



German Red Cross Scoping Study

Humanitarian Assistance in the Urban Context

Analysis of Phase 1 Mapping Exercise

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James Schell, IMPACT Initiatives

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Introduction

- This document **summarizes findings from the Phase I of the Humanitarian Assistance in Urban Areas scoping study.**
- This summary document is **accompanied by a separate excel document**, detailing all documents (reviews, resources, tools, manuals) reviewed as part of this initial mapping exercise.
- **Whilst the mapping process is extensive, it is not exhaustive and does not cover all existing guidelines or tools. Rather, attention has been directed towards resources that may have particular relevance to the German Red Cross (GRC) and partners**, through providing a summary of the resource and, when relevant – listing potential implications or recommendations for GRC.
- **Further data will be gathered during the next phase of this scoping study**, whereby specific National Societies (NS) will be consulted, and, based off the findings of this initial mapping, the priorities, capacity gaps and strengths of each NS will be identified.

Summary review of findings and observations

A growing evidence base: In response to increased demand, the degree of literature, tools and guidance is growing to inform urban humanitarian response. This is most evident in the last five years - whereby the original strong demand for increased guidance on humanitarian response in urban areas arose notably from the earthquake in Haiti and saw numerous reviews from 2010. From the mid-decade, an increasing number of humanitarian agencies and initiatives had commenced developing, or adapting existing tools to urban contexts.

Leading the way with context analysis and urban profiling: Currently, the quantity of literature, tools and guidance related to understanding the urban context, both generally, and in contexts of crisis, is significantly larger than the quantity of (publicly available) tools and guidance related to urban response operations – whether they be sector/led or multi-sectoral. Noting this, tools and guidance related to technical and thematic programming are regularly being released to add to the knowledge-bank.

Adapting what exists and learning through experience: Guidance, tools and manuals continue to be developed, often by agencies and increasingly through networks and inter-agency initiatives. Whilst increased tools and guidance adapted to the urban contexts are both needed and incoming. However, rather than awaiting additional tools and guidance, a strong body of knowledge exists and GRC and NS partners are encouraged to actively utilize the existing knowledge base and further hone skills by direct field experience and implementation. This in-turn highlights the importance of proactively sharing learning and communities of practice.

Communities of practice / networks: At this initial mapping stage, a total of 23 urban related networks / platforms were identified and reviewed. Many of these networks, and by extension their membership base, are proactively developing tools and guidance for wider application. However, their clear value-add is in 1. Capturing and sharing / disseminating knowledge and 2. Providing platforms to partnership development and networking – both within the traditional humanitarian sector, and increasingly required in urban crises – with additional stakeholders including local authorities, the private sector and academia.

Evident thematic priorities: Through reviewing a significant number of resources, a number of key thematic priorities / approaches are evident in ensuring effective preparedness, response and recovery in urban humanitarian contexts, including, but not limited to:

- **The use of Cash Based Interventions (CBIs) as a response option in urban contexts is clear.** Utilising CBIs implies the presence of active markets which is inherent in urban contexts. With advances in technology, there are various cash modality options available to agencies to pursue according to the context. CBIs are increasingly considered the default modality and are increasingly applied in most sectoral interventions.
- With regards to urban WASH, shelter and livelihoods programming modalities, reviewed literature highlights the need for a complementary approach to **provision of essential services when needed, whilst increasing the focus on enabling support**, whether through capacity strengthening of local partners (listed further below), advocacy or other approaches.
- To operationalize the above, **strengthening partnerships with local authorities** in urban contexts is critical in all phases of crises and can include various response options focused on capacity strengthening, through dedicated technical support, secondments, training, peer-to-peer missions and other modalities.
- **Informality is common-place in urban contexts** (relating to residence, service provision and livelihood opportunities). Humanitarian actors and programs must acknowledge this and utilize these existing systems to support affected populations
- **The increasing prevalence of every-day crises.** Building on the above, the standards of living (e.g. indicators of morbidity, health, income, education, residence status, access to services), of those residing in informal urban settlement may not be dissimilar to humanitarian crises. Further, when crises do impact these settlements, the impacts are compounded. This points to the need to prioritize interventions wherever possible to those residing in informal urban settlements.
- **Applying an area based approach:** An increasing amount of literature and reviews highlights the use of applying area based approaches (ABAs) in urban contexts. Predominantly an urban planning methodology, ABAs are considered relevant in urban contexts through applying four principles: geographically targeted; multi-sectoral; inclusive (of all population groups); and participatory (of all operational actors) in urban preparedness, response and recovery contexts.
- **Targeting and fluid communities:** Whilst acknowledging the above, the concept of ‘communities’ in urban contexts remains fluid – with communities existing according to culture, livelihoods, interest etc. Responses deliberately targeting a specific group (e.g. street vendors, taxi-drivers, school teachers etc) can also serve as useful entry points to reach and impact broader population groups within cities.
- **Conflict:** Acknowledging the nature of crises predominantly in the Middle East and North Africa and in parts of East, Central and West Africa, an increasing body of literature and guidance is being released, specifically focused on urban humanitarian response in contexts of conflict. A key message in literature highlights the need to support service provision, often relation to a combination of municipality or city infrastructure and system repair, complemented by direct service provision to affected populations.
- **Displacement:** A significant number of tools and resources have been developed specifically for contexts of displacement (refugees and IDPs). Tools and guidance however, may require further adaptation to be utilized in sudden onset crises.
- **Advocacy & communications:** Whilst not listed as an explicit theme or modality, key messages pertaining to strengthened advocacy and communication initiatives are regularly cited. Advocacy recommendation include those targeted towards donors (for increased funds), national and local governments (in relation to access, service provision etc), and humanitarian actors themselves.

