Engaging Stakeholders in a Preliminary Urban Assessment:

Workshop Facilitation Materials and Background Reading On Using Stakeholder Engagement and The Resilience Approach to Identify Entry Points for Building Urban Resilience

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ISET

Part A

Engaging Stakeholders in a Preliminary Urban Assessment: Workshop Facilitation Materials

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INTRODUCTION

This document provides materials for the planning and delivery of a workshop to engage with stakeholders and, using systems thinking, to begin an urban assessment. The overall goal is that this will be one of the first steps to developing integrated programming at the community level to build overall urban resilience.

Stakeholder engagement is a core component of the preliminary urban assessment process. However, it is flexible enough to be used throughout the project/program implementation cycle with minor tweaks. Both people in vulnerable communities AND the people who provide, design, maintain, and make and enforce policies about access to services and resources have key perspectives on community and city vulnerability. Only by enabling dialogue with and between people from both groups, and with people working at the community but also the city, regional, and possibly national scale, can you really begin to identify opportunities for RCRC action that will build city-wide resilience.

The other three core components of a preliminary urban assessment are:

- Using systems thinking to analyze risk and vulnerability,

- Appling systems thinking at multiple scales so that you understand not just the issues within a given vulnerable community, but also the causes and implications of that vulnerability at the city and possibly national scale,

- Using mapping and secondary sources to support your assessments at the city, regional and national scales and communicate to other stakeholders the importance of your findings and inform your advocacy efforts.

In the stakeholder engagement workshop outlined here, all four of these components are introduced and used to explore community and city-wide vulnerability and the opportunities for action.

For the success and greatest utility of the workshop it is important that the leadership team has a solid understanding of systems thinking and urban resilience. It will also be important to understand, in general, how this workshop fits within an overall resilience building process in urban areas. These concepts are inferred but not fully expanded in this document. For more comprehensive background refer to these other American Red Cross (ARC) internal documents:

- "Introduction to a new approach to Urban Resilience"

- "Guidance for Urban Resilience Programming"

- Stakeholder Engagement Process Use Cases for GIS

- Conceptual Framework for Community Mobilization

The stakeholder engagement outlined in these materials occurs in anticipation of a project, or at its beginning. These materials provide guidance on developing a shared vision amongst stakeholders and conducting a city or district level vulnerability and opportunity analysis. The "Guidance for Urban Resilience Programming" provides more context on the overall process.

While the background reading will help ground your understanding of the approach and process, the utility of these concepts become more apparent as you work with them. For that reason we strongly suggest that the planning meeting explained in the next section have some workshop elements that give the opportunity for experiential engagement; try out some of the exercises that will be used in the actual workshop.

For the purposes of this document "stakeholders" are the diverse group of people, with different backgrounds, roles, and expertise who represent the different facets of urban complexity. In your context this may include community leadership, government representatives, bureaucrats, NGOs, and other experts. Stakeholders may be active at the level of the neighborhood you engage in, the district or city as a whole or perhaps at a regional level. You can also identify your stakeholders in reference to your community of interest. Identifying the particular stakeholders for your engagement, and eliciting their participation is part of your planning process.

The approach to building resilience that is utilized in this workshop is iterative. Assessments utilizing the four elements of the resilience approach (infrastructure and ecosystems, people and organizations, laws and cultural norms, and exposure to hazards) come up throughout the process — participants are repeatedly directed to reflect on the elements at different scales, incorporating additional information each time. For example, part of the planning is a rough pre-assessment to determine who needs to be included in the three-day workshop and what communities or issue the workshop should consider focusing on. During the three-day workshop this assessment process is repeated, looking for new insights given the larger number and more diverse set of players.

In their use these materials will be modified. Much like the VCA (Vulnerability and Capacity Assessment), people can use them differently to different ends. The experience is determined as much by the facilitation as the content. Modification for the context in which you work is important — making changes for different time constraints, and also for different social and political contexts will enhance the utility of these materials.

PLANNING MEETING

The planning and delivery of a three-day Stakeholder Engagement Workshop relies on an understanding of systems thinking and urban resilience and a working hypothesis of what are likely issues and communities for engagement. To help develop these components, the leadership and planning team would benefit from a planning meeting with some workshop-like components to build consensus around core concepts, the Red Cross Red Crescent (RCRC) partners role, capacities and strategy and to test and modify components of the urban assessment and stakeholder engagement process as a whole.

This planning meeting should likely occur 2–6 weeks prior to the Stakeholder Engagement Workshop.

Audience:

RCRC National Society and City Branch Leadership (high capacity volunteers and/or one or two partners that the RCRC is already working well with could also potentially be included)

Format:

Half day to full day workshop

Purpose:

1. Ensure that the planning/leadership team has a clear, common understanding of resilience (including the definition and characteristics), systems thinking, and the local urban context

2. Conduct a rough pre-analysis (try out the workshop exercises) to:

   • Identify strategic invitees for the stakeholder workshop

   • Identify likely core issues and/or neighborhoods that stakeholders are likely to raise during the workshop

   • Identify potential secondary information and resources to have available

   • Develop familiarity with the workshop materials

> • Identify activities that require modification for the local context

3. Selection of a site for a field visit during the Stakeholder Engagement Workshop, if desired

Agenda:

1. What is resilience? What would resilience look like here?

2. Engagement with the resilience approach

   > • Systems Thinking exercise from 3-day workshop materials — analyze an issue in terms of the four elements of the resilience approach

   > • (optional) Review an existing program in terms of the resilience approach to identify what hazard(s) it addresses and where/if it is building resilience of infrastructure, people and legal and social norms

3. Brainstorming & Mapping to identify main issues in the community(ies) (geographical and/or communities of interest)

4. Discuss vision & strategy — what opportunities are there for scalable engagement and where are there forums for city-wide and/or regional or national reach?

5. What are the strengths and capacities of the RCRC to support resilience? (possibly review the Fire Forum in Kenya case study on convening)

6. Strategize about key stakeholders to invite — Who knows whom? Where are there existing connections? Where are there gaps? See the Profile of Potential Participants in the next section for ideas on who you might want in the room.

7. Planning (either as part of the planning workshop or conducted at a later date)

   > • Identify next steps and timeframe

   > • Review the Agenda for the Stakeholder Engagement Workshop and consider the list of invitees, the physical space the workshop can/will be held in, and other resources — What modifications to workshop content or activities will be needed given the people you will be engaging and the space you will be working in?

   > • Brainstorm/ anticipate a proposed list of group norms. What agreements will people need to have with each other so that this can be a safe, participatory space for all involved?

Additional background preparation:

Prior to the Stakeholder Engagement Workshop:

- Obtain secondary data, maps/GIS resources, historical images, etc. for use in workshop exercises and to support discussion, and consult with the GIS team

- Identify a location for the site visit with the stakeholder group.

  - Ensure that the proper notifications/permissions are arranged.

  - Make all necessary arrangements for transportation,

  - Identify who will be involved at the site to provide information to your stakeholder group and verify they will be available at the scheduled day and time,

  - Identify where in the community you will go and what elements of the community you will highlight,

  - Clarify what take-home messages you want stakeholders to go away with and how will you make sure they have received those messages.

- When inviting people to and making decisions about the time and location of the Stakeholder Workshop be clear about:

  - Purpose

  - Commitment to inclusive process

  - Time commitment

  - If the site visit requires special clothing (e.g. boots), let invitees know what the conditions will be and whether they need to provide special clothing or whether the Red Cross will provide what is needed

  - Be mindful of not creating/raising expectations in the community

PROFILE OF POTENTIAL PARTICIPANTS

One of the challenges to working in urban environments is the number of potential stakeholders that could be incorporated into any given project. This can feel overwhelming as you start to think about engaging in an urban area. However, the number of people who are key decision makers or actors on the issues of concern to the RCRC is a much smaller group. By taking the time to meet one-on-one with prospective stakeholders to discuss city vulnerability, you will quickly begin to identify core players. Each time you do, ask them who else you should talk to, and be sure to follow up by meeting and talking with those people. You may be surprised at how quickly you begin to get a picture of the larger issues at the city, regional and possibly national scale, and gain clarity around who you would want to have attend an initial stakeholder engagement workshop.

Potential people to talk to, and possibly include in a stakeholder engagement workshop, include:

- Representatives from vulnerable communities
- RCRC staff (NS headquarters and branch offices, IFRC, PNSs)
- Existing RCRC urban partners
- Municipal Departments, particularly utilities, transportation, planning, housing, and health
- Civil protection
- Emergency Response and Management
- Law enforcement

- Elected city government representatives (e.g. representative from the mayor's office, local representative to the national government)
- NGOs and INGOs working with vulnerable urban communities in your country
- Other civil society groups, including informal networks, groups and people's organizations
- University researchers working on issues of concern to vulnerable urban communities in your country
- Chambers of Commerce and Industry and other related professional associations (such as urban planners)
- Small business representatives (relevant to vulnerable urban communities; i.e. representatives from the motorcycle taxi drivers association or the rag pickers association)
- Representatives from private utility firms (water, power, waste disposal)

The goal in inviting people to the stakeholder engagement workshop is NOT to invite everyone you can think of, or even everyone that is actively engaged in working with vulnerable communities in the city. Your goal is to assemble an interested, engaged group that can help the RCRC identify opportunities for solving local problems. Ideally, some of the players at this and future workshops will become core members of the RCRC network and possibly members of a coalition. So, most of the people in the room should be people you like,

respect, and want to work with. They should also represent some diversity. Having the RCRC, city government, community representatives, and utilities representatives in the room at the same time, for example, can lead to new insights for *all* players.

Ideally you will have spoken with everyone you invite to the stakeholder engagement workshop prior to the workshop. Based on these prior discussions, you will have hand picked them for participation in the workshop because you know both that they have a great deal to contribute and that they support RCRC core values and goals. However, there may be cases where you invite someone because they represent a core service of function that is important to your project. A stakeholder engagement workshop can present an excellent opportunity for the RCRC to inform a prospective backer, donor or stakeholder by letting them hear the issue discussed first-hand by a broad range of stakeholders. This can be very effective as long as it is set up carefully and thoughtfully in advance. If you have a large number of potentially skeptical stakeholders in the room, they may convince one another not to engage rather than to jump on board.

It is also important to consider how different stakeholders are likely to interact. This is particularly important if you plan to invite both community representatives and city or national government representatives. In setting up a stakeholder engagement workshop, you want to make sure that everyone who attends will be able to actively participate – to speak, to listen, and to learn from one another. Ample opportunity for dialogue and multiple types of interaction (using creative tools,

game playing, mapping etc) and feedback (oral response, written response, survey, one-on-one conversation, and small group conversation) can create the space for everyone to participate.

If you feel the community, local small business, local NGO or other stakeholders won't feel comfortable speaking up, you will want to either revise your invitee list, or conduct two or more stakeholder engagement workshops. You could hold one workshop for more local players, and one for the city and national players, perhaps with one to several people at both who can help provide continuity and learning between the two groups. At the later workshops you can share what took place at the earlier ones.

For continuity between the initial stakeholder engagement workshops and later engagement, the facilitation team should be part of the core leadership team for the project. The need for strong facilitation skills is worth keeping in mind as the leadership team is assembled for this program.

As you outline who to invite to your initial Stakeholder Engagement Workshop, keep in mind that this is not the only engagement workshop you will ever run, nor is it the last chance to talk with stakeholders. Stakeholder engagement is an iterative process. Just as you have already had one-on-one discussions with most or all of the stakeholders you invite to the workshop, you will continue to talk with these and other stakeholders following the workshop, and at some point in the future may choose to hold another stakeholder engagement workshop, probably with a different focus and a slightly different set of players.

PRELIMINARY URBAN ASSESSMENT: STAKEHOLDER ENGAGEMENT

The Stakeholder Engagement Workshop is a three-day workshop convened and facilitated by the Red Cross for collective thinking and planning. It has social goals — to bring diverse stakeholders together, possibly for the first time, and strategic goals — to help this diverse group develop a common vision for reducing disaster risk. It will also help identify the next steps to take in contributing to building resilience through a broad city-wide assessment and provide a solid foundation for developing integrated programming at the community level.

