

URBAN PLANNING RESPONSES IN POST-CRISIS CONTEXTS



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FOREWORD

I am delighted to present this publication on the work of UN-Habitat's Urban Planning and Design Lab on urban planning responses in post-crisis contexts.

With crises becoming increasingly urban, and with the displacement of people increasingly protracted, our responses must be equally long-term, as well as innovative and grounded in urban expertise.

The United Nations is working in a new way to break down the silos between humanitarian, peacebuilding, and development work. This holistic approach ensures a more efficient and sustainable use of resources.

In our own way, UN-Habitat's Urban Planning and Design Lab ('the Lab') is contributing to this holistic approach by applying its spatial expertise to bring long-term, sustainable strategies into post-crisis contexts. We work in close collaboration with other teams in the Agency, as well as other Agencies, Funds, and Programmes within the UN system.

Planning is an essential development tool. It is a contextually tailored process that requires broad participation, local leadership and ownership. It is most effective with the supporting policies, frameworks, commitments, and technical expertise to ensure sustainable development.

It is also a development tool which facilitates shared knowledge and understanding, strategic and legal agreements, and the definition of specific urban investments. 'Urban Planning Responses in Post-Crisis Contexts' contains some of the strategies and lessons that the Lab has gleaned from its work during UN-Habitat's 2014-2019 Strategic Plan period.

This publication outlines the different facets of a planning approach in these contexts, as well as the way a spatial approach can bridge the humanitarian and development divide. Equally important as the plan itself, the participatory planning approach engages communities, building social cohesion and social integration, which in turn contribute to more stable, peaceful, and prosperous societies that are less likely to experience, and will be more resilient to, crises in the future. The decisions that are made and the investments that are identified through this participatory approach have the potential to increase the long-term benefits of humanitarian aid and to set communities on a path of sustainability.

The Lab has focused its approach on implementation – not on creating perfect plans to sit on shelves, and never presuming that a situation is too challenging or too urgent to apply a spatial lens and to introduce planning processes. In fact, complex post-crisis situations are where urban planning is needed from the earliest stage of the response.

At the time of publication, the world is in the midst of an unprecedented crisis: the COVID-19 pandemic, which is exacerbating existing challenges in post-crisis settings.

This global crisis has laid bare the challenges that urban planning and spatial approaches address and mitigate at their root causes: spatial inequality, social exclusion, overcrowded and inadequate housing, lack of access to safe water and sanitation, and limited access to public spaces, to sustainable livelihoods, and to equitable infrastructure. The pandemic has highlighted and compounded the disadvantages experienced by marginalised communities such as refugees, IDPs, and other crisis-affected persons located in camps and informal settlements. Many people living in humanitarian contexts also experience poor access to health care and basic services, including an already insufficient health workforce, higher disease prevalence, and food insecurity. These issues, coupled with overstretched capacities of local governments and host services and the tensions associated with this strain, can all lead to increasingly difficult situations for those already affected by crises. Furthermore, the socioeconomic impact of the crisis is affecting those who are already the most vulnerable.

The state of affairs during the pandemic highlights many of the vulnerabilities that UN-Habitat urban planning work addresses in post-crisis contexts. Similarly, the expanding and ever-increasing effects of the climate crisis have already compounded existing crises and exacerbated displacement dynamics, and continue to do so. In both instances, we see a heightened awareness of the crucial role that urban planning plays in mitigating and responding to crises, underscoring the importance of understanding and disseminating the strategies discussed in this publication, and of integrating them into urgent responses.

I would like to express my gratitude to UN-Habitat colleagues in offices and programmes around the world, to the colleagues throughout other UN agencies and international organisations, and of course to the dedicated team of the Lab for their commitment to experimenting and searching outside the box for innovative, effective solutions to some of the most pressing challenges we face today.

A sustainable development-oriented response to post-crisis contexts is necessary to achieve the targets of the 2030 Agenda and the transformative commitments of the New Urban Agenda. I hope this publication will support practitioners in this vital work, which is needed more urgently now than ever.



MAIMUNAH MOHD SHARIF

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Residents walking in Kalobeyei Settlement, Turkana County, Kenya © UN-Habitat

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EXECUTIVE SUMMARY

UN-Habitat has worked for decades to bring spatial and long-term planning into post-crisis scenarios. This publication touches on a small area of that work, highlighting strategies and lessons from UN-Habitat's Urban Planning and Design Lab during the period of UN-Habitat's 2014-2019 Strategic Plan. It endeavours to increase understanding between the humanitarian and urban planning communities, which have vital and mutually reinforcing roles to play to address the pressing urban challenges of this era.

Section 1 lays out the increasingly urban and protracted nature of crises, clarifying the need to reassess the previous humanitarian response paradigm and to ensure that early urban planning and spatial coordination is utilized to bridge the ongoing humanitarian-development divide. The section further elaborates on the relevant global policy frameworks and trends to frame the scope of the publication. The UN System has recognized the need for such a 'new way of working' to address post-crisis situations with a holistic view, integrating several previously distinct fields in the 'humanitarian-development-peacebuilding nexus.' The strategies and approaches contained in this publication aim to further this shift towards improved understanding and integration.

Section 2 digs deeper into the role that urban planning plays in developing holistic post-crisis responses. Within the UN System, UN-Habitat utilizes a 'three-pronged approach' to urbanization, which advocates for the implementation of three key components: (1) an urban/ spatial plan that addresses density, land use, streets and public spaces, and the definition of public and private domains through urban design, (2) a legal plan that contains the rules of land subdivision and land occupation, as well as the regulatory frameworks governing planned urbanization, and (3) a financial plan to mobilize resources for its realization. The Urban Planning and Design Lab ('the Lab') has acted as an integrative facility of UN-Habitat to open the door for UN-Habitat to introduce its normative principles, including those of the 2030 Agenda and the New Urban Agenda, tailoring them to various post-crisis contexts.

Because of the urgent and lifesaving work required of humanitarian actors, the current paradigm can make it difficult for the same actors to consider the transition from immediate responses to long-term development. The Lab advocates for an 'area-based approach' and for the spatial coordination and long-term thinking in various responses. Within the context of post-crisis recovery, there can be no long-term development responses without urban planning, and in the UN system there can be no holistic and strategic urban planning without UN-Habitat.

Building on the UN-Habitat's 2012 publication 'Post-Crisis Urban Planning: A quick guide for practitioners,' Section 3 outlines the different strategies that the Lab has developed to provide effective planning support and tools since then, in close collaboration with UN-Habitat field operations and substantive branches as well as other actors in the UN System. These strategies include: (1) putting special emphasis on the planning process; (2) using urban planning as a coordinating tool among actors; (3) quickly structuring an orderly settlement of land for effective service delivery and management; (4) setting the area on a trajectory of long-term sustainability; (5) using a principles-based approach; (6) including and consulting to foster social cohesion and ownership; (7) planning within the larger geography; (8) connecting and aligning with the local government perspective and role; (9) identifying and guiding investments strategically; and (10) creating the plan as a management tool for actors and local governments.

These ten strategies inform and guide the Lab's urban planning process as it is deployed in post-crisis contexts, shaping the work on the ground. The Lab's urban planning interventions include three typologies of support that have been found to be the most useful in post-crisis contexts, which are detailed in Section 4: (A) supporting settlement profiling; (B) supporting participatory decision-making; and (C) supporting institutional capacity building.

While each post-crisis response must be carefully tailored to the specific context, and sweeping recommendations cannot be applied across the board, these strategies and the three key support areas are fleshed out in this publication to provide guidance and support to practitioners.

In Section 5, the publication concludes with key lessons, limitations, and the way forward. While the common strategies and lessons are synthesized in the core of this publication, the first four appendices provide full, detailed case studies on UN-Habitat's work and the Lab's role in four very different post-crisis cases, which serve to illustrate the applicability of these points in various contexts: Appendix A: Canaan, Haiti; Appendix B: Mogadishu, Bossaso, and Gabiley, Somalia; Appendix C: Kalobeyei, Kenya; and Appendix D: Cox's Bazar, Bangladesh. The appendices provide additional background details for readers seeking further information: Appendix E provides an overview of the relevant global frameworks and evolving perspectives related to the humanitarian-development nexus and the UN perspective, and Appendix F provides more detailed information on planning at UN-Habitat and specifically on the Urban Planning and Design Lab. Recommendations for further reading are included throughout the publication.



UN-Habitat Executive Director Maimunah Mohd Sharif discusses the Lab's urban planning work with the team in 2018 ©UN-Habitat

GLOSSARY

This glossary is provided as a first step to bridge the language and ‘culture’ of the humanitarian and urban planning communities. It is detailed in order to cover the diversity of concepts and tools used across these two fields of expertise.

Area-based approach: An approach that defines an area, rather than a sector or target group, as the main entry point. All stakeholders, services and needs are mapped and assessed and relevant actors mobilized and coordinated within it. (ReDSS)

Asylum: The grant, by a State, of protection on its territory to persons from another State who are fleeing persecution or serious danger. Asylum encompasses a variety of elements, including non-refoulement, permission to remain on the territory of the asylum country and humane standards of treatment. (UNHCR)

Asylum-seeker: An individual who is seeking international protection. In countries with individualized procedures, an asylum-seeker is someone whose claim has not yet been finally decided on by the country in which the claim is submitted. Not every asylum-seeker will ultimately be recognized as a refugee, but every refugee was initially an asylum-seeker. (UNHCR)

Cadastre: A parcel-based land information system that includes a geometric description of land parcels, which are usually represented on a cadastral map. In some jurisdictions, it is considered separate from, but linked to, the register of land rights and holders of those rights (land register), while in other jurisdictions the cadastre and land register are fully integrated. (Glossary of the Habitat III Preparatory Process and the Conference)

City proper: Often the smallest unit of analysis and refers to the area confined within city limits. It is the single political jurisdiction which is part of the historical city centre. With a few exceptions, the ‘City Proper’ is a very narrow administrative demarcation of the city and does not consider adjacent areas which affect the functionality of the city. (UN-Habitat)

Community-based approach: An inclusive partnership strategy that recognizes and builds on the capacities and resources of people, enabling their participation throughout the programme cycle to ensure their protection and sustainable ownership. (UNHCR)

Design charrette: A design charrette is a working session with public and private stakeholders, representation of civil society and academics in order to provide input and set the

direction of a project. (UN-Habitat)

Durable solutions: (1) Any means by which the situation of refugees can be satisfactorily and permanently resolved to enable them to lead normal lives. Traditionally this involves voluntary repatriation, local integration or resettlement (IOM). (2) “A durable solution is achieved when Internally Displaced Persons no longer have specific assistance and protection needs that are linked to their displacement and such persons can enjoy their human rights without discrimination resulting from their displacement. A durable solution can be achieved through: Sustainable reintegration at the place of origin (hereinafter referred to as ‘return’); Sustainable local integration in areas where internally displaced persons take refuge (local integration); Sustainable integration in another part of the country (settlement elsewhere in the country).” (Brookings-Bern Project on Internal Displacement, 2010, IASC Framework on Durable Solutions for Internally Displaced Persons, April 2010, p. 5).

Forced displacement: The involuntary movement, individually or collectively, of persons from their country or community, notably for reasons of armed conflict, civil unrest, or natural or man-made catastrophes. (IOM)

Forced return: The compulsory return of an individual to the country of origin, transit or third country, on the basis of an administrative or judicial act. (IOM)

Greenhouse gases: Greenhouse gases are those gaseous constituents of the atmosphere, both natural and anthropogenic, that absorb and emit radiation at specific wavelengths within the spectrum of infrared radiation emitted by the Earth’s surface, the atmosphere and clouds. This property causes the greenhouse effect of retaining heat within the atmosphere. Water vapor (H₂O), carbon dioxide (CO₂), nitrous oxide (N₂O), methane (CH₄) and ozone (O₃) are the primary greenhouse gases in the Earth’s atmosphere (IPCC). (Glossary of the Habitat III Preparatory Process and the Conference)

Hazard: A process, phenomenon or human activity that may cause loss of life, injury or other health impacts, property damage, social and economic disruption or environmental degradation. (UNISDR)

Host communities: The local, regional and national governmental, social and economic structures within which refugees live. (UNHCR)

Humanitarian assistance: Aid that addresses the needs of individuals affected by crises. It is primarily the responsibility

of the State but also supported by international organizations, non-governmental organizations (NGOs) and the Red Cross/Red Crescent Movement. This assistance is provided in accordance with the humanitarian principles, particularly the principles of humanity (human suffering must be addressed wherever it is found, with particular attention to the most vulnerable in the population, such as children, women and the elderly; the dignity and rights of all victims must be respected and protected), neutrality (humanitarian assistance must be provided without engaging in hostilities or taking sides in controversies of a political, religious or ideological nature), and impartiality (humanitarian assistance must be provided without discriminating as to ethnic origin, gender, nationality, political opinions, race or religion. Relief of the suffering must be guided solely by needs and priority must be given to the most urgent cases of distress). (IOM)

Humanitarian law: In its strictest sense, the rules of international law (international) especially designed for the protection of the individual victim in time of armed conflict. The four Geneva Conventions of 1949 and the two Additional Protocols of 1977 are the main sources of international humanitarian law. (IOM)

Human rights: Those liberties and benefits based on human dignity which, by accepted contemporary values, all human beings should be able to claim 'as of right' in the society in which they live. These rights are contained in the International Bill of Rights, comprising the Universal Declaration of Human Rights, 1948, the International Covenant on Economic, Social and Cultural Rights, and the International Covenant on Civil and Political Rights, 1966 and have been developed by other treaties from this core (e.g. The Convention on the Protection of All Migrant Workers and Members of Their Families, 1990). (IOM)

Inclusive: Although there is no commonly agreed definition, the idea of an inclusive society is based on respect for all human rights and fundamental freedoms, cultural and religious diversity, social justice and the special needs of vulnerable and disadvantaged groups, democratic participation and the rule of law (Chapter 4, Point 66, 1995 UN Social Development Summit). (IOM)

Integration: The two-way process of mutual adaptation between migrants and the societies in which they live, whereby migrants are incorporated into the social, economic, cultural and political life of the receiving community. It entails a set of joint responsibilities for migrants and communities, and incorporates other related notions such as social inclusion and social cohesion. Note: Integration does not necessarily imply permanent residence. It does, however, imply consideration of the rights and obligations

of migrants and societies of the countries of transit or destination, of access to different kinds of services and the labour market, and of identification and respect for a core set of values that bind migrants and receiving communities in a common purpose. (IOM) In the refugee context, however, local integration as a durable solution would imply permanent residence as it refers to refugees' 'permanent settlement in a country of first asylum, and eventually being granted nationality of that country' (UNHCR).

Internally Displaced Person (IDP): An individual who has been forced or obliged to flee from their home or place of habitual residence, "...in particular as a result of or in order to avoid the effects of armed conflicts, situations of generalized violence, violations of human rights or natural or human-made disasters, and who have not crossed an internationally recognized State border" (The Guiding Principles on Internal Displacement, UN Doc E/CN.4/1998/53/Add.2).

Land use planning: Land use planning refers to the process by which a society, through its institutions, decides where, within its territory, different socioeconomic activities such as agriculture, housing, industry, recreation, and commerce should take place. This includes protecting well-defined areas from development due to environmental, cultural, historical, or similar reasons, and establishing provisions that control the nature of development activities. (World Bank)

Livelihoods: A combination of the resources used and the activities undertaken in order to live. Resources include individual skills (human capital), land (natural capital), savings (financial capital), equipment (physical capital), as well as formal support groups and informal networks (social capital). (DFID)

Migrant: An umbrella term, not defined under international law, reflecting the common lay understanding of a person who moves away from his or her place of usual residence, whether within a country or across an international border, temporarily or permanently, and for a variety of reasons. The term includes a number of well-defined legal categories of people, such as migrant workers; persons whose particular types of movements are legally defined, such as smuggled migrants; as well as those whose status or means of movement are not specifically defined under international law, such as international students. (IOM)

Model (design/ planning): Models are scientific scenarios based on numerical or other data, for example a model can show much traffic a neighbourhood expected to have after the addition of two new streets or parking, or how the community time will be influenced by certain infrastructure projects. (UN-Habitat)

New Urban Agenda: The New Urban Agenda was adopted at the United Nations Conference on Housing and Sustainable Urban Development (Habitat III) in Quito, Ecuador, on 20 October 2016. It was endorsed by the United Nations General Assembly at its sixty-eighth plenary meeting of the seventy-first session on 23 December 2016. The Agenda represents a shared vision for a better and more sustainable future. If well-planned and well-managed, urbanization can be a powerful tool for sustainable development for both developing and developed countries. (UN Habitat III Secretariat)

Non-refoulement principle: Under international human rights law, the principle of non-refoulement guarantees that no one should be returned to a country where they would face torture, cruel, inhuman or degrading treatment or punishment and other irreparable harm. This principle applies to all migrants at all times, irrespective of migration status. (UN-OHCHR)

Person(s) of concern: UNHCR defines ‘persons of concern’ to include refugees, returnees, stateless people, the internally displaced, and asylum-seekers. This definition is inherent to UNHCR’s mandate. Sometimes referred to as ‘people of concern.’ (UNHCR)

Planned city extension: An urban planning approach that defines urban layout and the public spaces/street network to guide the development (construction) of new neighbourhoods and promotes sufficient, affordable, and serviced urban plots in time; ensuring that city growth is well-managed and well-planned in advance, to avoid informal development and unchecked urban sprawl. (UN-Habitat)

Post-crisis: The term ‘post-crisis’ applies to a spectrum of scenarios. The crises referred to cannot be defined by a single dimension because of the exigency, multiplicity, and complexity of crises, including natural disasters (such as earthquakes, volcanic eruptions, tsunamis, hurricanes, tornadoes, floods, droughts, wildfires) human-caused disasters (such as armed conflicts, oil spills), combined consequences (such as forced migration, famines) and other emergencies. Crises affect the health, safety, and well-being of a community or a country, and the geographical coverage of humanitarian crises varies. (Bok G. Jeong and Jungwon Yeo, 2017)

Prima facie: Latin expression meaning “at first sight”; on first appearance but subject to further evidence or information. It provides sufficient proof to establish a fact or raise a presumption unless disproved or rebutted. In the migration context, an application for immigrant status may undergo preliminary review to determine whether there is a prima facie showing of all the basic requirements (often

as a condition for receiving financial assistance or a work permit). (IOM)

Protracted displacements: Situations where the displaced “have lived in exile for more than 5 years, and when they still have no immediate prospect of finding a durable solution to their plight by means of voluntary repatriation, local integration or resettlement.” (UNHCR)

Refoulement: When used in relation to refugees and asylum-seekers, the removal of a person to a territory or frontiers of a territory where their life or freedom would be threatened on account of their race, religion, nationality, membership of a particular social group or political opinion. The duty of non-refoulement is a part of international law and is therefore binding on all States, whether or not they are parties to the 1951 Convention. (UNHCR)

Refugee: A person who “owing to well-founded fear of persecution for reasons of race, religion, nationality, membership of a particular social group or political opinions, is outside the country of his nationality and is unable or, owing to such fear, is unwilling to avail himself of the protection of that country” (Geneva Convention relating to the Status of Refugees, Art. 1A(2), 1951)

Resilience: The ability of a system, community or society exposed to hazards to resist, absorb, accommodate, adapt to, transform and recover from the effects of a hazard in a timely and efficient manner, including through the preservation and restoration of its essential basic structures and functions through risk management. (UNISDR)

Resettlement: The transfer of refugees from an asylum country to another State that has agreed to admit them and ultimately grant them permanent settlement. (UNHCR)

Returnee A person who returns to a place, especially after a prolonged absence. (Oxford English Dictionary)

Scenario (design/ plan): Design/ planning scenarios are possible, probable, or desirable spatial outcomes of a forecasted development (e.g. social, economic, environmental, technological). (UN-Habitat)

Social cohesion: The nature and set of relationships between individuals and groups in a particular environment (horizontal social cohesion) and between those individuals and groups and the institutions that govern them in a particular environment (vertical social cohesion). Strong, positive, integrated relationships and inclusive identities are perceived as indicative of high social cohesion, whereas weak, negative or fragmented relationships and exclusive identities are taken to mean low social cohesion. Social cohesion is therefore a multi-faceted, scalar concept. (World Vision)

Self-reliance: The social and economic ability of an individual, household or community to meet basic needs (including protection, food, water, shelter, personal safety, health and education) in a sustainable manner and with dignity. (UNHCR)

Statutory planning: The part of the urban planning process which is concerned with the regulation and management of changes to land use and development. (Local Government and Municipal Knowledge Base)

Spatial inequality: Spatial inequality (defined as the concentration of disadvantages in a specific location) manifests in the different experiences and opportunities that people can have, and the rights that they can exercise, between regions, across the rural urban continuum and within the same city. Spatial inequalities in cities perpetuate other forms of social, economic, political and cultural inequalities. [...] Unequal access to land, adequate, and affordable housing, job opportunities, basic and social services, mobility and public transport, and public space, are key aspects of spatial inequality, often characterized by physical segregation. (UN-Habitat 2020-2023 Strategic Plan)

Spatial planning: A method to influence the distribution of activities in space. A method that is undertaken with the aim of creating rational territorial organization of land use and linkages between them, to balance demands for development with environmental, social, and economic development objectives. (European Commission, 1997)

Stateless persons: Persons who are not considered as nationals by any State under the operation of its law, including persons whose nationality is not established. (UNHCR)

Sustainable Development Goals (SDGs): The 2030 Agenda for Sustainable Development, adopted by all United Nations Member States in 2015, provides a shared blueprint for peace and prosperity for people and the planet, now and into the future. At its heart are the 17 Sustainable Development Goals (SDGs), which are an urgent call for action by all countries - developed and developing - in a global partnership. They recognize that ending poverty and other deprivations must go hand-in-hand with strategies that improve health and education, reduce inequality, and spur economic growth – all while tackling climate change and working to preserve our oceans and forests. (UNDESA)

Urban agglomeration: This refers to “a contiguous territory inhabited at urban density levels without regard to administrative boundaries.” In other words, it integrates the ‘City Proper’ plus suburban areas that are part of what can be considered as city boundaries. Also, an urban agglomeration sometimes combines two developed areas

which may be separated by a less developed area in-between. (UN-Habitat)

Urban governance: Urban governance is the sum of the many ways individuals and institutions, public and private, plan and manage the common affairs of the city. It is a continuing process through which conflicting or diverse interests may be accommodated and cooperative action can be taken. It includes formal institutions as well as informal arrangements and the social capital of citizens. Urban governance is inextricably linked to the welfare of the citizenry. Good urban governance must enable women and men to access the benefits of urban citizenship. Good urban governance, based on the principle of urban citizenship, affirms that no man, woman or child can be denied access to the necessities of urban life, including adequate shelter, security of tenure, safe water, sanitation, a clean environment, health, education and nutrition, employment and public safety and mobility. Through good urban governance, citizens are provided with the platform which will allow them to use their talents to the full to improve their social and economic conditions. (UN-Habitat, 2000)

Urban infill: The development of vacant or low density parcels within the city built-up areas where public facilities such as sewer systems, roads, schools, and recreation areas are already largely in place. It is an approach that is adopted to increase densities and efficiency of land use. (UN-Habitat)

Urbanization: (1) The increase in the proportion of a population living in urban areas; (2) The process by which a large number of people becomes permanently concentrated in relatively small areas, forming cities. (UN Statistics Division)

Voluntary return: The assisted or independent return to the country of origin, transit or another third country based on the free will of the returnee. (IOM)

Vulnerability: The conditions determined by physical, social, economic and environmental factors or processes which increase the susceptibility of an individual, a community, assets or systems to the impacts of hazards. (UNISDR)

Vulnerable group: Any group or sector of society that is at higher risk of being subjected to discriminatory practices, violence, natural or environmental disasters, or economic hardship, than other groups within the State; any group or sector of society (such as women, children, the elderly, persons with disabilities, indigenous peoples or migrants) that is at higher risk in periods of conflict and crisis. (IOM)

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ACRONYMS AND ABBREVIATIONS

CCA	Common Country Assessment
EU	European Union
EGM	Expert Group Meeting
IASC	Inter-Agency Standing Committee
IDPs	Internally Displaced Persons
IOM	International Organization for Migration
Lab	UN-Habitat Urban Planning and Design Lab
NGO	Non-Governmental Organization
NUA	New Urban Agenda
ODA	Overseas Development Assistance
Sida	Swedish International Development Cooperation Agency
SDGs	United Nations Sustainable Development Goals
RCO	Resident Coordination Office
UN	United Nations
UNCT	United Nations Country Team
UN DCO	UN Development Coordination Office
UNDAF	UN Development Assistance Framework
UNGA	United Nations General Assembly
UN-Habitat	United Nations Human Settlements Programme
UNHCR	United Nations High Commissioner for Refugees
UN-OCHA	United Nations Office for the Coordination of Humanitarian Affairs



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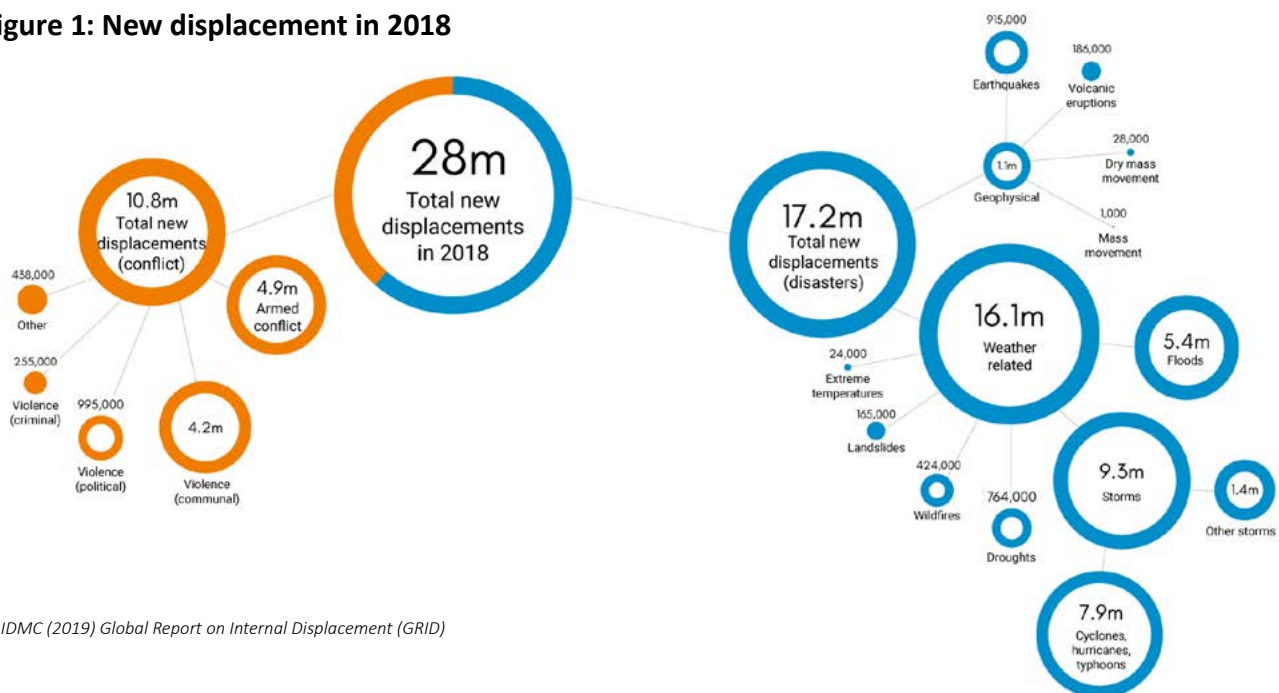
INTRODUCTION

UN-Habitat has worked in post-crisis contexts around the world for decades, bringing spatial and long-term planning perspectives and approaches to some of the most vulnerable communities. Over the past ten years, UN-Habitat’s elevated emphasis on planning has changed the way it frames a number of issues, and some of those new approaches and strategies will be discussed in this publication. This publication covers a small, specific area of the work that UN-Habitat performs related to post-crisis issues, and takes stock of the specific approaches employed during the period of UN-Habitat’s 2014-2019 Strategic Plan by UN-Habitat’s City Planning, Extension, and Design Unit, especially its Urban Planning and Design Lab (‘the Lab’), in collaboration with various other teams across the organization, in headquarters and in the field. It builds on earlier UN-Habitat guidance publications, particularly ‘Role of UN-Habitat in Humanitarian Affairs: Strategic policy on human settlements in crisis and sustainable relief and reconstruction framework’ (2008), and ‘Post-Crisis Urban Planning: A Quick Guide for Practitioners’ (2012) as well as the decades of normative and operational work and expertise that UN-Habitat has generated on the topics of post-crisis response and crisis prevention. UN-Habitat has worked at many levels supporting post-crisis work, and readers are encouraged to also consult other UN-Habitat publications on support which has been deployed in countries such as Afghanistan, Sri Lanka¹, Iraq², and the Philippines.

The glossary for this publication is provided as a first step to bridge the divide between the humanitarian and urban planning communities. This publication is divided into five distinct sections. Section 1 describes the post-crisis context and trends, as well as the humanitarian set-up and transformations within humanitarian responses. Section 2 introduces UN-Habitat and its Urban Planning and Design Lab and the role of urban planning in bridging the humanitarian-development divide. Section 3 lays out the 10 key strategies that the Lab has found helpful when addressing urban planning in a post-crisis context. Section 4 outlines the key elements of the urban planning process and support applied by the Lab in such contexts. Section 5 will distil the core lessons from the Lab’s work in this area over the six-year period. Appendices A-D contain four detailed case studies: on Haiti (Canaan); Somalia (Mogadishu, Bosasso, and Gabiley); Kenya (Kalobeyei); and Bangladesh (Cox’s Bazar), which illustrate some of the specific experiences, strategies, and lessons that have informed this publication.

Appendices E and F provide further background information on relevant global agreements and trends related to the humanitarian-development nexus and on UN-Habitat and its Urban Planning and Design Lab, respectively.

Figure 1: New displacement in 2018



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1. See ‘Good Practices and Lessons Learned in Post-Conflict Reconstruction in Sri Lanka’ (2017) to read about lessons from this work.
 2. See ‘Ramadi Urban Recovery and Spatial Development Plan’ (2018) and ‘Initial Planning Framework for the Reconstruction of Mosul’ (2018), which was developed with inputs from the Lab, for examples of some of this work.

I. The post-crisis urban context

In this publication, the term ‘post-crisis’ is used to include both post-conflict and post-disaster contexts. It is important to note that post-conflict and post-disaster situations are similar from the physical planning point of view (e.g. disrupted services, damage or destruction to infrastructure, displaced persons, and other physical impacts).³ However, politically, post-conflict and post-disaster situations differ significantly. Many post-disaster situations have a clear starting date and can involve a sudden-onset crisis. In post-disaster contexts, there is usually a period of enhanced solidarity at the international level to act. In some cases, this action can support an increased period of coordination and participatory planning efforts, and in others it encounters existing ruptures that the disaster has amplified within national and local authorities. Post-conflict situations, however, often continue to linger. When one side emerges in a stronger position, it may have control over assets and institutions, making it challenging to conduct urban planning that aims to promote equitable access to resources. When conflicts become protracted, there may be temporary cessations of hostility without a political resolution, which can create a governance vacuum and make it difficult to carry out an inclusive planning process.

“Land and property grabbing is common in conflict situations. If not [done] carefully, post-conflict urban planning can even consolidate causes of conflict [or entrench divisions] that will continue to destabilize [a] society. Additionally, in conflict situations urban planners [may not be able to perform their functions], while after natural disasters urban planners are [more likely to be present and empowered]. In post-conflict situations, protectorate systems may be needed; in post-disaster situations, it is crucial not to bypass governments.”⁴

Current global crises are growing more complex and urban in nature. Conflicts are increasingly protracted and are often fuelled and compounded by the devastating effects of the climate emergency, environmental disasters, and related hazards.⁵ Due to the rapidly accelerating effects of the climate emergency, many crises affecting urban areas and populations are cyclical and recurrent in nature, such as those related to flooding in South Asia and droughts and floods in the Horn of Africa.⁶ As demonstrated by Appendix

B (Somalia), these climate concerns often exacerbate and compound conflict and displacement events. In 2018, 78 per cent (more than 15.9 million) of all refugees were in protracted refugee situations,⁷ in which they have been displaced “for five years or longer without immediate prospects for implementation of durable solutions,”⁸ as opposed to 66 percent the previous year.⁹ UNHCR estimates that the average length of protracted refugee situations had risen from 9 years in 1996 to 26 years in 2015.¹⁰ At least 28 million Internally displaced persons (IDPs) are also in this situation.¹¹

With over 55 per cent¹² of the global population living in cities, the context of those affected by these protracted crises has become increasingly urban. By 2050, two-thirds of the global population is projected to live in cities, doubling from three to six billion people in just three decades.¹³ The urbanization of conflict and the urban dimension of displacement have led to an increasing need for urban and spatial planning approaches – as well as the involvement and integration of urban expertise and strategies – that build social cohesion and create inclusive communities. Crises disproportionately impact the urban poor and those who are displaced and/or already experiencing existing vulnerabilities, such as lack of access to basic services or land tenure insecurity.

