

# **NRC Lebanon Shelter and Settlements Transition Strategy 2020 and beyond**

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## Executive Summary

### Adopting an Area-based Approach (ABA)

- The needs of Syrian refugees particularly those in urban settings are complicated and interrelated and require an integrated approach to maximise the potential for interventions to more comprehensively and sustainably address these needs.
- Humanitarian donor funding has significantly decreased in recent years. To yield as much value as possible from interventions it is necessary to adopt an integrated approach such that vital cross-linkages between sectorial programming and between agencies interventions are not lost.
- Social tensions are rising whether because of increased competition over jobs, the length of displacement, or the rise in political rhetoric and as such it is necessary to more carefully consider approaches which support both vulnerable members of the Lebanese host community and Syrian refugees.
- Over 80% of Syrian refugees in Lebanon live in urban or peri-urban settings<sup>1</sup>. Area-based approaches have been proven to be highly appropriate for adoption in urban contexts. “Urban crises require a greater understanding of urban systems, collaboration with local government, and interventions across multiple sectors and scales”<sup>2</sup>, and this is offered by the adoption of an area-based approach.
- Primarily for these reasons, it is recommended that NRC Lebanon adopts an area-based approach (ABA). ABA are inherently integrated. This starts with a spatial analysis and considers needs of people more comprehensively living within a defined area.
- This does not mean that NRC needs to directly programme in the selected area of intervention in all the sectors that NRC currently works in. It does mean that NRC needs to undertake joint assessment, response option analysis and define common objectives. Integrated programming can and should be undertaken through partnerships, complimentary programming and referral.
- This also does not mean the end of stand-alone sectorial programming, which does have a place. However, for urban and peri-urban settings it is recommended that wherever possible an ABA is adopted.
- A key output of adopting an ABA would be a spatial plan for interventions proposed for the area selected. This could be similar to a master planning document. NRC should look to develop the in-house capacity to be able to significantly contribute and where necessary lead the process that would produce such a fully consulted and implementable spatial plan.
- Where appropriate, an institutional approach component (strengthening key institutions that have significant impact on the lives of refugees) should be adopted,

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<sup>1</sup> Humanitarian Shelter and Settlements Guidelines, Thematic Policy Document No. 9 Brussels: ECHO, 2017, referred to within Sanderson, David, 2019 Good Practice Review 12: Urban Humanitarian Response, Humanitarian Policy Group, Overseas Development Institute, available from: [https://odihpn.org/wp-content/uploads/2019/03/GPR-12-2019-001-244-web4\\_FINAL.pdf](https://odihpn.org/wp-content/uploads/2019/03/GPR-12-2019-001-244-web4_FINAL.pdf) [accessed September 2019], p172

<sup>2</sup> Global Shelter Cluster - Urban Settlements Working Group, Area-Based Approaches In Urban Settings: Compendium of Case Studies, May 2019. Available from: [https://www.sheltercluster.org/sites/default/files/docs/201905022\\_executive\\_summary\\_high\\_res.pdf](https://www.sheltercluster.org/sites/default/files/docs/201905022_executive_summary_high_res.pdf) [Accessed 29 July 2019], page 10.

but framed within the ABA. This can include institutional strengthening of the municipality whose jurisdiction a selected area falls within.

- Where an area has been identified for intervention ideally UN-HABITAT should be partnered with to support the setup of a Regional Technical Office, RTO<sup>3</sup> where funding can be found. However, should this not be possible, funding of a Technical Officer at the municipality level should be considered. The Technical Officer could be similar to a municipal support assistant (MSA) but have a technical background in architecture or urban planning to allow them to support the municipality in the technical coordination and inputs to assessment, profiling, response option analysis and implementation.
- Where appropriate, a systems approach component should be considered as part of the initial context analysis. For example, where housing vulnerability has been highlighted from neighbourhood profiling and access to the lower-end of the rental sector is being highlighted as a barrier for female headed households, then a rapid rental market mapping should be undertaken to analyse the rental market ecosystem and inform response option analysis.
- It is recommended that to have more sustained impact that all sectorial interventions are considered in the framework of promoting resilience at both a household and community level. To better define resilience the 6 capitals of resilience should be considered which relate to human, political, natural, social, physical and financial. This may be considered more developmental than humanitarian and require a mindset shift in NRC.
- It must be recognised that return may ultimately not occur for large numbers of Syrian refugees and NRC should adopt a resilience model early, which would benefit the host community, refugees that may ultimately remain and those that return. Care must be taken to not promote integration as required by Government of Lebanon.
- The restrictions on livelihoods for Syrian refugees severely impacts the sustainability of interventions when undertaken at the household level. Nevertheless, household level interventions, such as the occupancy free of charge modality are still very important and valued by beneficiaries.
- Programming at a community level particularly in relation to infrastructure may offer the opportunity to have a more sustained impact.
- It is recommended that the MENA Regional Office Livelihoods Advisor is asked to undertake an economic inclusion and livelihoods integration feasibility study to support integrating household economy considerations and livelihood referrals into all programming targeted at the household level. As part of this study it is recommended that the feasibility and way forward for adopting market-supporting and market based approaches throughout NRC Lebanon programming is also included.
- NRC and other agencies may struggle to adopt an ABA if adopted alone, it is necessary that other agencies and the coordination structures in Lebanon adopt this more broadly, and there are some preliminary signs that many agencies and the Inter-Agency Coordination structures are considering this. Working in partnership and

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<sup>3</sup> Regional Technical Office which sits at the Union level, and supports with assessments, designs, and coordination related to community infrastructure. RTOs are discussed in several areas of this study, and have been adopted by several Unions with UN-HABITAT support initially and then funded by municipalities directly once their value is understood. The RTO may be composed of an urban planner or architect, surveyor, and GIS expert.

sharing responsibility between stakeholders in the urban environment is at the core of ABA.

- Advocacy with donors is required to help them understand the benefits of ABA and that a longer funding window may be required to adequately undertake the profiling, context analysis and response option analysis, and to form functional partnerships. In particular, the results matrix of a programme can only be fully defined at the output level once the context analysis, profiling and response option analysis has been undertaken.
- This transition strategy recommending the adoption of ABA, is fully consistent and informed by Global Compact for Refugees<sup>4</sup> & Comprehensive Refugee Response Framework<sup>5</sup> (CRRF), both of which the Government of Lebanon has supported at the UN. This is particularly related to taking a “Whole of society approach”, and strengthening host country’s institutions.
- Steps to adopt an ABA and a preliminary internal NRC road map are given in this study.

#### **Shelter & Settlement Specific Recommendations**

- The Occupancy Free of Charge (OFC) modality which supports landlords to create or upgrade shelters to minimum standards in return for a rent free period for Syrian refugees still has a role to play in addressing areas of vulnerability related to housing (as identified from ABA neighbourhood profiling for example).
- However, NRC Lebanon Shelter and Settlements Core Competency should expand its menu of support options outside of the OFC modality.
- Questions related to the sustainability of the OFC modality are relevant, however, it is believed that a large proportion of the shelter units supported by NRC previously remain in use even if not by the initial Syrian refugee target family (after the OFC period has ended). The OFC modality impact appears to be sustained at the neighbourhood economy level (development programming related), and partially at the household level (humanitarian programming related). This is based on a review of data from a survey of 293 landlords in 2018 where the OFC period had ended.
- It is strongly recommended that a household economy assessment is undertaken to understand how households can be supported to reduce expenditure and explore coping mechanisms for when the OFC period ends, with coaching from NRC social assistants.
- It is also recommended that the impact of OFC is appraised in relation to the neighbourhood economy and that this is used to understand if further changes can be made to make the modality more supportive of markets.
- There are a range of recommendations related to the OFC modality to increase resilience of the target beneficiary household included in this study.

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<sup>4</sup> UNHCR, Global Compact for Refugees, December 2018, available from: <https://www.unhcr.org/the-global-compact-on-refugees.html> [accessed 26 July 2019]

<sup>5</sup> UNHCR, Comprehensive Refugee Response Framework, no date, available from: <https://www.unhcr.org/comprehensive-refugee-response-framework-crrf.html> [accessed 26 July 2019]

## Flexible Area-based Approach

### Step 1: Selecting the Neighbourhood

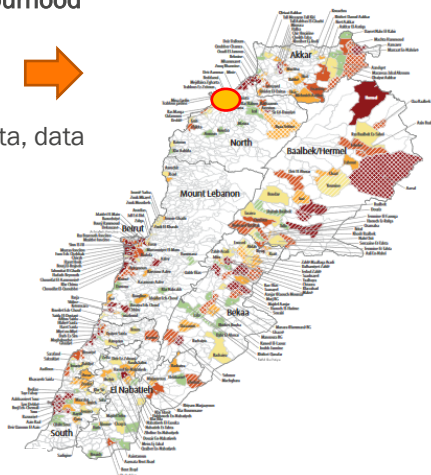
Mapping of NRCs Capacity Geographically

NRC assessments, referral data, data from past activities

NRC community focal point information



Consultation with:  
Short listed municipalities  
Humanitarian agencies, national and regional authorities, CBOs  
Etc.



251 Most Vulnerable Localities

112 UNDP MMR Municipal Action Plans

31 Neighbourhood Profiles

RTO (Regional Technical Office) presence

Social Tension Mapping

Vulnerability Assessment of Syrian Refugees (VASyR 201x)

Sector working group mapping (including mapping of plans of agencies and existing presences, activities, needs and gaps)

Leadership of the following steps to be agreed with municipality, but could be a lead NGO such as NRC, if municipality can not be capacitated to undertake this through a Regional Technical Office (RTO) for example. The role and nature of a RTO is described on page ii of this executive summary.

### Step 2: Context Analysis and Needs Analysis



Review, validate, update existing neighbourhood profiling  
Or if none undertake neighbourhood e-profiling



Stakeholder mapping & 4W mapping (with Humanitarian Agencies, CBOs, Private Sector).

Sectorial Assessments

Approach Risk Analysis (e.g. political, social etc.)

Community Participatory Assessment Methodologies (CIP or PASSA)

#### *Institutional Approach*

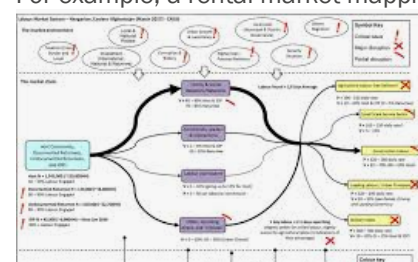
Involve Regional Technical Office (RTO) where available, or ask donors to fund/partner with UN-Habitat to establish RTO.

Or where not possible support municipality with a Technical Officer. Technical Officer would be similar to Municipal Support Assistant (MSA) but with urban planning or architecture background

#### *Systems Approach*

Some problems such as housing vulnerabilities and the lower-end rental market might require a systems approach.

For example, a rental market mapping

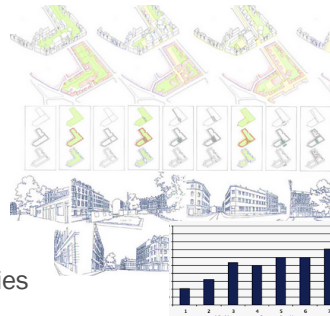
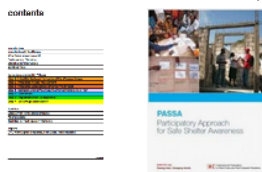


### Step 3: Response Option Analysis

Consultation with key stakeholders



Prioritise participatory community response optioneering methodologies (CIP manual, PASSA etc.)



Feasibility study (sectorial or multi-sectorial)

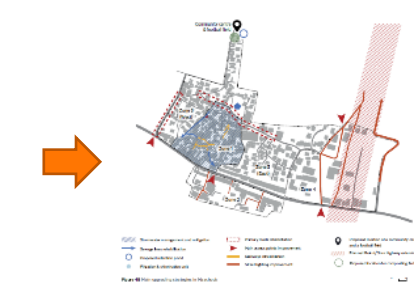
Prioritising (including using MMR Municipal Action Plan efforts of UNDP & MOSA)

### Step 4: Develop Detailed Neighbourhood Plan

Municipality, Humanitarian Agencies, CBOs agree roles, responsibilities, areas of work

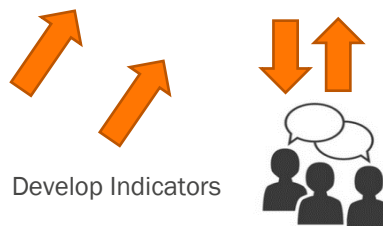


Programme of Works/Interventions Developed



Detailed plans at many levels:

- Housing
- Access & mobility
- Drainage
- Water
- Sewerage
- Energy
- School Infrastructure
- Protection (incl. Lighting)
- Youth Services
- Etc.



