DiMSUR
Disaster Risk Management, Sustainability and Urban Resilience

BLOXHUB SUMMER SCHOOL 2020

Tools and methods for climate action plans and transformative participation

18th JUNE 2020

CityRAP Tool

CITY RESILIENCE

ACTION PLANNING

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URBAN RESILIENCE

"The ability of any urban system, with its inhabitants to maintain continuity through all shocks and stresses, while positively adapting and transforming toward sustainability".

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Key challenges for building resilience

1. Lack of **technical capacity** and experience
2. Lack of **data and information**
3. Lack of **financial resources**

Existing tools are often too complex, data hungry and not adapted to the reality of some cities.

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Natural hazards do not respect national boundaries

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The DiMSUR initiative

DiMSUR
Disaster Risk Management, Sustainability and Urban Resilience

In 2010…

…four countries with common vulnerabilities in southern Africa, with the facilitation of UN-Habitat, decided to join forces initiating the process to establish the sub-regional **Technical Centre for Disaster Risk Management, Sustainability and Urban Resilience (DiMSUR)**

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The DiMSUR initiative

DiMSUR
Disaster Risk Management, Sustainability and Urban Resilience

Mandate

to provide technical assistance and knowledge for:

- **Disaster Risk Reduction**
- **Climate Change Adaptation**
- **Urban Resilience**

in Southern Africa and the South-West Indian Ocean.

Status

non-profit, autonomous, regional organization, international in status and non-political in management, staffing and operations.

Founding members

- **Madagascar**
- **Malawi**
- **Mozambique**
- **Union of Comoros**

Headquarters

Maputo, Mozambique with sub-units in each Member State.

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The DiMSUR initiative

DiMSUR
Disaster Risk Management, Sustainability and Urban Resilience

Vision

Be an effective catalyst and major partner for disaster risk management and climate change adaptation in southern Africa contributing to building a more resilient region based on safe and prosperous cities and towns.

Strategic priorities for the first 10 years

- **Enhancing the identification and understanding of risks at local level**
- **Strengthening national and local capacities to manage disaster risk and build resilience**
- **Building safer and more resilient cities through the provision of qualified technical assistance**
- **Establishing networks & partnerships for better knowledge management and dissemination**
- **Promoting a culture of safety and resilience through awareness raising, disaster preparedness & building back better**
- **Reinforcing the institutional, managerial and technical capacity of DiMSUR**

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What is CityRAP?

CityRAP features

*''It is built on **participatory methods** and **consensus-building techniques** to **involve all concerned stakeholders** with the aim to identify the entry points to start building the **city's resilience** with **minimal external support**''*

(Prof. Mark Pelling)

- CityRAP is **DiMSUR's** flagship product.
- It is a tool used for **training city managers and municipal technicians and to build their capacity to plan** actions aimed at reducing risk and building resilience
- Targets **small to intermediate cities**, or **municipal districts** within bigger cities (~250.000 people)
- The **municipality** is the **leader** of the process from day one
- Leverages **local knowledge** through a **participatory approach**
- Its final product is a ***Resilience Framework for Action*** for the city

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CityRAP resilience pillars

A resilience framework with five inter-related pillars designed as a theoretical structure for data collection at the city level

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CityRAP process

4 phases

200-300
people directly participate

Local government
Public institutions
Community representatives
CSOs and NGOs
Media
Private sector
Academia

PREPARATORY PHASE
Preparatory meetings, Focal Points selection, preliminary questionnaire, stakeholder analysis

PHASE 1 - CRASH COURSE
Workshops

PHASE 2 - PARTICIPATORY DATA COLLECTION AND ORGANISATION
Risk mapping, community consultations, self-assessment

PHASE 3 - DATA ANALYSIS AND PRIORITISATION
Focus group discussions, prioritisation workshop

PHASE 4 - DEVELOPMENT OF THE CITY RESILIENCE FRAMEWORK FOR ACTION
Technical workshops

3-4 MONTHS

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CityRAP in Africa

CityRAP Tool implemented in:

Burkina Faso
Cabo Verde
Ethiopia
Guinea-Bissau
Madagascar
Malawi
Mozambique
Sao Tome e Principe
Union of Comoros
Zambia
Zimbabwe

30 cities in Africa reached

Training of Trainers delivered in:

Burkina Faso (delivered to representatives from the 8 countries of the West African Economic and Monetary Union UEMOA)
Cabo Verde
Ethiopia
Guinea-Bissau
Sao Tome e Principe
South Africa

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How does CityRAP work?