As the trends of urban growth and urbanization converge with increasingly protracted crises, those affected by crises – refugees, returnees, stateless people, asylum-seekers, internally displaced persons (IDPs), and undocumented migrants – now predominately seek safety and a stable future in urban areas rather than camp locations.¹⁴ Although the true scale of displacement is challenging to accurately assess due to a lack of available data, it is estimated that over 60 per cent of refugees are living in urban areas¹⁵ and an estimated 80 per cent of displaced people are living outside of camps.¹⁶ The millions of refugees who do flee to refugee camps are often in large-

3. This publication bases its articulation of post-conflict and post-disaster contexts on UN-Habitat (2012). *Post-Crisis Urban Planning: A Quick Guide for Practitioners*. Nairobi, p. 9.

4. UN-Habitat (2012). *Post-Crisis Urban Planning: A Quick Guide for Practitioners*. Nairobi, p. 9.

5. See UN News (2019). ‘Climate change recognized as ‘threat multiplier,’ UN Security Council debates its impact on peace.’ 25 January 2019 and UN Environment. *Climate change and security risks*. Available at: <https://www.unenvironment.org/explore-topics/disasters-conflicts/what-we-do/risk-reduction/climate-change-and-security-risks> [Accessed 26 February 2020].

6. Ibid.

7. “UNHCR defines a protracted refugee situation as one in which 25,000 or more refugees from the same nationality have been in exile for five consecutive years or more in a given host country. The definition has limitations, because the refugee situation is constantly changing in each situation with new arrivals and returns.” (UNHCR (2018). *Global Trends: Forced Displacement in 2018*).

8. UNHCR (2009). *Conclusion on Protracted Refugee Situations*, No. 109’ Geneva: UNHCR Executive Committee of the High Commissioner’s Programme. Executive Committee 61st session, Extraordinary meeting: 08 December 2009. Contained in United Nations General Assembly document A/AC.96/1080.

9. UNHCR (2018). *Global Trends: Forced Displacement in 2018*.

10. UNHCR (2016). *Global Trends: Forced Displacement in 2015*, p.20.

11. IDMC (2019). *2019 Global Report on Internal Displacement*.

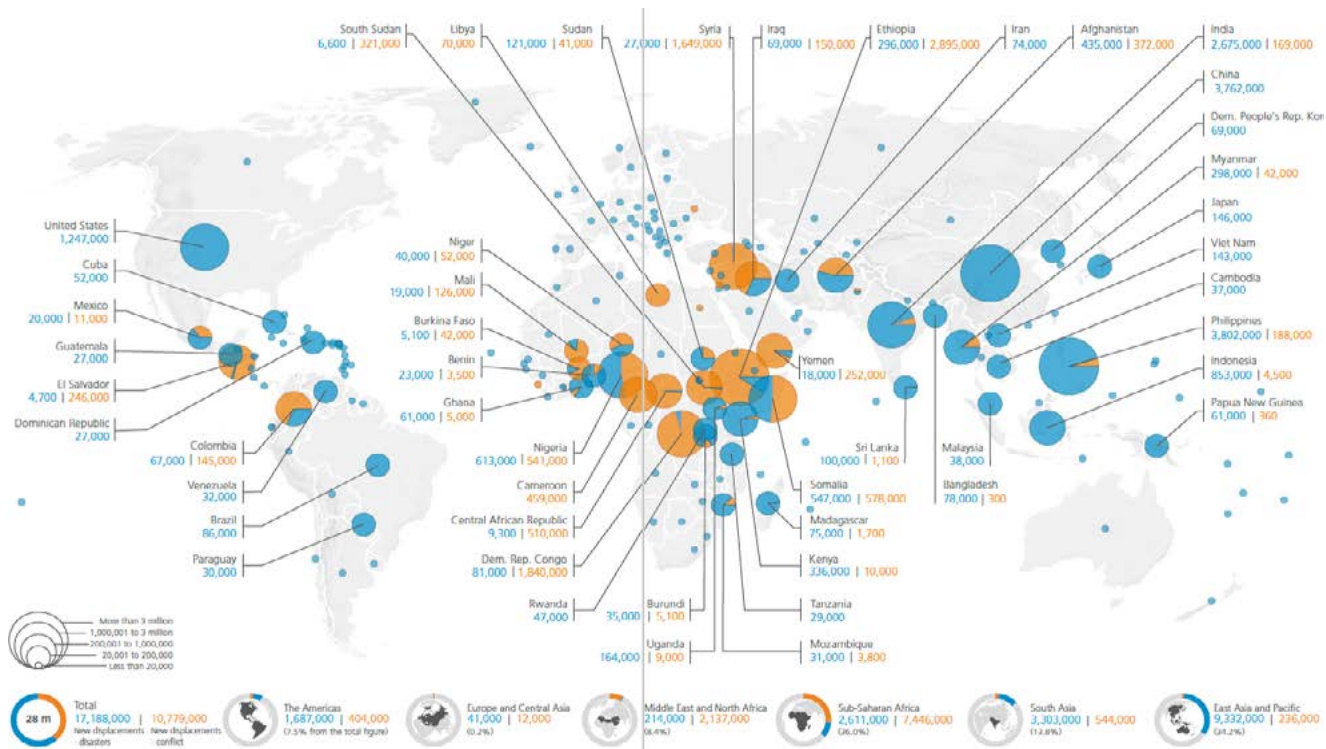
12. UN DESA, Population Division (2019). *World Urbanization Prospects: The 2018 Revision*. ST/ESA/SER.A/420. New York: United Nations.

13. Ibid.

14. See UN-Habitat, IIED, and JIPS (2020). *IDPs in towns and cities – working with the realities of internal displacement in an urban world: Submission to the UN Secretary-General’s High-Level Panel on Internal Displacement for further information and insights on this topic*.

15. Park, Hans (2016). *The power of cities*. UNHCR. 25 November 2016

16. IDMC (2018). *UnSettlement: Urban Displacement in the 21st century and United Nations (2017)*. Issue Paper 2: *Migration and refugees in urban areas*. In *Habitat III Issue Papers*. 2015. ISBN: 978-92-1-132761-8, p.24.

Figure 2: New displacement by conflict and disaster in 2018


© IDMC (2019) *Global Report on Internal Displacement (GRID)*

scale settlements that can rapidly balloon in size, and lack long-term planning in terms of infrastructure, basic services, amenities, and economic opportunities. Such camps can exist for decades, with generations born and raised in the camps with little hope of external relocation (e.g. Dadaab in Kenya), which has brought into question whether post-crisis action should be considered as strictly temporary.

Further, most refugees flee to countries that are neighbouring or are within their region of origin, with 84 per cent of refugees located in developing countries.¹⁷ This places a disproportionate burden on economies “struggling to grow and with few extra resources to support new people coming in,”¹⁸ and many populations and spaces that host refugee communities are already marginalized, experiencing poverty, and in need of rapid development. In Kenya, for example, Turkana County, host to Kakuma refugee camp (consisting of about 194,000 refugees and asylum-seekers¹⁹), is also the poorest county (out of 47 counties) in Kenya – with 79 out of every 100 people living in poverty. Garissa County, host to Dadaab refugee camp (consisting of roughly 217,000 refugees and asylum-seekers²⁰), is the fifth poorest county in Kenya – with 66

out of every 100 people living in poverty.²¹ In Bangladesh, Cox’s Bazar District, which hosts nearly a million Rohingya refugees from Myanmar, is also near the bottom of the list in terms of most development indicators.²² In such contexts, the international effort addressing refugees can and should also be considered an opportunity for local development. That link is rarely explicitly made.

In post-crisis contexts, large populations of people are often unable to return to their original dwellings or land due to a range of reasons including security concerns, safety issues, fear of persecution, destruction, or occupation, to name a few. Crisis-affected persons may reside within host communities or may be required to reside in temporary planned (resettlement) camps or settlements to obtain rapid shelter. Many of these situations may become protracted, especially in the absence of policies to integrate displaced persons within appropriately planned locations and to support dignified lives with livelihood opportunities.

In addition to these increasing numbers of crisis-affected persons around the world seeking economic opportunities and integration into urban areas, the instances of conflict and warfare (both intra-state and among non-state actors) has been increasing in urban contexts, and subsequently so too has global displacement.

17. Edmond, Charlotte (2017). ‘84% of refugees live in developing countries.’ World Economic Forum. 20 June 2017.

18. Statistics are based on a 2016 survey. Source: Ibid.

19. This population estimate is as February 2020, and includes population in Kalobeyei integrated settlement. See Appendix C for further details. Source: UNHCR (2020). ‘Kakuma Refugee Camp,’ UNHCR website.

20. This population estimate is as of October 2019. Source: UNHCR (2020). Dadaab Refugee Complex. UNHCR website.

21. Munda, Constant (2018). ‘Report on richest and poorest counties out.’ 23 March 2018

22. Lemma, Alberto Francesco et al. (2018). ‘Bangladesh Economic Dialogue on Inclusive Growth Research Report No. 4: Strategies for inclusive growth in Cox’s Bazar.’ September 2018.

Box 1: The impacts of the COVID-19 pandemic on crisis-affected persons

In the current COVID-19 context, those who are suffering from displacement are more likely to be affected, as the crisis compounds existing inequalities, exclusions, poverty, and tensions. The effect of the pandemic will vary depending on each humanitarian setting, depending on its complexities and individual circumstances and specific the measures taken. However, poor and overcrowded areas, such as informal settlements and displacement camps, often do not provide residents with the space to physically distance nor with access to clean water and sanitation in order to follow mitigation guidelines, which can result in the rapid spread of the virus, putting marginalized communities at a further disadvantage. The UN's Global Humanitarian Response Plan for COVID-19 identifies IDPs, refugees, asylum seekers, returnees, migrants, people with disabilities, marginalized groups, and people in hard-to-reach areas as among the most affected and most at-risk population groups, stating:

"These people lack sufficient economic resources to access health care, live in remote areas or have difficulties in moving. They may be denied or unwilling or unable to access health care, or there may not be adequate health coverage where they live. Fear of being stigmatized or discriminated against may complicate how, if, or where they can access health care. Increased movement restrictions due to COVID-19 may worsen these existing challenges. Some do not receive adapted, actionable or comprehensible information to protect themselves from contamination and lack social support networks to help them face the new threat. They often live in crowded environments that lack adequate health, water and sanitation facilities to prevent contamination and the spread of the virus. The capacity of Governments to provide them with basic services may also be severely undermined, with resources being reallocated to other groups. Some will be stranded due to travel restrictions and may become further vulnerable due to loss or lack of legal status and access to services."²³

These issues, coupled with overstretched capacities of local governments and of services in host communities, and the tensions that can arise from this scarcity, can all lead to increasingly difficult situations for those already affected by crises. Furthermore, those who are suffering from displacement are more likely to be part of the informal economy, often supporting themselves from day to day, and are unable to recover lost livelihood opportunities. The socio-economic impact of the crisis is having the greatest effect on those who are already vulnerable.

For further reading on the effects of the COVID-19 crisis in humanitarian settings, see the IASC guidance document 'Interim Guidance: Public Health and Social Measures for COVID-19 Preparedness and Response Operations in Low Capacity and Humanitarian Settings' (2020). To read more about COVID-19 and human settlements and cities, including content relevant to planning responses and recovery, see the Secretary-General's Policy Brief on 'COVID-19 in an Urban World' (2020). See UN-Habitat's website (www.unhabitat.org) for further information about UN-Habitat's developing work in this area, including evolving analyses and current responses to COVID-19 in urban areas and crisis-affected locations.

Reconstruction can serve the purpose of maintaining and re-establishing the communities as they were, or it can bring groups together to move forward toward a new, improved reality. The destruction of infrastructure in a post-crisis context presents both a challenge (in the form of the urgent needs of reconstruction) as well as an opportunity to 'build back better,' improving resilience and inclusivity in the reconstruction process.²⁴ In such contexts, and where land issues are not resolved or where institutions lack capacity for effective planning, reconstruction planning can be particularly sensitive. In fragile settings, financial resources are often scarce, and governance and security systems are often weak. In addition, protracted urban

conflict presents the risk of continued challenges in the provision of urban services, housing, and infrastructure, and crisis-affected persons are increasingly vulnerable to shortcomings in traditional humanitarian and development approaches. There, divergences or lack of synergy between humanitarian and development actions can often result in an enormous waste of resources and opportunities.

The humanitarian response and the sustainable development agendas increasingly converge in urban post-crisis situations. UN General Assembly (UNGA) Resolution 71/243 (2016) "recognizes the positive role that sustainable development can play in mitigating drivers of conflicts, disaster risks, humanitarian crises and complex emergencies, and that a comprehensive whole-of-system response, including greater cooperation and complementarity among development, disaster risk reduction, humanitarian action and sustaining peace, is fundamental to most efficiently and effectively addressing needs and attaining the Sustainable

23. United Nations (2020). Global Humanitarian Response Plan for COVID-19. United Nations Coordinated Appeal. April- December 2020. p.16.

24. While this is discussed more in Section 2.11, this publication will not extensively discuss the subject of 'building back better,' although it is relevant to this field. For further information on UN-Habitat's expertise in and approach to building back better, please visit UN-Habitat's Urban Resilience Hub website at: <https://urbanresiliencehub.org/>.

Figure 3: Displaced persons as a proportion of the global population, 2009-2018

© UNHCR Global Trends, Forced Displacement in 2018

Development Goals.”²⁵ Thus, responses in post-crisis contexts benefit from integrated programming that focuses not only on immediate humanitarian relief, but also supports the achievement of long-term development goals and the mitigation of future crises, which benefits all population groups. If well-grounded in urban planning principles, the post-crisis response itself can lead a transition into long-term sustainable development actions.

II. Global humanitarian trends and frameworks

Humanitarian responses prior to 2005 involved three main networks – the UN System, the Red Cross/ Red Crescent Movement, and NGOs – and experienced gaps and inefficiencies (e.g. coordination among actors, preparedness, accountability, human resources management, and certain sectoral capacities), with humanitarian organizations and donors acknowledging that the humanitarian response system required significant reform to improve cohesion.²⁶ The ‘cluster approach’ was introduced in 2005 to overcome ‘silos’ and to bridge gaps in humanitarian response by organizing responses and expertise according to thematic clusters’ (e.g. ‘water, sanitation, and hygiene (WASH),’ ‘camp coordination and camp management (CCCM), and ‘education’) in non-refugee humanitarian emergencies, and includes both UN and non-UN organizations. Since

2005, where a humanitarian crisis exceeds the mandate of a single UN agency and multiple actors are needed in a response, crisis responses have been managed through the cluster approach and action plans. These clusters have been coordinated under co-lead organizations, which have specific technical expertise. The Sphere Handbook and other standards and guidelines published by various inter-agency committees have addressed the previously disjointed nature of humanitarian work and, in the past decade,²⁷ have increasingly recognized the importance of engaging local governments in complex, multi-stakeholder urban contexts.

The Global Shelter Cluster community of practice works through a local shelter cluster and coordinates UN agencies and NGOs. The cluster coordinates work, such as the rehabilitation of damaged shelter, but does not engage in urban planning. In post-conflict Sri Lanka (2010-2015), UNHCR and UN-Habitat led the coordination of a holistic, area-based housing and community infrastructure response, working in partnership with local authorities, and delivered an effective conditional cash transfer programme resulting in the reconstruction of 100,000 permanent homes and related infrastructure. In the urban and settlement contexts, an area-based approach is increasingly relevant and needed, and urban planning is also being recognized as a powerful tool to bring diverse and often divided communities together.

25. UN General Assembly (2016). Resolution 71/243: Quadrennial comprehensive policy review of operational activities for development of the United Nations system. A/RES/71/243. 21 December 2016.

26. See United Nations (2005). Humanitarian Response Review: An independent report commissioned by the United Nations Emergency Relief Coordinator and Under-Secretary-General for Humanitarian Affairs. OCHA.

27. See IASC (2010). IASC Framework on Durable Solutions for Internally Displaced Persons. Inter-Agency Standing Committee (IASC). April 2010. The Brookings Institution – University of Bern; Corsellis, Tom and Antonella Vitale (2005). Transitional Settlement: Displaced Populations. Oxfam GB; and Sphere Association (2018). Sphere Handbook.



An example of rapidly constructed settlements created without long-term urban planning in Cox's Bazar, Bangladesh © UN-Habitat

Since the Asian Tsunami struck on 26 December 2004, various humanitarian response evaluations, academia, multilateral and bi-lateral donors, and civil society analysts have highlighted some of the challenges that arise from purely humanitarian-oriented crisis response efforts. The humanitarian context in general focuses on protection as humanitarian agencies have urgent lifesaving activities to carry out – guided by both the humanitarian principles of humanity, neutrality, and impartiality (enshrined in UNGA resolutions 46/182 (1991), 58/114 (2004)) and in the Humanitarian Charter (2005). Thus, these agencies may not be able to take wider, long-term planning views amidst these urgent responses.

Development support involves a longer-term agenda, largely guided by the 2030 Agenda and its SDGs, the Paris Agreement, the New Urban Agenda, and others. While both humanitarian and development actors are fundamentally hinged on principles of human rights, they work with differing priorities, timelines, and financing mechanisms, which often makes coordination and collaboration challenging.²⁸ Humanitarian interventions, for example, operate on funding cycles of 6-18 month periods, while development initiatives tend to operate on funding cycles of 3-5 years.²⁹ While humanitarian responses tend to

coordinate with national governments and primarily focus on the protection of ‘persons of concern,’ the development sector actively engages with governments in order to support initiatives and to build capacity for long-term and sustainable progress that can ideally continue without the presence of the UN.³⁰

As discussed in the previous section, crisis-affected people often live long-term in locations planned for short-term and temporary occupation. In most urban and settlement related post-crisis situations, “there is no clear point where needs stop being humanitarian in nature and start being a development issue.”³¹ A key challenge in this continuum is the ad-hoc funding and planning of projects in humanitarian contexts. Without considering the spatial component, vital projects might be carried out without effective integration and correlation with each other. UN-Habitat works with other UN agencies, such as UNHCR and UNDP, to contribute expertise on the planning of both camp-like environments as well as urban extensions and infill to create more sustainable arrangements for displaced communities to transition into well-planned and integrated neighbourhoods. UNHCR serves as the ‘guardian’ of the 1951 Convention and the 1967 Protocol, and works within the UN System to ensure that the rights of refugees are protected. It works at the country level as an interface with government to facilitate the efforts to create better

28. Much of the learning in this document has been captured by the former Head of the Urban Planning and Design Lab, Rogier Van Den Berg, in his Executive Master Policy Paper ‘The Humanitarian Development Peacebuilding Nexus and the need for an area based urban planning approach,’ submitted to the Graduate Institute Geneva in May 2018. These lessons are integrated through this paper, and specific language is cited. Source: p. 8.

29. Anyangwe, Eliza (2015). Is it time to rethink the divide between humanitarian and development funding? With both systems under huge pressure and facing new challenges, how could the aid financing models be reshaped? The Guardian. 4 December 2015.

30. Van Den Berg, Rogier (2018). The Humanitarian Development Peacebuilding Nexus and the need for an area based urban planning approach. Paper submitted to the Graduate Institute Geneva. May 2018, p. 9.

31. Fabre, Cyprien (2017). ‘Urban Crises- World Humanitarian Summit: Putting policy into practice.’ The commitments into action series. OECD Development Co-operation Directorate. Paris, p. 3.

Figure 4: Migration trends into Uganda, 2019

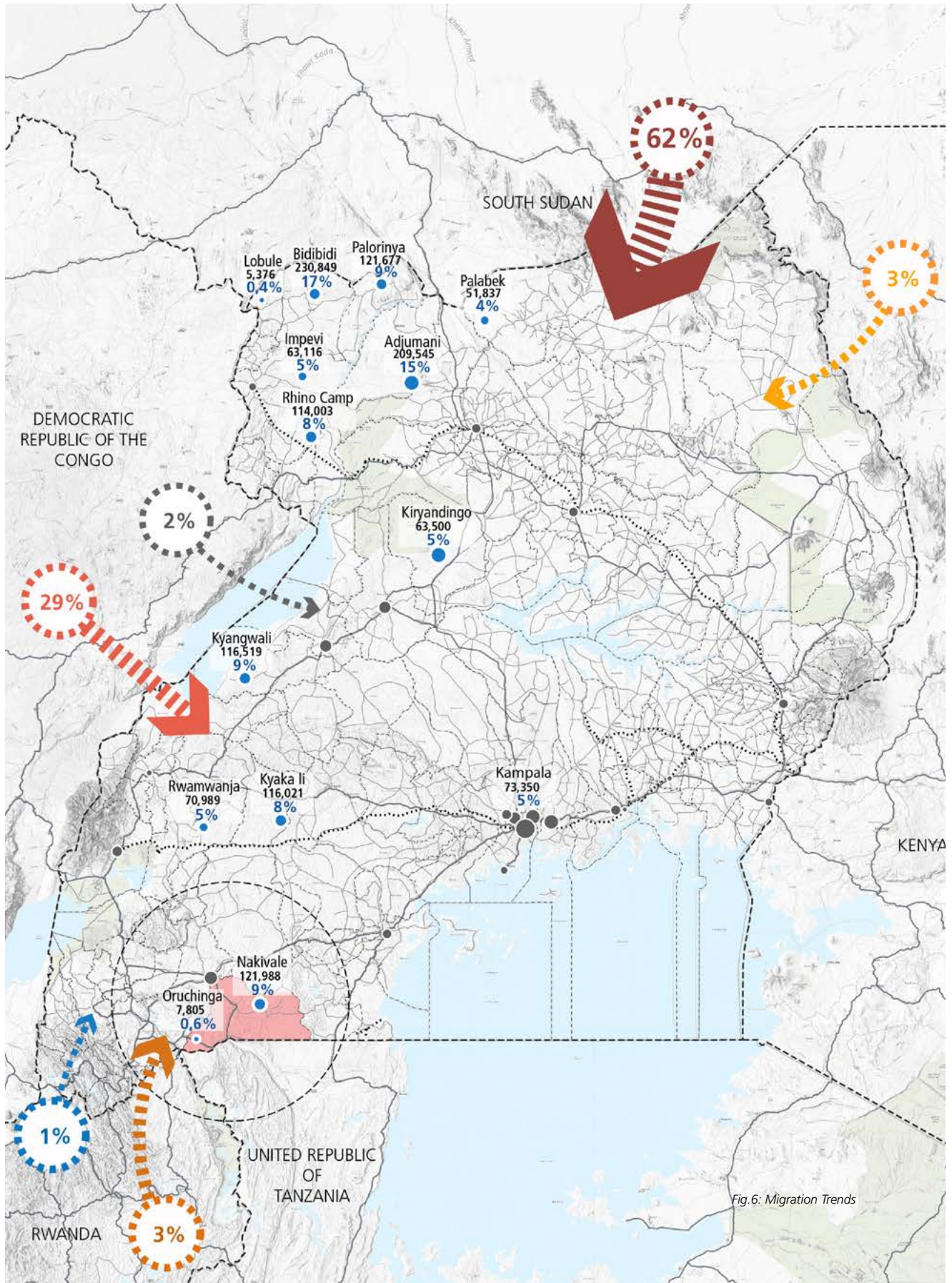


Fig. 6: Migration Trends

synergy between urgent and sustainable work, acting as an important counterpart and sounding board. The aim of these collaborations is to provide multi-sector, spatial, evidence-based information and recommendations to support coordination and collaboration between humanitarian and development actors.

Post-crisis response actors are increasingly confronted with the need to better address settlement and urban issues. There is now consensus throughout the UN System that new approaches should be introduced in the humanitarian set-up. At the World Humanitarian Summit in 2016, then UN Secretary-General Ban Ki-Moon, along with eight United Nations agencies, committed to a ‘new way of working’ to break down the silos between humanitarian and development work and to ensure a holistic approach and more efficient and sustainable use of resources.³² Further detail on the evolution of this ‘new way of working’ and relevant global frameworks is captured in Appendix E: ‘Relevant Global Policy Frameworks and Evolution’.) The UN System has recognized that flawed development can lead to unplanned urbanization, spatial and social inequalities, pressure on natural resources, housing shortages, and unequal access to housing, basic services, and land, thus contributing to an increased risk of and vulnerability to disaster, instability, and conflict.

Following the Summit, the convergence of these topics has been described as the ‘humanitarian-development-peacebuilding nexus,’ in the context of the reforms that took place within the UN Development System (UNDS),³³ which recognized the need for increasing collaboration and integration among these interventions. Another outcome of the Summit was the establishment of the Global Alliance for Urban Crises,³⁴ which brings together an array of multi-disciplinary actors to commit to the principles of the Urban Crisis Charter and to collaborate on the preparation for such crises, with UN-Habitat being a founding member.

The New Urban Agenda, adopted later in 2016, illustrates the interlinkages of sustainable urban development, social integration, and humanitarian response. It elaborates this interconnectedness, emphasizing the crucial role of effective spatial planning approaches and management to building social cohesion and achieving the 2030 Agenda.³⁵ This fundamental shift in how planning is

viewed within post-crisis responses places new urgency on the need to remove the barriers that create silos between actors, and to advocate with the donor community and within the Inter Agency Standing Committee (IASC) for more effective integrated responses to crises that engage humanitarian actors, local partners, and development actors from day one of the response. This can be done by building in funding from donors and partners for urban and spatial planning as a key early component of a successful ‘nexus’ programming.

This publication describes the perspective that UN-Habitat’s Urban Planning and Design Lab brings to the humanitarian-development-peacebuilding nexus, and advocates for the integration of active urban planning and spatial perspectives from the start of a post-crisis response.

32. The United Nations Office for the Coordination of Humanitarian Affairs (UNOCHA) published a policy paper on the ‘New Way of Working’ in 2017, noting that the protracted nature of crises has caused the volume, cost, and length of humanitarian assistance to increase significantly. The paper clarifies the need to pursue collective outcomes, collaborating across silos in the humanitarian-development space, as well as maximizing the comparative advantages of different actors and utilizing multi-year timeframes to properly plan operations that can effectively span this nexus. (UN OCHA (2017). A New Way of Working.)

33. Initiated with UNGA Resolution 72/279 on 31 May 2018.

34. Members of the group include UN-Habitat, OCHA, IOM, the European Union, American Red Cross, UKAid, Habitat for Humanity, the Norwegian Refugee Council, and Cordaid. Please visit the Global Alliance for Urban Crises website at <www.urbancrises.org> for more lessons and analyses.

35. See New Urban Agenda paragraph 25: “We also recognize [...] that the spatial

organization, accessibility and design of urban space, as well as the infrastructure and the basic services provision, together with development policies, can promote or hinder social cohesion, equality, and inclusion,” and paragraph 29: “We further commit ourselves to promoting adequate services, accommodation and opportunities for decent and productive work for crisis-affected persons in urban settings and to working with local communities and local governments to identify opportunities for engaging and developing local, durable, and dignified solutions while ensuring that aid also flows to affected persons and host communities to prevent regression of their development”. See also paragraphs 19 and 78. (United Nations (2016). New Urban Agenda A/RES/71/256* Endorsed 23 December 2016.)



2

TOWARDS INTEGRATED POST-CRISIS RESPONSES

I. UN-Habitat: Elevating urban planning in the United Nations System

Within the United Nations System, the United Nations Human Settlements Programme (UN-Habitat) is “a focal point on sustainable urbanization and human settlements, including in the implementation, follow-up to and review of the New Urban Agenda, in collaboration with the other United Nations system entities.”³⁶ UN-Habitat is mandated by the UN General Assembly to promote socially and environmentally sustainable towns and cities.³⁷ UN-Habitat envisions well-planned, well-governed, and efficient cities and human settlements, with adequate housing and infrastructure, and with universal access to employment and basic services such as water, energy, and sanitation. In the past decade, UN-Habitat has particularly emphasized planning, beginning with its publication ‘Planning Sustainable Cities: Global Report on Human Settlements’ (2009).³⁸

UN-Habitat maintains that urbanization should be viewed as a pathway for improved and more equitable development, rather than simply as a challenge.

UN-Habitat utilizes a ‘three-pronged approach’ to urbanization as an integrative tool, which “advocates for an integrated urban management and urban planning practice

that simultaneously adopts the implementation of (1) an urban/ spatial plan that addresses density, land use, streets and public spaces, and the definition of public and private domains through urban design; (2) a legal plan that contains the rules of land subdivision and land occupation, as well as the regulatory frameworks governing planned urbanization; and (3) the financial plan to mobilize resources of its realization.”³⁹

The Urban Planning and Design Lab

UN-Habitat’s Urban Planning and Design Lab (‘the Lab’) is a UN-Habitat initiative, and its work is the focus of this publication. The Lab was established in 2014 as a strategic mechanism to strengthen UN-Habitat’s capacity to translate the three-pronged approach into concrete action, while opening the door for new collaborations and utilizing the normative work available within UN-Habitat. Its aim is to bring together in-house expertise to contribute to the definition, design, coordination, and implementation of urban projects. The Lab supports UN-Habitat to respond to urgent and diverse needs.

In post-crisis contexts, the Lab operates within the UN coordinating system. UN-Habitat has an established infrastructure of country offices and long-term commitments with Member States and local governments



Ukhiya Camp in Cox's Bazar, Bangladesh, May 2019 © Rohingya Crisis Response

36. Ibid, para 171.

37. See Appendix F: ‘UN-Habitat and its Urban Planning and Design Lab’ for details on UN-Habitat’s mandate.

38. UN-Habitat (2009). Planning Sustainable Cities: Global Report on Human Settlements 2009.

39. UN-Habitat (2016). Working Paper on the Implementation of the Principles of the Planned Urbanization: A UN-Habitat Approach to Sustainable Urbanization.

Box 2: UN-Habitat's planning principles

UN-Habitat bases its work on the principles of sustainable urban development (compact, connected, integrated, inclusive, and resilient) as well as UN-Habitat's five principles for neighbourhood planning, which support the development of neighbourhoods and cities that are compact, integrated, and connected. These five principles are:

1. Adequate space for streets and an efficient street network: The street network should occupy at least 30 per cent of the land, with at least 18 km of street length per km².
2. High density: The density should be at least 15,000 people per km²; that is 150 people per hectare, or 61 people per acre.
3. Mixed land-use: At least 40 per cent of floor space⁴⁰ should be allocated for economic use in any neighbourhood.
4. Social mix: There should be an availability of houses in different price ranges and tenures in any given neighbourhood to accommodate different incomes; 20 to 50 per cent of the residential floor area should be for low-cost housing; and each tenure type should be not more than 50 per cent of the total.
5. Limited land-use specialization: This is to limit single function blocks or neighbourhoods; single function blocks should cover less than 10 per cent of any neighbourhood.⁴¹

These principles contribute to creating cities and neighbourhoods that have a vibrant street life and are walkable and affordable for residents. They lay the groundwork for addressing issues of accessibility, productivity, and inclusion. The New Urban Agenda further informs these principles and presents a roadmap for the next 20 years (2016-2036), with a strong focus on urban planning and design.

which provides access to the political leadership that must be engaged to drive sustainable, locally owned change.⁴² The country offices and regional offices also provide a wealth of knowledge built up through producing country reports and surveys, and maintaining continuous links to different levels of government and awareness of security and other realities on the ground. This structure allows the Lab to contribute spatial and planning expertise in contexts with political instability and in politically sensitive areas that experience migration, informality, and social segregation.⁴³

While the country office provides local contextual knowledge and historical background and linkages with the local government and structures, the Lab brings in agility and design thinking, along with specialized technical expertise.

Through such collaborations, the Lab has been working in several post-crisis contexts, including Somalia (see Appendix B), Afghanistan, and Gaza; responding to the effects of crisis vis-à-vis refugee influxes in Kenya and Bangladesh (See Appendices C and D); and post-disaster planning in Haiti (see Appendix A) and in Ecuador.⁴⁴ These

are the experiences on which the lessons and strategies in this publication are based.

For details on urban planning at UN-Habitat and the role of the Lab, please see Appendix F: 'UN-Habitat and its Urban Planning and Design Lab'.

