

**CITY
RESILIENCE
PROFILING
PROGRAMME**



**Social Resilience
Guide**

With the support of





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Social resilience is about social entities and their abilities to tolerate, absorb, cope with and adjust to environmental and social threats of various kinds. The development of the concept of social resilience started with a rather unspecific understanding of social resilience as the capacity to respond, which then evolved to incorporate notions of learning and adaptation to form a composite definition, which includes the acknowledgement of the importance of the roles played by power, politics, and participation in the context of increasing uncertainty and surprise.¹



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Acronyms

A4R	Actions for Resilience
BI(E)	Basic Infrastructure (Element)
CRPP	City Resilience Profiling Programme
CRPT	City Resilience Profiling Tool
Ec(E)	Economy (Element)
EL(E)	Ecology (Element)
HIV/AIDS	Human Immunodeficiency Virus / Acquired Immune Deficiency Syndrome
HRBA(P)	Human Rights Based Approach (to Programming)
IDP	Internally Displaced Persons
LGBTI	Lesbian, Gay, Bisexual, Trans and Intersex
M(E)	Mobility (Element)
MDG	Millennium Development Goals
MPS(E)	Municipal Public Services (Element)
NUA	New Urban Agenda
SA	Social Accountability
SDG	Sustainable Development Goal(s)
SIP(E)	Social Inclusion and Protection (Element)
SPF	Social Protection Floors
SRG	Social Resilience Guide
UDHR	Universal Declaration of Human Rights
URP	Urban Resilience Programme
VAWG	Violence Against Women and Girls





1. Introduction

The Social Resilience Guide (SRG) developed by UN-Habitat is a guiding document containing the necessary methodological insights to carry-out the analysis of resilience relevant social and societal related data and information collected throughout the entire City Resilience Profiling Tool (CRPT) and propose further actions.

Such data and information concern a broad variety of topics, from people distinctive characteristics to service delivery for all inhabitants of the cities; and from people's formal and informal organisations to broader governance processes in urban settings. Whereas all eight urban elements analyzing urban performance of the CRPT capture at least a part of these topics, the Social Inclusion and Protection (SIP) Element has a particular focus on people's detailed characteristics in relation to vulnerability and corresponding inclusive and protective measures.

Consequently, the SRG provides guidance to carry-out the analysis from the social resilience perspective, which considers any and every individual, regardless of her or his characteristics, as active parts in making the cities resilient and sustainable. Relying on a series of relevant data supporting a better understanding of all inhabitants in the cities and their status, the analysis also considers the capacity of cities to effectively give the inhabitants a voice and include them as active resources in building resilient actions at city level.

The urban elements analyzed through the CRPT are: Built environment, Supply chain and logistics, Basic infrastructure, Mobility, Municipal Public Services, Social Inclusion and Protection, Economy and Ecology.

The guide considers UN-Habitat definition of urban resilience as, "the measurable ability of any urban system, with its inhabitants, to maintain continuity through all shocks and stresses, while positively adapting and transforming toward sustainability. A resilient city assesses, plans and acts to prepare for and respond to hazards – natural and human-made, sudden and slow-onset, expected and unexpected – in order to protect and enhance people's lives, secure development gains, foster an investible environment, and drive positive change".

In a similar manner, tackling social resilience requires analysing three sets of capacities people and societies have or must develop to make their cities more resilient:

I. to maintain continuity, people and societies need **copling capacities** understood as reactive and absorptive measures to cope with and overcome immediate threats;

II. to positively adapt, people and societies need those **adaptive capacities** allowing them to be **proactive** and **act in a preventive manner**, learning from past experiences, anticipating future risks and adjusting their livelihoods accordingly;

III. to transform, people and societies need **transformative capacities** that make **effective use of assets and support** from economic, political and social arenas, that allow them to be **active participants** in decision-making and decision-implementation processes, and that support them **consolidating an institutional landscape** that both improve their individual welfare and foster societal robustness towards future challenges and crises.

From this perspective, the SRG considers three angles of analysis that are compliant with UN-Habitat's resilience principles and follow the logic of data-collection, diagnosis and formulation of actions for resilience: the first is focused on **understanding the vulnerability from a social perspective**, with full consideration of all categories of people in vulnerable situations through a human rights perspective; the second is focused on **assessing the availability of all categories of services and utilities responding to people's needs**; and the third is focused on **formulating actions for resilience** that are adapted to local needs and implementable by local stakeholders.

Considering the above framework, the Social Resilience Guide is neither a methodology nor a manual for carrying-out social resilience analyses in the cities, but a guiding document offering an overview of the envisioned methodological approach, hence supporting a better understanding of how the information will be analysed and what type of diagnostics could result out of it. The guide is expected to support experienced professionals in carrying-out complex analyses about resilience in the cities by providing the conceptual framework that promotes inclusiveness, equality and equity, and a human rights based approach with the aim of leaving no city inhabitant behind.

2. Understanding the city from a human perspective

Understanding the city from a human perspective means considering the human needs, together with the economic, technical and environmental imperatives as a joint focus of policy and governance arrangements in the city. Various classifications of human needs exist, among them the distinguished, "Fundamental human needs and human-scale development" developed by Manfred Max-Neef², which considers the human needs constant through all human cultures and across historical time periods, interrelated and interactive, but not depending of any hierarchical system (such as Maslow pyramid³).

According to this classification, there are nine fundamental human needs: subsistence, protection, affection, understanding, participation, leisure, creation, identity, and freedom. They are also defined according to the existential categories of being, having, doing and interacting, and from these dimensions, a 36 cell matrix (nine needs, four existential categories) has been developed. Notwithstanding, the current paper goes beyond an ontological approach and looks into the linkages between the human needs and the urban system by tackling three main resilience relevant occurrences for human needs:

- I. international frameworks for sustainable development of the cities, with focus on the approaches of the New Urban Agenda (NUA) and Sustainable Development Goals (SDG) Agenda,
- II. the human rights based approach to development programmes, particularly into the CRPT,
- III. the "leave no one behind" key concept in the NUA, recognized as the main principle and as the necessary commitment covering the social dimension of sustainability with interlinked impacts in a sustained urban prosperity for all, with a focus on disadvantaged and marginalised people living in vulnerable situations in the cities.

2.1. Complying with NUA and SDG principles

One of the NUA's commitments⁴ is to adopt **sustainable, people-centred, age- and gender-responsive and integrated approaches to urban and territorial development** by implementing policies, strategies, capacity development and actions at all levels, based on fundamental drivers of change, including:

- I. Developing and implementing urban policies at the appropriate level, including in local, national, and multi-stakeholder partnerships, building integrated systems of cities and human settlements and promoting cooperation among all levels of government to enable the achievement of sustainable integrated urban development;
- II. Strengthening urban governance, with sound institutions and mechanisms that empower and include urban stakeholders, as well as appropriate checks and balances, providing predictability and coherence in urban development plans to enable social inclusion, sustained, inclusive and sustainable economic growth and environmental protection;
- III. Reinvigorating long-term and integrated urban and territorial planning and design in order to optimize the spatial dimension of the urban form and deliver the positive outcomes of urbanization;
- IV. Supporting effective, innovative and sustainable financing frameworks and instruments enabling strengthened municipal finance and local fiscal systems in order to create, sustain and share the value generated by sustainable urban development in an inclusive manner.

Under article 37, the NUA states: "We commit ourselves to promoting safe, inclusive, accessible, green and quality public spaces, including streets, sidewalks and cycling lanes, squares, waterfront areas, gardens and parks, that are multifunctional areas for social interaction and inclusion, human health and well-being, economic exchange and cultural expression and dialogue among a wide diversity of people and cultures, and that are designed and managed to ensure human development and build peaceful, inclusive and participatory societies, as well as to promote living together, connectivity and social inclusion".

It continues under article 40 it states: "We commit ourselves to embracing diversity in cities and human settlements, **to strengthening social cohesion, intercultural dialogue and understanding, tolerance, mutual respect, gender equality, innovation, entrepreneurship, inclusion, identity and safety, and the dignity of all people, as well as to fostering liveability and a vibrant urban economy.** We also commit ourselves to taking steps to ensure that our local institutions promote pluralism and peaceful coexistence within increasingly heterogeneous and multicultural societies".

Under article 148, it states: "We will promote the strengthening of the capacity of national, subnational and local governments, including local government associations, as appropriate, **to work with women and girls, children and youth, older persons and persons with disabilities, indigenous peoples and local communities, and those in vulnerable situations, as well as with civil society, academia and research institutions in shaping organizational and institutional governance processes, enabling them to participate effectively in decision-making about urban and territorial development**".

In a complementary manner, the Sustainable Development Goals (SDGs) provide a globally shared normative framework⁵ that fosters collaboration across countries, mobilizes all stakeholders, and inspires action, with the aim of accomplish the following:

Provide a shared narrative of sustainable development and help guide the public's understanding of complex challenges, by raising awareness and educate governments, businesses, civil society leaders, academics, and ordinary citizens about the complex issues that must be addressed.

Unite the global community and mobilize stakeholders, such as community leaders, politicians, government ministries, academics, nongovernmental organizations, religious groups, international organizations, donor organizations, and foundations to feel motivated to come together for a common purpose around each SDG.

