

**Planning of Rural Settlements
as
Durable Solutions for Refugees**

**D. Drucker
Consultant**

**Technical Support Service
UNHCR Headquarters, Geneva
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Refugees

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Settlement Planning Handbook

Prologue

"When an ideal is pursued by a whole community, as in some communal economy schemes, it may make a scheme feasible through the sacrifices the participants are prepared to accept; but when the vision is only in the mind of the initiator, as it has been with most complete settlement schemes, the effects are often a sequence of unrealistic estimates, uneconomic measures and personal commitments which comprise part of the risks of the project."

Settlement Schemes in Tropical Africa, page 260,
Robert Chambers, RKP, 1969

D. Drucker
UNHCR, Geneva
April 1987

INTRODUCTION

UNHCR has the mandated responsibility to seek and pursue "durable solutions". One of these is that of rural settlements.

This guide is intended for those responsible for planning rural settlements,

where rural settlements are a realistic option and a solution of choice for a particular group of refugee/settlers.

The refugee/settler designation has been used here to indicate the nature of the overall objectives.

The establishment of rural settlements aims to reduce and eliminate dependency and the attainment of effective interdependency within the normal organisational framework of the host country.

'Refugee' is a formal status which implies considerable, if varying, degrees of dependency, and a not-belonging in relation to the surrounding society. Psychologically, refugees tend to be predominantly backward-looking in the sense that their past is very much a focus of their concerns. They naturally dwell on their experience of loss, such as the abandonment of resources, the loss of livelihood, of family members and friends, of the security within familiar community institutions, of their exercise of choice in a whole range of matters, and frequently of their habitual physical health, strength and energies.

For refugees, 'settler' implies a sufficient recovery from the trauma, losses, and energy-sapping concern for the past, a moving towards new resources, essentially a forward-looking orientation accompanied by strong motivation, determination and direction of energies to the future. The process of transition from refugee to settler is therefore a profound and complex one and requires much sensitive planning built upon past experience.

Such planning to date has to a great extent drawn on technical knowledge and professional experience related to the physical environment and the quantifying methods of economics to provide guidance on production potentials, optimum scale, costs and expected benefits. People and their environments are intrinsically interactive and indivisible, but as there is much less sound knowledge about people and their behaviour than there is about the processes of the physical world, understandably the latter has been given greater attention. However, it has become increasingly evident that even the seemingly best-conceived plans have fallen short of expectations because of the limitations of know-how and attention to the people or social, aspects.

This guide will go some way to bring into focus the directions that a people-oriented planning process might take and to outline an improved technical/social mix of expertise in arriving at rural settlement programmes and projects.

Whether the planning of rural settlements is approached from the technical or social perspective,

the objective is the establishment of viable communities.

Viability of a rural settlement must of necessity be based on the available natural resources. These resources must include water, soil, food crops, animals, forests, fuel and so forth. Viability will depend not only on initial availability but also on their maintenance, renewability and improvement. These are specialist matters, as is the impact of climate and possible and appropriate means and technologies of balanced exploitation which maximise production without degrading or upsetting the ecological balance. The specialists' recommendations and opinion must draw on local wisdom and must also consider such knowledge in the context of an extensive range of tested knowledge and professional experience.

In contributing to the planning of refugee/settler rural settlements the specialists have found themselves faced with a wide variety of terrain, unfamiliar micro-climates, uncommon practices and adaptations, and data which is usually scarce, not readily available and of uncertain reliability. These specialist planners are also under extraordinary pressure with regard to the time available to produce recommendations and influence decisions which will have far-reaching and long-term significance.

This guide will indicate in what way the layperson or generalist can pave the way and facilitate the work of the relevant specialists,

so making the most effective use of the expertise leading to sounder planning and programmes.

Settlers who are realistically optimistic and can see the genuine potential of the available resources can be expected to strengthen their resolve and make the necessary hard pioneering work effort to create the conditions for the emergence of a viable community.

However, viability requires more than just resources and well-motivated settlers, essential as these are. In modern conditions, rural settlements cannot survive as isolated enclaves of self-sufficiency. Settlements require organisation and processes for, among other things, marketing and trading for consumer and maintenance items, credit facilities, agriculture extension, raising of revenues and taxes, transport, roads, dwellings, storage facilities, health provisions, education and the care and support of vulnerable members of the community. The necessary organisation and processes must attain the level and become an integral part of the system which exists in the surrounding society if the settlement is to be viable and if the settlers will come to feel they genuinely belong.

This wide range of development and integration of the settlements into the wider society are both an important objective of planning and the means of attaining viability.

It follows that planning rural settlements makes it necessary to give much attention to what exists or is developing in the areas immediately adjacent to the settlement, as part of the wider society's aspirations, plans and endeavours.

Especially as sites proposed for rural settlements are unlikely to be in locations which have previously been highly prized, and as the surrounding indigenous population may be among the poorest, development will have to both ensure the viability of the settlement and protect and promote the well-being of the surrounding communities. The planning horizon therefore extends well beyond the selected site. The implications are two-fold:

1. Rural settlements should be planned within the broader context of long-term development plans for the area which includes both refugee/settlers and the indigenous population. This may well mean the extension and modification of existing development plans or the stimulation of new ones;
2. The resources and skills concentrated on the refugee/settler settlements should be so planned as to encourage development in the surrounding area and steps must be taken actively to avoid the resentment of the indigenous populations or encroachment upon their means of livelihood and aspirations.