II. Transforming post-crisis responses to include urban planning

As discussed in Section 1, the involvement of urban planners from the earliest onset of a crisis bridges humanitarian response with long-term sustainable development. The Lab uses an urban planning process that emphasizes the spatial dimension and the participatory approach, which enables coordination, ownership, and local relevance.

In order to address post-crisis situations with a holistic view, the humanitarian-development-peacebuilding nexus requires methods and tools to address emergency situations in locations that also experience entrenched development challenges. Spatial analysis assesses the demographics, the functionality of urban services and utilities, any damages to urban infrastructure, housing, or other aspects of the built environment, the local economy, housing, spatialized social divisions and cohesion, and other considerations. Utilizing the physical and spatial features of the area and its space as a key organizing factor is vital to identifying priorities for action and projects.

The participatory approach and spatial dimension both support the principle of 'building back better.' They

40. In urban planning, 'floor space' signifies built-up space and built-up surfaces. An urban area can include a built-up surface of several floors as it is not necessarily ground/ land space.

41. For more information about these five principles, please see UN-Habitat (2015). A New Strategy for Sustainable Neighbourhood Planning: Five Principles, January 2015.

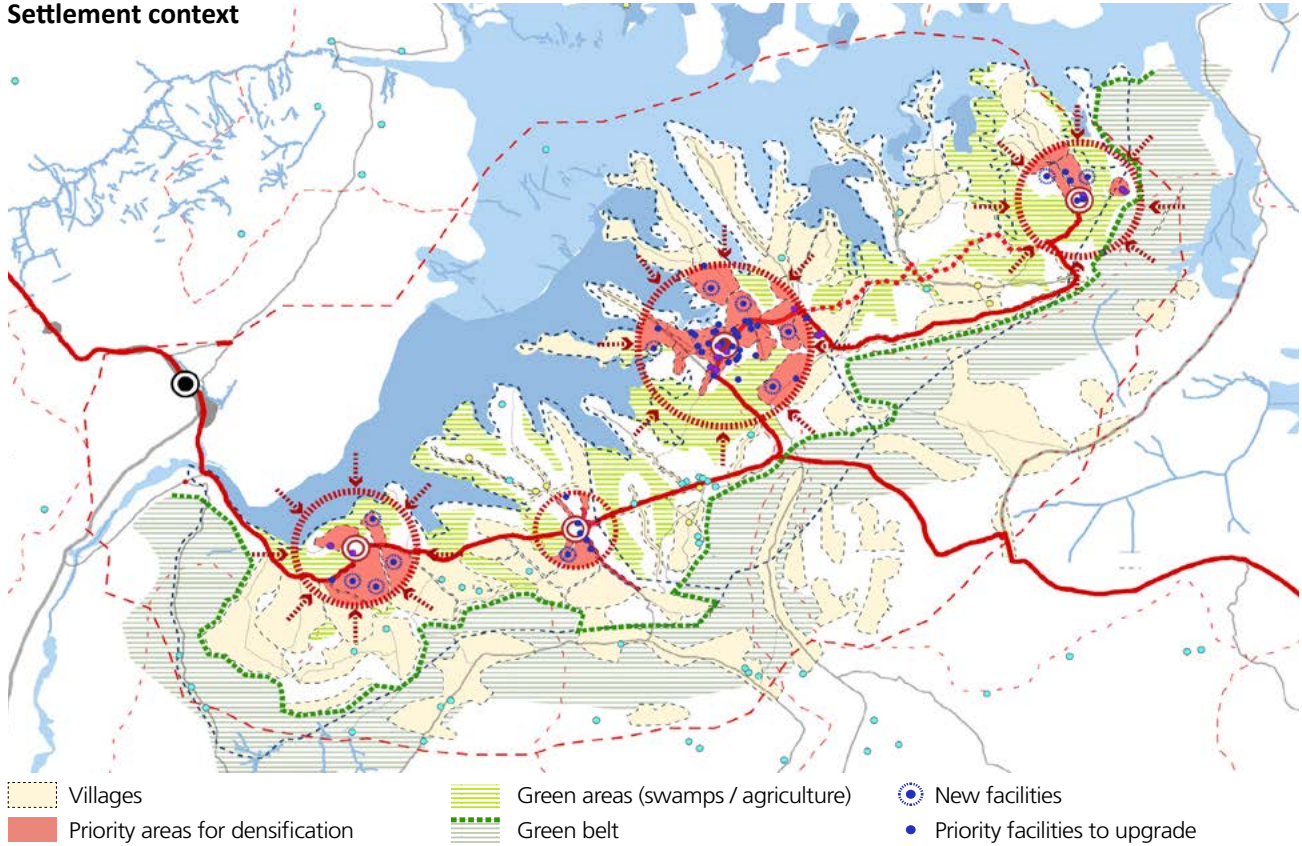
42. UN-Habitat (2016). Urban Planning and Design Labs: Tools for integrated and participatory urban planning. Quito, Habitat III Version 1.0, p. 16.

43. However, the implementation of plans and operationalized projects can be compromised if the capacity of local institutions is not also addressed in any intervention. Source: *Ibid.*, p. 16.

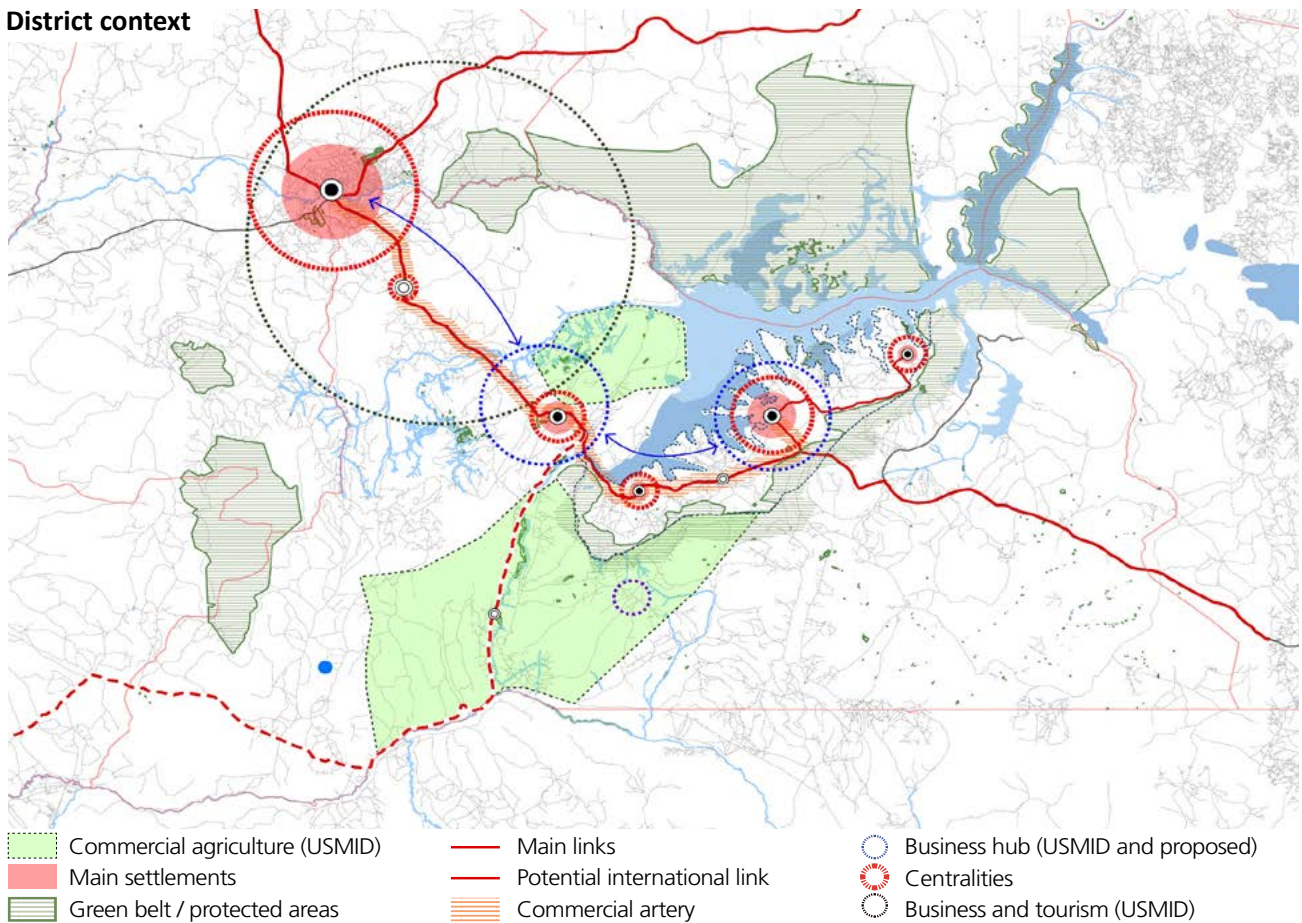
44. The Lab responded to Ecuador's earthquake of 2016, providing assistance to the national government and to six teams of experts that made reconstruction plans for 20 affected cities and towns along the coastal area.

Figure 5: Settlement and District Scale Spatial Integration Scenarios in Nakivale, Uganda

Settlement context



District context



ensure that affected cities and human settlements are more resilient to future crises, disasters, and shocks, and they identify the spatial aspects of inequalities, conflicts, and environmental hazards and disasters. In post-crisis urban and settlement contexts, humanitarian responses must be based on an accurate understanding of the urban environment as well as the spatial realities of the stakeholders involved, including relevant local governments. The Lab introduces this understanding and supports local governments by building their capacity for spatial data collection and analysis.

Participatory, inclusive planning (following the principles in Box 2) can build the resilience of cities and settlements, which are vulnerable to the impacts and shocks that can result from various types of crises, with the effects of climate change and rapid urbanization compounding these risks. According to UN-Habitat's Urban Resilience Hub⁴⁵, "a resilient city assesses, plans, and acts to prepare for and respond to all hazards, either sudden and slow-onset, expected or unexpected. By doing so, cities are better able to protect and enhance people's lives, secure development gains, foster an investable environment and drive positive change."

Adapting to the effects of climate change can save the lives of a city's residents and prevent millions of dollars in economic damage by ensuring that vulnerable settlements are resilient to natural disasters.⁴⁶ This can be done by planning development to avoid vulnerable locations that include steep slopes, wetlands, eroding coasts, waste dumps, and flood-prone or fire-prone areas.⁴⁷ Sustainable resource and environmental management, as well as access to resources such as water and food, can also contribute to livelihood strategies which will increase shared prosperity and reduce risks and resentments that can generate conflicts.⁴⁸ Mixed-use compact cities with efficient, well-planned transportation reduce greenhouse gas emissions and energy consumption, which helps the city to mitigate its contribution to climate change, reducing vulnerabilities of settlements around the world.⁴⁹

While national governments are typically the focal points for humanitarian agencies responding to crises, the local governments are the closest to the populations, and therefore tend to be most affected by the resettlement and arrival of new people, as they are first in line to provide services, shelter, or food. Further, national and local governments are not always in agreement regarding the approach and reception to arriving crisis-affected

persons. Often, local and regional authorities will be more likely than their national counterparts to experience the impact (which is never contained within a given camp or settlement alone) as well as to recognize the potential in these arrivals, who can bring with them opportunities in the form of skills, investments, or consumers. Local governments are often omitted in humanitarian crises; however, no medium- or long-term settlement can be effectively planned without also involving the relevant local and regional governments and other urban stakeholders. As the United Nations promotes coordination within the 'humanitarian-development nexus,' UN-Habitat, drawing on its national-local mandate and convening role, promotes multi-level governance approaches and the empowerment of local governments to act through improved frameworks with strong national and local collaboration.⁵⁰

The urban planning process has also been shown to be an effective platform to bring together groups and encourage community integration, steps which are vital for reducing tensions in a post-crisis situation. The planning process can engage all stakeholder groups, including people in vulnerable situations such as refugees, IDPs, or those in tense or unequal situations, to collaborate jointly on a shared vision and to integrate and share equally in services and municipal benefits, thus reducing social stratification, overcoming the marginalization of vulnerable groups, and building social resilience and cohesion. (See Strategy 3 and Support Type B.)

The Lab advocates that urban planners be fundamentally integrated into each step of the process to guide it and ensure that it is grounded in the physical and spatial realities, while collaborating with and building the capacity of local authorities. Urban planning expertise at an early stage in a post-crisis context can operationalize and contextualize applicable guidelines on the ground, namely the five planning principles (Box 2) and the global frameworks (discussed in Section 1.II), ultimately contributing to an effective transitional development plan starting from the initial humanitarian response.

45. Learn more about UN-Habitat's Urban Resilience Hub at: <<https://urbanresiliencehub.org/>>.

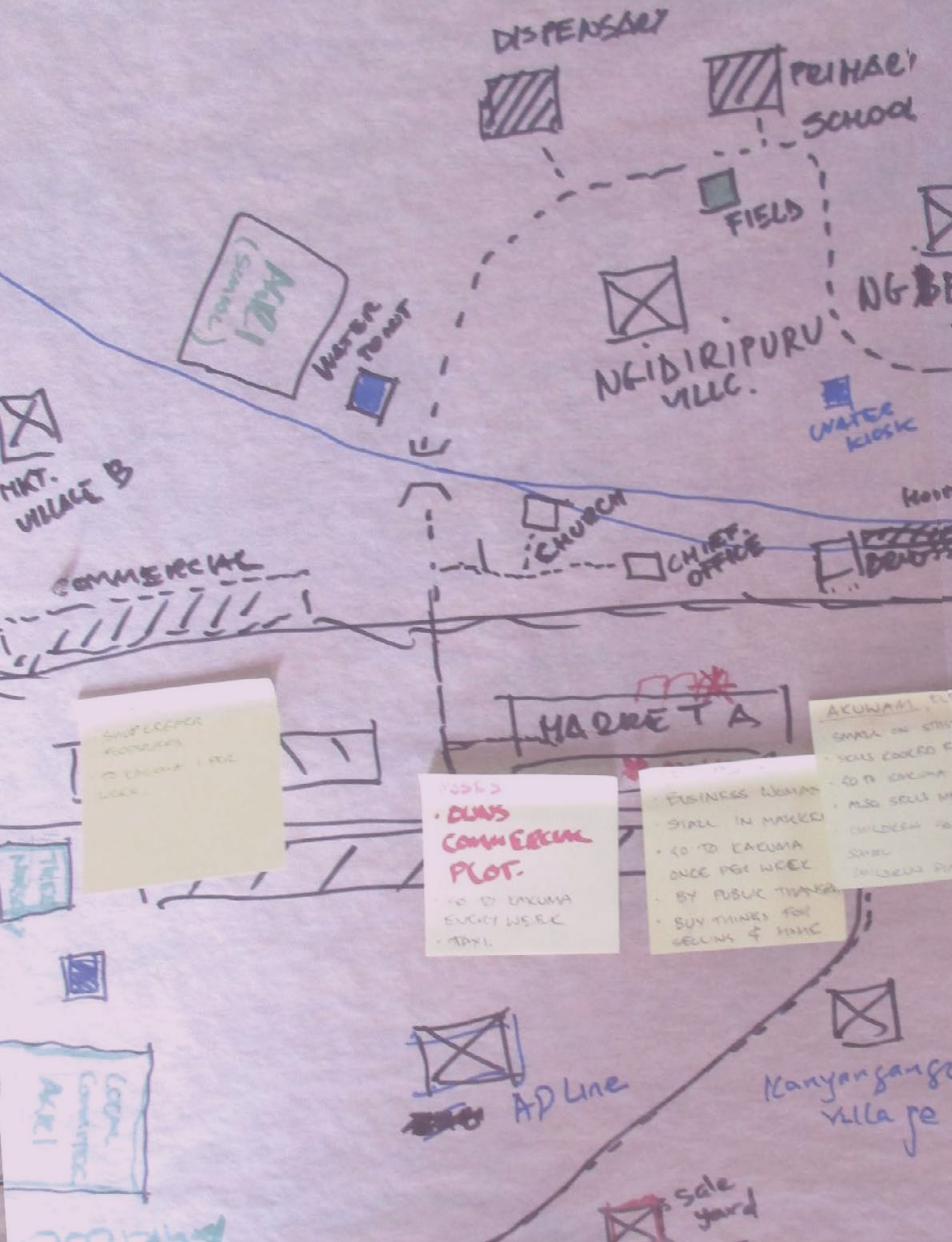
46. UN-Habitat (2016) *supra* note 42, p. 23.

47. *Ibid.*, p. 23.

48. *Ibid.*, p. 21.

49. *Ibid.*, p. 23.

50. In line with the New Urban Agenda, which promotes "cooperation and coordination across sectors and [the building of] capacities of local authorities to develop and implement disaster risk reduction and response plans." Source: United Nations (2016). New Urban Agenda A/RES/71/256* Endorsed 23 December 2016, para 101.



SWITCHES FOR
KITCHENS
TO CHANGE 100V
VOLTAGE

10063
• OWNS
COMMERCIAL
PLOT.
• GO TO KACUMA
EVERY WEEK
• TAXI.

• BUSINESS WOMAN
• STALL IN MARKET
• GO TO KACUMA
ONCE PER WEEK
• BY PUBLIC TRANSPORT
• BUY THINGS FOR
SELLING & HOME

ACUMARI, TU
SMALL ON STALL
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Effective urban planning requires a continuous engagement with the needs and demands of an urban area and its residents, aiming at optimizing the use of land and provision of services, as well as ensuring social inclusion, productivity, and environmental sustainability in the dynamic context of urban growth and transformation. Since a well-planned area will also be more resilient to risks, shocks, hazards, and crises, and will have a strong, inclusive, and cohesive society with minimal inequalities, planning is relevant to crisis contexts in many ways.

Planning in a post-crisis situation requires responsiveness to the specific needs and demands that are not present in normal planning processes.⁵¹ Large influxes of displaced people, large and diverse numbers of stakeholders, tensions between groups, traumatized communities, weak governance structures, mistrust towards authorities, and the politicization of the spatial reality all make the planning process more complicated.⁵² Physical destruction caused by conflict also brings in the challenges of reconstruction and re-establishing functioning settlements. The urgency and the humanitarian demand also require a change of pace in planning for adequate and effective response.

In its 2012 publication 'Post-Crisis Urban Planning: A quick guide for practitioners,' UN-Habitat established ten principles to guide its work on post-crisis urban planning:

1. A spatial framework should be used to facilitate consensus building, improvement of coordination, and creation of synergies between interventions;
2. Funding is essential for sustainable settlement solutions, and humanitarian agencies and donors alike should contribute;
3. People-centred planning processes should focus on addressing survivors and victims as assets not liabilities;
4. Planning should facilitate building back better and increasing resilience;
5. Spatial planning should frame interventions immediately as first steps towards (re)building better neighbourhoods and cities in the long term;
6. Planning should address the impact of crises on human settlements as a whole, ensuring links between infrastructure, services, built environment and livelihoods;
7. Planning should catalyse economic recovery and livelihoods;
8. Planning should integrate environmental remediation and securing environmental resources;
9. Reconstruction planning for destroyed or damaged human settlements should be made in stages and

refined incrementally over time;

10. Planning is a continuous process that must be monitored, evaluated and adjusted as appropriate to meet changing needs.

While these principles may act as guides, the publication notes that "generalizations and simplistic solutions are dangerous. Post-crisis planning should take into careful consideration the specific cultural, social, political, and physical context of the crisis-affected area and the evolving crisis situations."⁵³

Since then, the Lab has built on these principles, deploying innovative urban planning methodology, building local capacities, and consolidating urban planning capacities for crisis-context intervention. This section reflects on the Lab's approaches adopted over the past six years in post-crisis contexts, and how it has responded to the guidance provided by these principles.

Urban planning in the post-crisis context comes with challenges. The most striking characteristics of the urban planning experience in a post-crisis context include:

1. The need to work in parallel on issues that are normally addressed in sequence. For instance, in order to conduct land use planning, land issues must typically be clarified and resolved beforehand. Thus, land use planning proves particularly difficult in such contexts, as land issues such as ownership and entitlement are often unresolved, and lack clarity or agreement. Multiple challenges are often compounded and difficult to address separately and sequentially.
2. The need to guide a large volume of investments made rapidly over a short time, and by a multitude of actors with different mandates, often in contexts where human resources may be scarce or inappropriate for the level of planning and coordination required.
3. The challenges and differences in planning while governance structures are being rebuilt (or are held in trust by the UN) as opposed to working within established local institutional frameworks. In such scenarios, the actors involved as well as the engagements with communities are different as well.

The challenge professionals face in these contexts is to translate best practices, planning principles, and the guidance established in 2012 into a practice that responds to short, medium, and long-term objectives.

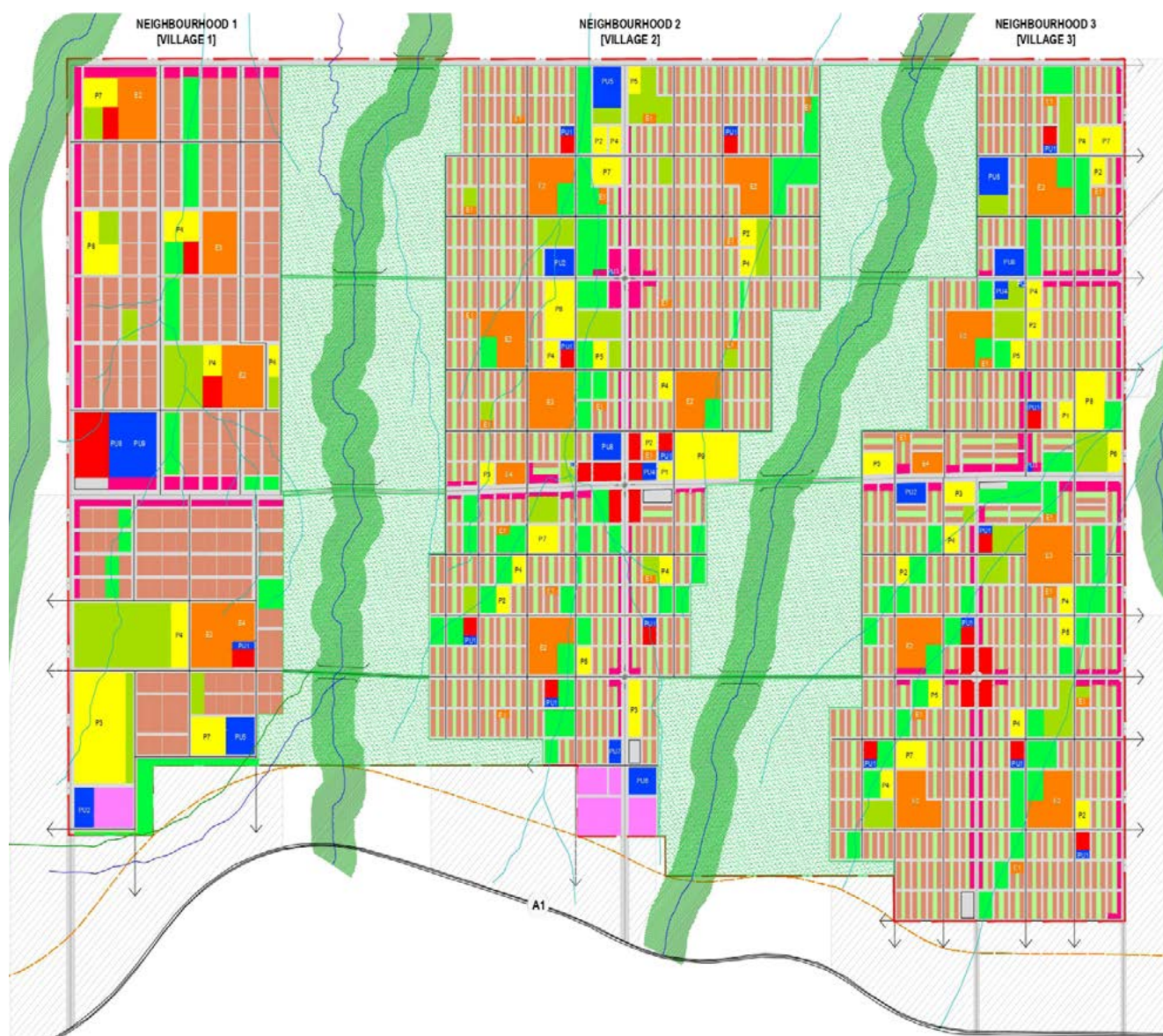
The various strategies of spatial and area-based urban planning in a post-crisis context are laid out in this section

51. UN-Habitat (2012) supra note 4., p.3.

52. Ibid.

53. Ibid, p. 6.

Figure 6: Land Use Plan for Kalobeyi Settlement, Kenya



and illustrated in detail in the specific case studies in the appendices. Not all strategies are applied in all contexts. Each case has its own specificities, and needs to be approached in a tailored way – particularly depending on whether the location is a camp, a new settlement, or an existing urban fabric. These strategies are mutually supportive and form a body of practices and lessons that is of key relevance for the crisis context.

As illustrated in Sections 1 and 2, there is a growing acknowledgement that, without effective urban planning and spatial coordination, investment funding can be wasted and create chaotic and incoherent responses on the ground. Working in many contexts, the Lab has developed different strategies to provide effective planning support and tools, in close collaboration with UN-Habitat field operations and substantive branches. These are articulated below, in ten key strategies.

Strategy 1: Putting special emphasis on the planning process

The planning approach used by UN-Habitat, including the Lab, places special emphasis on the process of urban planning, not just the outputs (various plans and designs). Emphasizing the process requires that professionally sound decisions are achieved through a discursive and deliberative process which involves actors who may not have shared objectives, visions, or understandings of the implications of different scenarios. Using an iterative and capacity development approach is essential to navigate this complexity, establish coordinated goals, and reduce the risk of misunderstanding.

In a post-crisis context, this process has resulted in the creation of sound and effective capacities both in managing the process and in guiding it to effectively reach

disenfranchised communities (in the case of Kalobeyei, Kenya, for instance, the local community was exposed for the first time to spatial planning and its content) and in identifying solutions that achieve a synthesis of interests of different stakeholders, including humanitarian actors who operate in a fast-paced manner, with the need to deploy investments both very rapidly and efficiently. Several of these actors work within their own guidelines and ‘content,’ which is dictated by regulatory frameworks and planning traditions, and by specifications which are often defined by donors.

Hence, the urban planning exercise needs to convince residents of the value of the planning strategies, norms, and standards, to adapt to the local context and needs, and to persuade humanitarian actors of the usefulness of an urban planning approach during and right after a crisis. Thus, there is a learning dimension for all involved.

The process the Lab utilizes includes both stakeholder engagement throughout the process as well as professional planning sessions within the Lab, in an iteration of analyses, syntheses, discussion, and translation into options and solutions, which continues throughout the exercise. Its key steps include urban profiling, (composed of assessments, spatial analysis, stakeholders mapping, and profile reports), prioritization, and the definition and design of implementable actions, and finally the development of strategies for exiting and monitoring the plan and projects. Some of the key components with relevance in a post-crisis context are discussed in Section 4.

Tools that have been used for the urban planning process, such as visualization of the discussions and ideas from the engagement process, are key, as is their presentation in a form that can be communicated to a diversity of actors and that responds to diverse needs. The iteration allows the solutions to be initially polished, better

Box 3: The iterative planning cycle⁵⁴

The Lab has found that planning and design processes are most successful and engaging when they are iterative, including activities (such as analyses, data collection, thematic explorations, participation and workshops, and syntheses) which are repeated throughout the process across different thematic areas and different scales of intervention. Data, as the input for the iterative design process, is interpreted and analysed, and then serves as the basis for the solutions developed. Possibilities and opportunities for development are mapped out throughout the process using tools such as scenarios and models. Any approved document is approached as flexible and dynamic in terms of monitoring, updating, and entering the next levels of detailed area plans. A planning process does not end with an approved plan; it only enters a next stage of detail and iteration again. This ensures that the plan is fit-for-purpose, responding to realities on the ground, and keeps the key stakeholders engaged and informed. In post-crisis contexts, the Lab has found it is particularly helpful to have a continued and trusted presence on the ground to respond to these realities, ensuring that regular meetings are held with all relevant actors in order to verify data and ensure continued ownership and buy-in from the communities to achieve effective iterations (see Figure 3 in Appendix F).

54. UN-Habitat (2016) supra note 42, pp. 64-65.

defined, and finally adopted and owned by all stakeholders. The process again enables directions to be adjusted and decisions to be revisited.

Attention to the participatory planning process encourages buy-in and ownership among the relevant groups involved and therefore can impact how effectively the plan is implemented. Strategy 6 illustrates how the participatory process can engender ownership as well as promote social cohesion. The key references that the Lab uses to orient this dialogue and process are detailed in the strategies that follow.

Strategy 2: Using urban planning as a coordinating tool among actors and activities

The core partners engaged in the process depend on each The core partners engaged in the process vary depending on each specific context, but in the majority of post-crisis scenarios, other UN agencies and humanitarian organizations providing relief play a key role, along with all relevant local actors, including stakeholders from the relevant host and displaced communities and constituencies, and of course the local governments, local organizations, academia, and the private sector, among others.

As noted in Strategy 1, the process itself can be the coordination tool that can integrate project approaches by various actors, thus bridging the humanitarian-development divide. The inclusion of the key donors, investors, and other international actors throughout the process will make defining the plans clearer, as all the moving parts of investment will be on the table through these stakeholders. In post-crisis contexts, the response speed, quantity of deliverables, and administration can dominate the response management. Many operations are tracked via excel sheets, but a spatial analysis makes apparent the physical layout, realities, and inequalities as well as interdependences, connectivity, linkages, trends, and neighbourhood issues. Detailed spatial mapping brings a strong understanding of the physical and environmental conditions, demographics, the functionality of urban services and utilities, the destruction or damage to urban infrastructure, housing, or other aspects of the built environment and multi-stakeholder realities. This is key to identifying priorities for area-based, coordinated actions that will prove to be efficient, sustainable, and well-coordinated in the long-term. For example, this will help to connect projects and experts related to sewage to those working on housing; direct those with engineering expertise working on drainage to address flood-prone areas; and will promote an understanding of where natural areas can be preserved. Without a spatial analysis, needs assessments are often done in siloed projects carried

out by different actors in efforts that do not always reach the ground effectively. Furthermore, there is a significant need for integration around engineering and networks of infrastructure, public space, and basic services. This also helps to lay the groundwork for Strategy 9, which discusses focusing on the implementation and strategic interventions to guide investments.

Other spatial assessment tools, such as city profiling tools applied by UN-Habitat, also provide frameworks for a shared approach. This is particularly effective when the Shelter Cluster system adopts such tools. In the case of Kalobeyi, Kenya, recognition of the value of this approach has resulted in UN-Habitat's chairing of the Shelter Cluster and has influenced the follow-up response in Kalobeyi⁵⁵ as well as new projects in Kakuma and Dadaab camps (in particular, through the EU Trust Fund for Africa of EURO 1,250,000 for joint UN Programming in 2020-2022). Another example, outside of the Lab, is UN-Habitat's role in supporting the people of Syria, where urban and spatial analysis expertise has informed the Humanitarian Needs Overview (HNO) and Humanitarian Response Plan (HRP), and formed the basis of a major multi-agency joint urban recovery programme.⁵⁶

Introducing the spatial coordination of actors ensures that efficient collaborations are integrated within a logical spatial framework. Joint and integrated programming further promotes multi-stakeholder engagement and can accelerate the implementation of durable solutions by effectively bringing together the knowledge, skills, and utilities of the broad range of stakeholders, including national and local governments, civil society, international organizations, UN agencies, media, and crisis-affected persons.

Without spatial coordination, vital projects can be scattered, disconnected, and not well-tailored to the specific context or operating under an overarching goal. For example, basic services and transport can be poorly connected with the residential areas. Urban interventions are undertaken by various UN agencies across various mandates, and when urban planning is integrated from day one, it can be a vital coordination mechanism which ensures cohesion across the wide range of settlements and urban interventions and leads to collective outcomes.⁵⁷

This is where an area-based approach proves key, and the Lab has found success using its expertise in

55. Funding support has been primarily via the Swiss Agency for Development and Cooperation (SDC) through Cities Alliance, the EU Trust Fund for Africa, and the Government of Japan.

56. UN-Habitat supports communities in post-crisis contexts around the world through its various offices and programmes. To read more about support UN-Habitat provides in Syria, please visit <<https://unhabitat.org/syrian-arab-republic>>.

57. As defined by UNOCHA, 'collective outcomes' are a foundation of responding to displacement crises. Read more in UNOCHA's 'Achieving collective outcomes' at: <<https://www.unocha.org/ending-protracted-internal-displacement/achieving-collective-outcomes>>.