Promote integrated thinking and put to rest the futile debates that pit one dimension of sustainable development against another. The challenges addressed by the SDGs are integrated and must be pursued in combination, rather than one at a time. As a result, SDGs cannot be ordered by priority. All are equally important and work in harmony with the others. Each goal should be analysed and pursued with full regard to the three dimensions of sustainable development (economic, social, and environmental).

Support long-term approaches towards sustainable development, by identifying what is needed and charting out long-term pathways to achieve sustainable development, including resources, timelines, and allocation of responsibilities. This long-term perspective can help to insulate the planning process from short-term political and business imperatives.

Define responsibilities and foster accountability, by empowering civil society, focusing on timely, accurate data on progress for effective accountability, and driving improvements in data and monitoring systems, which look to capitalize on the "data revolution," i.e. significant improvements in local, national, and global data collection, processing, and dissemination, using both existing and new tools.

The SDG agenda sets out five key opportunities for development that is inclusive, universal, integrated, locally-focused, and technology-driven. Never before have world leaders pledged common action and endeavoured across such a broad and universal policy agenda, that includes 169 targets throughout 17 goals and sets out quantitative and qualitative objectives by 2030, all by keeping them global in nature and universally applicable, and considering different national realities, capacities and levels of development and respecting national and local policies and priorities. Consequently, the SDGs cover all human needs (and rights) and place them in the broader development agenda focused on economic growth, environmental sustainability, and social inclusion of all, particularly of those in most vulnerable situations.

2.2. Human Rights and Gender Mainstreaming at the core of the CRPT

The **human rights-based approach** (HRBA) defines a pattern of human rights relationships between the rights-holders and the duty-bearers. This has the effect of placing an obligation on the states to show evidence of serious efforts to realise the rights it has ratified. The state is held accountable through international governance institutions for making progress in fulfilling the relevant rights.

According to the human rights-based approach, the process of urbanization should adhere to the human rights principles of equality and non-discrimination, inclusion and participation, accountability and the rule of law. Concurrently, the city, as the outcome of this process, should meet specified human rights standards: adequate housing, access to water and sanitation, health and education services, work, participation in decisions that affect city inhabitants, or any other rights codified in the human rights treaties ratified by the state.

The human rights based approach adds value to urban planning by legitimizing prioritization of the interests of the most marginalized in society and their participation in the planning process. Indeed, the creation and implementation of an appropriate form of urban planning is a precondition in many national contexts for the fulfilment of human rights obligations in the urban context.

Applying a HRBA to development has become one of the essential platforms for recent transformations in development strategies and – due to their successful implementation – has received strong support from the UN leadership and the UN Member States. The same approach applies to UN-Habitat's City Resilience Profiling Programme (CRPP) and Tool (CRPT).

Mainstreaming human rights in development programmes refers to the overall process of integrating human rights into development programming, and the realization of human rights through development programming. In a similar logic, mainstreaming human rights in CRPT relies, on one hand, on integrating a human rights perspective in the design and conceptualisation of the tool, and, on the other hand, on adopting a human rights based approach to formulating the actions for resilience.

Achieving gender equality matters greatly to achieving resilient cities. In guiding partner cities to assess and analyse city resilience, it is important that an underlying understanding of the construct of gender equality is shared by the involved actors. Although the experiences and opportunities for women and girls in rural environments differ to those in urban, the fundamental institutional and social barriers for women's equality can apply equally to both contexts. Similarly, the challenges and discriminations experienced by women are applicable to developed and developing city contexts.

The scale and nuances of the issues may differ regionally but underlying attitudes and discriminatory bias affect women everywhere. In order to address them, the following conceptual dichotomy⁶ was adopted by UN-Habitat:

- Resilience for women, as means to ensure that all components of the urban system support women's access to equal capabilities, resources, and opportunities.
- Women in resilience, as means to promote women's agency to employ rights, capabilities, resources and opportunities to make strategic choices and decisions within the urban system, equally with those of men.

Gender mainstreaming can be understood as the reorganisation, improvement, development and evaluation of processes, to ensure that a gender equality perspective is incorporated at all stages by actors relevant to decision making. Adherence to gender mainstreaming ideally should assess the implications of particular actions and decisions for men and women and capture women's concerns and experiences as equally as men's into design, implementation, monitoring and evaluation. Such mainstreaming is undertaken with an ultimate goal of enhancing gender equality. Projects are never neutral in the way they are designed or in their social impact, as they reflect, among other things, the implementing organisation's values and priorities. Projects assumed to follow neutral⁷ approaches usually fail to address the specific needs of gender groups and the constraints they face, leading to their concerns being overlooked and the potential to increase existing inequalities. Gender responsiveness in projects is therefore essential. While cities and urban settlements can be sights of opportunity, prosperity and participation for many, when not managed correctly cities can also present concentrations of inequality and as urbanisation continues - increasing vulnerability to disasters.

When disasters occur, it is broadly recognised that women and girls are disproportionately impacted. For example, social hazards including armed or violent conflict can often see the use of gender based violence (GBV) as a weapon, with the targeting of women and girls for violent acts and assaults. Fear of GBV impacts greatly on accessibility for women and girls to basic services, protection and justice. Similarly, economic hazards such as inflation can disproportionately impact women and girls who are more likely to be burdened with poverty, unpaid work and duties of care-giving.

UN-Habitat tackles the following gender equality resilience challenges in cities through the CRPT:

I. safety in the cities, **II.** informal settlements, **III.** mobility, **IV.** young women, **V.** economic empowerment, **VI.** governance, **VII.** land ownership, and **VIII.** legislative provisions.



In supporting the analytical work of gender mainstreaming, the CRPT considers several manifestations of gender inequality in the city: **I.** institutional discrimination, **II.** economic poverty, **III.** violence against women and girls (VAWG), **IV.** education, and (v) conflict and VAWG. Detailed information about the approach to gender mainstreaming within can be found in the Gender Equality Enhancer.

2.3. People in vulnerable situations

The people in vulnerable situations are at the core of the analysis in the CRPT, which tackles vulnerability as a mixture of personal characteristics and circumstances but also social and environmental circumstances affecting the inhabitants of the cities. The following key questions are considered when analysing the people in vulnerable situations:

- Who is the person in a vulnerable situation? What are her/his personal characteristics? Is it a girl or a boy? What is her/his age? Is it a person with disabilities? What is her/his ethnicity? Etc.
- What does the person do? What are her/his personal circumstances? Does she/he live in a big (small) city? Is he/she the owner of the land or house? With whom is the person living? What are her/his relationships? What is her/his employment status? And social background? Education? Skills? Etc.
- What happens to the person? Is she/he affected by social circumstances? Or environmental circumstances? Or other people's attitudes / behaviours?

The understanding of vulnerability as, " the quality or state of being exposed to the possibility of being attacked or harmed, either physically or emotionally"⁸ is broad and unspecific, hence this guide proposes the approach of the **social vulnerability**, as one dimension of vulnerability to multiple stressors (agent responsible for stress) and shocks, and natural hazards. Social vulnerability refers to the inability of people, organizations, and societies to withstand adverse impacts from multiple stressors to which they are exposed. These impacts are due in part to characteristics inherent in social interactions, institutions, and systems of cultural values.

Furthermore, vulnerability includes other intrinsic and extrinsic dimensions:

I. the very innate status of a person might make her or him vulnerable – in many contexts, women face more challenges than men, are treated unequitable, and need to struggle more than men; the same for a disabled person, and many others;

II. the vulnerability might come from a lack of access to a service or utility, or simply because that service is not provided (coverage) in a specific area where people live.

Without seeking to establish an exhaustive coverage of all situations of vulnerability in cities, the CRPT proposes a classification per seven broad categories of people in vulnerable situations divided into various sub-categories. This approach also allows for new specific situations that might be encountered exclusively in specific contexts to be added. This classification extensively considers the questions enumerated above as means to correlate the situations of vulnerability with relevant resilience related actions.