Develop Indicators

Consultation and Endorsement of final plan

Approvals (may require national, regional, local level approvals).

### Step 5: Implementation & Monitoring



Programme of Works/Interventions Implemented



Ideally municipality (potentially with RTO or Technical Officer) coordinating and monitoring

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# 1 Introduction

## 1.1 Objective

This study aims to present a new pragmatic programmatic approach to the NRC Shelter & Settlements programme in Lebanon, with the aim of supporting refugees' self-reliance, and building the capacity of local Government (Municipalities), using area-based, integrated programming approaches for a more sustainable impact.<sup>6</sup>

The terms of reference for this study focuses on Shelter and Settlements, however as described within this document it is recommended an area-based approach (ABA) be adopted. Area-based approaches necessitate integrated programming, but integrated programming is also required regardless of adopting ABA to maximise and sustain the benefit of interventions. This report therefore has relevance to those working outside of Shelter and Settlements.

## 1.2 Basis

This study builds upon the work undertaken by the NRC Lebanon Shelter Core Competency (CC) over the last 2 years, literature review and visit to Lebanon CO between 15<sup>th</sup> and 25<sup>th</sup> July and 5<sup>th</sup> and 13<sup>th</sup> September 2019 by David Dalgado, NRC Global Roving Shelter Specialist. Methodology including a list of those interviewed and bibliography is presented in Annex G.

Interviews were undertaken with:

- 11 municipalities (mayor or deputy mayor) in the North, South and Bekaa
- 1 Social Development Centre (senior officers)
- Lebanon Shelter Sector Working Group Coordinators (UNHCR/UNHABITAT/MoSA)
- Other Sector Working Group Coordinators
- Humanitarian Agencies (including Save the Children, Habitat for Humanity, UN-HABITAT)
- Civil Society Actors / Academic Institutions such as - ESA Business School, Center for Research, Studies and Documentation (CRED), Cites Unies Libanese / Bureau Techniques des Villes Libanaises
- 1 Donor (KFW)
- Internally with a range of NRC Lebanon staff, NRC Jordan staff, NRC MENA regional office staff, and Global NRC staff.
- A limited number of household interviews

Note that some interviews were undertaken by NRC Shelter and Settlement staff directly without David Dalgado but using agreed questions.

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<sup>6</sup> NRC Lebanon Country Office, 19 April 2019, Terms of Reference: Future & Transition of NRC's Shelter (Housing) Programming in Lebanon 2019-2020 (And Beyond).

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## 2 The problem

### 2.1 Summary of problem necessitating this study

- The needs of Syrian refugees particularly those in urban settings are complicated and inter-related. For example:
  - shelter location and livelihood opportunities are closely related
  - access to schooling may be dependent on shelter location or access to livelihood opportunities to pay school transport costs
  - access to water, sanitation and solid waste collection may be dependent on the connections to the shelter while dependent on and affecting the adequacy and location of the shelter.
- After 8 years, coping mechanisms of Syrian refugees are severely strained. Although there have previously been significant limitations imposed by the Government of Lebanon on access to livelihoods by Syrian refugees, these has been tightened considerably in the last several months.
- Social tension between Syrian refugees and the Lebanese host community is rising especially with the downturn in the Lebanon economy.
- Some humanitarian agencies in Syria have been working with primarily humanitarian short-term approaches in what is a protracted crisis and the impact of these interventions can be difficult to sustain.
- The NRC Occupancy Free-of-Charge (OFC) Impact Evaluation 2018<sup>7</sup>, indicated that although the OFC rent free period brought significant benefits to beneficiary households, the benefits to the household other than the social capital developed were not sustained beyond the first few months after rent-free period finished, primarily because households could not afford the rent. This is primarily linked to the household's ability to generate income to pay the rent. Sustainability of the intervention and the definition of sustainability is discussed in section 2.4 Sustainability.

### 2.2 Key contextual considerations

- At August 2019, the current political dialogue is very negative towards Syrian refugees, and there has been significant recent efforts to make life more uncomfortable for Syrian refugees to encourage return. This has included:
  - further restricting and enforcing existing restrictions related to employment
  - Security forces requiring the dismantling of all permanent structures in informal tented settlements (ITS), such that shelter which may have consisted of concrete blocks are reduced back to plastic sheeting and timber.

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<sup>7</sup> Strategic House DK, 2018, Impact Evaluation: An Evaluation of the NRC Shelter Occupancy Free-Of-Charge Modality in Lebanon, October 2018. Available from: <https://www.nrc.no/resources/evaluations/occupancy-free-of-charge-impact-evaluation/> [accessed 24 July 2019]

- raids at work places, evictions, imposed curfews, harassments and arrests, have increased significantly over the past months<sup>8</sup>
- deportations to Syria for those failing to prove arrival prior to April 24<sup>th</sup> 2019 without the required permissions, although the number of deportations is thought to be small in number.
- “Integration” of refugees into the host country is considered a “redline” by the national government. Although it is not clear what elements exactly would count as “promoting integration” it is believed this would include the promotion of livelihoods for Syrian refugees generally and community committees where both Syrian refugees and Lebanese sit on the same committee<sup>9</sup>.
- The Ministry of Labour has put into writing its intended actions against illegal foreign employment in Lebanon in June 2019, and this has severely restricted an already very restricted livelihoods space for Syrian refugees. It has also required many authorities including municipalities and security forces to inspect businesses and potentially close them if employing Syrian refugees without permits. This has not been widely enforced yet.
- The municipalities are required to carry significant burden related to responding to needs in their areas of jurisdiction partly because of the weaknesses related to the unique system of national governance in Lebanon. As such some donors and agencies are investigating in strengthening municipalities as a key tenet of their approach.
- Over 80%<sup>10</sup> of Syrian Refugees live in urban and peri-urban settings in residential and non-residential buildings rather than in informal settlements (IS).
- At the end of June 2019 there is a 76% gap in funding of the Lebanon Country Response Plan (LCRP). Shelter is particularly underfunded with only 5.1% funded this year<sup>11</sup>. This would indicate that donors are particularly “turned-off” from shelter interventions, which may be a reflection of appetite for the shelter sectors strategy, but may also reflect an appreciation that humanitarian space for sustainable shelter interventions can be limited at this time.

## 2.3 Strategies being revised

- On 5<sup>th</sup> August 2019 an area-based approach workshop was held, hosted by UN-HABITAT but presented as a shelter sector working group and inter-agency coordination meeting. There was representation mainly from the shelter working group, however, the inter-agency and other sector leads including social stability working group lead, and representatives from the Livelihoods working group were present. The inter-agency coordination team have stated that for the next LCRP

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<sup>8</sup> ECHO, 12 June 2019, Lebanon – Protection Concerns for Syrian Refugees, ECHO Daily Flash, Available from: <https://reliefweb.int/report/lebanon-protection-concerns-syrian-refugees-echo-un-ngos-echo-daily-flash-12-june> [Accessed 14 August 2019], reproduced in ACAPS, 20 June 2019, Lebanon Forced Displacement – Anticipatory briefing note.

<sup>9</sup> Discussions between David Dalgado, and Mazen Riachi, Shelter Sector lead for Ministry of Social Affairs, Government of Lebanon, discussions in July and September during David Dalgado’s in country visits.

<sup>10</sup> UNHCR, UNICEF & WFP, 2018, Vulnerability Assessment of Syrian Refugees in Lebanon, 2018, based upon information given in Figure 27. Type of shelters occupied by refugees 2017 to 2018

<sup>11</sup> Inter-Agency Coordination Lebanon, 31 June 2019, LCRP 2019 Mid-Year Funding Update v1, available from: <https://data2.unhcr.org/en/documents/download/70251> [Accessed 23 July 2019]

revision they are considering adopting an area-based approach more broadly<sup>12</sup>. This however, may be quite late in the process if they are expecting other sectors to also adopt ABA for the 2020 revision of the LCRP.

- NRC Lebanon is undertaking a light-touch strategy revision in September/October 2019, there is an opportunity to better respond to the changes in context and to be ahead or at least in-line with what appears to be the direction of travel of strategy in Lebanon.
- Unrelated to Lebanon context other NRC country offices are proposing strategy revisions around integrated programming.

## 2.4 Sustainability

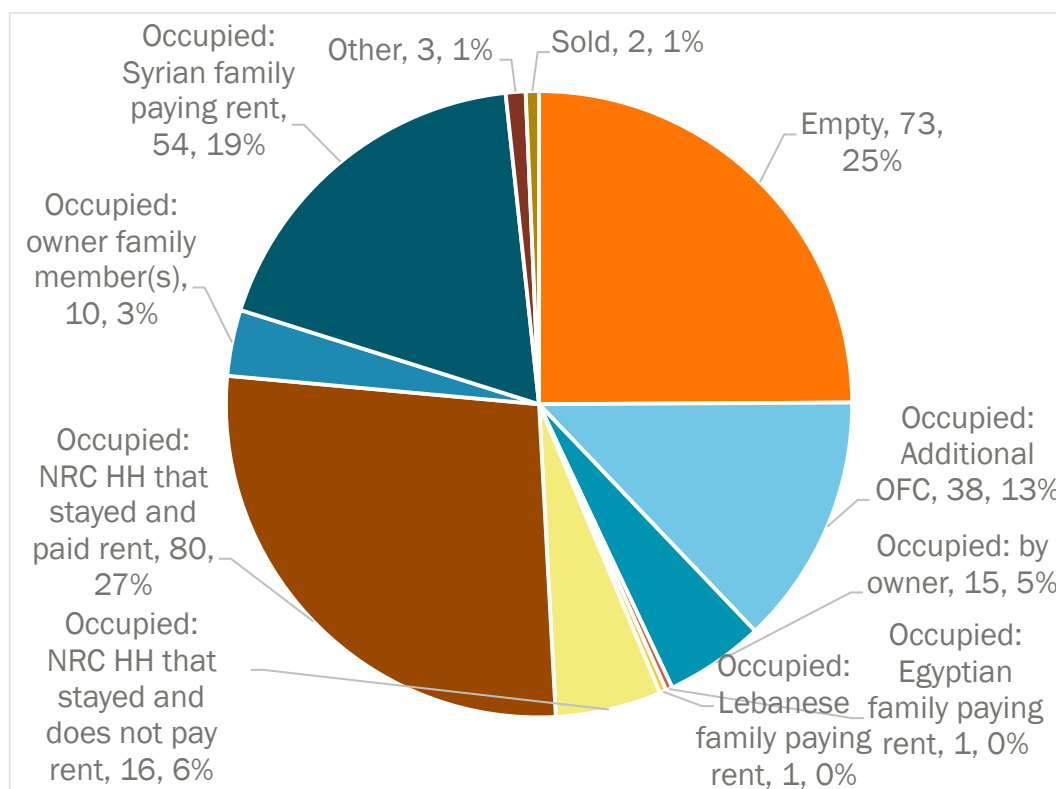
- This study was partially commissioned to address the challenge to make NRCs shelter interventions “sustainable”. However, sustainability, can be interpreted in many ways, and the question arises of “sustainable for who?”
- The humanitarian sector would normally consider sustainability in relation to the benefits being sustained for the target beneficiary household or target community, with potentially a quantification through a financial analysis of the benefits at the household level (as part of a value for money assessment or similar for example).
- The development sector may consider more broadly an economic analysis or the impact of their intervention on the economy more broadly.
- In terms of development it can be argued that should the shelter units upgraded under the OFC still be in use post OFC period then the intervention has been sustained. This could either be by a Lebanese household or Syrian refugee household renting the unit or by the landlord or their extended family owner-occupying. Housing services consumed by owner-occupiers as standard is counted in gross domestic product (GDP, i.e. it benefits the economy) through the calculation of imputed rent<sup>13</sup>.
- From telephone calls made to landlords by NRC staff where the initial OFC period had finished in 2018 or 2017 as part of the preparation for the OFC Impact Evaluation in June 2018<sup>14</sup> the following was determined for the 293 landlords that could be reached in the North and Bekaa regions:

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<sup>12</sup> Lauren Panetta, 10 September 2019, correspondence from Inter Agency Coordination Officer and David Dalgado.

<sup>13</sup> UK Government National Audit Office, March 2016, Changes to National Accounts: Imputed Rental <https://www.ons.gov.uk/economy/nationalaccounts/uksectoraccounts/articles/changestonationalaccounts/imputedrental>

<sup>14</sup> Based on data shared by Stephanie Bassil to David Dalgado on 6 September 2019. Analysis by David Dalgado.