Refugee settlements in Turkana County, Kenya © UN-Habitat

spatial analysis and coordination to influence the way that UN agencies coordinate well in each location. Joint and integrated programming promote multi-stakeholder engagement and can accelerate the implementation of durable solutions in displacement contexts by effectively bringing together the knowledge, skills, and utilities of the broad range of stakeholders, including national and local governments, civil society, international organizations, UN agencies, media, and crisis-affected persons. This is applicable for the planning of urban extensions or densification as well as tenure arrangements, establishing planning standards, etc.

The spatial coordination of actors ensures that the work in urban areas is conducted based on all relevant factors: spatial analyses which assess demographics; functionality of urban services and utilities; any damages to urban infrastructure, housing, or other aspects of the built environment; the local economy; and other considerations. This coordination helps to promote prioritized actions and ensure that they are efficient, sustainable, and well-coordinated in the long term, while leveraging the respective knowledge, skills, and utilities of the relevant range of stakeholders and actors present.

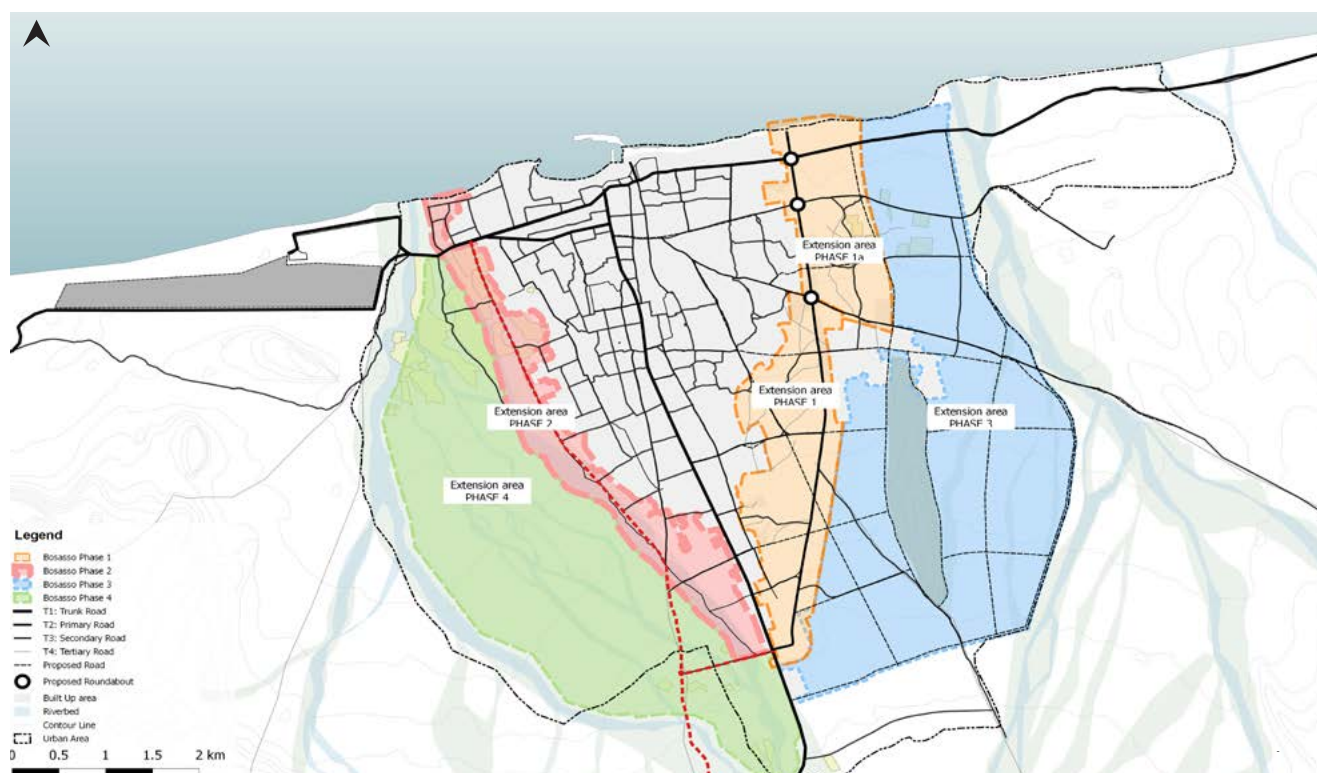
Planning tools and an existing physical plan, along with a related common understanding, have supported the deployment of emergency responses during the COVID-19

crisis in Kalobeyei, by providing clarity on the provision of extra health services and food distribution.

Strategy 3: Quickly structuring an orderly settlement of land for effective service delivery and management

The urgency of the humanitarian demand and response defines the efficiency and pace of the planning intervention. Although planning is normally a lengthy and detailed process, the post-crisis context does not usually allow for this. Therefore, the Lab has found that adaptation is needed, and a simplified urban planning process representing basic initial solutions can be utilized, considering the overall availability of resources and capacities. While governance and other key structures are being rebuilt, rapid planning can be used to quickly define priority areas, to form proposals, and to support a long-term vision for short-term response projects.

The Lab has been successful in employing an incremental approach for initial assessments, using existing tools which incorporate most recent technologies, such as for environmental, geographical, spatial, and socio-economical mapping processes, to name a few. Data being collected by the humanitarian partners and others can also feed such assessments. Furthermore, the current state of

Figure 7: City Extension Plan for Bossaso, Somalia**Box 4: Providing remote support in Bossaso, Puntland, Somalia⁵⁸**

In 2016, Bossaso, Puntland, in Somalia, had a population of roughly 400,000 and was the third largest urban centre in Somalia. It was receiving a large influx of IDPs, who were largely settled on the outskirts of Bossaso, with minimal connections to the main city. In this context, the Lab was requested to contribute urban extension plans, which required extensive data, and technical quality assurance. The Lab utilized satellite imagery, Open Street Maps data, as well as information shared and validated by the Somalia Programme and field office to map the basic infrastructure. When detailed property data became available later in the process, specific assumptions were validated, and the Lab could estimate gaps and challenges in public services provision (such as schools and health centres). Given the iterative cycle of urban planning and design, this experience demonstrates that even remote or limited data can be used to begin the process, and further details and verifications can be incorporated as they become available to improve the accuracy of the plan. See Appendix B for further information.

technology provides new and vast resources of publicly available data, and quick data production tools allow the Lab to begin planning processes even in locations with little formal data. These advantages can critically accelerate the pace for data collection and expedite analyses which will provide a suitable basis for initial solutions, as discussed in Strategy 2. (See also Support Type A in Section 4.)

The allocation of space for different uses ensures a functioning layout and equitable distribution of resources, while protecting key natural resources and avoiding vulnerabilities and risks (such as flood areas). Setting up a

clear structure is also fundamental for basic services to be delivered, and for access to collective services (e.g. schools, waterpoints). Such a structure is an excellent support for management and coordination, and should also be simple to implement and follow. The experiences of planned city extension are an excellent reference for this. And the Lab, with its experience in working on new settlements, as well as urban extensions, has a set of tools to estimate the proportion of land for public and private space, identify the locations of key services and facilities, and assess environmental risks and opportunities, adapted to the typologies of issues and settlements.

58. UN-Habitat (2016) supra note 42, p. 45.

Securely occupying adequate land is fundamental as part of a long-term response, including security of tenure, to prevent displaced persons from residing in high-risk areas. When securing the orderly occupation of land, developing a detailed understanding of all relevant land interests by actors and members of the community is important for an adequate, appropriate response in order to prevent land grabbing or disputes. Adequate coordination with local authorities should be conducted, and mapping can be undertaken to identify the availability of existing essential services and social infrastructure and the capacity for upgrading and expansion. The Lab calls upon other UN-Habitat experts to ensure that land issues are factored in as soon as possible and can, if necessary, be adequately resolved. In situations where displaced populations require accommodation, there are several possibilities, which are described in more detail in Strategy 4.

Strategy 4: Setting the area on a trajectory of long-term sustainability

Settlements that are developed with only a short-term response in mind risk becoming inadequate, over time, in addressing the needs of the inhabitants, including the wish for self-reliance, and are often not able to absorb changes in density, respond to new dynamics, or support any further development without extended solutions. Retrofitting is a huge issue, often costly and ineffective. Anticipating the potential population needs is far more cost effective than reacting to problems as they develop, and unplanned spatial patterns are inefficient and require more resources to maintain. The absence of forward-thinking, good urban planning is costly, and impacts are likely to be irreversible.⁵⁹

Working on a long-term trajectory acknowledges the fact that many settlements may exist for a long period and, although many features may change and transform, their initial layout and key planning decisions will determine their sustainability. Addressing long-term needs may require making choices that may be difficult to understand or prioritize in the short and urgent term. But, the Lab has found it vital to address such concerns at the outset and to provide responses and solutions that are incremental to ensure a long-term perspective.

The key dimension that emerges in this context relates to the decisions on the layout and patterns of the plan. The location of facilities, and even the shape of the plots, must reflect the long-term requirements for evolving settlements. It is important, for instance, to consider that people will not settle forever in tents – they will aspire to improve the quality of their housing. They may also aspire to eventually be able to engage in economic activities, and

families may grow and expand.

As described in Strategy 1 and Appendix F, the Lab approaches urban planning as an iterative process from analysis to implementation. In post-crisis contexts, the Lab has found that utilizing a variety of planning tools has been helpful. **A city-wide strategy** allows for the guidance and prioritization of developments. It assesses the key objectives for future development and the direction of urban extensions and/or urban infill, balances the urban and the rural areas and needs of different population groups, identifies valuable landscape elements to be protected, defines key transformative projects and infrastructure needs, and formulates evaluation criteria.⁶⁰

A planned city extension offers a solution to cities that are confronted with rapid urbanization or with high growth rates that can often be caused by migration from areas of conflict.⁶¹ Such influxes, often in the peripheral areas of cities, require the rapid anticipation of growth. Planned city extensions can accommodate crisis-affected persons who cannot be adequately absorbed into the existing urban fabric through formal planning processes, avoiding informal housing development often associated with displacement in urban areas. Extensions focus on the basic urban structure and basic rules and regulation at a sufficient scale to accommodate rapid growth and to secure development opportunities for residents over time in the future.⁶² The resulting extensions often require balance between local, regional, and national governments, depending on the scale (and mandates) involved in establishing these extensions, which for some large urban areas can cross boundaries and jurisdictions.⁶³

Urban regeneration, infill, and renewal are processes of renewing, regenerating, and transforming inner neighbourhoods within the core urban fabric (i.e. not on the periphery). These efforts can complement extensions, focusing on regenerating the economically underperforming or neglected areas,⁶⁴ and they can include the extension of individual housing units to create rental accommodation for displaced population.⁶⁵ The Lab introduces these tools and brings the required UN-Habitat in-house expertise to each situation.

Such typologies have been developed in crisis contexts in Kenya (new settlement), in Somalia (city extension), and in Haiti (urban improvement/retrofitting). These case studies are described in detail in the appendices. Linking post-crisis planning with the experience of settlement planning in non-crisis contexts enables sustainable options

59. UN-Habitat (2012). *Urban Planning for City Leaders*. HS/090/12E, p. 15.

60. UN-Habitat (2016) *supra* note 42, p. 34.

61. *Ibid.*

62. *Ibid.*

63. *Ibid.*

64. *Ibid.*, p. 35.

65. *Ibid.*

Box 5: Housing, land, and property (HLP) rights and conflict

A lack of tenure security, or inadequate tenure security, significantly complicates humanitarian responses and elevates the risk of vulnerable populations, particularly female-headed households. Without housing, land, and property (HLP) rights, it can be difficult for affected populations to return home, to access basic rights in a new location, or to resettle in a new location that may offer greater safety and better opportunities. UN-Habitat has worked increasingly with other UN agencies to promote HLP rights as a key component in the UN system-wide approach to post-crisis scenarios and has been leading the UN's work on land and conflict. UN-Habitat works to promote HLP rights globally and has led UN studies and collaborations with UN agencies and partners to: (1) Identify fit-for purpose land administration approaches; (2) Establish a continuum of land rights approaches; and (3) Build an issue-based coalition on land and conflict of UN and non-UN actors to operationalize common priorities.

UN-Habitat has led the drafting of multiple guidance documents on land, HLP rights, and conflict, and the Executive Office of the Secretary General has requested UN-Habitat to lead on the Guidance Note of the Secretary-General on 'The United Nations and Land and Conflict' (March 2019). The Guidance Note aims to make the UN System more responsive to the emerging needs of Member States and populations, providing guiding principles and a framework for UN Action for a common strategic approach to land and conflict. The Framework for Action identifies potential entry points to integrate land issues in conflict analyses, planning, and assessment processes; and supports the engagement of UN leadership and outlines key activities to consider in areas of UN work. It further provides guidance on partnership and the use of practical tools for analysis, coordination and programming. To learn more about these issues, please read the full Guidance Note and visit UN-Habitat's Global Land Tool Network website.⁶⁶

to be brought forward and considered. Through visioning and scenario options, a longer-term perspective can be discussed and deliberated upon. Linking with the plans and visions of local authorities and host communities becomes an obvious necessary step (strategies 6 and 7). Although it may be too early to assess the performance of different types of layouts, the recent COVID-19 crisis has provided an unexpected test of the resilience of refugee settlements.

Strategy 5: Using a principles-based approach

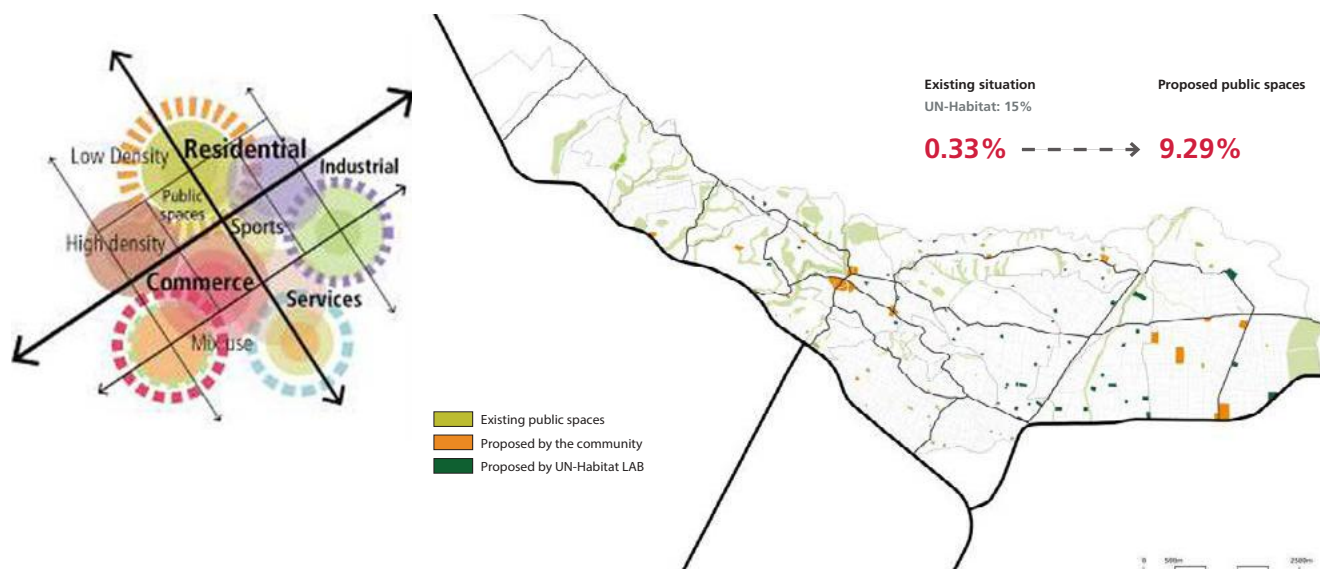
While each context is certainly different, the Lab strives to adapt UN-Habitat's global normative tools and lessons to the specific context, grounding its advice and services in broader, more aspirational goals for the locations. This approach focuses on urban planning work being about the interest of the city or settlement as a whole – the process of planning centres the commons (including natural resources, climate, public health, resilience, and safety) and the development of urban assets (public space, adequate housing, infrastructure, as well as a social mix) which are needed for residents and businesses to develop and to thrive. This is especially important to centre in post-crisis contexts, to ensure that planning centres the right principles and does not focus only on the most affected areas, without an integrated and long-term view. A principles-based approach is also a vital enabler for Strategy 4.

UN-Habitat's three-pronged approach (see Appendix F for further details) provides important methodological guidance; linking urban design, finance, and legislation allows for the early introduction of issues of enforcement and management, the overall business model on which the settlement is built and sustained, and the design options that best respond to the local situation and best integrate with the finance and legal provisions. It also enables the examination of how the settlement evolves over time, where new actors take different and increasing roles (humanitarian actors making space for local authorities, for instance), and finance moves from fully donor-supported to more endogenous, with a local resource base. This perspective requires long-term considerations and vision as it foresees refugee camps that can function as settlements integrated within or attached to cities, or indeed as cities in and of themselves, and establishes conditions for that to happen incrementally. (See Appendix C on Kalobeyei, Kenya, for an example of this perspective and incremental transfer in action.)

Design principles (derived from the 'Five principles of sustainable neighbourhood planning' described in Box 2) provide a basic grammar of settlement layout, and reference parameters on density, public space, and land-use, which are powerful discussion tools both with the institutional actors and with the communities (both host and crisis-affected

66. See <gltfn.net> for more on the Global Land Tool Network. Also see UN-Habitat's additional publications, such as 'Returning home: Supporting conflict-affected

people through housing,' (2014), 'Supporting safer housing reconstruction after disasters: Planning and implementing technical assistance at large scale' (2019), or 'Housing, land and property issues in Lebanon: implications of the Syrian refugee crisis' (2014) for further details and country examples on housing approaches in post-conflict areas.

Figure 8: Planning principles applied in Canaan, Haiti

Principles for a compact and mixed-use city.

Principles for a compact and mixed-use city. Right: Planning public spaces in Canaan following UN-Habitat principles and goal of 50 per cent public space allocation. See Appendix A for more details on the support provided in Canaan, Haiti.

persons). They make explicit the challenges of certain settlement models and the importance of discussing plot size and orientation, density, and the role of public space. They bring a longer time perspective, force discussion on longer time horizons, and question the concept of basic settlements elements. In particular, the discussion on mixed use forcefully introduces the issue of economic activities and tends to move the perspective beyond the donor-driven emergency response.

A human rights-based approach, and the principles of doing no harm and never entrenching or creating resentments or social divisions, also underscore the Lab's work (see also Strategy 6). Housing, land, and property (HLP) rights are also central to this approach, and are discussed in Box 5. Urban planning both promotes these rights and requires that they be carefully considered in relation to the planning work and the implementation of the plan. Planning interventions in Kalobeyei and Somalia have been accompanied (or preceded) by UN-Habitat's engagement on HLP rights.

While the noted principles may seem theoretical, the experience of the Lab has shown that when these principles and the related tools are engaged in a local process and translated into concrete solutions, there is significant impact in both the short and the long term. These solutions clarify where to locate services, the role of public spaces, and typologies for density and mix. This allows planners to identify and block out the adequate areas early on, by, for example, setting aside adequate area for public spaces and streets in a strategic manner, rather than focusing only on the immediate construction of roads or other urgent or ad hoc infrastructure projects.

Strategy 6: Including and consulting to foster social cohesion and ownership

Within any post-crisis context, the planning approaches of UN-Habitat seek to 'do no harm' as a core principle in line with global UN frameworks, (i.e. avoid creating divisions between communities or entrenching any existing inequities or resentments). In order to reach the goal of creating a more equitable, socially cohesive, and inclusive society that is based on human rights principles, a meaningful participatory process including all relevant stakeholders is vital to foster a sense of cohesion among the groups and ownership of the plan and the shared space.

There is a global acknowledgement of the need to rethink the way crisis-affected people are viewed – rather than being considered helpless or passive recipients of aid, they are starting to be considered an asset to urban systems. By framing displaced communities as potential assets and neighbours in a spatial frame, the process can serve a peacebuilding role and encourage the different communities to come together in recognition of the limited physical space under discussion.

Women, youth, minority groups, and other disadvantaged communities typically have less social, economic, and political power and are less represented in formal leadership structures. Action and solutions are therefore required to ensure that the specific risks they face are taken into consideration. Participatory assessments, gender strategies, and social and legal protection systems can be put in place to encourage more inclusive actions that prioritize the most vulnerable.

Tensions and conflicts between hosts and displaced communities are apparent and real. A large displaced

Box 6: Reducing tensions between host and refugee communities in Kalobeyei, Kenya

In 2014, after renewed conflict broke out in South Sudan in December 2013,⁶⁷ a new influx of refugees arriving to Kakuma camp in Turkana County, Kenya, surpassed the camp's capacity. By June 2015, Kakuma hosted a population of 183,000 people, compared with the capacity of 70,000 that it was designed for.⁶⁸ In this context, the longer this situation continued, the more the area's scarce natural resources became a source of tension and conflict.⁶⁹ When the decision was made to establish Kalobeyei new settlement nearby, one of the goals was to reduce the tensions between the host and the refugee communities, by bringing both groups together and making them feel equally engaged and included in the planning process. The perception that refugee communities received assistance that was unavailable to the host community, while depleting the host community's scarce resources, was addressed in Kalobeyei through a long-term strategy and participatory process that highlighted the mutual benefits for both communities, while developing capacity and ownership. UN-Habitat created a Settlement Development Group for the host community and a Settlement Development Group for the refugee committee, which included diverse membership representative of age, gender, and levels of vulnerability. The groups were both updated on the project and its goals, as well as trained in town planning and livelihoods generation. They engaged in participatory planning workshops and had the opportunity to provide feedback on and validate the key emergent issues as well as the UN-Habitat proposal for integrated host and refugee community planning.

population that must be accommodated within a host community can put a significant strain on the existing settlement or city due to shortages and competition over access to limited resources and services, perceptions of unequal benefits and entitlements, competition for livelihoods and opportunities, rising costs, and competition for adequate housing and shelter caused by increasing populations.

While UN urban planning processes are based in human rights and the assurance that access to various urban benefits is equitable, care must be taken to ensure that the process of planning in such contexts does not create a perception of unfair privilege, which can contribute to tensions. Specifically, situations in which aid is provided only to the displaced groups can cause resentment from host communities, which must also be considered in order to create cohesive communities that will remain stable for the long-term.⁷⁰ (See Box 6: Reducing tensions between host and refugee communities in Kalobeyei, Kenya). The Lab has found it essential to consider the needs of all communities, particularly of vulnerable groups, and to reduce discrimination and put in place fair and equitable systems for the dignity and rights of all (e.g. through access to transportation and to water and sanitation services).

Similarly important is the engagement of all segments of society, including host communities and the displaced, in the planning and management of settlements. Further, such processes can serve a peacebuilding role, encouraging

communities to come together and to create a shared vision and narrative of an improved future. A clearly articulated and easily understandable vision can mobilize people and coordinate efforts.⁷¹ In urban spaces and other human settlements, the physical space where the affected communities are located is often limited, causing additional stress to displaced populations and highlighting any conflicts or disagreements, and the interdependence of the various groups involved.⁷² The community engagement process bridges gaps and promotes integration. If done well, the engagement of many stakeholders in the planning process can bring actors together to jointly develop – and own – integrated solutions.⁷³

Kalobeyei, discussed in Box 6 and in greater detail in Appendix C, also provides valuable lessons for the COVID-19 pandemic. Due to the additional strain on resources, host communities' capacities, and humanitarian and development organizations' capacities, there is potential for the pandemic to create and/or exacerbate tensions between host and displaced groups. Given the nature of the virus, pandemic responses and programming in post-crisis areas may be more successful if they take a holistic, spatial lens and consider integrated approaches that promote mutual benefits as well as social cohesion between host and refugee communities.

67. UNHCR (2020). 'Kalobeyei Settlement,' UNHCR website

68. Ibid.

69. UN-Habitat (2018). 'Kalobeyei Advisory Development Plan (2016-2026),' Kalobeyei Integrated Socio-Economic Development Programme. September 2018, p. 24.

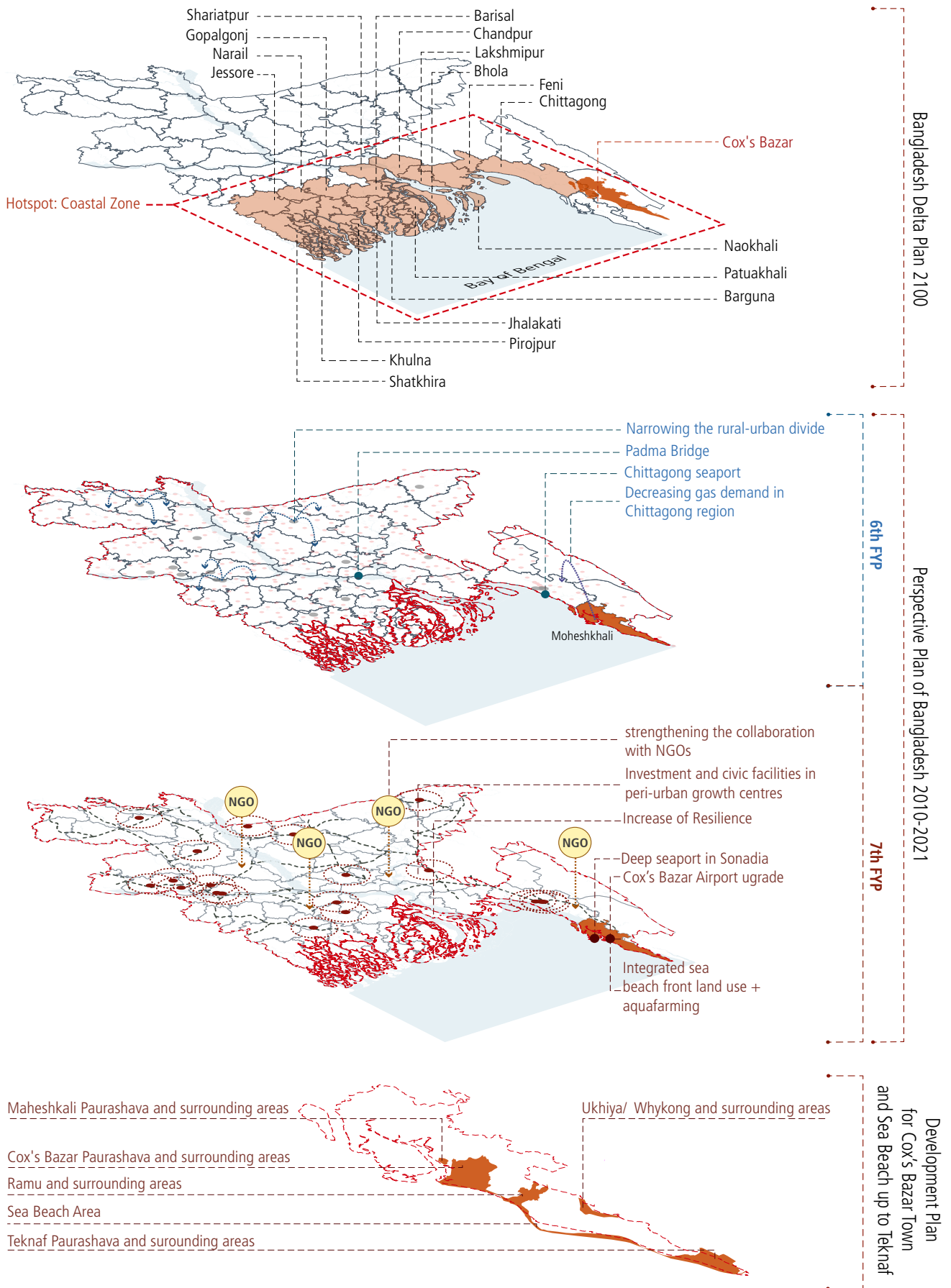
70. Fabre, Cyprien (2017) supra note 31.

71. UN-Habitat (2016) supra note 42, p. 67.

72. Van Den Berg, Rogier (2018) supra note 30, p. 12.

73. Cross, Tiare and Andrew Johnston (2011). 'Cash Transfer Programming in urban emergencies. A toolkit for practitioners.' The cash learning partnership, Oxfam House.

Figure 9: Planning across scales and geographies in Cox’s Bazar, Bangladesh



Box 7: Introducing a regional perspective to camp investments in Cox's Bazar, Bangladesh

As of December 2019, over 900,000 stateless Rohingya refugees from Myanmar reside in the District of Cox's Bazar, spread across 34 extremely congested camps. Given the scale of the situation, UNHCR requested that UN-Habitat introduce a spatial planning perspective to the dense area, inviting a planner from the Lab to join UNHCR's team to find a more strategic way forward. The humanitarian approaches are typically sectoral, with each cluster focused on its own agenda. In the Cox's Bazar context, the Lab promoted a greater understanding of the spatial realities and conditions for not only the UN entities involved but also for the local governments, helping the district to see the humanitarian investments for the benefits that they will also ultimately provide for the locality, even after the potential departure of UN agencies and the refugees. By working with the district government to frame the infrastructure developments as having a future benefit for the district, and by creating frames through current and clear spatial strategies, the Lab laid a foundation for the infrastructure to be taken over by line ministries in the future. This contributed to immediate and urgent humanitarian investments also serving long-term development goals, and linking those investments with wider spatial realities and the needs and infrastructure and population realities in the district.

Strategy 7: Planning with the larger geography

The needs and issues of a given location should not be isolated from the surrounding areas, and an understanding of the interconnected urban and environmental systems is necessary to properly plan any approach. Therefore, although a crisis can be concentrated in space (and time), responses addressing longer term development and impacts must consider the larger contexts and their dynamics.

An understanding and mapping of camp-like and other settlements as being heavily connected to the nearby settlements, communities, and the overall physical, social, and economic fabric and life of nearby areas is important in creating effective processes and plans. For example, while refugee settlements may often be planned as isolated camps without functional relationships to the surrounding areas, the ultimate effect and impact on surrounding areas as well as on the local governments demonstrates the de facto connections and the importance of taking a wider spatial perspective.

This supports the consideration of the host community in the process (Strategy 6) and allows the identification of opportunities and systems of interaction that can contribute to the sustainability of the settlements. Zooming in and out of the area being considered, to look at actual interactions and potential ones, is a fundamental approach to sustainable planning and, applied to refugees or post-crisis contexts, can expand some of the most entrenched work modalities of the humanitarian interventions that focus narrowly on 'people of concern' and their immediate environment.

Strategy 8: Connecting and aligning with the local government perspective and role

A vital component throughout the urban planning process is supporting local authorities, who are fundamental

actors who are often not adequately included or integrated in post-crisis, emergency, and humanitarian contexts. Without the full inclusion and commitment of leadership from the local government, the implementation and local ownership and maintenance of planning work may not provide long-term capacities and change.⁷⁴ With its mandate to act as a focal point within the UN System for local governments,⁷⁵ including regional, provincial, federal, and other territorial governments, UN-Habitat integrates the capacity development of local governments into the process from the start of its interventions.⁷⁶

Typically, local governments are instrumental in delivering basic urban services such as water, sanitation, transport, employment opportunities, protection of the environment, access to public space, and urban safety. In most contexts, local governments are directly elected by the citizens and thus have the proximity, legitimacy, and scale to serve as the first layer for people's participation in public affairs; and are the closest layer of government to attend to people's primary needs.