CityRAP

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CityRAP

Preparatory phase

Phase 1

Phase 2

Phase 3

Phase 4

The target municipality or local government is fully informed and committed to the process, with a clear understanding that the City RFA is ultimately meant to serve the city to enhance its resilience.

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Preparatory phase

Phase 1

Phase 2

Phase 3

Phase 4

Main activities

- **Preparatory meeting** with the Mayor and city management
- **Selection** of Municipal Focal Points
- Completion of the **preliminary questionnaire**
- Completion of the preliminary **stakeholder analysis**

Responsible actors

- **Team of experts**: travel to the municipality
- **Municipal Focal Points:** selected and committed

Duration

At least one month before Phase 1

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UNDERSTANDING URBAN RESILIENCE

Preparatory phase

Phase 1

Phase 2

Phase 3

Phase 4

Introducing municipal staff and local stakeholders to key concepts of risk and resilience and to the tool's methodology.

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CityRAP

Preparatory phase

Phase 1

Phase 2

Phase 3

Phase 4

Main activities

- **Crash course**
- **Training session** for Municipal Focal Points

Responsible actors

- **Team of experts**: deliver Phase 1 on-site
- **Municipal Focal Points (MFPs)**: trained by the team of experts

Duration

4-day crash course +
1-day training of MFPs

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Crash course: KEY CONCEPTS of urban risk and resilience

Preparatory phase

Phase 1

Phase 2

Phase 3

Phase 4

Presentation of the CityRAP Tool and introduction to the key concepts of urban resilience and disaster risk

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CityRAP

Preparatory phase

Phase 1

Phase 2

Phase 3

Phase 4

Crash course: KEY CONCEPTS of urban risk and resilience

Use of a language easy to understand, although scientifically rigorous, to demystify complexity

''The ability of any urban system, with its inhabitants…

…to maintain continuity through all shocks and stresses, …

…while positively adapting and transforming…

….toward sustainability''.

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Preparatory phase

Phase 1

Phase 2

Phase 3

Phase 4

Crash course: participatory mapping at the city level

- Identify the main risks that affect the city.
- Collectively choose neighborhoods that will be targeted in the next phases.

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Training of the municipal focal points

Preparatory phase

Phase 1

Phase 2

Phase 3

Phase 4

Provide Municipal Focal Points with knowledge and skills to lead the resilience planning process.

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Preparatory phase

Phase 1

Phase 2

Phase 3

Phase 4

Expected results

- Participants understand key concepts related to **urban risk and resilience**.
- The **participatory planning simulation** identifies the vulnerable neighbourhoods to be targeted in Phase 2, and prepares Focal Points to apply the same methodology at community level.
- Municipal Focal Points are trained to carry out Phase 2.

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DATA COLLECTION AND ORGANIZATION

Preparatory phase

Phase 1

Phase 2

Phase 3

Phase 4

Collecting data from municipal departments and at community level in vulnerable neighbourhoods.

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Preparatory phase

Phase 1

Phase 2

Phase 3

Phase 4

Main activities

- Municipal **self-assessment**
- **Participatory planning** at the neighbourhood level
- Data compilation and organisation

Responsible actors

- **Municipal Focal Points**

Duration

3-4 weeks

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Preparatory phase

Phase 1

Phase 2

Phase 3

Phase 4

Municipal self-assessment

- Assess the state of the city's resilience through the knowledge, opinions and perceptions of municipal staff.
- Raise awareness about urban resilience.

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Preparatory phase

Phase 1

Phase 2

Phase 3

Phase 4

Municipal self-assessment questionnaire

PILLAR 1: URBAN GOVERNANCE

THEME	N°	QUESTIONS	ANSWERS 4	3	2	1	COMMENTS
ORGANISATIONAL CAPACITY	1	Does your municipal department have enough staff to carry out its daily responsability?	**Yes, the staff have the required skills** to carry out their daily responsibilities	**The majority** of the staff have the required skills	**Less than half** of the staff have the required skills	The department has only **few** skilled staff	
	2	Does your municipal department have staff with understanding or knowledge of issues related to climate change and/or risk management?	**Yes, the staff do understand and have knowledge** of issues related to climate change and/or risk management	Yes, the department has **some staff** with that kind of understanding or knowledge	Yes, the department has **at least one staff** with that kind of understanding or knowledge	No, **nobody in our department** has the staff has this kind of understanding or knowledge	