1. Children without parental care	
What is the analysis looking for?	<p>Children relinquished / abandoned in medical wards Children and youth living in residential care units Children and youth living on the street Children and youth living at home but without parental care Children deprived of liberty Teenage mothers</p>
Why?	<p>Children, by their very nature, need care, love and protection from adults, who, in most of the cases are their natural parents. When children cannot benefit from the care of an adult (parent, relative, foster-parent) they are exposed to various risks and face additional challenges compared to children living in families.</p> <p>In the case of children living in residential care units, even though they receive all the material support for their development, the missing emotional and affective support often leave severe developmental scars.</p>
How is the information interpreted?	<p>From a resilience perspective, the information about this group is critical to anticipate potential specific measures, not necessarily applicable for other categories of population: for instance, in the case of flooding, the children on the streets are the first to be affected.</p> <p>Moreover, in contexts where their number is very high, this would imply additional extra efforts from authorities to provide them with the required security measures, among others.</p> <p>Owing to the complexity of potential interactions between the status of the concerned population and the hazards affecting them, there is no standard approach to be applied universally. Nonetheless 'common sense' actions would be envisioned bearing in mind, for example, that many children living 'home alone' are more at risk than the ones living with their parents, or, a high number of teenage mothers might indicate potential risks for the new-borns. Depending on the social protection system in place in the country, some risks might be easier to mitigate but other might require complex interventions, hence the information should be analysed in cross-coordination among all the urban elements.</p>

2. Poor people	
What is the analysis looking for?	<p>Poor children In-work poor people Young people unemployed People aged 50 to 64 out of work Poor elderly</p>
Why?	<p>Poverty is one of the most complex stresses humanity is confronted with and encompasses more than low income or consumption alone. Deprivation is often related to income poverty, for instance when low income prevents people achieving sufficient nutrition or obtaining remedies for treatable illnesses. Poverty is not always closely related to income. It may also come from a lack of access to public facilities and programs (such as health or education) or from the denial of political, civil and economic liberties. Irrespective the reason, the category of "poor people" in the CRPT looks into the diversity of groups that might be in economic poverty, and by this status are facing specific additional risks than the rest of people.</p>
How is the information interpreted?	<p>From a resilience perspective the information about this category of people in vulnerable situations is of tremendous importance. Since poverty is multifaceted and often generates multiple deprivations, its analysis needs to consider multiple sources of information throughout the CRPT in order to be able to produce meaningful recommendations. It is very important to contextualise the poverty, based on national thresholds and trends. Often, relative information should be considered in a context where many countries, particularly the developing ones, lack comprehensive national systems to assess the poverty and effectively count for the people in situation of poverty.</p> <p>Whereas most of the information about the poor people is collected under the SIP Element of the tool, the Economy element should also be treated in a complementary manner as it provides useful insights about the contextual information. Corroborating income poverty data with information and data resulting from other sections of the tool, such as the deprivations or lack of access to services such as education, health and protection, is another important aspect in understanding the way in which poverty affects the people in the city.</p>

3. Lone and dependent elderly	
What is the analysis looking for?	Elderly living alone Elderly with complex dependency needs
Why?	Old age brings significant changes in the life of people, particularly concerning the shift from the active labour life to retirement and significant physiological changes, often associated with dependency needs due to various health complications. Depending on the region, old age implies significant changes and characteristics, bearing in mind that the life expectancy is varies across the globe, from a mere 50 years or less to over 80 years in many developed countries. An old person living alone or with complex dependency needs will require specific support and tailored actions that any local government should be prepared to provide accordingly.
How is the information interpreted?	From a resilience perspective, the information should be treated carefully as its can support efforts to avoid disastrous situations such as the heat-wave that hit Europe in 2003 leaving 70,000 deaths, most of them elderly people. Lessons learnt indicate that a significant part of the disaster could have been avoided by simply reminding the old persons to drink water with a certain frequency, as means to preserve body temperature at appropriate levels. Moreover, old age and the health challenges associated with it also often bring significant additional spending for families and can result in them falling into poverty, hence retrofitting the vicious circle presented in the previous section. As in the previous categories, a transversal analysis is required, with the assessment of availability of social protection systems, including health provision and various services in the benefit of elderly.

4. Ethnic minorities	
Why?	Ethnic minorities per se are not groups in vulnerable situations but their ethnic characteristic might engender situations of vulnerability. Many states are home to ethnic, religious and linguistic minorities whose fundamental freedoms and human rights are abused. People from minority groups tend to be poorer and to have less power, less influence and less access to remedies to tackle their problems than those from the majority population. Minorities struggle to realise all types of human rights, whether civil and political, economic, social or cultural, whether as individuals or as groups. Entrenched discrimination on ethnic or religious grounds is also a common precursor to conflict. Where disaggregated data exists, minorities almost always score lower for every indicator; they have lower incomes, poorer health, are less likely to complete school. Poverty is closely linked to political exclusion, and minorities are much less likely to be elected as representatives or to be consulted in decision making.
How is the information interpreted?	From a resilience perspective, the information about this category of people in vulnerable situation should be treated with caution, mainly because of sensitivity issues related to ethnicity. For example, Roma ethnic minority in Europe face the worst forms of exclusion and marginalisation and score among the worst-off groups in all studies related to poverty. Nevertheless, the Roma minority is not a homogenous group (it is organised by castes) and poverty may not be a problem for the better-off castes, often characterised by opulent wealth, in huge contrast with the extreme poverty of the lower strata. Stigma and discrimination might often be associated with belonging to a certain ethnic minority and occur even when ethnic characteristics (language, traditions, religion, or dress) are not identifiable: e.g. many people living in severe poverty are 'assimilated' with Roma minority, although they don't manifest any of the ethnic minority characteristics.

5. Persons with disabilities	
What is the analysis looking for?	Children with disabilities Adults with disabilities
Why?	Persons with disabilities include those who have long-term physical, mental, intellectual or sensory impairments which, in interaction with various barriers, may hinder their full and effective participation in society on an equal basis with others. To enable persons with disabilities to live independently and participate fully in all aspects of life, the issue of accessibility should be carefully treated because the persons with disabilities require access, on an equal basis with others, to the physical environment, transportation, information, communications, technologies, and to other facilities and services open or provided to the public, both in urban and in rural areas.
How is the information interpreted?	From a resilience perspective, the information about this category of people in vulnerable situation is of tremendous importance because the category of persons with disability have complex needs that require the fulfilment of economic, social and cultural rights. Regarding children with disabilities, some distinctive consideration apply: for all actions concerning children with disabilities, the best interest of the child shall be a primary consideration, and, on the other hand, children with disabilities have the right to express their views freely on all matters affecting them, their views should be given due weight in accordance with their age and maturity, on an equal basis with other children, and to be provided with disability and age-appropriate assistance to realize that right.

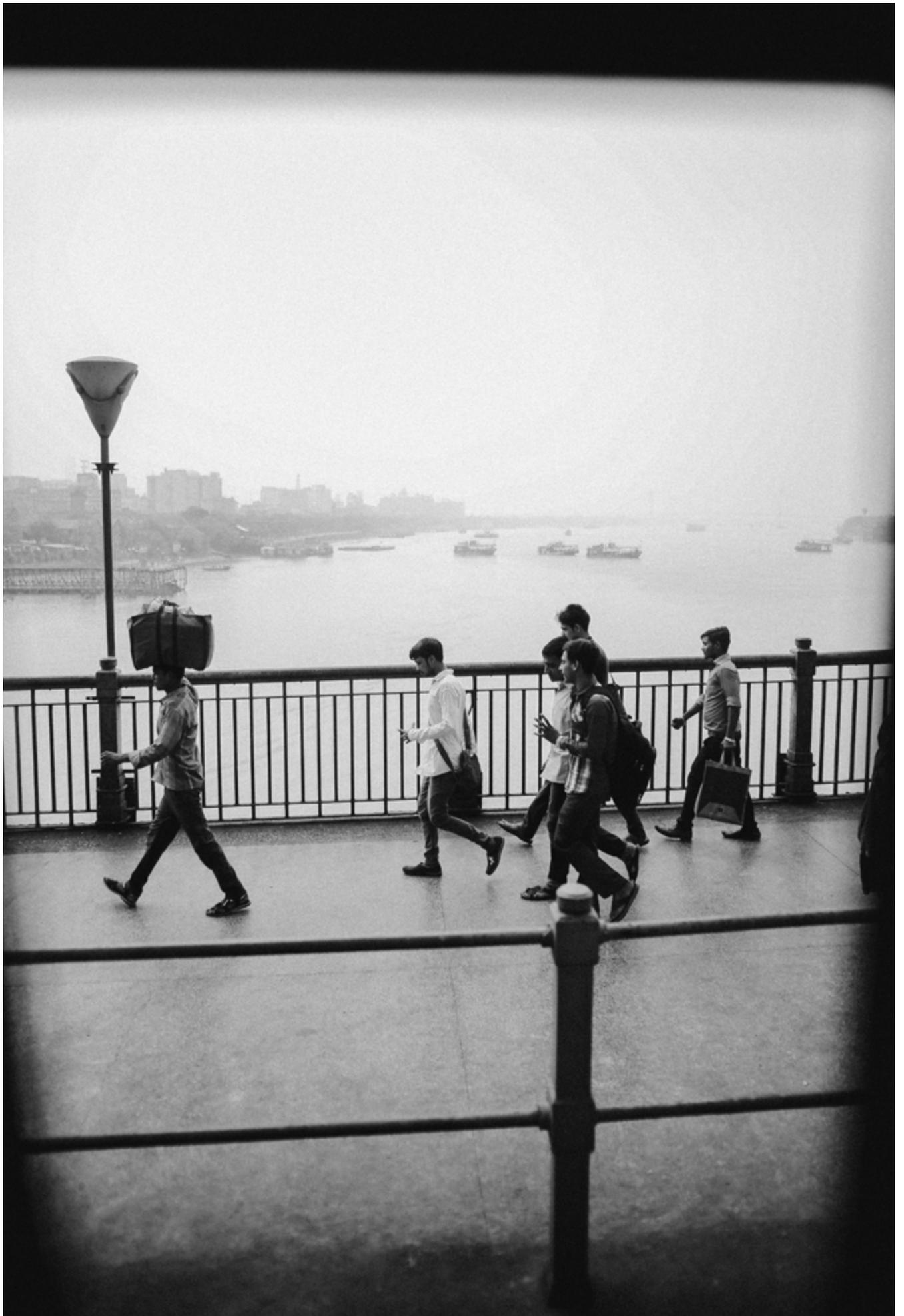
6. People living in marginalised communities	
What is the analysis looking for?	Challenged by: Human capital & Employment & Housing issues
Why?	Whereas a universal definition of marginalised communities (or areas) is not available, the CRPT opted for a Romanian approach ⁶ to urban marginalisation, which combines three criteria in its assessment. In order for an area to be considered a 'marginalised community', all three criteria should be met: (i) low human capital, characterised by a series of challenges related to education status, health problems, and family size, (ii) reduced or unavailable employment for the people at active age, and (iii) bad housing conditions (inappropriate, bad quality, overcrowded, etc.)
How is the information interpreted?	From a resilience perspective, the information about this category of people in vulnerable situation is of tremendous importance because of the complex needs presented by these communities. A marginalised community is a universe in itself and tackling its problems require complex approaches. Moreover, such a community may include various groups or sub-groups of people in vulnerable situations, hence complicating any potential interventions. The analysis in the CRPT considers the issue of slums taking stock of the challenge they represent development because they are areas in which the inhabitants lack fundamental resources and capabilities such as adequate sanitation, improved water supply, durable housing or adequate living space. Many governments have tried to find solutions and one of the proposed solutions is slum upgrading through which the infrastructure of a slum is improved, such as giving adequate water supply and sewage to the community. Additionally, because of the tenuous legal status of slum inhabitants, often strategies include the legalization of the right to the land on which slums are built.