UNHCR's responsibilities are of course focused on the refugee/settlers although in practice some of its endeavours spill over and within limits should spill over into the adjacent populations. The benefits of strengthening the infrastructure and the delivery of some services cannot reasonably be divided up between refugee/settlers and others without torturous bureaucratic demarcation. UNHCR has the responsibility of establishing rural settlements by planning with, mobilising, contributing to and co-ordinating its inputs with organisations of government and non-government, and international agencies. By placing refugee/settler settlements firmly in the context of broader development planning and activities, this collaboration role is intensified. The earlier and the more skilfully UNHCR plans in the context of the longer-term development of the wider society, the more effective the shorter-term settlement plans and endeavours should become.

The refugee/settler must move from constituting a burden to becoming a valued contributor to the host country's development.

It is also important to know that if the wider and longer-term considerations are an agreed and integral part of the settlement planning from the start, UNHCR should be able to phase out and hand over its responsibilities to the appropriate host-country institution, administrative structures and specialist agencies sooner and in a more satisfactory way. It needs to be recognised, however, that there is no clear-cut switch from refugee to settler and if the aim is, as declared, to establish viable communities, then attention must be paid to what is involved in community.

Refugee/settlers by definition are not natural communities. Their loss of resources of all kinds, however inadequate they may have been, requires the external provision of much which natural communities possess. It must be widely understood that the resources provided represent recovery and start-up materials, made available to act as a scaffolding (rather than a permanent dependency-prolonging buttress) in the process of creating a new and dynamic community. Refugee-settlers are likely to have more dependents as a ratio of the able-bodied; an imbalance of male/female and young/old; different rates of natural population growth; different rates of migration in and out; they may find themselves in close proximity to strangers rather than kin and known neighbours. They may discover that their usual skills, practices and ways of organising things are not well-matched to the conditions and subtleties of their new situation. All these factors and more will distinguish them from natural communities. Natural communities cannot simply be planned and established externally. A community has to grow from within and, like biological processes, will have its own particular rhythms and pace. What can be planned for is to maximise the potential for growth of community, starting from what remains and exists following upon the refugee experience.

The refugee experience characteristically includes the breakdown of community and leaves a residue of insecurity and mistrust which often takes the form of concentration on self and immediate family. This is frequently a more powerful force working against community cohesion than the stimulation of care-one-for-another which can be the outcome of the bonding experience that shared threat and suffering can also engender. The recognition that more attention needs to be paid to these people-aspects of planning does not merely mean that more data and information about the refugee settlers is required, although, indeed,

planners will need to take into account more decisively who the particular group of refugee/settlers are and the nature of the current cohesion/fragmentation community balance which is to be the baseline for planning.

The plan will also need to devise ways to enrich, reconstruct or build community mechanisms appropriate to the needs of establishing, maintaining and developing the settlement in conjunction with the situation and developments in the surrounding society. It is in community building of this kind that the earlier-defined objective of self-sufficiency (which was frequently interpreted only in terms of food and produce) can be widened into:

the objective of community-based self-reliance.

Although this guide will outline the contribution of the social scientist in contributing his/her particular skills to those of the other specialists, the contribution should not be seen as just an addition to the planning process. The social scientist should have a role in the reshaping of the planning process itself.

There has been a growing insistence on the fact that communities, people, beneficiaries, should not be planned for but planned with, from defining objectives through all the phases of planning, monitoring and evaluation. The reasons for arguing this approval are applicable to refugee/settlers, but the means for realistically carrying out such exhortations in practise are as yet poorly developed. Nevertheless, finding ways is a matter of urgency, for the very process of involving the refugee/settlers is likely to go a long way towards creating communities which can equitably increase their control over resources, decision-making processes and regulative institutions of their own and of the larger society.

This guide will suggest some of the ways in which this community participation process can be integrated into the planning of rural settlements.

In summary this guide will reflect the recent changes in thinking and approach based on past experience:

1. Refugee settlements need to be planned within the wider framework of development in the host country;
2. self-reliance and viability comes to mean integration within the wider society;
3. refugees must come to be seen as a potential for contributing to the host country's development rather than as a burden on scarce resources;
4. participation by the refugees in planning the process of settling requires specific mechanisms;
5. the planning process itself must become more people oriented than previously if the technical expertise is to be effectively utilised.

Rural Settlements as "durable solutions"

AGREEMENT ON POLICY

In reaching a decision to explore the possibilities of UNHCR assisting a Government in establishing rural settlements it is first necessary to be sure that there is an understanding that UNHCR policy and the Government's policy and intentions are in accord.

Among the important issues for such understanding are the following:

1. The most desirable solution, that of return of the refugees to their country of origin, is for the foreseeable future not a realistic option. Therefore, the Rural Settlement option is to be planned as a long-term (if not permanent) solution to meet the prevailing situation.
2. The establishment of a Rural Settlement should be planned within the context of the Government's wider development plans and programmes. This implies:
 - the extension, modification or stimulation of new development plans which will include both the refugee/settlers and the adjacent indigenous population;
 - the active involvement of development agencies, donors, and national planning and financing organisations.
3. UNHCR's inputs must be understood to be available within an agreed time-frame, the implication being that Government will take over responsibility for the rural settlements as part of its development plan, and the take-over will be planned from the beginning step by step, as agreed implementation milestones for UNHCR phase-out.

4. It is advisable that the refugee/settlers in the same way as they are protected in relation to repatriation (i.e. return on a voluntary basis) should also be allowed to come to a voluntary decision regarding their transfer to rural settlements.*

5. That the refugee/settlers themselves must establish acceptable organisations and mechanisms, in order to play a very active role with the Government and UNHCR in determining the plans and implementation processes in establishing the Rural Settlements and in eventually integrating the settlement within the structures of the host country.