Graph 1: Status of the Property following the initial OFC period has ended, from phone calls to 293 landlords in Bekaa and North region.

Although the survey size, was not adequate to be considered a representative sample and it excludes the South, 75% of the additional shelter units are being utilised, and 51% (excluding those who received additional OFC) were housing Syrian refugees. This would indicate that impact has been sustained from the development perspective for a significant proportion of the OFC modality shelter intervention since 75% of the additional shelter units are still being utilised and still offer benefits to the economy. From the humanitarian perspective, the impact appears to have been partially sustained, given that 51% were still housing Syrian refugees even if not the original targeted beneficiary family.

From an analysis of the 293 landlords surveyed it has been found that 207 of these were landlords where the OFC period had ended between 2 months – 11 months prior to survey and the remaining 86 where between 12 – 3.5 years. For those in the latter category a larger proportion of the shelter units were found to be occupied by Syrian Refugees or not empty, however, for this latter category it certainly could not be called a representative sample size. Recommended that a survey is undertaken surveying specifically those where the OFC period ended 2 years ago or more.

As part of the recommended additional survey, an outline economic appraisal considering the benefits to the local neighbourhood economy should be undertaken. Approximating, this could be undertaken looking at average rental value of those units (derived from survey data) still being rented and applying it across the number of units, and assuming a conservative appraisal period. The conservative appraisal

period derived from understanding the number of units still rented out from the end of the OFC period, from survey data. Other benefits such as the expenditure on labour and materials initially and as part of maintenance should be included in the appraisal.

- To assist with considering the impact of the OFC modality on the economy and hence further consideration of the scale of sustained impact the following table<sup>15</sup> is given which gives an indication of the size of the programme since 2014:

|                       | <b>North-Akk</b> | <b>North-T5</b> | <b>Bekaa</b> | <b>South</b> | <b>Total</b> |
|-----------------------|------------------|-----------------|--------------|--------------|--------------|
| <b>2014</b>           | 1116             | 990             | 675          | 1357         | <b>4138</b>  |
| <b>2015</b>           | 749              | 889             | 524          | 944          | <b>3106</b>  |
| <b>2016</b>           | 927              | 883             | 1261         | 1228         | <b>4299</b>  |
| <b>2017</b>           | 1059             | 727             | 1097         | 1689         | <b>4572</b>  |
| <b>2018</b>           | 1013             | 741             | 1031         | 695          | <b>3480</b>  |
| <b>2019 (planned)</b> | 972              |                 | 625          | 350          | <b>1947</b>  |
| <b>Total</b>          | <b>10066</b>     |                 | <b>5213</b>  | <b>6263</b>  | <b>21542</b> |

The creation of 21,542 additional shelter units with perhaps  $\frac{3}{4}$  of these still being utilised if projected using the data from the June 2018 survey would indicate some impact on the economy even if primarily on the local economy related to the location of these units.

- A number of those interviewed for this study have indicated that there is only so much an agency can do to make interventions sustainable given the current context and especially the restrictions on livelihoods and integration for Syrian refugees.
- Discussions with some national and local authority representatives indicated that they considered sustainability in terms of the agency sustaining the rental subsidy or increasing their investment in infrastructure.
- A number of interviewees implied sustainability was not desirable because the Syrian refugees needed to return home. Including one government interviewee referring to the “hypocrisy” of a foreign government donor asking for sustainability of humanitarian interventions while publicly their government representatives in Lebanon are speaking and recognising that Syrian refugees must return home.
- If increasing the capitals of resilience (discussed further in this study) are adopted as objectives above the current sector level theory of change objectives then it is more likely that impact can be sustained. This may also benefit Syrian refugees in any return. For example, Information Counselling and Legal Assistance (ICLA) activities that supports civil documentation and Education’s youth skilled based training activities will also impact those who return.

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<sup>15</sup> Sawsan Saad, NRC Lebanon National Shelter Coordinator, private correspondence with David Dalgado, September 2019.

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## 3 Approach Options

### 3.1 Introduction

- There are a range of approaches that could be adopted, including:
  - An area-based approach
  - A systems approach
  - An institutional approach
- An area-based approach or systems-based approach (for a system in an urban environment) would require a significant shift in NRC Lebanon Programme ways of working, with much greater focus on multi-sector assessment, context analysis and response option analysis undertaken jointly by multiple NRC sectors (known in NRC as Core Competencies (CC)). An institutional approach would also require a significant shift if the institution is multi-sector encompassing such as a municipality.
- These 3 approaches are much more developmental in nature but appropriate if NRC Lebanon wants to have meaningful sustained impact particularly in an urban environment, and stay relevant in a protracted crisis that has now lasted 8 years and is likely to continue with large number of Syrian Refugees living in protracted crisis in Lebanon for many years to come.

### 3.2 Area-based approaches

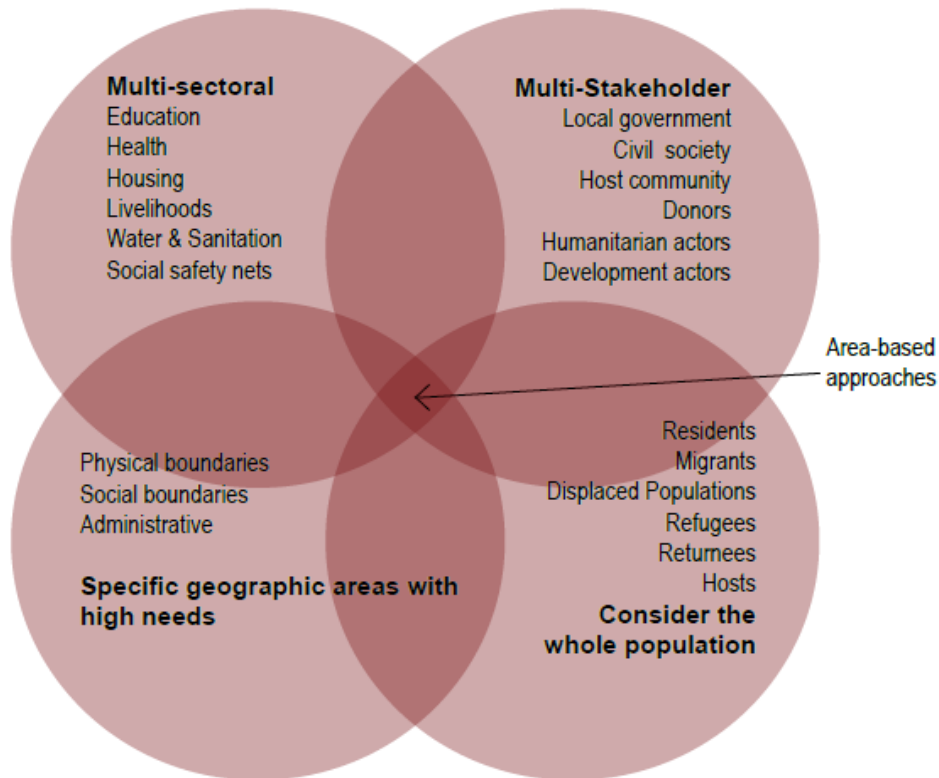
- A recent Global Shelter Cluster Urban Settlements Working Group Publication<sup>16</sup> describes area-based approaches as:

“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”. This working group publication describes the characteristics of an area-based approach as follows:

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<sup>16</sup> Global Shelter Cluster - Urban Settlements Working Group, Area-Based Approaches In Urban Settings: Compendium of Case Studies, May 2019. Available from: [https://www.sheltercluster.org/sites/default/files/docs/201905022\\_executive\\_summary\\_high\\_res.pdf](https://www.sheltercluster.org/sites/default/files/docs/201905022_executive_summary_high_res.pdf) [Accessed 29 July 2019]





Source: Adapted from Parker & Maynard (2015)

- Area-based approaches inherently require integrated programming to succeed.
- Area-based approaches have been undertaken by humanitarian actors for several decades however they have grown in prominence particularly since humanitarian actors have been operating in Urban settings, where needs may be more complicated and inter-related.
- A further summary of Area-based approaches is given in Annex D

### 3.3 Institutional-based approaches

- Institutional-based approaches recognise that key institutions can have substantial power within society and impact on social, economic and political processes.
- The premise for adopting an institutional-based approach for humanitarian agencies in Lebanon would be that strengthening key institutions that Syrian refugees interact with and are dependent upon for services and rights can have a major impact on the lives of Syrian refugees

### 3.4 Systems approach

- A systems approach recognises that Urban settings involve “urban processes characterised by flows of goods, services and people, and the inter-dependency of

infrastructure and socio-economic networks” and that a systems behaviour “can only be understood by looking at the entire system and not its elements in isolation”<sup>17</sup>

- A practical example would be to have identified an area of poor housing from neighbourhood profiling and to then assess and analyse the system in that area particularly related to poor housing which may relate to:
  - Zoning and planning policies and municipal interactions related to that area
  - Landlords intentions for the properties in that area
  - Economic development in that area
  - Governmental role and interactions in relation to housing in this area
  - Social dynamics
  - Poverty levels and types of employment of landlords and tenants in that area.
  - Rental market assessment for that area
  - Interactions with services and markets offered in other neighbourhoods

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<sup>17</sup> Jo da Silva, Sam Kernaghan & Andrés Luque (2012) A systems approach to meeting the challenges of urban climate change, International Journal of Urban Sustainable Development, 4:2, 125-145, DOI: 10.1080/19463138.2012.718279 [accessed 10 August 2019]

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## 4 Role of the Municipality

### 4.1 Role and Influence of Municipality

- Due to the unique national governance arrangements in Lebanon post-civil war, the national government is often unable to adequately function leading to a vacuum at the national level.
- This has led to the gap related to service provision having to be filled by municipalities. This is particularly in-relation to services that previously the national government has helped to manage, such as solid waste management.
- The municipalities are required to carry significant burden related to responding to needs in their areas of jurisdiction.
- For these reasons a number of donors and agencies including NRC have been or are investigating strengthening municipalities.
- Municipalities in Lebanon play a major role in the lives of Syrian refugees through the provision of services such as solid waste collection, organising public works for infrastructure. Infrastructure can relate to solid waste, water supply, sewerage, drainage, roads, pavements and steps, street lighting, public gardens amongst other infrastructure.
- Although some infrastructure is not the responsibility of the municipality such as repairing water networks (which may be the responsibility of the Water Establishment), municipalities report undertaking this when others are not.
- Some municipalities are also involved in providing social services and municipal police.
- Municipalities may also be involved in legally or illegally denying rights to refugees and limiting their freedom of movement through the application of curfews aimed at specific groups, or the enforcement of laws and regulations by municipal police detrimental to refugees.
- Municipalities can play a coordinating role, although from the interviews as part of this study they have held mostly bilateral discussions with humanitarian and development actors interested to fund works and services in support of refugees and vulnerable Lebanese. The Municipality Support Assistants implemented under NRC Urban Displacement Out of Camp (UDOC) programming assisted municipalities with playing this coordinating role.