7. Other categories of people in vulnerable situations	
What is the analysis looking for?	<p>People with HIV/AIDS People suffering from addictions to alcohol, drugs, toxic substances People deprived of liberty or on probation Homeless people LGBTI Victims of domestic violence Victims of human trafficking Refugees and immigrants Other categories</p>
Why?	<p>Many situations and conditions may generate vulnerabilities and in order to preserve a manageable design of the CRPT, a set of additional category of people in vulnerable situations was added, allowing to capture all the potential instances of vulnerability in the cities.</p> <p>People with HIV/AIDS require special antiretroviral treatments and specific support and counselling to cope with complex challenges; People suffering from addictions to alcohol, drugs, and toxic substances require specialised services and treatments; People deprived of liberty or on probation have special regimes; Homeless people, in a similar manner to children and youth living on the street, are confronted with very complex challenges; LGBTI are often stigmatised and discriminated, and in many societies are excluded from any form of public life; The victims of domestic violence are very fragile and require special attention from carers and protectors; The victims of human trafficking face not only the abuse of traffickers but are among the most invisible and at risk inhabitants of the city; Refugees and immigrants have special status and usually are protected accordingly, nevertheless they are often confronted with challenges that "regular" inhabitants do not face; Other categories may exist in the cities, depending on the country's political, economic, social, and cultural characteristics. Victims of war, internally displaced people (IDPs), are among these categories.</p> <p>In each of the instances above, different forms of vulnerability can be identified and a tailored response should be envisioned by the city in order to address the issues resulting from such vulnerability.</p>
How is the information interpreted?	<p>From a resilience perspective, the information about this category of people in vulnerable is approached depending on city specificities. Some situations are often taboo in many societies with data and detailed information about the respective groups missing. Any sensitive information should be treated with caution and the analysis will often imply a critical reading of qualitative data that need to be reliable.</p>

2.4. A logical frame for analysis: a human perspective of the cities

The three sub-chapters presented above provide in-depth information about the incorporation of main international standards and principles in ensuring the sustainable development of cities. The diagram below summarises the expected outcomes and envisioned links between them to support the analysis of resilience in cities from these international standards.





3. Leveraging people's voices

Global developments over the past few years provide arguments for greater and more effective citizen-state engagement. Citizens are the brain of the city. The more control¹⁰ the brain has over the body, the more efficient and powerful the organism. Therefore, citizen engagement and empowerment should be the basis for further sustainable and resilient city development.

The approach adopted through the CRPT builds on the World Bank's concept¹¹ of "social accountability", understood¹² as a form of citizen engagement, more specifically as the, "extent and capability of citizens to hold the state accountable and make it responsive to their needs." The conceptualisation of social accountability relies on five constitutive elements: citizen action, state action, information, interface and mobilization, not necessarily directly interlinked or following a specific sequencing. Moreover, in order to be effective, the social accountability needs to be built on solid principles, among them the most important being: transparency, accountability and participation.

Beyond a sophisticated concept, the realities¹³ on the ground often include concrete examples of social accountability. Many people feel a sense of commitment to their neighbourhood and are actively involved in activities to improve the quality of life. This is called 'citizen participation' and citizens may also be involved in the decision-making about the municipal budget.

As local residents become more involved in public life, the role of government needs to adapt and take greater account of initiatives in the community. This is called 'government participation' and it results in local authorities playing a more supportive role, for instance by providing facilities or making them available. In addition, municipalities can use neighbourhood budgets to help residents take actions in their area

Active citizens do not want the government to provide standard solutions for everything, they prefer a tailor-made approach and supportive authorities. Citizens and government are devising new ways of relating to each other and working together – in what is often called a 'do-ocracy'.

The government can support citizen participation in various ways, for instance by abolishing unnecessary rules and regulations wherever possible, these may include altering the complex application procedures in place to obtain funding for activities.

This chapter considers three relevant topics for analysing how people's voices are effectively taken into consideration in city development: (i) information related to participative processes, citizen engagement and overall civil society participation in decision making, (ii) information related to potential barriers affecting people's access to facilities, goods and services, and (iii) the overall aim of creating safe and inclusive cities that leave no one behind.

3.1. People's voice and participation

Whereas in the previous chapter the analysis considered a broad variety of categories of people that might live in the cities, with a particular focus on those in vulnerable situations, this section of the guide is focused on how citizens and local governments interact in making the participation and engagement effective. In this respect, it is focused on how information exchanges, communication processes and stakeholder mobilization are effectively contributing to increased resilience resulting from awareness raising, knowledge generation and capacity building of the population, particularly of the groups in vulnerable situations.

People's voice and participation are topics tackled whenever relevant throughout the entire CRPT but their systematic analysis effectively takes place in the SIP Element of the Urban System, under the Social Accountability (SA) Component. SA is distinctive from responsibility. Whereas the responsibility is a duty or obligation to satisfactorily perform or complete a task, the accountability is the expectation of account giving regarding specific responsibility, it is the obligation of power-holders to take responsibility for their actions.

SA has also been more extensively defined as, "a pro-active process by which public officials inform about and justify their plans of action, their behaviour and results, and are sanctioned accordingly"¹⁴. Therefore, an accountable local government is one that pro-actively informs about and justifies its plans of action, behaviour and results and is sanctioned accordingly, either positively or negatively.

From this perspective, the conceptualization of social accountability is based on five constitutive elements: **I.** Citizen Action and **II.** State Action as the 'fix' elements, and **III.** Information, **IV.** Interface and **V.** Mobilization as the 'mobile' elements having a leveraging role between the two others, hence driving the citizen action or the state action. Their characteristics are presented in the table below:

Citizen action	Diverse activities that would typically include: demand making (for information, justification, or sanctions), protests, and claims for better public goods
State action	The response (preferably positive) to the above requests (e.g. through improved public services, reduced corruption, etc.) It is important the extent to which responses are organizational, based on prevailing cultures, norms and standard operating procedures, as opposed to individual actions (personal preferences and degrees of discretion).
Information	A fundamental element of social accountability; in an accountable and responsive city that engages citizens in decision-making, information flows are needed from citizens to the state, state to citizens, between the various parts of civil society and within the local government apparatus.
Interface	The citizen-state interface is at the very core of the social accountability: it includes simple tools such as community scorecards, citizen report cards, social audits or grievance redress mechanisms, but it also refers to a comprehensive process that includes a complex locus of interaction between local governments and citizen actors.
Mobilisation	Is a way to respond to the risk of individual action to be repressed or to have limited impact, so the role of mobilization will be crucial in bringing together organizational and leadership capacity. The collective mobilization of the civil society depends either on the state or civil society organizations efforts, or on the internal organic political processes.

3.2. Potential barriers in accessing facilities, goods and services

City inhabitants are considered throughout the CRPT as rights holders, meaning they are individuals or social groups that have particular entitlements in relation to specific duty-bearers. All human beings are rights-holders under the UDHR. A human rights-based approach does not only recognize that the entitlements of rights-holders need to be respected, protected and fulfilled, it also considers rights-holders as active agents in the realization of human rights and development, directly or through organizations representing their interests.

The achievement of the entitlements depends on how accessible the facilities, goods, and services are, hence the issue of access becomes critical: What are the means or opportunities the inhabitants have to approach or enter a place? What are the rights or opportunities for inhabitants to use or benefit from something? Or to approach or see someone? What are the barriers impeding the achievement of entitlements? Such questions are vital in carrying-out qualitative readings that complement the information resulting from the benchmarkable indicators and orient the findings towards specific actions and their tailored implementation.

