,000+ household surveys) and mapping resulting in an initial community plan for action. Implementation of community-level interventions: Improvements to water kiosks, clean-up of drainage channels, installation of street lighting to improve neighbourhood security, street naming and house numbering, and trainings (financial literacy, disaster risk reduction, safer building methods, gender equity, disease prevention) Infrastructure interventions implemented through a community-contracting mechanism, to support local livelihoods.

### STEP 2

Implementation of 175 house retrofits and repair of 100 toilets  
Rehabilitation of 300 meters of neighbourhood main access road and drainage  
Trainings (conflict resolution, small business management, construction technical assistance, community organization strengthening).  
Continuation of community contracting mechanism (10 community contracts).

### STEP 3

484 house retrofits, including sanitation.  
23 road and accesses improvements projects (3,839 meters), including drainage channels.  
Debris and rubble removal from community (approximately 2,700 m<sup>3</sup>)  
Training (safer construction methodologies, financial literacy, disaster risk reduction).  
Livelihoods support through vocational training (cosmetology, sewing, computer repair, refrigeration, driver's education, small business development).  
Distribution of construction start up kits (construction tools and small equipment)  
Community contracting (27 contracts) and local contracting (35 contracts).

### STEP 4

Launching of WASH strategy to address issues (water uses, stagnation of rain and gray water, hygiene practices, solid waste management, etc.) through a participatory approach.



- Individual house retrofits/reconstruction and improvements to sanitation facilities (659 houses).
- Skills training (safer construction) and other trainings on organizational capacity, conflict resolution, financial literacy, disease prevention, disaster preparedness. (8,000+ community members trained).
- Vocational trainings in support of livelihoods and small business development (cosmetology, sewing, etc.); distribution of construction toolkits. (700+ community members trained).
- A comprehensive WASH strategy for water, hygiene and solid waste management (Community-led total sanitation)
- A manual on community contracting practices and procedures

This resulted in a series of key achievements, including:

- Strong and capable community organizational structures with skilled community leadership and decision-making capacities.
- Empowered community enterprises participating in the city construction market.
- Increase in economic value of families' capital/assets through betterment of housing stock and facilities.
- Improved livelihoods and job opportunities for community members through the acquisition of sellable skills.
- Improved living, safety and health conditions for inhabitants across the neighbourhood.
- Improved sense of dignity, pride and identity of dwellers with their community.

## MAIN CHALLENGES

- The socio-political situation of the country set limits to livelihoods initiatives and projects. Economic realities continue to limit opportunities for sustainable development of the neighbourhood.
- Funding limitations and cycles hindered a faster implementation of specific projects, resorting to an incremental approach which is limiting scalability and the ability to achieve timely cross community impacts

## PROJECT OUTPUTS & ACHIEVEMENTS

Throughout the duration of the project, a number of key outputs were delivered, including:

- A comprehensive community development plan with prioritized interventions
- Street nomenclature and house identification (numbering)
- Community Infrastructure improvements: improvement of water kiosks; rehabilitation of roads, walkways and footbridges; cleared drainage channels and pedestrian accesses; installation of street lighting and signage; rehabilitation of community health clinic and children's recreational facilities.

## KEY LESSONS LEARNT

- Working with established urban communities takes time and prior investments, as confidence and trust between humanitarian agency and community organizational structures need to be developed. Neighbourhood revitalization is a long-term proposition.
- Highly participatory processes result in better outputs and outcomes, as community embraces and takes ownership of their own decision-making.
- Coordination with local authorities is key in order to validate and empower community and ensure sustainability of interventions that require maintenance and support from line ministries and municipalities.

- Systemic, sustainable change involves not just physical interventions in elements of the built environment, but also support to income generation (livelihoods) and to the process of a community identifying itself and finding their place in the city with an enhanced sense of dignity and inclusion

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## Neighbourhood Approach to Urban Disaster in Ravine Pintade, Haiti



**Urban Centre:** Port-au-Prince, Haiti, the neighbourhood 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 neighbourhood (Katyè 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 neighbourhood 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 Katyè Neighbourhoods Improvement Program. Katyè utilized a “neighbourhood” 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 neighbourhood 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 neighbourhood; 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 Katyè program was to meet the basic humanitarian needs of earthquake-affected, displaced households by providing safe, habitable neighbourhoods and creating conditions for the upgrading of essential services. Earthquake recovery activities under Katyè thus included the following major components: community mobilization; settlement planning and shelter; water, sanitation and hygiene; protection; and health.

#### Community mobilisation

Katyè 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 Katyè 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 Katyè 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 behaviours. Specifically, Katye used community-centred 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 behaviours 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 neighbourhood 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 neighbourhood 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 neighbourhood.

- **Accurately mapping the neighbourhood:** Using enumeration and participatory mapping exercises, residents were able to provide critical information about their neighbourhood 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 neighbourhoods 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, neighbourhood 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 neighbourhood 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.