- 75 questions divided by the 5 resilience pillars
- 4 possible answers for each question and a column for comments
- To be submitted to each municipal department in the municipality

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Preparatory phase

Phase 1

Phase 2

Phase 3

Phase 4

Participatory planning at neighbourhood level

- Prioritisation of risk reduction and resilience building actions at neighbourhood level.
- List of potential and feasible solutions/measures.
- Use of satellite images of the specific neighbourhood to ensure participation of the communities.

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Data compilation and organization

Preparatory phase

Phase 1

Phase 2

Phase 3

Phase 4

- Filling the **Results Matrix.**
- Summarizing the comments from the municipal self-assessment.
- Harmonizing the priority issues identified at the community level.

PILLAR 1: URBAN GOVERNANCE

THEME	N°	QUESTIONS	ANSWERS 4	3	2	1	MUNICIPAL DEPARTMENTS URBAN PLANNING	HUMAN RESOURCES	FINANCE	BASIC SERVICES	NATURAL RESOURCES	ECONOMY	CIVIL DEFENCE	TOTAL
	7	Do you believe that the current municipal structure allows each department to effectively carry out its work?	**Yes, the current structure is good** and allows each department to effectively carry out its work	The current structure **requires some improvements** for effective delivery	The current structure **is not good enough** for that purpose	No, the current structure is weak and **needs major improvements**	1	1	1	1	3	2	3	12
GOVERNANCE STRUCTURE	8	How well is the municipality cooperating and coordinating with externals such as government, private sector, civil society, etc.?	The municipality has established **strong** cooperation and coordination mechanisms with a number of external partners and institutions	The cooperation and coordination of the municipality with externals is **overall good but could be further improved**	The municipality's cooperation and coordination with externals is **not good enough**	The municipality has **poor** cooperation and coordination mechanisms with externals	2	3	4	4	4	2	4	23
	9	Do you think that coordination and cooperation among the different municipal departments is efficient?	Yes, mechanisms are in place to ensure **efficient coordination and cooperation** among the different municipal departments	The coordination and cooperation among the departments is **overall good but could be further improved**	Coordination and cooperation mechanisms among the departments is **not good enough**	The municipality has **poor** coordination and cooperation mechanisms among its departments	1	3	4	2	4	1	4	19
Average for Governance Structure														18

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Preparatory phase

Phase 1

Phase 2

Phase 3

Phase 4

Expected results

- All the **municipal departments** are engaged and assessed.
- **Communities** are actively involved in the process.
- The collected **information is harmonised** and ready for the analysis in Phase 3.

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DATA ANALYSIS AND PRIORITISATION

Preparatory phase

Phase 1

Phase 2

Phase 3

Phase 4

Analysis of the collected data prioritising the issues that constitute entry-points to progressively building the city's resilience.

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Preparatory phase

Phase 1

Phase 2

Phase 3

Phase 4

Main activities

- **Focus group discussions**
- **Prioritisation workshop**
- **Training session** for Municipal Focal Points

Responsible actors

- **Team of experts**: providing on-site support
- **Municipal Focal Points (MFPs)**: leading the process

Duration

5 days

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Preparatory phase

Phase 1

Phase 2

Phase 3

Phase 4

Focus group discussion for each resilience pillar

- Thematic focus groups for each pillar of resilience analyse the data collected previously and discuss the main shortcomings and priorities.
- Representatives from municipality, community, NGOs, CSOs and other relevant stakeholders

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Prioritisation workshop

Preparatory phase

Phase 1

Phase 2

Phase 3

Phase 4

Key local stakeholders convene to discuss and decide upon priorities to build urban resilience based on the results of municipal self-assessment, community consultations and focus group discussions.

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Preparatory phase

Phase 1

Phase 2

Phase 3

Phase 4

The resilience diagramme

Filtering the common priorities identified during the focus group discussions through three **cross-cutting issues of urban resilience**.

From now on, the process could also be channeled through just one of these three lenses, resulting in a more specific final document.