6. True integration implies:

- the Government's firm intention to confer appropriate land-holding property rights, trading licenses etc.**
- provision in due course for naturalization and full rights and duties of citizenship.

Having established:

- a satisfactory understanding with Government of the issues and implications of policy related to rural settlements,

the UNHCR representative is ready to turn attention to a Pre-Reconnaissance Stage.

* Although there can be no formal requirement of this kind, as a matter of pragmatism, settlers forced or placed under pressure are unlikely to be well motivated and willing to engage in the hard pioneer work required for long-term advantages. In such situations, it has been shown that the purposes for which settlements are established will be undermined.

** These issues involve legal provision for non-citizens. Later the issue of recruiting and employing refugee/settlers in services which are controlled by civil service or local government regulations all require some kind of special legal provision. Is the government ready to deal with such requirements?

The Pre-Reconnaissance Stage

Objectives

- a) To identify potential resources of information and support.
- b) To collect basic and readily available information regarding:
 - the possible development aspects of proposed sites,
 - the politico-administrative aspects of proposed sites,
 - the socio-economic aspects of proposed sites,
 - the refugee potential settler aspects of proposed sites.
- c) To provide a brief formal report encompassing the above and request a technical reconnaissance for likely sites.

Sources of Information

UNHCR representatives should find the following sources useful in obtaining information relevant to proposed rural settlements:

Technical Ministries
UN Technical Agencies
Geographical Institutes (General Survey Offices)
University Departments
Water Authorities
Private Enterprises
NGOs

The UNHCR representative should:

1. list all sources that prove useful (or might do so): Names, Addresses, Telephone. The appropriate contact persons should be alerted to the possibility that technical personnel might wish to make appointments during the Technical Reconnaissance Missions.

2. identify and list all agencies and contact persons (International, National, NGOs, etc.) and describe briefly all other development plans and programmes operating or proposed in, adjacent to, or relevant to, the settlement sites.

3. encourage the Government to offer a choice of (say) 3 possible settlement locations.

4. note the Government's reasons for suggesting each of the possibilities.
5. obtain as detailed an indication as possible of the proposed site boundaries.

6. list, collect copies, of all maps, surveys and studies related to the proposed sites and identify where they can be obtained.

(Aerial photography is particularly useful, and the list should indicate the scale of all maps, what areas they cover and the proposed site boundaries.)

7. describe the normal land-holding and tenancy rights prevailing in the country and indicate the Government's intentions regarding such rights in relation to the refugee settlers.

8. identify the Government's intention in the long run concerning the settlers acquiring citizenship (rights and duties) and full participation in national life.

9. establish what is the Government's intention in extending the usual range of services to the settlements:

Will the Government fully integrate settlement and adjacent services by:

- providing them immediately
- phasing them in on a planned schedule
- requiring initially to have them provided separately but intend to take over (when?)
- extending settler facilities to adjacent populations (so raising general standards of service) and taking them over (when?).

10. state how such services are ordinarily financed (revenues, contributions, payment for service, etc.):

- if revenues/taxes, will settlers pay? enjoy a period of tax exemption? for how long?
- if publicly-financed, will Government allocate staff and resources for ongoing provision of services?
- can there be provision for recruiting/training settlers for such national services?*

Make a visit to the sites

- UNHCR representatives must be careful not to raise false expectations, and avoid commitment to any particular site or activity. They should meet with local officials and community leaders to reduce rumours but get some feel of the likely response to settlers if such a decision is made regarding a particular location.
 - The UNHCR representative should arrange to be accompanied by his Government counterpart; anyone particularly familiar with the area; any technical ministry or international agency concerned with developments in the area; a carefully chosen member of the refugee/settler committee or planning group (whose role and responsibilities, should be well understood ahead of time).
1. Describe all means of access to the sites, seasonally, and the distances (and travel time) to significant adjacent locations.
 2. Describe local transport type, condition, any maintenance facilities.
 3. Explore why the sites have not been previously settled by nationals (a guide to problems?).

* See footnote page 2.

4. Obtain all local maps, surveys, etc.
 - Show on the map the boundaries of the proposed site and, if possible, view the boundaries to confirm that map and observable boundary features coincide.
5. Observe whether there are dwellings or signs of occupation and usage within the proposed site.
6. The UNHCR representative should take a camera (or cameramen) to provide pictures of landscape and significant features (hills, plain, volcanoes, swamps, erosion, rivers, bush, forest, vegetation, crops, water sources, typical dwellings, etc.).
7. Within the limited time available

Enquire, listen or observe and note any relevant information such as:

- Present claims formal or by usage of the site, water resources, animal grazing, fuel collecting
- Seasonal climate
- Seasonal rainfall
- Seasonal winds
- Seasonal river levels (flows)
- Seasonal wells (reliability), levels
- Seasonal springs (reliability)
- Irrigation methods, water carrying
- Erosion
- Animals (wild, domestic)
- Vegetation
- Land use
- Crops (and local crop yields per hectare)
- Major diseases, pests, etc.
- Availability and use of fertilisers/pesticides
- local private enterprises/contractors
- availability of mechanical land moving equipment, drilling rigs, etc.