Stable urban governance is crucial for building resilience in post-crisis cities. Successful local leadership can use participatory processes as well as transparent and accountable communication of plans and progress, and these planning processes can help local governments to build a relationship with the public.⁷⁷

Often planning techniques are used in simplified and generic ways, such as large-scale zoning or mono-functional purposes, not recognizing or reacting to the specific local issues and populations' needs. Furthermore, planning skills may be lacking in post-crisis contexts. Building the planning capacity of local governments is a key element of

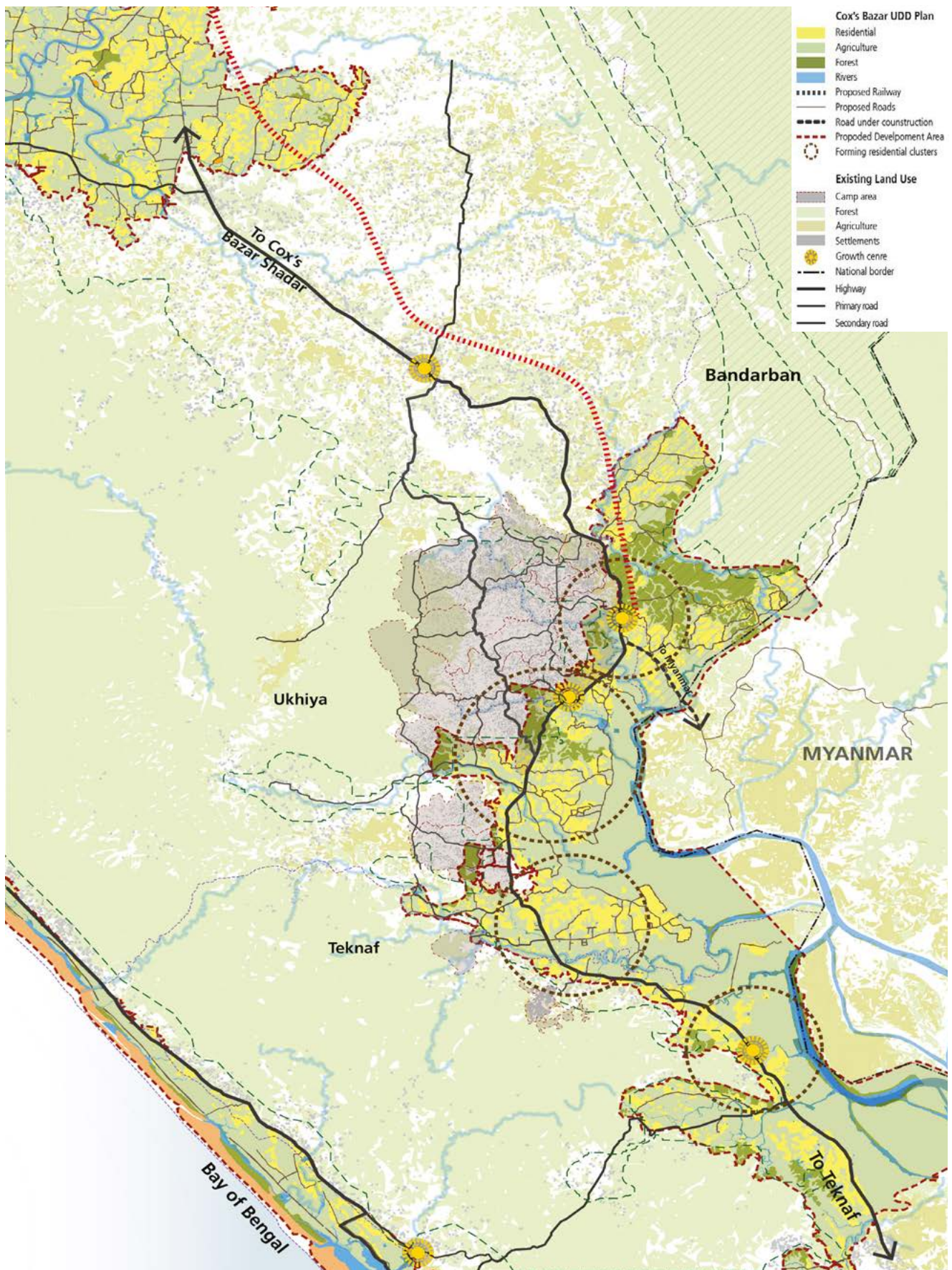
74. UN-Habitat (2016) supra note 42, p. 17.

75. This role is further reinforced in both the Habitat Agenda (1996) and the New Urban Agenda (2016), which both underscore the importance of local governments as well as the role that they play in the effective realization of the global goals.

76. UN-Habitat (2016) supra note 42, p. 40.

77. Ibid, p. 57.

Figure 10: Spatial analysis of the Ukhiya camps and linkages with surrounding areas in Cox’s Bazar, Bangladesh



Box 8: Continuous strategic coordination and an open planning approach in Cox's Bazar, Bangladesh

Through its secondment of staff to UNHCR in Cox's Bazar, the Lab facilitated the rapid production of profiles and spatial maps and analyses to a high standard in a short amount of time. Spatial, road planning, and site planning standards were aligned with the protection, shelter, and WASH sectors, and were reviewed directly with humanitarian actors. The Lab's spatial coordination and planning expertise informed the rapid and continuous prioritization of projects. Through continuous coordination and an open planning approach, each step of infrastructure investment could be assessed in context, input was provided to prioritize the best investments and developments, and changes were also made that significantly increased the value of the investment for the local government.

urban planning strategies in such situations, and must be integrated throughout each component of the process.

Urban planning can serve as a method to integrate local government into the humanitarian-development nexus process, and these authorities should be included from the earliest possible stage to build the linkages and trust between themselves and the displaced and host communities, to establish their role and partnerships in relation to the national government. This establishes the planning process in alignment with and in support of the local government's management and implementation of existing, proposed, or response plans, which also enables international actors to exit and to transition ownership of the process to local governance bodies for the long term.

The transition process should seek to provide capacity development and skills training to strengthen the capabilities of the local government and other relevant urban actors. This ultimately promotes long-term and effective recovery, rebuilds social fabrics and communities, and enhances the understanding of the importance of transparent and participatory processes. (See Support Type C in Section 4 for further details and examples).

Strategy 9: Identifying and guiding investments strategically

In post-crisis responses, much funding is allocated for 'infrastructure,' often addressing basic needs or provision of essential public services. Decisions about which infrastructures and services should be prioritized, and in which locations, should be rooted in an overall strategic spatial plan, not only to maximize investments but also to ensure that the infrastructure is adequately promoting and supporting the creation of equitable and integrated societies and is adequate for the local context. In many cases where a wider strategic plan has not been created, significant problems arise when there is a specific plan for an infrastructure project, but no plan for the larger context to which it belongs and should be connected. The process of developing a strategic urban plan brings out strategic questions regarding infrastructure within a broader

framework, including discussions on the location of strategic infrastructure. The Lab has found success in selecting solutions-oriented, transformative projects, which have the capacity to trigger wider change and impact, at several stages throughout the process in a continuous iterative manner.⁷⁸ Urban plans balance different possibilities and help to identify and resolve conflicting demands.

In every urban planning context, prioritization of investments is a key step; in post-crisis contexts, it is even more important due to the large volume of funding that becomes available and must be channelled to the most effective interventions. There is an added component of pressure in terms of the short timeframes for the funding, which might not be present in other contexts. The overlapping and conflicting spatial demands which typically emerge must be assessed in this stage, with the ultimate goals of key infrastructure and needs considered alongside current demographic realities.

With a focus on investments definition (which leads to a 'project-based approach') from the outset, long-term visions and immediate needs can be broken down within the spatial planning context to be implemented in the immediate and short-term (1-5 years), the medium-term (5-10 years), and the long-term (10-25 years).⁷⁹ Transformative projects should be catalytic, instigate change at scale, and be complemented by policies and regulations that will enable them to work.⁸⁰ This is why each transformative project should have its own implementation strategy to ensure the inclusion of financial and legal mechanisms to enable its realization.⁸¹

The selection can be based on maps, models, scenarios, and alternatives, with the participating representative groups in multi-stakeholder engagement processes prioritizing the most urgent, impactful, and inclusive projects.⁸² The prioritization must ensure not only that the most people benefit from a project, but also that

78. Ibid, p. 29.

79. Ibid.

80. Ibid.

81. Ibid.

82. Ibid, p. 67.



Refugee community members were hired to upgrade and build long-term infrastructure in Kalobeyi Settlement © UN-Habitat

this benefit is felt equitably among the various affected communities, and ultimately promotes human rights and the dignity of those in the situation.

In contexts where regulations, frameworks, or policies are missing or their implementation is weak, there may not be a need to create a plan that decides all details at the city scale, but a city-wide spatial strategy can be developed rapidly to prioritize the developments while providing a tool for negotiation. (See Strategy 4 for more on city-wide strategies.)

In order to best prioritize investments, engagement from development banks, financiers, and private sector partners is an important step to “establish linkages to incentives that can accelerate the (re)development of the urban economy.”⁸³ Given the limitations of Official Development Assistance (ODA) in the face of the scale of urban crises, private sector investment is crucial in many reconstruction situations. The provision of infrastructure and services can be framed as bringing new customers to private sector entities, and the prioritization of projects with a strategic participatory perspective will guide investments.

Strategy 10: Creating an urban plan as a management tool for actors and local governments

An urban plan can serve as a tool for the local government to manage recovery and development. When it is adopted, a plan helps to manage and coordinate the settlement going forward, codifying and grounding discussions. The plan creates land delimitations and some management and development criteria, if not codified rules, and builds in mechanisms for value capture and for the management of urban areas (e.g. of public spaces). The plan allows other external actors and development partners to understand the full context of the location, its stakeholders, and its agreed long-term development strategy. Although some details of the plan can be dynamic and can expand based on population and infrastructure needs, the plan allows for the management of basic infrastructure and services going forward.

Furthermore, a strategic urban plan, particularly one that can adapt to new realities and changes in coming years, will continue to serve as a tool to coordinate local actors after international actors exit. Effective urban planning creates value in a city: it builds social cohesion; contributes to revenues, trust, and political stability; protects natural assets and promotes the sustainable management of resources; promotes health and safety; attracts investment; and builds resilience, which in turn further reduces risk

factors for investment.

If this is recognized by the local government managing implementation, the plan can serve as a valuable guide for the government going forward, including in instances of government turnover. The support provided to local governments should also help to translate and incorporate the global frameworks into the local context, providing an understanding of the local governments’ needs to identify how resources in the settlement or city can be leveraged for the future. The planning process and the resulting plan can serve as fact-based tools for local governments to negotiate with international organizations, national governments, and other humanitarian and development actors, as it will align with local priorities and vision as discussed in Strategy 8.

83. Van Den Berg, Rogier (2018) supra note 30, p. 28.



4

THE KEY COMPONENTS OF PLANNING SUPPORT IN POST-CRISIS CONTEXTS

The strategies in Section 3 inform and guide the Lab's urban planning process when deployed within post-crisis contexts, shaping the discussion and the work on the ground. Three key elements of urban planning support are deployed by the Lab in post-crisis contexts. They are: A. 'Settlement profiling;' B. 'Participatory engagement and decision-making;' and C. 'Institutional capacity building.' This support is provided through direct engagement with the local reality and stakeholders, and uses strong back-office capacity to process information and to develop materials for different communication moments (e.g. formal profile documents, materials for community engagement and discussion, and training content and opportunities, all specifically developed for each context).

I. Support type A: Settlement profiling

Providing support for the spatial profiling of a settlement (may it be a temporarily planned settlement, a city, or neighbourhood) is the key analytical step where UN-Habitat establishes an understanding of the problem from which to base engagement. Depending on the context of the situation, assessments which identify the immediate needs of people in a post-crisis context may be the first step. A general assessment of the overall spatial realities (including any destruction in post-crisis contexts) would be done next. This would include the collection of data and information (such as regulations, codes, maps, relevant population data, demographic socio-cultural, and spatial mapping information) as well as the possible collection of information related to residents (such as from interviews, surveys, focus groups, etc.) to understand needs and concerns.⁸⁴

In many post-crisis situations, particularly in areas of emergency or post-conflict, there may be a lack of official cadastre and accurate maps, and in many cases, not enough resources to produce these. However, this need not hinder planning efforts. In recent years, an abundance of publicly available data online has proven sufficient to begin working, which enables rapid assessments and further data production.⁸⁵

As clarified in previous sections, an overall understanding of the spatial and demographic reality is needed to avoid humanitarian responses potentially leading to long-term planning and sustainability challenges. Thus, in post-crisis scenarios, understanding the location

and its social and economic aspects, vulnerabilities, and special conditions (e.g. health, including mental health or trauma), and densities of affected populations is a vital starting point. A geospatial diagnosis and analysis of urban systems and how they contribute to displacement, damage, demographics, risk areas, and other key evidence is helpful to support strategic coordination and decisions.

An urban profile is the evidence base for effective spatial interventions on current and relevant data. Urban profiles look at population characteristics and trends; the related demand for infrastructure and their capacity and functionality; the settlement patterns; connectivity; and economic activities; as well as related space requirements, to help identify key structuring measures and short- and longer-term investment requirements.⁸⁶

However, in many post-crisis contexts, it can be extremely complicated to identify the demographic realities of an affected location. Profiling allows for the identification of opportunities for integration and of possible overlapping or inefficient projects to maximize the funds of any response and create a transition to durable solutions by identifying linkages to the surrounding rural, peri-urban, or nearby urban areas. During the profiling process, diagnosis and analysis of HLP rights is imperative, as these make up a crucial component of creating durable solutions for post-crisis affected communities.

Where the situation may not be conducive to hosting planners in the location, spatial analysis can be done using GIS technology from remote locations and combined with input from local stakeholders and actors, fostering coordination and cooperation as needed. Geo-spatial analysis can be done by superimposing data that helps all involved actors, to gain a deeper and multi-sectoral understanding of the locations, densities, vulnerabilities, and needs of the communities involved. The spatial analysis can provide a detailed overview of the areas of damage as well as different (ongoing or planned) interventions and operations, in a way that traditional action plans, excel sheets, and other methods of planning do not. This is fundamental for enabling an effective area-based approach and establishes a baseline for cooperation and coordination of the interventions needed and the strategic spatial long-term approach. Further, an assessment of spatial needs is important to understand the wider-scale requirements and impacts within a location. It is also useful in supporting different communities by providing large-scale integrated engineering and infrastructure, integrating disconnected or overlapping projects and demands, and, ultimately, coordinating relevant actors through a plan rooted in spatial data.

84. UN-Habitat (2012) supra note 4, p.43.

85. These new technologies include Google Earth and Google Maps, which have open-access satellite imagery which can be used as a base for tracing and mapping – including topography, water bodies, natural areas, and built surfaces; OpenStreetMap (OSM), which is a free online resources with downloadable data for most world cities that can be used with GIS and other programmes; and GIS format data, which is produced by public agencies, academic institutions, or individuals, and is abundantly and readily available for most cities globally.

86. Van Den Berg, Rogier (2018) supra note 30, pp. 19-20.

Figure 11: Spatial profiling for Mogadishu

Spatial profiles and analyses such as these for Mogadishu's harbour area and by-pass were utilized by the World Bank as key input to assess infrastructure investment projects. Learn more about the spatial analyses done in Mogadishu in Appendix B.

II. Support Type B: Participatory engagement and decision-making

UN-Habitat has utilized the people's process, and related participatory community building processes, in many post-crisis scenarios for the past two decades. Much of the learning related to this was codified in the Guidelines entitled 'People's Process in Post-disaster and Post-Conflict Recovery and Reconstruction,' which was published in 2008 to provide guidance for effective and participatory responses 'from day one'.⁸⁷ The Lab has drawn lessons from this and from the charrette methodology, which informs many of its participatory workshops and meetings in support of post-crisis planning.⁸⁸

The ability to obtain dynamic and rapid spatial profiling data, as discussed in Support Type A, is crucial to ground the multi-stakeholder discussions in evidence. Capacity development, which enables all stakeholders to operate with a common language and understanding, is also a vital step. Capacity development of institutions and local governments is discussed in Support Type C, but this section covers capacity development of communities for further engagement, participation, and community ownership. This is often done through training modules, which bring a group of people to the same level of knowledge,⁸⁹ and revolve around training on normative frameworks, global best practices, and assessments of the relevant local context.⁹⁰ Capacity development with participating stakeholders can also be done via workshops, charrettes, bilateral meetings, expert group meetings, and other approaches. Rapid planning studios, which often serve as the start of a longer engagement process, can also be used for urgently needed action.⁹¹ The studios consist of a three- to five-day process,

gathering specialists and stakeholders, in which relevant departments present the situations and materials, and the jointly prepared recommendations, sketched plans, and reports can ultimately advise leadership and mobilize people and funds toward the next steps.⁹²

The broader participatory decision-making process is important to identify and avoid possible obstructions at the earliest stage, and to create potential partnerships and strong commitments to the plan among various stakeholders.⁹³ This ownership and commitment are vital to create continuity for the implementation phase of the plan, particularly in cases where political leadership might change in the future.⁹⁴

A strategic planning approach is important when bringing together stakeholders, as the stakeholders tend to put enormous pressure on planning decisions, and it is essential to be able to bring to light different interests and to balance the prevailing political forces with evidence and consideration of public good. Multi-stakeholder engagement can be an extremely contentious reality in post-crisis contexts. In such processes, the role of the moderator or facilitator in participatory meetings and sessions is of crucial importance, as the moderator(s) will ground the discussion in the spatial realities and steer the interactions away from further divisions.

By including stakeholders in the process beginning as early as the data collection and assessments phase, and introducing participants to new approaches, principles, and guidelines, the Lab prepares the administration for new urban challenges.⁹⁵ The plan is a collaborative effort, with participants actively applying (and therefore gaining an understanding of) new tools and approaches.

The engagement of relevant stakeholders in a participatory process is at the core of post-crisis planning, and this has been found to be most effective when it

87. UN-Habitat (2008). *People's Process in Post-disaster and Post-Conflict Recovery and Reconstruction*.

88. A design charrette is a meeting with public and private stakeholders, representation of civil society, and academics in order to provide input and set the direction of a project.

89. UN-Habitat (2016) *supra* note 42, p. 88.

90. *Ibid.*

91. *Ibid.*, p. 86.

92. *Ibid.*

93. *Ibid.*, p. 56.

94. *Ibid.*

95. *Ibid.*, p. 47.



Public space workshops in Kalobeyei Settlement, Turkana, Kenya © UN-Habitat

happens repeatedly – engaging, updating, and seeking input throughout the urban planning process in a post-crisis context. This is particularly relevant where diverse, often vulnerable, mixes of communities are involved. Urban post-crisis contexts involve many stakeholders, and therefore in order to create support for interventions in urban environments, the processes must be deeply and broadly multi-stakeholder and multi-sectoral, engaging all concerned constituencies.

Similarly, including relevant displaced and host communities, which may be at odds with each other, and asking them to share and clarify their conditions and how best the international community can support them is vital, as is building systems for more sustainable locally-generated support.

‘Participation’ is often confused with ‘public consultation,’ though the most effective approaches to decision-making utilize both multi-stakeholder participation throughout the planning process and public consultation after a draft is produced.⁹⁶

After identifying the stakeholder groups and the level of participation in each case, the level of engagement for each stakeholder group can be decided to maximize effective participation. Local circumstances in culture, religion, and work norms should also be factored into any consideration

for a participatory process,⁹⁷ as should considerations of different constituencies, including women, youth, older persons, or other marginalized groups.⁹⁸ In many conflict or post-conflict situations, it is possible that the involvement of the private sector can result in lobbying of decision-makers and undue influence before the plan is made.⁹⁹ Therefore, in such cases, the Lab’s experience has shown that the process is best developed initially by public sector partners through a participatory process, before involving the private sector on financing and implementation.¹⁰⁰

While the Lab has found success bringing all actors to the table and establishing a joint goal, the process in a post-crisis context tends to be more top-down than urban planning processes in other contexts, largely because funding is being funnelled from external actors into the location. To save time and money, it is best to include and coordinate with the implementing partner(s) from the earliest stages to ensure a smooth transition to the implementation phase.¹⁰¹ Further, in such contexts, the planning process can become highly politicized. Technical urban planners may find themselves in opposition to

97. UN-Habitat (2016) *supra* note 42, p. 57.

98. *Ibid.*, p. 58.

99. For example, it is in the short-term interest of private sector developers to decrease public space provision and to increase the quantity of private space, while it is in the long-term interest of the city and the residents to have finer-grained street and public space networks. Source: *Ibid.*, p. 58 and p. 60.

100. UN-Habitat (2016) *supra* note 42, p. 58.

101. In Caneau, Haiti, for example, Global Communities, which is the NGO that implemented the road infrastructure project, was included throughout the participatory project. Source: *Ibid.*, p. 70.

96. Note that in many countries, public consultation is a legal requirement, while participation is not.



A community charrette and a validation workshop held in Cnaan, Haiti © UN-Habitat

Box 9: Stakeholder design charrettes and community decision-making: Planning the post-disaster Cnaan area in Port-Au-Prince, Haiti ¹⁰²

After the 2010 earthquake hit Port-Au-Prince, the capital city of Haiti, much of the city's infrastructure was demolished, leaving hundreds of thousands of people homeless. Thereafter a large number of people were moved from the city's IDP camps to Cnaan, a barren area on the outskirts of Port-Au-Prince. Cnaan was declared public utility land by the government in the wake of the disaster, and many others followed the IDPs and settled the area informally for a variety of reasons. Cnaan was self-developed informally by those settling, without a long-term sustainable strategic spatial plan. The result, as of 2015, was a population of around 200,000 people living in an informally developed area without local governance or services, such as electricity or water, provided by the government. The area continued to expand rapidly without municipal guidance and provision.¹⁰³

In 2015-2016, the UN-Habitat office in Haiti and the Lab collaborated with Haiti's Unit for Housing and Public Buildings Construction (UCLBP),¹⁰⁴ the Inter-Ministerial Committee for Territorial Planning (CIAT),¹⁰⁵ and the American Red Cross, with funding from USAID, to organize a series of charrettes gathering different national and local government institutions, community groups, NGOs, the private sector, urban planning professionals, and academics to discuss the current situation and the future vision for Cnaan. The charrettes created a factual understanding of the urbanization process in the Cnaan area, and brought stakeholders together to draft a common vision for the urban development and upgrading of the neighbourhoods, resulting in prioritized projects. The Lab developed maps to exchange and discuss with the community, who gathered to validate, amend, and make alternative proposals. This approach to community mapping of the main social, spatial, economic, and environmental characteristics of the area enabled deeper local ownership, understanding, and pride in the process. See Appendix A to read the full case study.

political planners, and stakeholders may over-politicize technical and spatial realities.

Participation requires vertical and horizontal

102. The Lab has recently produced the Participatory Incremental Planning Toolbox, which links the planning process with the specific participatory process that needs to take place, and includes necessary and optional participatory activities and tools. The Toolbox is based on the experiences of the Lab conducting participatory processes, with input from the process led in Cnaan, Haiti. See Appendix A for the full detailed case study.

103. UN-Habitat (2016) *supra* note 42, p. 53.

104. UCLBP (Unité de Construction de Logements et de Bâtiments Publics) is the unit under the Haitian government that oversees housing and public buildings. It issues regulations and strategic directions, and implements public construction, as well as encouraging private investments and reconstruction in urban areas destroyed by the 2010 earthquake.

105. CIAT was created in 2009 in response to the alarming need for consistent and coordinated actions in regional planning. The institution includes several ministries,

integration with political consultations during the process where possible. The integration of these stakeholders should ideally create a situation to address the needs of all relevant communities in a way that works to mitigate disparities and possible sources of inequality and conflict in the future, as discussed in Strategy 6. To ensure local ownership of the plan, the Lab has found several helpful procedures to use, including a deeply participatory multi-stakeholder approach for urban planning processes in post-crisis contexts. Engagement and integration generally

and is chaired by the Prime Minister. It works on developing government policies on land use, watersheds, sanitation, and urban and regional development. (See <<http://ciat.gouv.ht/>> for further information about CIAT.)

empower communities and support equitable growth. This is particularly significant where crisis-affected individuals are recipients of assistance and host communities have a longstanding experience of marginalization. When decisions are translated into actual investments on the ground this is further reinforced. Public consultations can be engaged and public outreach, town hall meetings, public plan displays, gazetting, and questionnaires can be used. Information coming from this public consultation should be evaluated, shared, and responded to in a transparent manner and, where applicable, considered and incorporated from the first stage, before the final plan is produced.

When done well, public participation and consultation allow discussions on details and even specific individual claims related to the plan, rather than strictly on the general direction and principles. A participatory process can lead to public-private partnerships or at least the clustering of activities and investments, in order to maximize the response impact, thereby reducing the chance of obstructions to the plan by the time implementation starts.

The meaningful inclusion and capacity development of the local government, as discussed in Support Type C, next, is also key for sustaining this harmony among the host and displaced residents, which depend on the governance structures established at the local level to monitor and facilitate growth, oversee the provision of services, and collect revenue in relation to both communities.

As discussed in Section 3, especially in Strategies 1, 8, and 9, continuous prioritization of projects throughout the process is key. The process of prioritization takes place in coordination with the relevant stakeholders and the local authorities, which will be in the best position to identify the most important and urgent needs. This allows for continuous re-shaping of the priorities, through an inclusive process that is consistently based on the current spatial, financial, demographic, and on-the-ground realities. It is helpful to have an urban planner leading this process, as this allows for the effective prioritization and reassessment of the spatial realities at each step of the continuous process.

III. Support Type C: Institutional capacity development for local implementation

The Lab has found that, in many countries, in order to ensure the full exit of the relevant international actors and transfer of ownership and implementation, the capacity of the local government and community institutions needs to be strengthened. This can be done via trainings and workshops (such as on the job training), combined with a process of jointly developing action plans to accompany the spatial plans. These can include actions, focal points, timelines, and indicators for success acting as a roadmap



On 22 and 23 September 2016, UN-Habitat organized a two-day workshop on urban planning for technical officers from different ministries and line departments of the County Government of Turkana. The workshop took place in Eldoret and contributed to strengthening the technical capacity of county government officers from different sectors. The officers benefitted from knowledge on approaches to local economic development, integrated urban planning, public space and street planning, good urban governance, and implementation of plans © UN-Habitat

for operationalization and implementation. National and local government ministries and institutions can play an important role in communicating the urban plan to their constituencies and through public consultations.¹⁰⁶

Establishing clear monitoring and evaluation approaches from the early stages promotes communication among government(s), donors, implementing partners, NGOs, UN agencies, stakeholders, and other actors, and enables local governments and planners to learn from each project to improve approaches and methods going forward.¹⁰⁷ The Lab has found it helpful to hand over monitoring tools to local governments, including work plans, surveys, reports, gender mainstreaming, and consultations with stakeholders and community members.¹⁰⁸

While the urban planning process and the plan itself contribute to governance structures and guide ongoing and future projects, as well as the engagement of continuous and new actors, various mechanisms must be put in place to build local management and institutional set-ups and lay the groundwork for a successful transition to full implementation management. Planning for this at the beginning clarifies the strategic capacity development activities that must take place throughout the process. After a crisis, such capacity development and contributions to stable, inclusive governance are equally as important as physical projects done on the ground.¹⁰⁹

In precarious post-crisis areas, the Lab has found that the absence of engaged local authorities with inclusive governance structures to develop social cohesion can lead to a risk of conflict, as the basis for social cohesion

106. UN-Habitat (2016) *supra* note 42, p. 56.

107. UN-Habitat (2012) *supra* note 4, p. 23.

108. *Ibid.*

109. *Ibid.*, p. 20.

Box 10: Transitioning to local ownership in three phases in Kalobeyei, Kenya

Kalobeyei, Kenya, serves as an exceptional example of integrating an exit and monitoring strategy from the start of a project. The approach includes strengthening of local institutions through capacity training and development, and ensuring alignment to national policies, legislation, and laws. The Kalobeyei Integrated Socio-Economic Development Plan (KISED P) prioritizes local government engagement and leadership, building ownership for the programme. The project is broken up into three phases, with the first ‘Emergency Response’ Phase (2016-2020) being controlled by UNHCR, the second ‘Transitional’ Phase (2021-2025) transitioning maintenance to the local government, and the third ‘Self-sufficient Settlement’ Phase (2026-2030) seeing the full transition into the permanent, regular local governance system. Further, livelihoods programmes and trainings allowed the host communities to capitalize on the arrival of new refugees, through providing services to the newly arrived and establishing other businesses and contributing to construction. By identifying this as a priority that would lead to long-term social integration and cohesion by creating an immediate benefit for the host community, this project could create significant and integrated returns while promoting the long-term viability of the settlement and building an exit strategy for international actors. See Appendix C for the full detailed case study.

may thus be only temporary rather than rooted in the local government or established institutional structures. Governance structures are needed to ensure that the newly settled or planned communities are included in future governance to maintain and further develop social equality and cohesion. The Lab approach supports local government and builds the capacity of the authorities to maintain and grow governance structures, and it includes different sectors of the city administration throughout the process from the onset. This includes staff in technical departments who can provide historical and technical knowledge; people who are familiar with legal frameworks and bureaucratic procedures in place; and those who have experience with implementation in each context. This early effort engages multiple levels and actors to ensure that things will continue to run smoothly when external actors exit the context.¹¹⁰

While an urban planning process may seem like it could be done using only external expertise, the Lab’s experience has shown that it is best to fully integrate the government and to build its knowledge of new approaches and urban planning and design principles, in order to build a strong link between technical and political processes. This integration, and avoidance of externalized planning, increase ownership of projects by local staff, equipping them to better understand the plans and to coordinate processes, supervise planning, and monitor the implementation of projects.¹¹¹ The legitimacy and long-term sustainability of the planning process and of resulting projects and interventions depends on the involvement of these actors within the local authorities throughout the process.¹¹²

The early or progressive transfer of responsibilities

from international organizations to the relevant authorities is key for international actors to ensure a successful transition. If the capacity development work has been thorough, inclusive, and well-planned, there will be sufficient capacity and early political commitment to maintain structures and continue the iteration of the planning process.

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As demonstrated in Box 11, the successful implementation of inclusive projects that build social cohesion and add value to an area can also cultivate trust between residents and the local government, which can ultimately lead to a higher tax base and stabilized government. Transformative projects should always be well-communicated with the wider public, as their enduring success requires the support of citizens and stakeholders.¹¹³ The capacity development done to integrate local governments in the participatory process, including publicly sharing and hosting exchanges on plans and projects throughout the process, serves to further the trust and cooperation between the local government and its residents. The urban plan provides a foundation for further governance plans and serves as a permanent guide for the continued inclusion of various communities.

Depending on the local context, the participatory approaches to decision-making described in Component B can also serve as a tool that is left with the local government, which can continue to build trust, engagement, and

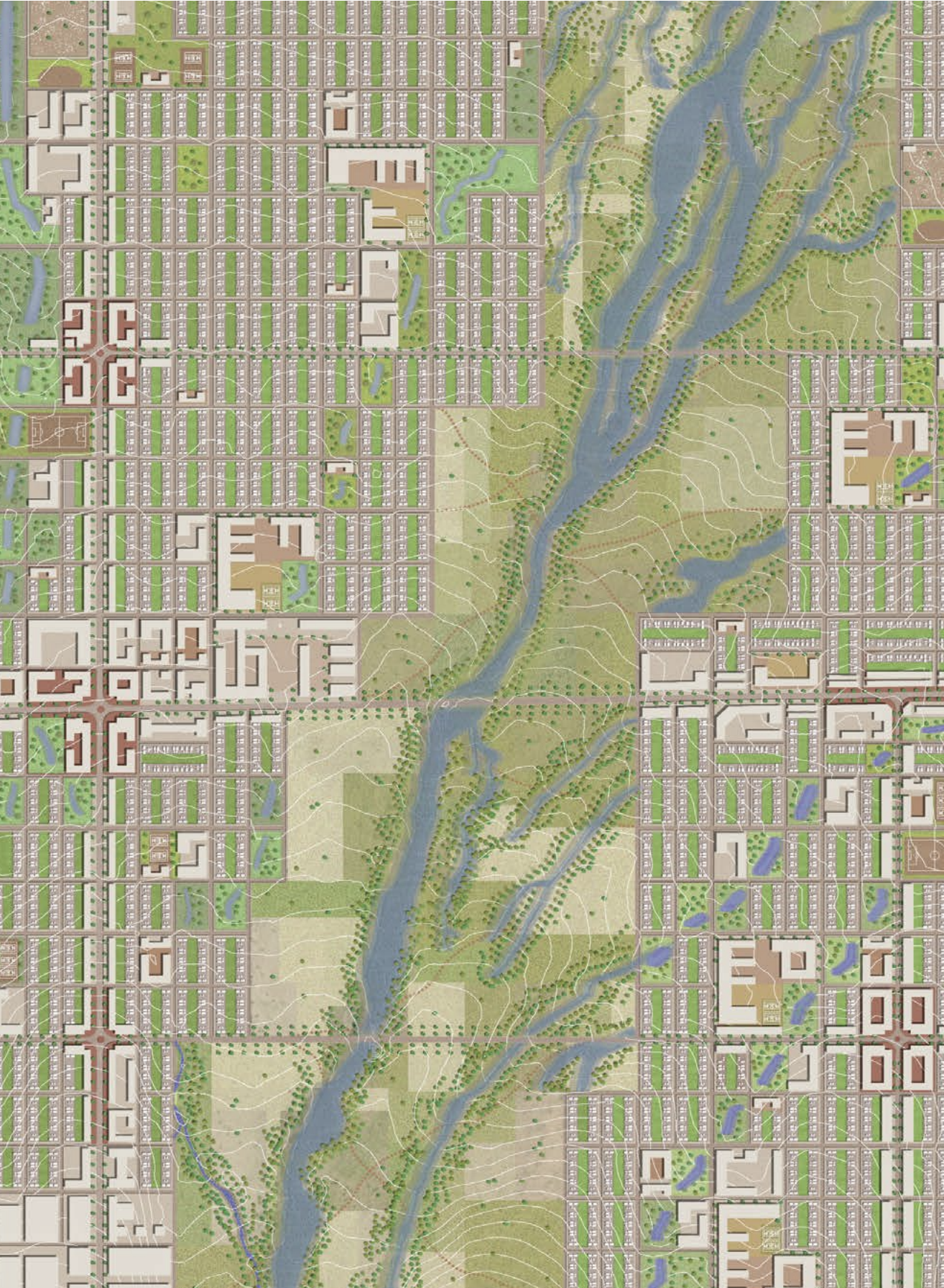
110. UN-Habitat (2016) *supra* note 42, p. 49 and Fabre, Cyprien (2017) *supra* note 31, p.5.