- **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 neighbourhood 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 neighbourhood 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 neighbourhood-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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**Global Communities:** David Humphries, [dhumphries@globalcommunities.org](mailto:dhumphries@globalcommunities.org)



Neighbourhood approach to urban disaster



## Applying the neighbourhood approach in Port-au-Prince, Haiti



**Urban Centre:** Port-au-Prince, Haiti

**Project timeframe:** 2010 - 2012

**Type of project:** Recovery, rental support cash grants

**Agency submitting the case study:** Extracted from Shelter Projects U.5 / A.10

### SUMMARY

In October 2010, ten months after the Haitian earthquake, a humanitarian organisation began a project to close a small camp of around 200 families. Families were given rental support cash grants to cover the costs of renting accommodation for one year and to support the transition from camps to their new accommodation. The project succeeded in its aims and became a test case for a much wider programme of rental support.

Promoted by a small number of organisations, the rental support approach relied on donors' willingness to take a risk on a project-type with few precedents. By mid-2011, rental support cash grants had become a key part of the return strategy and by November 2012 over 23,000 households had received grants.

Early indications are that rental support cash grants have been successful. A survey of households that have completed their year of rental subsidy found that all of the respondents (90% of the total caseload) had been able to organise their own housing for the foreseeable future. None had returned to camps or moved to informal settlements.

### CONTEXT

The Haiti earthquake of January 2010 caused massive loss of life and damaged or destroyed 180,000 houses.

Responses generally took one of three forms following the distribution of non-food items in the initial emergency phase:

- **T-shelters:** This was the main response by many organisations. Transitional shelters (T-shelters) were built using basic frames which could later be adapted into more permanent structures.
- **Yellow House repair:** Buildings were assessed by engineers and classified as Green (safe), Yellow (to be repaired) or Red (to be demolished).
- **Permanent housing reconstruction:** Rebuilding irreparably damaged houses. The lack of buildable space in densely-populated urban areas and complex issues over land rights meant that the three main responses would only benefit those with land rights or those who owned houses.

Those displaced in camps overwhelmingly did not own either land or housing before the earthquake. Consequently, only a quarter of T-shelters built went to Haitians who were living in camps. Not only did this mean that camp populations were being reduced at a slow rate but it proved almost impossible to close camps completely. If only a small proportion of a camp had a durable solution available for them it wasn't long before the empty plots in the managed camps were taken by others moving in from spontaneous settlements.

Camps were not only bad for the displaced people but they also prevented occupied public spaces from being rehabilitated. In this context some Haitian officials began suggesting that displaced people should be paid to leave camps. These proposals were dropped due to protection concerns as it would be impossible to verify if the families had found a durable solution. However, interest in properly planned rental support cash grants grew and presentations were made to donors to encourage adopting the approach

### PROJECT APPROACH

Rental support was closely combined with the neighbourhood approach to reconstruction. The concept of the neighbourhood approach is that projects such as rubble clearance, rebuilding, water, sanitation and livelihoods programming should be joined together across sectors and that agencies create a coordinated and efficient response supporting families to move from camp to community. As of December 2012, this goal had not been fully realized, but efforts were being made to take a more holistic approach.

This approach minimises the possibility of families "rebounding" back into camps. For example, "rebounding" could be caused by a lack of employment opportunities or extremely poor sanitation standards in the neighbourhoods to which people return.

### THE 16/6 PROGRAM

The 16/6 program, led by the Haitian government, targeted income regeneration in sixteen neighbourhoods coupled with the closure of six camps.

The programme focus on neighbourhoods meant that livelihoods grants were not allocated to families leaving the camps. Instead, a targeted livelihoods program was implemented, aimed at supporting neighbourhood businesses to start-up or expand in order to offer those returning real income generation opportunities. The grants were available to anyone with a business idea and not restricted to those returning from camps.

The 16/6 programme relied heavily on the use of rental support cash grants to offer all families living in camps a realistic housing option

## RENTAL SUPPORT

Rental support projects differed between agencies but largely followed the same pattern:

- Registration: Emphasis on obtaining accurate beneficiary lists through other health or distribution activities, in collaboration with Haitian authorities
- Protection and assistance: Identification of vulnerable families who qualify for additional help
- Beneficiary communication: Facilitation of informed choices by beneficiaries using wide range of multi-media and face-to-face communications
- Choosing a housing option: Either T-Shelter, Yellow-house repair or rental support cash grant
- Choosing a rental property: Family chooses a property (independently assessed for safety) and negotiates the rent
- Cash grant transferred: The year's rental cost of US\$ 500 is transferred directly to the landlord and the family receives the money left over
- Camp closure: Families are given a US\$ 25 cash grant to help in transporting their possessions to their new home
- Surprise visit: Agency awards a US\$ 125 bonus to families continuing to live in their chosen rental accommodation following a surprise visit made a few months later.