- - the average local costs for available materials, items, labour, services:
 - eg. roads per kilometre
 - building materials
 - necessary tools, machinery, etc.
- produce and consumer goods in local markets (time of year, costs).
- economic activities.
- local licensing requirements
- Give an impression of local standards of living and well-being
- Give some assessment of people's attitudes to the possibility of development and settlers, and how the local people might be affected (positively/negatively)
- What can be learned of the local security situation

The extent and validity of this information can be expected to contribute greatly to the work of specialists. It will certainly save a lot of specialist time, which is both scarce and expensive. It should also provide the local UNHCR personnel with valuable experience and understanding for future activities, whether settlement is decided or not.

Refugees and Participation (Pre-requisites)

There is an emerging realisation that successful settlement has been impeded or made impossible by the neglect of the social aspects of planning. Emphasis must now be given to genuine refugee/settler participation in the decision-making process, because if the refugees are not ready, willing, or able to become settlers, the best physical, logistical and economic plans are futile.

To the extent that during the preceding emergency or care and maintenance periods mechanisms have been set up sensitively by the programmes to stimulate and encourage active refugee involvement in taking responsibility in their present situation and possible futures, there will be or will not be a solid foundation on which to base the planning of rural settlements. If such a foundation is not sufficiently in place, those responsible for planning will need to backtrack; repair the damage inadvertently contributed to by the relief programme in creating chronic dependency and passivity; and initiate the establishment of a foundation from which the refugee/settlers can play an active and all-important part in the planning process.

The UNHCR representative must:

1. Make effective arrangements for refugees to know and understand what the responsibilities of UNHCR are and how they and UNHCR can work together in partnership in dealing with their situation.
2. Determine and help to construct the kind of leadership structure which is acceptable to the refugees.*

This determination will depend on what leadership structure is still intact among the refugees.

It must be of a kind that can reasonably represent the refugees; reach some kind of consensus on issues and decisions; and express any genuine differences.

The leadership must accommodate the diverse perspectives of:

- factions
- minorities
- women

etc.

* See "Workshop on Refugee Participation and Social Services in Camps and Settlements in Africa", Nairobi, Kenya, 17-21 November 1986.

The refugees must experience the structure of the leadership as being their leadership, not an imposed one:

- traditional chiefs?
- block leaders?
- elected leaders?
- etc.

3. The refugees must be kept fully informed about:

what has happened

what is happening

what is being explored or thought about

what is being planned

what decisions will need to be made

3(a) *A range of methods for genuine two-way information exchanging must be set up.

What are the refugees' opinions?

What are the refugees' questions?

What are the refugees' objections?

What are the refugees' suggestions?

What are the refugees' preferences?

What are the refugees' priorities?

Possible Methods:

General meetings:-

Meetings of leaders

Meetings of block leaders

Meetings of special interest groups

-
- * Many activities involved here to keep refugees constructively busy. Some argue that such a process opens up a whole range of problems. However, it is better to handle these early and be aware of these problems if future projects are not to be put at risk.

Notices: Posters)
 Pamphlets) local language
 Boards)
 Comic Strips)

Regular open briefing sessions

Refugee/Staff run open Information Centres**

Settlers and Participation in Planning

1. In the context of clarifying UNHCR's responsibilities, and the area of durable solutions, make sure that all the refugees understand the circumstances which, in their situation, have led to decisions to explore the rural settlement option.
2. Determine whether the refugees would wish to establish a specific rural settlement planning group which would keep everyone informed of progress (including those who might not wish to avail themselves of this option or are even opposed to it).
3. Jointly spell out the rural settlement group's agreed responsibilities and activities. These should include establishing appropriate special sub-groups to consider specific areas of decision-making and concern.
4. Provide support activities.

The refugee/settlers and their settlement group or special sub-groups could spearhead much data collection (socio-economic?) with varying degrees of support, briefing, training, study groups, etc.

** See, for example, "A "do-it-yourself" information facility to disperse some tension and generalized anxiety in the refugee camps", D. Drucker, Bangkok, Sept. 1981, Annex.

An example of How to ... guides might be placed in the Annexes.

- Identify who is locally available to assist the refugees/settlers in collecting and presenting information?
or
- What national resources might be available to assist in these ways?
- 'How to ... guides' should be prepared for the settlement group(s) for each activity.

For example: Data collection

- Demography
 - Male/female
 - Ages (young/old/able-bodied)
 - Dependants, infirm, handicapped, etc.
 - Married/single
 - Family size/structure
 - etc,
- Identification of those:
 - actively interested
 - probably interested
 - might be interested
 - not very interested
 - not at all interested
 - opposed to
 - rural settlement

Registration of applicants for rural settlement

- Involvement in such issues as:
 - What are the criteria on which selection for settlement is to be made?
 - Who will decide who is eligible for settlement?

- Identify range of available skills
education level
qualifications

(Previous sources of income - a guide here?)
agro-industrial, service sectors, agriculture, other.

Settlers' Agricultural Familiarities*

- Terrain/seasonal conditions/climate
- Water conditions - rainfed

- irrigation
- river

- storage
- pumps

- wells
- drainage

- protection/maintenance
- Crops

- Animals: feeding/breeding/pests/diseases
- food, milk, work, transportation, skins, etc.

- Methods of cultivation
- Tools, tool-making, repairs

- Forestry, timber
- Fruit

- Fisheries
- Storage

- Machinery/Fertilizer, etc.

* The 'settlers' familiarities' will indicate what skills and experience the settlers can bring to the new conditions imposed by the resources available at the proposed sites and these should influence the project design. It is more than unlikely (and perhaps undesirable) that there should be an attempt to reconstruct the pre-refugee situation of the settlers, but the differences and gaps between past familiarities and future necessities can be planned for effectively if the planning group is aware of what the settlers will be bringing with them in terms of skills and experience.