Methodology

- This first phase mapping exercise identified and reviewed a total of **132 documents**, comprised of reviews, case studies, tools and guidance.
- A further **43 entities** were included, comprising of networks & platforms, donor initiatives, private sector entities and training service providers and courses.
- Findings have been presented in two ways:
 1. **This synthesis report**, which extracts key observations from: the overall exercise; within each thematic focus; and according to external platforms, donors and service providers
 2. **The accompanying excel document**, which lists all reviewed sources and is formatted according to the above-mentioned structure.
- In the accompanying excel document, findings of the mapping exercise in have predominantly been delineated according to:
 - Organisation
 - Title / name of document
 - Type (tool, guidance, review)
 - Description & notable inclusions
 - Year of publication
 - Thematic Focus
 - Relevance per phase (preparedness, sudden on-set response, protracted crises, response, recovery)
 - Potential relevance for GRC
 - Source (URL)

Summary analysis on Programming / Thematic Focus

Documents were reviewed according to a thematic focus, which has been split according to:

1. Context Analysis / Assessment / Profiling
2. Response Analysis
3. Cash Based Interventions
4. Food Security & Nutrition
5. WASH
6. Livelihoods
7. Shelter & Settlements
8. Housing, Land & Property
9. Area Based Approaches
10. Health
11. Protection
12. Education
13. Localisation & engaging with Local Authorities
14. Urban conflict / violence

A short analysis has been drafted below for each thematic focus, noting:

- Key observations and whenever evident, potential recommendations or implications for GRC and NS partners
- Notable guidance, tools or literature

Context Analysis / Assessment / Profiling

- **There has been much rhetoric focused on better understanding the urban context and the city systems existing within.** These calls have predominantly been answered over the recent 5 – 7 years with a large swathe of tools developed, either by individual agencies and/or through partnerships, consortia or inter-agency initiatives.
- **However, this speaks predominantly to risk assessments and context analysis.** Many tools (JIPS' Urban Profiling, UN-Habitat's Neighborhood and City Profiling, IRC's / Stronger Cities Initiative Urban Context Analysis Toolkit) are predominantly focused on context analysis, vulnerability assessments and profiling in urban contexts, rather than supporting rapid urban post disaster needs assessments.
- **These profiling and vulnerability / risks assessments remain most useful for preparedness, recovery and often in protracted crisis.** However, they can also take significant time and resources and may not have an explicit plug-in to the humanitarian operations in a sudden onset, for example into the Humanitarian Needs Overview (HNO), or Humanitarian Response Plan (HRP).
- **Tools and guidance available for assessments in sudden onset disasters in urban contexts are more limited.** The Inter Agency Standing Committee (IASC's) Multi Cluster/Sector Initial Rapid Assessment (MIRA) represents the predominant OCHA/UN led rapid assessment process in post-disaster contexts, however this has not been developed for urban contexts. A technical guidance sheet or analysis on its adaptation in urban contexts may be well received.
- **Noting the centrality of CBI in cities and towns, numerous resources reiterated the importance of ensuring a market assessment is included in any assessment in urban contexts** (whether single- or multi-sectoral; or in preparedness, response, recovery phases). The Cash Learning Partnership (CaLP), amongst others, have developed tools adapted to urban contexts
- Acknowledging the above, **a number of tools could be utilized by GRC partners in contexts of risk reduction in targeted cities / settlements of significant vulnerability, fragility and everyday crises** (eg informal urban settlements; and in Recovery and reconstruction phases. These are listed in the annexed mapping.

Selected inclusions:

Organisation	Title	Commentary
Stronger Cities Initiative	Urban multi-sector vulnerability assessment tool (UMVAT)	<ul style="list-style-type: none"> • The guide has been developed for humanitarian responses in urban environments affected by displacement • It includes a full accompanying toolkit a multi-sector questionnaire, with guidance and tools which can guidance and tools can be applied in protracted and rapid onset disaster contexts.
Save the Children	Urban Situation Analysis: Guide and Toolkit	<ul style="list-style-type: none"> • The guide has been designed to help staff and their partners assess the urban realities and complexities that directly impact children and their communities • A Useful tool in urban informal settlements or highly vulnerable location, or protracted displacement, rather than in contexts of sudden onset disasters
JIPS	Guidance for Profiling Urban Displacement Situations: Challenges and Solutions	<ul style="list-style-type: none"> • Aims to highlight the multiple logistical, political, and security challenges and best practices relevant for practitioners planning profiling exercises in urban settings. • This is not intended as an exhaustive guide but useful for GRC partners to apply when considering gaining an important understanding in urban contexts
ALNAP	What's Missing? Adding context to the urban response toolbox	<ul style="list-style-type: none"> • Explains the importance of understanding contexts in urban centres and provides a very useful review of numerous agencies' context analysis tools. • Note the Stronger Cities Initiative also undertook a comprehensive mapping of various tools – further discussed in the annexed mapping.

Response Analysis

- Following suit from urban assessment, profiling and context analysis, there is an **increasing amount of resources available on urban response analysis**.
- Despite often an increasingly strong, evidence driven knowledge base, the **response analysis process to inform decision making is often not systematized**, and heavily influenced by & organizational strengths and limitations, donor preferences etc. As the Stronger Cities' Initiative alludes – there remain challenges about how to apply this data to inform multi-sectoral response analysis – and subsequent response priorities.
- Recently developed processes and guidance though, are **attempting provide more rigor in this process**, including the Stronger Cities Initiative's Urban Response Analysis Framework. An ODI / HPN review also provides a useful set of response analysis tools. Whilst it has not been written from an urban perspective and is predominantly focused on food security and livelihoods perspective, it does provide some useful guidance and tools.

Selected inclusions:

Organisation	Title	Commentary
Stronger Cities Initiative	Urban Response Analysis Framework	<ul style="list-style-type: none"> • Aims to support the identification of appropriate multi-sector responses for urban programmes. • Whilst more targeted towards contexts of urban displacement, it could be modified to more sudden onset urban response as finding remain relevant for most urban disaster typologies. • Provides a useful summary response options framework (pg 43)
ODI / HPN	Response Analysis and Response Choice in Food Security Crises: A Roadmap	<ul style="list-style-type: none"> • Provides a useful set of response analysis tools - predominantly for food security and livelihoods related programming • Although not created specifically with the urban context in mind, the tools could be cherry-picked and adapted as needed, especially if a thematic focus on food security.
Practical Action	Community based urban planning toolkit (CBUPT): A step-by-step approach to community based urban planning and development in Zimbabwe	<ul style="list-style-type: none"> • The CBUPT documents key processes, steps and tools that strengthen participatory urban planning to improve service delivery in urban and peri-urban areas, building on experience from Zimbabwe. • Useful if anticipating a longer term presence in a vulnerable urban context and undertaking initial steps to ensure collaborative programming.