In addition to the US\$ 650 grant costs, the relocation of one

household incurred an additional US\$ 350 in programming costs, making a total cost of the return of one household rise to around US\$ 1,000. Programming costs include beneficiary registration, communication of activities and protection activities such as providing two-years rental for vulnerable families.

## PROJECT CONCERNS & SAFEGUARDS

There have been vigorous discussions around the appropriateness of a rental support approach as a durable solution. Some of the key concerns and corresponding safeguards were:

- Cash distributions can act as a pull-factor to camps: Announcements about rental support programs were made publicly only after accurate beneficiary lists were made. Negligible pull-factors were noted.
- Rental properties may not meet minimum standards: All rental properties were assessed for safety and sanitation issues. The emphasis was therefore on moving people out of the much worse conditions in camps.
- Cash grants would inflate rents: Rents were monitored by organisations using the prices agreed between families and landlords. Rents had not risen by the end of 2012.

## LESSONS

- Rental support could have been implemented earlier if it had been considered or picked up by other donors.
- Better links to livelihoods programmes could be made to further support families to continue to cover rental costs themselves in the future.
- The neighbourhood approach offers more chances for better coordination between sectors and organisations as well as between emergency and development actors.
- The approach has been popular with the general public, particularly as it emphasises beneficiaries' rights to actively choose where to live. Haitian politicians have been keen to promote and be involved in rental support programs.

## CONTACT

For more information, refer to the 2011-2012 Shelter Projects U.5 / A.10



## LAMIKA: Applying the integrated neighbourhood approach to disaster recovery and reconstruction in Port-au-Prince



**Urban Centre:** Port-au-Prince (Carrefour Feuilles neighborhood)  
**Project Timeframe:** November 2011 – September 2017

**Type of Project:** Integrated and multi-sectoral neighborhood approach to disaster recovery and reconstruction (basic infrastructure, community mobilization, disaster risk reduction, health and hygiene, housing, livelihoods)

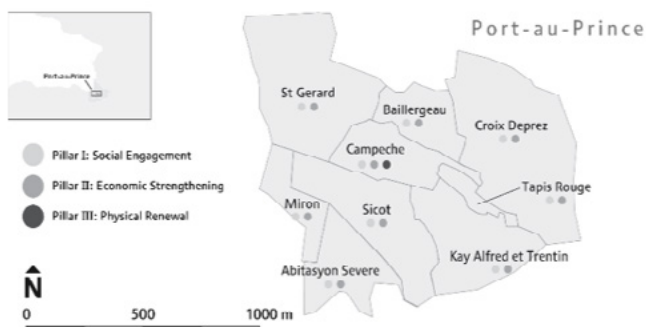
**Project Partners:** American Red Cross, Build Change, Global Communities, Haitian Red Cross, Mercy Corps

**Agency submitting the case study:** American Red Cross

### CONTEXT

The physical, economic and social impacts of the January 2010 earthquake on survivors were overwhelming: loss of housing and assets, long-term displacement, reduced access to labour opportunities and essential services, further environmental degradation, increased prices, and disruption to social norms and networks. Vulnerability to new shocks increased and resilience decreased, as demonstrated by the cholera outbreak in late 2010.

Prior to the earthquake, one out of four Haitians lived in the densely populated capital city of Port-au-Prince, where much of the destruction centred. Damage was especially acute in the neighbourhood of Carrefour Feuilles, a residential area north of downtown Port-au-Prince comprised primarily of one-story single-family homes and other self-built structures and public pathways. Construction standards and land use regulation had not been enforced, resulting in poorly constructed houses built on unstable hillsides in or near steep slopes and ravines, which were the only means for water run-off during the rains. Basic urban services such as clean water, latrines, drainage and waste disposal were either limited or non-existent, contributing to the overall vulnerability to hazards like epidemics, flash flooding and landslides. There was limited and uneven health care provision across Carrefour Feuilles, and market opportunities were limited because of the poor road network and little access to credit.



### PROJECT OVERVIEW

American Red Cross's LAMIKA program (an acronym for "A Better Life in My Neighbourhood" in Creole), provided the residents of Carrefour Feuilles with healthy and secure living spaces, while also enhancing community and household resilience. Community members were the primary drivers of LAMIKA, collaborating with the American Red Cross in the project design process to ensure their most pressing needs were addressed. LAMIKA positioned community members as leaders in their own recovery. This community input guided the design of LAMIKA in three pillars: (i) community mobilization, (ii) economic strengthening and (iii) physical renewal.