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Beginning and end of each day

Start the first day with introductions. Each additional day should begin with:

- Highlights from the day before

- Review of the agenda for this day

- Any responses to feedback or examples of modifications that are being made as a result of feedback or evaluations

Each day should end with:

- Some opportunity to evaluate, give feedback or debrief the day (evaluations can be done before the very, very end of the day so people don't "check out", as long as it's not disruptive)

- Review of key accomplishments of the day

- Any preparation or follow-up that participants need to do before gathering again

- Some process to close the day and to thank and honor participants

WORKSHOP OUTLINE

1. Introductions, review meeting objectives & agenda, group building activity

2. Introduce Resilience approach

   • Activity to engage with key concepts; resilience, vulnerability

   • Short powerpoint presentation on the resilience approach

   • Exercise to engage with the categories used in the resilience approach

3. Developing A Shared Vision

   Historical Reflection & Future Casting: What was this city/region like 20 years ago? What could it be like 20 years from now?

4. Discussion of Vision

   • Identify main themes, threads or lessons

   • Discussion: what can the Red Cross do between now and the future (Back-staging) to make things better

5. Field Visit (morning of Day 2, if desired)

6. Opening to Day 2

7. Discussion of Values

   What values will inform the resilience building process? Resilience for whom and to what?

8. Identify a place to start

   • Based on previous discussions about issues and values, brainstorm communities or issues the Red Cross should engage with in your context

   • Of the communities identified above: Where would engagement be scalable? Where are there existing forums that could aid in achieving city-wide, regional and/or national reach?

   • Select a community or issue to focus further workshop discussion around

9. Opening to Day 3

10. Stakeholder identification

    Explore who needs to be included in project outreach to successfully address the issues and/or communities identified in the previous activity

11. Geographical mapping

    Use geographical mapping to further explore the communities or issues chosen as a starting point. In particular, the goal of this session is to understand these communities/issues within the larger context of the city.

12. Identify next steps

13. Action Planning

    Put names to tasks, get commitments down on paper.

14. Check-in & Closing

WORKSHOP DAY 1

1. Introductions, review meeting objectives & agenda
2. Introduce the resilience approach
3. Developing a shared vision
4. Discussion of vision

Time:

45 minutes to 2 hours; length will depend on how many stakeholders are in the room, how well they know one another, how diverse their backgrounds are.

Introductions:

As part of the introductions, have everyone in the room introduce themselves.

Introduce or brainstorm group agreements about how all participants will interact in the workshop with each other. For example, practice active listening, be willing to learn, ask questions for clarification, be open to hearing opinions that differ from yours, etc. This is a simple, fast discussion, meant to surface the assumptions that we all hold about what specifically is involved in respectful conversation. Write the suggestions of the group down on a flip chart paper. Then review them with everyone to confirm that the wording is accurate and that there is consensus on the agreement. Then post them on the wall. If conflict arises later — refer to these agreements to guide the group through respectful conversation.

Group building activity:

Select a short activity to let the large group get to know a little bit about each other. Follow this with a longer small group activity that deepens relationships and allows people to see and value what each person in the group brings to the workshop. Possible activities are provided below. In addition, ARC has developed a set of serious games to facilitate learning dialogue and action on disaster risk management in communities: http://preparecenter.org/topics/games)

Large Group Icebreaker:
Imagine that there is a giant map of your city on the floor of the room. Describe the city for people. To help people orient themselves, have clusters of tables and chairs represent different neighborhoods or landmarks. Ask people to move around the room and to stand in parts of the city that they are most familiar with, ask people to move around to the part of the city that they live in, and move again to the part of the city that they work in. Give people time to interact with each other and have a brief conversation with each orientation. Ask people to share where they are standing, and why. This activity can give the facilitator and participants useful background information. Notice and reflect back to the group your observations about their distribution, how much people move around, and areas where there is either high or low occupation.

Small Group activity: (or large group up to 15 people)
On a piece of flip chart paper at each table, draw a line down the middle of the page. Have each small group, working together, talk through and write down on one side of the paper their intentions, gifts and experiences that they are bringing to this day, and on the other side of the paper what they are hoping to learn.

Have each small group share their papers with the larger group. Encourage people to share what they have to offer beyond their technical or job related expertise. Note that life experience, learning and listening are important contributions to the group. Affirm that everyone in the room has both things to contribute and things to learn from this workshop.

Facilitator Note

This activity supports one of the central premises of a shared learning dialogue; that all participants have things to learn from others. It is also an effective tool to affirm the valuable contribution of different kinds of knowledge and experience that people bring to the table. This is an especially important activity if your stakeholder group is likely to include people with a broad range of (formal) educational backgrounds. Popular Education resources like the "Tree of Knowledge Activity" provide alternative activities with similar purpose.

Icebreaker:
The purpose of an icebreaker activity is to get to know one another a little better and start to build relationships. This supports the trust building and familiarity that is important to developing good working relationships. A large group Icebreaker activity is useful at the beginning of a workshop; icebreakers can also be used with small groups at the beginning of a new group to establish an initial working relationship.

Energizer:
Any activity that gets people standing and moving around a room can be an energizer. Energizers are often simple games or problem solving, and can be most effective when not thematically related to the rest of the workshop. If a process is feeling stuck or slow, it can sometimes be more effective to interrupt it with a good energizer to prevent participants from becoming disengaged.

WORKSHOP DAY 1

1. Introductions, review meeting objectives & agenda
2. **Introduce the resilience approach**
3. Developing a shared vision
4. Discussion of vision

Ask for definitions of resilience and vulnerability from the group. Note both literal definitions and metaphor or storytelling: "resilience is when… vulnerability is when…". Present the IFRC definition of resilience if you feel you need to focus the group on a common definition.

Activity: Engaging with Systems Thinking (1 hour)

Brainstorm with the group core issues of interest or concern in urban areas (or start with core issues identified during the planning meeting). Have each table group select a different core issue to explore in the following exercise. Core issues could include health issues, flooding, fire, traffic accidents, domestic violence, etc.

In this activity, you will explore your identified core urban concern in some detail, considering who is affected by this concern and who would be involved in finding solutions. As you conduct this exploration, consider not just the community scale, but also the city and possibly regional or national scales, and consider not just those impacted by the concern but the people and conditions involved in creating, maintaining or addressing the concern.

Have people work in small table-groups. For each set of questions, each group should write specific answers on different colored note cards, one answer per card, or with different colored pens on a large sheet of flip-chart paper:

1. Who is involved/ for whom is this issue important?

    In answering this first question, be as specific as possible. For example: In the case of access to safe drinking water — Who are the water providers? Who assures water quality? Who or what organizations work to support

access to safe drinking water? What organizations exist that work with affected members of the population (e.g. Local NGOs, churches, health centers, schools)?

2. What built infrastructure is involved with this issue? Does this issue rely on ecosystem services, and if so what are they?

    For example: Where does the water come from? How does it get to the community? What in those steps affect it's quality or distribution?

3. What are the laws and rules (formal and informal) that regulate this issue or control access to related resources?

    For example: What are the official laws/rules about getting water? What are the informal rules about getting water? Is the system set up to optimize delivery of clean water to city inhabitants or not, and if not, why not? Are there people left out of the delivery system? Why? Who tests the water to ensure quality? How is water paid for? Is the price different for different neighborhoods and how does that affect the poor?

Each table will report back briefly to the large group. Following the report-backs, the facilitator can explain that this exercise has been about using systems thinking – that the grouping of each set of questions is intentional and follows a structured approach. This approach will now be presented.

Powerpoint Presentation: Introducing resilience & systems analysis (20 minutes)

Discussion:

Following the powerpoint presentation, return people's attention to the previous exercise. Is the resilience approach and the way it breaks down systems for analysis a useful way to split up and look at urban issues? Does it help people see things differently? Might this help identify points of engagement?

Activity: Applying the resilience approach (1 hour)

In this activity, people will evaluate a project or program they are familiar with using the resilience approach. This will give people an opportunity to test their understanding of the resilience approach and explore a known environment through a systems lens.

Have each table identify a program that they are familiar with that addresses a key urban hazard or issue (provide one or two case studies for people to work with if they are unlikely to be familiar with an existing program). Analyze the program in terms of the resilience approach elements by discussing the following:

- What are the hazards or problems that this program addresses? How does the program address them?

- Does this program support people and organizations to become more resilient? List characteristics of people and organizations that this program enhances that will make them more resilient.

- Does this program support the development of more resilient infrastructure or help restore and maintain resilient ecosystems? List characteristics of infrastructure and ecosystems that this program enhances in ways that will make them more resilient.

- Does this program support more resilient legal and cultural norms? If so, how? What are the characteristics of resilient legal and cultural norms?

Have each table group share with the larger group what they came up with and reflect on the process. In this activity, what was easy and what was harder? Have a conversation in the larger group noticing whether, as they analyzed their program, there were things that were left out, were there were components of the project that came up in more than one set of questions, and does this help them think differently about their programs and the issue.

Show a slide of the characteristics of resilience for each of the resilience approach elements.
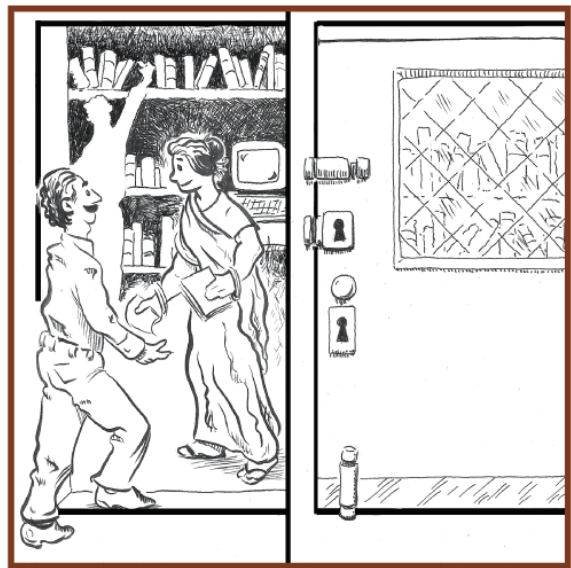
- After reviewing the resilience characteristics, compare them to what the group came up with. Discuss as a large group: Are the two sets of resilience characteristics similar? Are there significant differences?
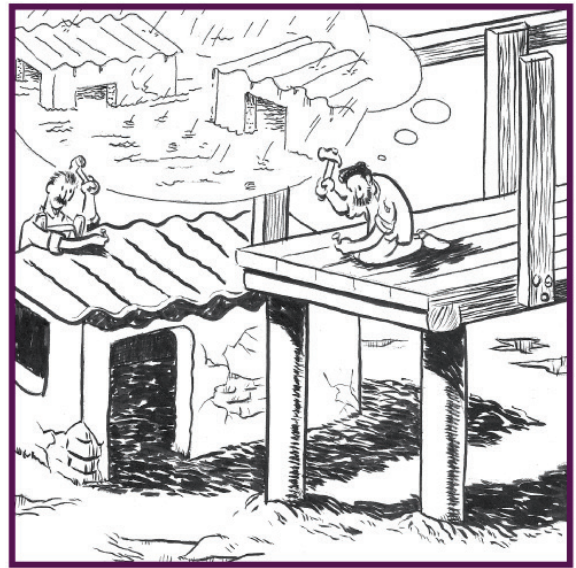
People and Organizations
Capacity to Learn
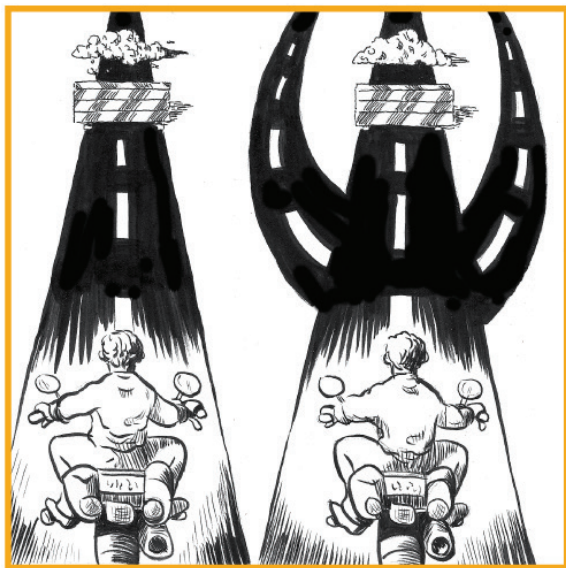
Infrastructure and Ecosystems
Flexibility & Diversity

Legal and Cultural Norms
Access to Information

Facilitator Note

The primary purpose of this activity is to illustrate that the resilience approach is about changing the way you think about urban issues. It provides some structure to help approach and respond to the complexity of the urban context.