Cash Based Interventions

- **The use of Cash Based Interventions (CBIs) as a response option in urban contexts is clear.** Utilising CBIs implies the presence of active markets which is inherent in urban contexts. With advances in technology, there are various cash modality options available to agencies to pursue according to the context.
- **Complementing this, there is an increasing knowledge base on the application of CBIs in urban contexts.** Most notably the Cash Learning Partnership (CaLP) has developed useful tools and guidance for urban contexts, in addition to the International Institute for Environment and Development (IIED). The Urban Good Practice review also focuses on the importance of CBI and includes a useful decision tree in relation to using cash¹.
- **Literature reviewed² also highlighted that CBIs must be well informed and guided by a thorough market assessment – which should be undertaken prior to any CBI programming.** If no assessment has been undertaken, there is a risk the CBI can create artificial inflation and impact the demand, availability and access to markets. To reduce this risk, the research recommends undertaking market assessments, for example of the rental market, construction markets and supply chains.
- **CaLP’s toolkit review³ also highlights a number of key principles when implementing CBIs,** a selection including:
 - Building trust with other urban stakeholders through partnerships and collaboration is key, especially in relation to government, which can act as both facilitator and gatekeeper of cash transfers
 - Advocacy is an essential programming tool. Advocacy around the use and benefits of cash transfers, for instance to host governments, can lead to more effective programmes and wider coverage.
 - Combine cash transfers with other forms of support to meet basic needs, promote livelihoods and increase access to basic services (often referred to as cash plus).
- **The increasing relevance of CBIs in urban contexts and the strengthening experience of humanitarian actors implementing & specialized service providers reiterate CBIs as a recommended response option for GRC and partners,** which could be undertaken in consortia with agencies specialized in CBIs or through consortia (including Cash Working Groups and the Collaborative Cash Delivery network). Complementing this, with the IFRC’s increasing expertise in CBI, an increased knowledge base and technical support will be available within the Movement.

Organisation	Title	Commentary
CaLP	Cash Transfer Programming in Urban Emergencies	<ul style="list-style-type: none"> ▪ The toolkit promotes a variety of options for implementation that reflect the multisectoral and multi-disciplinary nature of cash transfer programmes. ▪ All tools described in this toolkit are adapted from urban projects. ▪ Useful and clearly written document unpacking the overall program cycle with accompanying tools in urban based cash programming.
IIED	A review of evidence of humanitarian cash transfer programming in urban areas	<ul style="list-style-type: none"> ▪ Quite a comprehensive review of CBI in urban areas, unpacking the rationale; various stages, risks, conclusions and further recommendations ▪ A useful document for GRC to review if intending to scale up CBI in urban areas. ▪ In addition to unpacking opportunities and challenges, the document lists technical capacities needed, research gaps, and the glossary lists various cash based interventions
IFRC	Guidelines for cash transfer programming	<ul style="list-style-type: none"> ▪ A foundational guidance document for within the RCRC Movement, which unpacks all steps and associated guidance and tools to implement cash transfer programming.

¹ Urban Good Practice Review – pg 96

² Including the Urban Good Practice review and ALNAP

³ CaLP’s Cash Transfer Programming in Urban Emergencies toolkit

- Although not intentionally developed for urban contexts, the principles & steps remain relevant and the set of CBI response options are particularly relevant to review for their application in urban contexts.

Food Security & Nutrition

- Similar to other thematic priorities, **a growing amount of literature developed at both individual and inter-agency initiatives is being developed** targeting food security & nutrition in urban areas. However, from an operational guidance perspective, there remains relatively little guidance.
- **Especially in urban areas, food security and nutrition programming is closely linked to CBI**, which can utilize the services of vendors, market places, local food supply and transport.
- In terms of forthcoming tools and guidance, notably, **the Global Food Security Cluster ran an initiative from 2014 – 2018 – ‘Adapting to an urban world’**, to identify vulnerability indicators (predominantly for food security) in urban contexts to inform food security programming – examples include Kinshasa, Mogadishu, Port au Prince, Beirut and others. Guidance should be released by end 2019.
- With regards to existing guidance, and useful reviews, **Oxfam Great Britain and Action Against Hunger** have completed various reviews and guidance to inform strengthened programming. Additionally, **UNHCR’s Emergency handbook** lists useful guidance on food security for refugees and asylum seekers in urban contexts.

Selected inclusions:

Organisation	Title	Commentary
gFSC / WFP	'Adapting to an Urban World'	<ul style="list-style-type: none"> ▪ From 2014-2018, the World Food Programme (WFP), the Global Food Security Cluster (gFSC) and a number of partners, led an initiative called 'Adapting to an Urban World', which sought to better understand the nature of vulnerability and food insecurity in urban environments. ▪ Includes numerous strong examples available in the website tackling food insecurity but also looking broader into vulnerability and essential needs at a household level. ▪ Once publicly available hopefully by end 2019, the guidance will be useful reference material for GRC and partners
UNHCR	Food Security in Urban Areas	<ul style="list-style-type: none"> ▪ Part of UNHCR's Emergency Handbook, with a dedicated focus / module on food security in urban areas. ▪ Recommended guide to refer to when considering response options and approaches - albeit designed to target refugees and asylum seekers, the guidance is applicable to good practice in urban contexts
Oxfam GB	Emergency Food Security and Livelihoods Urban Programme Evaluation	<ul style="list-style-type: none"> ▪ A comprehensive review / evaluation of three urban food security programs - Nairobi, Haiti and Gaza. ▪ Strong evaluation from three different urban contexts, of which lessons identified remain relevant and can inform GRC urban programming

Water, Sanitation & Hygiene

- **The WASH sector has seen an increased prevalence of tools, reviews and guidance over recent years**, predominantly led by sector networks including the WASH cluster and the Sustainable Sanitation Alliance (SuSanA).
- With regards to urban WASH programming modalities, reviewed literature⁴ highlights the need for a complementary approach to **provision of essential WASH services when needed, and to increase a focus on enabling support**. Such the focus on support to local / existing water & sanitation capacity – often relating to increasing the support of local engineers or city authorities, through the provision of technical support (such as secondments), repairs to infrastructure and strengthened coordination with local actors. Further, **hygiene promotion remains a critical but due to fluidity and diverse community groups in urban contexts**, this brings its own challenges – schools are considered an important entry point for hygiene promotion programs.
- **Pertaining to the development of tools and guidance**: Oxfam has developed some specific WASH urban guidelines in the last year. UNHCR’s Emergency Handbook is also particularly relevant and the Community Led Total Sanitation (CLTS) approach has recently developed a toolkit for application in urban contexts.

