



**STRENGTHENING MUNICIPAL RESILIENCE
IN RESPONSE TO THE IMPACT OF THE SYRIA CRISIS
IN TURKEY**

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Foreword

Turkey currently hosts over 3,5 million Syrian refugees and has been country hosting the largest number of refugees in the world since 2014. More than 96% of the refugees are currently residing in host communities in Turkey.

The Government of Turkey continues to demonstrate strong national ownership of the response by providing a solid and comprehensive rights-based legal framework. However, the large increase in population since the beginning of the Syria crisis, has placed public institutions under considerable pressure to deliver basic municipal services, including urban waste management. This increase in demand for services is testing the limits of current municipal infrastructure and public services.

We are pleased to present this report which shows how municipalities are the first port of call for large numbers of Syrian refugees as they are for Turkish nationals. As such, they constitute the cornerstone to effectively address the needs of refugees and host communities. In order to support the crucial work municipalities are performing to respond to the increase in demand for services at the local level throughout Turkey, 3RP partners have significantly increased their investments in municipal capacities and services. USD 53 million of support has been provided to municipalities since 2014 benefitting over 60 municipalities.

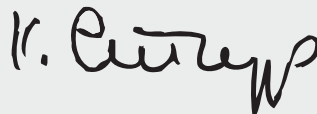
The support from 3RP partners to municipalities helps them to deliver more and better services, but also to enhance participatory planning, improve coordination, and lead the refugee response at the local levels.

The strong partnerships between 3RP agencies and municipalities enables them not only to cope with the consequences of the impact of the Syria crisis at the local level, but also to adapt and transform their role in response to this impact. Municipalities are becoming more resilient, and in the process, are better placed to improve the lives of refugees and host communities and to strengthen social cohesion between refugees and host communities.

This report is further evidence of the common recognition among partners that a resilience-based approach has become increasingly important in the overall response, noting that the impact on Syrian refugees, host communities, and national and local institutions has continued to increase due to the protracted impact of the Syria crisis in Turkey.



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TABLE OF CONTENTS

Executive Summary and Key Findings	3
Introduction	5
1. Impact of the Syria Crisis on Municipal Resilience	8
A. Legal and policy framework of Turkish municipalities	8
B. Impact of the Syria Crisis on Municipalities and needs for support	14
2. Support to municipalities by 3RP partners	18
3. Ensuring the sustainability of municipal support	28
4. Measuring the impact of support provided by 3RP Partners on municipal capacities	31
Annex 1 - Summary of 3RP Inter-Sector Framework Municipal Outcomes and related sector contributions and definition	34
Annex 2 - Summary of quantifiable support to municipalities	36
Annex 3 - Calculation of baseline and targets	37

Executive Summary and Key Findings




With 94% of the Syrians under Temporary Protection in Turkey living within host communities, municipalities are among the primary responders in addressing the impact of the Syria crisis, and have played an essential part in the development of more resilient capacities able to respond to the increase in demand for services.

- Municipalities have demonstrated their resilience by coping with the additional demand for services and resources, and adapting to the refugee influx by extending social and protection services to the refugee population. They have also transformed their role to foster social cohesion among communities.
- The response of Turkish municipalities to the Syria crisis thus offers the world a valuable example of the link between humanitarian assistance and development goals. It demonstrates how refugees, particularly those in contexts of protracted displacement, can be integrated successfully into national and local services.
- However, the Syria crisis did present **challenges** for local authorities. Besides exacerbating some **pre-crisis difficulties**, the response of the municipalities has been hampered by two **additional issues**:
 - the legal ambiguity concerning the mandate of municipalities to provide for refugees, and
 - the lack of any increase in the transfers which the municipalities receive from central government with which to meet the increase in their expenses arising from the surge in the size of the population in need of their services. Municipalities in southeast Turkey with a 20% refugee population would need an additional USD 215 million per year to expand their capacities to meet the increased demand for services.

This need to support the strategic role of the municipalities motivated the **3RP partners** to increase the level of their engagement **with municipal authorities, both on service delivery but also on participatory governance**..

- Since 2014, USD 53 million worth of support has been mobilized by the 3RP partners in support of municipalities.
- The scale of this support has been increasing rapidly. In all, 60 municipalities have been supported to date under the 3RP.¹ The number supported in any given year has expanded rapidly from only four in 2014 to 29 in 2017. The amount of funding secured for 2018 is three times as much as the support provided in 2016 (USD 25 million has been secured to date for 2018 and beyond,

¹ Additional support is also being provided by partners outside the frame of the 3RP. For example, UNICEF through its Child Friendly Cities programme has supported 88 municipalities to build their capacities to respond to child marriage, child labour and more child-responsive budgeting and planning.



whereas USD 8 million was invested in 2016). The support is targeted and covers those municipalities which host 90% of the refugee population of Turkey. As a result, 85% of the support is directed towards municipalities in the southeast of the country.

- 70% of the support goes to metropolitan municipalities, in line with the decentralization framework in Turkey, which has expanded their prerogatives.
- The material support extended to municipalities under the 3RP has been spread across a range of core municipal competencies including solid waste disposal (USD 18 million), public spaces such as roads, parks and playgrounds (USD 16 million) and fire-fighting (USD 4.8 million). In 2018, the support being provided is much more concentrated in the areas of solid waste disposal (USD 12 million USD invested in 2018 – six times more than 2017) and waste water management (USD 7 million secured). The demand for these two services has been affected directly by the increase in the population.
- In parallel, the support being extended to municipalities for capacity building and system strengthening is also expanding. This includes support extended to assist municipalities in delivering specific programmes for the benefit of refugees as well as support that leads the municipalities to function more efficiently by developing their capacities for strategic planning, participatory decision-making and effective management.

The efforts of the 3RP partners to strengthen municipalities have had multiple impacts, as the various partners have sought to tackle the different challenges which the municipalities face. Support for municipal infrastructure and other material support is increasingly being used as a **strategic entry point** for the introduction of more structural improvements in local governance and service delivery.

- The partners work hand in hand with municipal authorities to help them implement **their mandates and use funds** to address specific needs of the refugees.
- The partners have also supported municipalities in enhancing participatory decision-making at the local level, improving coordination and mobilizing resources for the delivery of services to address specific needs of the refugees.
- Assistance has also been provided to municipalities to enable them to introduce **new technologies** and approaches such as reducing wild dumping of waste, relying on waste transfer stations for waste collection, or the use of new leachate facilities for waste water management.
- These new approaches can also **generate additional revenues** for municipalities, for example through recycling.
- In addition, support extended to develop the project management capacities of municipalities will help them not only to **improve their strategic planning** capacities and optimize the use of their resources but also to mobilize additional external funding.

Within this context, it is proposed to measure the 3RP impact through two indicators. First, measuring the increase in participatory decision making through the relevant social cohesion indicator on active participation of vulnerable population. Second, it is proposed to quantify the financial impacts on municipal budgets of the different types of interventions implemented by the 3RP partners and to compare the outcome with the increase in demand for services caused by the increase in the population in the main refugee-hosting municipalities.

- To date, when one looks at the municipalities which the partners have supported the most, the total support provided by the 3RP partners amounts to about 11% of the additional amount needed by the municipalities to expand services in proportion with the increases in their populations.
- This figure represents a marked increase compared to 2017, when the total support provided amounted to only 4% of the additional needs of the municipalities.
- A full funding of the 3RP appeal related to municipal services would allow 3RP partners to cover up to two-thirds of the capacity needs of the municipalities.

Introduction

The response of the Government of Turkey to the influx of Syrians under Temporary Protection which began in 2011 emphasized the provision of access to national services for Syrians. The Government's response has been coordinated by the Prime Ministry Presidency for Emergency and Disaster Management (AFAD), and since 2017 the Directorate General for Migration Management (DGMM). Municipalities have played an important role in the provision of support at the local level. One of the key national implementing partners for UN agencies and international financial institutions with respect to support for municipalities has been Ilbank, the 'bank of provinces', operating under the Ministry of Environment and Urbanization².

Despite the significant scale and generosity of the assistance provided by the Government of Turkey, the impact of the crisis and the sheer scale of needs at the local level have put municipalities at the forefront of the response. While hosting refugees was largely a new task for municipalities in southeast Turkey, the situation was different in the largest cities such as Istanbul, which had past experience with other refugee and migrant populations. As over 94% of the refugees live within the host communities, the municipalities have become primary responders in addressing the impact of the crisis and have played an essential part in the development of more resilient capacities to respond to the increase in the demand for services. Municipalities have *coped* with the direct consequences of population increase in terms of demand for services and resources, and *adapted* to the refugee influx by extending social services and acting to address the specific protection needs of the refugee population. They have also *transformed* to take on the role of fostering peaceful coexistence by addressing the social tensions that have arisen following the arrival of the new population.

The response of the Government of Turkey and the municipalities serves as a good example to the region. It is also at the forefront of the translation into practice of certain global policies and commitments with respect to protracted displacement crises. Turkish municipalities provide ample examples of how to operationalize some of the key elements of the humanitarian reforms, especially the New Way of Working (NWOW)³. Box 1 contains a list of global policies and commitments relevant to the role of local authorities in protracted crises.

Since the onset of the crisis, the 3RP partners have been working with municipalities to put global commitments and approaches into practice and to enhance the resilience of local authorities. Support to municipal institutions has been growing steadily under the 3RP and is now reflected at the highest level of the response strategy through a dedicated outcome in the framework outlining the intended impact of the 3RP at inter-sector level. The present report aims to take stock of the municipal response to date and outline the way forward. Its purpose is three-fold:

- to describe the strategy followed by the 3RP partners in strengthening municipal resilience and supporting the government's decentralization policy efforts;
- to take stock of the support which has been provided so far to facilitate the coordination of activities, mapping and analysing these efforts and highlighting gaps and possible ways forward, and
- to provide a framework with which to measure and analyse the impact of the 3RP partners on the municipalities.

² ILBANK is a development and investment bank established by law but subject to the provisions of private law. Its main objectives are (i) meeting the financial needs of special provincial authorities, municipalities, and affiliated organizations, (ii) developing projects concerning locally provided common services for the people dwelling within the boundaries of such administrations, (iii) providing the administrations with consultancy services and assistance for urban projects involving infrastructure and superstructure works, and (iv) performing any and all functions related to development and investment banking.

³ <https://www.agendaforhumanity.org/initiatives/5358>

At the same time, the report also serves to document a good example of how to bridge the humanitarian-development nexus in practice and how to operationalize the New Way of Working.

This report is intended to complement a separate effort being made by the inter-agency coordination structure of the 3RP to track the support extended to public Institutions across the response. While the public institution tracking exercise sheds light on trends at the national level, the present report offers a more detailed, in-depth analysis of the support specifically extended to municipalities as local public institutions. As such, while support to municipal institutions has been focused on 17 provinces in Turkey (map 1)⁴, across sectors, 3RP partners support vulnerable communities and other institutions throughout the country through other type of programmes (map 2).

