

## **Annex 4: Concept Note for the Preparedness and Resilience Consortium to address Urban Vulnerability**

### **Summary**

The challenge posed by urban vulnerability is immense and is being compounded by rapid unplanned urbanisation, climate change and resource pressures. While the realisation that there is a fundamental shift in the landscape of crises to cities is no longer contested, aid actors are nonetheless grappling with the complexities of adapting their approaches to the urban context. The **Preparedness and Resilience to address Urban Vulnerability (PRUV) Consortium** aims to inform the pressing need to reshape how humanitarian action and development aid is undertaken in urban areas to address the challenge posed by urban vulnerability.

Assembled within the PRUV Consortium is an exciting mix of actors with considerable experience and expertise in urban contexts that will transcend disciplines and sectors to frame a new resilience and preparedness paradigm to respond to urban challenges. It seeks to combine existing best practice with innovative thinking and technology to challenge current state of the art thinking in order to arrive at a novel approach with affected urban populations at the centre.

By combining legal, social, cultural, political and public health perspectives in a holistic manner, considerable purchase is added to the research around preparedness and resilience, which, while not new within the aid sector more generally, has not been focused sufficiently on the urban context to date. The opportunities to carry out the research in test-bed sites in Africa, Asia and Latin America adds to the potentially broad utility and transferability of the findings globally.

The members of the PRUV consortium are as follows:

- University College Dublin (Co-ordinator)
- Concern Worldwide
- University of Deusto
- Ruhr University Bochum
- University of Groningen
- Gadjah Mada University
- Future Analytics Consulting
- Plan International
- Yayasan Cipta Cara Padu
- Jesuit Refugee Service

The programme is divided into five thematic work packages (WPs).

### **WP1 – Social Capital and Urban Resilience. WP Leader: Concern Worldwide**

Current State of the Art: Interventions within humanitarian action have lacked sufficient understanding of the social capital of the urban populations with which they are working. This is a common issue emanating from all of the global and regional consultations undertaken as part of the ongoing World Humanitarian Summit consultative process. This expert group is arguing for greater subsidiarity in the



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aid effort. The argument centres on the hypothesis that social capital enhances a community's capacity to collaborate in the achievement of collective aims, which is a necessary basis for disaster recovery. Social capital also enhances capacity to access other forms of capital necessary for durable resilience such as human or financial capital. Understanding how different sets of capital and different socio-economic institutions interact is crucial in providing the necessary evidence base for resilience interventions.

The possibility of the inter-disciplinary field of urban planning to contribute to societal justice through the incorporation of a resilience approach is under-explored and evidence is required to build support for such a paradigm shift. Equally, key preparedness measures such as early warning systems for disasters have their roots in rural famine contexts and have not been sufficiently adapted to the rapidly sprawling and relatively social capital-poor urban and peri-urban contexts within which vulnerabilities are likely to broaden and deepen. This provides the rationale for the research objective of WP1:

***Objective of WP1: To advance the state of the art by exploring the relationship between resilience and socio-economic issues across a range of societal institutions.***

In pursuit of this objective the following methodology and approach will be adopted:

Task 1.1: Social Capital and Urban Resilience: Literature Review, Conceptual Framework and Research Design

The task will involve drawing on a range of social research methods derived from the disciplines of anthropology, sociology and political science to construct a research design for the work package. This will be conducted collaboratively by Concern and UGM staff members normally engaged in Kenya, Somalia and Ethiopia together with their host institutions, RUG and UCD. Building on the understanding that local communities are invariably the first responders and best placed to provide support in time of crises, this task will also examine policies and best practice to assess levels of social capital across a range of social institutions and proffer appropriate models of intervention at different societal levels.

Task 1.2: Social Capital and Urban Resilience: Training in Urban Planning Techniques

The Concern staff members will subsequently be joined at RUG by a staff member from Future Analytics Consulting Limited, a specialist company in urban planning and at the fore of innovation in urban resilience in Europe. The Concern staff members will thereby be exposed to a range of urban planning techniques in developing a framework by which the potential use of the operational systems of large scale urban built infrastructure can be analysed in order to ascertain the elements of these operational systems that most improve resilience for different social institutions.