An integrated neighbourhood approach recognizes that every social or economic intervention has a spatial component, and likewise, any physical intervention has a social and economic component. LAMIKA was designed so that activities across sectors would complement one another for comprehensive and cost-effective programming, which also ensured long-term sustainability that can only be achieved with a holistic approach and robust local participation. This approach not only integrates programming across sectors, but at different scales from the individual to the household up through the municipal and national level. LAMIKA was closely aligned with the Government of Haiti's strategy for reconstruction, which prioritized returning displaced residents to their neighbourhoods. The program created positive incentives for return by renewing neighbourhoods, addressing infrastructure needs and establishing spaces for community participation and decision making. Since the Haitian Red Cross (HRC) was a key partner in LAMIKA, the neighbourhood recovery interventions were designed to link to the organizational mandate and community services of HRC.

LAMIKA also incorporated key cross-cutting themes into the design and implementation of all three pillars. These included youth engagement, women's empowerment, risk reduction and environmental preservation. In addition, LAMIKA's reliance on community feedback continued during program implementation through a robust Community Engagement and Accountability system.

The LAMIKA three-pillar design is as follows:

#### Pillar 1: Community Mobilization – American Red Cross

**Objective:** To enhance the knowledge, attitudes, practices and social engagement of the community and the capacity of service providers.

##### Planned Outcomes:

- Strengthened referral networks/service providers that support community health/WatSan interventions.
- Increased capacity of the target communities to respond to the health risks resulting from emergencies.
- Improved positive behaviour change in target population through community-based health, disaster risk management and environmental interventions.
- Increased health and safety measures against multi-hazards in schools through awareness-building and training activities in a wide variety of areas.

#### Pillar 2: Economic Strengthening – Mercy Corps, funded by American Red Cross

**Objective:** To enhance local markets and household economy, providing opportunities for income and asset security.

##### Planned Outcomes:

- Increased and diversified sources of livelihoods through viable (demand-driven) income-generation activities.
- Enhanced income-generating opportunities through vocational or business skills development.
- Improved access to markets through creation of linkages between buyers and sellers in target communities.
- Increased access to micro-finance and grants to encourage local entrepreneurs, micro- and small-sized business development.

#### Pillar 3: Physical Renewal – Global Communities and Build Change, funded by American Red Cross

**Objective:** To improve access and use of appropriate land, housing, services and infrastructure.

##### Planned Outcomes:

- Increased number of public buildings and associated water and sanitation facilities to applicable standards in the intervention area.
- Increased number of structurally sound houses and water and sanitation facilities to applicable standards.
- Improved community infrastructure such as roads, walkways and public spaces.



Gary Calixte/American Red Cross

## PROJECT OUTPUTS AND ACHIEVEMENTS

### Community Mobilization

- Taught disaster preparedness and health and hygiene practices to more than 5,000 students in 17 schools to prevent the spread of diseases like cholera.
- Provided disease-prevention education in the area along with distributing more than 18,000 mosquito nets door-to-door to help combat malaria, dengue, chikungunya and Zika, and nearly 500,000 condoms to fight the spread of HIV and other sexually transmitted diseases.
- Created eight Community Intervention Teams trained in first aid and light search and rescue and equipped with disaster response supplies such as bullhorns, shovels and first aid kits.
- Worked to reduce the incidence and mitigate the consequences of gender-based violence.

### Economic Strengthening

- More than 450 Haitian small businesses and entrepreneurs received training on business planning, negotiation, marketing, accounting and more, helping the neighbourhood's existing businesses and aspiring entrepreneurs.
- Improved access to credit for households and local businesses.
- Encouraged new business creation by supporting the formation of village savings and loans associations to teach residents how to save, and to facilitate member-financed loans. Sixty-seven associations were formed and accrued more than \$100,000 USD in savings.
- Created more than 1,900 short-term construction jobs.
- More than 200 youth completed vocational training programs and internships, helping them develop relevant skills to find jobs and start small businesses that benefit their families and communities.

### Physical Renewal

- Upgraded infrastructure and implemented large-scale construction works, including ravine clearing to mitigate flooding; road and pedestrian walkway improvements; the construction of public spaces to promote social cohesion.
- Repaired and expanded (retrofitted) homes. More than 500 families benefitted from safer homes that can better withstand future disasters.
- In coordination with the government, relocated camp dwellers and ravine dwellers to safe housing.
- Addressed land tenure issues via a community verification approach, negotiation and agreements with owners.
- Two health clinics and six schools that serve more than 2,000 students were reconstructed or repaired.
- Designed and installed over 300 solar-powered street lights; preventing crime and extend the hours during which residents can travel and conduct business in the neighbourhood.
- Constructed a neighbourhood water system including a borehole, six water kiosks and more than 2,000 meters of water lines, serving more than 5,000 residents.
- Trained more than 250 residents and builders in safe construction methods