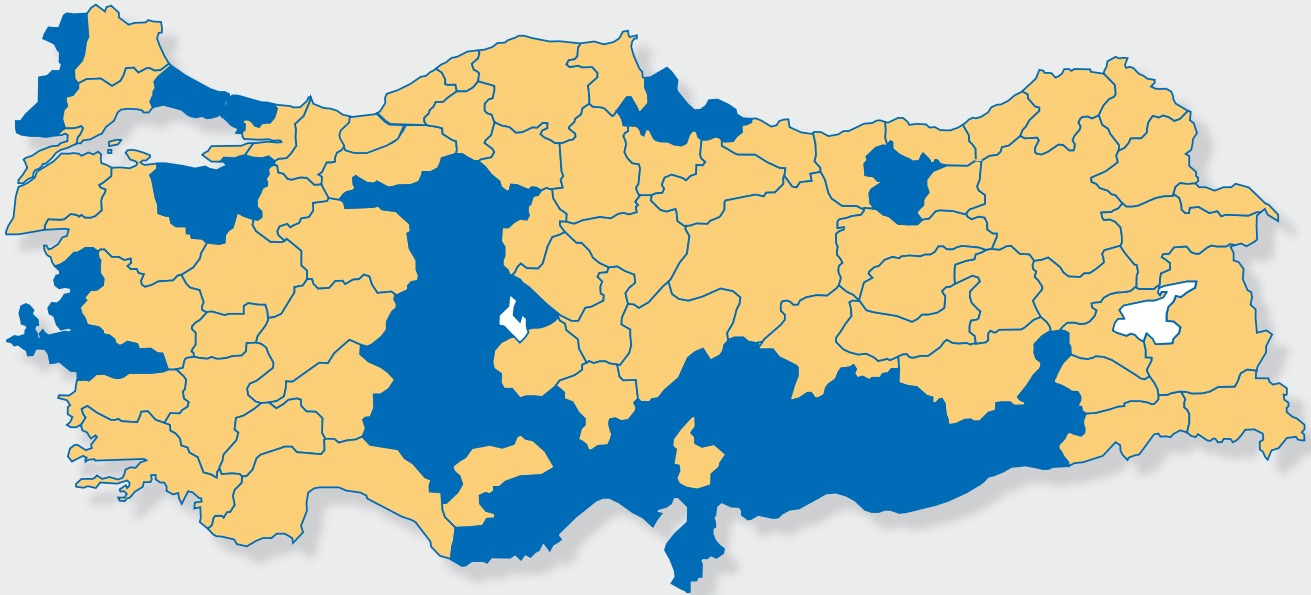
Box 1 - Global policies and commitments concerning municipalities in protracted crises

In the global context of growing human mobility, decentralization, urbanization and inequalities, local and regional authorities are now also regarded as strategic actors in migration and refugee policy development. Their strategic role has been recognized, inter alia, by the Global Forum on Migration and Development (GFMD). In addition:

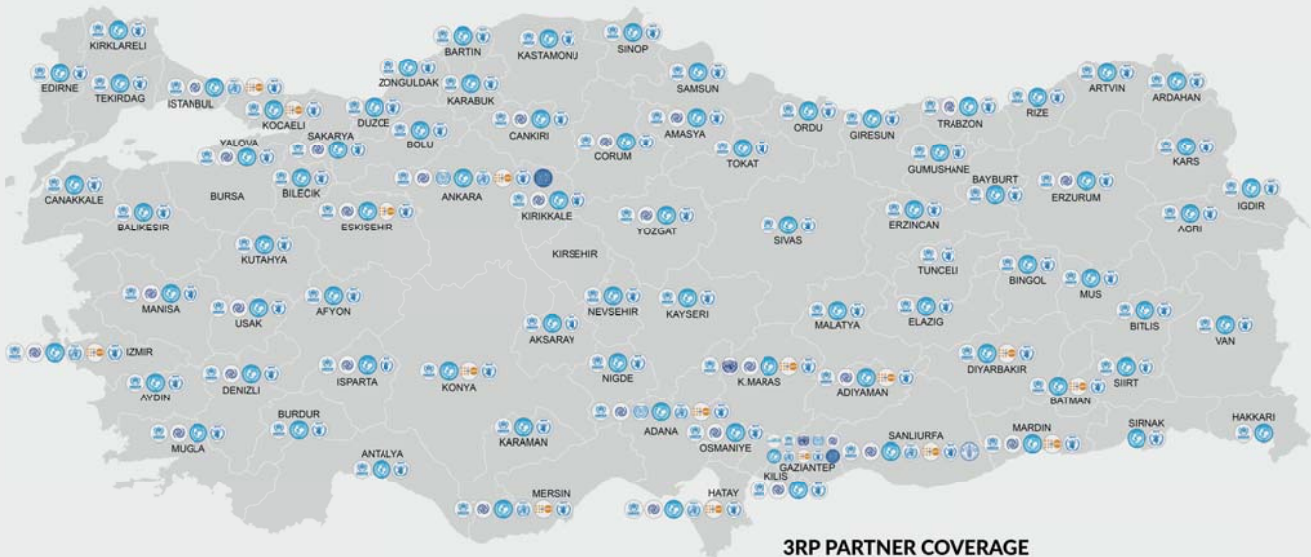
- ☛ The issue of **'localization'** – reinforcing local leadership and ownership – also emerged as a strong theme at the 2016 World Humanitarian Summit;
- ☛ The **'Grand Bargain'** includes a work stream to provide more support and funding to local and national responders;
- ☛ The **two Global Compacts on Safe, Orderly and Regular Migration and on Responsibility Sharing for Refugees** strongly acknowledge the role of local actors;
- ☛ The **New Urban Agenda** adopted at the UN HABITAT III Conference in 2016 emphasizes the role of municipalities in making cities and human settlements inclusive, safe, resilient and sustainable.
- ☛ The **Sustainable Development Agenda for 2030 and Sustainable Development Goals (SDGs)** – particularly SDG 11 on Sustainable Cities and Communities and SDG 16 on Peace and Security – echo these positive contributions of migration and development and the role of cities

⁴ Map 1 on municipalities supported to date is available in an online form to be continuously updated on the inter-agency webportal: <http://www.refugeeinfoturkey.org/>

Map 1 – Municipalities Supported by 3RP partners to date.



Map 2 – Current coverage of 3RP partners activities across sectors



3RP PARTNER COVERAGE



1. Impact of the Syria Crisis on Municipal Resilience

A. Legal and Policy Framework of Turkish Municipalities

Key Findings

- Municipalities have a broad range of competencies under the Law on Municipalities. Municipalities may engage in activities and initiatives of all sorts to meet the common local needs of the town's inhabitants. This includes not only basic services such as solid waste disposal and waste water management, but also housing, culture and the arts, tourism and promotion, youth and sports, social services and assistance, vocational and skills training, and activities related to economic and commercial development. The institution of "city councils" also gives inhabitants an opportunity to participate in the decision-making processes of the municipal assemblies that shape the strategies of the municipality.
- The decentralization process initiated in Turkey in 2004 has focused on empowering metropolitan municipalities. The 30 metropolitan municipalities now cover 75% of the Turkish population and 50% of the territory.
- While municipal competencies centre on basic services such as solid waste, waste water and parks, they also include competencies which allow municipalities to become involved in activities of a more socio-economic nature.
- While the decentralization process has rationalized municipal service provision, it has also concentrated power at a relatively high level, putting some distance between the municipality and the residents.
- The municipalities need to strengthen their capacities for strategic planning and project management in order to be able to exercise their new prerogatives fully.

8

For municipalities, the Syria crisis coincided with the decentralization reform process which began in 2004 and continued in 2012. Laws enacted in those years (Act No. 5216 on Metropolitan Municipalities in 2004 and Act No. 6360 of 2012)⁵ introduced important changes in the system of local governance in Turkey, and these changes have also shaped the capacities and modalities with which the municipalities have been able to respond to the impact of the large-scale displacement.

One of the main features of these laws – and particularly the law of 2012 – has been to reinforce the powers of metropolitan municipalities, the borders of which have been aligned with provincial borders:

"In parallel to the extensive reforms in public administrations since 2004, major local government laws have been changed to decrease the power of central government while empowering local governments (...) Decentralization was also accompanied with two waves of expansion of the metropolitan municipalities. The first wave was in 2004, when the responsibility area of the metropolitans was increased according to their populations with the Metropolitan Municipalities Law (Act No. 5216). The second, and larger, wave was in 2012 with the legislation (Act No 6360) which established 14 more metropolitan municipalities, and expanded the metropolitan municipality borders to provincial border."⁶

As a result of these changes, metropolitan municipalities now encompass nearly 75% of the population of Turkey and 50% of its territory. In the 30 provinces where metropolitan municipalities have been established, there is a two-tier system of governance, as the metropolitan municipalities coordinate and supervise the work of the 519 metropolitan district municipalities which exist, in total, within those provinces. In the 51 remaining provinces, the municipalities of the chief cities in the province ("provincial municipalities") do not have direct tutelage over the 400 district municipalities, but it helps to create economies of scale when the district municipalities choose to exercise certain competencies jointly. In fact, neither the metropolitan municipalities nor the provincial municipalities have direct tutelage over district municipalities in a hierarchical sense; rather, they coordinate and oversee the work carried out by district municipalities for the sake of minimizing costs, and in some respects they exercise joint

⁵ Union of Municipalities of Turkey, *Local Authorities*, available at : <http://www.tbb.gov.tr/en/local-authorities/>

⁶ H. Akilli and H.S. Akilli (2014), *Decentralization and recentralization of local governments in Turkey*, *Procedia, Social and Behavioral Sciences* 140.

competence. Overall, the aim of the reform process was for “the expanded metropolitan municipalities to provide better public services with lower costs to citizens.”⁷

The reform should thus enable municipal administrations to exercise their competencies more effectively. While the municipal law lists over 25 different municipal competencies, they can be largely divided into two categories: infrastructure and basic services on the one hand and services related to socio-economic support and assistance on the other. The infrastructure and basic services functions include:

- land development,
- municipal infrastructure (roads, walkways, squares and parks),
- urban transport,
- water and sewerage,
- waste management, and
- fire-fighting.

The socio-economic support and assistance competencies include:

- poverty reduction,
- education (including the construction and maintenance of schools),
- culture and sports,
- social assistance (including home care for the poor and sick),
- skills development, and
- municipal policing⁸.

In practice, the division of labour between the metropolitan and district municipalities is mostly related to articulating a different scale of interventions. An important element, for instance, in the context of the Syria refugee response in Turkey is that most of the social services provided by municipalities would normally be delivered at district level, often in coordination with neighbourhood muhtar when it comes to the identification of beneficiaries.⁹

The resources which municipalities have at their disposal in order to deliver these functions are predominantly based on transfers from central government, supplemented by the municipalities’ own revenues.¹⁰ The metropolitan assembly approves the budgets of the district municipalities.¹¹ Graph 1 illustrates the wide differences between municipalities with respect to the scales of their budgets.

Meanwhile, the implementation of the new legislative framework also created some challenges, all of which have been aggravated by the impact of the Syria crisis in Turkey. First of all, the restructuring of the levels of municipalities and the expansion of the metropolitan municipalities caused the larger municipalities to become more distant from their residents/citizens. The average populations of municipalities went from 20,000 individuals to 50,000, with 20 of the 30 metropolitan municipalities serving over 1,000,000 inhabitants each. This has created risks and resulted in a relative disconnect between large municipalities and the specific needs and realities on the ground – a trend which was further reinforced by the concentration of power in metropolitan mayors.¹²

This situation became particularly challenging in the context of the refugee influx, as the refugees tended to be concentrated in particular neighbourhoods of municipalities in Turkey, creating a need for specific measures/policies to be implemented at a district level, where municipalities are better aware of the specific needs of the population. In addition to coordinating between themselves, municipalities also need to engage local representatives of central government bodies – specifically, the provincial

⁷ Ibid.

⁸ Union of Municipalities of Turkey, *Function of Municipalities*, available at : <http://www.tbb.gov.tr/en/local-authorities/functions-of-municipalities/>

⁹ Ibid.

¹⁰ UCLG-MEWA (2016), *The role of Municipalities of Turkey in the Syrian Migratory Influx Management*.

¹¹ Union of Municipalities of Turkey, *Municipalities, in Turkey*, available at : <http://www.tbb.gov.tr/en/local-authorities/municipalities-in-turkey/>

¹² H. Akilli and H.S. Akilli (2014), *op. cit.*

and district directorates of various ministries. However, field staff of the 3RP partners who engage with both these directorates and with the municipalities concur in saying that there is limited dialogue between line ministries and municipalities, even in cases where their work directly overlap (social affairs for example), as they belong to different administrative structures.

While the new laws give the necessary framework for municipalities to engage in this type of system optimization, the incentives to do so are not necessarily present. The election cycle means that mayors and officials may favour highly-visible short-term projects over long-term investments with less immediate benefits. For example, municipalities might prioritize the funding of roads and similar infrastructure over investing in the treatment of solid waste, especially as the latter results in additional operational expenditures compared to the common practice of wild dumping.

This lack of articulation between short-term priorities and long-term objectives is not only to be found within the political leadership of the municipalities. Local governance assessments and partners have also consistently pointed out that:

“Most of the public institutions have similar problems with regards to the short-term and mid-term planning. Since the introduction of the legislative regulation in 2006, it has been obligatory for the public institutions, the municipality, in particular, to prepare a five-year-long strategic plan and an annual budget plan based on the performance program. However, most of the public institutions prepare these plans not for increasing the institutional efficiency, effectiveness, and sustainability, but for fulfilling the legal obligations.”¹³

10



© UNDP Turkey, Gaziantep, 2016.

¹³ UNDP (2018), *Capacity Development on Operational Efficiency and Strategic Planning in Municipal Investments and Services, Final Report*.

This challenge in articulating a longer term, more strategic vision is at odds with the intent of the reform to create the conditions for larger, more relevant investments and logical planning. It is therefore highlighted in the Tenth Development Plan (see box 2).