This activity provides an opportunity to practice using the resilience approach and systems thinking. As an alternative to analyzing a program, small groups could also review a case study or, if time allowed, develop a case study.

WORKSHOP DAY 1

1. Introductions, review meeting objectives & agenda
2. Introduce the resilience approach
3. **Developing a shared vision**
4. Discussion of vision

Resilience can be achieved in many ways. Before you begin working on the details of resilience building, it is important to develop a shared vision of what you want resilience to look like in your city, for you and your people. In this portion of the workshop, stakeholders will work together to explore what the city and/or region was like in the past, how it has changed since the past to make it look the way it does today, what might it look like if current trends continue, and what could it be like in the future.

By working together through historical reflection, projection into the future, dreaming of what could be, and then working to together to identify entry points to move from the future trajectory to an ideal future, stakeholders create a shared history and goals.

Historical Reflection:

If historical pictures of the city or area of interest are available, begin with a slideshow, from oldest to most recent. This can be done with discussion, if time allows, or simply as a quick presentation. Pictures can be drawn from a broad range of topics – landscape images of the city and it's surroundings, pictures of typical inhabitants, pictures of politicians, royalty or officials, social gatherings, transportation, etc. There is no "right" set of imagery; imagery can cover any aspect of and period of the past that seems relevant. Anywhere from 1 to 20 images is sufficient. If you go back significantly more than 20 years, also review what things looked like starting about 20 years ago and moving to the present.

If pictures are unavailable, begin with a short presentation by a local elder who has seen the city transform over time, or with a group discussion of changes workshop participants have seen over time. Again, this can cover whatever period in the past your group finds easy to address.

One of the goals of this introductory engagement is to notice key trends, and also how fast things have changed. These

changes can be easy to forget if you are living in and are a part of the change.

Following this full-group exercise, participants should split into small groups of 4-8 people to explore and document these changes in more detail. Everyone in the group should be encouraged to contribute – there are no right or wrong answers, just what you remember from the past and notice about the present. This can basically be a version of the VCA Historical Profile.

Discuss obvious trends in the changes in the city, and identify the positive and negative elements of the trends. Use systems thinking as you do this. Think about the core systems — food, water, shelter, energy, transportation, communication — and secondary systems — education, health services, markets, finance, sanitation, early warning systems. How have these changed? How have the lives of individuals changed? What systems do they use now that they didn't historically use? Are there new forms of livelihoods now? Are there old livelihoods that have been lost? How has that affected people? The city is no doubt much bigger now than in the past – what does that mean for how people live and work within the city? What does that mean for who lives in the city; are city demographics changing? Have laws and social norms changed? If so, in what way? Is this good or bad, or does it depend who you are? How has the impact of hazards changed? Are there any changes in climate patterns and how? Are more people at risk? Are loss of life and property larger?

Write down what you discuss on a big sheet of paper.

Future Casting:

If these trends continue, what will the city look like in the future?

Select a time in the future to focus on, far enough out that there are likely to be significant changes but not so far out that the scope of change is beyond imagining. For most locations, 20 years is probably a good timeframe.

For this activity, look at what the trends have been from the past to the present and think about what the city will look like if those continue. For example, how big will the city be, where will people live, what will they do to make a living, how will they get around, what will they eat and where will it come

from, how will they get water, who will be vulnerable and why?

As you do this, think about where current infrastructure and ecosystems are fragile, and whether existing laws or policies are helping or hindering improvement. Think about how past disasters have impacted the city and whether things are getting better or worse. Think about whether livelihood options are increasing or decreasing, whether there is in-migration or out-migration, whether there are a few livelihoods on which much of the city is dependent and what the future of those livelihoods might be.

Working in table groups, record on large pieces of paper what the future of the city will look like if trends continue. Use systems thinking, the same way you did for the historical reflection.

Future Vision:

Once there has been conversation about the direction things are going, it's extremely important to engage some enthusiasm and creativity around what can be possible. This can be done using some of the creative exercises mentioned above, or by modifying the future casting, by adding a positive "what if" future visioning.

The goal of this exercise is to imagine the best possible future for your city. In many cities, continuing current trends of thoughtless development, poor planning, corrupt government, etc. will likely lead to greater risks and less resilience in the future. This exercise can begin to identify where the leverage points are for building a more optimistic, resilient future.

Working individually, have participants begin by closing their eyes and imagining their vision of the *best possible* future for their city. After a couple of moments, still in silence, have them capture their ideas by writing or sketching on paper. Use the same point in time as was used for the future trend assessment. How would **this** future be different than **that** future? Imagine that your children and grandchildren are living in this ideal future city. How do they make a living? What do they do in their free time? Where do they live, and what do they eat? How do they get around? What does their city look like – is it skyscrapers and bumper-to-bumper cars on the roads or are there trains and buses and space for pedestrians? Are there parks?

After everyone has taken a few minutes to develop their future vision, invite people to briefly share their visions, or aspects of their vision that are new or different from other shared visions, with the table group. In each table group, note *common* elements of the vision of the future that are shared at the table. Have each table group share their vision with the large group and post it on the wall.

Identify the *common* elements or main themes that each table group has presented; either on a flip chart as part of a discussion or by interactive means, such as having people draw connections or underline points they see repeated on the flip charts.

As a facilitator note whether this vision addresses all four aspects of the Resilience Approach. If not, brainstorm as a group the missing elements. For example:

- What has happened to currently vulnerable populations within the city? Are they still vulnerable?

- Has weak infrastructure been improved? Has it been replaced? Are the replacements improvements on the old system (i.e. raised dikes) or completely new systems (i.e. innovative raised construction)?

- Where does the city get power, water and food? Have the ecosystems surrounding the city been preserved and strengthened? If so, how?

- How have constraining legal and social norms been overcome?

- What happens when climate hazards – floods, typhoons, droughts, etc. similar or larger than current events – occur? How are they dealt with? How have people, infrastructure and laws adapted to handle these hazards?

Facilitator Note

A secondary purpose of the historical profile is to set the tone that the future holds great possibility... so while it is important to draw out trends, it is useful to review the changes of the past in a way that emphasizes that changes can occur beyond easy imagining.

The process of visioning is not just about thinking about the future in a creative way. Lifting up a hopeful, ideal future and allowing people to flesh that out in their imagination can create a strong, positive emotional experience. For the stakeholders together, this shared emotional experience supports building relationship and trust.

WORKSHOP DAY 1

1. Introductions, review meeting objectives & agenda
2. Introduce the resilience approach
3. Developing a shared vision
4. Discussion of vision

Discuss the visioning exercise. Have people reflect on the experience — what was easy, what was challenging — and also the content — what did they notice? Were there ideas or images that came up often? Were there significantly divergent visions of the ideal future? Were there any unique and wonderful ideas?

Work as a group to come up with a common future vision of the city as a resilient city. Be as specific as possible given the time constraints. In particular, address the resilience approach elements — how are physical infrastructure and ecosystems resilient, how are people resilient, how are legal and cultural norms resilient?

Then, choose one or two elements of that common future and brainstorm what needs to happen between now and the future (Back-staging) to make things better. Start with a description of one element of the future and work backwards step-by-step asking what would have to be in place for this to happen, what else would have to be in place for this to happen and then again; what would have to be in place for this to happen... working backwards for multiple iterations until things are coming up that seem like plausible first steps or things that are already underway or being planned. Repeat this process for several of the key descriptive elements of a future vision.

Write the future as a target point in the middle of a piece of flip chart paper. Write the various actions or elements needed to get there extending out from the center in a web.

To help make the link from the future to the present more concrete; write on the same flip chart paper with a different colored pen the names of people or organizations that are *currently* working to take some of these steps identified.

Keep this flip chart accessible to refer to the following day.

Safe Transportation + Evacuation Routes

Facilitator Note

The primary purpose of this activity is to bridge the ideal future vision with the current reality. This activity should support the idea that building resilience in this city is not only possible, but that there are already people or projects that are supporting resilience.

This activity feeds into several processes in the stakeholder engagement; it leads directly into Part 8: Identifying a place to start. It also serves as a useful resource and reference for the possibility of coalition building.

Back- staging example: The picture above, from a trial exercise, shows how the brainstorming can move out from the center and how a second color can be used to identify organizations who are already active on projects in these areas. As can be seen, the results are not particularly tidy. However, they represent a great deal of information and collaborative knowledge. Once the basic information is captured, it can be rewritten more neatly for use in further discussions.

WORKSHOP DAY 2

5. Morning field visit
6. Opening to Day 2
7. Discussion of values
8. Identify a place to start (Community and/or Issue)
9. Day 2 closing

A field-visit to either a community that is the site of an existing project, a potential new project, or a community of interest (such as HIV positive people) could be included the morning of Day 2.

If a site visit is included, it should be set up well in advance. A site that is relevant to the discussions you expect to have or want to have at the stakeholder engagement workshop should be selected. You should assess the site in terms of the resilience approach and be prepared to discuss key hazards for this location, the impacts these hazards have on the people, infrastructure and ecosystems, the people and organizations already engaged with this community or around the issues associated with key hazards and impacts, and the ways legal and cultural norms mitigate or intensify the community's hazards and impacts.

You should also be prepared to discuss how this site is reflective of the city as a whole and the role that larger city processes play in intensifying or mitigating hazards and vulnerabilities.

Finally, as the afternoon of Day 2 will include both identifying the values that should inform your urban engagement and preliminary identification of a community or issue for initial engagement, a field visit that will logically support and feed into the afternoon agenda should be selected.

Facilitator Note

Things to consider for your site visit:

- Making a video;

- Preparing a questionnaire or note sheet for people to fill out highlighting systems elements in this specific context (The worksheet on the next page can be copied and used directly if the facilitator is comfortable with it.);

- Creating opportunity to talk with community members; and

- Finding space on location for debriefing the experience.

Information Form for Use with the Resilience Approach

This sheet is a resource for workshop participants to make notes following the field visit. The form is designed to prompt users to think in terms of the Resilience Approach as they assess the vulnerability of a community. Organizing the information in this way provides support to participants for reflecting on complex urban relationships, and the various scales at which action is necessary.

Primary Concern: _____

	Locally/ within the Community	On a larger scale? (e.g., district or city-wide, regionally, nationally)
Which systems are primarily affected by this concern (water, health, transport, etc.)?		
Who are the people and organizations involved? Who depends on the system? Who is responsible for building or installing the system? Who is responsible for maintaining the system?		

What laws or cultural rules make it better or worse?		
How do people deal with this concern now?		
What resources or ideas do you have to address this concern?		

WORKSHOP DAY 2

5. Morning field visit
6. Opening to Day 2
7. Discussion of values
8. Identify a place to start (Community and/or Issue)
9. Day 2 closing

Review what you did on Day 1 and go over the agenda for the afternoon of Day 2.

If you did not debrief the field visit on site, have a short discussion of the morning field visit to review key elements of what was seen and discussed and how they should be used to inform the afternoon activities.

WORKSHOP DAY 2

5. Morning field visit
6. Opening to Day 2
7. Discussion of values
8. Identify a place to start (Community and/or Issue)
9. Day 2 closing

Urban environments are large and complex, involving multiple players and issues and incorporating multiple agendas and goals. It is important, before moving into that arena, to be clear on your goals and values. Resilience is not inherently equitable or just. Many resilience systems are oppressive. If you want equity to be a characteristic of your urban work, you need to build it in.

What values will inform your urban engagement and resilience work? For whom are you building resilience, and to what? Is it important to identify the most vulnerable people and target interventions that support them? Is it most important to identify issues that have the broadest impact? Or issues that are the easiest to target at the local level?

Values to inform the resilience building process can be developed through open discussion in a large group – or through alternate ways of eliciting feedback, such as the examples below. The facilitator should pick a method best suited for their group.