Settlers' Familiar Diet

Range of usual items
Seasonal changes
Household food storage/water storage
Cooking methods (a refugee/settler cookbook?)
Fuels
Utensils
Taboos

Settlers' Familiar Housing/Dwellings

- Building materials
- Methods of construction
- Internal layout
- External layout
- Relationship to other dwellings
- Life span of dwellings/repairs, etc.
- Communal dwellings/facilities

Settlers' Familiar Land Holding Rights

- Ownership
- Inheritance
- Tenure
- Pasture/water rights
- Share-cropping
- Taxation (?)

Settlers' Familiar Communal Activities

- Co-operatives - purchasing
 - selling
 - equipment-sharing
- Community labour practices
- Dwelling construction
- Sowing/harvesting

Settler's Health Status

- Collection of available health statistics:
 - Morbidity
 - Mortality
 - Birth rates
 - Weights
 - Deaths - maternal/infant(Available from the health facilities utilized by the refugees)
- Familiarity with what diseases
- Familiarity with traditional health practices
- Familiarity with medicines/herbs remedies
- Familiarity with child birth practices
- Familiarity with weaning practices
- Familiarity with family planning practices
- Sanitation
- Modern medical facilities

Some of the above information may be available from the records collected at the time of registration of the refugees during the emergency or during the care and maintenance periods. However, there are long-term advantages to involving the refugee/settlers in the process of collecting, updating and expanding this information themselves. This presupposes, as indicated earlier, an efficient structure, organised by the refugees with relevant assistance. The process of organising themselves for these purposes will provide some evidence of the latent capacity of the refugees and can serve as a basis for assessing the skills and level at which the settlers can be expected to organise themselves for the settlement/development tasks.

The role of the community development worker and the place of socio-economic activity for data collecting and planning

An orientation which envisages working closely with refugees, recreating, supporting and actively working with refugee organisations and leaders, implies a range of tasks for personnel with community development skills.

There is much to be said for such a worker to be appointed as soon as possible in an emerging refugee situation.

Where and in whose administrative structure (Government, UNHCR, other) the community development worker should be located will depend on the specific situation. However, although much of his/her time should be spent at the field level, the post should be seen as a critical one in the team of planners and implementors of programme.

Community development worker job process

(Irrespective of the question of durable solutions)

- a) Arranging for a friendly reception of all refugees.
- b) Explaining the resources and facilities available to the refugees.
- c) Initially identifying leaders among the refugees,
 - actively enlisting these leaders:
 - in the receiving of the refugees,
 - explaining the resources and facilities.
- d) Assisting in the setting up of a satisfactory leadership structure properly representing the overall refugee population.
- e) Establishing methods for two-way information gathering and sharing between refugees, relevant personnel and the adjacent communities.
- f) Identifying tasks and providing support for the leadership or its sub-groups in playing an active part in the issues which affect the refugee community.

Community work for durable solution - settlement

1. Briefing the refugees regarding the progress being made in achieving durable solutions.
2. Explaining the situation when the government and UNHCR open discussion of the possibility of exploring the settlement option.

3. Explaining and opening up discussion by the refugees of the policy to be followed in exploring the settlement option and its implications for the refugee/settlers (especially the long-term perspective, integration, citizen rights and duties, etc.).
4. Assisting the refugees in setting up appropriate groups for playing an active role in the settlement planning and implementation processes.
5. Providing support and "How to ... guides" for the refugee/settler processes of data collection (pre-reconnaissance stage).
6. Arranging for on-going briefings, field visits (as appropriate) and discussion with technical specialists or at least full discussion of findings, options and recommendations (reconnaissance stage).
7. Arranging for full involvement of settlers in the project design.
8. Helping to spell out with the settlers a realistic work plan.*
9. Assisting in setting up detailed organisation of the settlers' activities in implementing the work plan, and establishing an effective monitoring/trouble-shooting process.
10. Assisting the settlers to take over appropriate responsibilities and to plan for on-going maintenance of these responsibilities at each step of the phase-out.

* For an example of method (although not drawn from a refugee situation), see D. Drucker, "An aid to Planning with the Community", Annex.

The reconnaissance stage

Objectives

- To assemble and review existing data and studies.
- To make exploratory field studies.
- To decide on what in-depth studies are necessary.
- To make a preliminary assessment of the settlement options and implications and provide a set of recommendations.

The reconnaissance activities are conducted by a team of specialists which might include:

-
-
-
-
- .
-
- Possible implementation partners.

(See sample terms of reference Annex.)

The reconnaissance mission will assemble data in a systematic and interrelated manner covering a wide range of subject matter.

The subject areas will include:

Soil investigations

Composition, quality, fertility, topography, erosion, drainage, means of maintaining ecological balance, etc.

Climate

Micro-climates, rainfall, evaporation rates, temperatures, winds, etc.

Water

Sources: surface, ground, river flows, spring reliability, wells;

kinds and quality: potable, non-potable;

availability: intake, storage, treatment, distribution, irrigation;

requirements/standards: human, animal, for crop, etc.

Agriculture/husbandry/forests

Vegetation, agricultural patterns and local practices, food crops, cash crops, yields, forest usage, grazing animals, pests and diseases, etc.

Technology

Local practices and potential;

water lifting methods, soil clearing and shifting;

crafts, toolmaking;

availability of machinery, maintenance facilities;

well digging, drilling;

storage and processing, etc.