Task 1.3: Social Capital and Urban Resilience: Data Collection, Presentation and Analysis of Results

On return to their host institution the Concern staff members will, on the basis of the deliverables from tasks 1.1 and 1.2, be engaged in determining the most appropriate manner in which early warnings can be transmitted within urban informal settlement settings. Of especial importance is the gender dimension in this regard. A design for a surveillance system to monitor the level of risk will then be piloted and recommendations for appropriate action to enhance early warning of crises will be provided. Experienced researchers from RUG will be seconded to Concern to support the undertaking of this task. An academic from UCD who works closely with Concern Worldwide on a range of research



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projects will supervise the piloting of the surveillance system design in vulnerable urban areas of Indonesia together with UGM colleagues in order to determine its transferability.

### **WP 2 – A Protection Approach to Urban Resilience. WP Leader: UD**

Current State of the Art: Protection is considered a core component of humanitarian action alongside material assistance. It involves translating key norms contained in international humanitarian law and international human rights law into practical interventions to safeguard physical and psychological integrity. Increasingly, protection interventions are understood not only to include reactive efforts but also longer-term efforts to prevent harm and that seek to remedy harm that might have been caused. It has been noted that the humanitarian sector has not adequately sought to understand the particular dynamics at play in urban settings, focusing as it historically did on refugee camps and the hosting of refugees in rural areas. Given the scale of current protection needs in urban areas, such a comprehensive approach requires a concerted effort on the part of the aid community, including humanitarian actors, development professionals and the peace-building community.

Distinct protection needs in the urban environment are likely to be exacerbated with the increase in urban violence and related displacement. The flows of forced migrants in urban settings are, relative to those occurring in rural areas, far more fragmented in nature and forced migrants' destinations far more diverse. Empirical research has indicated that the extent of urbanisation within areas affected by conflict influences the magnitude of forced migration. There has also been a call for further refinement of theory and data relating to how different types of violence have different impact depending on their intensity and geographical location. The challenges posed to humanitarian actors mandated to address the needs of the displaced are considerable, especially given the traditional rural focus of their operations. Better understanding of the consequences of generalised violence in urban settings for civilians and the decision-making of forced migrants within such settings is an urgent task that the research community has not yet fully explored.

Children are one of the most vulnerable social groups during humanitarian crises. There is some isolated evidence that the provision of child-friendly spaces during emergencies can serve as a mechanism for child protection. However, there is a need to complement existing literature concerning child-friendly spaces to determine more concretely how they are established in urban settings, under what conditions they ought to be established, and their effectiveness in protecting children.

In summary, the nexus between resilience and protection interventions has been under-theorised, especially in the areas outlined above, despite the clear benefits to be obtained from linking the two discourses. Therefore, the research objective of WP2 is as follows:

***Objective of WP2: To advance the state of the art by addressing the theoretical and practical gaps in the protection of crisis-affected communities and vulnerable groups in urban settings in order to acquire new evidence-based knowledge to foster resilience.***

In pursuit of this objective the following methodology and approach will be adopted:

Task 2.1: Urban Violence and Forced migration - Literature review, Conceptual Framework and Research Design

A JRS staff member will be hosted by UD, which has a long established research and education programme in humanitarian protection, and will collaboratively adopt a research design based on a conceptual framework and guided by a state-of-the-art literature review. The research design will allow for the investigation of the under-explored nexus between urban violence and forced migration. The JRS staff member will benefit from the expertise provided by UD sociologists and political scientists in protection.

Task 2.2: Urban Violence and Forced Migration - Data Collection, Analysis and Presentation of Results

On the basis of the research design agreed the JRS staff member, with support from seconded staff from UD and UCD, will conduct the case studies selected in the Latin America and Caribbean region. On this basis the limitation of existing rights-based protection frameworks to address urban violence will be identified and recommendations to improve strategies to address growing urban violence and associated forced migration will be provided.