A similar issue can be encountered in the approach of the municipalities to project management. Once again, while most municipalities have established project management capacities, these tend to be driven by short-term motives – especially the aim of attracting international funding. Many municipalities have set up European Union and international relations directorates in line with Turkey’s status as a candidate member of the EU in the pre-accession phase. The staff of these units develop project proposals in order to access pre-accession funds, but not to support strategic planning within the municipalities¹⁴.

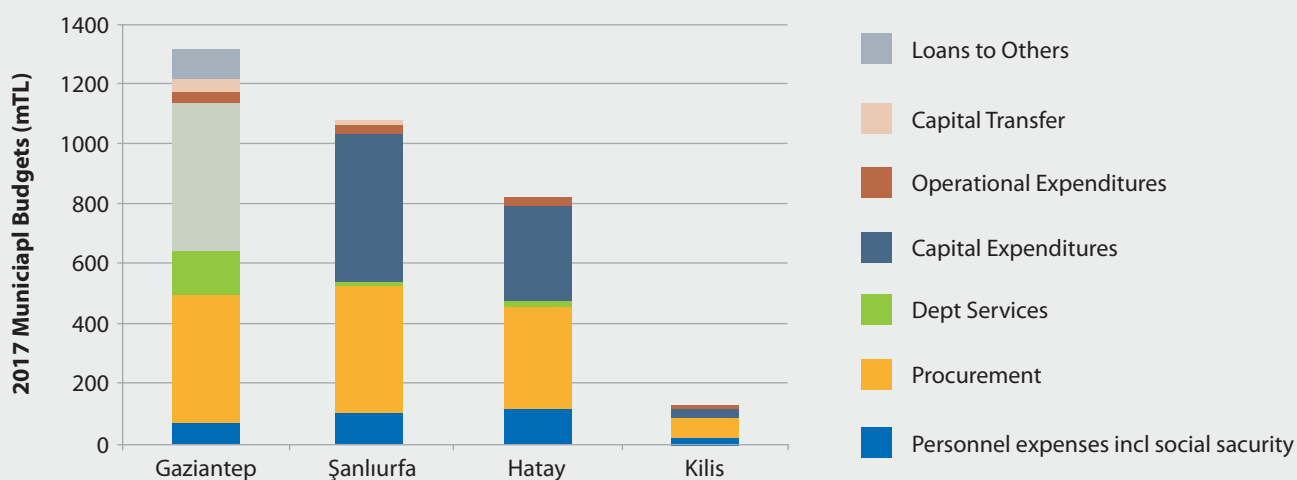
The limited degree of long-term planning, the primacy of the project management approach, and the potential gap between decision-making at the provincial level and the specific dynamics of the situation on the ground, all constitute stress points in the current framework for policy-making in the municipalities, potentially undermining their ability to respond to shocks such as the shock caused by the Syria crisis and the refugee influx. These stresses – i.e., long-term trends that undermine the potential of a given system and increase the vulnerability of the actors within it, or slow-onset hazards that develop and pass a ‘tipping point’ to become extreme events – are summarized in Chart 1. Such stresses are not only potential weak points in the case of external shocks such as a refugee influx, but are also factors which undermine development gains. In the case of Turkish municipalities, the Tenth Development Plan adopted in 2013 emphasizes the need to solve these challenges in order to achieve development progress in Turkey (see box 2 for details).



© UNDP Turkey, Kilis, 2018.

¹⁴ UCLG-MEWA (2016), *op.cit.*

Graph 1 - Budgets of selected municipalities in southeast Turkey by expenditure categories (2017 – million Turkish Lira)



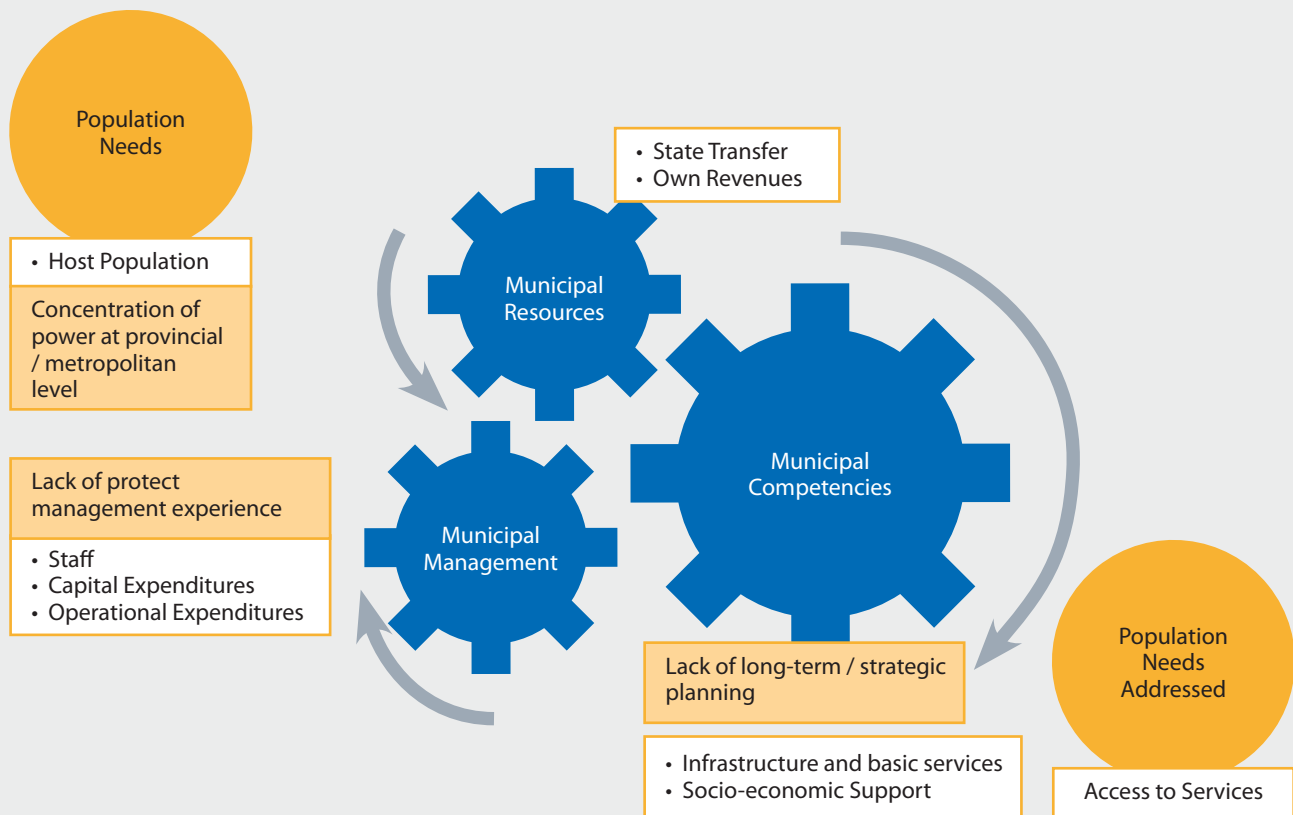
Box 2 - The role of municipalities in national development priorities in Turkey

The Tenth Development Plan, put into effect in June 2013, underlines the negative effects of the lack of technical and institutional capacities at the local level on the quality and efficiency of local service delivery, and reiterates the importance of increasing the institutional capacities of the new metropolitan municipalities established in accordance with Law No. 6360. The Plan also highlights the importance of deploying participatory tools in local administrations in order to support further reforms, and of including NGOs, the private sector and civil society in local decision-making processes. The Tenth Development Plan focuses on the identification of priorities at the local level and efficient use of local resources, identifying local authorities, metropolitan municipalities, universities, professional organizations and NGOs as the main beneficiaries of the Plan. In specific terms, the Plan entrusts the following objectives for local administration reform to the coordination of the Ministry of Interior:

- Increased efficiency in local service delivery,
- Strengthened capacities of local administrations in terms of human resources, management and strategic planning,
- Strengthened capacities of local administrations in terms of project management,
- Enhanced inclusion of universities, NGOs and professional organizations in local decision-making processes.

In line with the objectives of the Tenth Development Plan, the Strategic Plan of the Ministry of Interior for 2015-2019 identifies the priorities and the core values of the Ministry as: the rule of law, respect for human rights, transparency, commitment to ethical values, participation, and the efficient delivery of high-quality services.

Chart 1 - Stresses affecting municipal resilience in Turkey



As an analysis of the role of municipalities in facing the Syria crisis points out, the above considerations do not apply equally to all municipalities:

"In practice, financial, service-delivery and development-project capacities of municipalities vary widely from a municipality to another. Geographically, this differentiation is also related to the different levels of development existing between the different regions of Turkey."¹⁵

The municipalities which have been affected most by the Syrian refugee influx are in many cases located in some of the least developed regions of Turkey.

¹⁵ Ibid.

B. Impact of the Syria crisis on municipalities and needs for support

Key Findings

- ☛ The first challenge facing municipalities affected by the Syria crisis is the ambiguity of the legal framework concerning whether they are entitled to provide services to refugee and migrant populations or only to citizens.
- ☛ The second challenge is that municipal budgets predominantly come from transfers from central government, the amounts of which are indexed to the Turkish population only. Hence municipalities hosting refugees do not receive additional income to cater for the additional population in need of their services.
- ☛ Besides adding to the demand for basic services, the presence of refugees also requires the development of new services at the municipal level, both to address the specific social and protection needs of the refugees and to foster social cohesion between communities. Refugees also need to be included in participatory processes and local consultative structures.

14 While the creativity and generosity shown by municipalities in response to the refugee situation has been well documented – notably in the cases of Gaziantep and Sultanbeyli (Istanbul) – the fact remains that municipalities are in general struggling to address the increase in demand for services. This is partly due to the fact that the crisis has also exacerbated structural issues of local governance in Turkey. These challenges are related mainly to specific aspects of the current legal framework governing municipalities.

First, the municipal law remains ambiguous on whether municipalities are entitled to provide assistance to refugees, who are residents but not citizens. Article 13 of the Municipalities Law refers to the ‘townsman’, specifying that “everyone is a townsman of the town in which he lives. Townsman shall be entitled to take part in municipal decision making and services, receive information on municipal activities and benefit from the aids distributed by the municipal administration”¹⁶. While this would seem to emphasize “an inclusive approach towards everyone residing in a district by referring to the residency of persons rather than their citizenship bonds in being entitled to the local rights and services”¹⁷, inferring that refugees should be considered as townsmen, in practice different municipalities interpret the law differently and are therefore not all addressing needs in the same way. A report by the Marmara Union of Municipalities mentions that municipalities are concerned that specific additional expenditures to service refugees could even entail legal liabilities, as such expenses might be challenged by the Court of Accounts¹⁸ (although this does not seem to have happened in practice).

This concern is reinforced by the second issue – namely, that the amounts of tax revenues transferred to municipalities by central government are calculated in a way that makes no allowance for the additional refugee populations. This means that a municipality adhering to the inclusive interpretation of the legal framework and choosing to include refugees must finance initiatives for refugees out of its existing budget. As Syrians under Temporary Protection are not citizens, many municipalities would thus prefer to stick as far as possible to providing services to their constituents rather than to their residents. In practice, the political affiliations of the municipal leadership seem to play a key role in determining the paths chosen by municipalities with respect to their refugee populations:

¹⁶ Unofficial translation of article 13 of Municipalities Law No.5393 in UCLG-MEWA (2016), *op.cit.*

¹⁷ UNHCR (2018), *Coordination with Municipalities, Presentation to the Syria Task Force – March 2018.*

¹⁸ Marmara Union of Municipalities, M. Erdogan (2017), *Urban Refugees from “Detachment” to “Harmonization”, Syrian Refugees and Process Management of Municipalities: the case of Istanbul.*

“The current legal framework does not lay out formal institutional responsibilities for municipalities to incorporate refugees into their assistance and social services. And there is no special financial allowance for refugees within the allocated budget from the central government, the major revenue sources of municipalities. Thus, municipalities play a key role in deciding whether to offer additional, supplementary support to refugees, often shaped by party politics. According to the representatives from the Union of Turkish Municipalities (...) this legal loophole leads to variations in a municipality’s role, from marginal involvement to active engagement. Mayors are influential local, sometimes national, political figures in Turkey. Their particular approach to the refugee situation and political will is also a determining factor in the overall municipal engagement with refugee politics.”¹⁹

In short, municipalities willing to provide additional services to address the impact of the crisis must do more with the same income. While municipalities in Turkey have quite large budgets, including for capital investments, the new legal framework also assigns them a wide range of competencies. In general, the resources of the municipalities are barely sufficient to enable them to perform their core functions effectively, even for the resident Turkish population. The sudden increase in the population is therefore imposing a serious strain on the capacities of the municipalities – something which could have rapid negative effects on levels of satisfaction with municipal services among the resident Turkish population, thereby undermining the legitimacy of the local institutions and ultimately causing social cohesion to deteriorate.