Passing Technique

In table groups, have each person write down 1-2 value statements on a piece of lined paper. Everyone then passes their piece of paper clockwise to the person next to them. The second person reads the value statements and either adds nothing (i.e. they agree with the statements) or adds an idea or phrase. They do not cross anything out or negatively comment on or belittle previously written material. People keep passing around the pieces of paper until everyone gets their original paper back. In this way, each person is able to put forth an original idea, which is expanded/commented upon by other members of the group. Each member of the group is also able to reflect upon the ideas put forth by others in response to his/her original idea.

Theming

Hand out three note cards or pieces of paper to each person and ask them to write down one value statement on each. Participants then tape or tack their own value statements on the wall, grouping them with other cards that reflect similar values, or spreading them out if they are different.

Both the Passing Technique and Theming activities should be followed by a large-group discussion for clarification and consensus building. It is possible that conflicting values may be surfaced during these activities — e.g. "government needs to be in charge" vs. "government needs to get out of the way". Make sure both sides of conflicting values are heard and acknowledged. If possible, explore the specifics of these conflicting values and see if there is a way to resolve the conflict. One approach for resolving this type of issue is to ask repeatedly "why is this important to you?" to drill down to underlying values. Likely that will drive conversation towards another value that has already come up and about which there is some consensus. It is possible that you may have to agree to disagree on certain points given the time constraints of the workshop. In that case subsequent program plans need to address these differing points of view explicitly.

Facilitator Note

Resilience is not always equitable or just. If there are values that are important to building resilience, then those need to be surfaced and agreed upon.

This conversation can happen many ways, and may happen multiple times. But, it is important that a conversation about values occur early in the process.

This conversation may not be as necessary with a large group as it is with the core urban resilience working group. It is a very valuable conversation to have with the working group, because when tensions or conflict come up in the working group it will be important to be able to refer back to shared core values to work through that conflict and become a stronger, more cohesive team.

WORKSHOP DAY 2

5. Morning field visit
6. Opening to Day 2
7. Discussion of values
8. Identify a place to start (Community and/or Issue)
9. Day 2 closing

How do you normally decide where to start a project? Likely there's some combination of available money to apply for, an existing relationship with a neighborhood, or interest in an important social issue (then money can be sought). If you already know where to start, go with that!

Review the themes or key issues that were identified following the visioning process. (The facilitation team can do this after Day 1 in preparation for Day 2, or can go over it with the group in the moment, depending on the size of the group) Are there things that jump out as opportunities or obvious places to start?

- Is there a list of issues and/or communities that keeps being mentioned? Remember that a community can be determined by geography or by interest/connection. It may be that there is a community of interest that keeps coming up, such as motorcycle drivers or undocumented migrants.

- Are most people in the room sharing stories about, for example, how flooding is getting worse and affecting more people each year? If so, it is clear that there is energy and interest in engaging in a project that will help address flooding concerns.

- What were people energized and excited about in the visioning exercise? Perhaps there are elements here that would fit well with Red Cross capacity and interests and could be further explored and developed.

Once you have a sense of broad areas for potential engagement, use the following activity to quickly assess interest and opportunity:

For each possible area of engagement, write a word or short descriptive statement on a separate piece of flip chart paper so there is one paper per theme. Put the papers up on the wall spread throughout the room. Have a brief conversation with the large group to remind people about what it was about each issue that had been identified as being of interest.

Give each participant a pen or sticky notes, and have them write down any ideas they have about how to address each of those issues. Why is this issue or community most important? Are there things already happening in this community that can be leveraged? What can be done quickly that would have great impact? What can have great impact for little cost?

Give participants 10 - 20 minutes to walk around the room and add their thoughts to each sheet.

Review the sheets as a large group. Ask any clarification questions necessary. From this feedback, is there one issue or community that really stands out or are there 2 or 3 that are tied for importance? (Note: communities can be communities of interest or geographical communities).

- If there is an issue that stands out as being really important, then the follow-up question is what community or communities are affected most by it?

- If there is one community that stands out, how can this community be strategically engaged with?

As you narrow in on one to three communities or issues, reflect quickly on the elements of the resilience approach:

- What have you identified? An exposure? A community?

- How does that interact with other elements of the resilience approach? What points of intervention can reduce vulnerability?

  - How can you decrease exposure?

  - How can you build the resilience of the people and organizations involved? Can you increase their capacity through training? Can you increasing their access to resources or knowledge?

  - How can you build the resilience of infrastructure and ecosystems?

  - How can you build the resilience of rules and cultural norms? For example, is there a way to change public perception of an issue? Educate decision makers? Help establish new criteria for accessing city or state resources?

Draw 3 overlapping circles on a white board or taped together pieces of flip chart paper. Label the circles *People & Organization*, *Infrastructure & Ecosystems*, and *Laws & Cultural Norms*. As participants answer the above questions, they or the facilitator should write down core answers to these questions on post-it notes. For

each different community, write answers on a different colored post-it note. Add the post-its to the appropriate systems element circle or circles.

Once you've populated the circles, take a look and see whether issues for different communities tend to group in the same area. Is there overlap between any of the issues? Would building resilience in one area have broad impact in another area?

As you narrow in on a community and/or issue of interest, consider whether the vulnerabilities of those involved can be addressed locally or whether there are other players elsewhere in the city that will need to be involved. Also, is there potential for scalable engagement? Could the Red Cross initiate a project but have it replicated by others? Is there already an existing forum for citywide/national reach (i.e. the Kenyan Firefighters Forum)? If not, could such a forum be initiated by the Red Cross?

Finally, reflect on the values that the group previously discussed and guide the conversation towards identification of a single community to engage with.

Facilitator Note

Part of the role of the facilitator in this phase of the process is to be thinking in terms of the elements of the resilience approach, though it does not need to be asked aloud. Have all four systems elements been taken into consideration in the issues identified, in the conversation, and in the process? Are there core hazards, systems, people, or social constraints that are being overlooked?

At this point in the workshop, there should be clarity emerging regarding key entry points for engaging around resilience. If there aren't, you may want to step back and think instead about how to build on local RCRC capacity and existing projects and resources.

WORKSHOP DAY 2

5. Morning field visit
6. Opening to Day 2
7. Discussion of values
8. Identify a place to start (Community and/or Issue)
9. Day 2 closing

Often in selecting participants for a stakeholder engagement workshop, you will have a combination of decision-makers — the people who need to be on-board if you are to obtain the support and engagement of their organization — and more operational staff — the people who will actually be working with the RCRC on a day-to-day basis. If the stakeholder engagement workshop was designed to initially engage a large group composed of both decision makers and technical staff and then narrow down participation to a committed working group of primarily operational staff, this could be a point where that shift occurs (depending on time availability and commitment of participants). If that is the case, it is important to debrief Days 1 and 2 of the workshop, and capture some of the networking information that has come up.

Network Analysis

A simple way to assess the networking impacts of a stakeholder engagement workshop is through a survey that asks participants who they know working in areas of interest. This survey can be conducted at three different times:

- As invitations are issued and the stakeholder engagement is planned, invitees can be asked who (specific names) they already know working with a series of key issues (list the issues identified in the planning process). If one or two names come up repeatedly, then they are likely important people to reach out to.

- At the beginning of the workshop, perhaps in the first break, you can ask people to fill out a questionnaire to identify who they already know at the workshop (and perhaps, what areas of work those people are involved in that are likely to be relevant). It is important that people put their name on this sheet, so you can compare it later.

Hue, Vietnam
Ken MacClune

• At the end of the workshop (or whenever the larger group disperses and the smaller working group prepares to gather), you can have people fill out *the same* questionnaire, identifying people that they know at the workshop and what they are working on that might be of interest. This would provide data on how effective the workshop was for building *new* networks.

This type of network analysis can also be used more broadly. For example, you could ask a set of key stakeholders at the beginning of a project who they know working on a specific set of issues. When the project ends, you can circulate the same questionnaire to the same people to get a sense of how the practitioner community engaged on that set of issues has grown.

WORKSHOP DAY 3

10. Opening to Day 3

11. Stakeholder identification

12. Geographic mapping

13. Identify next steps

14. Closing

Review what was done during Days 1 and 2 and note any decisions, conclusions or concensus developed during the first two days.

Review the agenda for Day 3.

Note:

The organizing committee may choose to include only a subset of the workshop participants for Day 3. Days 1 and 2 were primarily focused on big picture, visioning activities, achieving buy-in to a resilience approach, and engaging with a wide set of stakeholders to broadly identifying how and where that approach should be implemented. The Day 3 agenda focuses more closely on the details of engagement and next steps. It is still important at this stage to have a diversity of stakeholders involved. However, having obtained buy-in from decision makers, you may wish to excuse them from Day 3 and instead just work with the more operational staff.

WORKSHOP DAY 3

Think about communities identified for engagement on Day 2 and the values that you want to incorporate into that engagement. What are the key issues you will want to address as you move forward, and who needs to be in the room to successfully address those issues? Remember that in urban areas the people needed to solve a problem may be not just those within the community but also at a city-wide, regional, or national scale.

In the following activity, you will work to systematically identify the stakeholders that play a role in the community and issue selected on Day 2. However, keep in mind that stakeholder mapping is not just an exercise of listing who is doing what. It is about analyzing and understanding who has influence over the community or issue. To really solve urban problems, you need to understand organizational roles in governance processes and how outreach and engagement with those institutions can help advance key aspects of the program or strategy. In an urban environment, stakeholder mapping can identify a substantial number of people and organizations; however, in practice you may find that effective engagement will hinge on the active participation of only a few individuals or departments.

Activity: Stakeholder Engagement Organizational Matrix

On a white board or with several sheets of flip chart paper taped together, draw a big table. In this activity, you will fill in this table with city functions and services down the left hand column, and the people, organizations and government departments associated with those functions and services identified across each row.

1. Begin by identifying some of the critical city functions or services associated with your core issue(s) of interest. You goal is not to come up with a comprehensive list of all the stakeholders in your city; instead, what you want is a focused list of the stakeholder organizations and individuals you expect will be most important for your project. Consequently, this list does not have to include everything now; you can expand or modify it at a later time. For now, focus on

functions and services that are directly connected to your core issue(s) of interest. These could include:

- City planning and/or land use decisions
- Water, electricity, sanitation, and/or transportation infrastructure
- Social services
- Health monitoring and regulation
- Environmental monitoring and permitting
- Disaster planning and response, including hazard mapping
- Business, markets, and economic development
- Security

Write these city functions or services in the left-most column.

2. Identify by name the organization(s) in charge of a particular service. Fill in the names of the organizations in the row corresponding to the particular city service or function. As you initially fill out your table, note places where one organization is in charge of making decisions and policies about a particular service or function, but another organization is in charge of implementing and managing the service or function. You may also have situations where a certain organization like a government department is supposed to provide the service (such as providing potable water), but private sector actors actually do it (such as private water trucks). In this case, you would want to include both organizations with a note about their respective roles.

3. It is equally important to note community groups, NGOs, or private businesses that providing services to informal settlements or other areas of the city. These organizations, though not part of the city government, often play critical roles in providing city services and emergency response when the city government doesn't have the resources or the ability to do so. These organizations may also have a better sense of health, livelihood or education conditions for particular populations in the city than government organizations. Review your table from step 2 and fill in the names of important non-governmental organizations in the row corresponding to the particular city service or function.

4. Identify the scale at which each organization or department operates or has authority – e.g. community-based, ward-level, district, the whole city, or provincial. Label the scale below the organization or department. Identify the mandate of each organization or department – what service they provide or their management role. Write the mandate below the scale.

5. Identify existing contacts within any of the organizations you have listed. Note this on your list, along with who at the RCRC is the best person to reach out to that contact.

As you develop this list of stakeholders, keep in mind that the multi-scale nature of city problems requires multi-level engagement with stakeholders with potentially different mandates and coverages.

At the city level, you may need to engage with municipal government, provincial city authorities, national disaster management organizations, international organizations (IFRC, and others such as World Bank, ISDRR, UNICEF), INGOs, predominantly local NGOs, universities and research institutions, and professional associations (such as chambers of business, architects, engineers). This level of networking will focus on locating partners that can help the RCRC see the big picture at a city level, understand spatial and demographic distribution of vulnerabilities, the root causes of vulnerabilities, the opportunities for addressing those causes, and the players that can help do that.

At the community level engagement will focus on building relationships with the local stakeholders that have the skills and contacts to complement RCRC capacity and solve local problems/challenges.