Land use

Land ownership,

presence of local populations;

claims to grazing, fuel collecting, water rights.

These subject areas need to be looked at and modified (expanded?) by the TSU specialists.

Infra-structure

Establishment of boundaries.
Access: roads, seasonal influences, transportation.
Economic activities: agricultural, other, markets.

Administrative structures, services

Agricultural extension, veterinary, schools, hospitals,
dispensaries (levels of service), local leadership patterns.
Dwellings, communal facilities, lay-out, building materials and
methods.

Implementing options

Identification of possible agencies and an assessment of their
organisational capacity.

Reconnaissance missions assessment

A preliminary assessment is made regarding the proposed site's viability.
Viability must be judged in terms of self-sufficiency in food;
economically able to obtain basic necessities and to contribute to and
become integrated into the surrounding development activities.

The assessment must:

- estimate the carrying capacity of a given site (number of settlers at the establishment of the settlement and the expected population growth rate);
- outline the necessary and possible investments in establishing, maintaining and on-going development of settlement sites;
- suggest the budget requirements, staffing patterns and time frame within which implementation and hand-over can be expected.

The settlers and the reconnaissance mission

The assessment must also take into account what is known about the potential settlers. Where the settlers have been involved in a process of data gathering and organisation as outlined earlier the relevant data will be available. If the process has not taken place, the reconnaissance mission will need to recommend that such a process be established immediately and the socio-economic data be collected as soon as possible.*

As far as is practical, the technical specialists might make a simple presentation of their findings, assessment and recommendations, and make themselves available for questions and discussions directly with the settlers. In any event, a well prepared community development worker should assist in interpreting what has been the specialist thinking and recommendations. These should be fully discussed issue-by-issue, point-by-point. The settlers' full understanding, comments, questions, responses, objections, suggestions and expressions of agreement are crucial elements for reaching a mutually satisfactory project design.

The settlers will help identify what is familiar to them and they can handle with skill and confidence, and what will be strange and need special attention if adopted. This kind of dialogue is time consuming and needs to be handled skillfully. However, the pay-off can be expected in enhanced motivation and mobilising of the energies of the settlers for whom the exercise is not an abstraction but one of planning the very foundation and structure of their new lives.

* Only as a last resort should a non-participatory socio-economic study be undertaken exclusively by a specialist in sociometrics. This has been a common practice to date. A sample terms of reference is appended here, one hopes merely for historical interest! There is also a need to know a great deal more (than has been the practice to date) about the adjacent communities. This information should also be collected with the participation, if possible, of those who are the "subject" of development plans for the area or are likely to be affected by the proposed settlement.

The content of these discussions and the expected feedback should become the focus of on-going briefings and meetings with the settlers, the community development worker, and the planning organisation.

Project Design Stage

Objective

- To outline the main elements and their inter-relationships in a comprehensive plan for the establishment and consolidation of a viable rural settlement within the context of the host country's wider development programme.
- The collected data related to the available physical resources will determine the overall parameters of what might be possible.
- The technical specialists will make their judgements and spell out the range and limitations of the options and provide an analysis of the implications technical, economic and social related to each option in order to enhance the making of choices.
- The making of choices although much influenced by the physical conditions and technical recommendations, never-the-less is finally decided by preferences.*

* This situation suggests that a great deal of planning will have to emerge and continue throughout the implementation stage. This means that the familiar 'blueprint' style of classical planning will need to be greatly modified in refugee/settlement project design and planning. Mechanisms must be provided for quick identification of problems, swift responses and where necessary modification of the original plans. See: Lance Clark, who argues that what takes place during implementation of plans is of more significance than the plan itself, and David L. Korten, "Community Organisation and Rural Development: A Learning Process Approach", Public Administration Review?

There is no existing formula for inter-relating all the factors physical, economic, social etc. for the creating of genuine communities out of a non-indigenous and fragmented population of refugees based on a rural economy which must become integrated with an existing population typically existing within a poorly defined development process in the poverty areas of third world countries. Nor in refugee/settler situations is data complete or very reliable especially given the locations and time available for studies and data collection.

Planners will need to make judgements only in part based on their specialised experience but mostly will need to be derived from practice skills developed through their interaction with a multi-disciplined team whose members understand each others contributions and limitations. A spirit of learning practice skills together is important for such a team because in the complex undertaking required here shortcomings and mistakes are inevitable. The mistakes must be viewed as the growing points for all concerned in planning.

- Every detail of the project design should reflect the policy intentions*

Policy is (or should be) a compelling statement of preferences.

To some extent two aspects of the 'agreed policy' are newly introduced factors in refugee/settlement planning and these must become prominent elements in project design.

1. The project must be seen to be firmly located within the host country's development process. The refugee settlement must both draw upon and be shown to increasingly contribute to the wider development activities which involve the adjacent communities.

* Which is why agreed policy and clarification of the implications for all concerned has been emphasised in this document as a fundamental step in planning.

2. The refugee population must be shown to play a prominent role in the whole process of decision making in settlement planning and implementation.**

The implications for planning and project design are far-reaching.

Emphasized earlier. Repeat here?

- i) Advantageously (for the emergency and care and maintenance period) preceeding, but certainly at, the point of deciding on a rural settlement option, plans must be made and implemented to ensure that there are effective mechanisms for the refugee population to play its part in the planning process.
- ii) The refugees become instrumental in collecting and presenting data. The data is of a kind which relates "who we are" and "what we can and might be able to do". This socio-economic data has been poorly taken into account to date, but must be highly influential in making choices at the time of project design and work plans.