Task 2.3: Child-friendly Spaces in Urban Areas as a Child Protection Mechanism - Literature Review, Conceptual Framework and Research Design

A staff member from Plan International, which has been actively involved in creating child-friendly spaces since its initial engagement in emergency provision, will be seconded to UD. The staff member will be expected to develop a conceptual framework to analyse protection issues for children in emergency settings with particular regard to the urban social environment in which such protection issues arise. At this stage the Plan staff member will select the most pertinent case studies from within Plan's global network.

Task 2.4: Child-friendly Spaces in Urban Areas as a Child Protection Mechanism - Data Collection, Analysis and Presentation of Results

On the basis of this framework, the Plan staff member will then implement the research design in the cases selected with the ultimate aim of evaluating key aspects of child friendly spaces and home-based care in a variety of vulnerable contexts. Plan will receive research support from UD and UCD seconded staff.

**WP3 - Urban Resilience and Legal Frameworks. WP Leader: RUB**

**Current State of the Art:** It is recognised that legal preparedness is essential for the timely and appropriate delivery of humanitarian assistance. However, legal frameworks concerning preparedness at the municipal level have not received the analysis they deserve, either by the NGO advocacy community or the academic community. Therefore, the recently adopted *Sendai Framework for Disaster Reduction 2015-2030* places especial emphasis on the importance of the development of coherent legal frameworks in underpinning preparedness and resilience. It also recognises the importance of promoting better compliance with laws that enhance safety generally in urban areas, for example urban and land use planning laws and building codes. The *Sendai Framework* also calls for the use of legislation to assign clear roles and tasks to community representatives and to ensure that compliance with laws is ensured. Despite the general consensus in favour of the use of legal instruments to promote disaster preparedness and resilience, there is some literature indicating that laws designed to promote safety have the capacity to infringe individual rights, for example laws that prohibit settlement in a disaster-prone area and that require the resettlement of residents.



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Given this overview of the extant legal framework for disaster resilience and given the recent call for the development of standards to ensure that innovative approaches are in line with humanitarian ethics, the following objective has been determined for work package 3:

***Objective of WP3: To advance the state of the art by determining the contribution of existing legal frameworks at different levels of governance to urban resilience and how they can be improved.***

In pursuit of this objective the following methodology and approach will be adopted:

**Task 3.1: Legal frameworks and urban resilience - literature review, conceptual framework and research design**

A JRS staff member with a background in advocacy concerning urban vulnerability issues will be seconded to RUB to benefit from the Institute for International Law of Peace and Armed Conflict's expertise in legal issues in crisis settings. Through the complementary inputs of each of the participants the research design for achieving the objective of Work Package 3 will be further honed and developed. A research design in which social research methods are deployed to analyse the effectiveness of legal frameworks will be adopted. Thus, interviews and focus group discussions with key disaster management professionals, municipal government officials and people living in vulnerable urban areas will be conducted in tandem with legal analysis.

**Task 3.2: Legal frameworks and urban resilience - data collection, analysis and presentation of results**

The JRS staff member will return to selected sites within JRS' Latin American and Caribbean region to implement the socio-legal research design that was designed collaboratively under Task 3.1. He/she will be supported in this regard by seconded experts from both RUB and UCD to JRS during the lifetime of the project. The UCD ER has considerable expertise in social research methods and in socio-legal studies, a field that considers law in its context. Three experienced researchers from RUG's Law School will support the research being undertaken and the interpretation of the results.