111. UN-Habitat (2016) *supra* note 42, pp. 20 and 26.

112. Fabre, Cyprien (2017) *supra* note 31, p. 5.

113. UN-Habitat (2016) *supra* note 42, p. 30.

Figure 12: Development Plan for Kalobeyei Settlement, Kenya





From 25 to 26 May 2017, UN-Habitat invited ministers, chief officers, directors, and experts to a capacity development workshop to discuss the content of the draft plan for Kalobeyei Settlement, including potential issues and development projects leading up to implementing the settlement development © UN-Habitat

Box 11: Increased trust and revenue from prioritized projects in Bamyan, Afghanistan

UN-Habitat's Global Public Space Programme supports the prioritization of implementable projects, such as the construction of public spaces in collaboration with local authorities in post-crisis contexts. In Afghanistan, after decades of conflict and instability, 49 public spaces and parks have been created with UN-Habitat's support. One example is in the city of Bamyan, which "has recently inaugurated two green public and recreation areas for its residents as part of the [Clean and Green City] Programme [...] The two new parks, Welayat Park and Children's Park, have added a new, inclusive dimension to the city's life and are usually very busy in the evenings. Both recreational areas are equipped with a playground for children."¹¹⁴ The Acting Mayor of Bamyan, Mr. Hadi Akbari, said this partnership with UN-Habitat and the parks has "improved basic services and increased trust between the Municipality and citizens," with citizens now more likely to pay property fees, ultimately providing the local government with more revenue for further improvement efforts.¹¹⁵ Such examples demonstrate how effective planning of public urban areas can not only lead to investment in an area that was previously seen as unstable, but also contribute to overall social cohesion, social inclusion, and a more stable and funded government. (Please see UN-Habitat's publication 'The Silent Revolution of Public Spaces in Afghanistan' (2019) for further details.)

transparency between the government and the community members.

The integration and capacity development of local governments is not only crucial for laying the ground work for successful implementation of the plans, but can also prepare local governments to respond to other possible crises in the future, with stronger institutions, long-term resilient plans, and improved participatory decision-making processes and resident engagement.

114. UN-Habitat (2019). The Silent Revolution of Public Spaces in Afghanistan. HS/038/19E, p. 14.

115. Ibid.



5

CONCLUSIONS



I. Key lessons

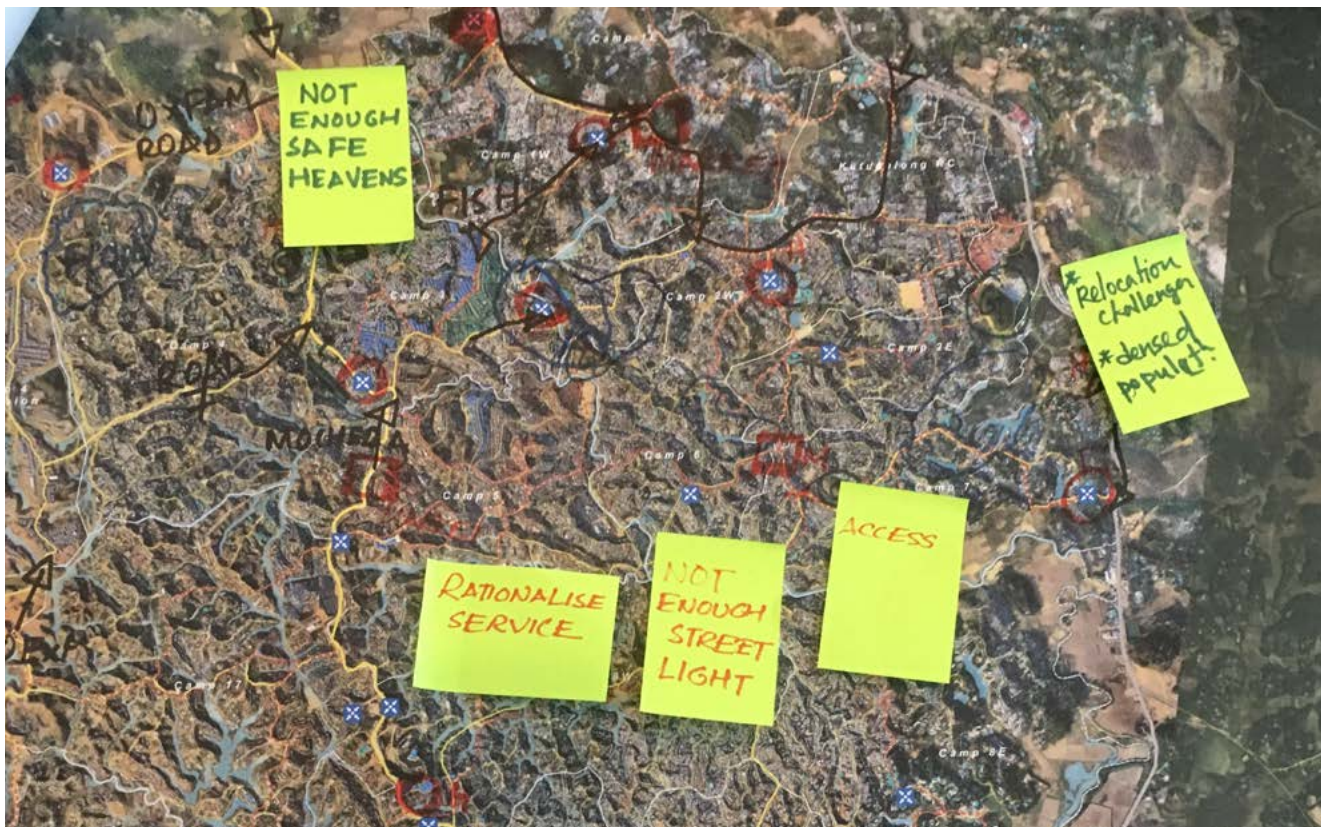
The Lab has aimed to change urban planning from an urban management tool to a strategic decision-making instrument, and to move it out of the domain of specialists and technicians into a broader multi-partner discussion. The Lab is an effective facility within the UN context to provide alternative solutions and pathways to the ‘business-as-usual’ approach, less limited by restrictive practices and red tape. Its strong engagement with the existing UN structures, led by the Resident or Humanitarian Coordinators, still ensures that priorities align with agreed-upon UNDAFs or CCAs. At the same time, in order to turn these approaches into impact, these solutions must be institutionalized or included as part of governmental processes. This can be a difficult and tedious transition, and to make it possible, much effort must be put into **translating the ideas into operationalization and monitoring mechanisms through, for example, an agency or ministry that follows up the implementation and construction of plans and projects. The Lab’s experiences have shown that this works best when it is done as part of the participatory, multi-stakeholder urban planning engagement, and is especially critical to strengthen the post-crisis humanitarian-development-peace nexus context.**

Many urban plans concentrate on creating the perfect city, often planned for the upper and middle class, which

can contribute to a perception that planning processes are best applied in stable cities. But urban plans are not meant to be documents that sit on a shelf; rather, urban planning is an iterative and inclusive process, grounded for each person within the community. The planning process contributes to the incremental implementation of projects which can improve the lives of people in chaotic, unstable, and post-crisis situations, in the immediate, medium, and long term.

An iterative, participatory process is critical to shape a relevant outcome, both in terms of decisions and of the follow-up and implementation. It is vital that these processes maintain the dignity of the people involved at the core, working with them rather than for them, and building the capacity of those involved as the future community planners and implementers of the outcomes of the planning process. The social cohesion, community contextualization, and capacity development that take place during a well-run process ensures that urban plans and their processes are owned completely by the communities and local government.

To bridge the humanitarian-development nexus, joint programming and coordination among multiple actors is vital from the earliest stages of a response. **The approaches discussed in this publication provide ways to bridge gaps in information exchange horizontally and vertically,**



Results of a planning workshop in Cox's Bazar, Bangladesh © UN-Habitat

using urban planning as the instrument. Urban projects are complex and take a long time to mature and reach implementation, and having a dedicated Urban Planning and Design Lab acting as a response team that can merge international knowledge with local and national knowledge, and can tailor global best practices to the context, has proven successful.¹¹⁶

As an iterative process, **urban planning can never be done too early nor too minimally to provide value.** Strategies to support communities and governments in post-crisis contexts can be significantly improved even when only remote, satellite imagery is available. Every planning process can draw in new lessons, stakeholders, views, donors, updated context, and new information at later stages, as it progresses. The most important thing is to bring spatial, strategic thinking and advice to these contexts at the earliest possible moment. This publication has shown the immediate and long-term value that this perspective adds, and the Lab advocates that **the donor community, members of the IASC, and partners consider allocating early additional funding in post-crisis contexts to urban and spatial planning as a key component of successful ‘nexus’ programming. To achieve this, responses must integrate urban planners and experts from the beginning of the response** to ensure the most efficient use of resources towards not only fulfilling immediate response needs, but also achieving the SDGs and implementing the New Urban Agenda.

II. Limitations and ongoing challenges

There are many situations discussed in this publication wherein the Lab did not transform a situation; rather, it managed to nudge it in a better direction. Operating with limited resources – and sometimes, as in the case of Cox’s Bazar, with just one focal point on the ground amidst a humanitarian situation with thousands of humanitarian actors and nearly a million refugees – the Lab cannot possibly influence every activity within a spatial strategy. However, **the value added even from small-scale involvement and technical advice demonstrates the catalytic effect that strategic planning has in such contexts.** This effect can be considered and replicated to enhance longer-term decision-making, for example within UN country teams.

While the ‘new way of working’ has been embraced by the UN Secretariat, and there has been progress and increased collaboration in many instances (including some discussed in this publication) the traditional humanitarian approaches remain entrenched, and the pressure on humanitarian actors that is created by a crisis or post-crisis situation is immense. There remains a need to shift the

mindset so that people affected by protracted crises have access to long-term urban planning solutions, and so that responses consider not only the immediate and short term, but also the medium and long term.

III. Looking ahead

There is an increasing understanding of the value that urban planning approaches add from early stages in post-crisis situations, as well as of the need to anchor humanitarian and post-crisis responses in their wider spatial context. As governments and international humanitarian and development actors increasingly recognize the benefits that can be derived from an integrated approach, bridging the humanitarian and development divide, urban planning approaches such as those highlighted in this publication should become increasingly common in all post-crisis work.

The ever-increasing availability of innovative technologies allows for spatial data and mapping to be done even in areas without adequate data. The cases in this publication’s appendices demonstrate that city-wide spatial strategies do not belong only in cities like Johannesburg, but also in cities like Mogadishu, where this strategic input can have a catalytic impact upon the city’s investments and development trajectory and the quality of life of its residents.

UN-Habitat’s increasing success in bringing spatial planning and design and normative urban expertise into post-crisis situations shows a positive shift towards more efficient and collaborative work. If urban planning is integrated in the early stages of collaborative nexus work under the UN System’s ‘new way of working,’ it can transform the long-term impact of humanitarian funds on a host community’s development trajectory. This shift must be further mainstreamed within the UN crisis response mechanisms and with key partners such as UNHCR, IASC, and the UN Resident Coordinator system.

Given the increasing evidence and acknowledgement of the connection between effective urban planning processes and social cohesion, resilience, and integrated communities and crisis prevention, **urban planning and spatial expertise can no longer be viewed as anything but integral to immediate, short-term responses.**

Innovative thinking and political and institutional courage are needed to maximize efforts and investments and to best serve people in post-crisis contexts through to the long term. The lessons from these case studies show the potential for change towards integrated work and processes.

This publication covers just a small area of the work that UN-Habitat does in post-crisis contexts, and draws lessons only from the cases and topics where the Lab has

116. Ibid, p. 19.



Infrastructure, street network, and a boulevard were built based on the prioritized investments in the plan in Canaan, Haiti © UN-Habitat

intervened. In many of these, the Lab has acted as an entry point for UN-Habitat to contribute not only spatial planning expertise, but also technical advisory services for policy development, urban legislation, land, housing, WASH or municipal finance, among others. **In its new Strategic Plan for the period of 2020-2023, UN-Habitat pursues ‘effective urban crisis prevention and response’ as one of its four core domains of change.** This domain of change will focus on three core outcomes to achieve: enhancing social integration and inclusive communities; improving giving standards and inclusion of migrants, refugees and internally displaced persons; and enhancing resilience of the built environment and infrastructure. As it realizes these outcomes, UN-Habitat will build on its work over the last decades and on its current and ongoing contributions in post-crisis contexts, including the lessons and experiences from the Lab that have been documented in this publication. The Planning Community of Practice within UN-Habitat will have the potential to contribute to this work by further disseminating the Lab’s experience and further integrating UN-Habitat’s planning experience in crisis and post-crisis contexts.

A mechanism such as the Lab has allowed UN-Habitat’s normative work to enter the humanitarian space, by supporting and facilitating the joint programming with humanitarian actors, and by influencing their perceptions and understanding of the urban dimensions of their work and of the role of urban planning in this respect.

UN-Habitat can continue to harness the flexibility, rigor, and creativity of the Lab to deliver quality and relevance. In order to do so, the unique features of the Lab need to be preserved and at the same time better integrated into UN-Habitat’s technical assistance and response mechanisms. There is an ideal opportunity to do so in the new structure of UN-Habitat, where emphasis is placed on the development of corporate tools that can be deployed across projects. In this structure, the Lab can play a pivotal role in guiding urban planning processes and providing quality capacity support, in bringing together different areas of expertise, and in supporting inclusive approaches across projects.

The devastating impacts of the COVID-19 crisis underscore the vital need to fundamentally shift towards long-term, sustainable approaches to planning human settlements based on spatial data. In the COVID-19 context, the communities discussed at length in Appendices A-D – families in unplanned, under-served areas in Canaan, Haiti; IDPs and residents in overcrowded areas in Mogadishu, Somalia; host and refugee communities living together in a well-planned settlement in Kalobeyei, Kenya; and refugees living in extremely overcrowded conditions in Cox’s Bazar, Bangladesh – are now dramatically impacted based on the urban planning processes and decisions that did or did not take place over the past months and years. **The lives of crisis-affected people around the world are being saved or lost as a direct result of the way settlements are planned and managed.** At the time of writing, UN-Habitat

is using its extensive experience in supporting crisis-affected communities and humanitarian actors to implement a COVID-19 Response Plan; to utilize spatial data, profiling, and planning to understand and address the crisis at the urban level; and to provide support to urban displacement settings through the IASC Global Humanitarian Response Plan.



APPENDICES



APPENDIX A
DETAILED CASE STUDY: CANAAN, PORT-AU-PRINCE
HAITI



This case study considers an inclusive and multi-tiered participatory community engagement process, in which the Lab collaborated with UN-Habitat's Haiti Country Office, which had a strong presence on the ground, to provide technical spatial expertise and to contribute to strong community ownership of its plans.

I. The context

On 12 January 2010, a 7.0 magnitude earthquake struck Haiti, with its epicentre not far from the metropolitan capital of Port-au-Prince, the most densely populated area of the country. This was the worst hazardous event in the region's history, and destroyed much of Port-au-Prince, killing at least 230,000 people and displacing over 1 million people, with some estimates higher than 1.5 million.¹

Three-quarters of Haiti's population lives below the poverty line (\$2 USD/ day), with most of those (56 per cent) living in extreme poverty (\$1 USD/ day).² Extreme poverty is predominantly in the rural areas,³ which motivates many Haitians to migrate from rural to urban areas, hoping to raise their living standards.⁴ Port-au-Prince has urbanized rapidly, growing from 300,000 residents in the 1960s to over 2.7 million in 2015, reaching an area of 158 km². through largely unplanned growth. With this expansion come many challenges and shortcomings in relation to adequate services, infrastructure, and transport, as well as environmental, social, and economic conditions. UN-Habitat estimated that 74.4 per cent of Haiti's urban population was living in slum conditions as of 2014, "with 75 per cent of urban dwellers not having access to safe water and 66 per cent not having access to adequate sanitation."⁵ Furthermore, the metropolitan area is projected to double in both area and population in the next 20 years.

Some relevant pieces of legislation have been enacted to govern housing and urban planning, such as the Act of 29 May 1963⁶ which stipulates in Article 64 that every settlement of over 2,000 residents must have a beautification, development, and expansion plan. However, most of these regulations are over 50 years old and require updating. Furthermore, while the government had developed many planning documents between 1974 and 2012⁷ to guide urban development in Haiti, political instability and other issues facing the country have presented continuing challenges to their implementation. The absence of government capacity has hindered the

ability to monitor and ensure compliance with urban legislation.

The lack of adherence to planning regulations and building codes has greatly increased the vulnerability of Haiti's infrastructure. With limited resources and capacities to adapt to the environmental threats from climate change and other environmental hazards, a large portion of the population remains at risk, and the quality of infrastructure, construction, and service provisions is poor.⁸ The 2010 earthquake exposed and exacerbated many of the challenges that the city of Port-au-Prince was already facing, under enormous strain from rapid growth. Previous disasters have already taken a huge toll on the people who were forced to relocate from flood zones and coastal areas, and the country remains highly susceptible to environmental risks such as floods, earthquakes, and hurricanes.

A. Practical conditions for IDPs

Following the earthquake, then-President René Prével declared 33 square kilometres of land in a barren and still undeveloped area 16 kilometres north of Port-au-Prince as under 'public utility,' in effect expropriating this land for the State. Two official camps for internally displaced persons (IDPs) were established there, and around 6,000 of the homeless IDPs from Port-au-Prince were relocated to this area, known as Canaan. NGOs and relief organizations relocated these IDPs to the camps in Canaan, known as 'Camp Corail,' through an organized process. However, given the scale of destruction in 2010 and the number of IDPs in Port-au-Prince, coupled with the already strained capacity of the government, not all people affected by the earthquake were formally recognized as IDPs. The realities of Canaan, for many of the IDPs, were similar to Port-au-Prince itself, posing challenges in accessing better economic opportunities and basic services. The establishment of these camps acted as a catalyst to attract many more people to settle in Canaan informally, for a variety of reasons.

The country relied heavily on humanitarian aid before—and especially following—the earthquake, but there had been a rapid decrease in the presence of humanitarian actors from 2010 (512 actors present) to 2016 (84 actors remaining).⁹ The decline in the number of actors signalled an urgent need to create durable, community-owned solutions for those who continued to suffer from the effects

1. UN-Habitat and UCLBP (2016). Comprehensive Urban Analysis and Diagnostic. Urban Development Initiative (UrDI) for the Canaan Area of Port-au-Prince, p. 22.

2. According to the UN Development Index. (Ibid, p. 24.)

3. 80 per cent of extreme poverty is in rural areas, and a lower 20 per cent in the metropolitan area.

4. UN-Habitat and UCLBP (2016) supra note 1, p. 24.

5. UN-Habitat (2016). Slum Almanac 2015 2016: Tracking improvement in the lives of slum dwellers, p.42. (Data also available on mdgs.un.org.)

6. Published in the 6 June 1963 Monitor #51.

7. See UN-Habitat and UCLBP (2016). Comprehensive Urban Analysis and Diagnostic. Urban Development Initiative (UrDI) for the Canaan Area of Port-au-Prince, p. 15 for a full list of these planning regulations and documents.

8. UN-Habitat and UCLBP (2016) supra note 1, p. 22.

9. Ibid, p. 13.



View from the neighbourhood of Canaan II towards Port-au-Prince in Haiti ©UN-Habitat

of displacement.

B. Legal and planning realities in Canaan

As a result of the ‘public utility’ status of Canaan and of the settlement conditions in Port-au-Prince, exacerbated by the earthquake, most of the growth in metropolitan Port-au-Prince from 2010-2016 spread over the northern area, in and around Canaan. At the time of the Lab analyses and intervention (2015-2016) discussed in this case study, fifteen neighbourhoods had emerged in Canaan, without formal urban development guidance, and were home to 200,000 people.

As per the Constitution of Haiti, there should be three main local and regional authorities: The department (département) level to take the political role; the municipality (commune) to take on operational responsibilities; and the community ward (section communale) to represent and defend the citizens’ interests.¹⁰ However, as is the case in much of the country, Canaan developed informally, and, though it was located in between three municipalities (communes) and under their authority, in practice none took full responsibility for the area or actively addressed the provision of service and infrastructure management. Accordingly, continued rapid growth represented a threat to accessibility, adequate housing and infrastructure, safety, economic opportunities, and the quality of life for the current and future residents. The continuous and unabated migration to Canaan exacerbated these issues and resulted

in a situation that was completely uncontrolled and informal.

There was also a lack of legal and administrative clarity in the classification of the land as a ‘public utility’. The land was previously scheduled to be developed into an industrial area, but the government did not complete the process of identifying and compensating the previous land owners after the expropriation, which has also led to protracted litigation (which is still in process at the time of publication). The uncertain state of the land has contributed to lack of clarity around the land rights for its current residents.

While the initial settlement in Canaan consisted of IDPs who arrived to ‘Camp Corail’ following this public utility declaration, the area continued to attract people for years later due to the lower land prices in close proximity to the capital. Canaan was seen by many as a real estate opportunity, and there was a massive influx of people who claimed plots of land without any purchase, formal title, or clear legal rights. While there are no formal land titles, the majority of the residents in Canaan who have land have already paid for their land, and many even have paid municipalities (or individuals claiming to represent municipalities) for licenses, building permits, and certificates of occupancy.¹¹ The complications of establishing the validity of land claims will remain an issue until a clear mechanism is established to clarify these systems and resolve disputes.¹²

11. Ibid, p.49 and Mercy Corps (2016). Survey of Entrepreneurs in Canaan. Port-au-Prince: Mercy Corps.

12. UN-Habitat and UCLBP (2016) supra note 1, p. 49.

10. Ibid, p. 16.

At the time of publication, the government has thus far not awarded formal title deeds to current residents. Title deeds could allow the residents to pay taxes, which would lead to the state eventually providing certain public services. While many residents do have some form of ‘deed,’ these are unofficial papers that are not from the government, or are not registered on any formal government system, as is also the case in much of the country.

There were two main government counterparts for the work discussed in this case: Unité de Construction de Logements et de Bâtiments Publics (the Unit for the Construction of Housing and Public Buildings – UCLBP)¹³ and Comité Interministériel d’Aménagement du Territoire (Inter-Ministerial Committee for Territorial Planning – CIAT).¹⁴ In Haiti, municipalities have the obligation to produce urban plans, but, as many lack the capacity to do so, the central government ministries often take on this role. Technically, however, the central government is responsible for providing national and regional development plans and policies.¹⁵ The unclear lines of governance of the area, including between the three communes, exacerbated the rapid and unplanned growth that took place outside of a wider spatial strategy.

As is the norm throughout Haiti, Canaan did not have an existing land-use plan covering the area. Most of the infrastructure in Canaan has been built by residents (and, in the IDP camps, by NGOs) with very minimal government intervention. “Only about 15 per cent of the settled Canaan area had been formally planned (mostly IDP camps planned with a firm grid layout), while around 85 per cent of the area has been informally developed.”¹⁶ The settled area known as ‘Canaan’ grew from 6.9 km² in late 2010 to 22.6 km² as of November 2014.¹⁷

There was also a lack of public services, which left residents to make provisions via informal arrangements.¹⁸ For example, there were no formal water or waste water systems, and residents could only buy water from trucks, stock rain water, visit water kiosks for drinking water, or eventually use water pumps built by aid organizations. There was also no formal electrical power connection. Only ‘Camp Corail’ and parts of the Canaan III neighbourhood had formal access to electricity. Local communities often pooled their resources to invest in shared services, buying

equipment and materials and paying laborers to make the electrical connections, which was a successful approach.¹⁹ This led to an increase in informal electrical networks, which covered a large portion of the area. The capacity of the settlers of the area to build a new city on their own, bringing housing and services, and, to a certain extent, planning their neighbourhoods, is notable. The pride that the residents felt in their communities and their efforts contributed to a successful participatory engagement with UN-Habitat.

As clarified in UN-Habitat’s analysis of Canaan’s environmental site conditions, many areas in Canaan have a high flooding risk, and others have high erosion and landslide risks. As residents built informally, many had already settled in some of these high-risk areas. Additionally, much of Canaan’s topography poses significant challenges, with most the area including slopes over 8 per cent, which is a challenge for transport and infrastructure development, and with many depression areas that are especially prone to flooding from heavy rainfall.²⁰ The urgency of the challenges faced in Canaan is underscored by the growth scenarios, which, under the high-growth scenario of 6 per cent, could see the population of Canaan more than double to 446,600 residents by 2035.²¹ The Government of Haiti was conscious of the challenges presented by this rapid urbanization, and recognized the potential of the Canaan area, if properly developed.²²

II. The objectives

The Lab project in Canaan took place in 2015-2016, over a period of two years. The project was different from many UN-Habitat interventions, as it did not rely strongly on collaboration with an operating local government (while it carried social and political weight, the local government had no capacity to operate effectively). UCLBP had officially been designated by the national government to take charge of the development of the area. At the time, UN-Habitat had a Country Office in Haiti, which was reopened following the earthquake, but by 2015 was scaling down its post-earthquake operations. The project in Canaan came after UN-Habitat’s extensive engagement in Haiti, and the Haiti Country Office reached out to the Lab for support through strategic and technical expertise.²³

UCLBP had coordinated an action plan for urban restructuring in Canaan, and UN-Habitat contributed to this through its ‘Urban Development Initiative’ (UrDI) project.

13. UCLBP (Unité de Construction de Logements et de Bâtiments Publics) is the unit under the Haitian government that oversees housing and public buildings. It issues regulations, strategic directions, and the implementation of public construction as well as encouraging private investments and reconstruction in urban areas destroyed by the 2010 earthquake.

14. CIAT was created in 2009 in response to the alarming need for consistent and coordinated actions in regional planning. The institution includes several ministries, and is chaired by the Prime Minister. It works on developing government policy on land use, watersheds, sanitation, and urban and regional development. (See <http://ciat.gouv.ht/>)

15. UN-Habitat and UCLBP (2016) *supra* note 1, p. 14.

16. *Ibid.*, p. 41.

17. *Ibid.*

18. *Ibid.*, p. 49.

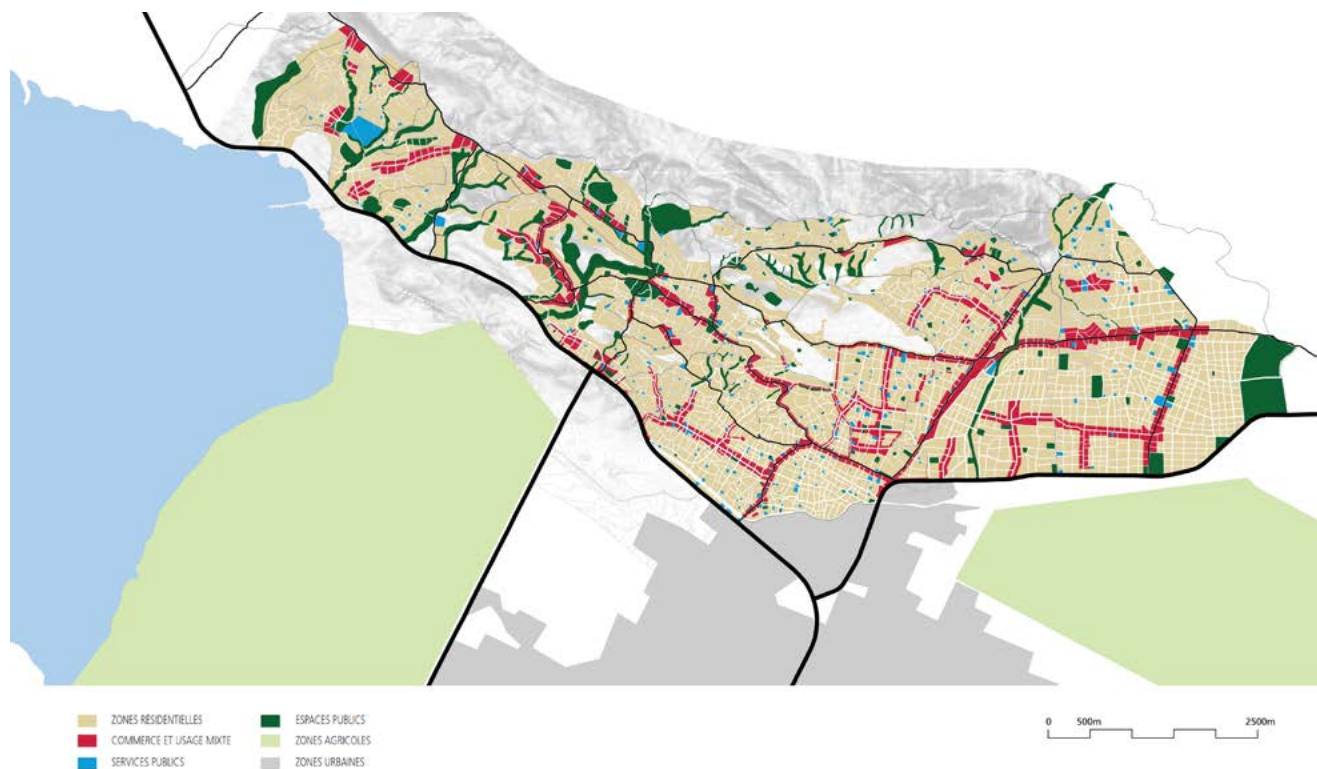
19. *Ibid.*, p. 46.

20. *Ibid.*, pp 35 and 37.

21. *Ibid.*, p. 41.

22. *Ibid.*, p. 18.

23. The Lab undertook an exploratory mission to Haiti, and then several in-house agreements were signed. One of these was on analysis and diagnostics, one on the strategic development framework, and one on detailed neighbourhood plans.

Figure 1: Proposed Canaan Land Use Plan

Financial and human resources for UN-Habitat's UrDI were provided by USAID and the American Red Cross.²⁴ The project ultimately aimed to (a) ensure that Canaan develops as a city district rather than continuing to develop informally without services and infrastructure, and (b) channel investments in the northern area and turn these into opportunities.²⁵

In this case, the Lab had an additional objective beyond that of the project scope under the UrDI, aiming to prepare a long-term vision for the development of the Canaan area (Strategy 4: 'Setting the area on a trajectory of long-term sustainability'), and to introduce wider planning principles and goals (Strategy 5: 'Using a principles-based approach') to sow seeds for a more sustainable urban future, far beyond the realities on the ground.

III. The approach

A. Coordination

The fact that the various tiers of government were not directly involved in Canaan made the project different from other planning assignments and, in a sense, more innovative, as the planning process directly engaged the NGOs and the residents (through community governance structures that had been put in place during the humanitarian work

following the earthquake) in detailed and participatory processes. UN-Habitat carried out the process directly with neighbourhood committees, while keeping the municipalities informed. The American Red Cross and the Haitian Red Cross collaborated to support a well-organized structure of appointed neighbourhood committees²⁶ which represented the interests of the informal communities. The American Red Cross then provided support to UN-Habitat to coordinate with the representative structures that were already in place.

The Lab used spatial planning as a tool to coordinate the economic, legal, social, and environmental aspects of urban development in Canaan, to be translated into implementable plans and projects. From the onset of the work, these plans and projects were developed paying full attention to the local context, from the physical, social, and financial perspectives, to use Strategy 9 ('Identifying and guiding investments strategically') and ensure that proposals were impactful and were more likely to be built.

Using Strategy 1 ('Putting special emphasis on the planning process') UN-Habitat focused heavily on stakeholder participation and engagement, rather than only the planning outputs. While the initial spatial diagnostics and analyses were done by the Lab in UN-Habitat's headquarters in direct coordination and collaboration with the Haiti Country Office, to provide a mutual basis

24. UN-Habitat and UCLBP (2016). Neighbourhood Planning Methodology. Urban Development Initiative (UrDI) for the Canaan Area of Port-au-Prince, p. 8.

25. UN-Habitat and UCLBP (2016) supra note 1, p. 18.

26. In most cases, the election processes were supported by Haitian Red Cross and American Red Cross.

Figure 2: Mapping neighbourhoods and public utility boundaries

of understanding, all the resulting neighbourhood plans were then drafted with, verified by, and presented by the neighbourhood committees in a carefully designed and detailed participatory process. The absence of service provision in Canaan meant there were a relatively small number of external stakeholders, which in turn led to strong community ownership.