Throughout the project, stakeholder engagement should capitalize on existing relationship that the RCRC has with government and other humanitarian or development organizations, and use those existing relationships as stepping stones to build new relationships.

The next page shows is an example of an Organizational Matrix.

Facilitator Note

This exercise draws on research done as part of the planning process, and weaves it together with the knowledge of the people in the room.

In addition to identifying key stakeholders and power brokers, this exercise is also an opportunity to identify gaps. It is not important to 'fill in all the blanks'; it IS important to notice where there are gaps, to determine if that is knowledge that is important to seek out, and to continue to track the information in this matrix as a project unfolds.

ORGANIZATION REVIEW MATRIX

	UTILITIES DIVISION	MUNICIPAL GOVERNMENT	PRIVATE WATER TANKER COMPANY	WORLD BANK	INFORMAL SETTLEMENT WATER SERVICE
EXAMPLE: Drinking Water	Scale: Provides water citywide & to some neighboring communities via agreement. Mandate: Operates and manages the water infrastructure, including water storage and drinking water treatment. Pipe network does not extend to most informal settlements. Notes: Do they also monitor quality? Do they service any informal settlements? If not, why not?	Scale: Owns city water utility Owns city water infrastructure Owns the water rights to water supply for city. Mandate: Notes: who makes decisions about new service areas/ installing new pipe network? What are the city policies regarding water service to informal settlements?	Scale: private company operating locally Mandate: Provides a fee-for-water service to informal settlements. Water quality is not monitored. Notes: what are costs, how often is delivery, what is effective burden on a household to buy water this way, what do households do if they can't afford water and don't have a standpipe?	Scale: funding national drinking-water projects Mandate: Over the past 5 years has funded the installation of standpipes in informal settlements within the city Notes: information about which communities have standpipes and how many standpipes unknown. Are there plans for further installation of standpipes? Has anyone at the WB talked with the city about municipal supply of water to informal settlements?	Scale: within individual informal settlements with standpipes Mandate: provides household connections to the standpipe via garden hose for households that can afford it. Notes: this is an informal service policed by the community and/ or community leadership; further information needed on how this works.
Service:	ORGANIZATION: Scale: Mandate: Notes/contact person:	ORGANIZATION: Scale: Mandate: Notes/contact person	ORGANIZATION: Scale: Mandate: Notes/contact person	ORGANIZATION: Scale: Mandate: Notes/contact person	
Service:	ORGANIZATION: Scale: Mandate: Notes/contact person	ORGANIZATION: Scale: Mandate: Notes/contact person	ORGANIZATION: Scale: Mandate: Notes/contact person	ORGANIZATION: Scale: Mandate: Notes/contact person	
Service:	ORGANIZATION: Scale: Mandate: Notes/contact person	ORGANIZATION: Scale: Mandate: Notes/contact person	ORGANIZATION: Scale: Mandate: Notes/contact person	ORGANIZATION: Scale: Mandate: Notes/contact person	

WORKSHOP DAY 3

For urban projects, it is important to understand and be able to communicate about the community or issue you are engaging with in the context in the city as a whole. One of the most powerful ways to do this is through geographical maps.

In this activity, you will use GIS, available maps, or create a map to further explore the community or issue identified for engagement on Day 2.

Divide into small groups so that all members of each group can actively contribute to the mapping. Have different colored markers on hand for indicating different things.

1. Use or create a map of the issue or community of interest.

   Start with an existing map of the city or sketch a rough map of the city, indicating key landmarks, neighborhoods or geographical features to orient viewers.

   Indicate on the map elements important to city residents that can be readily identified. For example:

   • Important community gathering sites or places of significance to your city residents.

   • Areas where there are currently vulnerable neighborhoods or communities with a high percentage of vulnerable households. Keep in mind recent disasters or extreme events.

   • Consider vulnerable people that may not be in a specific geographic area and decide how to represent them on this image (e.g. physically handicapped, elderly or children in poor households, immigrants, targeted religious or ethnic groups).
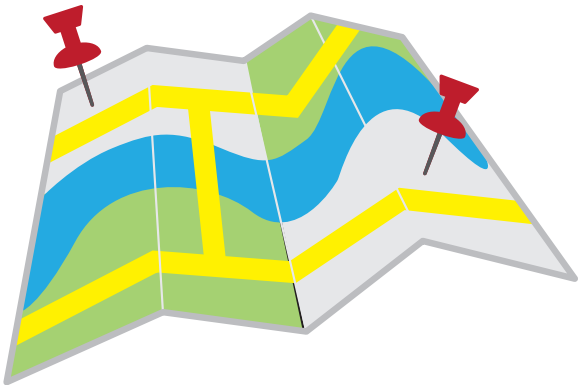
There are a number of ways that GIS mapping can be used to quickly identify likely informal settlements within a city. For example, the type of roofing materials, the density of construction, the number of roads through a neighborhood, and the geographical location (e.g. in lowlands, next to railroads, bordered by major highways, next to dumps, etc.) can all be indicators of economic status. By combining GIS mapping, knowledge of local conditions, and map verification by RC branch offices, an initial map of informal settlements can be generated fairly quickly. If time allows, developing and bringing such a map to initial discussions can substantially enhance information exchange.

2. Draw representations of important systems and functions for your community or issue. This could include:

- Major transportation routes

- Critical systems and infrastructure (schools, hospitals, transportation centers, markets, police stations, etc.)

- Areas of the city with dependable electricity supplies, communities that are primarily informally connected to electricity, and communities that primarily lack electricity.

- Water sources and distribution networks (for example, consider whether water is distributed via piped networks or tanker trucks; if water is distributed by truck, the road network takes on additional importance. If water comes from a local water point, find out how the water gets there from its actual source somewhere farther away.)

- Key bus routes, employment centers, or other elements related to how community members maintain their livelihoods. Do they go elsewhere in the city for work? What do they rely on to get there?

- Critical public safety features such as dams, drainage canals, dikes, etc.

- Caches of disaster response supplies, emergency shelters, and other DRR associated elements.

3. Review your map. Does it illustrate not just the community of interest, but also how that community both draws on resources from and contributes to the larger city? What is the effective footprint of your community of interest? Do they work, live, create and draw on resources primarily within the geographical boundary of their community, or do they travel throughout the city for their livelihoods?

4. Note on your map areas that are inhabited by other communities similar to the community you are focused on. For example, perhaps the community selected for engagement on Day 2 is an informal community located in low-lying lands with poor drainage. Use maps, Google Earth, or existing knowledge of the city to circle other areas on the map that contain or are likely to contain similar communities. Note the distribution of these communities across the city.

Once each small group has completed their map, share the maps in the larger group. Note similarities and differences between the maps. Discuss the implications of questions 3 and 4. How relevant are the issues of your chosen community or issue at the city scale? How might this be used to influence stakeholders at the city or provincial level?

WORKSHOP DAY 3

10. Opening to Day 3
11. Stakeholder identification
12. Geographic mapping
13. Identify next steps
14. Closing

From the previous discussions identify priority or consensus next steps. These next steps will vary with the funding opportunities available, the extent that stakeholders have been able to agree on what needs to be done, the need for further information or consultation to make program decisions, or other factors. Typical next steps may be:

• Conduct a VCA or series of VCAs in communities identified by this stakeholder engagement process. If you conduct a VCA, be clear about whether the goal of the VCA is to generate information, to engage the community, to produce a report that can be shared with other potential stakeholders, etc. Implement the VCA in a way that will enhance it's ability to deliver the desired results. (For example, if one of the goals is a VCA report that can be shared with outside stakeholders, you will probably want RCRC staff to assist with writing a section about how the community was selected and why this VCA is relevant at the city scale.)

• Use VCA and other assessment tools to engage with a community of interest.

• Create and/or build effective working relationships with partner organiza-tions. (The VCA Methods Reference Sheet 6: Working Together may be helpful in doing this.)

• Conduct a set of community engagement meetings including outside specialists (e.g. utilities, city departments, researchers) to help community members understand the wider urban issues at stake, and to help the specialists understand the impact of issues at the ground level (especially when there is no need for the further data research steps of the typical VCA).

• Convene organizations and agencies at the city, regional or national level to address problems that can not be solved at the local level alone.

The group of participants engaged in identifying the next steps does not have to be as large as the group that was involved with the visioning. In this phase and the next one, it's most important to include people who have the capacity to be involved with some immediacy.

The final step for the Stakeholder Engagement Workshop is to summarize key learnings and decisions over the course of the three days, assign people to complete identified tasks, and get commitments down on paper. Be as specific as possible about who is doing what. For example:

- When do we meet again?

- Who will come to the next meeting?

- What is the purpose of the next meeting and what materials or information are needed to make that meeting effective?

- Who is producing those materials or collecting that information?

- What working groups have been formed?

- Who are the members of each working group?

- When will they next meet?

- What will they produce?

- When will working groups follow up with the larger group?

WORKSHOP DAY 3

10. Opening to Day 3
11. Stakeholder identification
12. Geographic mapping
13. Identify next steps
14. Closing

Celebrate the achievements of the last few days! Thank participants for all that they've contributed and send people off with energy and optimism about all the good things that are about to unfold!

Part B

Background Notes for Facilitators: Core Concepts for Leading Stakeholder Engagement

Nairobi, Kenya
Chris Allan

TABLE OF CONTENTS

How to use this booklet

Leading stakeholder engagement as part of a process of building urban resilience requires confidence and familiarity with the core concepts that underpin the process. Conversations about resilience and urban engagement have been ongoing within the Red Cross network and broader development and humanitarian organization community, and different people will have different levels of comfort with these ideas.

This booklet provides brief introductory pieces that together provide a basic foundation for this work. Presented this way this booklet has been designed for easy reading; skim what you already know well, and read more closely that which is less familiar.

These materials should be read in conjunction with "Guidance for Urban Resilience Programming" written by Aynur Kadihasanoglu and circulated in early 2014. This guidance document provides an excellent context for how and where stakeholder engagement fits in a process of building community resilience in an urban context.

The materials in this booklet are primarily abbreviated from the document "Introduction to a new approach to Urban Resilience" written by ISET for the ARC. There are a couple of additions and modifications in the case study and sector pullout guide. If some ideas presented in this booklet are new to you it might be worthwhile reading the more comprehensive document to understand how they all relate to each other.

1. COMPLEXITY IN URBAN AREAS

Increasing numbers of the globe's poor and vulnerable peoples are to be found in urban environments. In response, the Red Cross family is increasingly shifting from a primarily rural focus to include urban engagement. Yet clearly urban work is more than just rural work at a bigger scale. There are three key differences between urban and rural work:

Increased scale

In urban environments, local problems are often caused by non-local phenomena and so solutions must be sought outside the community, at local, city, national or sometimes even international scales. This has implications for the number and types of people, organizations, departments and agencies that may need to be or are already involved.

Increased complexity

Urban environments are far more complex than rural environments. Part of the appeal and draw of urban environments is the complexity — there are a larger range of livelihoods options, a larger range of available goods and services… but also a larger range of social, class, religious and ethnic diversity, a larger range of social expectations and norms, and a larger range of actors involved in mediating daily life. Within this complexity you will find cross-cutting relationships, a higher degree of class and ethnic stratification and division, faster movement of people and economic relationships, and a daily dependence on more

and more complicated infrastructure systems, both domestic and international. These systems are interlinked in cities so that, for example, power outages in one part of the city could shut down petrol pumps, shutting down bus routes city-wide and making transportation difficult or impossible.

Differing resources

The scale and complexity of urban environments give rise to very different resource availability than is found in rural setting. This resource availability has advantages and disadvantages.

- Human and organizational resources, financial resources, and access to government decision makers are all greater in urban environments than in rural environments. Not only will resources within communities be more diverse, but access to and the ability to mobilize resources outside the community on behalf of Red Cross projects will also be substantially greater.

- However, established relationships with neighbors and other actors across the city may be lower than that found in rural areas, and the lifespan of relationships may be much lower.

Bangkok, Thailand
Alexis Wagnon, ISET-International, 2014

The key to engaging in urban environments is to leverage the advantages inherent in the scale, complexity and resource differences. This requires three main things:

More time
Project timelines will need to be longer to allow for more complex engagement with a larger, more diverse group of stakeholders and partners. Repeated engagement over time will be required to build the deeper relationships needed for resilience building.