** This policy element has emerged from both value concepts of 'social justice' and pragmatically from the findings that not involving the so-called 'beneficiaries' has contributed to a high degree of failure.

- iii) The refugees can be expected to express a whole new dimension of preferences. Although these preferences should not necessarily over-ride the preferences of other concerned parties (governments, UNHCR, NGOs, local populations, etc.) there must be some reconciliation of preferences for the origin of the preference will much influence the degree of commitment, understanding and energy the settlers will bring to the implementation of the plan.*
- iv) The very process of being involved in the planning will strengthen the leadership capacity which is essential for the achievement of the settlement objectives.

Project design stage

The responsibility for the project design must reside jointly with the technical advisers, the relevant authorities, the settlers, and affected communities. Each will have different things to contribute and these contributions must be treated with mutual respect. The settlers are the major beneficiaries or sufferers of poor planning but, whatever the outcome, the settlers must have a sense of ownership of the plans and a responsibility for getting things right as problems inevitably arise during implementation.

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- * It should be noted that rural settlements for poor populations are more likely to succeed where the scale is small or broken down into small units; where they are administrative and personnel intensive; gradual in build-up and therefore slow to implement; and where much attention and resources are given to ensuring the source and allocation of funding for on-going costs. This contrasts with typical aid agency plans which have a preference for projects which are large scale; capital (and often) import intensive; quick to implement and complete; easy to monitor and with minimum involvement in recurring and maintenance costs. Some balance of these contrasting preferences will need to be achieved.

The dimensions of the project design will require answers to the following major questions:

- The economic basis of the settlement and balance exploitation of natural resources
- The optimum size allowing for population growth and change
- The technology to be employed which is appropriate, cost-effective and maintainable
- The range and level of services to be established
- The organisational/participatory nature of the settlement
- The process of moving from initial dependency to self-reliance and integration into the structure of the host country
- Given the nature of the natural resources, what kind of agriculture, or mix, is to be planned (eg, rainfed, irrigation*, etc.).
- What crops will meet subsistence needs and what crops provide cash (necessary for consumer items, capital and maintenance costs, infrastructure, services, etc.).
- What plans can be made for livestock, horticulture, forestry, fisheries, etc.

*Note: A study of previous settlements concludes that "few, if any, settlements based on irrigation are likely to meet their operating costs and maintenance costs without continuous outside assistance". Lance Clark - Barry Stein, Older Refugee Settlements in Africa, R.P.G., Feb. 1987. This suggests that such decisions must be made with extreme caution or with much more detailed attention than hitherto.

- How will fertility be maintained/improved and ecological balance provided for.
- What pattern of land use will be established - products, dwellings, communal facilities.
- What kind and layout of dwellings, buildings.
- What life-span is planned for, for structures built with what materials and how will these be maintained or upgraded over time.
- What land allocations will be made for families/communal facilities. How will different qualities or kinds of land be assessed and allocated in order to provide a sense of fair shares.
- What is the overall economic target(s) for the settlement. How does this break down into the expected economics of individual holdings.
- What storage and marketing facilities are to be set up.
- How will credit be obtained, prices maintained, guaranteed (?) for what start-up period?
- What charges in the utilisation of labour (skills, seasonal, male/female) can be expected which differ from previous conditions. How will experimentation, demonstration, training, extension services be set up (and paid for).
- How will the planning group monitor the implementation of the settlement plan and how will problems be quickly responded to.
- What kind of leadership pattern will be established to meet the patterns acceptable to the settlers and which will relate to adjacent communities and eventually merge with host country's structures?
- What local expenditures from what sources can be promptly authorised up to what amount, for what, by whom.

- How will land holding rights be established and how dealt with in relation to transfer of rights - loss of, newcomers to, natural growth of, population.

Continued list, please.

Roads, Transport, Agro-industry, Crafts, Services, Health, Schools, Fuel, Communications (radio, telephone), Security, Protection of vulnerable groups, etc., etc.

Work plans stage

Objective

To detail the whole range of activities to be performed.*

To detail the time frame and sequence of activities, showing advance parties, preparation, transfer of refugees to settler sites.

To identify the manpower required and the responsibility for carrying out the tasks.

To detail where and when, what resources will be made available in order to carry out the tasks.

To detail the communication/reporting system(s) to ensure monitoring of activity and prompt identification of problems in order to resolve the problems or modify the work plans.

To identify the role and responsibilities of the implementing agencies and to indicate the complimentary roles of the settlers in the implementation process.

* For a method of establishing community-based work plans, see D. Drucker. Ask a silly question, get a silly answer. Bangkok, 1981.

To identify the measurement or assessment levels, situation, or periods when phase-out/handover to relevant authorities will take place.

Suggestions, please.

Sections to be added

UNHCR – Procedures and Management System

– Contracting practices and procedures

Overall and UNHCR budgetary procedures

UNHCR – Procurement for Settlements

UNHCR – Ongoing T.S.U. responsibilities to settlement programmes
(built-in evaluation)

Contribution to identifying, promoting and training, practice skills for settlement planning and implementation

Development of specific guides to form a cumulative annex to the planning handbook

AN AID TO PLANNING WITH THE COMMUNITY

At a large gathering everyone is invited to list all the things that they foresee will need to be done. The emphasis is on activities. Bearing in mind the low level of literacy, someone is invited to do a drawing of each activity (no great artistic skill is necessary; matchstick men and crude representations will do, although it is surprising how often a village artist is discovered). Each drawing is pinned on the wall until all the actions have been mentioned and everything seems to have been covered. The activities are then considered in order of precedence chronologically, clustering the pictures where activities have to be undertaken simultaneously. When the sequence has been pinned around the meeting place to everyone's satisfaction, consideration can be given to practicalities such as seasons, wet/dry, sowing/harvest, festivals and so on, so that above the pictures agreed dates for the activity can be placed. (Without talking the language of planning the community will have produced their own flow charts and chronological bar chart representations!) How many people, what skills, tools and resources, can be represented under each of the drawings and at some point who exactly will be involved in each activity can be worked out and added - a manpower plan!