This strain on municipal resources particularly affects the mandatory functions of municipalities outlined above. The table below summarizes the additional expenditures borne by the main municipalities in southeast Turkey due to the increase in the population stemming from the refugee presence.



© UNDP Turkey, Gaziantep, 2018.

¹⁹ Oxford Department for International Development, Refugee Studies Centre (2017), *Local Politics of the Syrian Refugee Crisis*.

Table 1 - Summary of challenges faced by municipalities (adapted from UCLG 2016 - The Role of Municipalities of Turkey in the Syrian Influx Management)

Pre –crisis structural challenges	Challenges caused by the crisis
<ul style="list-style-type: none"> • Access to funds • Lack of qualified staff • Lack of expertise in project development. 	1- Maintaining quality of services for an expanded population <ul style="list-style-type: none"> • Strain on infrastructures (water, electricity, waste management) • Strain on pre-existing social services infrastructures
	2- Maintaining social cohesion <ul style="list-style-type: none"> • Social tensions with the resident population, and competition over social services and on the labour market
	3- Developing specific services for the refugee population <ul style="list-style-type: none"> • Helplessness in responding to particular social needs of the Syrians • Language barriers which obstruct the provision of support to Syrians • Difficulties in developing adapted psycho-social services

Table 2 - Additional capital expenditure (in Million Turkish Lira) needs for absorbing the refugee population in terms of service delivery (UNDP 2016)

TRL million /Year	Gaziantep	Hatay	Kilis	Şanlıurfa	Total
Water	10.0	3.8	1.4	11.1	26.3
Wastewater	12.5	10.9	2.6	6.7	32.7
Waste management	2.4	3.8	0.4	3.7	10.3
Urban transport	3.2	0.0	0.0	0.8	4.0
Firefighting	5.6	4.1	1.2	6.4	17.3
Total	33.7	22.6	5.6	28.7	90.6

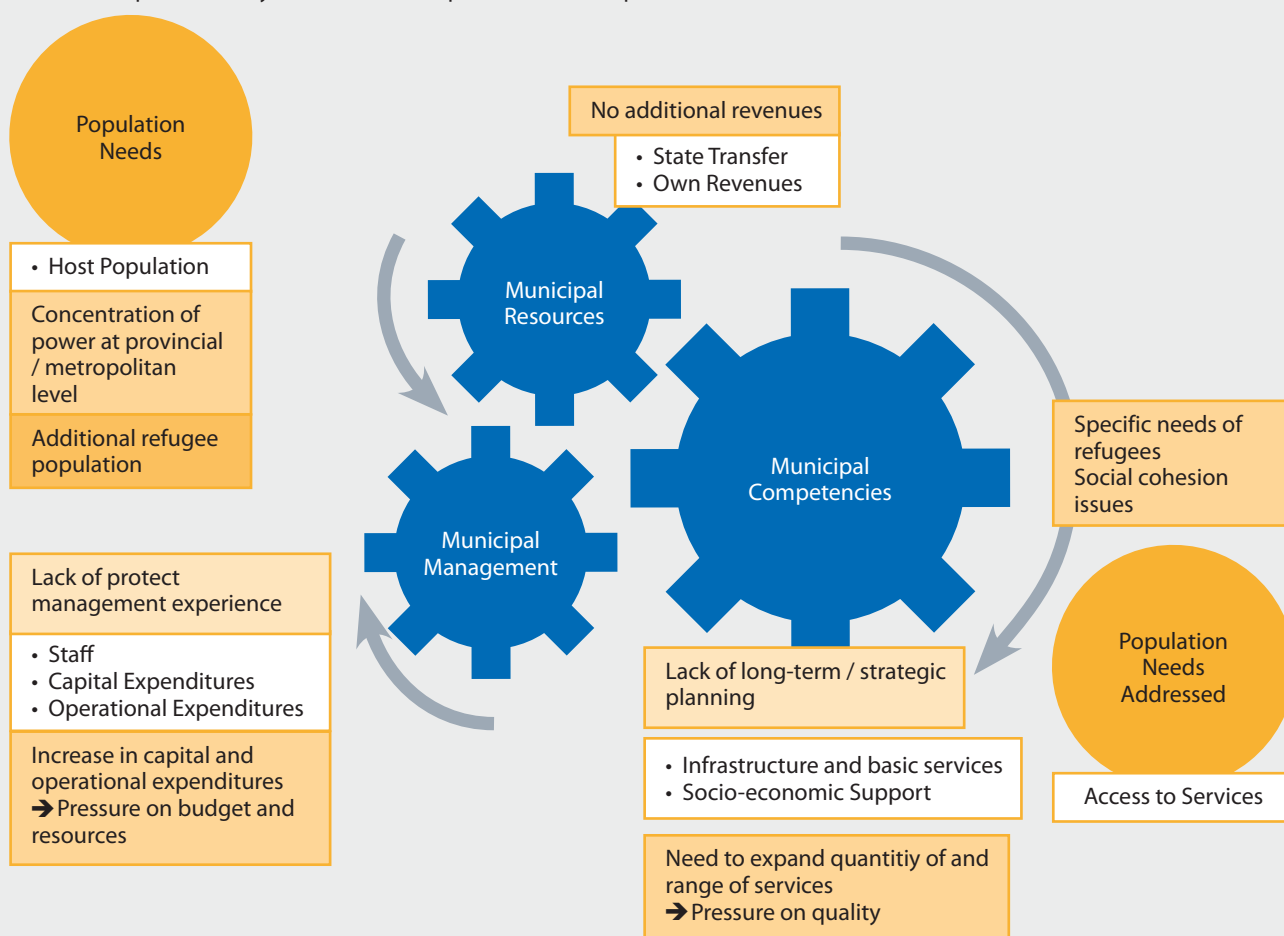
All of the competencies of municipalities related to infrastructure and basic services of the municipalities have been affected by the increase in the population due to the Syrian influx. The main consequences in the four southeastern municipalities referred to in the accompanying table include the following:

- The additional volume of waste generated due to the surge in the population adds up to more than 550,000 tons per year and the extra costs for transporting waste exceed USD 25 million per year.
- The arrival of the Syrians has not only increased operating costs for waste collection, but also resulted in waste management facilities (landfills) reaching their full capacities earlier than planned. The amount of landfill waste nearly doubled in 2015, leading to the use of wild dumpsites, particularly in rural areas;

- The Syrians under Temporary Protection living in the four target cities, who number more than 1.35 million, consume about **70 billion litres of water per year**, and produce approximately **half a million tons of residential waste water**, which needs to be collected and processed;²⁰

The demand for municipalities to perform their socio-economic support and assistance role has also been exacerbated by the refugee influx, due both to the specific protection and social needs of refugees and to the need to preserve social cohesion and peaceful co-existence. The impact of the crisis on the capacities of municipalities is summarized in chart 2 below.

Chart 2 - Impact of the Syria crisis on the capacities of municipalities



While the scale of the challenges faced by municipalities is a cause for concern, the assets of municipalities to respond should not be underestimated. Firstly, as the government unit closest to the population, municipalities remain the first port of call for host communities and refugees alike. As such, they are better informed about specific local needs and better able to identify priorities. Secondly, the requirements and procedures for the establishment of new public services are more flexible for municipalities when compared with those applying to government ministries. They therefore enjoy the flexibility they need to react to emerging needs. This unique position has made municipalities a primary counterpart in the response to the crisis.

²⁰ UNDP (2018) Project document, UNDP Turkey Resilience Project in Response to the Syria Crisis: Municipal Service Delivery.

2. Support Extended to Municipalities by the 3RP Partners

Key Findings

- Level of engagement and support of 3RP partners with municipal authorities increased three-fold over the past two years.
- In total 60 municipalities were supported (hosting over 90% of the refugee population) under the 3RP (88 including support provided by partners outside the 3RP).
- 3RP partners are working hand-in-hand with municipal authorities to help them implement their mandate and use their funds to address specific needs of refugees.
- Partners also provided support to municipal services, initially at a small scale but gradually increasing to substantive investments, particularly in the South East.
- In other parts of Turkey, such as Marmara Region, 3RP partners supported municipalities to enhance participatory decision-making, improve coordination and resource-mobilization in service-delivery to address the specific needs of refugee through provision of trainings and guidance; bridging between municipalities and NGOs; implementing joint projects and provision of funding; facilitation of coordination processes; and strengthening municipalities' role in social protection mechanisms.
- Overall, an estimated 53million USD have been or are being invested in municipal services through 3RP Partners, half of which is for 2018.
- The infrastructure support is concentrated on solid waste management (18 million USD), municipal infrastructure such as roads, parks and playgrounds (16 million USD), and more recently waste water (7 million USD) as well as fire-fighting and emergency services (4,8 million USD).

18

Given the protracted nature of the crisis and the lack of any additional income, municipalities have needed external support to manage the increase in demand for their services. In fact, municipalities have access to significant resources, but in general these are barely enough to fulfil the wide range of competencies, which the municipalities shoulder for the Turkish population. For municipalities in southeast Turkey, where socio-economic conditions were relatively poor even before the crisis, the sudden increase in the demand for services triggered by the 20% increase in the population is quite unprecedented. In other areas with high refugee populations, such as Istanbul, municipalities' resources are stretched and/or limited in terms of technical know-how, human resources, and capacities for risk mitigation, especially with respect to social cohesion.

These challenges have gradually been recognized by the 3RP partners in the context of the support they are providing to the government to help address the refugee crisis. Municipalities were first mentioned in the response strategy in 2013. Now they are named as key partners in each of the six 3RP sector strategies. The importance of supporting municipalities in the delivery of services received additional emphasis in 2017 through the inclusion in the 3RP inter-sector framework of a dedicated outcome highlighting the need to improve access to municipal services in line with the strategic objective of supporting the provision of public services through national systems. Furthermore, the 3RP partners are all agreed that municipalities remain the key entry point into local communities, and that they are essential to interventions on the ground, making it possible to develop local solutions to local needs and ensuring that the impacts of the interventions are sustainable. Partners across all sectors therefore spend much time working with municipalities, informing them of upcoming interventions, facilitating coordination between the municipalities, NGOs and line ministries, collaborating to enhance participatory decision making, and implementing programmes together to support the provision of basic services. This essential work on fostering participatory processes is contributing to another impact of the 3RP – increasing social cohesion.

This section of the report focuses on specific projects and interventions of 3RP partners which support municipalities coping with the consequences of the Syria crisis in the delivery of services to their increased populations. As detailed in Table 3, this includes support TO municipalities – understood as an increase in the capacities of municipalities, for example via the provision of equipment, construction of infrastructure, or building of staff capacities – and support THROUGH municipalities, where the provision of assistance to individual beneficiaries is delivered using existing municipal services and systems, as in the case of the provision of social assistance or the delivery of skills training programmes.

This analysis of support TO and THROUGH municipalities only partially captures the wealth of work done by the partners. This is particularly the case for protection partners, who work WITH municipalities on a daily basis, notably to make sure that they are able to interpret their role and responsibilities pertaining to the refugee population, and that refugees receive the appropriate information or referral services when they approach municipalities as their first port of call. Moreover, this mapping of the support to municipalities does not capture all the work done IN municipalities (which would be tantamount to mapping all of the 3RP interventions – see map 2 in the introduction).