A clear framework to structure engagement
This framework needs to guide the assessment of vulnerabilities and capacities in ways that help identify core issues, feasible points of engagement, and the stakeholders that need to be engaged to work effectively.

Many more partnerships
In urban environments there are players with existing mandates to address almost any aspect of urban life and functioning. The complexity of urban systems means that in most cases problems can only be solved by engaging with partners with skills and influence not available to the Red Cross or communities. Effective urban resilience building must leverage these existing players, work within or work to modify their mandates, and help them enhance existing funding for their work

2. THE URBAN RESILIENCE FRAMEWORK

The proportion of the global population living in urban areas is rapidly increasing. Urban areas are dynamic, complex environments. Simultaneously, the climate is changing; future climate projections suggest the number and/or intensity of extreme climate events associated with humanitarian disasters will increase. All of these uncertainties pose an enormous challenge for humanitarian aid organizations working in urban areas. Without a shift in approach, they risk being overwhelmed by future disasters.

There is a clear need for a framework which can guide organizations and their clients in assessing vulnerability, identifying clear areas where engagement could quickly build resilience, and within those areas, selecting rational, sensible actions that will address demands. The Urban Resilience Framework uses systems thinking approaches to address multiple stressors and untangle complex sources of uncertainty.

The Urban Resilience Framework helps identify who and what is vulnerable, why they are vulnerable, and what factors hold that vulnerability in place. This analysis naturally leads to a clear identification of how and where the entry points for reducing vulnerability and increasing resilience lie.

The Urban Resilience Framework consists of four elements:

1. Infrastructure, services and ecosystems;
2. People and organizations;
3. Legal and cultural norms; and
4. Exposure to disasters.

Within the framework, building resilience means:

- Identifying the exposure of infrastructure, services and ecosystems and people and organizations to disasters;

- Identifying and strengthening fragile infrastructure and services and compromised ecosystems by strengthening the characteristics that reduce their vulnerability;

- Strengthening the capacities of people and organizations to both access infrastructure, services and ecosystems and develop adaptive responses; and,

- Addressing the legal and cultural norms that constrain effective responses to system and service fragility or undermine the ability of people and organizations to access services, resources and knowledge and to take action.

People and Organizations

This element includes individuals, households, communities, the private sector, businesses, and government entities; it includes everyone who makes decisions, the actors in society.

Resilient people and organizations are:

- Responsive — motivated and able to take timely action when required, including changes in organization structure.

- Resourceful —when people identify priority actions for adaptation, they can mobilize financial, human or other resources and implement those actions.

- Able to learn — they can identify and anticipate problems, and internalize lessons from past failure and feedback in system improvements.

Infrastructure, services and ecosystems

This element includes infrastructure, services, and functions such as water supply and wastewater treatment systems, roads, power lines, food distribution, health, education, finance and ecosystems such as agricultural land, parks, wetlands, fishing grounds. These systems and services are designed and/or managed by people, but their performance depends on a multitude of factors that are difficult to manage, including human behavior and governing laws, policies and cultural context, which often lead to unintended side effects like pollution. Infrastructure, services and ecosystems are *fragile* if they are easily disrupted or broken, though their basic functioning may look very stable.

For resilience, we want infrastructure, services and ecosystems that are:

- Flexible and diverse — able to deliver service under a wide range of conditions or over a wide spatial distribution;

- Modular — made up of discrete but interacting parts such that one can function if another fails, or= with backup capacity or alternate delivery pathways; and,

- Designed to fail in predictable ways — if system components are overtaxed, they can fail safely without taking down the whole system.

Core or "critical" systems (water supply, food supply and the ecosystems that support these, as well as energy, transport, shelter and communications) are particularly essential. Their failure seriously jeopardizes human well-being in all affected areas, and precludes higher order economic activity until their function is restored.

Legal and Cultural Norms

These are the rules, laws, customs, social norms and conventions that guide, enable, and constrain peoples' and organizations' behavior. They define the range of perceived possible responses or actions in a given situation, reduce uncertainty, maintain continuity of social patterns and social order, and make our interactions more stable and predictable.

Legal norms include government structures such as laws and policies; cultural norms include cultural/power aspects such as traditions, racial constructs, standards of dress or segregation, etc. Linking both sets of behavioral constraints under the same umbrella makes sense because they inform each other so strongly. Laws and policies generally evolve from social/cultural norms and structures of power like colonialism and patriarchy.

Legal and cultural norms link people and organizations with systems and services by constraining or enabling access by people to those systems and services.

The attributes of resilient legal and cultural norms are:

- Accessible — rights and entitlements to use key resources or access urban systems are equitably distributed.

- Transparent, accountable and responsive — decision-making processes, particularly in relation to urban development and urban systems management, follow widely accepted principles of good governance.

- Informed — private households, businesses and other decision-making agents have ready access to accurate and meaningful information to enable judgments about risk and vulnerability and for assessing options.

Exposure

Exposure is the degree to which a system, service, person or organization is in a location prone to a particular hazard, such as floods, earthquakes, tsunamis, landslides, drought, civil conflict, disease outbreaks, or economic downturn.

One way to reduce vulnerability to disasters is to reduce exposure to the underlying hazard. However, this needs to be done in a way that preserves the resilience of infrastructure and ecosystems and people and organizations. For example, building dikes or sea walls can reduce exposure to flooding, but they must include safe-failure options. There is not a dike or seawall in existence that will not, at some point, be overtopped by floodwaters. Options that allow for failure to occur in safe ways, such as planned dike breaches that flood agricultural rather than residential or urban lands, is critical to building long-term resilience.

3. URBAN RESILIENCE AND HOW THE RCRC WORKS IN CITIES

What does building resilience mean for how RCRC staff need to work in cities? It means that staff need to take their existing tools and methods and organize them in three new ways:

- Use systems thinking to analyze vulnerability,

- Build many more relationships outside the RCRC organization, and

- Learn, through integration and reflection on new information, throughout both of those processes.

Using systems thinking to analyze vulnerability and develop solutions means developing a structured way of looking at the factors contributing to vulnerability and where the entry points are to shift those factors. Engaging in systems thinking also means accepting complexity and uncertainty. Systems thinking is different from the predict and prevent mode of thinking; system thinking acknowledges that problems and solutions are not linear and that any action takes place in a field of uncertainty. This means that predicting outcomes is a challenge and ongoing learning and questioning are important to building resilience. Systems thinking is also about using a conceptual framework that can be applied at multiple scales, a framework that applies equally when looking at the big picture and a local community.

Building relationships outside the RCRC means networking and being flexible and adaptable around existing participatory processes. In an urban environment, networking will need to be more extensive and systematic than in a rural environment, and engaging in participatory process will have different phases. Initial engagement and networking will focus on locating partners that can help the RCRC and the community understand vulnerability, its root causes, opportunities for addressing those causes, and the players that can help do that. The second phase will be building relationships with the players that have the skills and contacts to complement RCRC capacity and solve the problems at hand. A third phase could focus on encouraging organizations or departments with existing mandates to adopt identified solutions and apply them more generally city- or nation-wide. Throughout the project, networking should capitalize on existing relationship that the RCRC has with government and other humanitarian or development organizations, and use those existing relationships as stepping-stones to build new relationships. In our experience with cities, often the best place to begin building a network is just by getting a team of people together to brainstorm:

- What people, organizations or departments are involved or connected to this issue we want to address?

- Who do we know personally through our networks that work with these individuals or groups?

- How could we invite the participation of these people or departments?

- How can we best contact those we don't know?

Legend: Stakeholders | Iterative Shared Learning | Formal Policy Loops | Local Knowledge & Learning Between Levels
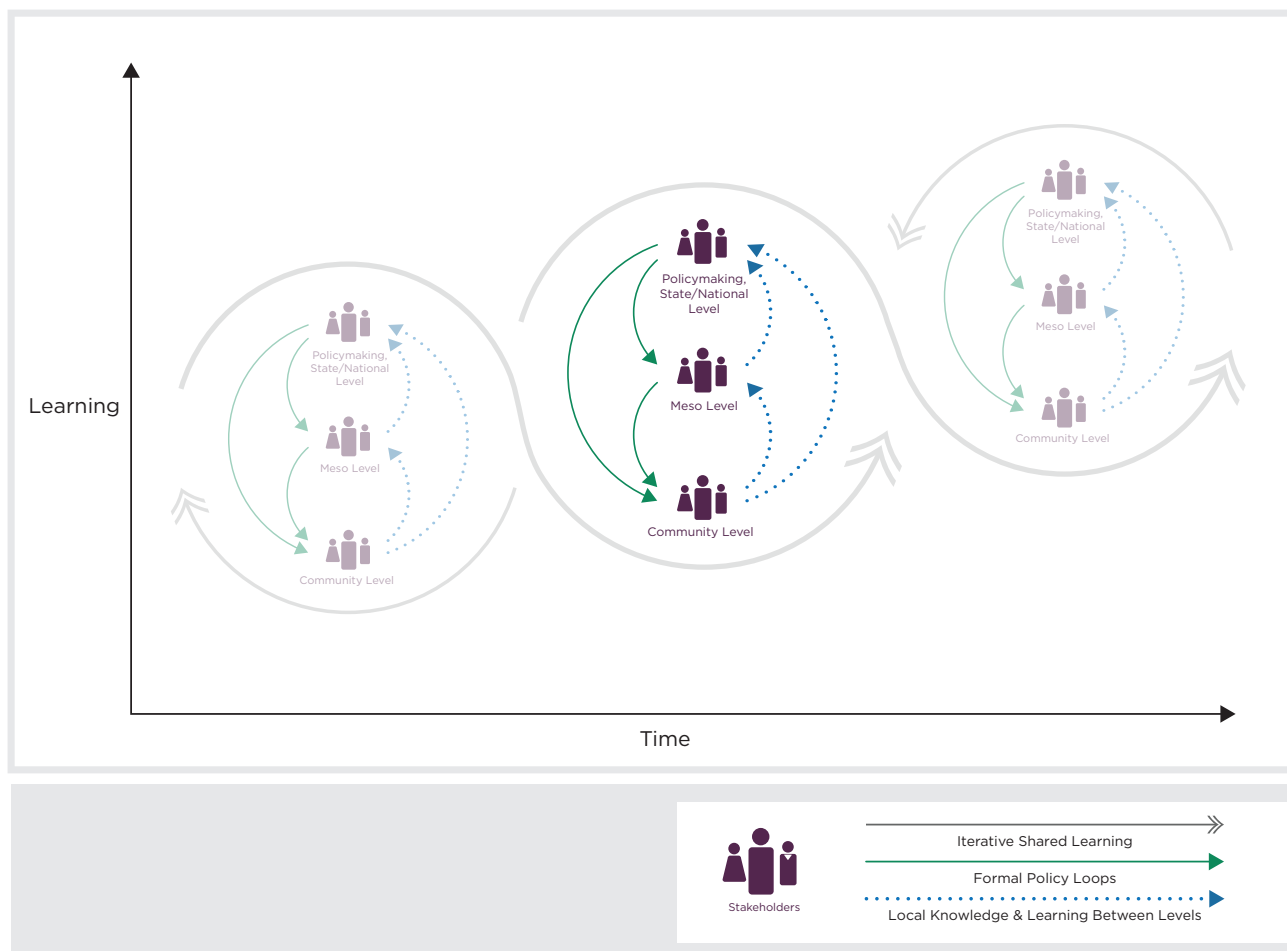
Ongoing learning, and using learning to inform adaptation, is critical to resilience. For example, all too often in post-disaster situations, infrastructure, housing and services are rebuilt based on the initial design. Yet, if they failed and need to be rebuilt, then rebuilding them the same way leaves the same vulnerabilities in place. Ideally failure should be used as an opportunity to explore why things failed (learning) and what could be done to prevent future failure (adaptation). Then, armed with this knowledge, things can be built back better. Summarized quickly, this seems easy and obvious, but in the midst of a process it requires creative

thinking and commitment. Project leaders have to be willing to learn from both the community and experts in their networks as well as facilitate learning for the community and other partners. Part of the leadership role also involves seeking new information (data, maps, contacts) and taking it into account as the process unfolds. This could be things like asking new contacts for advise on other people to also approach, to invite to a stakeholder engagement or to fill in knowledge gaps.