Selected inclusions:

Organisation	Title	Commentary
Community-Led Total Sanitation	Innovations for Urban Sanitation - Adapting Community-led Approaches	<ul style="list-style-type: none"> ▪ A complete toolkit focused on community led total sanitation (CLTS) in urban contexts. ▪ CLTS is a well-regarded approach in strengthening sanitation & subsequent hygiene practices in rural contexts. The guide unpacks this approach and its use in urban contexts.
OXFAM and WASH cluster	WASH Guidelines in Designated Emergency Shelters and Urban Displacement in the Gaza Strip	<ul style="list-style-type: none"> ▪ This manual contains training materials and handouts collected from previously developed manuals and guidance written in annexes section. The contents were modified to set with Gaza context in order to enable facilitators to rapidly prepare training for different levels of hygiene promoters, community mobilizers, and field workers. ▪ Developed explicitly for predominantly individual and household WASH initiatives in congested areas (eg collective centres). Although developed in the Gaza context, the guideline can be readily adapted to other urban crisis contexts.
UNHCR	Emergency Handbook: WASH in urban areas	<ul style="list-style-type: none"> ▪ Recommended guide to refer to when considering response options and approaches - albeit designed to target refugees and asylum seekers, the guidance is applicable to good practice in urban contexts

⁴ Including: Sphere in Urban Settings, Urban Good Practice Review, RedR WASH consultation report

Livelihoods

- Notably for livelihoods, **a limited amount of tools and guidance available tailored for the urban context.**
- **That being said, especially in urban areas, livelihood programming is inherently interlinked with CBI**, and as such, recent increased reviews and guidance has been directed towards CBIs due to its cross-cutting impacts on livelihoods, health and education.
- Clear recommendations from reviewed literature highlight that **wherever possible, all livelihoods interventions should consider how to use and/or support local markets**, which in-turn links to supporting a cash based economy.
- A number of useful resources do exist - as listed below and in the mapping annex.

Selected inclusions:

Organisation	Title	Commentary
Stronger Cities Consortium	Integrating livelihoods and protection for displaced persons in urban humanitarian response	<ul style="list-style-type: none"> ▪ This guidance note provides core principles that practitioners can follow when aiming to integrate livelihoods and protection programming in urban humanitarian response, with a focus on supporting economic outcomes for affected populations. ▪ Its guiding principles are useful signposts in the development / design of livelihoods based humanitarian programming in urban areas.
Tufts University	Refugee Livelihoods in Urban Areas: Identifying Program Opportunities	<ul style="list-style-type: none"> ▪ The study analyzing the urban livelihoods context, and identifying programming opportunities and examples of promising program initiatives. ▪ In addition to a recommended focus on advocacy and communicating with affected communities, a list of potential response options are listed in the document. ▪ Whilst not explicitly in an urban post disaster context, the review was written focusing on refugees residing in urban areas, and includes a useful list of potential response options to target refugees and asylum seekers.
UNHCR	Promoting Livelihoods and Self-reliance Operational Guidance on Refugee Protection and Solutions in Urban Areas	<ul style="list-style-type: none"> ▪ Objective to provide guidance for UNHCR to advocate for and facilitate access to (and when necessary provide and/or support) quality livelihood services for refugees equivalent to those available to the national population ▪ The document list 9 principles of effective livelihoods programs targeting refugees and asylum seekers in urban contexts.

Shelter & Settlements

- A growing list of resources is available relating to shelter and settlements (S&S) in urban response contexts – including both **urban specific guidelines, case study reviews and toolkits**.
- As noted in the Sphere in urban settings review and other key literature, **S&S programming in urban contexts requires expertise in urban planning and design and knowledge of rights, regulations, laws and policies relating to housing, land and property**. An understanding of local housing and financial markets is also key.
- Similar to WASH programming, wherever possible, **market based solutions should be prioritized in urban contexts**. The private sector can play a role in delivering sustainable market-based solutions.
- **S&S in urban areas also often entail different response options**. Aside from commonly applied S&S response options, urban modalities related to the rental market are increasingly used, and often in the form of rental subsidies; shelter upgrades for landlords tied to rental subsidies for affected populations. Publications from the IFRC / SKAT and NRC / the Shelter Centre outline a number of urban S&S response options of use to operational actors.
- **Urban S&S programming is closely intertwined with area-based approaches**, especially when considering individual shelter repairs/reconstruction in addition to common infrastructure – pavements, roads, drainage etc. (area-based-approaches are highlighted further on).
- **Furthermore, urban S&S programming cannot be viewed in isolation with Housing Land and Property**. In informal slum settlements, residents have no, or informal agreements to reside and agencies engaging in shelter repair activities in these locations need to be aware of potential risks to populations. Further issues have occurred following sudden onset disasters such as Typhoon Haiyan whereby no-build or no-dwell zones following the storm surge were created on land previously resided on by occupants.

Selected inclusions:

Organisation	Title	Commentary
IFRC & SKAT	Sustainable Reconstruction in Urban Areas: A handbook	<ul style="list-style-type: none"> ▪ Developed by the IFRC and complementary with standard RCRC ways of working ▪ A comprehensive document which lists a range of shelter related response options for urban recovery ▪ Useful to shelter & settlement delegates or program staff working in urban contexts & to inform program design
NRC / Shelter Centre	Urban Shelter Guidelines	<ul style="list-style-type: none"> ▪ Provides guidelines to help practitioners with: defining and targeting the affected populations using and combining the 18 assistance methods deciding on standards. ▪ The guidelines provide an overview of: available profiling methods available; assessment tools and handbooks.
UNHCR	Emergency Handbook: Settlement and Shelter in Urban Areas	<ul style="list-style-type: none"> ▪ Part of UNHCR's Emergency Handbook, with a dedicated focus / module on settlements and shelter in urban areas. The portal has sub sections relating to: 1. Collective Centres, 2. Managing and supporting spontaneous settlements, 3. Managing construction and rehabilitation projects, 4. Rental accommodation strategy considerations, 5. Shelter in urban areas, 6. Settlement in urban areas, 7. Transit centres

Housing, Land and Property

- **Housing, Land and Property (HLP) remains a complex issue that cannot be solved in context of crises, yet can significantly impact the shape of response / response options in urban contexts.**
- As evident from reviewed literature, on urban displacement, the majority of the urban displaced live in informal settlements or in rental accommodation without formal ownership, lease and/or use agreements. Therefore, the risk of forced eviction and related forms of exploitation and harassment is a defining feature of their lives. Shelter and settlement assistance options for urban areas should address complex tenure situations and consider incremental tenure approaches for renters, informal settlers, squatters and others⁵.
- Within this thematic focus, **NRC, IRC (within the Stronger Cities Initiative) and the IFRC have developed useful guidelines and reviews** to assist humanitarian agencies navigate a complex and sensitive issue.