Table 3-Support TO and THROUGH Municipalities

Support THROUGH Municipalities	Language classes
	Provision of social protection through identification and referrals
	Information campaigns and rights awareness activities
	Provision of transport enabling access to services
	Provision of education and skills training
	Distribution of direct assistance
Support TO Municipalities	Provision of equipment
	Construction/rehabilitation of public facilities
	Covering of staff costs and secondments
	Infrastructure
	Enhancement of knowledge and provision of Information; assessments
	Policy development
	Strengthening of internal procedures and mechanisms (referrals, curricula, standard operating procedures)
	Enhancing coordination among municipalities, line ministries and NGOs
	Training and capacity building for public employees and technical support



As mentioned above, the most immediate challenges faced by municipalities include the ambiguity of the legal framework regarding their roles and responsibilities vis-a-vis the refugee populations living within their borders and their lack of knowledge and/or technical know-how about how to support refugees, especially in terms of livelihoods and social cohesion. The municipalities, particularly at district level, are often the first port of call for refugees trying to access assistance, or to understand which services they are entitled to. The 3RP protection parties have therefore long been involved in supporting and mentoring municipalities so that they can adjust their services in such a way as to be able to respond to the day-to-day consequences of the Syria crisis in their cities and towns. As the legal framework provides limited guidance to municipalities in such cases, the partners have stepped in to support the municipalities in interpreting and applying the law and managing their services as best as possible so as to address the needs of the Syrian refugees for social assistance. The support extended by the partners has ranged from playing a facilitating role, such as establishing linkages between municipalities and other local authorities, such as the provincial directorates of various ministries, to engaging in actual technical partnerships and supporting the implementation of municipal initiatives, or facilitating inclusion of refugees in decision-making.

The latter kind of support has been most common in urban areas and more developed cities such as Istanbul, where district municipalities would be able to develop specific activities targeting refugees but would face challenges in implementing them. Moreover, there is a longer history of cooperation with Istanbul municipalities, as UNHCR has been organizing trainings and meetings with Istanbul municipalities so as to mobilize and support them in delivering services to refugees since 2009. The 3RP partners would then support them in various ways, such as providing them with the operational resources needed (e.g.: drivers or interpreters) to conduct these additional activities, advising them on project proposal development in order to mobilize additional funding, and identifying the specific needs of refugees. For example, teams deployed by the partners in the field have been working closely with local NGOs and municipal staff to ensure that municipal social workers engage in the process of identifying refugees and referring them to existing social service centres. Activities of this kind resulted in a dramatic spike in the number of beneficiaries of the services provided at the centres between 2016 and 2017.

In 2017, partners took this process one step further in Istanbul by initiating a coordination platform for district municipalities in Istanbul, Kocaeli, and Bursa provinces to facilitate mapping of services, share good practices and lessons learned, and create a bridge between provincial directorates, civil society organizations, and municipalities. Workshops with Istanbul municipality officials helped identify and address topics of mutual concern, including social assistance, livelihoods, international protection, and social cohesion; and expanded the scope of supporting the municipalities in terms of funding and guiding municipalities regarding delivery of social protection services to refugees.

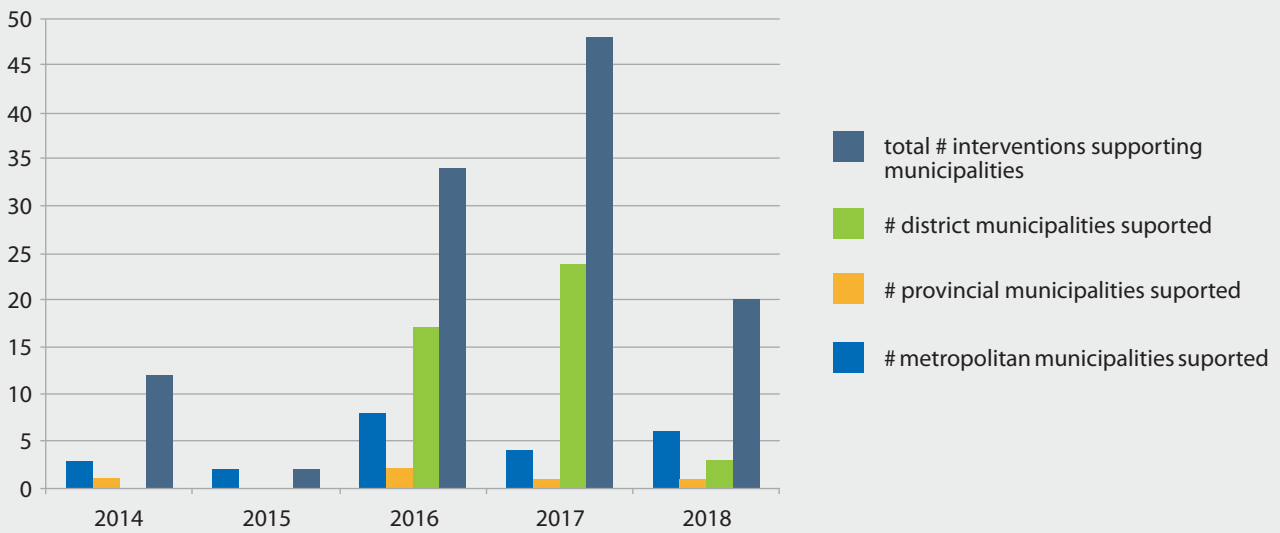
In Kilis, which hosts the most refugees per capita than any other province in Turkey, the partners supported the Kilis Municipality to expand child protection, early childhood education, and non-formal and informal education services to refugee children. A special focus of intervention was to support the municipality to better identify and respond to cases of child marriage and child labour. This modality is being expanded to additional provinces and municipalities in 2018.

In addition to this long-standing stream of work, a mapping of the support extended to municipalities under the 3RP illustrates the growing amount of dedicated support being provided, notably as a result of increased direct support for the delivery of municipal services (which is coordinated under the basic needs sector) but also including other kinds of support to municipalities, including protection and livelihoods interventions coordinated under the protection and livelihoods sectors respectively. **Overall, the 3RP partners have implemented a total of 182 municipal support interventions since 2014.** Information about funding was available for 100 of these 182 interventions, revealing a **cumulative investment of nearly USD 53 million across 60 metropolitan,**

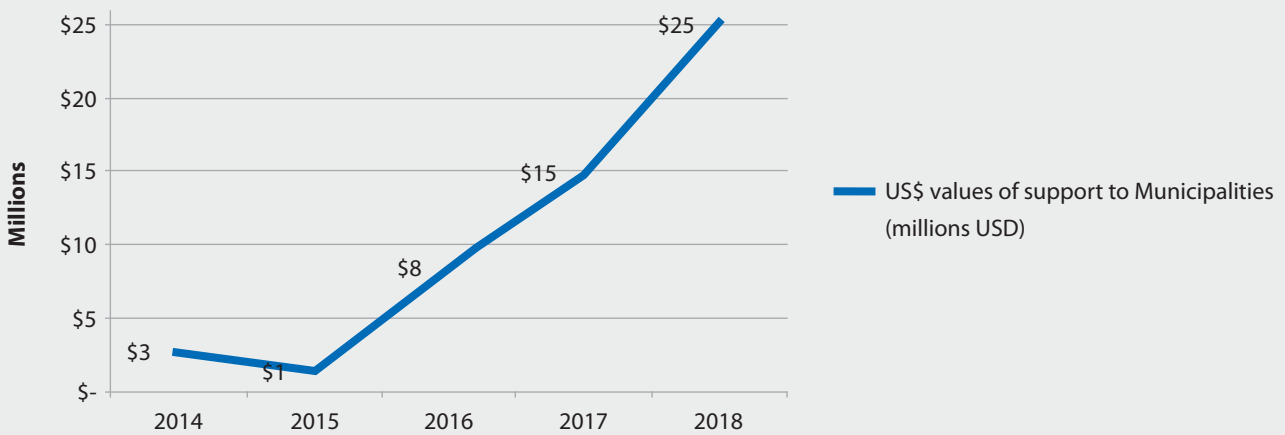


district and provincial municipalities. A more detailed analysis of the data shows that this support has increased consistently from year to year, with more funding being invested in a larger number off municipalities through larger scale interventions (Graphs 2 and 3).

Graph 2 - Number of interventions made by 3RP partners in support of municipalities since 2014



Graph 3 - Value of support to municipalities (USD million) by year



The main agencies included in the mapping exercise referred to above are UNDP, UNHCR, IOM, UNICEF, and GIZ.

UNHCR has supported a large number of municipalities, notably through its efforts to increase the technical capacities of a number of district municipalities for responding to the refugee situation and its contributions to public spaces and protection or social assistance programme (77 interventions in 46 municipalities including 29 at district level). In Istanbul, UNHCR has been conducting advocacy with municipalities since 2009. UNHCR uses small scale community support projects as significant entry points to fund, guide and support municipalities on how to provide support for refugees. This help to ensure municipal resources are extended to refugees not only with UNHCR funds but also with additional municipal resources. In relation to coordination, UNHCR facilitates coordination at provincial, district level in Istanbul with a view to expanding municipal engagement in refugee response via enhanced communication among stakeholders and partnership with umbrella institutions such as Union of Marmara Municipalities. In order to ensure municipalities' continuation to enhancing protection space in urban areas, UNHCR established social protection desks in 12 municipalities in Istanbul to help with identification, referrals, and information dissemination to refugees. UNHCR also advocates for refugee participation in municipalities consultative and participatory mechanisms:²¹ refugees now participate in city councils under three different Istanbul district municipalities (Şişli, Avcılar, and Bağcılar).

UNICEF is supporting a large number of municipalities through its Child Friendly Cities programme, which benefits all children in Turkey, including Syrian and other refugee children. In 2017, the programme supported 88 municipalities, building their capacity for child rights programming with a specific focus on child labour, child marriage, child participation and child-responsive budgeting and planning. It has also contributed to advocating for increased fiscal space and establishing platforms to foster knowledge sharing among municipalities.

However, the largest investments have been and are being made by UNDP in four municipalities in southeast Turkey, with over USD 30 million invested to support municipal services in Hatay, Şanlıurfa, Gaziantep and Kilis. UNDP interventions have initially focused on solid waste and emergency services such as fire-fighting before expanding recently to waste water and project management capacity of municipalities. IOM has implemented over 30 interventions to support community stabilization or the integrated provision of services to migrant populations through municipalities. GIZ's cash for work programme is the second largest in terms of investments in municipal infrastructure: nearly USD 15 million has been invested in rehabilitation work to date. Other partners have also provided significant amounts of support, among them UNICEF, through its child-friendly cities programme, and UNFPA and ILO, which will implement some of their sexual and gender-based violence and vocational training programmes in conjunction with municipalities. CARE, WALD and ASAM are among the most active NGOs in supporting municipalities, through infrastructure projects, social protection desks and the provision of interpreting services respectively. The main interventions made by the 3RP partners in municipalities are summarized in Table 4.

²¹ See, *Municipality Law (No. 5393), article 76*

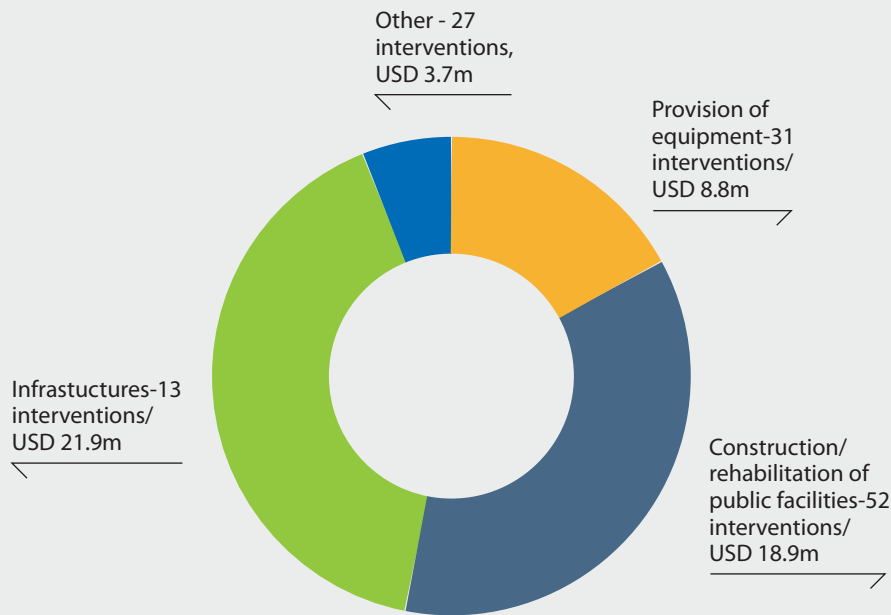


Table 4 - Summary of support provided to municipalities by main 3RP partners.