### 4.2 Capacity of Municipalities

- From discussion with 11 municipalities visited as part of this study, and the Cites Unies Liban/Bureau Techniques des Villes Libanaises, it is clear that the capacity of the municipalities in Lebanon vary considerably, however, in general the following has been found:
  - Reliance upon the very limited municipal funds from national government for supporting operational costs of municipality

- Significant reliance upon projects undertaken by humanitarian and development actors in support of municipalities mainly providing the municipality with capital items (such as infrastructure, waste collection).
- Often not collecting fees related to service provision, for both Lebanese and Syrian Refugees.
- Annual plans believed to split the last years budgetary spend/allowance over 12 equal months. This suggests very limited planning being undertaken and even more limited ability to address needs with budget available.
- Inability to articulate vulnerabilities being faced by the community or related to infrastructure communities rely upon.
- Very limited plans to address needs of communities from the 11 municipalities interviewed.
- Mayors and municipal members have been and to large extent still are elected based on their familial power, and the split of power can be related to sect. Traditionally mayors and municipal members are not expected to have a background in public affairs or service provision.
- Although, it is understood that UNDP has supported some 112<sup>18</sup> municipalities to develop multi-sector Municipal Action Plans under the Municipal Risks and Resources (MRR) process, none of the 11 municipalities visited made reference to these plans. It is understood that UNDP has plans to continue supporting the production of these plans in the rest of the 251 vulnerable localities identified in 2015.
- The vast majority of municipalities interviewed reported being very underfunded and that this limited the ability to plan, let alone undertake activities.
- From the limited household interviewees undertaken with beneficiaries of the OFC modality, households described the municipality as being the most important institution that they interact with on a regular basis. However, this is mainly in relation to solid waste and to a lesser extent sewerage and water supply.
- From the Affordable Housing Institute 2017<sup>19</sup> study into the Lebanon affordable housing ecosystem it is understood that the municipality interactions and dynamic in relation to landlords and refugees in relation to housing varies by area. In some areas landlords do not want to have their tenancy registered, for example, because this can trigger the municipality to ask for service provision fees which would not have started had the building been unfinished. In some areas households felt more protected when tenancies were registered with municipalities and in other areas not, with refugees preferring to stay without being noticed by the municipality.
- There was no indication that the majority of municipalities played a role in helping refugees finding housing or increasing the housing stock of affordable housing for refugees or vulnerable Lebanese.
- From discussions with a number of informants it is believed that sustaining capacity in municipalities can be a significant challenge. This can relate to political power sharing arrangements where the mayor will rotate half way through the overall term to help ensure the balance of power between the sects, or where there are limited

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<sup>18</sup> Correspondence between Antoine Al Maalouf of UNDP and David Dalgado on 12 September 2019

<sup>19</sup> Affordable Housing Institute, December 2017, Strategy Housing Solutions for Vulnerable Populations in Lebanon – Exploring the Lebanese Housing Ecosystem during the Protracted Syrian Crisis.

staff in the municipality who do not change with a change in mayor. This can be a major barrier to adopting an institutional approach.

### 4.3 Role of the Union

- There is a different understanding of municipal unions as to their role, however, “most of the unions are filling policy gaps that result from a developmental vacuum at the national level”<sup>20</sup>
- Some unions are involved in supporting with technical services to municipalities, such as urban planning, or coordinating solid waste collection across multiple municipalities.

### 4.4 Role of other stakeholders relevant at the local level

- There may be a wide range of other agencies and authorities that have an impact on Syrian refugee lives and participatory stakeholder mapping is required to more fully understand this. However, it is known that the following are significant:
  - Water Establishment
  - Electricite du Liban (EdL)
  - Private neighbourhood suppliers of electricity
  - Ministry of Education and Higher Education (MEHE) in relation to schools
  - Ministry of Social Affairs (MoSA) in relation to Social Development Centre services which may include health related services
  - Community Based Organisations (CBOs) have been referred to as playing a significant role at the local level to support vulnerable groups
  - National NGOs
  - The private sector, particularly those employing and providing services to Syrian refugees and vulnerable Lebanese.
- NRC has previously supported the capacity of the Water Establishment particularly in physical infrastructure WASH interventions which support the water network.
- Even if more holistic institutional strengthening interventions cannot be undertaken by NRC with these other actors, where a systems analysis indicates that they are an important actor in the system, other interventions such as capital works support would be appropriate.
- A key challenge for NRC and other actors in adopting an area-based, system or institutional approach is that the main government interlocutor may be different. For example, for Education programming it may be MEHE and for WASH programming may be the Regional Water Establishment. The priorities for geographical areas of implementation and priorities by these national or regional authorities may be different from the municipalities.

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<sup>20</sup> Democracy Reporting International, 2017, Public Service Provision in Municipal Unions in Lebanon: Solid Waste Management, Municipal Police and Public Safety, Accountability and Participation, available from: [https://democracy-reporting.org/wp-content/uploads/2018/07/DRI\\_upload-municipal\\_26072018\\_english.pdf](https://democracy-reporting.org/wp-content/uploads/2018/07/DRI_upload-municipal_26072018_english.pdf) [accessed 20 August 2019]

## 5 NRC Capacity

### 5.1 Summary of NRC Capacity

#### 5.1.1 Introduction

- NRC Lebanon was established after the war with Israel in 2006 and has a long history of successful programming. Today, NRC Lebanon CO has programming in Education, Shelter, WASH and Information Counselling and Legal Assistance (ICLA).
- NRC has Area Offices in the South (Tyre), North (Akkar area which also covers Tripoli) and Bekaa (Zahle), with over 1000 staff. NRC is one of the more significant humanitarian agencies in Lebanon (in terms of scale of programming), working in informal settlements, urban and peri-urban areas. NRC also leads a number of consortiums.

#### 5.1.2 Experience related to Area-Based, Institutional or Systems Approaches

- NRC has experience of undertaking Urban Displacement Out-of-Camp (UDOC) programming in Lebanon, this form of Camp Management programming undertaken in non-camp settings involves amongst other components, significant coordination and community governance capacity building, assisting vulnerable communities to organise and helping to coordinate many different actors to meet diverse needs.
- NRC also has a history of supporting municipality capacity, especially in coordination, this includes through the provision of Municipal Support Assistants (MSAs) in the Bekaa. The MSAs primarily assisted the municipality to coordinate humanitarian actors working in their areas of jurisdiction, and helped to provide a contact point for agencies wishing to interface with the municipality.
- Although a housing ecosystem assessment and research was undertaken by the Affordable Housing Institute in 2017<sup>21</sup>, as part of a review of NRC's and the sectors work on OFC modality, capacity related to rental market assessments was not built in NRC Lebanon related to a systems based approach. Further to this the Global Shelter Cluster does not have a defined methodology for rental market assessment.
- NRC Lebanon Core Competences (CC) of Education, WASH, Shelter, and ICLA have not been geographically targeting interventions in the same or similar areas, and for some CCs there have been limited linkages explored. However, for Education and WaSH this can relate to geographic intervention locations being partly set by regional and national level institutions.
- NRC Shelter and Wash teams have been involved in responses similar to area-based approaches in Sabra, in Beirut in 2019. Here UN-Habitat had undertaken a neighbourhood profile, however, a joint vulnerability assessment was undertaken by Save the Children, Habitat for Humanity (HfH), and NRC with coordination by UN-Habitat. This vulnerability assessment was endorsed by the Shelter core group, and Save the Children and HfH undertook rehabilitation while NRC is still pursuing funding for activates in this area.

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<sup>21</sup> Affordable Housing Institute, December 2017, Strategy Housing Solutions for Vulnerable Populations in Lebanon – Exploring the Lebanese Housing Ecosystem during the Protracted Syrian Crisis, Unpublished, by shared with David Dalgado by Care International UK, July 2019.

- Overall NRC Lebanon has the capacity to undertake integrated programming, however, it will require quite a significant shift in ways of working, and strong leadership both at a sector/CC level and crucially above the sector level.

## 5.2 Livelihoods and Economic Inclusion

- Although it is not possible or desirable for NRC to open a new Livelihoods CC. It has to be recognised that the lack of economic inclusion and livelihood opportunities is a major barrier to the sustainability of many interventions at the household level and significantly affects household resilience.
- At August 2019 the situation in relation to livelihood opportunities for Syrian refugees is extremely bleak, but still a large proportion of Syrian refugees are finding work (even if not permitted, very poorly paid, high risk and/or non-desirable activities) to survive.
- NRC can better support beneficiary households to consider livelihood options or link/refer households to humanitarian agencies who work in livelihoods.
- To undertake this it is suggested that some consideration in NRC Lebanon is given to mainstreaming and integrating livelihood connections into programmes. This could be through the NRC MENA Regional Office Livelihoods Advisor being requested to undertake a feasibility study of options related to existing programming, and to develop the process that each area office should take to map out actors for referrals and defined follow-up. This could be part of a broader economic inclusion assessment, and include assessment of how all NRC sectorial programming can adopt market supporting modalities.
- It is also recommended as part of this feasibility study that the household economy of both Syrian refugee and poorer Lebanese is investigated, to understand not only what can be undertaken to improve income, but also what can be focused on to reduce expenditure. For example, is there any potential to reduce expenditure on electricity through the provision of solar panels as part of existing programmes(subject to acceptance of this by landlord and authorities).
- Livelihoods sector lead<sup>22</sup> indicated that a number of agencies at a local level are finding informal ways to refer through networking at the sub-national livelihoods working group level. Examples included agencies who are undertaking skilled based training referring their youth to agencies undertaking labour-intensive construction work when those livelihoods agencies are in need of those skills sets.
- As part of any feasibility study, there should be reflection on what jobs Syrians are allowed and prepared to do (especially those that are considered unacceptable to Lebanese) and there could be a focus on labour-intensive infrastructure projects related to this, which could include solid waste sorting facilities for example.
- Any assessment of markets has got to consider what markets are actually functioning, and functioning for the benefit of poorer Lebanese and Syrian refugees. This may be useful to inform what skilled based training is undertaken as part of Youth programming for example.

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<sup>22</sup> Meeting between David Dalgado and Gloria de Marchi, Livelihoods sector lead, 10 September 2019.



- An example of an opportunity to integrate-livelihoods could be pre-qualifying contractors for community support projects (CSPs) which involve infrastructure where a requirement of the pre-qualification is that vulnerable Lebanese and Syrian refugees are used in construction works. An approach similar to this has been explored by NRC Jordan CO<sup>23</sup>
- Another example is the involvement in the school rehabilitation projects or CSPs or shelter related works of those in the Youth skills training programme<sup>24</sup>.
- It may also be possible to consider the provision of construction tool kits in shelter upgrades to beneficiary families to predominately help them maintain the shelter, but also have secondary effects on livelihoods.

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<sup>23</sup> Hector Vivero NRC MENA Regional Livelihoods, private discussion with David Dalgado August 2019

<sup>24</sup> Stephen Richardson, NRC Lebanon Education CC Specialist, private discussion with David Dalgado July 2019

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## 6 Recommended Way Forward

### 6.1 Outline of recommended way forward

#### 6.1.1 Introduction

- It is recommended that NRC Lebanon and humanitarian organisations in Lebanon adopt an area-based approach (ABA). This is essential when working in urban environments. These environments are where the majority of Syrian refugees in Lebanon live.
- ABA can include some elements of institutional strengthening of the municipality to support them in coordinating and leading on ABA. UN-HABITAT has been quite successful in this more institutional approach and it appears this has been sustained. However, an institutional approach is not NRCs normal way of working, and unlikely to be NRCs most appropriate value add if central to a new approach.
- In the context of Lebanon where there is not currently sustainable funding of municipalities, and where the political cycle can lead to significant staff change, it is thought relatively high-risk to adopt a solely institutional approach unless a large number of conditions are met to select an appropriate municipality. Nevertheless a criteria for selection has been developed and is available in Annex E.
- It is therefore recommended that any institutional strengthening is framed within the broader area-based approach.
- The Lebanon Shelter Working Group – Area Based Approach Technical Working Group should be closely engaged with to ensure NRC is inline with the Shelter Sector. It is understood that the output of this may have the potential to inform the LCRP more broadly than the shelter sector.

#### 6.1.2 Adopting an Area-Based Approach

##### Background

- UN-HABITAT and UNICEF has already completed a number of neighbourhood profiles in 2019 and plans to complete 31 profiles in total (including 2019) by June 2020. These profiles look at vulnerabilities and strengths related to different sectors, cross-cutting issues and governance for a particular geographical neighbourhood area, and present spatial analysis related to the findings.
- UNDP has supported 251 of the most vulnerable municipalities to complete a Municipal Action Plan (with updating of 112 of these plans this year) which is a high level list of priorities for the municipality. This has used UNDPs Maps of Risk and Resources process.

##### Step 1: Selecting the Neighbourhood

- To select areas for further intervention, NRC should overlay:
  - the 498 most vulnerable neighbourhoods identified by UN-Habitat and the list of the 31 neighbourhood profiles
  - the 112 Multi-Sectorial Municipal Action Plans supported by UNDP, and also the 251 vulnerable cadastres identified in 2015.

- the latest Social Tension mapping
- the municipalities that NRC has engaged/worked with in the recent past (say since 2016)
- NRC referral data and information from community focal points

The above process should give some indication on which municipalities and neighbourhoods might be appropriate for further exploration, however, this will then need to be informed by discussions with and further assessment of a short list of neighbourhoods which relates to:

- examining any data that indicates neighbourhood/area is extremely vulnerable/underserved by infrastructure and services
- number of vulnerable Syrian refugees residing in area related to the mandate of NRC
- whether needs relate to sectors (ideally multiple) NRC can bring added value
- whether the municipality's attitude to Syrian refugees is appropriate to allow support
- acceptance of modality of support by municipality and neighbourhood communities
- acceptance by other humanitarian agencies (international and national) and CBOs to adopt an area-based approach.