## LESSONS LEARNT

- **Participatory Planning.** Participatory planning is a practical and critical tool for urban programs, and the foundation for an integrated neighbourhood approach. In the program start-up phase, quick workshops should be conducted to jumpstart implementation. Then, more in depth planning with the participation of diverse members of the community and key stakeholders should be done at a later stage, and the program adjusted accordingly. Implementers should ask questions around the broader issues about property, influencing land tenure, community representation and ownership of the final product once the program ends.
- **Local Authorities as a Key Partner.** Local authority engagement is as important as community engagement. Local authorities can be positive and influential actors in the community. The reverse is also true; if local authorities are not appropriately consulted and informed, lack of engagement could limit the program's success.
- **Local Institutional Capacity.** Strengthening local institutional capacity, creating a sense of ownership among key stakeholders and receiving commitment to continue the key project activities are critical to ensuring the sustainability of urban programs. LAMIKA put special emphasis on reinforcing the capacity of HRC as an auxiliary to the Haitian government. HRC provides critical health and disaster response/preparedness services to communities. Reinforcing their capacity to effectively respond to health crises and natural disasters makes national systems more accountable to communities and improves program sustainability. In addition, including the beneficiary population as HRC volunteers increases their involvement in program progress, and particularly provides youth a means to be more active participants.
- **Social Mobilization – Timing.** The social mobilization component of an integrated neighbourhood program is the initial entry point into the community, but should not be implemented too far in advance of any economic strengthening or physical infrastructure programming or else the community may become disenfranchised. Small community action projects should be implemented early in the program to ensure smooth community relations and tangible linkages between all pillars.
- **Iterative Timelines:** Integrated program timelines are driven by complex operating environments. When setting project timelines, iterative timelines should be created that factor in project expectations versus real time completion, setting up concurrent planning and implementation processes, adaptive management solutions at the field and headquarters levels, and space for review and reflection.
- **A Narrow or Wide Scale?** Program geographic scale should be chosen carefully to ensure program success. Wide beneficiary reach may not mean better programming. While a broad scale may impact more people, it may also require additional transportation ,resources and support, which requires more time and money, all of which can impact timeline, quality and sustainability.
- **Transition and Sustainability Planning.** To promote sustainability, a program needs to be transitioned strategically and collaboratively. All key stakeholders in the intervention area should be leveraged to create exit plans, hold groups accountable or responsible for an activity and build the capacity of any local partners to assume project activities once the program ends.

## The Neighbourhoods Approach to 'build back better' in Christ Roi, Haiti

### CONTEXT

The earthquake in January 2010 destroyed a large part of the metropolitan area of Port-au-Prince, crushing not only homes (over one million homeless) but also public infrastructure and buildings. After a first emergency phase to relieve the victims and to clear the streets from the rubbles, an intense reconstruction phase began. The density of the conurbation, the complexity of the dynamics involved and the precariousness of many neighbourhoods led to a certain wake-up call: reconstruction had to be made in the framework of the urban complexity and therefore through an integrated approach for which the neighbourhood scale was chosen.

Christ-Roi is a neighbourhood at the heart of Port-au-Prince facing numerous challenges. Some of them are direct consequences of the earthquake (destruction of houses and buildings), while others are due to failing infrastructures (road network, drainage, instability of the ravine...) which were exacerbated by the disaster. The population is exposed to major environmental risks, such as flooding and landslides, especially in the vicinity of the ravine. Sanitary conditions and access to drinking water are precarious at both household and neighbourhood levels (public drainage, waste collection).

The PARAQ (Neighbourhood Reconstruction and Development Support Programme) fund of the European Union was launched two years after the earthquake, when half a million persons still lived in over 800 camps in and around Port-au-Prince. The PARAQ placed urban planning and development at the heart of reconstruction programmes and, by doing this, launched a discussion on urbanisation with Haitian institutions. SOLIDARITÉS INTERNATIONALE was one of the operators of this large programme, and implemented its project in Christ-Roi between 2013 and 2017.

**Urban Centre:** Neighbourhood of Christ-Roi in Port-au-Prince, Haiti  
**Project timeframe:** PARAQ programme: January 2013 – August 2017 (56 months)

**Type of project:** Neighbourhood-based approach (post-disaster) integrating mainly: WaSH, livelihoods, shelter, community & authorities participation

**Project partners:** SOLIDARITÉS INTERNATIONALE, Entrepreneurs du Monde, GRET, Build Change and Fondation Architectes de l'Urgence.

**Coordination framework:** Local authorities: Port-au-Prince City Council, Ministry of Public Works, Transport and Communication (MTPTC), Direction Nationale de l'Eau et de l'Assainissement (DINEPA)

**Agency submitting the case study:** SOLIDARITÉS INTERNATIONALE (SI)

### PROJECT OVERVIEW

- Before PARAQ: SOLIDARITÉS INTERNATIONALE had already worked in Christ-Roi during the relief phase. In 2012, it conducted a profiling exercise with the community to develop strategic axes of intervention.
- The PARAQ programme: This preliminary work laid the groundwork for the PARAQ project implemented by Project Timeframe: 3 year programme, September 2015–August SOLIDARITÉS INTERNATIONALE in Christ-Roi. The project
- SI worked with four other international organisations: Entrepreneurs du Monde, GRET, Build Change and Fondation Architectes de l'Urgence (FAU). They adopted an integrated approach to cover the different needs of the district. The activities were structured around five components: institutional implication, urban planning and infrastructures, housing, sanitation and economic development.