Partner	# municipalities supported	Total support	Geographical focus	Focus of Support
UNDP	4 (3 metropolitan, 1 provincial)	USD30.4 million	Southeastern municipalities	Solid waste (waste transfer station, trucks) Waste water (leachate facility) Fire-fighting services Project management capacity
GIZ	14 (1 metropolitan, 13 district)	USD14.48 million	Country-wide	Cash for work – rehabilitation, cleaning and maintenance of public buildings and spaces, tree planting.
UNHCR	33 (10 metropolitan, 22 district, 1 provincial)	USD5.25 million	Country-wide	Protection/social protection programmes (referrals and protection desks) Social cohesion (guidance and resources to enhance social cohesion, including technical information) Capacity development through training on international protection and livelihoods Public spaces (parks, gyms, football pitches) Livelihoods (equipment of training centres) Coordination/participatory decision-making
IOM	10 (3 metropolitan, 7 district)	USD1.53 million	Country-wide	Capacity building for integrated service provision to refugees Rehabilitation of public spaces (parks, schools, laundrettes, sports fields, kindergartens)
UNICEF	88	USD1.2 million	Countrywide	Technical support to child-friendly budgeting and planning; Child Protection (identification and referral of at-risk children, child marriage and child labour); early childhood education (including a social cohesion component); formal, non-formal and informal education.
FAO	2 (1 metropolitan, 1 provincial)	USD0.5 million	Kilis and Şanlıurfa	Skills development and poverty reduction (vocational training project for agriculture, livestock and food processing)

Taking a more detailed look at the type of support provided, it is interesting to note that while smaller interventions (like providing equipment to municipalities or support for social services) dominate, the largest share of the funding has been allocated for infrastructure work and the rehabilitation or construction of facilities (Graph 4).

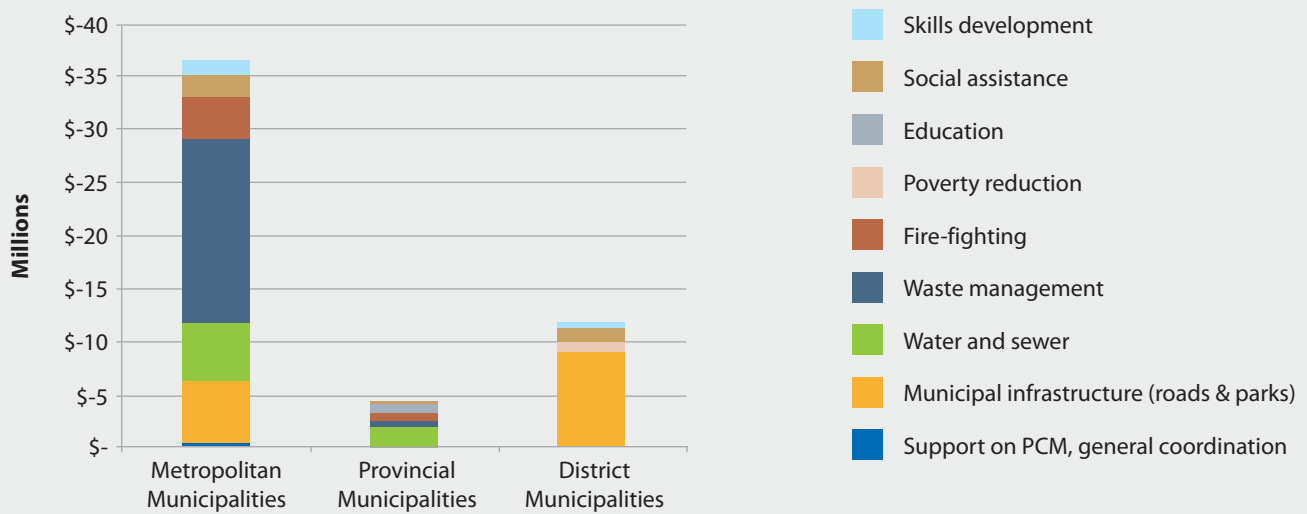
Graph 4 – Types of support provided to municipal services



Metropolitan municipalities have benefitted from almost 75% of the total support extended to municipalities in funding terms, with USD 35 million out of USD 53 million going to 47 interventions benefitting ten metropolitan municipalities. This is directly in line with the policy and legal frameworks analysed above. The primary motive for the concentration of power in metropolitan municipalities has been to generate efficiency gains and create economies of scale by setting up larger systems which serve a higher number of residents at a lower cost. These systems have come under pressure as a result of the refugee influx and have therefore been the main focus of the support provided to municipalities under the 3RP, in terms of the level of financial investments. In parallel, as mentioned above, social assistance services and more generally the socio-economic assistance role of municipalities have remained a key function of district municipalities, which are better suited to provide such support to residents due to their detailed knowledge of the local situation. The support extended to municipalities under the 3RP has followed this distinction remarkably closely: the bulk of the support has gone to core municipal services at the provincial/metropolitan level (solid waste, wastewater, fire-fighting), but this has been complemented by support extended at the district level for poverty reduction and other social protection efforts.

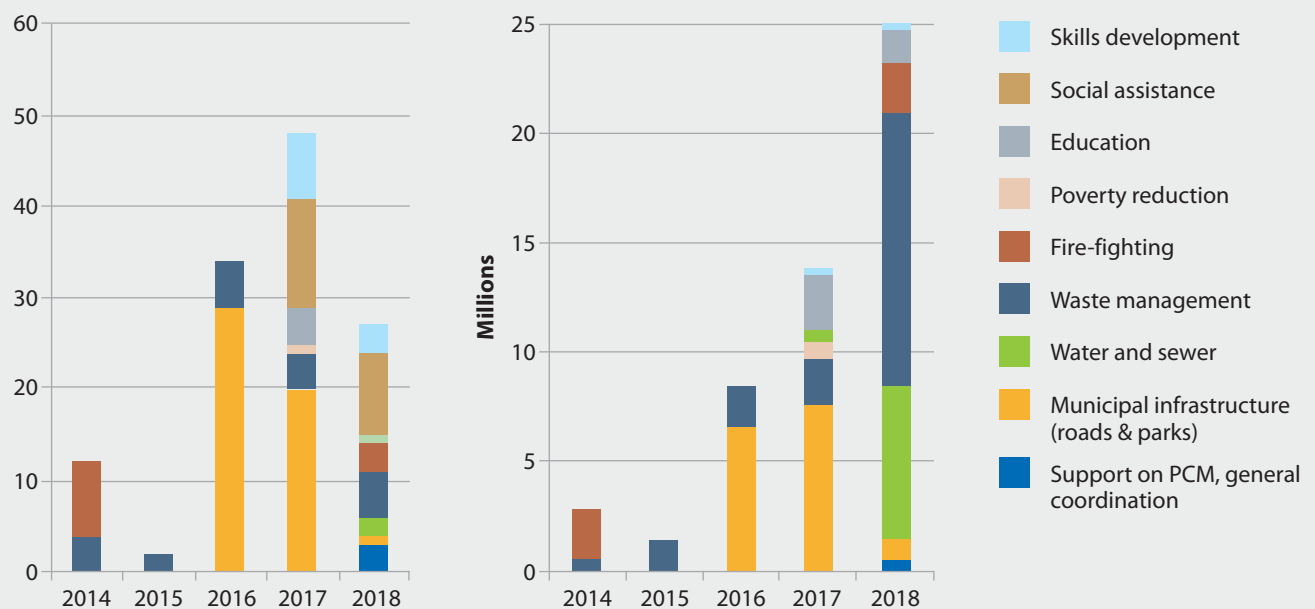


Graph 5 - USD value of support for municipal service by type of municipality



An analysis of the types of services supported by partners disaggregated by year illustrates that while the initial programmes of support developed in 2016 focused primarily on entry points such as the rehabilitation of public and common spaces and facilities (parks, playgrounds, launderettes and training or community centres), these entry points were then leveraged to scale up investments into more tangible municipal services – i.e. the construction of waste transfer stations and mechanical biological treatment and leachate facilities and the provision of fire-fighting equipment.

Graph 6 – Municipal competencies supported by 3RP partners by year (number of interventions on the left, USD value of investment on the right)



Finally, the support provided by the 3RP partners has not been spread equally throughout the country. Municipalities in as many as 64 out of the 81 provinces have not been supported at all, either at the provincial level or at the district level. However, these 64 provinces account for only 375,000 of the Syrians under Temporary Protection, or around 10% of the displaced population. Among the targeted municipalities, 50% of the municipal support interventions (91 out of 182) are concentrated in the four municipalities of Gaziantep, Hatay, Kilis and Şanlıurfa. Moreover, these four municipalities have benefited from USD 41.1 million worth of investment by the 3RP partners, or 85% of all the support which they have provided to municipalities to date. This is because all the investments in core municipal competencies (solid waste and waste water management, and firefighting) have been made in these municipalities only.

Overall, the support extended to municipalities under the 3RP illustrates the general evolution of the response, gradually shifting from short-term interventions to more structural ones in line with the increasing focus on resilience. Donors have not only enabled 3RP partners to pilot and then scale up programmes of support to municipalities, and to conduct capacity development efforts with respect to know-how and service provision; they have also opened the way for investments in larger-scale infrastructural support. The financing of such investments could potentially take the form of loans from international financial institutions (IFIs), which have expressed interest in supporting projects related to urban transport, renewable energy, water and waste water, especially in the southeastern municipalities. However, this also raises the issue of the need to support the project development and management capacities of the municipalities. In practice, municipalities with higher capacities in these areas, like Gaziantep Metropolitan Municipality, have attracted the bulk of the available funding, reflecting their ability to translate priorities and ideas into convincing project proposals. This dynamic was particularly noticeable in the main example of IFI support – the support provided by JICA for infrastructure development in southeastern municipalities.²²

²² JICA made around USD 300 million worth of loans available for infrastructure development, particularly water supply, sewage networks and solid waste management, in Hatay, Gaziantep, Adana, Kahramanmaraş, Malatya, Osmaniye, Adıyaman, Şanlıurfa and Kilis.



3. Ensuring the Sustainability of Support to Municipalities

Key Findings

- ☛ The support that the 3RP partners provide to municipalities is increasingly being used as a strategic entry point for the introduction of more structural improvements in local governance and service delivery:
 - Capacity development activities and support for participatory decision-making at the local level and enhanced coordination and resource mobilization in service delivery.
 - Introducing new technologies/methods such as means of reducing the wild dumping of waste, relying on waste transfer stations for waste collection, or using new leachate facilities for waste water management.
- ☛ These new approaches can also generate additional revenues for municipalities, for example through recycling.
- ☛ In addition, supporting the project management capacities of municipalities will help them not only to improve their strategic planning and optimize the use of their resources but also to mobilize additional external funding.

The direct support extended to municipalities for the delivery of services and the increased focus on enhancing coordination and resource-mobilization has allowed municipalities to allocate the resources saved to other needs. This may include priorities that are out of reach to the international response – for example, the funding of a waste transfer station by 3RP partners would allow a municipality to use the equivalent amount of funds for other services, such as transport. However, compared both to the scale of the crisis and to the overall budgets of the municipalities, the support provided by the partners remains relatively small. The total amount of support provided by 3RP partners to the four southeastern municipalities referred to above represents 2-3% of their total budgets. For example USD 5.9 million was provided to Gaziantep in 2017, against a total municipal budget of USD 362 million. The key to achieving sustainable changes that make municipalities more resilient is therefore to leverage the support provided to introduce transformative changes in the management of municipal services.

The importance of transformative change for making municipalities more resilient is visible in the overall evolution of the support provided to the municipalities under the 3RP. The initial response was to provide equipment (bins, trucks, etc...). Then the emphasis moved to services (solid waste transfer stations, public parks...). Now, more and more attention is being paid to capacity development (resource mobilization and coordination, project management offices, recycling strategies, etc.). However, the municipalities (except the most advanced ones, like Istanbul) tend to be reluctant to reform their internal processes and structures, and to favour initiatives directly linked to new funding opportunities. This is particularly true in the periods leading up to local elections where quick results are prioritized. Hence the importance of linking process optimization to tangible, short-term benefits.