Selected inclusions:

Organisation	Title	Commentary
Stronger Cities Initiative	Security of tenure in urban areas	<ul style="list-style-type: none"> ▪ The emergence of new programming modalities in recent years, particularly in humanitarian shelter and legal assistance, has generated useful learning. This forms the basis for this guidance note which provides an overview of the key strategies for approaching tenure in urban humanitarian interventions. ▪ Within this frame, the document lists 9 key principles to consider in order to improve tenure security in urban humanitarian response ▪ Noting the prevalence of informal settlements in urban contexts - this represents a useful document to guide HLP and inform S&S programming in urban contexts.
IFRC	Rapid Tenure Assessment Guidelines for post-disaster Response Planning: Pilot Version	<ul style="list-style-type: none"> ▪ Designed to assist assessment of a country's housing, land and property sector, to ensure a more equitable, informed and consequently sustainable shelter response. ▪ The guidelines outline a series of questions / areas of focus to (relatively) rapidly gain an understanding on the tenure security context in a specific crisis.

⁵ Including Sphere in Urban Settings and NRC's Lessons from Baghdad

Area Based Approaches

- **Increasingly considered as an appropriate approach in complex urban contexts, area-based-approaches (ABAs)⁶**, are considered useful in preparedness / DRR, response and recovery.
- With an increasing evidence base being developed by practitioners and academia, advocates of ABAs argue that the current humanitarian architecture is built around sector-specific planning and short-term funding and programme cycles not appropriate in highly complex and dynamic environments, where best practices point to holistic, longer-term action and higher levels of engagement with sub-national actors
- **Misconceptions include that by following this approach, one agency becomes responsible for all response activities in a defined location / municipality** – thereby implying a significant investment of resources. Rather, the approach aims to start from an understanding of needs and capacities of all residing in that area, and for subsequent programming to be undertaken based on agencies' respective comparative advantages.
- **This way of working also points to the establishment of city and municipal coordination mechanisms in partnership with local authorities**, which are multi-sectoral in nature and align to local government area delineation.
- **The IFRC and various RCRC National Societies have both applied area-based-approaches and closely follow global dialogue and guidance development**, this knowledge and skill base could serve as a useful resource should GRC prioritize ABAs.

Selected inclusions:

Organisation	Title	Commentary
Stronger Cities Initiative	Urban area-based approaches (ABAs) in post-disaster contexts	<ul style="list-style-type: none"> ▪ This guidance note presents ten principles for enacting post-disaster urban ABAs. The principles are organised according to the project management cycle (assessment and design, implementation, and monitoring and evaluation)
Urban Settlement Working Group / Global Shelter Cluster	Settlement Based Approach Case study compendium	<ul style="list-style-type: none"> ▪ The compendium examines 30+ case studies of projects applying an area / settlement based approach to response / recovery in urban contexts ▪ Whilst not intending to inform operations, the executive summary / analysis provides useful guidance on the approach and is recommended background reading.
Inter-Agency Standing Committee (IASC)	Guidance Note for Coordination in Urban Crises	<ul style="list-style-type: none"> ▪ The guidance note recommends humanitarian stakeholders to support the operationalization of area-based coordination mechanisms operating at city and/or municipal levels, approaching coordination within a defined geographic area and adopting a multi-sectoral and participatory perspective. ▪ The guidance note attempts to link Area Based Coordination mechanisms to the establish humanitarian architecture and outlines a modality for this. ▪ As an IASC document it has interagency involvement (although it was not endorsed)

⁶ Defined by the following four principles: geographically targeted; multi-sectoral; inclusive (of all population groups); and participatory (of all operational actors),

Health

- Similar in relation to WASH, reviewed documentation stressed **also the need for humanitarian actors to play enabling roles in support health in urban humanitarian contexts.**
- As highlighted in the Urban Good Practice Review, according to the World Health Organization, the health impacts of urban disasters can be organised into four broad categories:
 1. Communicable diseases, exacerbated by population movements and overcrowding. 2
 2. Non-communicable diseases (NCDs), including lifestyle diseases (such as hypertension and obesity) and conditions needing long-term care (such as kidney disease requiring dialysis), exacerbated by disrupted access to medications. 3
 3. Mental health and psychosocial (MHPSS) disorders, created or exacerbated by trauma.
 4. Trauma due to external causes, such as falling buildings or electrocution

Health related response options to the **above health impacts should also attempt to play an enabling role as opposed to solely an individual or family based service provision role.**
- **The use of CBI in relation to health is also recognized.** In the instance that health services are operating, cash based assistance can support making health care affordable – not in replacement of, but to complement any direct health provision support.
- **The use of communications and technology is also identified as key in urban crises health programming.** As rumors and misinformation spread quickly in cities, technology and everyday communication channels can be utilised to immediately supply accurate information on healthcare and services.
- **UNHCR has developed a guidance to inform public health programming in urban settings for refugees and asylum seekers** – with a clear focus on advocating for refugees and asylum seekers to access the same services as the national population. A set of general principles have been listed – which can serve as a useful resource for GRC, although not necessarily explicit operational guidance.

Selected inclusions:

Organisation	Title	Commentary
UNHCR	Ensuring Access to Health Care Operational Guidance on Refugee Protection and Solutions in Urban Areas	<ul style="list-style-type: none"> ▪ Practical guidance that can be adapted according to differing contexts. It draws on best practices and illustrative examples from cities and towns where UNHCR is currently working with urban refugees.
UNHCR	Designing appropriate interventions in urban settings: Health, education, livelihoods, and registration for urban refugees and returnees	<ul style="list-style-type: none"> ▪ A review of good practice by UNHCR identifies the following key points to consider concerning health provision in urban refugee settings ▪ Useful document which discusses various sectors and includes a clear list of programming recommendations and serves as useful guidance for GRC & partner health program staff.
ALNAP	Learning from the Ebola Response in cities: Communication and engagement	<ul style="list-style-type: none"> ▪ This paper describes how humanitarians communicated and engaged with urban stakeholders in Liberia, Guinea and Sierra Leone. It focuses in particular on how humanitarians navigated urban notions of community, a dense and mobile population, participation in an environment of little trust and other related issues. ▪ Key reading relating to strengthening communication & public health messaging in health crises in urban contexts.