Christ Roi boundary Map



Ravine Nicolas before the works

## STEP 1

**(before PARAQ): Neighbourhood study to identify strategic development axes:** SI and FAU teams conducted an urban study between August and November 2012. This was done through a series of community mapping workshops and surveys. It aimed at providing a thorough diagnosis of the functioning and organisation of the neighbourhood as well as development strategies.

## STEP 2

**Participatory development plan at operational level:** At the beginning of PARAQ, over 110 inhabitants from all backgrounds took part in 30 workshops to draw the details of the development plan. Each workshop had a different theme linked to the urban issues identified during the diagnosis phase (step 1). Haitian institutions, involved from the outset, provided technical and political support to the entire process. The participants proposed a consensual urban intervention strategy and action plan. All the implicated institutions participated in the final workshop with the population, during which they decided upon the priority projects to be implemented.

## STEP 3

**Presentation of the development axes to the institution:**

The results of the development plan and its axes and priority projects were presented in September 2013 to the technical committee headed by the Inter-ministerial Committee for Territorial Planning (CIAT) composed of the authorities responsible for spatial planning and development. The plan was approved by this technical committee.

## STEP 4

**Concertation with institutions:** All technical studies and assessments were jointly analysed with institutions, especially the Ministry of Public Works, Transport and Communications (MTPTC), Port-au-Prince City Council and the National Direction of Drinking Water and Sanitation (DINEPA). Each of the different stages of urban and operational planning were discussed, amended and validated by these institutions in charge.

## STEP 5

**Implementation:** The scheduled activities were implemented.

## PROJECT OUTPUTS

- 1 development plan and 1 sanitation plan to frame future interventions in the neighbourhood, based on a community consultation process, in collaboration with public authorities;
- 514 linear meters of improvement works on the ravine, construction of a multi-sports field;
- 60 reconstructed or upgraded housing units;
- 54 builders certified by Build Change;

- Over 500 residents made aware of seismic construction techniques;
- 218 households connected to 11 sanitation systems;
- Support to over 150 small traders

## KEY ACHIEVEMENTS

- **Coherent urban reconstruction project:** the project had a real leverage effect on the area, thanks to the participatory development plan built with the population and validated by institutional actors. It was also decided to avoid a scattering of infrastructure activities throughout the neighbourhood; instead, the project focused on “compound” projects, responding simultaneously to several development issues, and possibly playing a “triggering” role. For example, the intervention on Ravine Nicolas was linked to the sanitation and housing sets of activities: the houses that were reconstructed were located along the ravine and could technically benefit from sanitation systems.
- **Community participation has produced realistic and relevant information** reflecting the functioning and organisation of the neighbourhood. The community reflection that led to the urban study in 2012 and the development plan in 2013 made it possible to analyse the functioning of the neighbourhood in its various aspects (physical, geographical, economic, political and social) on the basis of the reflections produced by the inhabitants of the district. It thus gave the latter an “urban expertise” role.
- **Solid and well-thought community approach at the heart of the project:** The teams reflected upon the best way to work with the community well before starting the activities. The community approach implemented in the project was not only a mean, but a full-fledged component of activities. Roles and responsibilities between the different project teams were well defined. All communication between the project teams and inhabitants had to go through or be validated by a team dedicated to the community approach, made up of several community mobilisers. This transversal position gave it a certain independence and legitimacy to take and direct decisions that were discussed during coordination meetings.
- **Opening the consultation process to all the inhabitants of the neighbourhood:** SI teams invited all residents in the neighbourhood to participate in the workshops for the elaboration of the development plan. The idea was to avoid falling into a dynamic where discussions and decisions made for the neighbourhood would be concentrated in the hands of a small group of leaders confined to a community platform.
- **The respect of institutions’ roles and responsibilities:** for infrastructure works, the MTPTC was designated as the contracting authority and SI as delegated project manager. Memoranda of Understanding were signed between SI and the MTPTC, or SI and the City Council; these protocols made it possible to integrate the project into the legal processes of neighbourhood reconstruction.

## MAIN CHALLENGES

- Importance of land issues: SI mitigated Housing, Land and Properties risks (absence of cadaster, illegal occupation of land, lack of clear guidelines from municipal or national authorities...) by working tightly with the City Council for it to deal with the land owners directly and to obtain construction permits.
- High level of dependence on individualities to ensure continuity of engagement with government: The issue of people and their goodwill can play a role in institutional relations and good dialogues. The sustained involvement of the City Council in the first years of the project was probably due to the motivation and professionalism of its technicians, especially its managers.
- Focusing the intervention on a few big “strategic”/impactful projects may raise some frustrations from inhabitants in areas that do not benefit from these projects at all.