It is suggested that a matrix is agreed for ranking the shortlisted potential neighbourhoods.

- The most vulnerable neighbourhoods should be chosen since the ABA should lead to significant investment in these neighbourhoods, and this will assist with overcoming a criticism of area-based programming that it can create "pockets of excellence", surrounded by struggling neighbouring areas.

## **Step 2: Context Analysis and Needs Analysis**

- NRC may select an area of intervention where both MMR municipal action plans and neighbourhood profiling exist. However, where MMR municipal action plans and/or neighbourhood profiles do not exist, assessment and context analysis will need to be undertaken first. This may include using the neighbourhood profiling methodology undertaken by UN-HABITAT. It is understood that UN-HABITAT is currently developing a light-touch e-profiling system and approach. This will involve less narrative and be more suitable. Even where profiles already exist it will be necessary to update and validate them.
- Where possible it is recommended that municipalities are supported to undertake and coordinate the e-profiling process themselves. This type of support, with personnel funded into municipalities playing a coordinating function, has previously been undertaken by NRC through the Urban Displacement Out-of-Camp (UDOC) Municipal Support Assistants.
- Applying a modality the same or similar to that used by UN-HABITAT with the establishment of an RTO (Regional Technical Offices) would ideally involve requesting or partnering with UN-HABITAT to setup an RTO. Where UN-HABITAT could not support an RTO, NRC should directly consider the establishment of a Technical Officer, funding or partial funding of one officer with ideally an urban planning background to

sit within the municipality or union to coordinate and assist with this process outlined in this study. This is similar to the Municipal Support Assistant approach but with a technical (architecture or urban planning profile) background. A summary of the UN-Habitat RTO approach is given in Annex D

- The funding of a Technical Officer position would gradually be transferred to the municipality over the programme duration (assumed multi-year) as funded projects are brought in to the municipality as a result of the Technical Officers involvement in neighbourhood profiling, and the formulation of strategies and plans to address the vulnerabilities highlighted from the profiling.
- As part of the assessment and analysis step it may be necessary to undertake preliminary studies to understand the system related to a specific vulnerability identified from the profiling. For example, access to adequate housing could include rental market assessment, or a mapping of the energy system or water system.
- This step could include stakeholder mapping, capacity mapping, sectorial assessments, and multi-sectorial assessments.
- Participatory assessment methodologies should be particularly valued. This could include methodologies such as PASSA or CIP. Discussed in Step 4.

### **Step 3: Response Option Analysis**

- The most suitable area coordination platform will have been investigated as part of earlier steps. This may be a platform convened by the municipality or by active CBOs, for example. It may also be a platform convened by humanitarian coordination architecture. Where a relevant and pre-existing platform exists it should be utilised to review the existing municipal action plans with all relevant stakeholders, but especially those humanitarian agencies and CBOs that can contribute to realising the plans. Review the context and needs assessment data from Step 2.
- Note that where an area-level multi-sector coordination platform does not exist a way forward for convening one should be agreed with the municipality and MoSA.
- Divide-up the problems the MRR plans address appropriately for response options to be developed and analysed. This can be by geographic area, but may be through agencies agreeing to work together in a multi-sector way in one area to address a common objective.
- The municipality should ideally drive the priority of interventions from the neighbourhood profiling and municipal action plans. With close consultation and validation of priorities with communities. CBOs may also play a significant role in helping to prioritise.
- Note where target areas are part of larger cities such as Beirut, Saida and Tripoli for example, there may be other city authorities and administrative bodies that should lead on the prioritisation. The Union of Municipalities may also play a role.
- It may be necessary to undertake feasibility study to help determine the most viable and appropriate options for addressing a key problem, for example different options for road safety and mobility improvements.
- Care will need to be taken to consult as early as possible with relevant national and regional agencies where permissions are required to support municipal priorities.
- It may be useful for specific problems to undertake a participative process considering problem tree and solution tree with relevant stakeholders, to create an integrated theory of change.

#### **Step 4: Develop Detailed Neighbourhood Plans**

- Based on the theory of change and any additional studies develop the detailed plans (for example, the exact infrastructure and/or housing to be rehabilitated) through a participative process involving stakeholders such as Lebanese community representatives, Syrian refugee representatives, Municipality representatives.
- Given the policies related to integration it cannot be proposed that representative community groups composed of both Syrian Refugees and Lebanese refugees can be formed.
- It is suggested that a known participatory methodology such as Participatory Approach to Safer Shelter Awareness (PASSA) or UNRWA's Manual for Camp Improvement Plan (CIP Manual) be applied in a sector neutral way and tailored for the urban or peri-urban neighbourhood setting. These community based participatory methods can take 2-3 months to work through and ideally the working group should be involved in supporting the implementation of any action plan validated/produced.
- As part of creating the detailed plan, it should be clear as to roles and responsibilities of each agency. With interested agencies including NRC considering the components which most closely meet their mandate and value add.
- The planning and consultation process could take up to a year, and the output could be a neighbourhood plan similar to that which would be submitted as part of a master-planning process.
- Development of SMART indicators may also be part of this process, developed for an outcome or outcomes that require an integrated response, or a response that tackles several parts of an urban system. SMART indicators will also need to be developed at project level by and for different partners which may feed into outcome level indicators.
- It is important that donors are consulted early in the overall process such that they understand that results matrix of a programme may not define output level results until a detailed neighbourhood plan is devised, or at least until the response option analysis step has been undertaken and it is clear what response is planned (post context analysis and profiling).

#### **Step 5: Implementation & Monitoring**

- After the detailed neighbourhood plans have been developed and endorsed by the municipality and other national and regional authorities implementation can commence. This will need to be carefully phased and managed if multiple agencies are involved. For example, where one agency is undertaking last-mile water connections and sewerage, and another is looking at improving mobility in the area by renewing pavements, steps and installing traffic calming measures then significant coordination and phasing of works is required.
- To assist with ABA implementation, it might be appropriate if the municipality is agreeable to one agency working in the area to second or fund a staff member to coordinate implementation on behalf of the municipality. Where the Technical Officer is in position this coordination role could be undertaken by this staff member.
- Implementing neighbourhood plans could be through Community Support Projects (CSPs) similar to how NRC WASH currently undertakes energy, water supply, sewerage, solid waste, and road safety projects. However, it should be much more targeted in terms of geographic location and complimenting other interventions.

- Monitoring related to the implementation of the intervention should take place. Later this will be followed by outcome monitoring.

#### **Building relationships within neighbourhood early**

- To ensure credibility is maintained and relationships are built with the neighbourhood (including to help with entry points), during the assessment and planning phase described in Steps 2 and 3, it is proposed that some OFC modality interventions are undertaken in areas of known housing vulnerability, even in advance of the profiling completing. Recommendations on OFC are given later in this document. As previously described, it may also be possible to undertake some small community support projects (CSP) described in existing municipal action plans, but larger community level projects should ideally be part of a wider neighbourhood plan.

#### **Tools**

- There are a broad range of tools and guidance available to assist with these steps and the following key items are listed:
  - UN-HABITAT methodology on neighbourhood profiling, available from UN-HABITAT Lebanon, and JIPS<sup>25</sup>. For UN-HABITAT neighbourhood profiling methodology specifically the e-profiling methodology should be investigated which is expected to be available from the last quarter of 2019.
  - UN-HABITAT procedures for establishing Regional Technical Officers (RTOs), available from UN-HABITAT Lebanon.
  - Global Alliance for Urban Crises, 2019, Building Urban Resilience in the Face of Crisis, A Focus on People and Systems.<sup>26</sup>
  - Global Alliance for Urban Crisis, January 2019, Protocol of Engagement between Local Governments and Humanitarian Actors<sup>27</sup>
  - Sanderson, David, 2019 Good Practice Review 12: Urban Humanitarian Response, Humanitarian Policy Group, Overseas Development Institute<sup>28</sup>

## **6.2 Reducing Social Tensions**

- Often area-based programming is adopted specifically to reduce social tensions, since it targets populations geographically and includes host community. This is particularly relevant in the context of Lebanon at this current time.
- Reducing social tensions and reducing protection risks associated with social tensions should be considered a specific outcome of adopting an area-based approach and this should be reflected in any strategic level theory of change.
- This may influence the types and locations of CSPs selected, and must be part of the neighbourhood selection criteria.

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<sup>25</sup> <https://www.jips.org/tools-and-guidance/urban-profiling-guidance/>

<sup>26</sup> <http://urbancrises.org/resource-library/>

<sup>27</sup> <http://urbancrises.org/resource-library/>

<sup>28</sup> [https://odi.hpn.org/wp-content/uploads/2019/03/GPR-12-2019-001-244-web4\\_FINAL.pdf](https://odi.hpn.org/wp-content/uploads/2019/03/GPR-12-2019-001-244-web4_FINAL.pdf) [accessed September 2019]

## 6.3 Shelter & Settlement specific recommendations

### 6.3.1 Menu of Options

- NRC Shelter should investigate the potential for offering a menu of support options at both a household and settlement level in advance, such that it is clearer how to engage with neighbourhood plans ideally before their formation has been completed. This could help to frame any dialogue around the plans making it easier and more effective for NRC to engage.
- A menu of options could include consideration of:
  - Additional kitchen space and WASH for existing units without dedicated WASH and kitchens per unit currently.
  - Occupancy free of charge modality with modifications described below.
  - Works addressing energy needs of households. Such as through the retrofitting of renewable energy facilities.
  - Works to communal infrastructure (which could be very broad).
  - Upgrading of communal space
  - External renovations
  - Improving building security and safety through lighting, gates, staircase works, securing windows and doors for example.

### 6.3.2 Occupancy Free of Charge

- The OFC modality is still relevant and can be improved to have more sustained impact.
- Some lessons can be learnt from NRC Jordan's implementation of the OFC modality. NRC Jordan gives the beneficiary household more say in who the upgrading grant is given to, such that beneficiary household can then better choose a landlord they either have an existing or can build a relationship with. This could strengthen the ability for households to negotiate a longer OFC period for example or allow them to negotiate what rent will be payable after the OFC period finishes. Beneficiary households could be encouraged to negotiate with the landlords in advance to determine this (but with the minimum OFC period clear and set by NRC). NRC staff should be available to assist with these discussions if requested by the beneficiary household which may be particularly important for female headed households.
- As a further check, prior to signing the MoU with the landlord regarding the OFC period, and transferring the initial tranche of funds for the upgrade, NRC staff should confirm with the landlord and beneficiary household that plans and rent levels post OFC period have been discussed, even if not agreed.
- MoUs should also cover how expenses related to services such as water and electricity will be paid to avoid this source of friction during the OFC and rental period.
- Where it will not raise social tension with the landlord and it is acceptable and possible, consideration should be given to supplying the most vulnerable beneficiary households with solar panel and battery system to assist with internal lighting needs and reduce energy expenditure.
- It is suggested that it is made clear from the start that the rental period is only 1 year or the timeframe (if more than 1 year) that has been negotiated with the landlord, and will not be extended. This should be undertaken so that it is clear from the start that the beneficiary household will need to identify a coping mechanisms for when the rent free period has ended.



- Expand the tasks of the social assistants in the NRC shelter teams to include:
  - Linking the beneficiary family with agencies providing livelihoods support in the area.
  - Coaching the beneficiary family with frequent visits to each family to discuss coping mechanisms and plans once the OFC period has ended.
  - Wherever possible look to include the beneficiary family in other activities being undertaken by NRC or other agencies which may increase household resilience.

Where the social assistants start to play more of a social work role, they need to be appropriately capacity developed and supported to ensure they can play this role, and new/replacement recruits to the team may need to include professional social workers.

- The OFC Impact Evaluation 2019 highlighted that social capital impact was sustained and was very important in allowing households to access livelihoods. Identify opportunities to improve spaces (such as residential building stairwells) that promote connections between Lebanese and Syrian Refugees.
- Following a livelihood integration feasibility study described in 5.2 Livelihoods and Economic Inclusion, consideration should be given to inclusion of a small cash grant (or it's equivalent in-kind or voucher when cash is not allowed) for sustainability. As with NRC Jordan's flex approach this would be provided to beneficiary households only once beneficiaries have been supported to develop a business plan. The value of this intervention and eligibility criteria should be determined based upon the feasibility study and discussions with the sector working group. However, it is thought this is likely to be of the value of 200 to 500 USD for example. Examples of items that could be purchased could include items for cooking or baking to enable the family to sell baked goods or jams, or tools to support work in the construction sector.
- Where there is no room for this cash grant because it could be perceived as supporting livelihoods and therefore integration, it may be possible to support by including within the shelter upgrades undertaken by the landlord a small amount of tools for maintaining the shelter but stored in the rental unit, and ovens for example as part of the kitchen works.
- As previously described in this study, a household economic assessment of OFC beneficiary households should be undertaken to consider how households can be supported to reduce expenditure in particular.
- As previously described in this study in 2.4 Sustainability, the impact on the local economy should be appraised to support justification of the modality, and considerations that could make it more market supporting, contribute more to the neighbourhood economy and be more sustained.