Protection

- **Limited guidance was identified with an explicit focus of protection in urban areas.** However, the livelihoods and protection were a common combined theme, which is reflected in the livelihoods section.
- Guidance that was identified is deemed useful, with a body of knowledge developed by the **Women’s Refugee Commission**.
- **IIED also drafted a useful review which may have operational relevance to GRC and partners with its focus on supporting first responders and volunteers.**

Selected inclusions:

Organisation	Title	Commentary
IIED	Protecting civilians in urban sieges: how to best support ‘first responders’	<ul style="list-style-type: none"> ▪ Potentially relevant to GRC and NS partners’ volunteer base, the review recommends: <ol style="list-style-type: none"> 1. increasing remote support for such organisations engaged in first responder (FR) support, 2. prioritising training provision, 3. assisting them to develop greater professionalism and coordination, 4. Rolling out FR as a distinct concept from other humanitarian services.
IIED	Integrating livelihoods and protection for displaced persons in urban humanitarian response	<ul style="list-style-type: none"> ▪ This guidance note provides ten core principles that practitioners can follow when aiming to integrate livelihoods and protection programming in urban humanitarian response, with a focus on supporting economic outcomes for beneficiaries. ▪ Provides a list of clear core principles are useful for practitioners involved in protection and / or livelihood programming
Women’s Refugee Commission	Tools to Assess and Mitigate GBV among Urban Refugees	<ul style="list-style-type: none"> ▪ These tools, currently in pilot form, help practitioners to assess and respond to urban refugees’ risks of gender-based violence. They include: and urban GBV service provision mapping tool; risk assessment tool; and specific tool components from children & adolescents, LGBTI, PLWD, sex workers, elderly ▪ Tools developed in this toolkit are very user friendly and do not require advanced data collection tools and processes

Education

- Similar to available guidance and literature in relation to protection, **there are limited available resources focused on education in urban crisis contexts.**
- As discussed in the Good Practice Review, according to one study, currently ‘**no global policy instrument or document has carefully considered the unique educational needs of urban refugees**’. Acknowledging this, UNHCR has developed good practice for education programming in protracted displacement contexts (some, but not all, can be applied to contexts of sudden on-set urban crises), including:
 1. Take a holistic approach – if building schools, coordinate this with infrastructure (such as water and sanitation), teacher training and the provision of materials.
 2. Provide and/or advocate for free primary education.
 3. Do not set up parallel education structures.
 4. Lobby decision-makers to recognise foreign school certificates to enable refugee children and adolescents to enroll.
 5. Where possible set up support classes, for example for learning a new (local) language and remedial classes.
 6. Integrate interventions into existing education systems

Organisation	Title	Commentary
Inter-Agency Network for Education in Emergencies (INEE)	Protecting civilians in urban sieges: how to best support ‘first responders’	<ul style="list-style-type: none"> ▪ A global tool to define a minimum level of educational quality and access so as to increase coordination, transparency and accountability in education response. ▪ The INEE Standards are designed in a way that can be contextualised to many settings including urban contexts and provide a framework to coordinate educational activities of government, national and international NGOs, UN agencies, donors and other authorities.
UNHCR	Emergency Handbook: Settlement and Shelter in Urban Areas	<ul style="list-style-type: none"> ▪ Part of UNHCR's Emergency Handbook, with a dedicated focus / module on education in urban areas.

Engaging with Local Authorities & actors

- **Strengthened engagement with Local Authorities in particular, is considered an increasingly essential priority for humanitarian actors responding in urban crises.**
- This increased focus also **places emphasis on the importance of this engagement in DRR, preparedness and recovery phases.** Establishing initial contact during a sudden onset crisis however, can place further pressure on a likely overloaded local authority counterpart. This reality lends itself to, identifying vulnerable locations and establishing working relationships with local authorities outside of crisis contexts.
- **Contexts of conflict bring added sensitivities to this issue, however- based on the context itself, this could result in scaled levels of engagement with the Local Authority** – e.g. from consultations to request/ secure access & safe passage at one end of spectrum. To secondments at the other.
- Potential response options include – which can be thematic in nature, include: peer-to-peer support missions; secondments to local authorities; dedicated training.
- An IIED paper lists a range of useful recommendations and stresses the need to foster collaboration not just with local authorities, but also with informal dwellers’ governance / representative groups
- **The Global Alliance for urban crises recently drafted a Framework for Engagement between Local Authorities and Humanitarian Actors.** The framework intends to facilitate stronger engagement between local governments, humanitarian and development actors and built environment professionals in response to urban crises, acknowledging the various mandates, legitimacy and perspectives of these stakeholders. In reality – this will be more of a process, with the exact nature of a partnership would vary significantly per context.
- **Strengthened engagement with Local Authorities, if not undertaken strategically and in a coordinated manner, may result in unmet requests from humanitarian actors for Local Authorities.** To reduce these risks, recommendations include to:
 - Act as / advocating for a dedicated focal point between humanitarian responders and local authority.
 - Create an ‘urban working group’ / coordination body, (also advocated for and applied following an area based approach) which ideally would be co-led by the Mayor’s office and a humanitarian representative to ensure strong coordination.

Selected inclusions:

Organisation	Title	Commentary
IIED	Humanitarian response for development: lessons from Tropical Cyclone Winston	<ul style="list-style-type: none"> ▪ The research aimed to learn from Fiji’s experience of response and recovery after Tropical Cyclone Winston hit in 2016. Selection of key messages focus on localisation and linking relief to development ▪ Identifies a clear recommendation that peace time clusters (not solely in times of crises) are led by government to ensure ongoing prioritisation and activated in the event of a crises.
Global Alliance for Urban Crises	Guidance Note: Protocol of Engagement between Local Governments and Humanitarian Actors	<ul style="list-style-type: none"> ▪ The objective of this product is to facilitate stronger engagement between local governments, humanitarian and development actors and built environment professionals in response to urban crises, acknowledging the various mandates, legitimacy and perspectives of these stakeholders. ▪ The document can serve as a potential starting point / foundation to develop a documented partnership with local/city authorities.