**WP4: A Human Security Approach to Urban Resilience. WP Leader: RUG**

Current State of the Art: Amongst the functions provided by the human security concept when it was first deployed in the 1990s was to unite militarised "humanitarian intervention" with developmental approaches that sought to promote freedom from fear and freedom from want respectively. In this regard it accorded with the coherence agenda of the international community during the 1990s and the subsequent period of the "war on terror." Research is required on how recurrent crises resulting from various drivers, including climate change, urbanisation and demographic change, impacts on human security. Urban areas are particularly prone to food insecurity as food is highly commodified in comparison to rural areas and are therefore prone to price variations that can lead to under- and malnutrition among low income groups.

While the linkage between human security and resilience has been referred to within the literature to a limited extent,<sup>31</sup> there has been no research to date dedicated to research based on the combination of the resilience and human security paradigms. As unplanned urbanisation creates ever greater resource pressures, the potential for urban conflict broadly defined increases. Given the salience of the human security paradigm to the resilience agenda and the insufficiently theorised relationship between the human security and resilience paradigms, the research objective of Work Package 4 is to position urban



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resilience within the human security paradigm and to determine its efficacy through testing it in vulnerable urban settings.

***Objective of WP4: To advance the state of the art by positioning resilience within the human security paradigm.***

In pursuit of this objective the following methodology and approach will be adopted:

**Task 4.1: Urban resilience and Human Security: Literature Review, Conceptual Framework and Research Design**

Four academics from UGM will be seconded to RUG to engage with experienced researchers in human security in RUG's Department of International Relations and International Organisation. RUG scholars involved in the PRUV programme (Prof. Dr. Joost Herman and Prof. Dr. Andrej Zwitter) among other colleagues have developed a novel framework for evidence-based programming based on the multi-disciplinary ethos of the human security approach. RUG's interdisciplinary institute, Globalisation Studies Groningen, and its subsidiary STINGS (Society, Technology and Innovation Network Groningen for Sustainability), has also developed a particular expertise in food security. The UGM academics will explore the potential uses of this expertise in their ongoing research projects and adapt them where appropriate to the urban context.

**Task 4.2: Urban Resilience and Human Security: Data Collection, Analysis and Presentation of Results**

On completion of task 4.1 the UGM academics will return to UGM to implement their respective research designs. Seconded scholars from RUG, UCD and UD will collaborate with the UGM ERs in undertaking the research projects in urban field sites throughout Indonesia.

**WP5—Developing Resilience in Urban Areas using Public Health Preparedness**

Current State of the Art: Public health preparedness is recognised within the academic literature as a key contributor to human resilience. In the past humanitarian actors have been criticised for placing too great an emphasis on addressing immediate public health needs and external support. It has been recognized increasingly that local public health agencies play an important role in building human resilience to climate-related disasters. There is also an urgent need to analyse how inter-sectoral public health approaches to preparedness and resilience bring together local, municipal and national authorities as well as the private sector and local communities. It is also important to model the effectiveness of public health preparedness interventions. In particular, the private sector is a core contributor to public health interventions. However, how they contribute to the resilience of local communities in the area of public health is an under-explored area.

***Objective of WP5: To model the effectiveness of inter-sectoral public health preparedness interventions for improving household, community, and local government resilience to humanitarian crises***

In pursuit of this objective the following methodology and approach will be adopted:

**Task 5.1: Public Health and Urban Resilience - Literature Review, Conceptual Framework and Research Design**

Public health experts from UGM and Yayasan Cipta Caru Padu will second to Rijksuniversiteit Groningen's research cluster on public, environmental and occupational health to develop a conceptual framework based on a literature review that will serve to assess public health risk for local government



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policy and practice based on international best practice. On the basis of this a research design for determining the effectiveness of inter-sectoral public health interventions will be assessed.

### Task 5.2: Public Health and Urban resilience - Data Collection, Analysis and Presentation of Results

On the basis of the research design the seconded staff members will implement the research design in field sites in Indonesia. Both UGM and YCCP have long track records in public health research and interventions. They will be supported by experts in various aspects of public health and a policy analyst from RUG and UCD respectively. This will provide enhanced access for conducting the research. The WP will ultimately produce recommendations to improve public-private arrangements that promote community resilience as well as academic research papers.