### **6.3.3 Community Support Projects (CSPs)**

- NRC already undertakes a number of community infrastructure projects under CSPs.
- To improve sustainability it is recommended that the intervention is discussed with the municipality from the outset asking how the operational and maintenance costs will be funded of any intervention by the municipality and the service charges paid by the community to allow this.

- A suggestion from the NRC Shelter CC<sup>29</sup> is that where possible and appropriate, NRC could consider offering to fund the capital works/items but with the agreement of the municipality and community that after a set period the households that can afford to pay for services will pay the municipality, with the municipality seeking agreement and consulting on this in advance. The purpose of this recommendation is to help to increase the financial capacity of municipality in the longer-term. This would be similar in concept to the rent-free period of OFC but undertaken at a community level.
- It is recommended that CSPs are prioritised for areas targeted with ABA to promote more joined up and sustained interventions which consider the settlement overall.

#### 6.3.4 Gender & Accessibility to Housing

- The recommendations described in Rana Hajjar's consultancy report to NRC Lebanon on Gender and Accessibility to Housing<sup>30</sup> 2019 should be further considered for inclusion. However, it is recommended to consider them generally in relation to the Shelter and Settlements menu of options and not just in relation to OFC, and these could therefore practically include:
  - Information services to vulnerable FHH on accessing the market potentially with lists linking to landlords who have previously housed FHH under OFC modality with positive feedback from beneficiary households. This would not include rental assistance. But be a service to the market more generally.
  - Workshop and sessions delivered by NRC ICLA SSU or Shelter Social Assistants to increase rent negotiation capacity particularly in relation to female headed households and improve their knowledge of the rental market.
  - Linking FHHs who are renting to skill based training by other agencies to assist in increasing resilience.
  - Support to the development of NRCs Safe Nights Rest platform for reporting of eviction threats, harassment, or interference in the enjoyment of a rented property. Once ready this should be rolled out, and reports should be appropriately followed-up by NRC Shelter Social Assistants and ICLA.

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## 7 Conclusion

- Strongly recommended an area-based approach (ABA) is adopted. This is particularly relevant in urban areas. This will need to be adopted in partnership with other agencies also adopting this approach, and involve more than the shelter sector adopting ABA.
- Both community level infrastructure and interventions at the household level have a place in an ABA.

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<sup>29</sup> Maha Al Ayyoubi, NRC Lebanon Shelter Specialist private discussion with David Dalgado, July 2019

<sup>30</sup> Hajjar, Rana. February 2019, Consultancy Report - Syrian Refugees in Lebanon: Gender & Accessibility to Housing, London School of Economics, Executive MSc in Cities Dissertation.

- Strongly recommended that NRC Lebanon requests the MENA Regional Office Livelihoods Advisor to support with an Economic Inclusion and Livelihoods Integration feasibility study to understand how all NRC Lebanon programmes can better adopt market-based and market-supporting modalities. This could benefit both the host community and Syrian refugees.
- Adopting ABA, which is inherently integrated will required a distinct shift in ways of working. This will require strong leadership at both country and area level.
- This study sets out both an example ABA methodology and steps in a potential road map to get to ABA, however, this may develop as the ABA is further developed in Lebanon by the Shelter sector working group and if adopted as part of a broader LCRP revision.
- For ABA to be a success and lead to sustained impact at the community level it needs to be implemented flexibly and appropriately, and this may take more time than is normally allowed in a 1 year grant environment, however, this is protracted crisis and it has long been time that more developmental approaches are adopted.

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## Annex A- Integrated Programming Capacity in NRC

### Introduction

- Taking an area-based approach offers a good opportunity to drive integrated programming within NRC Lebanon to more comprehensively meet the complex and interrelated needs of Syrian refugees in protracted displacement, particularly in an urban setting, and to address the impact of the influx on host communities.
- NRC does not need to undertake direct programming across all sectors.
- NRC will need to look more holistically at who is doing what in vulnerable neighbourhoods and municipalities, and who can benefit from complimentary programming, partnered with, or be coordinated with for referral<sup>31</sup>. CBOs, other humanitarian agencies, private sector and state institutions will be very important in this respect.

### Producing an Integrated Theory of Change

#### Strategic Integrated ToC

- It is suggested that NRC frames an integrated strategic level theory of change (ToC) around “Resilience” as the objective, and to make the term “Resilience” more concrete the (ToC) should make explicit reference to the 6 ‘capitals’ of resilience:
  - Human
  - Political
  - Natural
  - Social
  - Physical
  - Financial
- The interconnectedness of the ‘capitals’ of resilience should also be shown in this ToC.
- Consideration was given to recommending framing the integrated strategic level ToC around protection, however, in discussion with the NRC Lebanon CC specialists (WASH, Shelter, ICLA) it was felt that “protection” as the higher outcome or goal level would not be readily understood.
- Nevertheless, ABA will reduce social tension (which is a required objective) by targeting both host and Syrian refugees and therefore some mention in the strategic level theory of change should be made to reducing social tension as an objective. Consideration was given to framing this more positively as promoting social cohesion, however, the term ‘cohesion’ could be considered quite close to ‘integration’ which may not be palatable to Government of Lebanon stakeholders.

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<sup>31</sup> NRC, Integrated Programming Shelter and Settlement May 2019 Seminar, Internal NRC presentation.

- It is proposed that all interventions try to maximise the impact on all of the ‘capitals’ of resilience. These capitals could be considered at the household and separately at the community/neighbourhood level.
- An example would be considering and maximising the jobs for vulnerable Syrian refugees and Lebanese as part of developing solid-waste collection and sorting infrastructure, under a community project.
- Another example could be focusing on the improvement of semi-public space which may include stairwell or courtyard space, where there are opportunities for Lebanese and Syrian refugees to meet and Syrian refugees to increase their Social Capital. Understood to be very important in accessing livelihood activities and improving networks that can be called on to support coping in times of crisis.
- By focusing on the capitals of resilience, it may help to go past thinking merely in terms of CC sectorial Theory of Change.
- Given that the recommendation for adopting ABA is primarily for Urban and Peri-urban contexts it is also important to build the Theory of Change around a specific definition of Urban resilience, of which there are a few. The 100 Resilient Cities<sup>32</sup> initiative previously funded by the Rockefeller Foundation has looked extensively at urban resilience and defined it as ‘the capacity of individuals, communities, institutions, businesses, and systems with a city to survive, adapt, and grow no matter what kinds of chronic stresses and acute shocks the experience’. As such a strategic ToC could also be framed around increasing the capacity of the most vital urban systems, especially those which have impacts on multiple sectors. For example, the lack of affordable energy, could impact the pumping of water from bores, could impact educational outcomes by reducing educational study potential in the home where lighting becomes an issue, and could make housing inadequate, and streets unlit and less safe.

#### Operational Level Integrated Theory of Change

- This should be undertaken at the neighbourhood level, and requires the following activities:
  - *Context analysis*, provided by the neighbourhood profile
  - *Needs Analysis*, provided in part by the neighbourhood profile and the household level multi-sectoral needs assessment
  - *Response Option Analysis*, which can be provided by a range of items including MMR Municipal Action Plans, feasibility studies and option studies (potentially provided by Regional Technical Offices if these exist).
  - *Common Objective*, this can be defined as part of producing the integrated theory of change.
- It is suggested that an Operational Level Integrated Theory of Change is undertaken through a consultative workshop with key stakeholders such as representative households, municipal staff, civil society actors, potentially private sector representatives. Separate workshops/interviews may be required with different groups to promote participation. Stakeholders other than humanitarian agency staff are far more likely to produce integrated ToC since they are less likely to think in sectors.

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<sup>32</sup> <https://www.100resilientcities.org/> [accessed September 2019]

- Workshops to produce an integrated ToC may consist of creating the problem tree, solution tree and the ToC through a participative process. General questions revolving around 'Why?' and 'So what?' can be asked to understand causal relationships.

#### Indicators

- It will be essential to develop SMART and integrated indicators to help to drive integrated programming as part of any inception phase. It is suggested that this is undertaken at both a strategic and neighbourhood operational level. However, the issue of complexity of urban systems, causality and attribution is a significant concern
- Section 3.10 Monitoring and Evaluation of Good Practice Review 12: Urban humanitarian response<sup>33</sup> provides a number of good principles and references several key texts which can be used for developing a monitoring and evaluation (M&E) framework. It specifically advocates for complexity and system thinking when considering M&E.

## Partnerships, Complimentary Programming & Referral

- Integrated programming will require working much more closely with agencies that offer programming and services that NRC does not provide, or are already active and established in an area NRC is targeting for an area-based approach.
- The level of partnership and mode of working can vary from referrals to an agency engaged in particular programming with it's own funding to a sub-grant agreement. Modes of working could also include creating and adopting common tools and methodologies like that which occurred in Sabra in Beirut for vulnerability assessment.
- An example of a partnership that NRC is currently exploring relates to the use of students from Lebanese University undertaking the urban planning programme for both the collection and analysis of data that can support neighbourhood programming.
- At the country office level it is strongly recommended that a partnership is explored with UN-HABITAT recognising their significant experience and expertise in setting up Regional Technical Offices and undertaking neighbourhood profiling. With NRCs experience recognised as supporting neighbourhood profiling, community level action, and implementation of activities in response to an agreed plan. Some form of partnership is suggested to support the institutional approach/capacity building component of local government which may be required under a flexible approach.
- At an area level, humanitarian agencies and community based organisations will be mapped in the proposed area of intervention as part of the context analysis or validation of the neighbourhood profiling. This could partially be part of the neighbourhood selection assessment by NRC.

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<sup>33</sup> Sanderson, David, 2019 Good Practice Review 12: Urban Humanitarian Response, Humanitarian Policy Group, Overseas Development Institute, available from: [https://odi.hpn.org/wp-content/uploads/2019/03/GPR-12-2019-001-244-web4\\_FINAL.pdf](https://odi.hpn.org/wp-content/uploads/2019/03/GPR-12-2019-001-244-web4_FINAL.pdf) [accessed September 2019]

- Potential downstream partnerships with relevant private sector and schools/universities who can support with an area-based approach may also require mapping and investigation.
- NRC ideally at area manager level initially will need to strategically engage with the most significant actors in selected areas of intervention to facilitate partnerships, complimentary programming and referral later.

## Staffing of integrated programming

### Leadership of integrated programming

- NRC globally is relatively (compared to other humanitarian organisations) weak in integrated programming, and from discussion with a range of NRC staff the main barriers appears to be the CO-OP system which means that programmes that cover more than one sector are often led by one core competence rather than by a more overall project manager.
- Many NRC country offices appear to be discussing Integrated Programming for their light-touch revisions to their country strategies in 2019. It is understood further guidance is due to be issued by Global M&E on integrated programming Macro Logframes this year.
- If Integrated programming is to be achieved it is going to require strong leadership at both a country level and at the area level. Interestingly some area level staff have suggested that it is easier to drive ABA at the area level partly because shelter and wash sits as one team in two of the three areas, and the problem is perceived to be greater at the country level.
- Integrated programming for NRC Lebanon will be a partial shift in mindset and will require the different CCs actively working together to undertake jointly:
  - context analysis, needs analysis and response option analysis as part of the area-based approach.
  - identifying valuable cross-linkages in traditional sectorial programming.
  - developing proposals and integrated programming theory of change.
  - developing SMART integrated indicators
- It is recommended that at the country office level, if there is adequate funding available from an integrated programme that an advisor is brought in to support the head of programmes with leading on integrated programming, particularly during the inception phase of an integrated programme. The advisor would sit separate to the CCs to be seen as neutral and report directly to the head of programmes. They would play more of a Programme Development Manager role in relation to developing new integrated processes during the inception phase.
- It is also recommended that once an integrated approach is agreed that key programme management unit staff which sit outside the CCs, such as Grants, M&E and the head of programme support staff are tasked with supporting integration.
- To support engagement by all CC specialists in the context analysis and response analysis, even when a particular CCs area will not be selected for a project (perhaps because there is a stronger agency in that area that works in that sector, or it is found not to be a priority), the budget split between the CCs will need to allow for the CC specialist time to incentivise working on these preliminary steps. Once the project



is defined after the inception phase then a budget revision may be required to allow the agreed sector to be focused on. This will require NRC internal system flexibility and donor flexibility.