4. SYSTEMS THINKING FOR RESILIENCE: SECTOR PLANNING GUIDE

This document is a checklist for asking the right questions about resilience in a variety of sectors. This checklist can help you figure out who you need to be talking to to solve a community problem, and what secondary data is necessary to understand it well. You can use this as a pre-assessment tool to get a handle on what the situation is, or as a guide for discussion during the assessment process.

The Sector Planning Guide is organized by the

- exposure or hazards in the city,
- systems that are affected by that hazard,
- people that work on it,
- cultural or legal issues that increase or decrease risk.

For example, if you are trying to figure out what the situation is under Health, the Sector Planning Guide suggests asking about:

- the main health risks, such as epidemics
- what systems there are to deal with them, such as hospitals, clinics, etc.
- who works on those, and can be a possible partner in reducing the risk
- what cultural or legal issues might make some people more vulnerable than others to the same health hazard.

Using this guide, you may be able to have a useful discussion with a specialist even if it is not an area you know much about yet.

A second example comes from the Health and Sanitation Sector. While you may not be an expert in this sector, the Guide prompts you what to ask about when you find a specialist in this area, and when you are with community members. (It is important to ask both – they will have different kinds of knowledge, both of which are important to solving problems.) So in the case of an informal settlement with no established city services, the Guide may help you discover things such as the following example.

Exposure – While there are disasters such as floods, the main problem is daily stress from poor access to potable water; preventable diseases are common as a result.

Infrastructure and services – Since there is no city provided potable water system, entrepreneurs have jumped in to provide improvised water pipes from elsewhere, bring in trucks of water for sale on a regular basis, or supply bottled water in local shops.

People and Organizations – Rather than the city water authority being in charge of providing potable water, a diverse set of entrepreneurs run it, often in competition with the city and each other, and often against existing regulations.

Legal and Cultural Norms – This informal water system is different than those in formal settlements, where water is supplied by a central authority and billed by mail, and where maintenance and repairs is done by a visible and regulated authority. Certain ethnic groups may not be allowed to get water at the same places as others.

In this example, breaking down the water system in this way shows how the system actually works, rather than the way it is supposed to work on paper. This way of thinking suggests that some paths of intervention will be more likely to succeed than others, water quality is unknown, and water costs are higher.

Who to Talk To: The Sector Planning Guide can suggest who is worth talking to get a good analysis of the situation. In the example above about the potable water system, use of the Guide would suggest that while it is important to talk to the city water managers, it is also important to consult the entrepreneurs who are actually supplying the water. They will have perspectives on how the system works well and where it breaks down, and what interventions might improve it. You might also want to talk to local health care staff, to find out what the common water-borne diseases are, if they have a seasonal variation, and what interventions they can suggest to help deal with them.

Sector: Health

⚙ Exposure	🏭 Infrastructure and Ecosystems	👪 People and Organizations	⚖ Legal and Cultural Norms
Disease/epidemics – Outbreak frequency (chronic, ongoing, reoccurring)? Seasonal? Disaster- or hazard-related? Population(s) affected? Climate-sensitive? **Vector-borne diseases** (pathogens) – Increase after disasters? Protection during a disaster? Time of year when most common? Preparation for higher risk seasons?	**Clinics/health centers/ hospitals** – Type? Quantity? Quality? Accessible? Affordable? Trusted? **Health Services** – Types utilized (delivery, surgery, ambulance)? Available? Affordable? Quality? Trusted? **Medicines** (e.g. vaccines) – Availability (in stock)? Affordable? Trusted? **Health supplies** – Availability (first aid supplies, mosquito nets/ coils, condoms, etc.)?	**Health staff** (e.g. doctors, nurses) – Availability, locally farther away? Qualified? Trusted? How do people use services? Are some people at more risk than others to certain health hazards?	Does everyone have equal access? Are some people at more risk than others to certain health hazards? Are differences due to ethnic, gender, class, legal differences?

Sector: Water and Sanitation

⚙ Exposure	🏭 Infrastructure and Ecosystems	👥 People and Organizations	⚖ Legal and Cultural Norms
Disasters – Types? Frequency (chronic, ongoing, reoccurring)? Seasonal? Climate-sensitive? **Stresses** – Where is the water and sanitation system weak or vulnerable? Adequate for population growth?	**Safe water** – Accessibility? Quality? Storage? Treatment? Distribution? Quality & availability during/ following disasters? **Sources/points** – Types? Accessibility? Quality & consistency? Covered & protected? Systems? Distribution? Protected from flooding? **Solid waste** –How is it disposed of? Impacted by disasters? Removal service? Central collection point? **Latrines** –Types utilized? Availability? Accessibility? Impacted by disasters? Can sanitation systems handle floods? **Storm water drainage** – systems in place to prevent flooding? Extent? Connectivity?	Who is in charge of the potable water system? Who handles solid waste? Who builds the drainage system? Who maintains it? Is there flooding? What coping mechanism do people use when potable water, solid waste or drainage systems fail?	Is the community potable water system the same as that used by neighboring communities? Why or why not? Is it better or worse? Is the solid waste disposal system the same? Is the drainage system the same? Are there political, cultural or legal constraints on improving these systems? Accessibility? Solid waste –Practices (disposal, collection)? Traditional excreta disposal practices?

Sector: Shelter and Buildings

⚙ Exposure	🏭 Infrastructure and Ecosystems	👥 People and Organizations	⚖ Legal and Cultural Norms
Disasters – Types? Frequency (chronic, ongoing, reoccurring)? Seasonal? Climate-sensitive? Are some groups of people affected more than others?	**Settlement** – Safe location? Exposed to risk? **Infrastructure** – Existing types (community buildings, facilities, structures, roads, etc.)? **Housing** – Availability? Safety? Fuel sources utilized (for cooking, heating, etc.)? **Construction** – Technologies? Quality? Safety? Traditional techniques? **Materials** – Types? Availability? Affordability? **Repair** – Ability to maintain & repair housing? To repair housing & infrastructure within a year following a disaster?	**Construction** –Who builds the houses? Buildings? Who oversees what can be built where and how? **Repair** – who repairs or improves houses? **Finance** – who pays for housing? Are there loans? Savings schemes?	**Land** (e.g. tenure) – Availability (for housing)? Tenure types? Tenure security? **Construction** – Technologies? Quality? Safety? Traditional techniques? **Materials** – Types? Availability? Affordability? **Housing** –House tenure? Tenure Security? Risk/ fear of eviction? Permanent or temporary? Adequate living space? Fuel sources (for cooking, heating, etc.) utilized?

Sector: Disaster Preparedness

⊙ Exposure	🏭 Infrastructure and Ecosystems	👤 People and Organizations	⚖ Legal and Cultural Norms
Disasters – Types? Frequency (chronic, ongoing, reoccurring)? Seasonal? Climate-sensitive? Populations, infrastructure, & services affected? **Hazards** – Types? Population(s) affected? Impact on populations?	**Preparedness** – Stockpiles? Is there a Response or emergency plan? **Response –** Early warning system? Evacuation routes? Identified shelter(s)? Ambulance services? Fire & police depart-ments? Reliability? Are there backups or alternatives? **Assistance** – Available? Type(s) of disaster assistance provided. **Recovery** – Debris & flood cleanup? Infrastructure repair? Asset recovery?	**Preparedness** –Training (first aid, search & rescue)? Response/ emergency plan? Clearly defined roles, and support and backup for emergency response teams? **Response –**Response Team(s)? Evacuation routes? Identified shelter(s)? Ambulance services? Fire & police departments? Reliability? Are there backups or alternatives? Do different sectors communicate or cooperate with each other across systems (transport, communica-tions, health care, etc.)? **Assistance** –Disaster assistance provider(s)? **Recovery** – Who does it? Public or private?	**Response –** Are there rules about who can be evacuated by whom, such as women in purdah? Where they can live safely when there are social divisions? **Recovery** – Legal restrictions on debris & flood cleanup? Infrastructure repair? Asset recovery? **Assistance** - Accessible?

Sector: Assets/Livelihoods

Exposure	Infrastructure and Ecosystems	People and Organizations	Legal and Cultural Norms
Stresses – economic downturn, legal changes, disasters, business disaster

Shocks – natural or civil disaster, fire, floods, earthquake | **Economic activities (e.g. livelihoods**) – Types utilized? Consistent or intermittent availability? Accessibility? Availability & accessibility during disasters? Alternatives?

Support systems – government or private sources of temporary economic support or disaster recovery?

Savings systems – are there systems for savings? Can money be retrieved in the event of disasters?

Markets/stores – Accessible? Affordable? Key supplies available (food, water, first aid items, condoms, soap, etc.)? | **Economic activities (e.g. livelihoods**) –Skills needed? How diverse are people's income sources? Do they have support systems (relatives, government programs, flexible employers, etc.)?

Remittances from other places? How far away?

Borrowing money – To meet basic needs (e.g. food, water, health services, education)? Other reasons?

Saving – Do people save or invest any money? If so, when & why?

Debt – Are the majority of people in debt? If so, why? | **Economic activities (e.g. livelihoods**) – Gender-specific? Accessibility? Availability & accessibility during disasters?

Markets/stores – Accessible? Affordable?

Alternative livelihoods – are they socially acceptable – (Day labor? Informal market? Indentured labor? Drug selling? Sexual exploitation? Sex work?) |

Sector: Ecosystems

Exposure	Infrastructure and Ecosystems	People and Organizations	Legal and Cultural Norms
Drought	**Forests** – healthy? Fire prone? Do they continue to conserve soil and water	Who manages the important ecosystems? – Locally, nationally? Have sufficient resources?	**Ecosystem services** – Access for different groups? Conflict resolution mechanisms?
Floods			
Fire	**Fisheries** – stable? Productive? Sustainable?	**Resource conflict** – are there unresolved conflicts over resources?	
Disease			
Agricultural pests	**Soils** – maintained? Productive?		
Overuse/ Overexploitation of resources	**Water** – stable, increasing or decreasing groundwater and surface water? Polluted? Reliable irrigation? Reliable rainfall? What are expected effects from climate change?	**Authorities** – do government authorities have jurisdiction over the ecosystems they depend on?	
Population pressure/ urban growth			
Pollution			

5. IDENTIFYING STAKEHOLDERS

Understanding and addressing the challenges of urban scale, complexity and resources requires applying systems thinking in our analysis and planning. Responding to these challenges requires a greater need to integrate with existing governance processes and the successes of other organizations. Doing this effectively requires networking and building relationships outside the RCRC.

Challenges with scale:

The multi-scale nature of city problems requires multi-level engagement with stakeholders with potentially different mandate and coverage: Provincial/city and community levels.

Provincial/city level engagement: The stakeholders at this level will be local governments/municipalities, provincial city authorities, national disaster management organizations, international organizations (IFRC, and others such as World Bank, ISDRR, UNICEF) INGOs, predominant local NGOs, universities and research institutions, professional associations (such as chambers of business, architects, engineers).

This level of networking will focus on locating partners that can help the RCRC see the big picture at a city level, understand spatial and demographic distribution of vulnerabilities, and more importantly it's root causes, opportunities for addressing those causes, and the players that can help do that.

Community level engagement: This phase of engagement will be building relationships with the stakeholders at the local level that have the skills and contacts to complement RCRC capacity and solve the problems/challenges in the specific geographical areas identified as a result of the city level engagement described above.

Throughout the project, stakeholder engagement process should capitalize on existing relationship that the RCRC has with government and other humanitarian or development organizations, and use those existing relationships as stepping stones to build new relationships.

Modes of stakeholder engagement:

In cities, solving problems often means drawing in organizations with skills and abilities in different areas beyond those of any single organization. The RCRC has an important role in resilience building in acting as a convener and activating networks. One of the key principles of resilience is about building relationships and expanding external networks. One of the best practices of RCRC National Societies who are successful in working in urban areas is that they are good at building and using networks. Network building is the essential founda-tion from which partnerships with other organiza-tions (including government) are built.

- Engaging with Networks: At the most basic level, the project leadership team (RCRC staff and community leadership) must know who its potential partners are, understand the mandates and spheres of influence of different governmental and non-governmental organizations, and share information with them regarding areas of common interest (informing the Ministry of Health of community health concerns; sharing Community Disaster Plans with the National Disaster Management Agency, etc.) Networks may be formal or informal, and a community or RCRC Society may lead or follow. The important thing is to find out where important decisions are made that affect the community and to make sure community voices are included in those decisions.