## KEY LESSONS LEARNT

- A way to bring together the urban development approach and the humanitarian approach, which are two different mechanisms, must be found. This implies for NGOs to adjust their intervention to the appropriate scale (neighbourhood, specific area, etc.) and to be able to integrate the different sectors, actors and temporalities.
- In order for an urban development project to make sense, it is necessary to prioritise and privilege the common interest over the private or individual interests, structuring activities, large-scale projects that can infuse development. The scattering of activities will not be enough to give an area a development boost.
- It is important to have a good knowledge of the prerogatives of public authorities (“mapping” of

processes). Authorisation procedures can be unclear and administrative issues may be new to them, which can significantly slow down the handling of cases.

- The roles and responsibilities of each party during major works must be formalised. In the case of the project, the Memoranda of Understanding that were signed reaffirmed the role of the State while bringing it to face its responsibilities.
- A way must be found to establish an official dialogue with the community, whatever form it takes. Context plays an essential role and needs to be studied with the help of social engineering experts (national and international) to reflect on the community approach and decide on the role and legitimacy of a committee (compared with existing local governance).
- The triangular relationship between NGOs, the community and institutions set up within the framework of the project was a ticket for success. Formerly almost, if not totally absent from the neighbourhoods with a very dense informal fabric, the City Council and the MTPTC resumed their functions and ensured a continuous presence in Christ Roi during the project. Links were created between institutional representatives and residents. SI placed itself at the heart of this relationship, and played a key role in their rapprochement by linking institutional aspirations and directives with community needs and wishes.
- The management and maintenance of the public spaces created must be considered and anticipated, whether they are managed by the community or by public authorities.

## CONTACT

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Construction and reinforcements with wooden framing



## Barrio Mio: Using the Neighbourhoods 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 private 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 **Neighbourhoods 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 neighbourhoods. 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 Neighbourhoods 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 neighbourhoods 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 Neighbourhoods 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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## Community-Led Urban Infrastructure Programme in Afghanistan



**Urban Centre:** Kabul, Mazar-e-Sharif, Kandahar, Herat and Jalalabad

**Project Timeframe:** April 2015 – March 2016

**Type of project:** Community-based settlement upgrading project

**Coordination framework:** Independent Directorate of Local Governance (IDLG) / Deputy Ministry of Municipalities (DMM), Ministry of Urban Development and Housing (MUDH), Ministry of Martyrs & Disabled & Public Affairs and Labour (MoLSAMD) and local municipalities

**Agency submitting the case study:** UN-Habitat

### CONTEXT

In Afghanistan, urban poverty and social exclusion are on the rise and half of the Afghan population is expected to be living in cities by 2050. To be able to make cities functioning and capable of managing such expected rapid urban growth, strengthening institutional capacity of municipal governance is essential. UN-Habitat's long-term engagement in Afghanistan has given it a unique and strong relationship with communities and government and following successful experiences in other people-centred projects, the Community-led Urban Infrastructure Programme (CLUIP) was implemented with a focus on addressing the urgent needs of the urban communities with large numbers of Internal Displaced Persons (IDPs) and other vulnerable households with very low incomes. To avoid neglecting the needs of host communities and newcomers and to support communities with priorities as identified by them, the programme used an area-based and participatory approach called the People's Process.

### PROJECT OUTPUTS & OUTCOMES

- Over 350,000 people in 145 communities including returnees, demobilized combatants, IDPs and low-income households were mobilized and benefitted from the programme
- 145 male CDCs, 135 female CDCs, and 29 mixed-gender Gozar Assemblies were established through participatory, democratic and inclusive elections in provinces
- 146 sub-projects successfully completed including 295 km of roads, 302 km of drainage, and 9 km of canals.
- 25 female-specific projects implemented
- 318,860 labour/days created by CLUIP sub-projects, 156 staff hired under skills development in target settlements and 1,712 participants in vocational trainings.

### KEY ACHIEVEMENTS

- Increased community solidarity and local governance in target CDCs
- Increased solidarity and sustainable peace in clusters of Community Development Councils (mixed-gender Gozar Assemblies)

- Target urban communities have increased skills and opportunities through vocational training programs, local job creation from CLUIP programme and improved inter-city solidarity

### MAIN CHALLENGES

- The challenging **security and political situation** has affected both the time plan and the implementation of the project during the whole programme period. It has additionally affected the possibilities to conduct trainings, supervision, monitoring and evaluation in some provinces.
- Many communities have a **lack of trust in the future** which affects the mobilisation process and amount of community contribution.
- **Topographic constraints** such as steep slopes with more than 25% leaning affect the concrete phase and special measurements were taken. There was also a **lack of capacity** in existing connecting drainage network; water, telephone or power lines on sites which challenged the completion of the infrastructure sub-projects.
- **Cultural barriers and security constraints** were faced by women which in some cases influenced the possibilities of the progress of work and decision-making process.