#### **NRC project management of integrated programmes**

- NRC has applied its HR CO-OP structure quite rigorously across the organisation meaning that staff sit in sectors which it calls core competences (CCs). This has previously been sighted as a barrier to integrated programming. However, in the last year or more NRC HR globally and in a number of regions has become more relaxed to all non-standard CO-OP positions if the need can be adequately justified.
- Some NRC regions and country offices have allowed integrated project managers (iPM) or multi-CC PMs to manage integrated programmes. Where the PM manages an integrated programme at the area office level and interfaces with several CC specialists at the country level.
- There is also a historical precedent of having some CCs merged at the area office level and sometimes at the country office level also. This happens in many country offices with regards to Shelter and WASH. For Shelter and WASH in Lebanon CO there are merged PMs and staffing structures in the South AO and the North AO and only Bekaa Valley AO has a separate WASH and Shelter PM and associated teams.
- NRC also has Area Programme Managers where the area office is large and managing many projects. NRC Lebanon has one area where this is the case. However, in general the Area Programme Managers are line managing CC PMs and Coordinators and may not have time to actively project manage an integrated programme.

#### **Geographic Information Systems (GIS)**

- GIS capacity will be essential to help to realise an area-based approach, given that this is fundamentally an approach based upon a spatial framework. It is suggested that an Urban Planner with strong GIS skills is recruited at a national level to help support all Area Offices. This is particularly important while GIS capacity at the Area Office level is built, and to support other functions such as better visualising M&E data to support decision making and Grants related activities.
- Recommended that the GIS staff member sits outside of Shelter CC in the PMU and under Head of Programme Support (HoPS), to support all CCs and to be considered “independent”.

#### **The importance of Housing Land and Property (HLP) rights capacity**

- Adopting an area-based approach will lead to areas of housing vulnerability being highlighted from neighbourhood profiling or similar.
- Some of these areas of housing vulnerability are likely to be in informal areas (owned by the municipality but unofficially occupied for example).
- Understanding the tenure situation and undertaking due diligence related to HLP rights will be essential and may take significant time and effort prior to an intervention being able to commence.
- NRC includes HLP rights within Information, Counselling and Legal Assistance (ICLA) Core Competence (CC), this can lead to a lack of enthusiasm and buy-in from the ICLA teams in some areas (and country offices not specific to NRC Lebanon CO) to prioritise work on HLP rights. Often the HLP activities are a pre-cursor of shelter

activities where the resolution of HLP issues is therefore very important to shelter teams but this may not be properly appreciated by ICLA staff.

- This institutional challenge may be more specific to NRC since other agencies may include HLP staff within Shelter. At the IASC global level the HLP area of responsibility (AoR) is an AoR which is jointly managed under Protection and Shelter.
- It is suggested that strong consideration is given to placing HLP rights dedicated staff within the shelter teams (with administrative management) but with technical line support from ICLA.

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## Annex B - Preliminary Internal NRC Road map

If it is agreed that NRC Lebanon will adopt an area-based approach in urban environments, then the following steps are recommended:

1. NRC Lebanon Programme Management Unit (PMU) to review this study and agree adoption of ABA for some future proposals. Ideally the NRC Lebanon Country Management Team should also agree this, because it will have impact on a range of support functions also and the overall strategic direction of the country office.
2. Develop an internal and external communications strategy and associated summary documents (summarising this study pulling only relevant parts for the audience) which makes it clear why NRC is adopting ABA.

Internal communication strategy will relate to the relevance and importance of ABA in an urban context and what CCs can do to adopt ABA. External communication strategy will highlight to external stakeholders that NRC is adopting ABA, the rationale for it, and advocate (specifically for donors) flexibility to allow ABA to occur and funding for the coordination requirements related to ABA. Advocating for multi-years funding in line with the Grand Bargain are also required to enable an approach which will require much longer engagement to achieve properly consulted, owned, and sustainable change.

3. Consultation with:
  - a. Most relevant line ministries and national and regional authorities regarding NRC adopting ABA and what this could mean for targeting of interventions for NRC's direct programming. This could include MoSA, MEW, MEHE, Regional Water Establishment for example.
  - b. UNDP regarding municipal action plans generated and any follow-on they are aware of. David Dalgado and Sawsan Saad has a meeting with Marina LoGiudice of UNDP to discuss MMR on 24 September 2019 with some followup actions by Marina LoGiudice
  - c. UN-HABITAT and UNICEF regarding supporting RTO or RTO like modality and neighbourhood profiling. Discussions specifically around partnering for proposals with UN-HABITAT.
4. Capacity development plan on Area-based approach developed for:
  - Area Managers and Area Programme Managers
  - Shelter, WaSH, Education and ICLA Country level staff
  - PM and Coordinators

This may include relevant training courses such as those run by IMMAP/JIPS on ABA or courses by UN-Habitat for example. However, it may also include workshops on how to better undertake partnerships, complimentary programming, and referrals.

5. Discussion with MENA Regional Office Livelihoods Advisor regarding the potential to undertake an economic inclusion and livelihoods integration feasibility study to support integrating household economy considerations and livelihood referrals into all programming targeted at the household level. Also required to support adopting market-supporting and market based approaches throughout programming.

6. Development of strategic level integrated theory of change
7. Preliminary study of potential target locations for ABA as early as possible as discussed in 6.1.2 Adopting an Area-Based Approach to support proposals
8. Proposals to donors for multi-year funding related to ABA for those vulnerable neighbourhoods selected.
9. Consultation with municipality and other agencies and CBOs in selected area regarding ABA.
10. Exploration of partnerships, and development of referral and follow-up system at the neighbourhood level.
11. Undertaking the further steps described in 6.1.2 Adopting an Area-Based Approach once funding for confirmed.

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## Annex C – Area-based Approaches Introduction Slides

See slides from UN-HABITAT in separate PDF file.

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## Annex D – UN-HABITAT Regional Technical Office (RTO) programme

### Introduction

- UN-HABITAT has adopted a model where they setup Regional Technical Offices (RTO)<sup>34</sup> under the Union of Municipalities (UoM), and these RTOs (which generally consist of one or more staff member often with an architecture or urban planning background) support the municipalities with:
  - Identifying and prioritising problems
  - Developing technical-sound and cost effective solutions particularly in relation to upgrading, rehabilitation of community facilities and services
  - Good governance, administration, community participation, implementation and maintenance of infrastructure and urban services
  - Coordination in general, including between municipalities, with civil society, MOSA, SDC, Water Establishment, schools, health centres, CBOs, NGOs, private sector and communities.
- RTOs were established under Article 122 of Decree-Law no 118/1977, which states that the engineering unit in the Union shall be in charge of technical studies and developing plans. UN-HABITAT is currently advocating for a public endorsement from the Ministry of the Interior and Municipalities to recognise that RTOs can play a broader role than mandated by this law (which they currently do unofficially)<sup>35</sup>
- The RTOs although initially funded in their salaries by UN-HABITAT, but are fully managed by the UoM or municipality, and their office running and operating costs are covered by the UoM or municipality. Overtime (generally after the 1<sup>st</sup> year) the funding of the salaries is transferred to the UoM as more projects are brought into the UoM through the RTOs efforts.
- The Unions or municipalities which host RTOs: included<sup>36</sup>: Bint Jbeil, Jabal Amel, Tyr UoM, Saida Municipality, Al Fayhaa UoM, Al Fayhaa UoM, Saida Municipality, Nabatieh Municipality, and Sahel Zahrani UoM.
- Since 2007 UN-HABITAT has established 10 RTOs in total mainly at the Union level but some at the municipal level. 7 of these have continued to date and 4 of these are completely self-funding. One RTO is currently under-establishment in Bourj Hammoud Municipality. Beirut Municipality at September 2019 is currently negotiating with UN-Habitat to establish an RTO but under their own funds.
- The running costs of a typical RTO are approximately 60,000 USD per year based upon an Architect at \$1200-1600 per month, a GIS specialist at \$1000 per month, Social Worker/Mobiliser at \$1000 per month. There is also approximately \$10,000 of setup of office costs such as IT equipment and printer, and generally a need for a

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<sup>34</sup> UN-HABITAT, no date, Regional Technical Offices – Improving Municipal Planning and Enhancing Local Governance, available from: <https://new.unhabitat.org/regional-technical-offices-improving-municipal-planning-enhancing-local-governance> [Accessed 20 August 2019].

<sup>35</sup> Meeting between Lady Habchy of UN-Habitat and David Dalgado, 12 September 2019

<sup>36</sup> Correspondence between Lady Habchy of UN-Habitat and David Dalgado, 02 August 2019

small operational budget per year to cover communications and printing. Note that normally the municipality will provide the actual office location.

## Impact and Sustainability

- An evaluation of the RTO in Tyr<sup>37</sup> in 2018 indicated that the RTOs are very cost effective in terms of the alternative of privately contracting out the consultancy work related to producing drawings and designs, however, internal changes were needed in the structure of the Union if the RTO was to be sustained after UN-Habitat funding ceased to make the staff permanent employees. This RTO consisted of computer scientist, an architect, a Foreman, and two topographic engineers.
- From discussion it appears that one of the most significant impact of RTOs that through their creation of detailed plans it is possible to leverage funding for projects by giving agencies something they can readily fundraise for and that they have a sound basis for.

## Recommendation

- NRC does have experience of supporting staff in local government, through the Municipal Support Assistants (MSA) who played a coordinating role in local government. However, the RTOs combine this with significant technical capacity to undertake the role described above.
- Where an area-based approach (ABA) is to be adopted it is recommended that the establishment of an RTO is strongly considered if it does not already exist, ideally by encouraging donors to fund UN-HABITAT to support the union or municipality with this directly. Alternatively partnering with UN-HABITAT.
- However, although, it is strongly desirable to have an RTO in place in a municipality when an ABA is being adopted by multiple agencies it does not prohibit an ABA being adopted.
- If a full RTO can not be established it is still recommended that a Technical Officer with an architecture or urban planning background be funded into the municipality where there is acceptance of this, to support the municipality with coordinating and inputting technically into detailed neighbourhood plans, assuming that this would be acceptable to the municipality.

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<sup>37</sup> UN-HABITAT, October 2018, Regional Technical Offices Assessment Report – Zurich and Tyre City to City Project Partnership, shared by Lady Habchy of UN-HABITAT to David Dalgado, 02 August 2019

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## Annex E – Municipality Selection Criteria

### Introduction

NRC Lebanon (LB) is potentially adopting an area-based approach modality, where the entry point will be the Municipality, even if only some neighbourhoods within the municipality are selected for focus. As part of selecting the municipality the following analysis is required and the following criteria is proposed to identify potential municipality to target for NRC support.

Note that some of the below has been informed by NRC's CSP selection criteria<sup>38</sup>.

### A map overlaying the following data should be produced

- The 31 neighbourhoods that UN-HABITAT proposes to complete neighbourhood profiles for in 2019/2020, those which are already profiled and those where it is still to commence. The planned priority list for profiling for after the current 31 (and beyond, if they already know).
- The municipalities and union of municipalities supported by Regional Technical Offices. List supplied by UN-HABITAT.
- The 498 vulnerable neighbourhoods that UNHABITAT has previously identified through extensive consultation with the Unions and Municipalities amongst other stakeholders.
- The 112 municipalities which currently have municipal action plans supported by UNDP.
- The 251 vulnerable cadastres identified in 2015 by UNDP, of which UNDP is developing municipal action plans.
- Target municipalities from discussions with relevant (to NRCs CCs) line ministries (MOSA, MEHE, MEW for example) regarding the municipalities they would prioritise to support given that the municipalities are hosting a large number of Syrian Refugees.
- Areas where NRC has previously engaged and worked, and pre-existing plans of NRC.
- NRC referral data and data from community focal points
- Plans of other significant agencies who may impact on selection of a municipality for adopting an area-based approach.

### Decisions to be taken by NRC in advance of geographic targeting

- Agree NRC Area Offices (AO) for first year of activities. If two AOs, which two?
- Understood from discussions with NRC LB Shelter Specialist that it might be appropriate to focus first two municipalities for assistance in the North and South, recognising that Bekaa Valley will be busy with responding in ITS in-particular. This seems like a reasonable rationale to be discussed with NRC HoP.