In practice, this means that while funding for infrastructure, equipment, or facilities may provide municipalities with significant additional resources, the main purpose is to **use them as entry points** to introduce other changes that increase the overall capacities of the municipalities in question. Achieving sustainability in the support provided to municipalities is also possible through developing tailored support mechanisms in parallel with the local resources, capacities, and needs. Municipalities are demand-driven entities and the services they develop are naturally in parallel with the needs of the local communities. Bilateral interviews with key 3RP stakeholders supporting municipalities broadly identified two additional types of support that the 3RP is now offering to municipalities, besides the direct procurement of infrastructure or equipment:

1- Improving the management capacity of the municipality:

- Optimization of gains for municipalities through better management of existing services, achieved through capacity strengthening and mentoring programmes related to project cycle management;
- Introduction of new technology or approaches – for example around recycling solid waste;
- Establishment of linkages between the municipalities and the local representatives and offices of ministries to ensure that the actions of different state actors, as well as NGOs, complement one another;



- Establishment of linkages between municipalities in the same place or region, so that they share the lessons learned, challenges experienced and initiatives undertaken in the response to the refugee crisis;
- Expansion of the range of services provided by strengthening the management of social services, with particular reference to protection (child protection, sexual and gender-based violence, community centres, social protection) and livelihoods (language centres, vocational courses, support for entrepreneurship and businesses);
- Improvement of participatory decision-making as a result of the enhanced inclusion of refugees, host communities, civil society groups, universities, NGOs and professional organizations in local decision-making processes.
- Establishment of migration or harmonization Units in each municipality;

2- Expanding the funding sources of the municipality

- Developing municipal fundraising strategies and strengthening the capacities of the municipalities for project proposal formulation, so as to mobilize additional international funding from international financial and development institutions (e.g.: JICA);
- Introducing new sources of municipal revenue by recognising the value of some of the products managed by the municipality.

A UNDP assessment of the development of the capacities of municipalities receiving support for services confirms the vast potential to be unleashed by adopting this comprehensive approach to supporting municipalities. The assessment indicated that the provision of fire-fighting equipment worth TRL 3.7 million to Gaziantep Municipality would increase the operational efficiency of the fire-fighting services by 8% thanks to the direct increase in capacity. The same assessment also showed a potential saving of up to 42% of Şanlıurfa's solid waste transfer budget (or nearly TRL 1 million) could be saved by simply optimizing its management process.

Similarly, constructing new waste transfer stations will enable municipalities to conduct long-distance solid waste hauling efficiently, as a single semi-trailer will be able to carry 5 standard truckloads of municipal solid waste. Aside from the major environmental benefits arising from prevention of the use of wild dumpsites, the economic benefits will be significant. In southeast Turkey, general costs for the collection and transport of municipal solid waste are estimated at TRL 476 per ton. Increases in the number of hauls and in the distances involved as a result of the increase in the population are adding significantly to the operational costs. The new waste transfer stations are expected to bring about a cost reduction of at least 25 per cent. A previous similar investment in a waste transfer station in Şanlıurfa has already saved the municipality about USD 500,000 per year.

In Gaziantep, proper exploitation of just a portion of the recyclable waste collected by the municipality could generate some USD 1.5 million per annum, based on an average income estimate of TL 150 per ton. In addition, converting some of the organic waste into compost for anaerobic or aerobic compost production modules could generate up to USD 1 million per annum.²³ The UNDP assessment confirms that

"The process optimization initiatives were the most influential activities in Şanlıurfa... [W]ithin the municipality, most of the work processes in the departments such as transportation, environment, park-garden-green areas, firefighting, rural services, culture and social affairs still need optimization (...) The process optimization activities are the most productive tools to increase the capacity for managing the institutional resource in a more efficient and effective manner"²⁴.

Supporting municipal capital expenditures can also be used to reform their maintenance systems and reduce their operational expenditures in this manner as well.

²³ UNDP (2018) Op. cit.
²⁴ UNDP (2018), op. cit.

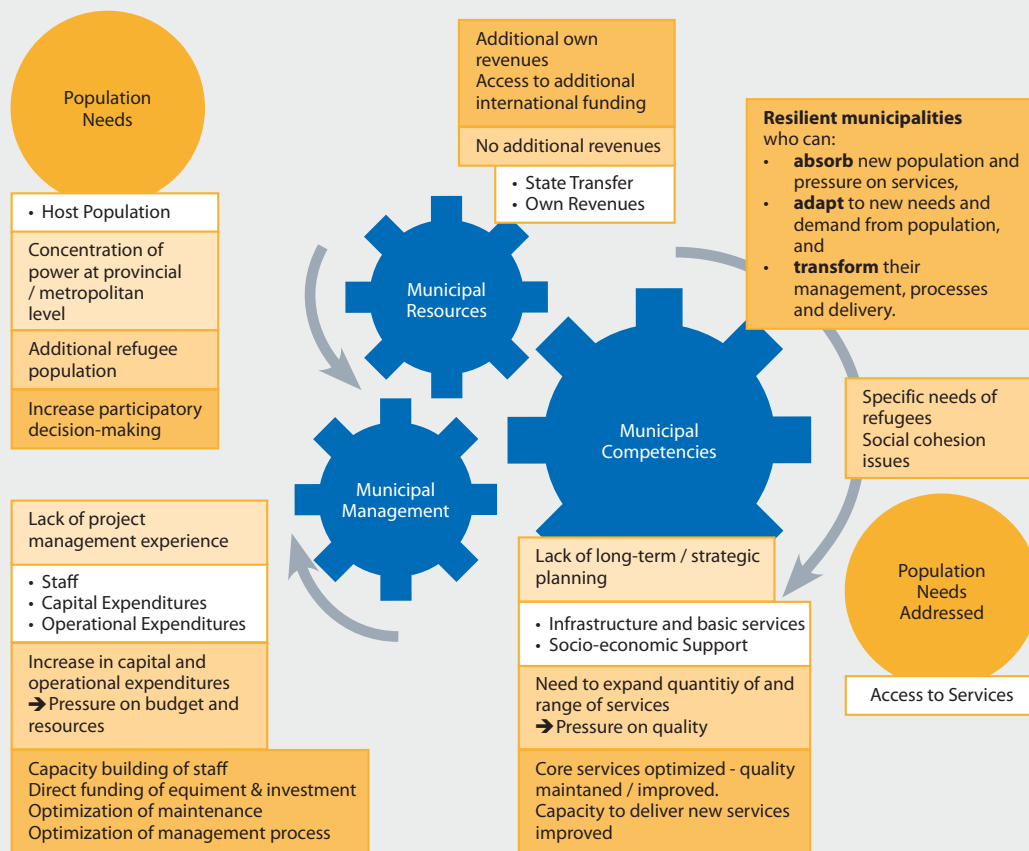
Similarly, the interest shown by municipalities in receiving support for the development of project proposals to attract external funding provides an entry point for the introduction of wider management changes in the municipalities.

“The PCM [project cycle management] is not just a tool to prepare projects for funding programs, but beyond that, it is a management tool that must be used in all departments to improve the institutional efficiency, effectiveness and sustainability”²⁵.

The overall results of such process optimization will be an increase in the institutional planning and management capacities of the municipalities which will enable them to move on from seeing the five-year strategic plans which they are required to prepare as a box-ticking legal obligation to embracing them as an actual opportunity to plan strategically. This in turn is the key to addressing not only the immediate shock which the municipalities are experiencing due to the refugee crisis, but also the pre-existing stresses that were already affecting their capacities before the crisis began (see the summary in Table 1 above).

All in all, as summarized in Chart 2, the support extended by the 3RP partners is contributing to **strengthening the resilience** of municipalities by helping them not only to **absorb** the shock of the crisis (the increased demand for services) but also to **adapt** their range of interventions to address the additional specific needs of the refugee population and the consequences for social cohesion. Finally, it is also enabling them to **transform** their management, processes and techniques to optimize their delivery of services responding to the needs of their residents.

Chart 3 – The impact of support provided by 3RP partners on municipal capacities



²⁵ Ibid.

4. Measuring the Impact of the Support Provided by 3RP Partners on Municipal Capacities

Key Findings

- ☛ It is proposed to use two indicators to measure the impact of 3RP partners support to municipalities.
 - The work of partners related to increasing participatory approaches, outreach, and inclusive decision making will be best captured by the 3RP indicators related to social cohesion, namely the indicator 1.2.1 related to active participation in communities of vulnerable populations.
 - For the work related to supporting municipal services, it is proposed to quantify the financial impacts on municipal budgets of the different types of interventions implemented by the 3RP partners, and then compare this to the increase in demand for services in the main refugee-hosting municipalities.
- ☛ In the municipalities which the partners have supported most, the total amount of support provided amounts to about 11% of the additional amount which the municipalities need in order to expand their services in proportion to the increases in their populations due to the refugee situation.
- ☛ This is a marked increase compared to 2017 when the total support provided amounted to only 4% of the additional needs of the municipalities.
- ☛ A full funding of the 3RP appeal related to municipal services would allow the partners to cover up to two-thirds of their additional needs.

Not all gains can be quantified easily. Examples of valuable but intangible support include efforts made to supporting municipalities in consistently applying the legal framework pertaining to refugee assistance, enhancing participatory decision-making and local governance, fostering linkages with the local directorates of government ministries, or even advocating at the central level for the refugee population to be taken into account when making allocations to the municipalities. Such activities are quite difficult to quantify in financial terms, although they have the potential to achieve substantial and sustainable benefits. Their impact is best measured as contributing more directly to improving social cohesion at the local level, by reinforcing bonds between communities and (horizontal social cohesion), and bridging gaps between communities and municipalities (vertical social cohesion). As such, the work of partners on participatory decision-making at local level feeds into the second inter-sector impact of the 3RP *“Increased social cohesion because Syrian refugees and members of host communities have a sense of participation, inclusion and trust”*, and more specifically in outcome 1.2.1 *“Increased active participation in communities by vulnerable population”*. This is measured by the following indicator: *“% of vulnerable Syrian refugees and host community member participating in community activities and decision making”*. Precise guidelines for reporting on this indicator should be developed as part of the ongoing efforts to develop an inter-agency social cohesion framework (see annex 1a for more details).

The 3RP inter-sector monitoring and evaluation framework also includes a specific outcome focused on improving access to municipal services. Municipal services were defined as “services provided by the municipal authorities (broader than basic needs services) to the community including: e.g. solid waste, waste water, landfill management; firefighting; employment services (ISKUR); soup kitchens; community centres”. The sectors contributing to this outcome are limited to basic needs and protection (see annex 1b for more details).

In order to measure the impact of the support provided by the 3RP partners on municipal services, there is still a need to aggregate the different types of support provided. In line with Chart 2, the analysis here focuses on the types of support mentioned in Table 4 below. Given the large number of municipalities supported, the figures focus only on those municipalities which are hosting the largest share of the refugee population and which have benefitted from the support. In these municipalities, the difference made by the partners needs to be evaluated by comparing the gains in the capacities of the municipalities achieved with the support of the partners with the rise in demand for services caused by the increase in the population.



The proposed evaluation framework would thus focus on the quantifiable gains for municipalities resulting from the support of the 3RP partners – namely:

☛ **Direct tangible support to services and infrastructure**

- Additional capital expenditures: funding of equipment, infrastructure and resources.
- Savings in operational/maintenance expenditures: better functioning of existing services thanks to new equipment/technologies provided

☛ **Process optimization**

- Project Management Offices optimize the functioning of the municipal process in targeted departments;
- The support of the 3RP partners helps municipalities with specific interventions for refugees to optimize the resources dedicated to these interventions (primarily in urban district municipalities).

☛ **Mobilization of new resources**

- Project Management Offices and 3RP partners strengthen the capacities of municipal staff in developing project proposals to mobilize resources from international and national donors;
- The municipality generates income from new sources – e.g.: recycling.

Annex 2 provides details for each category, including the methodology to be used to quantify the various gains. As explained in Annex 3, the assessment of the support provided by the partners must then be put in perspective by comparing it with the increased demand for services caused by the increase in the population. Ideally, the joint efforts of the municipalities, the Government of Turkey and the 3RP partners should result in the complete alleviation of the consequences of the refugee presence by means of an increase in the capacities of municipalities commensurate with the rise in demand for services. If the quantification of the support provided finds it to be greater than the increase in demand, then the partners would be able to achieve a transformative impact by addressing some of the pre-existing challenges in local governance in Turkey.

In the municipalities which have received the most support from the 3RP partners, the total amount of support provided so far adds up to about 11% of the additional amounts needed by the municipalities in order to expand their services in proportion to the increase in the population. This is a marked increase compared to 2017, when the total amount of support provided met only 4% of the additional needs of the municipalities. A full funding of the 3RP appeal related to municipal services would allow the 3RP partners to cover up to two-thirds of the capacity needs of the municipalities.