From a rights holder perspective, various categories of barriers might hinder access to facilities, goods and services. Their characteristics are presented in the table below:

Socio-economic capacity as a potential barrier	Facilities, goods and services cannot exist without proper funding, and, regardless of the financing mechanisms that guarantee their effectiveness, there will always be a cost, direct or indirect, that needs to be supported by the end-user. In other words, facilities, goods and services always come with a corresponding price and, often, the end-user (which in this case is the city inhabitant) is the one required to pay this price. In analysing the potential barriers faced by the rights-holder in accessing facilities, goods and services, the CRPT considers various barriers, among which socio-economic vulnerability. In the sense of the set of barriers that potentially influence the access of inhabitants to facilities, goods and services in the cities, the socio-economic vulnerability would translate into a poor or low socio-economic capacity affecting such access.
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Geospatial setting and safety as a potential barrier	<p>The geospatial setting where people live might constitute a significant barrier in accessing facilities, goods and services in the cities. Geospatial setting can be a physical constraint that people must face whenever they want to access facilities, goods and services. The example mentioned above on urban marginalised areas might constitute such a barrier. Moreover, urban areas that are isolated and/or far from the city centre and its main services, often lack lower-level (neighbourhood) services. Even in cases of best-off neighbourhoods, composed of rich inhabitants, accessibility might be affected by the poor or missing minimum infrastructure. Examples of such situations are newly built eccentric rich villa-neighbourhoods lacking basic utilities or paved roads and therefore significantly affecting their inhabitants' access to goods and services.</p>
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Social and cultural norms as a potential barrier	<p>Social and cultural norms are informal understandings that govern the behaviour of members of a society. In other words, they are regarded as collective representations of acceptable group conduct as well as individual perceptions of particular group conduct. They can be viewed as cultural products (values, customs, traditions) representing individuals' basic knowledge of what others do.</p> <p>Whereas social and cultural norms are vital for preserving and consolidating people's identity (ethnic minorities, sexual minorities, etc.) and are usually 'invested' with positive values, in some situations they become a burden for the concerned population, tremendously affecting the fulfilment of their rights. Female Genital Mutilation is one such form of manifestation of violence against women and girls however it remains a large scale practice due to social, cultural and religious considerations. This practice has direct impact on the health of women and girls with a set of negative effects and no health benefit identified. Another example is child marriage, often leading to impeding access to education mainly for the young girls, sometimes sold for their virginity to the future husband's family, himself most of the time a minor too.</p>
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3.3. Leave no one behind

Growing inequalities in both developed and developing countries have hindered development around the world, in some cases undermining previous societal achievements. The persistence of multiple forms of poverty, including the rising number of slum and informal settlement dwellers, is a sad reality in a number of countries, which makes urban segregation a spatially visible phenomenon in many cities.

The challenges faced by vulnerable groups as well as the growing diversity of urban dwellers brought about by globalization and the concurrent massive movement of people displaced by conflicts or in search of a better life, further complicate in the quest of ensuring urban inclusion and prosperity for all.

The New Urban Agenda highlights the importance of spatial dimension of inclusivity and suggests a new model of progressive actions to avoid segregation at the policy and implementation levels. This will allow achievement shared prosperity through equal access to the opportunities and benefits that good urbanization can offer.

Supported by the provisions of the Universal Declaration of Human Rights and all international human rights treaties, the New Urban Agenda adopts a people centred approach to urbanization focusing on increased public participation, social cohesion and integration of cultural diversity. It combines this with the commitment to ensure equal access to urban infrastructure, basic services, and adequate housing for all, in a socioeconomically mixed environment where people can lead decent, dignified, and rewarding lives achieving their full human potential.

The CRPT adopted this approach and operationalised it throughout a series of indicators. In doing so, it considered several desiderata that helped the design of the element's components and corresponding indicators:

- Leaving no one behind means ending extreme poverty in all its forms and reducing inequalities among both individuals and groups. By defining the categories and subcategories of people in vulnerable situations, by putting the poverty at the core of analysis through various components of the SIP Element but also of Economy Element, the CRPT largely captures relevant information about poverty that will serve in formulating the actions for resilience and, indirectly, contributing to ending extreme poverty and reducing inequalities.







- Key to leaving no one behind is the prioritisation and fast-tracking of actions for the poorest and most marginalised people – known as progressive universalism. If policy is implemented among better-off groups first and worst-off groups later, the existing gap between them is likely to increase. The CRPT focuses analysis on those in vulnerable situations by promoting the UN concept of Social Protection Floors (SPF) and extending the definition of urban marginalised areas. In this respect, the concept of SPFs covers, "nationally defined sets of basic social security guarantees that should ensure, as a minimum that, over a life cycle, all in need have access to essential health care and to basic income security which together secure effective access to goods and services defined as necessary at national level¹⁵".

- Leaving no one behind goes beyond being just an anti-discrimination agenda; it is a recognition that expectations of trickle-down progress are naïve, and that explicit and pro-active attempts are needed to ensure populations at risk of being left behind are included from the start. Beyond the set of indicators regarding all potential categories of people in vulnerable situations, the CRPT also introduced the social accountability (SA) as one of the key concept and approaches, and with the aim of boosting SA approaches in context where they are in an early stage or not even exist.

- For countries where high levels of absolute deprivations persist, an appropriate emphasis is likely to be ensuring that people living below the poverty line – in income terms or other dimensions of wellbeing – can attain minimum living standards. For countries where most people have attained minimum living standards, relative considerations will become more important, and a focus on closing gaps.

3.4. A logical frame for analysis: leveraging people's voices

The three sub-chapters presented above provide in-depth information about how to analyse each important step in ensuring effective leveraging of people's voices in the cities. The diagram below summarises the expected outcomes and envisioned links between them to support the analysis of resilience in the cities from its inhabitants' perspective.



4. Understanding the city as an urban-system providing services

According to the World Bank¹⁶, "the care and feeding of cities is likely the world's largest business; it is certainly one of the fastest growing. With an additional 2.5 billion people headed to cities in the next 30 years, providing these 'customers' with energy, water, transportation and waste management is critical for local government, as well as a huge opportunity for the private sector. Utilities are big business."

The CRPT largely captures information regarding the coverage with and the access to utilities in cities under the Basic Infrastructure (BI) Element, whereas the transportation is tackled under the Mobility (M) Element. Bearing in mind that local basic service provision makes up 15% to 20% of the global economy, which is about twice the share of health care, the cities should have a clear interest in allocating a growing share of their budgets to data collection and systems monitoring, and push for greater efficiencies.

Nonetheless, cities are not only about utilities, or basic services with the above meaning; the city provides many different services to its inhabitants as main response to their needs, and in line with fulfilling their right to development, understood as, "an inalienable human right by virtue of which every human person and all peoples are entitled to participate in, contribute to, and enjoy economic, social, cultural and political development, in which all human rights and fundamental freedoms can be fully realized. The human right to development also implies the full realization of the right of peoples to self-determination, which includes, subject to the relevant provisions of both International Covenants on Human Rights, the exercise of their inalienable right to full sovereignty over all their natural wealth and resources"¹⁷. As a consequence, other categories of services need to be emphasised.

Under the SIP Element, the component of Access to basic social services is exclusively dedicated to assessing the access of inhabitants to basic education, health, social care and nutrition, establishing a component that analyses how these services are provided to each relevant age-group, in line with UDHR and filtered by the priorities established within each relevant SDG, including information related to their availability, which is measured through coverage related indicators.

A third category of services in the city is regrouped under the Municipal Public Services (MPS) Element of the CRPT, which covers a large variety of services directly or indirectly provided by municipalities. The terminology of municipal public services may apply to all the services (or, depending on the terminology adopted, to utilities or to basic services) provided in the city, therefore, it is not for exclusive use under the MPS Element. However, the design of the CRPT determined the adoption of this specific terminology only under this element, as means to be able to easily classify the information for analytical purposes.

In a similar manner, the CRPT also tackled the Ecosystem Services, analysed under the Ecology (EI) Element, in terms of conditions and trends, and service maintenance. With this last category, the city, as an urban system providing services under the CRPT includes: utilities, basic social services, municipal public service, and ecosystem services, all detailed under the next chapter of the SRG.

4.1. Main categories of services provided by the cities

The city as 'utilities' provider

The following utilities are assessed under the BI Element of the CRPT: **I.** electricity and **II.** gas, under the 'energy supply component', **III.** water, both as water supply and wastewater and sanitation, **IV.** solid waste and **V.** telecommunications, whereas **VI.** transportation is assessed under the M Element.

From an end-user perspective, the most relevant indicators considered for the analysis are those regarding the access to these utilities, including when the access is affected by the incomplete coverage of physical areas with the respective utilities. The analysis of barriers plays a critical role in the overall assessment of resilience but the supporting indicators on barriers are not benchmarkable, hence requiring a qualitative analysis. The purpose is to identify which of the barriers occurs the most and affects inhabitant's access to these utilities.

Regarding the potential barriers in providing facilities, goods and services, which are placed at the level of duty bearers, specific analytical guidance is provided under chapter 5 of the guide: Actions for resilience for and with people.