At the time of the UrDI project, the Haiti Country Office consisted of about ten members, included four urban experts, and it carried out much of the participatory engagement and trust-building with the communities. While the Lab team conducted several field missions, visiting the locations and supporting the participatory sessions, much of the technical work happened remotely. There were constant communications between the Haiti Country Office and the Lab in headquarters, with calls occurring at least four times per week. Several members of the Lab team worked full-time on the project, with other members devoting significant time and expertise to the remote analyses and development of plans, sketches, concepts, and technical drawings as needed. With the Lab acting as an extended technical arm of the Haiti Country Office (providing timely strategic and detailed inputs to the team on the ground), it delivered options for decision-making in short timeframes and with limited data to justify evidence-based alternative approaches, while enabling local staff to focus on the participatory process and other priorities.

This positioned UN-Habitat as a trustworthy partner capable of steering the strategic direction of Canaan's planning process, while also solving detailed and day-to-day requests (e.g. related to road construction, drainage

solutions, public transport stations, or neighbourhood design).

B. Analyses

The Lab developed several key documents core to the UrDI project: The first, 'Analyses and Diagnostics,' established the spatial realities of the location at several scales and provided a useful mapping and factual foundation for discussions with stakeholders and the government. This was followed by the 'Strategic Development Framework,' which provided a sub-metropolitan level urban development proposal linking Canaan with the northern area of Port-au-Prince. Third, the 'Strategic Development Framework' fed into the 'Urban Structure Plan,' which analysed the existing urban structure and proposed a restructuring plan that ensures the provision of urban centres, street networks, and public spaces that would allow residents to access services and facilities within walking distance of their homes. The plan also proposed the land use (e.g. commercial, residential, and public space) of areas yet to be urbanized, and was enriched with guidance from participatory meetings that provided information on existing structures, such as paths, roads, and gathering places, to ground the plan in community needs and experiences.²⁷ The final series of documents were the 'Neighbourhood Planning Methodology,' accompanied by 12 'Neighbourhood Plans' developed for the individual neighbourhoods. These analyses were done and then developed into local settlement plans following the participatory process outlined below. This was done for the neighbourhoods of Bellevue, Canaan I, Canaan II, Canaan III, Canaan IV, Canaan V, Corail, Jerusalem, Onaville, Haut

27. UN-Habitat and UCLBP (2016). Urban Structure Plan. Urban Development Initiative (UrDI) for the Canaan Area of Port-au-Prince.

Sources Puantes, St. Christophe, and Village Moderne.

In its 'Analyses and Diagnostics' publication, the Lab provided a comprehensive urban analysis at different scales: regional, metropolitan, city-wide, and neighbourhood, with a set of recommendations presented for the wider area and neighbourhood scales. The analyses clarified where the flood-prone areas²⁸ were located, where there was poor and good soil potential, which land had strong agricultural potential, and the overall topography and urbanization realities, in order to specify what areas would be suitable for urban development and which should be set aside for agricultural purposes or environmental preservation.²⁹ It provided overlays of environmental risk maps demonstrating the best areas for agriculture, as well as areas at risk of flooding and erosion. These analyses clarified the areas of land suitability, identifying lands that do not have environmental risks or constraints, where development could safely occur.

The specialty of the Lab, as demonstrated in this context, is its ability to analyse the situation and to provide transformative ideas, grounded in sustainable principles and planning concepts from UN-Habitat, without being limited by the state of development on the ground. While country offices must respond to the needs and requests of the government, with possible demands from political officials, donors, and other local actors that things be done in specific ways, the Lab team in headquarters is more able to consider situations and problems considering optimal principles and guidelines of good planning. This allows it to push for improvements that are more extensive than what may have been, if they were strictly circumscribed by the local context. This principles-based approach (Strategy 5), reflected in the plans and projects drafted and developed incrementally for Canaan, proved powerful to ensure that globally agreed agendas such as the 2030 Agenda and the New Urban Agenda are promoted and localized even in challenging contexts requiring rapid response and solutions. Each of the plans contained baselines and indicators to ensure that sufficient space for infrastructure, services, facilities, public spaces, and commercial areas was allocated in accordance with sustainable urban development best practices.

The dialogue between the 'ideal planning' perspective and the context on the ground tailored the principles and plans to the local context, and created a space for community reflection, discussion, and conceptualization that allowed for 'big picture' and aspirational thinking. The gap between the proposed designs from the Lab and the reality in Canaan was often wide, but the Lab's distance



Participatory urban planning charrette on 4 November 2015 © UN-Habitat

from the reality also allowed it to push for a more visionary model of planning and principles. These high objectives and expectations allowed the overall approach to reach further than it may have otherwise, while keeping a focus on implementable, enduring catalytic projects.

IV. The participatory approach

The participatory approach engaged stakeholders in a process that assessed all of Canaan, through meetings that included the government, UCLBP, the American Red Cross, donors, international NGOs and organizations, representatives from each of the communities, and planning professionals and academia.³⁰ In addition, each neighbourhood went through a participatory process with its local stakeholders, enabling specific neighbourhood-level analyses, feedback, and project prioritization with those who were most familiar with that specific context at the settlement scale.³¹ The approach was crucial for developing both local capacity as well as plans that suited the community, while generating local ownership of these plans and of subsequent projects. The process involved residents in co-creating and proposing ('pen in hand'), where the roads, streets, services, drainage systems, and public spaces would best improve the quality of life and physical configuration of the neighbourhoods. The early and meaningful engagement and inclusion of women and young people was key to ensuring that the process represented a wider perspective and responded to the needs of the communities.

These co-created neighbourhood plans, after

28. A separate study was done on this with UN-Habitat's Climate Change Planning Unit.

29. UN-Habitat and UCLBP (2016) supra note 1, p. 39.

30. Ibid, p.20.

31. There were an estimated 79 participatory meetings carried out in the neighbourhoods, according to Haiti Country Office records. (Ibid, p. 19.)

validation by communities, partners, and technical experts, were proposed as the instruments to coordinate current and future interventions (using Strategy 2: ‘Using urban planning as a coordinating tool among actors and activities’), ultimately setting Canaan on a trajectory of long-term development and rooting project ownership in the residents (Strategy 4: ‘Setting the area on a trajectory of long-term sustainability’).

A. Charrettes on the strategic vision of Canaan

The participatory engagement approach drew lessons from the Charrette methodology, and focused on bringing together the key actors in Canaan, working in different areas, to ensure cooperation and complementary work under a unifying vision. The Haiti Country Office and the Lab collaborated to organize two urban planning charrettes to define the strategic vision and future urban structure for the overall area of Canaan.

On 4 November 2015, the first charrette gathered different national and local government institutions, the private sector, community groups, NGOs, planning professionals, and academia to discuss the current situation and the future vision for Canaan. The charrette was hosted by UCLBP and brought together many of the key actors that were working on different challenges of the area, such as American Red Cross, Global Communities, and USAID, which worked directly with communities throughout the planning exercises.

The first charrette met the following three objectives: (1) Reached a factual understanding of the urbanization process in the Canaan area from the main economic-financial, legal-institutional, spatial, social, and environmental areas; (2) Drafted a common vision for the urban development and upgrading of the Canaan area; and (3) Jointly assessed the best way to prioritize interventions and actions in Canaan.

The technical sessions of the charrette included presentations and workshops focusing on: UN-Habitat’s approach and the five principles for sustainable urban development,³² strategic planning concepts; a spatial analysis of the Canaan area; the urban structure and habitat conditions of the area; and urban regeneration, development, and management.

One of the most relevant impacts of the technical work and sessions was the engagement and participation of government institutions that had not been fully engaged in the process previously. The discussions held and conclusions reached during the sessions brought the perceptions and objectives of the different stakeholders



Drawings from one of the groups in the second charrette © UN-Habitat

into closer alignment, unleashing synergies for collaboration and co-investment among actors. The charrette ultimately identified findings, priorities, and actions for interventions, showcasing the power of integrated decision-making and consultation – even in complex contexts – to move forward effectively.

Two separate one-day preparatory sessions were held before the next charrette. The first engaged community representatives, and the second engaged candidates to represent the three municipalities in the area, as elections were approaching.

The second urban planning charrette, which was held over four days, 14-18 March 2016, served as a continuation of the first, and was again hosted by UCLBP. It also brought together many of the key actors concerned with the different challenges of the area, such as ministries (MPCE, MTPTC, MICT, MENFP and MEF including the DGI), public service companies (DINEPA and Ed’H), local governments (municipalities of Croix des Bouquets and Thomazeau), universities, representatives of the private sector and professional bodies, international agencies and NGOs, as well as community representatives. As in the first charrette, many of these organizations and government entities engaged directly with communities through the planning exercises, which enhanced participation and mutual understanding.

The last two days of the second charrette were devoted to plenary sessions, engaging the community representatives and candidates that had participated in the pre-sessions, in addition to the private sector, local governments, academia and universities, civil society, international organizations, and planning professionals. The team presented the results of the first charrette; an overview

32. For details on these principles, see Box 2: ‘UN-Habitat’s planning principles’ in ‘Urban Planning Responses in Post-Crisis Contexts,’ or see Appendix F: ‘UN-Habitat and its Urban Planning and Design Lab.’

of UN-Habitat’s principles; maps and analyses of the Canaan area; overview and discussions of the metropolitan perspective and neighbourhood details; and the economic rationale for good planning principles; among other topics. The charrette broke into smaller working groups to provide input on specific topics (such as strengths and weaknesses of the area; urban governance and management models); and the outcomes and priorities that the groups had identified were then discussed and integrated. The second charrette concluded with a list of possible catalytic projects based on the input and collaboration. These proposed projects were discussed and prioritized by the different groups, in a preliminary exercise, before the process was brought forward in detail in each of the neighbourhoods.

The second charrette met the following objectives: (1) Validated the preliminary analysis and diagnosis for metropolitan Port-au-Prince and agreed on a vision for the future of Canaan; (2) Identified the strategic orientations for the area and drafted the urban development scenarios for the territorial development of the area; and (3) Validated the work done so far in terms of analysis, diagnosis, strategies, and structure plans to inform the urban strategic development document.

B. Neighbourhood planning processes

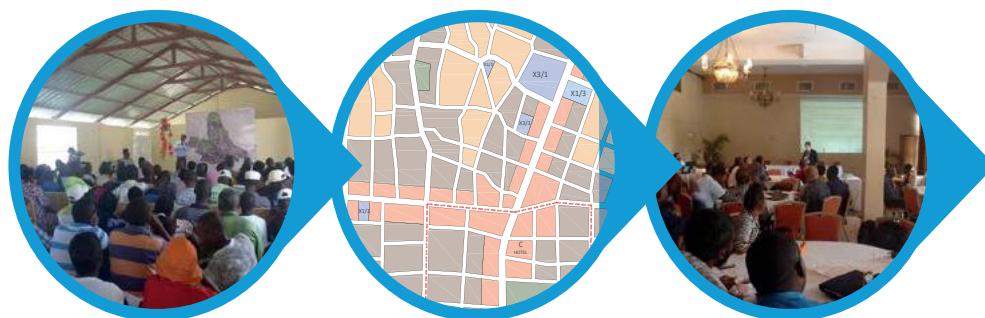
The team employed Strategy 6 (‘Including and consulting to foster cohesion and ownership’), in each neighbourhood in Canaan to ensure every aspect of the support provided was tailored for and desired by the community. While each neighbourhood process varied slightly, the general approach in each community followed the process detailed below:

- 1. Existing situation mapping:** Work started with maps of the existing situation for each neighbourhood, which were prepared and displayed: the existing street network; existing services (water points, retail, sport locations, schools and kindergartens; places of worship; community centres; and other public buildings).

After a first meeting with each neighbourhood committee (usually including from 10 to 20 people) was set up by ARC social workers, the UN-Habitat team in Haiti would initiate the process by providing a thorough presentation of the participatory process, its implications, and the expected results, to establish a good working relationship and ensure a solid engagement with the neighbourhood representatives. This key initial step also allowed the team to get to



1. EXISTING SITUATION MAPPING 2. MAP OF THE PROPOSED INTERVENTIONS 3. COMMUNITY WORKSHOPS 4. NEW REVISED PROPOSAL



5. NEIGHBOURHOOD ASSEMBLIES 6. FINAL NEIGHBOURHOOD PLANS 7. IMPLEMENTATION

know the different members of the committee and their character, position among the group, and possible biases. Only after a good collaborative environment was established did the actual planning exercise begin. In some neighbourhoods, this took several attempts due to various reasons (such as a request for a government representative to be present, an unrelated demand from the community, or even leadership disputes among members of the committee).

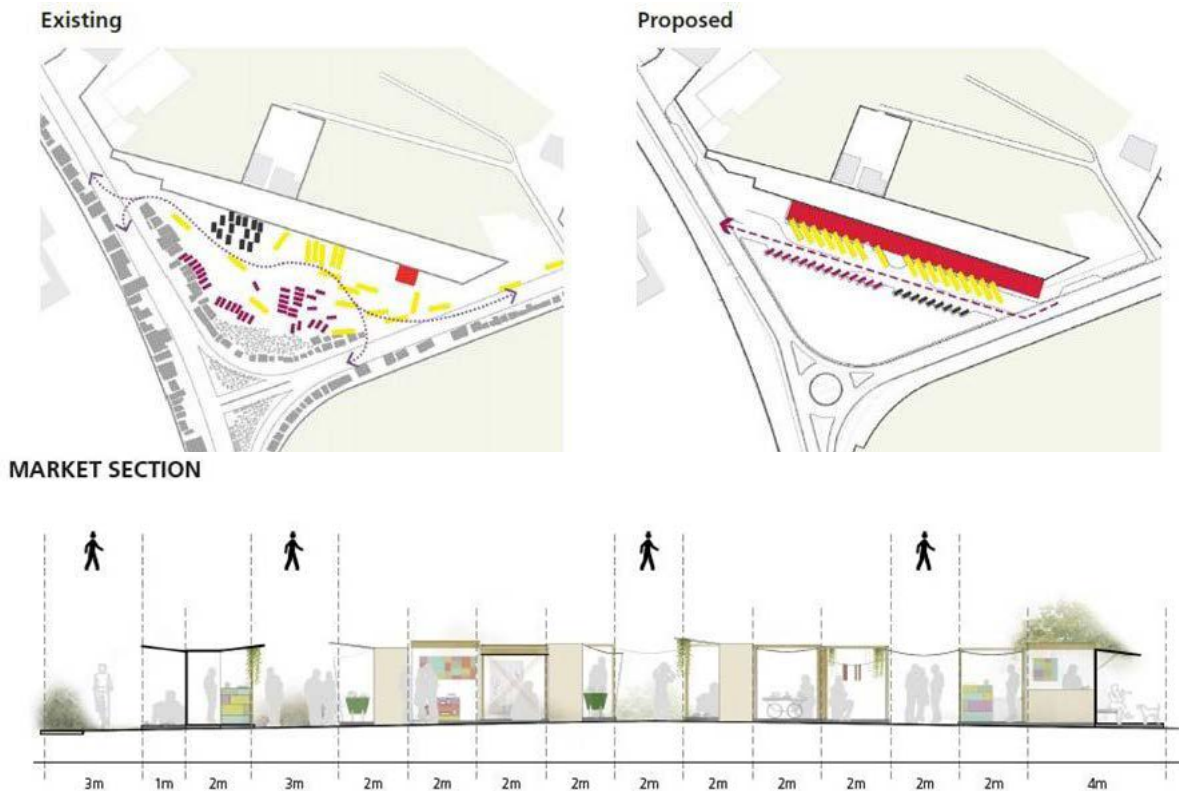
After a collaborative environment was established, a large-scale satellite image of the neighbourhood, made of several large sheets that allowed participants to pinpoint their houses, and with initial identifications of the road network and landmarks drawn on them, was presented to the community representatives. They were then asked to correct the road structure (including primary, secondary and tertiary roads) on the map and to draw in any additional buildings and amenities not initially shown, such as schools, churches, market areas, water points, sport fields, parks, reserved plots for public spaces, or any other important feature. This not only allowed for a precise mapping of the neighbourhood but, more importantly, for the community representatives to get a clear understanding of their neighbourhood, its assets, structure and boundaries and, ultimately, a strengthened sense of belonging. On a few occasions this also led to heated discussions regarding the neighbourhoods' limits, disputes with neighbouring communities, etc., sometimes requiring the whole process to be suspended until these could be resolved.

Neighbourhood committees were asked to keep these large maps and to continue working on them if time didn't allow completion of the exercise during the session. Through this interaction and concrete contribution, and of the use of large detailed roll-up maps, which had to be ceremoniously stapled back together each time, this exercise progressively gave the representatives a sense of ownership of the process and of leadership among their communities. Each neighbourhood map, with all the drawings from the community representatives, was then returned to the Lab to be included in the final existing situation analysis.

2. **Map of the proposed interventions:** Based on the situation plans, each neighbourhood was then analysed back at the Lab, following UN-Habitat principles. More street connections and public spaces were proposed. The maps of proposed interventions show improved street networks and new connections, bridges, public spaces, improved drainage and the existing services.
3. **Community workshops:** Once the mapping exercise was completed, a presentation of UN-Habitat's good

urban development principles was delivered to each committee, and they were requested to evaluate how well their neighbourhood was doing regarding each principle. Every member of the committee was offered the opportunity to express their opinion, and attention was given to encouraging women and young people to speak and be heard. Once this assessment exercise was completed such that everyone understood the principles and their importance, the committee members were then asked to draw on the neighbourhood map, taking the proposed interventions prepared as an example, and to mark proposed improvements in terms of accessibility, road network, public spaces, amenities and risk areas, to be included in the planning proposal. These moments could be tense, as a single marker line on the paper had strong repercussions on the ground and on real people: clearing space for a road that was obviously necessary also meant a family would lose part of its land to give way for it. Many felt strongly about this and preferred to pass the marker, which was called 'the scalpel,' to another participant. However, the exercise also revealed why it was so important for the committees to play a strong role in their neighbourhood development process. For instance, in those situations where encroachment was an issue, many demanded to protect, and even to recover, the few public spaces left. The general motif was "Nous voulons vivre dans une ville, pas une bidonville" (in English, this translates to: "We want to live in a city, not a slum"). This exercise often extended over the course of several sessions before a final proposal was agreed upon.

4. **New revised proposal:** Feedback from the community was taken into consideration, and the plans were adjusted back at the Lab. Additionally, more data was added, and the maps were redrawn and updated in a new proposal, with re-drawings addressing updated issues such as: services, risk-areas, reservation of areas for public and green spaces, drainage systems, and more detailed contours.
5. **Neighbourhood assemblies:** The reviewed plans were then returned to the neighbourhood committee for a final review, and preparations were made to present them in front of the whole community. Community assemblies were then organized with great preparation and ceremony for the committee's presentation of the neighbourhood plan to the entire population. Large, floor-to-ceiling boards with the neighbourhood plan proposal were produced for the occasion so everyone could follow along. The assemblies involved long and animated sessions that were attended by between 50 and 200 people, in some cases also by municipal authorities, and

Figure 3: Mapping of the existing and proposed Bon Repos market, with spaced mapping for street layout


were key milestones in the planning process. For the most part, beyond the feedback collected from the community, these sessions consolidated the committees' legitimacy and leadership, and ultimately established their responsibility for the plans in front of their communities.

6. Final neighbourhood plans: The neighbourhood plans were then updated and completed with:

- **Selected interventions:** The estimated costs of the selected and most relevant interventions were considered. More detailed plans of the catalytic projects were designed (e.g. improvements to the street network, transit stations, and markets.)

- **Draft of land use plan:** A draft land use plan would be done, with recommended areas for residential (high, medium, and low density) areas, commercial areas, and public spaces, which were mapped with marked indicators for the non-aedificandi (areas that cannot accommodate construction) and risk areas. Copies of the neighbourhood plans including this information were distributed to the committees.

7. Implementation: The results of the participatory process were shared with UCLBP, the municipal governments, and the different stakeholders present in Canaan for their implementation. The final step was the implementation of some of the catalytic projects proposed, and UN-Habitat facilitated this process and

suggested guidelines for stakeholders to utilize in the continuous process moving forward.

The engagement processes following the steps above and the resulting neighbourhood plans led to proposals of several catalytic projects in each neighbourhood, and the most strategic projects were identified.³³ The projects were first proposed for the larger Canaan area, and then for specific neighbourhoods. Strategy 9 ('Identifying and guiding investments strategically') was used to support a variety of implementing partners to focus their efforts on the most catalytic projects that would have the greatest impact on the lives of Canaan's community members. The strategic projects that were identified and further developed in detailed brochures were:

1. Public space of Bon Repos;
2. Tree planting strategy for Canaan;
3. Enhanced connectivity and walkability for Canaan;
4. Market Haut Route and tap-tap station;
5. One-stop centre for Canaan; and
6. Compilation of technical inputs for infrastructure and service provision in Canaan.

33. For details, see p. 60 of UN-Habitat and UCLBP (2016). Comprehensive Urban Analysis and Diagnostic. Urban Development Initiative (UrDI) for the Canaan Area of Port-au-Prince.

The detailed brochures explained the projects, provided technical details for their implementation, and were used to bring stakeholders together to contribute and commit to the implementation of the projects. Of these proposed projects, funding was mobilized for the participatory process of the public space of Bon Repos, the tree planting strategy for Canaan, and enhanced connectivity was addressed through a road project implemented by IOM and Global Communities (see Section V).

Bon Repos, for example, was defined as a common concern by all groups, as the area was among the most congested in northern metropolitan Port-Au-Prince, especially around the transport hub and the market. With over 200 vendors and 15 transport routes in this urban public space, a sustainable approach was needed to overcome this challenge. The resulting project was funded by UN-Habitat's Global Public Space Programme, which employed the participatory Block by Block methodology to restructure both the transport hub and the market area.

For the projects at the neighbourhood level, a comprehensive list of interventions was attached to every sub-neighbourhood map developed. Some examples of the proposed projects include:

- Reconfiguration of the road and street hierarchy.
- Creation of additional roads / streets to enhance connectivity.
- Creation of additional public spaces.
- Physical interventions to consolidate ravines, including landslide reduction and reforestation.
- Identification of vacant land for reforestation.
- Construction of drainage infrastructure.
- Creation of services / facilities at the neighbourhood level.

C. Capacity development

The capacity development aspect of this process was vital, as urban planning is a continuous process and successful implementation requires local engagement and ownership. As a living document, an urban plan – and the ongoing process and continuous prioritizing it entails – is premised on the engagement and capacity of the community and the government. The Haiti Country Office developed an exceptional relationship with the communities and managed an effective participation schedule and model, with frequent meetings held with community committees in each neighbourhood.

Meetings (moderated by the Haiti Country Office) played an important capacity building role and convened the community members to present and discuss maps of the existing situations alongside maps of the proposed interventions, using large printed maps of the plans and



A workshop in Onaville on 16 June 2016 © UN-Habitat

following the process detailed in the previous section.

Training workshops were conducted to explain how the maps represented the area and the corresponding structures, and the community and other participants became well-informed and able to fully and substantively participate in the process, including considering investments that would influence the development of the area.

The neighbourhood plans were developed with continuous community participation and were ultimately completely appropriated by the communities. The plans were handed over to each community at the end of the project, and are kept and routinely referred to by the community members. The training and involvement, revisions, ownership, and pride that the community representatives have developed in relation to the plans enables them to be active partners and participants in the implementation phase, working in partnership with the NGOs that have since taken over the projects, and with the government and other actors in the future.

Thus, the participatory process and associated capacity development measures played a key role in achieving the full transfer of ownership and maintenance responsibilities to the community. For example, the NGO Global Communities, which involved in constructing the road discussed in detail in the next section was also involved in these workshops, which built trust and a relationship between the community and the focal points for implementation, creating a smoother transition after the departure of UN-Habitat. Capacity building with government counterparts was also a significant part of the process, as officials from both the national government and local government participated in the sessions and in revisions of the plans and projects. As a result of this joint work, the national government institutions and officials developed a shared vision and



Community map workshops in Canaan © UN-Habitat

understanding of the challenges and priorities for Canaan, along with a better understanding of the importance of the strategic sustainable development of Port-au-Prince.

V. The results

In a relatively short period, a clear urban structure (with main and secondary roads, streets, plots, public spaces, infrastructure, and services) was produced through an iterative, participatory process which identified, refined, and validated solutions that best responded to challenges at the metropolitan, city, and neighbourhood scales. UN-Habitat provided pragmatic analyses, capacity and training, community engagement, and ultimately recommendations based on the analyses carried out and feedback received through the participatory process. 'Big picture' sustainable urban development principles were transformed into concrete actions and plans for catalytic projects and development.

Key recommendations were formulated for Canaan with the purpose of improving the existing situation and ensuring sustainable development in the future. The nine overarching recommendations included:

1. Prevent environmental risks (including related to flooding and erosion);
2. Preserve agricultural land, to be a vital asset in the context of the local economy;
3. Develop water management strategies, to ideally seek to allocate water equitably and to reduce risks and damages to the infrastructure and build safety and resilience to water related-events;
4. Guide the urban growth, promoting the decentralization of part of the business districts;



5. Encourage densification and plan for extensions: both will be required to accommodate the rapid rate of projected growth;
6. Improve the street network: a well-planned grid would alleviate traffic and congestion and avoid the creation of more dead-end roads;
7. Ensure a fair distribution of economic activities, which is essential for accessing livelihoods for residents;
8. Propose a network of public spaces: public space can lead to healthier, safer, and better maintained environments, improving the quality of life for residents;
9. Promote mixed use: having a compact, mixed-use development would strengthen the economy and reinforce social and cultural activities.

These recommendations were reflected in planning solutions and scalable projects at the neighbourhood level, resulting in lists of specific actions that have been prioritized by the community groups.³⁴ The narrative constructed during this process brought stakeholders together and facilitated their agreement that some projects (such as the Canaan main central street, an improved drainage network, and the provision of additional social services and facilities) were to be prioritized over others that were also relevant but not as critical.

The participatory engagement process provided invaluable community insights into the plans, in addition to transferring capacity and a sense of ownership to the local communities and the government (supporting Strategy 6: 'Including and consulting to foster social cohesion

34. UN-Habitat and UCLBP (2016) supra note 24, p. 8.



A completed road in Canaan, which utilised UN-Habitat spatial analyses and the participatory urban plans and project proposals discussed in this study 2018 © IOM / Emily Bauman

and ownership'). This engagement with the community committees also enabled them to improve their collective capabilities to identify and prioritize strategic and catalytic investments going forward.

This detailed participatory process, as well as the analyses and diagnostics, strategic framework, 12 neighbourhood plans, and six project brochures, were used as examples and references for similar processes and interventions elsewhere in Haiti. UN-Habitat was therefore able to continue as a strategic partner of both UCLBP and CIAT as initiatives and projects transitioned into the implementation phase.

In addition to the clear benefits for current and future residents of Canaan – who now will have clarity on recommended and suitable lands for expansion – Canaan's strategic location at the crossroad of the National Route 1 and Route 9, which in turn connects to National Route 3, make it a vital area to unlock the potential of the northern corridor.³⁵ The urban restructuring and development of Canaan can create more compact, connected, and integrated structures that can serve as a basis for sustainable urban development to the north of Port-au-Prince.³⁶

The UN-Habitat Haiti Country Office has since concluded its work and closed as planned, and some of the strategic projects that were developed and recommended in the participatory workshops were thereafter implemented by the partners and funders that had been engaged in the process, such as Global Communities, the American Red Cross, and IOM, which have constructed several kilometres of roads in Canaan 3 (including connected paved paths) that create a loop connecting Canaan to National Roads 1 and 3, in coordination with Ministère des Travaux Publics, Transports et Communications (MTPTC)³⁷ and the Municipality of Croix-des-Bouquets.³⁸ Based on the hydraulic studies and analyses done by UN-Habitat, the road was designed with significant drainage system and a 20-year lifespan.³⁹ According to IOM estimates, the road will benefit 200,000 people in Canaan and IOM's Haiti Acting Chief of Mission Bernard Lami stated "Beyond the objectives of improving and contributing to the development of the Canaan area, this successful project will re-connect and integrate the communities affected by displacement to the urban and social environment and

37. MTPTC is the Ministry of Public Works, Transport, and Communications. (See www.mtptc.gouv.ht.)

38. The loop was built by IOM and Global Communities, with co-funding from the American Red Cross and USAID. (IOM (2018). 'IOM Completes First Road to Massive Displacement Settlement in Haiti.' 8 July 2018.)

39. Ibid.

35. UN-Habitat and UCLBP (2016) supra note 1, p. 53.

36. Ibid.

finally make the population ‘visible’ and recognizable”.⁴⁰

Furthermore, a series of processes were kick-started through this collaboration, including: the development of Terms of Reference for the content of urban plans in Haiti; a workshop with national and local governments to reach agreement on the content and technical requirements of urban plans for municipalities in Haiti; and the Lab’s response to a request for support to develop urban profiles, analyses, and plans for four municipalities in the south of Haiti (Les Cayes, Beaumont, Jérémie, and Dame-Marie) which used a participatory process like that in Canaan. As noted previously, aspects of the approach used, including the participatory methodology of engaging with stakeholders, have been utilized by the government in similar projects in other communities.

To capture and scale the successful participatory approach used in Canaan as well as in Les Cayes, Beaumont, Jérémie, Dame-Marie, and other countries, UN-Habitat has developed the ‘Participatory Incremental Urban Planning Toolbox,’ a step-by-step guide for local governments in intermediate cities in developing countries as they evaluate, plan, operationalize, and implement urban plans and projects.

VI. Key lessons

If done in a consultative way, an urban planning process in a post-crisis or difficult situation has the strength to guide and inform different actors and investments, as was the case with donors and NGOs in Canaan. The participatory process in each neighbourhood created successful engagement with the residents, which can be utilized by implementing partners to ensure participatory implementation and locally owned impact. The approach in Canaan exemplifies the mutually reinforcing support between Strategy 2 (‘Using urban planning as a coordinating tool among actors and activities’), Strategy 4 (‘Setting the area on a trajectory of long-term sustainability’), Strategy 5 (Using a principles-based approach’), Strategy 6 (‘Including and consulting to foster social cohesion and ownership’), and Strategy 9 (‘Identifying and guiding investments strategically’).

A. Guiding investments in based in strategic planning principles

The post-disaster context (in this case, over six years after the actual event) presented a unique institutional set-up for local actors, with a continued presence of donor resources for investment. Having urban plans at different scales provided key guidance for the investment of available resources in Canaan, permitting the swift implementation of some projects. These plans also enabled resources to be

spent in a more coordinated and effective way, including for environmental preservation and risk reduction, for accessibility, and for provision of services.

UN-Habitat’s urban planning principles and strategies proved highly relevant in this context. These principles introduced parameters of reference, guided the discussions and the ambitions of the communities based on a shared understanding, and put forward the issues of common good and collective interests (in a context of previously individualized initiatives), led by residents. Producing public spaces and a rational connectivity grid within an unplanned area requires difficult decisions which are facilitated by these shared values and a shared understanding of the benefits and opportunities being created.

B. Fostering community ownership

One of the most important outcomes from this work was the strong sense of pride and ownership established within the communities and in community organizations. The communities’ understanding of the territory and the proposals ensured that this ownership would continue throughout the subsequent implementation and demonstrates the importance of Strategy 6 (‘Including and consulting to foster social cohesion and ownership’). The process also served to reinforce the social recognition of these community organizations and their leaders among the population and the municipal authorities. Further, the widespread familiarity with the area and the heightened level of community participation meant that the prioritization of projects and the identification of urban infrastructure works to be carried out later would be representative processes, even in the absence of an operating local government.

C. The importance of early urban planning support

While this case demonstrates the value and mutual support of these strategies, Canaan also exemplifies the importance of integrating expert urban planning and technical spatial expertise at the earliest onset of any post-crisis response. Once a settlement has developed informally and structures have already been established, the necessary revisions and additions to support the community are much costlier and come with much more challenging obstacles (e.g. the need to relocate existing homes to make space for vital community infrastructure and links with formal services) than would be encountered if spatial and urban planning support had been prioritized in this area starting from 2010.