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Preparatory phase

Phase 1

Phase 2

Phase 3

Phase 4

The funnelling process to prioritise and plan

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Preparatory phase

Phase 1

Phase 2

Phase 3

Phase 4

Expected results

- The most pressing issues are **prioritised in a consensual manner** to define where to start in progressively building the city's resilience and why.
- Maximum **six priority issues** are selected as entry points.
- Municipal Focal Points are trained to carry out Phase 4.

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THE CITY RESILIENCE FRAMEWORK FOR ACTION (RFA)

Preparatory phase

Phase 1

Phase 2

Phase 3

Phase 4

Final steps towards the drafting of the City Resilience Framework for Action (RFA)

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Preparatory phase

Phase 1

Phase 2

Phase 3

Phase 4

Main activities

- **Baseline assessment**
- **RFA formulation workshop**
- **Finalisation** of the city RFA

Responsible actors

- **Team of experts**: on-site and remote support
- **Municipal Focal Points (MFPs)**: leading the process

Duration

7-8 weeks

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Preparatory phase

Phase 1

Phase 2

Phase 3

Phase 4

The baseline assessment

PRIORITY ISSUES	RFA COMPONENTS: POLICIES AND LEGISLATION	URBAN PLANS	INSTITUTIONAL SET-UP	FINANCE	INTERVENTIONS
ROADS AND DRAINAGE	1	1	2	1	1
SOLID WASTE	2	1	2	1	2
HEALTH AND EDUCATION FACILITIES	3	3	2	2	2
EARLY WARNING AND DISASTER RESPONSE	2	1	1	1	2
PROTECTION OF NATURAL RESOURCES	2	1	2	1	1
WATER AND SANITATION	2	1	2	3	2

- Municipal Focal Points collect information, and consult experts and local stakeholders, to assess the state of the selected priority issues in relation to a particular RFA component.
- Then they collectively decide on a score using a scale from 1 to 3.

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Preparatory phase

Phase 1

Phase 2

Phase 3

Phase 4

Priority actions formulation

- The baseline assessment table can be read both horizontally, following the priority issues, and vertically, following the RFA components.
- Based on the scores, maximum six priority actions are selected.

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Preparatory phase

Phase 1

Phase 2

Phase 3

Phase 4

RFA formulation workshop

- Priority actions are reviewed and validated in plenary
- In focus groups these are broken down into activities assigning one responsible office/entity to each.
- Milestones are identified to structure the RFA in the short (0-2 years), medium (3-5) and long (6-10) term.

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Preparatory phase

Phase 1

Phase 2

Phase 3

Phase 4

From the identified problems to the planned actions

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Preparatory phase

Phase 1

Phase 2

Phase 3

Phase 4

How does a City RFA (Resilience Framework for Action) look like?

The document includes:

- **Introduction/Background**
- **Rapid city risk profile**, using the preliminary questionnaire and the updated city risk map
- **The CityRAP Tool process**, which includes details of the different implementation stages
- **Overview of the city RFA** (including priority actions and activities)
- **Priority actions sheets** (listing activities and responsible entities)
- **Concept notes** of bankable projects
- **Monitoring and evaluation** framework
- **Conclusions** and way forward

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Preparatory phase

Phase 1

Phase 2

Phase 3

Phase 4

Monitoring and evaluation framework

- An external/independent body/consultant should be responsible for monitoring the progress made in implementing the City RFA **every two years**.
- The **RFA is updated** based on the recommendations derived from the 2-years evaluation report.

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Validation workshop, RFA endorsement and dissemination

Preparatory phase

Phase 1

Phase 2

Phase 3

Phase 4

- Half-day workshop to submit the City RFA to relevant authorities, potential donors, key partners and media.
- The validated and edited City RFA should be formally endorsed by the municipal authorities according to their own procedures.
- Roadmap for dissemination, financing and implementation.

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Preparatory phase

Phase 1

Phase 2

Phase 3

Phase 4

Expected results

- Maximum six **priority actions** are selected and validated.
- The final city RFA document is completed, validated, endorsed and disseminated.

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Where did we start?

Key challenges for building resilience: CityRAP response

1. Lack of **technical capacity** and experience

- Transfer **skills and tools** to municipal technicians (trainings, on-the-job exercises and group activities)

2. Lack of **data and information**

- Leverage **local knowledge** and information to kickstart processes
- Identify **key gaps** for future action through the RFA

3. Lack of **financial resources**

- RFA can be a powerful tool for **mobilising and channelling resources**

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Thank you!