The city as 'basic social' services provider

Regarding the access to basic social services, a specific component under SIP element was designed with the purpose to assess how the citizens are protected through provision of essential safety nets, composed of tailored access to care and protection, education, food, and health services, promoting social cohesion and contributing to increased resilience resulting from fulfilment of basic developmental rights for every citizen, particularly for those in most vulnerable situations.

The following basic social services are assessed: **I.** the access to basic education with focus on primary and secondary education, in line with corresponding SDG's targets **II.** the access to basic health care services, including for groups of population requiring specific (tailored) healthcare support, **III.** the access to social care and protection services, comprising preventive and protective measures for all categories of groups in vulnerable situations (a case study in this area is provided at the end of SRG), and **IV.** access to basic nutrition and food services for the categories of people at risk of malnutrition (under/over-nourishment).

Whereas the access to utilities is analysed from an end-user perspective, the access to basic social services is analysed from a beneficiary perspective, the premise being that people access these services because they have a particular need (exception being the access to education). As a consequence, the assessment needs to adopt different analytical approaches under each category of basic social services:

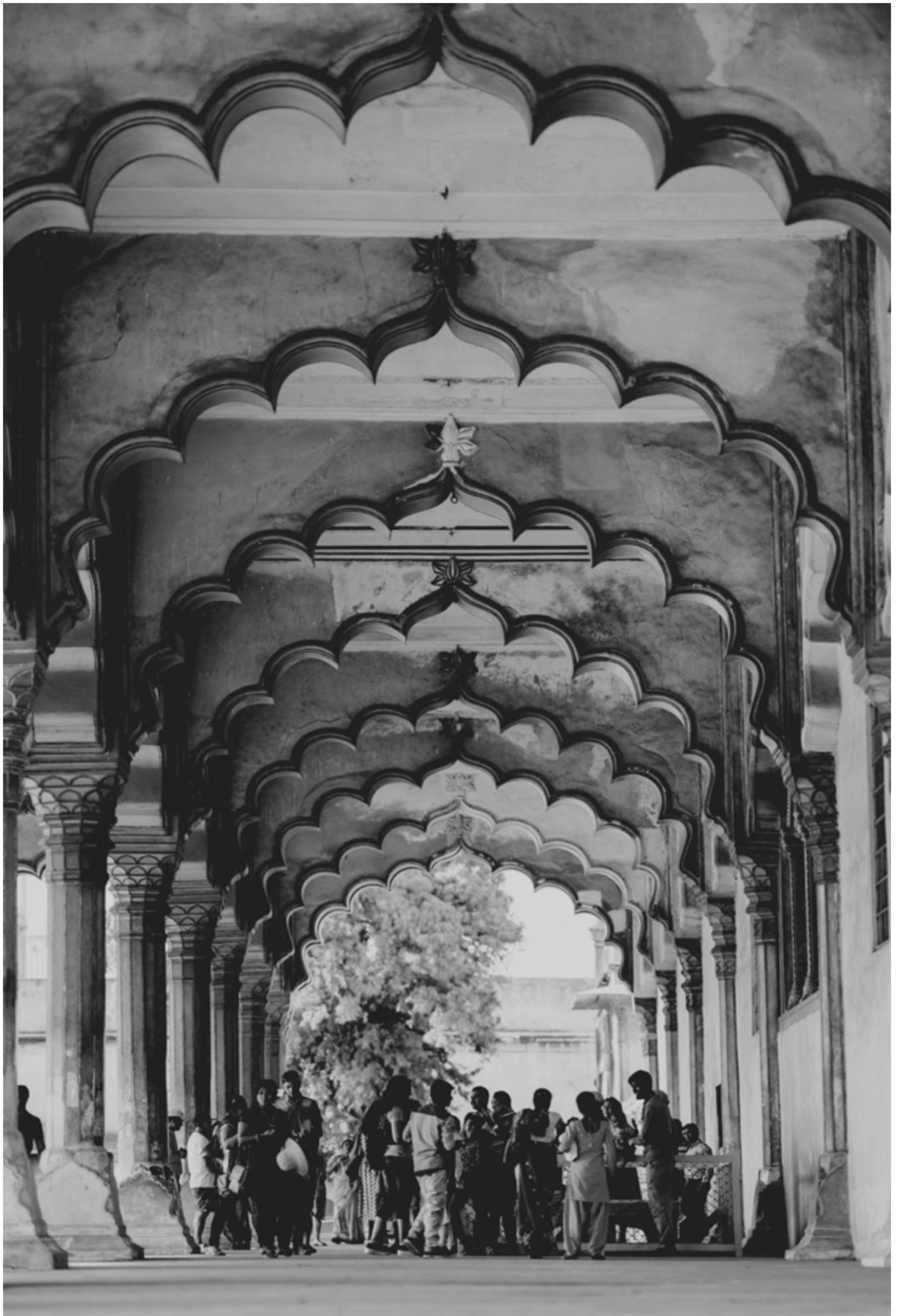
- The assessment of access to education services is mainly focused on those categories of children considered at risk, either because they are left behind (regardless the barrier, they do not go to school) or because their characteristics hinder their full access to education (such as for the children with disabilities).
- The assessment of access to health services mainly considers those categories of population requiring specialised or tailored healthcare (because of illness, or because of status), including the emergency component of the healthcare system.
- The assessment of access to social care services tackles, in the most comprehensive manner in the tool, all the categories and sub-categories of people in vulnerable situations, with the aim of identifying their size (e.g. how many children are on the street?) and the response of the local government (or other administration) tailored to their needs, from a preventive perspective (e.g. are there services in place that prevent children living on the street?) and from a protective one (e.g. once identified the children on the street, are there any services protecting them from main harms occurring on the streets, including helping them reconnect with the life in family-type environment, and mainly fulfilling their developmental rights?).
- The assessment of access to basic nutrition and food provision has a particular focus on those categories at risk of malnutrition, with at the core the children suffering from wasting and stunting.

The city as 'municipal public services' provider

Public services are an essential component of the urban system and are provided by the governments to people living within their jurisdictions, either directly (through the public sector) or by financing the provision of services. The term is associated with a social consensus that certain services should be available to all, regardless of income, physical ability or mental acuity. The municipal public services are assessed under the homonym element with focus on those services delivered by the municipalities and which require specific attention from a resilience perspective. They include services relevant from a humanitarian perspective, services relevant from an emergency perspective, services relevant from safety perspective and other services usually provided in exchange for the taxes paid by the citizens.

The approach adopted under this element considered various analytical perspectives:

- Life events perspective: considering each moment important, from being born, having and identity, getting married, and so on. The topics analysed concern civil registration and cemeteries and crematoriums.
- Security, safety and emergency perspectives, bearing in mind that public safety must be considered a right for all, and all members of society must work together with their governments to improve it. The topics analysed concern the need to rely on a fair justice and strong law enforcement systems (analysing criminal justice and law enforcement), the need to be protected whenever an emergency occurs and regardless the issues it engenders (analysing emergency and rescues services), the need to stay safe in all public spaces (analysing public lighting), the need to benefit from food safety and be protected from diseases (analysing food inspection and monitoring institutions and communicable diseases surveillance and response systems).
- Other relevant perspectives not captured elsewhere in the CRPT, with the following analysed topics: enjoying cultural rights (analysing cultural heritage and cultural activities) and benefiting of rights while



complying with the obligations (analysing municipal taxes and fines (component to be transferred under Economy Element).

4.2. Potential barriers in providing facilities, goods and services

The provision of services at city level may be hampered by various factors. In order to assess these factors and how they influence the service delivery in the cities, the CRPT developed the access and coverage supporting indicators, the first being detailed under chapter three and the latter being presented in this section. A generic definition of coverage would include several meanings: the extent to which something deals with something else, the area that can be covered by a specified volume or weight of a substance, and the amount of protection given by an insurance policy. In a similar manner with the access indicators, those for coverage are not benchmarkable, but their use is vital in carrying-out qualitative readings to complement the information resulting from the benchmarkable indicators and orient the findings towards specific actions and their tailored implementation.

The service-providers in the city are also duty bearers, as actors who have a particular obligation or responsibility to respect, promote and realize human rights and to abstain from human rights violations. The term is most commonly used to refer to State actors, but non-State actors can also be considered duty bearers. Depending on the context, individuals (e.g. parents), local organizations, private companies, aid donors and international institutions can also be duty-bearers. Bearing this in mind, a HRBA does not only recognize that the entitlements of rights-holders need to be respected, protected and fulfilled, it also considers rights-holders as active agents in the realization of human rights and development, both directly and through organizations representing their interests.

At the level of duty bearers, the following potential barriers are considered: (i) financial capacity, (stakeholder's capacity to allocate funds for the operations). (ii) geospatial setting, (physical constraints within the city that may affect the functioning of the respective operations), and (iii) normative and institutional frameworks, (legal provisions, including regulations and procedures, that affect the respective operations).

The table below presents a short description of these barriers, including some examples to help identification and further incorporation in the formulation of actions for resilience.