- Convening/Deliberation (collective decision-making): While we often think of networks as large collections of diverse organizations, often what is needed is simply to get the right people talking to each other and finding common ground. Sometimes, just gathering two to three people in a room for conversation can do this on a small scale. For example, local university staff may have technical knowledge that community members or RCRC staff can use to better understand

the situation and what is likely to help. Or, it may only be necessary for RCRC staff to put the university professor together with decision makers from the local authority to get the community what it wants.

- Partnership development: When the project leadership team identifies challenges for which it has neither the capacity nor the resources, building partnerships with organizations sharing common goals or priorities is often the most efficient and effective solution (e.g. sharing security concerns with the police, discussing domestic violence with the corresponding non-governmental organi-zations, etc.). Red Cross interventions should aim to build the community's ability to connect with external actors who are able to provide support and/or services when needed.

- Advocacy campaigns: At times, sharing information is not sufficient, due to other priorities or limited resources. The project leadership can support a community in an advocacy campaign on a topic of particular importance, for instance approaching local or national political leaders with a formal request to address the need for an improved access road to the community.

  Advocacy is a series of planned activities (not a unique event), based on the construction of relations with allies (actual or potential) and decision makers, focusing on a very specific issue and limited goal. It is a fluid process, evolving according to the reaction of the target audience, and does not need to be confrontational.

Ongoing Learning to Build Resilience

A core element of building resilience is learning. Building resilience is a long-term project with many players involved. It involves working first with the community, but also in building networks and initiating interventions across multiple sectors. What constitutes resilience is highly dependent on the hopes and dreams of the community and on local conditions and vulnerabilities. All of these factors change over time in response to adaptation and to changing external conditions (such as climate change or ongoing urban development). In light of these constant shifts and changes within the community and in the broader context that the community engages with, attention to ongoing learning is extremely important.

Balancing the needs of the community, interests and expertise of potential partners and possible multi-sector interventions could leave a Red Cross facilitation team pulled in many directions. It is important to state up front that resilience building is not about doing everything. Instead resilience building is about starting somewhere, learning from the experience, building in other elements, and then iterating throughout those learning and growing cycles. Successful leaders in resilience projects are those that know some things will not work, but that there is still valuable learning to be gained from evaluation and reflection. Successful resilience projects are those that build in iterative opportunities for reflection, evaluation, and learning and then utilize that knowledge to address changing vulnerability and take advantage of new opportunities as they arise in successive phases of the project .

The Red Cross has existing mechanisms for organizational learning, so there is little need to draw them out here. Additionally, what is important in resilience building is the Red Cross and the community collaborating, tracking resilience gains and gaps, and taking the time to reflect on and learn from this together. Community engagement in learning is important so that the community can assess independent of the Red Cross where they are, where they want to be, and develop strategies that will continue to function beyond the scope of the Red Cross engagement.

CASE STUDY

NAIROBI, KENYA Fighting Fire: Convening Stakeholders
to Solve Tough Problems

Kenya Red Cross

In Nairobi, Kenya, 60% of the population lives in informal settlements, areas with no legal recognition and no city services. One of the major hazards in these densely populated areas is fire.

Consultations with local residents, administrative officials and the Fire Department revealed common causes for these frequent fires include illegal connections to the electrical system, landlords who commit arson in an effort to evict tenants, and domestic disputes.

To make the situation more complicated, fighting these fires is difficult since the paths through the informal settlements are too small for fire trucks, and the lack of city water sources makes it difficult to fight fires even when access is available.

This complicated situation is difficult for any single organization to solve. So the Kenya Red Cross Society (KRCS) brought together a variety of important players to seek to reduce the risk from fire. The result was the creation of several different groups and consultations.

Fire Fighters Forum — The first success was achieved at national level. KRCS convened a meeting of major players in responding to fires: The National Disaster Operations Centre, the Ministry of State for Special Programmes (under the Office of the President), the National Youth Forum, Kenya National Fire Brigades Association, private sector fire fighting companies, KRCS staff, and others. This group came together to discuss the issues and

seek solutions, not just in Nairobi but across the country. The group developed two major programs. First, the group established Fire Awareness Week. This event is nationwide, and takes place every August. It raises awareness among the general public of the causes of fires and how to prevent them. The second is the development of a "Kenya Fire Safety Manual," produced in 2011. Using clear illustrations and clear language, it reviews causes and responses to fire, what to do if there is a fire, preparing for fires through training, marking exits, and fire drills. It also includes important emergency numbers.

The Fire Fighters Forum continues to meet quarterly, and serves as a platform for discussion of these difficult issues.

Neighborhood Fire Risk Reduction — Second, KRCS Nairobi Branch organized local forums across informal settlements in Nairobi to discuss the problem of fire. The first forum brought together local administration, Members of Parliament, and other county representatives to discuss the problem. This consultation confirmed the diagnosis of the problem that earlier consultation had suggested. This group made several recommendations, and asked KRCS Nairobi Branch staff to follow up with further convenings.

Nairobi Branch staff next brought together local leaders in informal settlements where they had been working to discuss these recommendations and come up with a plan. Branch staff and

volunteers convened local administration chief, elders, and local volunteers. This group agreed that a forum was necessary to engage the county administration, political leadership, and community representatives to share and seek political will toward fire risk reduction. The assistant chief agreed to convene three groups:

- Community team leaders, Nairobi Branch volunteers, county representatives, and the local administration

- Local electricity suppliers (who set up the risky connections), community leaders, Nairobi Branch volunteers, County Fire Department, and representatives of the electricity utility (Kenya Power and Light Company)

- School and business leaders to set up fire fighting equipment and training

These groups are not dealing with the difficult issue of extending city water pipes or KPLC electric connections to an informal area, or reconstructing paths inside them to allow entry of fire trucks, or to enforce building codes designed for the formal sector. Instead, they are working with existing informal system of electricity supply by training local suppliers in how to make safer connections, getting commitment from the chief and local youth to disconnect unsafe connections, and ensuring that fire extinguishers and sirens are distributed throughout the settlement to reduce risk even when fire does break out.

In this way the risks from a large and complicated problem are reduced by local action and convening of the necessary players to achieve a consensus that works for all. The main tool used by KRCS was convening – bringing together relevant stakeholders and helping them seek solutions together that are beyond the capacity of any single group.

CITY/NATIONAL IMPACT

INFRASTRUCTURE AND ECOYSTEMS	PEOPLE AND ORGANIZATIONS	LEGAL AND CULTURAL NORMS	EXPOSURE
	KRCS convened major players involved in firefighting at the national level	Establishment of "Fire Awareness Week" Development and dissemination of "Kenya Fire Safety Manual"	Fires in informal settlements

LOCAL IMPACT

INFRASTRUCTURE AND ECOYSTEMS	PEOPLE AND ORGANIZATIONS	LEGAL AND CULTURAL NORMS	EXPOSURE
Groups formed as a result of convening worked with school and business leaders to set up fire fighting equipment and training in informal settlements. Fire extinguishers and sirens were distributed throughout the settlement to reduce risk when fire does break out.	KRCS Nairobi Branch convened groups to bring together different players from informal settlements, electrical utility representatives, local administration, schools and businesses to discuss solutions. Local suppliers were trained in how to make safer electrical connections.	The chief and local youth committed to disconnect unsafe electrical connections.	Fires in informal settlements

CASE STUDY
GORAKHPUR, INDIA Mahewa Ward Drainage

ISET-International

In 2010 the Gorakhpur Environmental Action Group (GEAG), as part of the Rockefeller Foundation Asian Cities Climate Change Resilience Network, began a ward-level resilience project in the Mahewa ward, an informal, low-income community in Gorakhpur, India.

Historically, GEAG has worked in rural settings, and has experience organizing rural peoples to come together, talk, work through issues and take action. In the Mahewa ward, however, GEAG found there was little social capital and low social cohesion within the community. To begin an urban engagement there, GEAG had to first talk with community members to identify priority issues there. In these initial discussions, three issues rose to the fore: Sewage/Drainage, Drinking water, Health, Climate resilient agriculture, Solid Waste Management and Housing. These issues had been identified previously in a citywide vulnerability assessment, and were echoed in Mahewa at the local scale.

Using these issues as the catalysts for engagement, GEAG worked with the Mahewa community to build a ward-level framework for governance to deal with these issues. The community formed committees to work on local priorities. Representatives from these committees came together to form a ward level committee that functioned far better than the official ward administration. Taking as a priority the challenge of poor drainage and flooding, the group diagnosed the cause as the lack of municipal waste collection; uncollected waste tended to end up in the drains. Then when it rained, the water backed up and flooded the whole area. GEAG worked with the community to set up a composting system for organic solid waste, which comprises about 90% of household waste. In parallel, GEAG assisted the community to clear and plant empty spaces, which also allowed flood waters to disperse more easily. Compost from the project provides fertilizer for the fields.

The community-led committees and GEAG successfully lobbied the city government to expand and build on their effort using the results of their efforts as demonstration. Their success was in due both to having assembled a "critical mass" of citizens willing to speak out on their own behalf, and to having clear, easily implementable service requests. GEAG is now using the combined results of community and city involvement to disseminate and replicate this approach in other wards around the city.

CITY/NATIONAL IMPACT

INFRASTRUCTURE AND ECOYSTEMS

Drainage, solid waste disposal, and urban agriculture approaches piloted in Mahewa ward are being implemented in similar communities throughout the city by both GEAG and the municipal government.

Improved drainage decreases flooding, protects water supply, and reduces disease outbreak wherever these systems are improved in the city.

PEOPLE AND ORGANIZATIONS

GEAG, a leading local NGO, developed new skills, committees, and approaches for engaging urban residents.

The capacity of municipal government to fulfill its mandate around solid waste disposal and infrastructure installation and maintenance was increased.

LEGAL AND CULTURAL NORMS

City governance systems for delivering services were strengthened and extended to neighboring wards.

City government was strengthened through increased, direct community engagement.

Citizens established a norm of asking for and getting city services.

EXPOSURE

Through replication of this action in other city wards, city flood risk is reduced and food security is increased throughout the city.

LOCAL IMPACT

INFRASTRUCTURE AND ECOYSTEMS

New community-led systems were created to handle solid waste, improve drainage conditions and provide livelihoods options.

Improved drainage reduces flooding, protects water supply, and reduces disease outbreak.

Local agriculture increases the diversity and flexibility of sourcing food and provides additional livelihoods options.

Open fields provide space for floodwater ponding during the inevitable flood events that cause drains to overflow.

PEOPLE AND ORGANIZATIONS

Project actions increased community social cohesion, which increased community capacity for self-advocacy.

Project participants learned new skills for setting up and maintaining drainage, composting and agriculture systems.

Project participants learned new skills for influencing local politicians and decision-makers.

LEGAL AND CULTURAL NORMS

Frameworks and processes were put in place to organize the Mahewa community members; these can be used to support other community projects moving forward.

A culture of self-advocacy was created within the community.

EXPOSURE

Flood risk in the Mahewa ward was reduced by improving drainage and increasing open space.

This document provides materials for the planning and delivery of a workshop to engage with stakeholders and, using systems thinking, to begin an urban assessment. The overall goal is that this will be one of the first steps to developing integrated programming at the community level to build overall urban resilience.

Stakeholder engagement is a core component of a preliminary urban assessment. Both people in vulnerable communities AND the people who provide, design, maintain, and make and enforce policies about access to services and resources have key perspectives on community and city vulnerability. Only by enabling dialogue with and between people from both groups, and with people working at the community but also the city, regional, and possibly national scale, can you really begin to identify opportunities for RCRC action that will build city-wide resilience.

The other three core components of a preliminary urban assessment are:

- Using systems thinking to analyze risk and vulnerability,

- Appling systems thinking at multiple scales so that you understand not just the issues within a given vulnerable community, but also the causes and implications of that vulnerability at the city and possibly national scale,

- Using mapping and secondary sources to support your assessments at the city, regional and national scales and communicate to other stakeholders the importance of your findings.

In the stakeholder engagement workshop outlined here, all four of these components are introduced and used to explore community and city-wide vulnerability and the opportunities for action.