Urban violence and conflict

- Whilst not exhaustive, the **evidence base in relation to urban conflict and violence is growing.**
- The ICRC is leading the way in this arena, with two recent reports highlighting good practice and illustrating ICRC's increasing focus on contexts of urban violence and fragility.

Selected inclusions:

Organisation	Title	Commentary
EISD	Urban safety and security: Lessons from the last two decades and emergent issues	<ul style="list-style-type: none"> ▪ The document outlines a number of key considerations to promote urban safety and security - lessons which remain relevant in urban crisis contexts. ▪ The document serves as a useful soundboard / checklist when considering programming in contexts of fragility / conflict / urban violence
ICRC	Urban Services during Protracted Armed Conflict	<ul style="list-style-type: none"> ▪ The report is written with the informed position that people in urban areas are more dependent on essential services than most of their rural compatriots, making them more vulnerable to service disruptions. ▪ The report seeks to increase awareness of the extent and nature of the impact of the deprivation of urban services during times of armed conflict, sometimes for decades in succession. More specifically, it calls for a move from traditional assistance paradigms to one that takes account of the longer-term realities and needs in urban areas affected by ongoing armed conflict ▪ A key document to review if GRC or partners intend to engage explicitly in contexts of urban warfare/conflict
ALNAP	Humanitarian Interventions in Settings of Urban Violence	<ul style="list-style-type: none"> ▪ The document considers urban humanitarian response in contexts of violence and provides useful breakdown by sector (eg health, shelter etc) providing some useful recommendations. This is complemented by highlighting overall recommendations applicable to all programming ▪ Suggest as key reading for potential GRC staff and partners engaged in contexts of conflict / violence

Additional General Literature

- **Wherever possible, findings and extracts from literature, tools and guidance reviewed have been packaged in the preceding section on Thematic / Programmatic focus.** However, additional documents (30 in total) have been reviewed and recording the annexed excel mapping document.
- Many of these sources have also been useful in listing commentary and observations interspersed throughout the document and **are listed under ‘additional general literature’ not because their value add is limited (often to the contrary), but rather as many document discuss numerous sectors, themes and approaches and has relevance across urban crisis response in general.**

Notable inclusions:

Organisation	Title	Commentary
Sphere standards	Using the Sphere Standards in Urban Settings	<p>A leading humanitarian reference document which numerous recommendations including, but not limited to:</p> <ol style="list-style-type: none"> 1. Importance of a thorough context analysis 2. Identify physical, social and economic risks inherent in cities (listed further in the annexed mapping) 3. Embrace diversity & work with local actors 4. Cash - urban environments typically provide better access to financial services and communications, opening up opportunities for technology-based assistance 5. AAP & CWC - Urban populations typically have better access to a wider range of communication options. 6. Ensure targeting / aware of the most vulnerable 7. S&S / HLP - Appropriate measures should be used to minimise settlement risks and vulnerabilities. 8. The importance of settlement, neighbourhood or area-based approaches and entry points as established groups with shared interests, such as schools, clubs, women’s groups and taxi drivers. <p>A very strong document, which provides an initial useful narrative & observations, complemented by a checklist at the end of this document has been designed as a tool to assist in adapting specific Sphere indicators to urban operational environments.</p> <p>While not a complete checklist for urban programming, it provides a framework to consider the application of standards.</p>
ODI / HPN	Urban Good Practice Review	<p>Elements of the Urban Good Practice review have been incorporated all throughout the mapping exercise – both through assisting the identification of additional resources, and in extraction good practice examples and recommendations.</p>
ECHO	The Urban Amplifier: Adapting to Urban Specificities - Report on Humanitarian Action in Urban Crises	<p>The prioritised the following recommendations:</p> <ol style="list-style-type: none"> 1. Supporting existing interconnected services, infrastructure, markets, livelihoods, governance structures and community support mechanisms. 2. Aligning with longer term priorities 3. A bottom-up, inclusive approach - requires a multi-stakeholder coordination mechanism which capitalises on available capacity, including non-traditional humanitarian actors (e.g. local and national authorities, community-based organisations, development actors, private sector) 4. A set of appropriate tools and modalities - cash, contextualisation, risk & vulnerability assessments, area based approaches <p>Overall recommendations for ECHO to focus on future urban programming support - which remains in-line with general good practice.</p>

ALNAP	Responding to Urban Disasters: Learning from previous relief and recovery operations	<p>Lists a series of 9 recommendations / lessons for urban programming, including:</p> <ol style="list-style-type: none"> 1. Urban programmes should have clear boundaries, but remain flexible on how to work within these boundaries 2. Always work with local authorities and communities, and coordinate effectively 3. Use assessment and targeting approaches that suit urban complexity 4. Cash-based programmes work well in urban areas 5. Work with local markets and private-sector initiatives 6. Adopt urban approaches to camps, shelter and housing 7. 'Urbanise' sectoral interventions 8. Use new and existing media for better communication, information gathering and accountability 9. Relief and recovery actions need to build future urban resilience to avoid wasted investments
IMPACT / UCLG	Consultations on Humanitarian Responses in Urban Areas Perspectives from Cities in Crisis	<p>A series of consultations in six cities recently or currently affected by man-made or natural disasters. The consultations pointed to a set of eight recommendations to improve humanitarian action in urban environments. Including that humanitarian actors working in cities should:</p> <ol style="list-style-type: none"> 1. Systematically engage, build and leverage on local capacity, notably that of municipalities and service providers, but also of local civil society actors 2. Adopt settlement-based approaches as the most appropriate framework for the coordination, planning and implementation of humanitarian action 3. Mainstream resilience-building of city institutions and communities in all programming 4. Deploy more flexible and longer term funding modalities that enable resilience programming and increased funding to local actors 5. Establish city-level coordination mechanisms inclusive of international, national and local stakeholders 6. Systematically identify mechanisms to build a good mutual understanding between international and local actor 7. Invest in Preparedness, Knowledge and Capacity Transfer to support local stakeholders 8. Mainstream action aimed to promote harmony and mitigate tensions among communities in all programming