Annex 1 - Summary of the Relevant Municipal Outcomes of the 3RP Inter-Sector Framework and Related Sector Contributions and Definitions

a. Social cohesion –active participation

Impact	Process steps	Outcome	Outcome indicator	Proxy indicator (if other)	Baseline	Target 2018	Target 2019	Source	Resp	Time (freq)
1.2 Increased social cohesion because Syrian refugees and members of host communities have a sense of participation, inclusion and trust	<ul style="list-style-type: none"> Ensure common definitions and clarity of standards Analysis of contributing factors of social cohesion Increase programming involving host population Information campaigns for social cohesion Establish mechanisms for early warning informing preparedness measures 	1.2.1 Increased active participation in communities by vulnerable population	1.2.1 % of vulnerable Syrian refugees and host community member participating in community activities and decision making	# of individuals (Syrian refugees and host community members) accessing community centers # of refugee committees established	650,000	860,000	800,000	Potential sources: MMP Ground truth WFP IOM UN WOMEN UNHCR UNICEF	UNHCR	Quarterly
Sector	Output	Output indicators								
Protection	Enhanced promotion of social cohesion by National / local institutions and partners	<ul style="list-style-type: none"> # of institutions supported to undertake peaceful co-existence interventions (disaggregated into government institutions and non-government institutions) # of persons participating in events organized for both refugee and host communities to improve peaceful co-existence # of service providers trained on support to persons with specific needs both from refugee and host communities. 								
Protection	Adolescents and youth have increased capacity to exercise their rights and potential fully for self-protection	# of youth and adolescents (girls and boys) attending empowerment programmes								
Livelihood	Promoting inclusiveness and peaceful co-existence among refugees, host communities and other local groups	<ul style="list-style-type: none"> # of community-based livelihoods activities, targeting social cohesion and conflict prevention implemented # of persons participating in events organized for both refugee and host communities to improve peaceful co-existence 								
Food Security	Refugee households have increased access to agricultural livelihoods									
Education	Syrian refugee children and youth have increased access to formal education									
Protection	Community self-management and representation is promoted by engaging children, youth, adolescents, adults, elderly	# of community centers supported (disaggregated by type of center)								
Protection	Mechanisms for the identification of persons with specific needs are enhanced and encouraged so that individuals are identified and referred to appropriate intervention/services	<ul style="list-style-type: none"> # of individuals benefitting from protection services in community centers # of individual persons with specific needs identified and referred # of individuals receiving material assistance to meet their urgent protection needs # of individual persons assisted through case management services 								
Protection/GBV	Risks to GBV mitigated and reduced through community-based initiatives, including women, men, girls and boys	# of community-based groups conducting awareness-raising activities on GBV								
Child protection	Community based child protection and PSS interventions are available for girls and boys affected by the Syria crisis in targeted locations	# of children participating in structured, sustained child protection or psycho-social support (PSS) programmes								
Terminology/concept	Detailed description									
Social Cohesion	(of a society) that work towards the wellbeing of all members of a society/community, addresses exclusion and marginalisation, creates a sense of belonging, promotes trust and offers its members the opportunity of upward mobility									

b. Municipal Services

Impact	Process steps	Outcome	Outcome indicator	Proxy indicator (if other)	Baseline	Target 2018	Target 2019	Source	Resp	Time (freq)
2.1 Strengthened essential services for effective delivery to vulnerable populations with focus on Syrian refugees and vulnerable members of host communities	<ul style="list-style-type: none"> Analysis of capacity assessment of municipalities conducted by Union of Municipalities incl refugees Mapping of services provided through municipalities (Improved delivery on municipal level for next year) 	2.1.3 Improved access to services at the municipal level	2.1.3 % of capacity increase of municipality services	% of capacity increase of waste management services in targeted municipalities	N/A	TBD 1 st quarter 2018	TBD 1 st quarter 2018	UNDP Project survey/ evaluation	UNDP	Quarterly
Sector		Output	Output indicators							
Basic needs		Local authorities have increased technical and infrastructure capacity to deliver basic services in response to the increase in demand	# of municipalities strengthened in terms of technical capacities to deliver municipal services							
			# of municipal infrastructures newly established to expand capacity for service delivery							
			# of refugees and host community members who indirectly benefitted from improved access to municipal services							
Basic needs		Strengthened emergency social safety net structures to assist vulnerable refugees	National assistance system with enhanced capacity for longer-term sustainability in place							
Protection		Community self-management and representation is promoted by engaging children, youth, adolescents, adults, elderly	# of community centers supported (disaggregated by type of center)							
Terminology/concept		Detailed description								
Municipal services		Services provided by the municipal authorities (broader than basic needs services) to the community including: e.g. solid waste, waste water, landfill management; fire fighting; employment services (ISKUR); soup kitchens; community centers								
Municipal infrastructures		Infrastructures within the municipality to support the provision of municipal services to the community								

Annex 2 - Summary of Quantifiable Support to Municipal Capacity to Deliver Services

Support provided	Benefit to the municipality	Financial gain	Quantification of the financial gain	Source of the information
1. Direct tangible support to services and infrastructure	1a. Additional capital expenditure: funding of equipment, infrastructure and resources.	Equivalent of resources saved thanks to external investment can be diverted to investment in other capital expenditure	Value of the investment/ support provided which can be assumed to be available for other investments	PIST and municipal mapping to provide USD value of projects investment per municipality.
	1b. Saving in operational / maintenance expenditures: better functioning of existing services thanks to new equipment / technologies provided (e.g: waste transfer station and trucks save money)	Equivalent of resources saved thanks to new equipment/ technology provided can be diverted to covering operational costs of other services	Value of savings generated by new technology / equipment	Assessment of UNDP consultants of saving realized thanks to new technology/ equipment in target municipalities.
2. Process optimization	2a. PMO optimizes functioning of the municipal process in three targeted departments (tentatively waste management, transportation, fire- fighting).	Municipality is able to deliver more services with the same resources or the same services with fewer resources, saving resources for other issues.	Cost saving of new management practice / system	Assessment of UNDP consultant of saving realized thanks to new management practice / system in target municipalities (PMUs)
	2b. Support of 3RP partners helps municipalities with specific interventions for refugees to optimize the resources dedicated to these specific interventions (primarily in urban district municipalities – including social work).	Municipalities that have developed programmes to address specific needs of refugees are able to deliver more services with the same resources, saving resources from regular budgets.	Proportion of specific activities for refugees supported by 3RP partners (including activities identified through participatory decision-making or through increased engagement in the response) and cost saved through 3RP partners' support.	Assessment of consultant of extent of refugee-specific activities and proportion of these activities supported by 3RP partners (in sample district municipalities).
3. Mobilization of new resources	3a. PMO trains municipal staff in developing project proposals to mobilize international donors	Additional external funding is mobilized	Value of successful proposals submitted.	Partners monitoring reports – successful proposals developed and submitted by municipalities. IFIs records.
	3b. Municipality generates income from new sources – recycling.	Increased in own revenues	Value of new resources generated.	UNDP monitoring reports from relevant project.

Annex 3 - Calculation of Baseline and Targets

Refugees are spread throughout Turkey's 81 provinces and the 3RP partners are supporting a total of 60 metropolitan, provincial and district municipalities. The impact measurement must therefore focus on a restricted number of municipalities which can be used as a basis for evaluating the impact of the work done. The results can then be extrapolated to the total number of municipalities. The current analysis focuses on the municipalities that have the highest ratios of refugees to the host population, rather than on the municipalities with the highest absolute numbers of refugees. It can be assumed that the added demand for municipal services is broadly proportional to the percentage increase in the population. Using the ratio of refugees to the host population will make it possible to focus on the municipalities under the greatest pressure. In order to reflect adequately the various types of support provided to different kinds of municipalities by the 3RP partners, the sample of municipalities should include at least one provincial/non-metropolitan municipality and one district municipality. As no assessment is currently planned concerning the optimization gains achieved in district municipalities, it might be difficult to assess the impact of the support extended to these municipalities in 2018. However, this report recommends that assessments of municipalities should gradually be included in further evaluation and assessment efforts with a view to presenting a comprehensive picture of the impact of the 3RP on the resilience of municipalities.

The top five municipalities in this context would be:

- Kilis Provincial Municipality, with 124,418 refugees for a host population of 128,781 (97% of the host community population);
- Hatay Metropolitan Municipality, with 383,946 refugees for a host population of 1,519,836 (25%);
- Şanlıurfa Metropolitan Municipality, with 420,532 refugees for a host population of 1,845,667 (23%);
- Gaziantep Metropolitan Municipality, with 329,682 refugees for a host population of 1,889,466 (17%);
- The district municipalities of Avcılar (23,793 Syrian refugees for a host population of 435,682), Zeytinburnu (24,355 Syrian refugees for a host population of 287,387) and/or Sultanbeyli (23,221 Syrian refugees for a host community of 329,985), all in Istanbul.

The first four municipalities listed above account for 1.26 million refugees, or 35% of the total refugee population in Turkey. The host populations of the same municipalities add up to a total of 5.4 million people. This means that the number of refugees is 23% of the size of the host population in the municipalities in question. In line with this situation, 91 (50%) of the 182 municipal support interventions implemented by the 3RP partners in Turkey since 2016 have targeted these four municipalities. The 50% share of these municipalities in the total number of interventions exceeds their share of the total refugee population. However, in terms of the financial value of projects focusing on supporting the core services of municipalities, these municipalities (and associated district municipalities) benefitted from 85% of the interventions.

☛ Summary of the needs:

X is the cost of municipal services per individual. The calculations below are based on the average of the budgets of the municipalities mentioned above for 2017 (see Graph 1). The budget information has been taken from the websites of the municipalities themselves:

	Budgets for 2017			
	Gaziantep	Şanlıurfa	Hatay	Kilis
Total (TRL million)	1,319	1,084	820	117
Personnel expenses	66,9	104	110	18
Procurement	427	423	348	60
Debt servicing	144	7.5	15.5	3
Capital expenditures	503	504	321	32
Operational expenditures	42	27.8	25.3	3
Capital transfers	39	12.5	0	0.166
Loans to others	96	0	0	0
Total (USD)	362,168,382	297,642,552	225,153,960	32,125,626

Based on the data given above for the size of the refugee and host populations, the financial needs of the municipalities can be deduced as follows:

- Total municipal budget cost / individual (X) = USD 170 / year
- Total financial need to cover full municipal budget increase (N) = X x refugee population = USD 215 million/year.

Or: Need (N) = % increase of population due to refugee influx = 23%, to be applied to the respective municipal budgets (total / services / capital expenditures).

☛ Summary of support provided (see table above for details)

Support provided to municipalities (S) = 1a + 1b + 1c + 2a + 2b + 3a + 3b

☛ Summary of capacity increase of municipalities

Capacity increase of Municipalities (C) = (S)/(N)

☛ Target

While it is not the responsibility of the 3RP to fully compensate for the impact of the Syria crisis on municipalities in Turkey, given the potential multiplier effects of the 3RP interventions, one could consider that the ultimate cumulative targets (in the specified municipalities) would be for $C > 1$ – i.e. for the support provided to be greater than the increase in the needs imposed on the municipalities. The minimum should be in proportion to the amounts foreseen in the 2018 appeal budget for activities relevant to municipalities:

- Protection 2.5 (Pr): Pr = USD 33,888,812;
- Basic Needs 2.1 (Bn1): Bn1 = USD 121,705,824;
- Basic Needs 2.2 (Bn2): Bn2 = USD 15,969,459.

Total support for 2018 = USD 171,564,095.

The above total remains the appeal figure – this should be updated regularly using the financial tracking. In addition, this is the target for support to be extended to all municipalities – not only the municipalities referred to above. Taking into account the fact that, on average, 85% of the 3RP support goes to the selected municipalities, the total support for 2018 should therefore be USD 145.8 million. This gives us the following target:

- Total appeal support (T) / Total additional municipal budget needs: T1 =68%

In 2018, USD 25.1 million has already been secured, USD 24 million of which targets the selected municipalities. The Progress to date (P) as of mid-year is therefore:

- Total progress support (P) / Total additional municipal budgets needs: P1=11%

• **Baseline**

The baseline should be the amounts which agencies delivered in 2017 as support TO municipalities as quantified by the mapping exercise. USD 14.8 million was mobilized to support municipalities, of which USD 9 million targeted the selected municipalities. This amount refers only to the type of support falling under 1a (investment in projects). However, all the other types of support (1b, 1c, 2a, 2b, 3a, 3b) were not provided up to 2017 and are only expected to be implemented in 2018 and beyond. This would give us the following baseline:

- Total 2017 Support (B) / Total additional municipal budget needs: B1=4%





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