<p>Financial capacity as a potential barrier</p>	<p>Facilities, goods and services cannot exist without proper funding and service-providers constantly need to adapt the financing mechanisms and sources to guarantee their effectiveness. For some services financing is entirely ensured by the state (e.g. health security in Spain covers 100% of the primary, secondary and tertiary healthcare services, even though the beneficiaries need to contribute to a national/regional health insurance system), and for other the costs are shared (e.g. transportation is paid by the traveller when purchasing the tickets but often subsidised to a certain extent).</p> <p>Public administration budgets, and mainly local government budgets depend on various factors, starting with the wealth of the city, and also the level of decentralisation, tax collection, allocations from central budget, to mention but a few. It is uncommon for local governments to declare that they have adequate funds to deploy each of their competences and fully respond to all the needs of city inhabitants. Nevertheless, not always just a simple lack of funds, but rather how they are managed, may hamper the full deployment of these competences. When financial capacity is selected as main barrier in providing a service, further contextualisation and analysis will be required in order to understand all its implications.</p>
<p>Geospatial setting as a potential barrier</p>	<p>The geospatial setting, from a duty-bearer perspective, refers to those areas protected by laws, or with a special legal status, that, by their nature, may hamper the appropriate coverage with services, including when the legal status of the land is uncertain, becoming a coverage barrier.</p>
<p>Normative and institutional frameworks as a potential barrier</p>	<p>The entire set of regulations, including legislative provisions, is potentially subject to becoming a barrier in situations when (i) specific realities are not covered (e.g. non-recognition of an ethnic minority and its needs), (ii) the regulations are incomplete (e.g. health facilities are not fully accessible for persons with reduced mobility), or, (iii) specific regulations establish certain limitations (e.g. a protected or conservation area).</p>

4.3. Effective resilience through good governance

Whereas a globally agreed definition of the concept of governance might be questionable, mainly because in each thematic area of analysis or the scientific area that tackles the concept, the views of researchers, the meaning in different languages, the views between academic spheres and decision-makers, are quite different, its importance remains a backbone when carrying-out multi-stakeholders analyses and policy implementation, particularly in urban areas. The service delivery is a critical piece in the governance analysis, therefore, it is relevant to understand the governance stakes when analysing the city as an urban system providing a set of services for its inhabitants.

Without defining the governance concept, whenever the topic is tackled in global development the tendency is rather to consolidate 'good governance' processes, with the meaning behind this quality attribution based on a series of values: **I.** accountability, **II.** equity and inclusiveness, **III.** transparency, **IV.** observance of the rule of law, **V.** responsiveness, **VI.** effectiveness and efficiency, and **VII.** participation.

Governance, according to UN-Habitat¹⁸, is the enabling environment that requires adequate legal frameworks, efficient political, managerial and administrative processes to enable the local government response to the needs of citizens. It can be defined as the many ways in which institutions and individuals organize the day-to-day management of a city, and the processes used for effectively realizing the short term and long-term agenda of a city's development. Urban governance is the software that enables the urban hardware to function. Effective urban governance is characterized as democratic and inclusive; long-term and integrated; multi-scale and multilevel; territorial; proficient and conscious of the digital age.

With this broad definition, it is obvious that governance could not be disconnected from decentralisation, the process by which the activities of an organization, are distributed or delegated away from a central, authoritative location or group. Decentralisation is so important that UN-Habitat issued, back in 2009, international guidelines³⁹ on decentralization and strengthening of local authorities, approved by the Governing Council of UN-Habitat on 20 April 2007 as a key instrument to promote good governance at all levels and to strengthen local authorities. They were meant to serve as a catalyst for policy and institutional reform at the national level to further enable and empower local authorities to improve urban governance in attaining the human settlements-related Millennium Development Goals (MDG), in the context where they were relevant by 2015 when the new 2030 Sustainable Development Agenda and new SDGs were issued.

According to the same document, the Habitat Agenda recognizes, in paragraph 177, that sustainable human settlements development can be achieved "through the effective decentralization of responsibilities, policy management, decision-making authority and sufficient resources, including revenue collection authority, to local authorities, closest to and most representatives of their constituencies". It also recommends, in paragraph 180, that "Governments should examine and adopt, as appropriate, policies and legal frameworks from other States that are implementing decentralization effectively".

The CRPT tackles decentralisation from both administrative and fiscal perspective, which allows for an analysis that combines the approaches and identifies how to better respond not only to local specificities but also to local capacities for implementing actions for resilience.

To carry-out such an analysis, the data collection process is focused on the competences the local governments have in terms of exclusive and/or shared competences, and in terms of decentralised administrative and/or fiscal competences. The following combinations may occur:

- I.** the local government has a specific administrative competence but it is not fiscally decentralised (e.g. in health, the community nurses are hired by the local government but their technical management and financing is ensured by upper layers of public administration, such as regional institutions or the central government);
- II.** the local government does not have technical responsibilities in a specific area, or, in other words, it has a shared competence in terms of fiscal decentralisation (e.g. often bureaucratic measures meant to ease complex management processes from central level, such as the management of salaries of teachers in education area, where the local government has no other responsibility).
- III.** the local government has both administrative and fiscal decentralised competence (e.g. the solid waste management, which is exclusive competence of the local government, being managed and financed locally; other similar competencies are the urban cleaning, the public lighting, etc.)

Finally, in analysing the governance in cities, the CRPT adopted a multi-level, cross-cutting approach built on relevant data and information collected throughout the entire tool. The purpose of this analysis is, on one hand, to gain a better holistic understanding of UN-Habitat's main counterpart, the Local Government; and, on the other hand, to conduct, from a resilience perspective, an in-depth investigation into governance processes and the place and roles of relevant stakeholders, organised per thematic area of interest.

Information on governance is considered in the two data collection sets of CRPT: **SET 1** regarding the overview and context of the urban environment and **SET 4** regarding all urban elements of the urban system.

Also incorporates the results stemming from the prioritisation and filtration conducted as a part of the two analytical sets: **SET 3**, specifically regarding identified challenges, stresses and shocks; and **SET 2**, related to stakeholders, policies plans and initiatives and governance mechanism in the city, in an effort to broadly inform actions for resilience from a 360° analytical perspective:

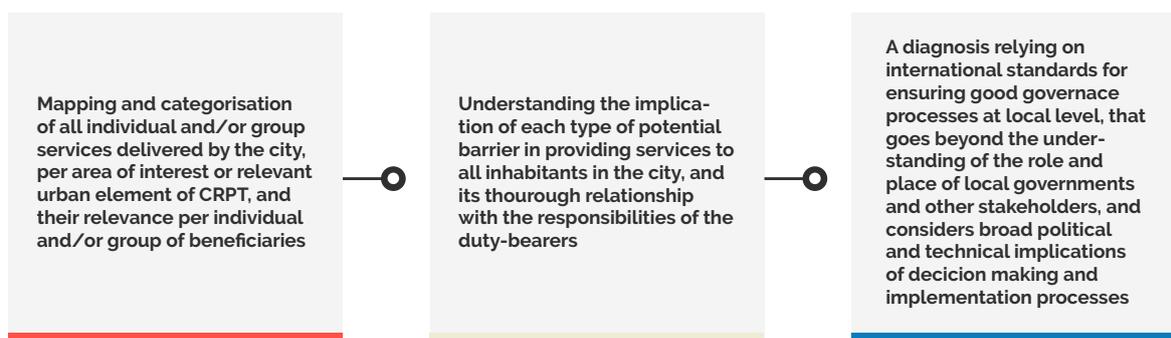
- I. the local government understood from a decision-making, decision-implementation, and planning perspective;
- II. the stakeholders' mapped, with a full map of all relevant stakeholders and their statutory responsibilities;
- III. the influences and interactions between local government and stakeholders, centred on power and capacity, interests and representation, and resources.

4.4. A logical frame for analysis: the city as urban-system providing services

The three sub-chapters presented above provide in-depth information about how to analyse each relevant analytical constituent of city as an urban system providing tailored services that serve the best interest of its inhabitants.

Before summarising the expected outcomes and envisioned links between them to support the analysis of resilience in the cities from this service delivery perspective, it is worth mentioning that governance, in its broader sense, has a double political and technical dimension. In its political dimension it requires participation, decision-making and leadership. In its technical dimension it requires needs assessment, planning, the negotiation of contracts, accounting mechanisms, monitoring and impact assessment. Both dimensions require transparency and the appropriate training of the stakeholders involved. From this perspective, the analysis should always consider broader implications than simple logical frameworks; moreover, it will also very much depend on the level of knowledge, experience and expertise of the technical staff involved in carrying-out such analyses.

National and international policies should promote adequate urban governance to improve access to basic services for all, therefore the analysis cannot neglect such implications. The participation of beneficiaries contributes to the delivery of services adapted to their needs, therefore the analysis would cross-cut the topics tackled separately within this guide. The participation of beneficiary groups should be sought systematically in needs assessment, planning, decision-making, implementation and monitoring.



5. Actions for resilience for and with people

The actions for resilience (A4R) are the key output of the CRPT, presenting to the partner city the conclusions of the CRPT process in the form of evidence-based action recommendations. They combine risk reduction, vulnerability reduction, and capacity-building actions with sustainable development in order to enhance the resilience of the city, the A4R roadmap is comprised of actions based on the resilience diagnosis and tailored to the realities of the city.