Platforms and Networks

- An **increasing number of platforms exist and have been established in recent years**. These include a combination of sector driven and multi-disciplinary networks / platforms.
- Arising too due to the fact that urban crises and complexity cannot not be solved by one actor or stakeholder group along – but required a multi-disciplinary approach.
- **A total of 23 platforms / networks have been reviewed to date**, a selection of which includes the below:

Network	Commentary
Global Alliance for Urban Crises (GAUC)	<ul style="list-style-type: none"> ▪ The GAUC, is a global, multi-disciplinary and collaborative community of practice. The GAUC promotes collaborative urban crises prevention and response, whilst providing a multi-stakeholder platform to share best practice, evidence and knowledge. ▪ The GAUC currently has 4 WGs which member agencies can join & contribute to: 1. Adapting humanitarian action to urban contexts; 2. Strengthening urban capacity; 3. Addressing urban displacement; 4. Strengthening urban resilience ▪ A number of technical resources have been developed (available on the website)- which may be of use ▪ Suggest GRC either join directly the GAUC or maintain overview in partnership with IFRC
IASC Reference Group on Meeting Humanitarian Challenges in Urban Areas (MCHUA)	<ul style="list-style-type: none"> ▪ The IASC RG MCHUA aims to promote more efficient and integrated responses to humanitarian crises in urban areas, through knowledge sharing, development of new approaches and creation of systemic-change within the IASC Structure and its Members. The MCHUA was discontinued in 2018 as part of the IASC restructure ▪ Amongst other priorities, it recommended surge support / secondments to Local Authorities, in addition to strengthened AAP and CwC in urban areas ▪ Its key / final product (although not validated) was the Urban Coordination Guidance Note
Food Security and Livelihoods in Urban Settings Working Group	<ul style="list-style-type: none"> ▪ The purpose of the gFSC Food Security and Livelihoods in Urban Settings Working Group is to promote better coordination and implementation of good practices in urban humanitarian food security responses. ▪ Its lead initiative: the gFSC and a number of partners, led an initiative called 'Adapting to an Urban World', which sought to better understand the nature of vulnerability and food insecurity in urban environments. The initiative also allowed for the piloting of new questions, tools and approaches to better understand food security needs in times of crisis, in recognition that many of the tools and methods for understanding food security were developed with rural contexts in mind.
Urban Settlements Working Group	<ul style="list-style-type: none"> ▪ USWG identifies best practices and lessons learnt on settlement approaches and urban response and links with other clusters to promote an inter-cluster approach to settlement approaches and urban response. ▪ The WG also develops tools and guidance on settlement approaches and their application in urban areas based on proven case studies. ▪ The intention is to also develop a predictable partnership model, whereby agencies interested / experienced in the area/settlement approach can proactively program in preparation for, response to and recovery from urban crises.
Stronger Cities Initiative	<ul style="list-style-type: none"> ▪ Housed within IIED, the Stronger Cities Initiative is a recently concluded three-year programme of research, documentation of past experiences, development of tools and guidelines, and shared learning across humanitarian actors and other urban stakeholders, led by The International Rescue Committee, Norwegian Refugee Council and World Vision ▪ The network provided a strong suite of guidance materials which have been reviewed as part of this mapping exercise
ALNAP	<ul style="list-style-type: none"> ▪ ALNAP is a global network of NGOs, UN agencies, members of the Red Cross/Crescent Movement, donors, academics, networks and consultants dedicated to learning how to improve response to humanitarian crises. ▪ ALNAP's Urban Response Portal and subsequent Urban Community of Practice provide strong, free support and knowledge sharing to the humanitarian community

Potential donors

- A handful of donors (predominantly bilateral) were **reviewed in relation to their investments into urban humanitarian response**.
- Increasingly, funds **for humanitarian response are identified and programmed at a country level**, with 'global pockets' of funding quite difficult to secure.
- Nonetheless, a number of '**donor champions**' including, **USAID / OFDA and ECHO** in recent years have funded overall global urban response initiatives.
- The **French Development Agency** has also recently developed their urban crisis strategy and could play an increased future role in addressing urban humanitarian crises.
- See the 'potential donor' excel tab for a list of identified potential donors, including:
 - USAID
 - World Bank
 - Asian Development Bank
 - ECHO
 - Global Facility for Disaster Risk Reduction
 - OECD
 - Rockefeller Foundation
 - French Development Agency

Key academia, think-tanks and professional institutions

- A broad mix of 13 entities was received in this grouping, each bringing different experience and skill sets.
- Acknowledging much further mapping could identify many more technical and academic institutions, those listed here play a current key role in supporting urban crises, either through **training, skills development, peer-to-peer learning or technical assistance**.

Entity	Commentary
International Institute for Environment & Development – Human Settlements Group	<ul style="list-style-type: none"> ▪ The International Institute for Environment and Development (IIED) is an independent research organisation. ▪ Within this structure, IIED's human settlements programme has been working on urban environmental issues since the mid-1970s, which includes an explicit focus on: <ol style="list-style-type: none"> 1. Urban Poverty 2. Urban Risk and Urban Crises Responses 3. Urbanisation and urban-rural linkages 4. The environment and urbanisation journal (twice yearly) ▪ Within the Urban Risk and Urban Crises Responses, IIED undertake a number of projects and research explicitly relevant to urban crises. ▪ IIED often create high quality applied research and recommend for GRC to follow their work.
Joint IDP Profiling Service	<ul style="list-style-type: none"> ▪ set up in Geneva in 2009 as an inter-agency body to provide support to governments and humanitarian and development organisations seeking to improve locally owned information and analysis about displacement situations. ▪ JIPS are heavily involved in the GAUC and implement numerous profiling and capacity strengthening activities in urban crises contexts ▪ JIPS have developed a profiling guide in urban contexts and have openings (twice a year) for interested participants to complete a Profiling Coordination Course, in addition to offering its services to partners interested in undertaken (urban) profiling activities.
ARUP International Development	<ul style="list-style-type: none"> ▪ Arup International Development is a specialist, not-for-profit business within Arup. ▪ Arup have partnered with a number of humanitarian and development organisations engaged in urban response, including but not limited to IFRC, Habitat for Humanity, Plan and others. ▪ Arup offer their services to humanitarian agencies predominantly related to the built environment, urban contexts, resilience and reconstruction.