A useful device can be utilised to deal with costs and book-keeping,* which will clarify matters even for those poorly endowed with numeracy: plastic bags should be placed under each activity and play money (as in the game of Monopoly) used to count what each activity is expected to cost.* Where there is to be some revenue, from selling water or some other produce, a similar estimating and counting out can be enacted and shown against costs. Later, as money is collected or dispersed, it can be shown to be moved from one plastic bag to another. There now exists a very visible representation of the community budgeting for the project, and the whole collection of pictures and bags remains in the community publicly displayed and can be used for monitoring and further discussions as the project gets under way and proceeds.

* Poor attention to such matters has been the curse of development efforts

"PLANNING-UP" LINKS WITH "SUPPORT-DOWN"

Once the whole picture of the step-by-step development and the activities which are necessary at the community level have been laid out, it should then be possible and somewhat more familiar to work back up the administrative and technical agency structures and to tie into the community timetable and flow of activity the inputs and support from outside, detail by detail. Where there are activities determined by technical and administrative imperatives which cannot neatly gear into the community pace and way of doing things, these points of discord must be given special consideration and a mutually acceptable arrangement be agreed upon and replanned in the community. The range, content and timing of the activities must eventually all lead to a service that is satisfactory to the community and the authorities, and from the technological point of view.

When these plans have been jointly examined and agreed upon, they should then become the basis for some kind of formal contractual agreement. In skillful hands this planning process at the community level can result in the enhancing of social cohesiveness; and development education; and the establishment and improvement of community/government operational relationships - all amounting to the essence of practical building!

Memorandum

14 September 1981

To: Dr. Rangaraj
From: David Drucker
Subject: Hmong Transfer to Ban Vinai

cc: Lloyd Dakin
Dr. C. Weldon (CRS)
Daniel Bellamy (UNHCR)

We have just returned from Nongkhai, Dr. Charles Weldon (CRS) Medical Co-ordinator reports that the Hmong have a hospitalisation rate 4 times higher than for other refugees in the camp. He is also much concerned at the reactive depressions and general anxiety among the Hmong.

461 Hmong are located in three of the concrete buildings which were originally built as wards for the CRS hospital complex. This complex is now the Receiving Centre holding about 1100. The Hmong have been in this accommodation since the "no-more-refugees" policy went into effect at the beginning of the year.

A PBD screening shows: 20% positive which indicates probably a 3% active TB rate. However it is said that this is about average for the Hmong. The suggestion seems to be that this group has not arrived with a greater degree of medical problems, but as the Medical Co-ordinator (and a Public Health Nurse repeated) "these refugees are rotting from being separated from their own people".

It does seem very likely that this active^{1/} group of refugees is suffering psychological stress and deprivation which substantially contributes to the high rate of hospitalisation for physical disorders.

We understand that a number of attempts by UNHCR to get the Hmong reunited with their families and fellows at Ban Vinai have been rejected by the Royal Thai Government. However there has been some success in preventing the Hmong being transferred to Nakon Phanom.

It seems to us that eventually a community resettlement solution is necessary and will have to be found for the Hmong.

Dr. Weldon will be fully documenting his findings in the next few days.

Might there now be a medical case for again making a formal request for the transfer of the Hmong to Ban Vinai?

^{1/} There is a shortage of water in the Receiving Centre since there has been a restriction on electricity for the water pumps. Scabies is much in evidence. However the Hmong continue to organise themselves (compared to other refugees) in collecting rain water.

Memorandum

To: Dr. Rangaraj

From: David Drucker/Jan Williamson

Subject: Medications for psychiatric patients in Panat Nikom

Recently, the problem of supplying psychiatric patients with the appropriate medications while in Panat has come up. The three agencies dealing with these medical cases (CRS, COERR, ARC) have all expressed their difficulty in obtaining certain medications for psychiatric treatment through the Red Cross pharmacy.

The following suggestion was made to solve this problem for those clients coming from Lumpini to Panat. Since these medications are prescribed and dispensed from Bangkok General, it has been suggested that we continue the prescriptions from there. Dr. Chetti (of CRS) in Lumpini has agreed to supply the request for psychiatric medications for former patients of Bangkok General to Panat if this plan meets the approval of the medical coordinator. The steps would be as follows:

- 1) When a patient is released from treatment at Bangkok General or Lumpini and is ready for transfer to Panat, a 10-12 day supply of medications will be sent with the patient.
- 2) When the appropriate medical agency in Panat receives this patient, they can then forward request for refills of the necessary medications they are unable to obtain to Dr. Chetti in Lumpini.
- 3) Dr. Chetti will check the request for medications with the prescribed treatment at Bangkok General and will then arrange for the transfer of these drugs to the medical personnel in Panat.

If this suggestion meets with your approval, we will arrange the details of the actual transfer of the medications from Bangkok General to Panat with Dr. Chetti and with the medical agencies in Panat.