In a similar manner with the data collection and diagnosis phases, the elaboration of A4R, beyond specific steps of implementation, is also achieved with the fulfilment of HRBAP principles, results based management standards, gender mainstreaming priorities, and with an overall approach to inclusion of the most vulnerable and neglected groups of girls and boys, women and men living in the city.

5.1. Tailor the A4R to local needs

The A4R are tailored to local needs by several means: **I.** by considering the map of relevant stakeholders, including key local stakeholders, processes, and actions to be engaged, as well as advices for other types of stakeholders, technical support, or fundraising needed, in order to ease or stimulate the implementation of the roadmap; **II.** by carrying-out an inventory of relevant policies, plans and initiatives available in the city, including gaps, overlaps, complements and conflicts among them, to serve as a repository of existing measures on which the roadmap is informed by, and **III.** by developing data assessment report and map of current databases, providing a thorough review of the city's data availability and existing gaps, and providing inputs on data collection and information management.

All the social aspects tackled in the tool are highly relevant from a resilience perspective, as they specifically refer to people's social realities in the cities: poverty, inclusion, protection, social accountability, human rights, participation, access to basic social services, equality and equity, vulnerability, marginalisation, etc. Regardless of the place of the indicators related to social aspects, all of them contribute to measuring potential stresses (or stressors) from a human dimension in the cities and deserve, to the same extent as other topics, to be assessed and be part of the evidence and knowledge generated by the tool.

By considering social resilience, the A4R are better informed and consolidated in terms of: **I.** adopting a human rights based approach, including ensuring gender mainstreaming, and aiming at participative processes that involve inhabitants in a meaningful manner in decisions, particularly those in vulnerable situations, **II.** understanding the nature of barriers that may occur at the level of rights holders in accessing facilities, goods and services, and **III.** considering the specific barriers that may occur at the level of providers of facilities, goods and services, as fundamental to address any issue at the level of duty bearers.

5.2. Consider the local capacity to effectively implement the A4R

The process of formulating the Actions for Resilience Roadmap entails a thorough evaluation of the city through the data-analysis phases of CRPT, from which a scenario-based diagnosis of the city's development is built. This diagnosis provides a basis on which actions can be designed to current needs as well as existing capacities with view to creating a roadmap towards a resilient and sustainable city:

I. a current scenario is generated from the analysis of the urban system, through which the shocks, stresses and challenges the city is facing are illustrated and areas of opportunities are determined, the role of the local government and other stakeholders are mapped, and the interconnections and impacts of these are evaluated;

II. a trend scenario is built upon the current scenario as it follows the trajectory of the city's existing policies, plans and initiatives. It aims to assess if there are ongoing actions that tackle the issues and areas of opportunities identified in the current scenario and reveal existing gaps. From this assessment, the A4R recommendations can be formulated; and

III. a resilient and sustainable development scenario is the last scenario built based on



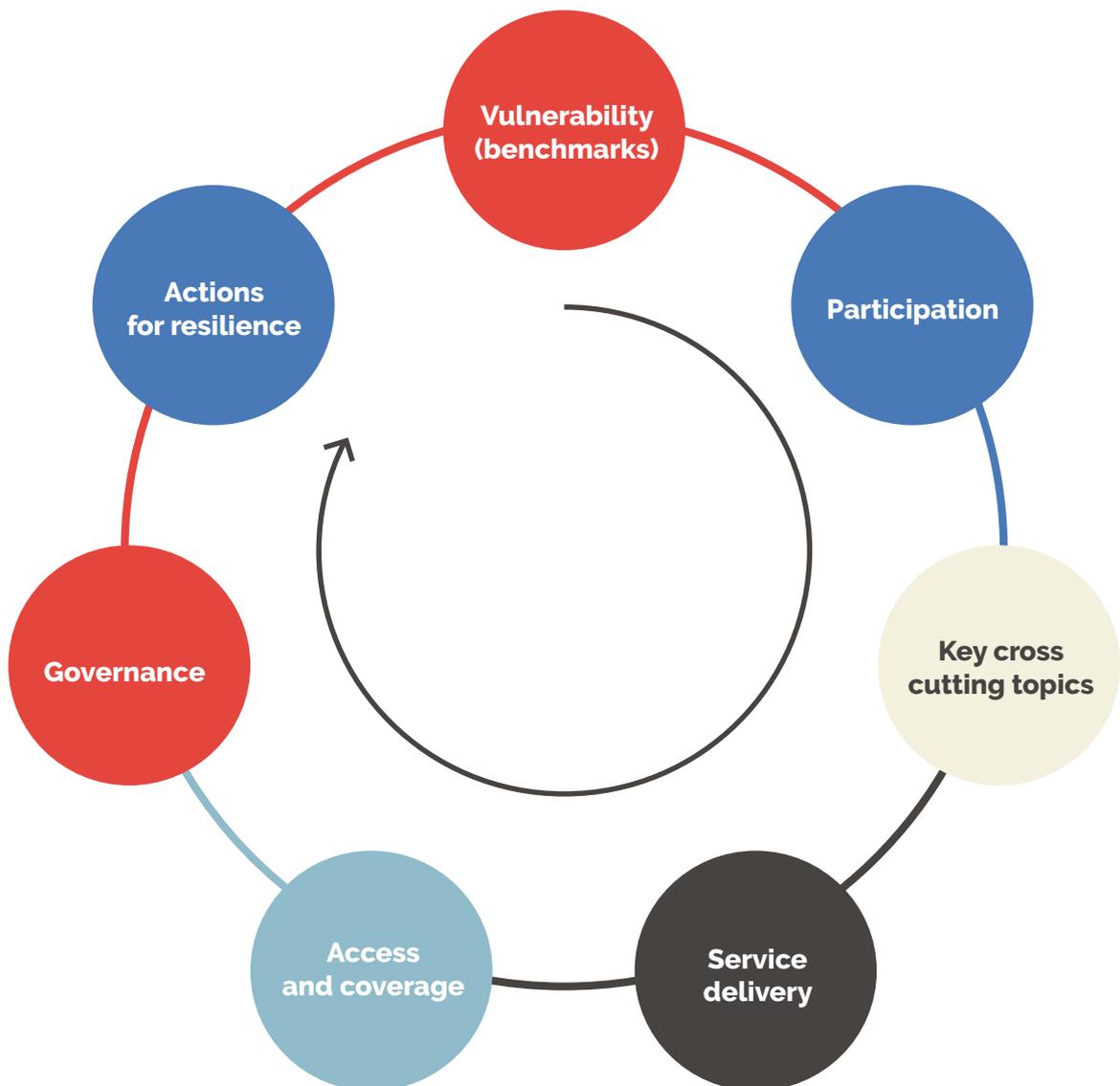


the trend scenario and modified by the A4R recommendations. It gives a realistic idea of a possible city transformation taking into consideration prioritization, management and capacities of the implementing actors – the local government and other relevant stakeholders.

By considering social resilience, the A4R are better informed and consolidated in terms of: **I.** better sensitivity granted to access and coverage related issues, regarding the delivery of all services in the city (utilities, basic social services, municipal public services, and ecosystem services), **II.** sound approach to governance, in line with the standards of accountability, equity and inclusiveness, transparency, observance of the rule of law, responsiveness, effectiveness and efficiency, and participation, and **III.** smooth incorporation of decentralisation characteristics of the public administration in the city, with a soft approach to data other than quantitative one, and which emerge from qualitative assessments.

5.3. Lay the foundation for sustainable resilience measures

The logical frame of analysis from social resilience perspective, including the human perspective, people's voices and service delivery could be summarised in the diagram below:



Various types of actions can be proposed in the Actions for Resilience recommendations:

- Policy recommendations
- Plan recommendations
- Programme recommendations
- Project recommendations
- Pilot Projects

The recommended actions are framed around the New Urban Agenda dimensions in order to propose multi-thematic and multi-dimensional actions, these may include:

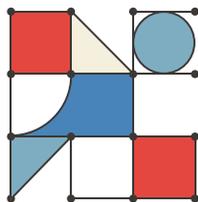
- I.** National urban policies to enhance multi-stakeholder decision making and larger scale impacts,
- II.** Local Implementation to identify implementable actions and existing or potential barriers to sustainable urban development,
- III.** Rules and regulations to integrate with existing legal frameworks and create a monitoring strategy,
- IV.** Urban planning and design to develop thematic strategies and resilience-based solutions and
- V.** Financing urbanization to address the urban economy and strengthen municipal finances, increase creditworthiness, and identify potential public-private partnerships investment.

By considering social resilience, the A4R are better informed and consolidated within each of these dimensions in terms of: (i) effectively reaching those who are in most vulnerable situations, (ii) take decisions that involve the inhabitants of the cities in a participative manner, (iii) build the resilience by considering international human rights standards and gender sensitiveness of each envisioned measure, (iv) considering the city as an urban system providing services for everyone and everywhere, in an equitable manner and by considering the needs of all categories of people, (v) consolidating the policy framework with evidence-based information regarding the effective access to and coverage of these services, and (vi) comprehensively analyse the governance processes developed with and for all inhabitants in the cities, regardless their status.



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