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<sup>38</sup> NRC Lebanon CO Community Support Projects or Stabilisation projects identification & approval SoP, internal document, private correspondence NRC Lebanon WASH specialists, Pilar Romero-Ardoy, 25/9/2019



**Suggested Criteria**

- Significant percentage of Syrian Refugees living in municipality.
- Municipality is struggling to cope with providing services to both host Lebanese communities and Syrian refugees and other vulnerable groups such as Palestinian refugees. This could be assessed by a rapid review of services offered by the municipality or from discussions with key informants (especially Unions).
- Current municipality mayor and administration is likely to be in post for the rest of the 3 years of this political cycle (i.e. no power sharing arrangement agreed).
- There is political willingness to support both vulnerable Lebanese and vulnerable Syrian refugees, gauged by discussion with the Municipality and other key stakeholders such as the head of the Social Development Centre for example. Also review any municipal generated or enforced restrictions on refugees such using statements from local politicians, notices of curfews, restrictions on access to areas of the municipality or gardens.
- There is acceptance by the Municipality and other key stakeholders of the modality of support proposed by NRC.
- Pre-neighbourhood profiling rapid assessment of potential neighbourhoods that there are likely to have significant needs that NRC Lebanon's CCs are relevant to. I.e. needs in Wash, Shelter, ICLA and Education.
- Municipality gives some indication that they want to improve access to adequate low-income housing.
- Although not essential criteria, some consideration should be given to whether NRC has previously operated in the municipality or neighbouring municipalities and has some pre-existing relationship with the municipality. This does not justify working in the same municipality year after year, without objectively considering geographic targeting of interventions based on vulnerability and where NRC can best add value.
- Risk assess potential municipalities for items which could reduce success of the project this could relate to local politics and any informal governance, but may also relate to other factors.

To support with summarising the above in a preliminary study the following table could be completed:

|  | Municipality<br>x | Municipality<br>x | Municipality<br>x | Municipality<br>x | .... |
|--|-------------------|-------------------|-------------------|-------------------|------|
| Location   |                   |                   |                   |                   |      |
| Population of<br>Lebanese  |                   |                   |                   |                   |      |
| Population of<br>Syrian<br>refugees                                |                   |                   |                   |                   |      |
| Information on<br>existing<br>municipality<br>capacity             |                   |                   |                   |                   |      |
| Mayor<br>expected to be<br>in post for<br>2020 – 2022<br>(3 years) |                   |                   |                   |                   |      |

|   |  |  |  |  |  |
|---|--|--|--|--|--|
| Political willingness to support Syrian refugees                                |  |  |  |  |  |
| Acceptance of modality of support   |  |  |  |  |  |
| Agencies supporting municipal administration capacity building                  |  |  |  |  |  |
| Agencies/CBOs working in municipality   |  |  |  |  |  |
| Pre-neighbourhood profiling assessment notes                                    |  |  |  |  |  |
| NRC past work in municipality or relationship with NRC notes                    |  |  |  |  |  |
| Pre-identified risks (especially political) which may reduce chances of success |  |  |  |  |  |

### Suggested Methodology

1. Longlist potential 10 to 12 municipalities with basic data from a range of secondary sources first, this could be entrusted to the Area Office Shelter & Wash PMs in-conjunction with the Area Managers.
2. Shortlist to 6 to 8 from discussions with municipalities particularly in relation to political willingness and acceptance of modality. However, care must be taken to not raise expectations.
3. Undertake some pre-neighbourhood profiling preliminary rapid assessments to understand scope for potential integrated community support projects relevant to NRC Lebanon's CC (Shelter/Wash/ICLA/Education) value add.
4. From step 3, if funding is likely agreed, and consultation has been undertaken to an appropriate extent, select municipalities and consider agreeing a Letter of Intent with these municipalities, outlining what NRC and the Municipality will aim to work together on (e.g. placement of technical officer, neighbourhood profiling, relevant community projects), should project funding become available. However,



## Annex F - Framing the development of a new approach

### Introduction

There are a range of global, regional and country level policies, strategies and principles that must shape and frame the development of a new strategy. The following is a summary of a review of the most important ones.

### Summary review of framing policies, strategies and principles.

| LEVEL    | ITEM   | SUMMARY RELEVANT TO THIS STUDY  |
|----------|--|---|
| Global   | Global Compact for Refugees <sup>39</sup> & Comprehensive Refugee Response Framework <sup>40</sup> (CRRF).<br><br>New York Declarations of 2016. | <p>Although this is a non-binding framework, Lebanon did vote to endorse the Global Compact for Refugees in December 2018 at the UN General Assembly. There was also a conference on related to it in Beirut in October 2018, organised by UNHCR with some sessions attended or delivered by some senior civil servants of the Lebanese government.</p> <p>This calls for more global sharing of responsibility for refugees, to ease pressure on host countries. One of the elements of the New York Declaration was the “Whole of society approach” which adopting an area-based approach would support.</p> <p>However, the CRRF also includes supporting “Self-reliance” for refugees and “Enhancing durable solutions” (although this highlights resettlement and return, and not integration). The current political context in Lebanon would make at least part of the CRRF unworkable.</p> <p>Informal discussions with UNHCR practitioners in Lebanon indicate that within Lebanon the CRRF and the Global Compact for Refugees has not had significant impact on programming. Nevertheless, an area-based approach would be supportive to these policies and framework.</p> |
| Regional | UNHCR’s Comprehensive Protection and Solutions Strategy,   | <p>This seeks to support host country resilience.</p> <p>A flexible area-based approach which includes a component of institutional strengthening is aligned</p>  |

<sup>39</sup> UNHCR, Global Compact for Refugees, December 2018, available from: <https://www.unhcr.org/the-global-compact-on-refugees.html> [accessed 26 July 2019]

<sup>40</sup> UNHCR, Comprehensive Refugee Response Framework, no date, available from: <https://www.unhcr.org/comprehensive-refugee-response-framework-crrf.html> [accessed 26 July 2019]

|            |  |  |
|------------|--|--|
|            | which is the CRRF objectives adaption to the Syria situation <sup>41</sup> . | with this document in relation to strengthening host country institutions.<br><br>Further to this it is suggested that all programmes are considered with regards to their contribution to the capitals of resilience.   |
| Country    | Lebanon Crisis Response Plan 2019 <sup>42</sup>                              | As part of the Part II: Response section, p27, expanding coverage in Urban areas is highlighted and expansion of multi-sectorial needs analysis with specific reference to Neighbourhood profiling is referred to. Working in partnership with the local authorities is also referred to.<br><br>Part II: Operational  |
| Global NRC | 2019-2022 Global Shelter and Settlements Core Competency Development Plan    | A flexible area-based approach where components of an institutional and systems approach is very well aligned with the Global level Shelter Development Plan. This is particularly with regards to: <ul style="list-style-type: none"> <li>- the <i>Foundations</i> which include a <i>Coordinated approach, Engagement with communities</i></li> <li>- <i>Modalities</i>, which include <i>Integrated, settlement-based programming, Cash and market-based programming, Data and digital technology to deliver better programming.</i></li> <li>- <i>Strategic Response Areas</i>, including <i>Urban displacement</i></li> </ul>   |
| Global NRC | NRC Global Programme Policy 2018-2020 <sup>43</sup>                          | The key elements of this programme policy which supports the adoption of an area-based approach (ABA), are <ul style="list-style-type: none"> <li>- Participatory, accountability and in proximity. ABA through its significant elements of consultation and participative design throughout the context analysis, needs assessment phases and the planning phases have accountability at their centre. In addition to this the support with institutional strengthening of the municipality and adopting a systems approach when looking at important markets also plays a significant role in meeting the guidance for this section of the programme policy.</li> <li>- Partnership. ABA will only be a success if partnerships are adopted. Whether this be with munciple or regional government institutions or whether this be with other NGOs.</li> <li>- <i>Contextualised</i> programming through the adoption of neighbourhood e-profiling first, and “strategic planning..and how different</li> </ul> |

<sup>41</sup> UNHCR, 2018, Comprehensive Protection and Solutions Strategy: Protection Thresholds and Parameters for Refugee Return to Syria. Febuary 2018, available from: <https://data2.unhcr.org/en/documents/download/63223> [accessed 26 July 2019]

<sup>42</sup> United Nations & Government of Lebanon, 2019 update, Lebanon Crisis Response Plan 2017-2020,

<sup>43</sup> NRC, Global Programme Policy, 2017 [https://www.nrc.no/globalassets/pdf/policy-documents/programme-policy/nrc-programme-policy-2017\\_high-res.pdf](https://www.nrc.no/globalassets/pdf/policy-documents/programme-policy/nrc-programme-policy-2017_high-res.pdf) [Accessed 26 July 2019]

|        |  |   |
|--------|--|---|
|        |  | <p>sectorial interventions can be coordinated or combined to address needs and achieve common objectives” are also at the centre of the ABA recommended.</p> <ul style="list-style-type: none"> <li>- <i>Coordinated</i></li> <li>- <i>Evidence-based needs assessment.</i></li> </ul>                          |
| Global | Global Alliance for Urban Crisis <sup>44</sup> | <p>This global community of practice publishes a range of policy papers and guidance.</p> <p>The Urban Crises Charter<sup>45</sup>, produced by the Global Alliance for Urban Crisis, March 2016. Emphasises building urban resilience and as part of this institutional strengthening of the municipality.</p> |
| Global | Habitat III: The New Urban Agenda<br><br>2016  | <p>Capacity building of national and local government is part of promoting urban resilience, and the strategy proposed in this document is consistent with this.</p> <p>Well-planned and integrated responses are called for by this document.</p>  |

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<sup>44</sup> Global Alliance for Urban Crises, undated, <http://urbancrises.org/> [Accessed 26 July 2019]

<sup>45</sup> <https://www.icvanetwork.org/system/files/versions/Urban%20Crises%20Charter%2025%20March%202016.pdf> [Accessed 26 July 2019]

## Annex G – Methodology Summary

### Introduction

- The study was undertaken by David Dalgado, Global Roving Shelter Specialist, NRC, between mid July and the end of September.
- David Dalgado visited Lebanon CO between 15<sup>th</sup> and 25<sup>th</sup> July, and 5<sup>th</sup> and 13<sup>th</sup> September for face-to-face meetings, interviews and discussions.
- A number of remote interviews were also undertaken at the end of July, and in August and September.
- NRC Lebanon Shelter staff in all area offices undertook some followup activities with additional municipalities and with some households.

### External Consultations undertaken between July – September 2019

|  |
|--|
| <b>Organisation</b>  |
| ESA Business School, Center for Research, Studies and Documentation (CRED)                 |
| Abbasiyeh Municipality – Mayor   |
| Abbasiyeh Social Development Centre (SDC)  |
| Mohammara Municipality – Mayor   |
| Bhahhne Municipality - Mayor   |
| Cites Unies Liban/Bureau Techniques des Villes Libanaises                                  |
| KFW in Lebanon   |
| Lebanon Shelter Sector Working Group Leads – MoSA & UNHCR & UNHABITAT Shelter Coordinators |
| Municipality Saadnayel   |
| Municipality Kfarzabad   |
| Medair Lebanon   |
| Habitat for Humanity Lebanon   |
| UN-HABITAT Lebanon   |
| Save the Children Lebanon  |
| Lebanon Protection Consortium  |
| Livelihoods Sector Working Group Lead  |
| UNDP – Municipal Action Plans related  |

A small number of household interviews were undertaken in each area by the shelter teams in relation to this study.

### Internal Consultations within NRC July – September 2019

|  |
|--|
| NRC Lebanon Programme Management Unit – Head of Programme, Shelter, WASH, ICLA, Education specialists and their coordinators where appropriate. Monitoring and Evaluation, Grants, Head of Programme Support, Protection |
| NRC Lebanon Head of Consortiums  |
| NRC Lebanon Area Managers  |
| NRC Lebanon area office staff North, South, Bekaa – specifically the Shelter and Wash PMs and teams, and also the Wash PM in Bekaa.  |
| NRC Jordan – Head of Programme and current Shelter leads   |
| NRC MENA Regional Office staff – especially Livelihoods Advisor and Programme Advisor  |
| NRC Global Shelter Advisor   |
| NRC Global M&E   |

|  |
|--|
| NRC Syria Response Office Shelter and Wash CC Specialist |
|--|

**Key Workshops attended July – September 2019**

NRC Lebanon PMU – Integrated Programming Workshop – July 2019

NRC Lebanon South – Palestinian Integrated Programming Workshop – July 2019

UN-Habitat convened Area Based Approach Workshop – 5<sup>th</sup> September 2019

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