### KEY LESSONS LEARNT

- It is important to take actions in **parallel sequence**. Mobilizing communities to highlight their problems and clearing the community contribution in the initial stage of mobilization enabled engineers to start the technical survey early in the process and take a leading role in the project design based on the communities' sub-project proposals.
- **National-staff-led approach** rather than an 'international-dominated' approach ensures that programme implementation can proceed even in the face of challenging security contexts. It also means programme implementation is cost effective and the funds are used to build local capacities and skills for the long-term transformation of the country.

## KEY LESSONS LEARNT (Continued)

- There is a need for more formalised **dispute/complaint resolution mechanisms** to ensure effective communication of issues faced locally.
- The interest of stakeholders for sub-projects tends to be on **physical construction works** which are normally male-dominated. In the mixed gender exchange visits, **female social organisers and a higher representation of women** among the staff was successful to support female CDCs and sub-projects.
- The programme has shown to **strengthen the relationship between the communities and the government** through the creation of jobs and provision of vocational training that led to more initiatives.

### STEP 1

**Community Identification and Awareness building:** Identification of communities and clusters of families within those communities, together with awareness raising on the concept of CDCs. At the same time UN-Habitat works with Municipal and Municipal District level officials and MAB members so that they become partners in the process.

### STEP 2

**Establishment of CDCs and GAs:** CDCs members are elected and where possible mixed gender CDCs formed. The CDC is then registered with the municipality. Initial meetings are held to discuss communities' problems and resources. Gozar Assemblies will be formed from representatives of male and female members of CDCs to address common problems that are faced by a number of CDCs. A sub-committee consisting of only female members is established to implement female project at GA-level.

### STEP 3

**Preparation of the Community Action Plan (CAP):** The CDCs, GAs and Gozar Female sub-committees then develop Community Action Plans at Community and Gozar level which identify activities which can be done by the community members themselves and activities for which they need UN-Habitat's support.

### STEP 4

**Preparation of Project Proposals:** Detailed physical as well as socio-economic surveys are carried out for infrastructure projects and for community identified social, health or economic development proposals. The proposals are budgeted and then endorsed by the CDCs and GAs. Community contracts are then prepared. Wherever possible, community members will be employed for the implementation of infrastructure projects.

### STEP 5

**Implementation of the Project by the Community Members:** The agreed projects are then implemented either directly by the community members or through contractors which they hire with technical support provided by UN-Habitat. The implementation process, including physical and financial progress is monitored by UN-Habitat. Once the project is completed a joint evaluation by community members is undertaken, the findings of which are discussed by the CDCs and GAs to share the lessons learned.



## CONTACT

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## Typhoon Haiyan Recovery Program in Tacloban City



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

**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)

### 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

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 centre, a learning centre, 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:

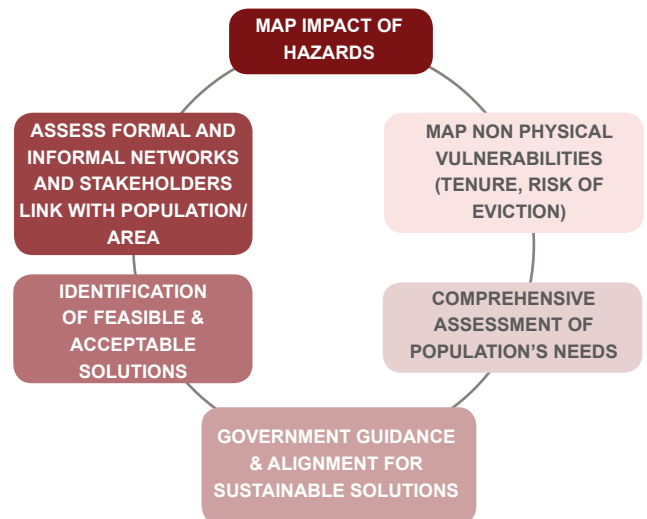
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## MAIN CHALLENGES AND SHORTCOMINGS:

**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.



## 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



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

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

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

**Project partners:** Feinstein International Centre at TUFTS University, Department of Political Science at North-eastern University, Boston Consortium on Arab Region Studies (BCARS)

### 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 everyday 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 neighbourhood 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?

### 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 analyse 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, paediatrics, 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.



### 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 centre for the refugees.** The centre 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 centre brings together all the national institutions and non-governmental organizations working in refugee assistance.** The DGMM recently opened a branch in the 5th floor of the centre, 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 centre 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.

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