40. Ibid.



Community mapping in Canaan, Haiti © UN-Habitat

APPENDIX B
DETAILED CASE STUDY: MOGADISHU, BOSSASO, AND GABILEY
SOMALIA



This case highlights the strategic benefits from spatial urban profiling and planning in Somalia, and how they have provided a crucial baseline for catalytic investment planning in a very challenging political and conflict context. It further demonstrates how institutionalizing urban planning can impact urban governance and administration in the context of rapid unplanned urbanization. The case focuses on the period of the Lab's engagement with UN-Habitat's Somalia Programme (which is a part of JPLG Somalia) from January-December 2016. While this case study will focus on Mogadishu in the core text, details on planning support in Gabiley, Somaliland and Bossaso, Puntland, as well as the 'Labs' established there, are highlighted in boxes 1, 2, and 3.

I. The political context in Somalia

Somalia has experienced complex humanitarian emergencies triggered by both conflict and natural disasters since the late 1980s. The country experienced a collapse of government, and the beginning of widespread and often clan-based conflict, following the 1991 overthrow of the military regime of then-President Siad Barre and the resulting power vacuum. The northern part of the country declared independence as Somaliland in 1991, although it has not yet been recognised by a foreign government. And in 1998 Puntland, in the northeast, declared itself an autonomous state (but without secession claims) to avoid the clan warfare engulfing southern Somalia. Somalia's Transitional National Government was formed in 2000, followed by its Transitional Federal Government (TFG) from 2004 until 2012. In 2006, Mogadishu, Somalia's capital, was taken over by militia groups aligned with the Islamist Union of Islamic Courts. One of these groups became Al-Shabab, a jihadist group that carried out attacks against the government and civilians, and advanced in southern and central Somalia. The situation ultimately led to the African Union Mission in Somalia beginning in 2007 (ongoing at the time of writing) and to the military intervention led by Kenya from 2011 to 2012.

The situation worsened when Somalia experienced extreme drought a famine began in July 2011, adding to the significant numbers of people who were already displaced due to protracted conflict. An estimated 260,000 people died during the famine¹ and an estimated 1.1 million people were displaced afterwards.² While some displaced persons sought refuge outside of Somalia as refugees, many internally displaced persons (IDPs) relocated to urban areas within Somalia, which were often considered safer from militia groups. These population movements, coupled with urban growth, led to rapid, unplanned, and unprecedented urbanization. Somalia is projected to continue to experience rapid urbanization, becoming predominately urban by 2050.³

After much uncertainty, the Federal Government of Somalia emerged from transition in 2012, restoring a central

authority, and making progress towards building recovery, stability, and statehood. However, this Government continued to face challenges in addressing militia groups and secession, with continued conflict in parts of the country.

The Government of Somalia also completed its 2017-2019 National Development Plan (NDP), the first since 1991, followed by a new National Development Plan for 2020-2024. In this context, it has further prioritized urban development and durable solutions for displaced communities, which may provide an enabling environment for integrated long-term planning and development.

A. The context in Mogadishu

Mogadishu, the capital city of Somalia, and is one of the fastest growing cities in the world.⁴ Benadir is an administrative region in south eastern Somalia, and the Benadir Region Administration (BRA) is the regional authority that governs Mogadishu.

The rapid expansion and development of the city has been shaped not only by many international organizations that are actively investing in and influencing the city, but also by a high number of small, private investors. However, in the absence of development guidelines or an overarching spatial plan and corresponding city development strategy, these private forces have the potential to favour developments that benefit private companies and wealthy individuals seeking investment opportunities, rather than promoting a vision of a cohesive, sustainable, safe, and inclusive city. Thus, private developments were not expected to address public needs (e.g. service provision for all residences), highlighting the necessity for a coordinated and cohesive approach to consider and improve circumstances for the urban poor.

Furthermore, urban development challenges for the city must be seen through the lens of the devastating impact of the decade-long civil war and the remaining fragile post-conflict environment.⁵ In addition to the lack of services in Mogadishu, the state and local administration system had collapsed and needed to be rebuilt, with the

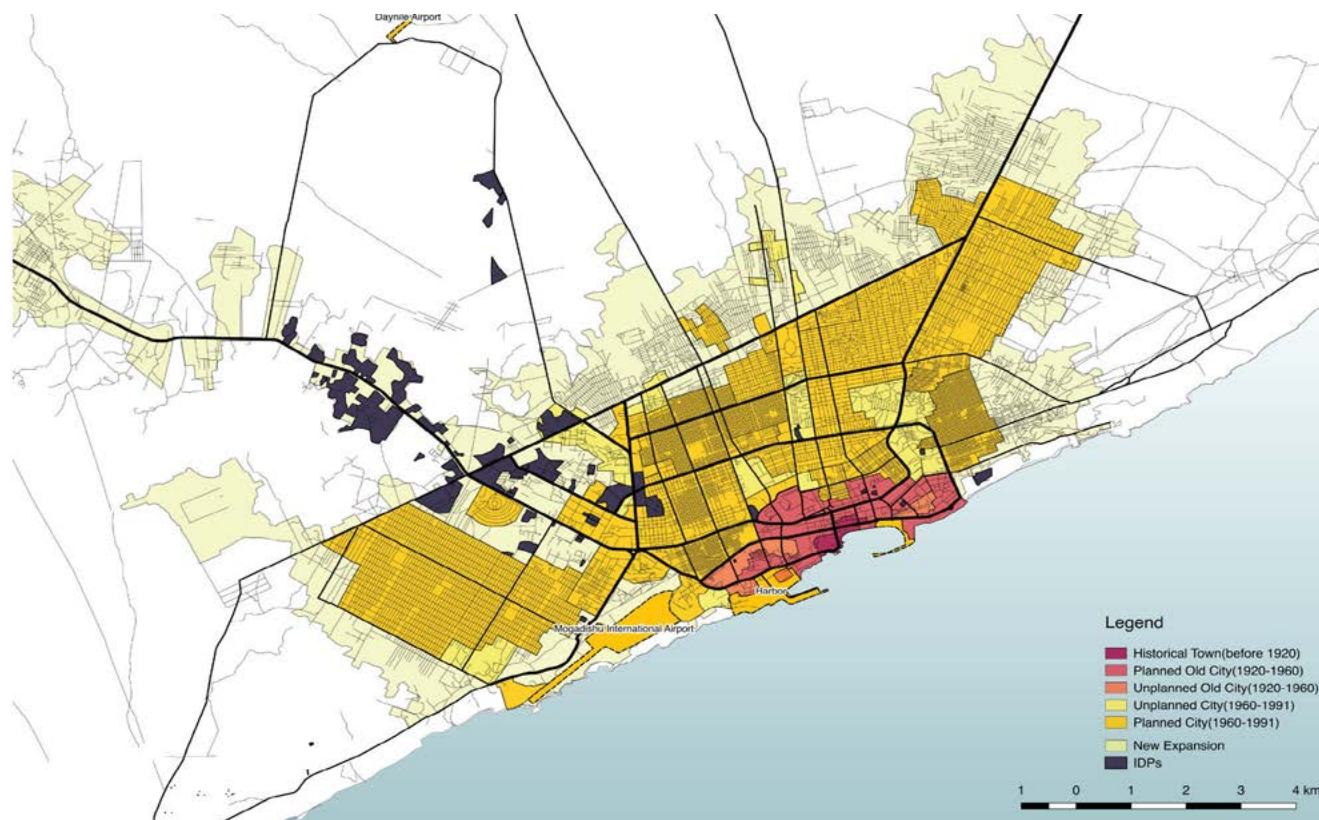
1. UN News (2013). Somalia famine killed nearly 260,000 people, half of them children reports UN. 2 May 2013.

2. UN News (2012). UN launches \$1.3 billion appeal for humanitarian needs in Somalia. 4 December 2012.

3. UN DESA, Population Division (2018). World Urbanization Prospects: Somalia.

4. In fact, it is the second fastest growing in the world as of 2015, with a population growth rate of 6.9 per cent. (Massy-Beresford, Helen (2015). 'Where is the fastest growing city in the world?' The Guardian, 18 November 2015.)

5. UN-Habitat (2016). In-House Agreement of Cooperation: UN-Habitat and UJPLG. January 2016.

Figure 1: Spatial mapping of different development zones, new expansion areas, and IDP settlement areas

final status of Mogadishu yet to be defined (as outlined in the 2012 Provisional Constitution)⁶ Massive influxes of IDPs, combined with unregulated, ad hoc informal construction and settlement development, caused new land conflicts and threatened the peace and stabilization process.⁷

At the time of the work discussed in this case, 2016, the city – with an estimated population of 1.65 million people as of 2014⁸ – had over 480 informal settlements, home to over 460,000 individuals, of which 85 per cent were estimated to be IDPs.⁹ One-third of the IDPs in Mogadishu were estimated to have lived in long-term protracted displacement, relying on humanitarian assistance.¹⁰

Forced evictions added another layer of uncertainty and insecurity to the challenges already faced by Mogadishu's residents, with 143,510 individuals forcibly evicted in 2016 alone.¹¹ And, within the context of cyclical

humanitarian emergencies including floods and droughts, this population also endured a chronic lack of economic access to food, as well as security challenges in the city.

There were also significant obstacles to city administration and governance. Before 2013, when the BRA's Department of Urban Planning and Engineering was established, through UN-Habitat's technical support, there had been no effective urban planning institution or urban regulation mechanism in place for decades. In addition to support to the Department, UN-Habitat had continuously supported GIS-based property registration in various districts to strengthen the municipal revenue base, which added some capacity to the Department of Urban Planning and Engineering to set up a geo-spatial property base and to gather additional information on some spatial planning areas, such as public space and public properties. This GIS-based collection resulted in the 2015 'Urban Analyses of Mogadishu,' a booklet introducing proper mapping of the urban area for the first time, and illustrating, through urban and geo-spatial analyses, general information concerning the city's challenges.¹² This was an important first step to develop a general understanding of the city, including its main characteristics and composition.

6. Ibid.

7. Ibid.

8. Population data for Mogadishu has been unreliable, with UNPF estimating 1.65 million as of 2014, while other estimates were much higher, and all indicated rapid projected growth. (UN-Habitat and the United Nations Joint Programme on Local Governance and Decentralized Service Delivery (JPLG) (2016). 'Towards Mogadishu Spatial Strategic Plan: Urban Analyses/ urban Development Challenges/ Urban Strategic Planning,' p. 4.)

9. UN-Habitat and the United Nations Joint Programme on Local Governance and Decentralized Service Delivery (JPLG) (2016). 'Towards Mogadishu Spatial Strategic Plan: Urban Analyses/ urban Development Challenges/ Urban Strategic Planning,' p. 31.

10. Ibid, p. 21.

11. Human Rights Watch (2015). 'Somalia: Forced Evictions of Displaced People.' Human Rights Watch. 20 April 2015.

12. The 2015 booklet 'Urban Analysis of Mogadishu' is available on UN-Habitat's website at: <<https://unhabitat.org/mogadishu-urban-analysis>>

Figure 2: Urban analyses for the Mogadishu Spatial Strategic Plan

As of 2016, however, the city's capacity for overall spatial planning and management remained low, and analyses were not always matched with proper actions to direct Mogadishu's dynamics and development. Accordingly, and based on UN-Habitat's previous experiences in other urban areas in Somalia, strategic urban planning was seen as a clear entry point to support the city to better address urban challenges and to build urban planning capacities.¹³

II. The objective

UN-Habitat's CPEDU, in which the Lab was located¹⁴ signed an 'In-House Agreement of Cooperation' with UN-Habitat's Somalia Programme, effective on 25 January 2016, to jointly implement 'Urban Planning Somalia: Gabiley Urban Master Plan, Bossaso City Extension Plan, and Mogadishu Spatial Strategic Plan.' The agreement was based upon the UN Joint Programme on Local Governance in Somalia (JPLG)¹⁵ workplan of 2015-2016, which had been agreed with government counterparts. Within the framework of JPLG, UN-Habitat would assist municipalities to develop in a dynamic and incremental way.¹⁶ (While this case study focuses mainly on Mogadishu and the Benadir Regional Administration (BRA), please see boxes 1, 2, and 3 for details on the collaborative work conducted in Gabiley, Somaliland, and Bossaso, Puntland, which was connected to this work and was part of the overall project.)

The JPLG-led process focused on developing the systems, structures, and capacity to enable local

governments to deliver urban planning and other services – ultimately resulting in functional local government able to steer urbanization in Mogadishu for the coming decades. The challenge, however, was to match this incremental system-building process with the escalating speed of the city's development dynamics.

In this landscape of competing needs – with careful support to the local technical capacity and institutional authority on one side, and the frantic pace of urban transformation and the escalating needs of a booming population on the other – the Lab was engaged to support UN-Habitat's Somalia Programme and the BRA by developing the 'Mogadishu Spatial Strategic Plan'.

The Lab refrained from attempting a conventional development plan, with recommendations that can be implemented on-the-ground directly from a technical document or 'master plan.' Rather, a spatial approach was proposed to define the tactical priorities for Mogadishu's development at different time horizons, and link them to the physical reality of the context, ensuring that they were area-based, action-oriented, and focused on immediate sectoral priorities.

By underpinning this technical assessment of needs, challenges, and opportunities with a collective vision for the future developed by key stakeholders, and further linking it with a clear local government capacity-building programme for spatial development, a spatial strategic plan would enable a move forward from a crisis setting toward inclusivity, resilience, and self-reliance, while also ensuring strong local ownership of the plan (Strategy 4: 'Setting the area on a trajectory of long-term sustainability'). Thus, the process of developing the 'Mogadishu Spatial Strategic Plan' aimed to provide the foundation for a continuing development process, grounded in citizens' participation and based on the city administration's collaboration with a large number of stakeholders.

13. UN-Habitat supported the spatial analyses, city consultations, and priority development strategies and projects that led to development concepts for Hargeisa, Buraao, Boroma, Berbera, Sheikh, and Bossaso. (UN-Habitat (2016). In-House Agreement of Cooperation: UN-Habitat and UJPLG. January 2016.)

14. See Appendix F: 'UN-Habitat and its Urban Planning and Design Lab' for more details on the work of this Unit, which has now carried over to UN-Habitat's current Planning, Finance, and Economy Section in its Urban Practices Branch.

15. JPLG ultimately aims to strengthen local governance to enhance decentralized services in all the regions of Somalia.

16. This was similar to the spatial strategy done by the Lab for the city of Johannesburg. (For further information, see UN-Habitat (2016). Urban Planning and Design Labs: Tools for integrated and participatory urban planning. Quito, Habitat III Version 1.0.)



Design charrette in Gabiley, Somalia © Ivan Thung

III. The approach

The approach further aimed to align Mogadishu's local priorities (including the Mogadishu 2016 Strategy) and national interests, contributing to value chains and the national economic and other goals (Strategy 8: 'Connecting and aligning with the local government perspective and role'). In this sense, it was no coincidence that the 'Mogadishu Spatial Strategic Plan' process began at the same time as the then-upcoming Somalia National Development Plan (2017-2019), which reviewed key spatial development issues and promoted the development of "regional and urban strategic plans with a special focus on urbanization and local economic development, and [...] spatial strategic plans for all state capitals and other urban centres which guide city extension and other urban development plans."¹⁷

Because Mogadishu had been the object of humanitarian and development aid for decades, there were many existing sectoral studies, data, and figures pertaining to different aspects of Mogadishu's vulnerabilities, but these were often bound by short, post-crisis timeframes, which did not consider, and often disregarded, the historical and future needs of an urban system. This lack of a widely understood, overarching strategy resulted in various uncoordinated approaches by government institutions, NGOs, militaries, influential figures, and urban dwellers, aggravating the challenges created by poor urbanization.

As mentioned previously, the 2015 booklet 'Urban Analysis of Mogadishu,' produced by the BRA with the support of UN-Habitat's Somalia Programme, was a first attempt to provide an urban analysis of the city from a spatial perspective.¹⁸ Building on this work, the Lab developed an **urban profile** of the city, as a first, fundamental step in the 'Mogadishu Spatial Strategic Plan' process. Urban Profiling is a collaborative process for collecting and analysing data



Using drawing as a tool to synthesize complex information, Gabiley, Somaliland © UN-Habitat

on the interconnected elements of a city and its populations to better inform decision-making and planning (discussed in more detail in Section 4: 'Support Type B').

Given the enormity of such a task, the study narrowed its focus to three fundamental factors in the city dynamics:

- Significant urban degradation resulting from conflict, a governance void, and lack of investment for over 30 years;
- Major influx of large numbers of IDP and returnee households;
- New infusions of internal and external investment from international donors and private investors due to greater peace and stability in the country.

These factors combined to generate several major development challenges:

- Uncontrolled urbanization;
- Speculation and land conflict;
- Critical housing shortages;
- Overloaded infrastructure;
- Insufficient basic services and public facilities (schools, health clinics etc.);
- Limited institutional capacity for effective urban management.

After this assessment of current problems, the Lab moved to formulate **city-wide development scenarios** within a planning horizon of 20 years. Employing Strategy 5 ('Using a principles-based approach'), these scenarios embraced the general planning principles of inclusion and social diversity; compact city form; and cost-effective development:

- I. First, a compact city scenario was developed with a focus on six development areas that would benefit from targeted funding, localized development plans, and investment in infrastructure.
- II. Second, a satellite towns scenario was developed, promoting emerging towns on the city's periphery with financial investment and improved transportation

17. Federal Government of Somalia (2017). 'Somalia National Development Plan (2017-2019)' 4 June 2017, 8.8.4.12, p. 146.

18. See UN-Habitat, Benadir Region Administration Department of Urban Planning (2015). Urban Analysis of Mogadishu. January 2015.

Box 1: Gabiley, Somaliland: Urban master plan for a medium-size town (2016)

Gabiley is the capital of Gabiley District in Somaliland, and is located 60 km west of Hargeisa (Somaliland's capital city) on the strategic transport corridor connecting Berbera (Somaliland's main port city) with Ethiopia.¹⁹ At the time of the case, in 2016, the town was a small regional centre with an estimated 20,000 inhabitants and a population growth of about 3 per cent.²⁰ While agriculture remained the lifeline of the urban economy, several service industries had grown in the years prior, contributing to the town's economic growth.²¹ Further, Gabiley's position along the east-west Somaliland Highway, connected to Ethiopia and, although by a rough road, to the port Berbera, was expected to further increase economic growth and urbanization.²²

To facilitate future economic activities, manage population growth, and to preserve valuable agricultural land, an urban plan is essential. Gabiley had no urban planning document at the time to guide the city's expansion or the re-development of its inner-city areas.²³ And, prior to its 2016 adoption of the 'Urban Regulatory Framework for Somaliland' (URF), which was developed with UN-Habitat's facilitation, Somaliland itself had no urban policy framework.²⁴

The effects of a lack of adequate planning in Gabiley were clear to the city administration: economic activities were sprawling into valuable agricultural lands, houses were being built with no access to water, and the poor location of a bus terminal had led to congestion. To address this, UN-Habitat developed a master plan for the town. The main objectives of the plan were to: 1. Preserve agricultural land; 2. Develop an integrated road network; 3. Direct public investment along main roads and encourage economic activities along Borama-Hargeisa Highway; 4. Provide basic urban services for all neighbourhoods; 5. Densify the town centre and undertake planned city extensions; and 6. Protect riverbed areas and historical sites, introduce flood mitigation measures, and encourage tree planting along the major roads.²⁵

The Lab and the Somalia Programme jointly developed the 'Gabiley Urban Master Plan' to address each of these objectives and to guide Gabiley's fast growth and development over the next ten years. The plan was the first in Somaliland to follow the Urban Regulatory Framework for Somaliland and the Urban Land Management Law (No. 15), and it also aimed to gain field evidence for an upcoming review of the law. Employing Strategy 6 ('Including and consulting to foster social cohesion and ownership'), public town hall meetings and group discussions were held to engage communities on the Plan.

After a public and participatory process, the 'Gabiley Urban Master Plan' was adopted by Gabiley Council and was approved by the National Urban Planning Committee, and Gabiley Municipality is now responsible for laying out the basic services, including the water supply and road networks, as per the Plan.²⁶ The Plan included priority areas to ensure that the most catalytic programs and projects with the largest impact were implemented first, such as the Bus Terminal and the upgrading of '18 of May Square.'²⁷ This approach serves as an example of employing Strategy 10 ('Creating an urban plan as a management tool for actors and local governments') and using this plan to identify and prioritize investments (Strategy 9). The Lab also deducted lessons from this process to provide contextualized tools and documented methodologies to be used in other secondary towns in Somaliland and Puntland.²⁸

linkages. This approach would ideally result in these towns becoming self-sufficient.

III. Third, a regional development scenario was developed, linking the productive centres surrounding Mogadishu (Afgoye, Jowhar, and Balcad) to the city. This would require political will, a holistic government approach, and significant investment, but would in turn yield more land for housing and provide options for both employment and for development of the urban-rural economy (in line with Strategy 7: 'Planning within the larger geography').

Adopting realistic standards and embracing environmental concerns, all scenarios were conceived

to accommodate the natural growth of the city, while absorbing a significant number of displaced households in a sustainable and durable manner.

After defining these scenarios at the metropolitan level, the Lab worked at a variety of scales, delineating development initiatives to form a list of **potential urban projects** able to contribute to socio-economic transformations facilitating implementation of the

19. UN-Habitat (2016) supra note 5, Annex B, p. 4.

20. UN-Habitat (2016). Urban Planning and Design Labs: Tools for integrated and participatory urban planning. Quito, Habitat III Version 1.0, p. 13.

21. UN-Habitat (2016) supra note 5, Annex B, p. 4.

22. UN-Habitat (2016) supra note 20.

23. UN-Habitat (2016) supra note 5, Annex B, p. 4.

24. The Urban Regulatory Framework for Somaliland was adopted by Somaliland's National Urban Planning Committee in April 2016.

25. Gabiley Municipality (2016). 'Gabiley Urban Masterplan / Proposed land use as per Urban Regulatory Framework (URF)' Information Flyer, November 2016..

26. Ibid.

27. Ibid.

28. The planning implementation done thereafter has mainly focused on road survey and road opening. (UN-Habitat (2016) supra note 20.)

Box 2: Bossaso, Puntland: Planning a city extension to integrate IDPs (2016)

Bossaso is the economic centre of Puntland, and it developed rapidly in the 1990s, as it was the only accessible sea port for significant parts of northern Somalia at the time.²⁹ At the time of the case, in 2016, it had a population of roughly 400,000 and was the third largest urban centre in Somalia. It was also receiving a large influx of IDPs, who were largely settled on the outskirts of Bossaso, with minimal connections to the main city.

Prior to the approval of the 2015 'Urban Regulatory Framework for Puntland' (URF), which was developed with UN-Habitat's facilitation, Puntland did not have an urban policy framework. Bossaso was the first city in Puntland to have a plan that followed the newly established URF.³⁰

Bossaso did not have a current city planning document, with the most recent being the 2009 document 'First Steps towards Urban Strategic Planning,' which was also developed by UN-Habitat.³¹ The city leadership increasingly considered adding a planned extension³² to address its growth. In the framework of the UN-Habitat collaboration, the Lab was responsible for contributing urban extension plans, which required extensive data, and technical quality assurance. The Lab utilized satellite imagery, Open Street Maps data, as well as information shared and validated by the Somalia Programme and field office, to map the basic infrastructure.³³ When detailed property data became available later in the process, specific assumptions were validated, and the Lab could estimate gaps and challenges in public services provision (such as schools and health centres) based on the newly introduced URF, which had established basic standards for urban development.³⁴

Given its iterative process of urban planning and design, this experience demonstrates that the process can move ahead with current information, and that further details and verifications can be incorporated as they become available to improve the accuracy of the plan.³⁵

There was a significant capacity development component of this project, and the Lab supported the field office to carry out various activities, including planning workshops and capacity development sessions. An important result of this support was the promotion of spatial thinking within Bossaso's leadership. This also contributed to the establishment of the Urban Planning Unit ('Lab'), which institutionalized long-term planning expertise at the ministry level in Puntland³⁶ (see Box 3).

The city held town hall meetings to present information to residents and to exchange concerns and opinions on topics related to the city extension plan, and invited UN-Habitat's participation.³⁷ The resulting 'Bossaso City Extension Plan' is an official planning document of Bossaso Municipality, created with support from UN-Habitat. The Plan was aligned to the overall development strategy for Bossaso (in line with Strategy 8: 'Connecting and aligning with the local government perspective and role'), and addressed the following objectives: 1. Accommodate urban growth in the city extension area and provide public services in close proximity to the communities; 2. Direct main public investment along the eastern and western bypass and encourage economic activities; 3. Develop proper east-west roads to improve connectivity in the city; 4. Integrate and upgrade IDP settlements; 5. Provide public access to the coastal area (public beach); and 6. Minimize flood risk, secure agricultural land, and preserve a buffer zone for the International Airport.³⁸

At the time of writing, experts on the ground, including UN-Habitat staff, have helped the Municipality to survey and open roads (in accordance with Phase 1 of the Extension Plan) which connect the main IDP site with the town. This has also led to improved integration and economic benefits for both IDPs and the long-time city residents.

scenario forecasts. This 'portfolio' of projects was meant to identify priority interventions and to suggest collaborative arrangements for the administration's engagement with potential development partners (using Strategy 9:

'Identifying and guiding investments strategically'). It is important to mention that the security situation in Mogadishu prevented the Lab from engaging on the ground, thus limiting data collection and any direct field activity. However, UN-Habitat's Somalia Programme had the

29. UN-Habitat (2016) supra note 5, Annex B, p. 4.

30. The Urban Regulatory Framework of Puntland was approved by the government in November 2015 after being developed through a consultative process.

31. Ibid.

32. A city extension plan is an urban development plan which guides local and state authorities, developers, and property owners on the future of development in the respective areas.

33. UN-Habitat (2016) supra note 20, p. 45.

34. Ibid.

35. Ibid.

36. Sophianos, Sophos and Francesco Tonnarelli (2020). Internal interview on UN-Habitat Lab collaboration with Somalia Programme [not recorded]. Nairobi, Kenya. 14 February 2020.

37. Each step of UN-Habitat's participation was agreed to by the Mayor as well as by representatives from the Ministry of Public Works. (Bossaso City Extension Plan: Proposed land use as per Urban Regulatory Framework.' Town Hall Meeting, Bossaso Municipality, November 2016.)

38. Bossaso Municipality (2016). 'Bossaso City Extension Plan: Proposed land use as per Urban Regulatory Framework.' Town Hall Meeting, Bossaso Municipality. November 2016.

Figure 3: Mapping infrastructure based on satellite imagery of Bossaso



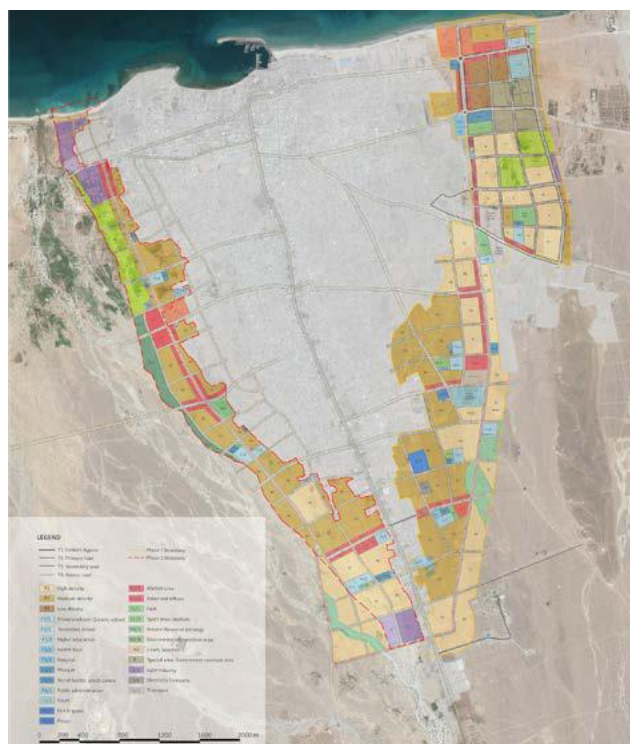
location expertise to provide a thorough and substantive review of the specifics for each of the analysis and proposals, grounding them in the realities of Mogadishu, and enabling the Lab to contribute its technical expertise entirely remotely.

Thus, the spatial profiling and analyses were done using satellite images, historical maps, historical descriptions of the city, sectoral studies, as well as spatial databases on basic services, infrastructure, and other population information, overlaying details on the maps and consulting with experts who were familiar with Mogadishu to confirm realities in the city. All the spatial mapping, done with in-house Lab expertise through remote data analysis, was cross-checked with the focal points in the Somalia Programme for verification, feasibility, and local context validation. This spatial approach was designed to set the area on a trajectory of long-term sustainability (Strategy 4) which would ultimately assist the government in identifying and guiding strategic investments (Strategy 9).

IV. The result

The main representation of the Lab's work is in the 2016 publication 'Towards Mogadishu Spatial Strategic Plan: Urban analyses/ Urban development challenges/ Urban strategic planning' (henceforth 'Towards Mogadishu Spatial Strategic Plan'), which contains a full array of spatial maps, development scenarios, and a portfolio of potential

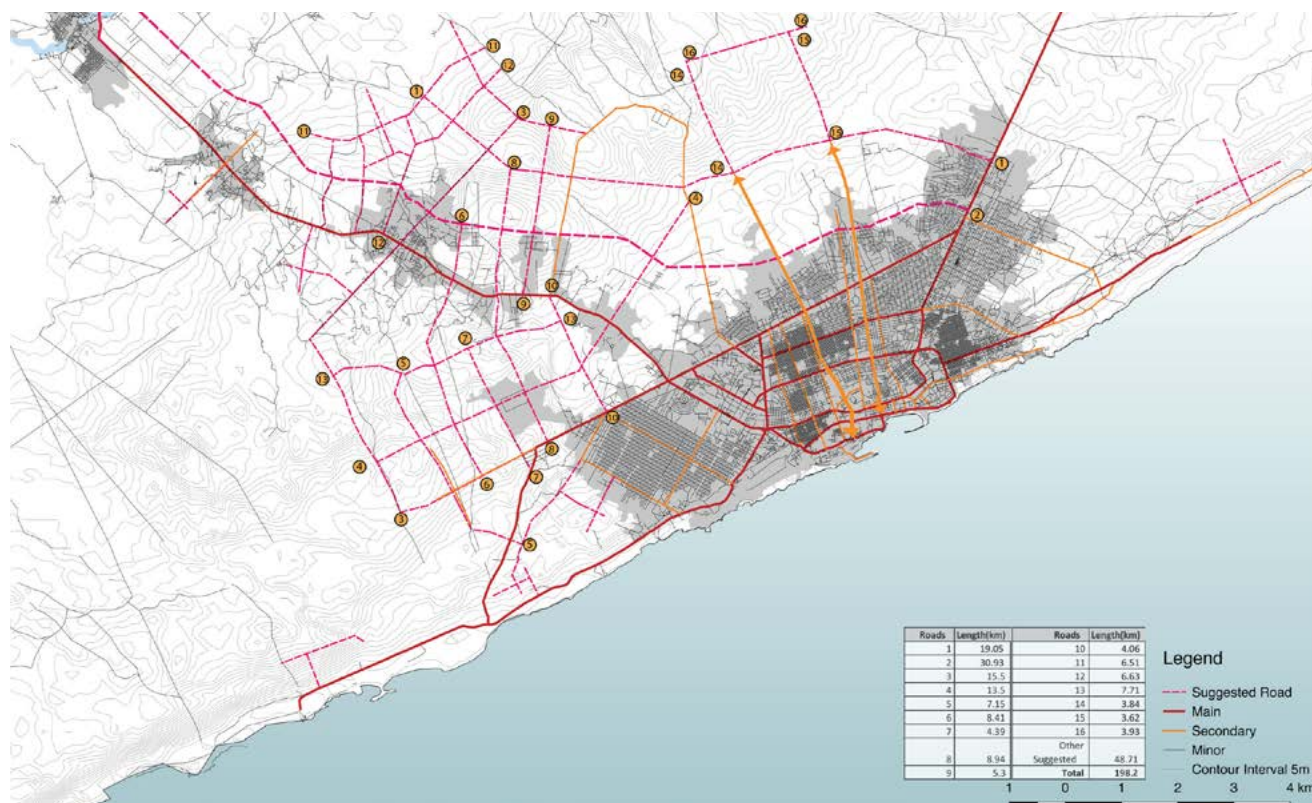
Figure 4: Planned City Extension for Bossaso, Puntland, Somalia



projects to inform the strategic plan.

Most notably, in this publication, the Lab mapped a realistic way to move forward and to undertake the necessary consultation and documentation processes to complete the development of the 'Mogadishu Spatial Strategic Plan.' This would entail the validation of the technical documentation developed by the Lab, as well as setting up a roadmap for thematic area consultations organized by the BRA's Department of Urban Planning and Engineering, in dialogue with a large number of different actors, including: international multi-lateral funding agencies (e.g. World Bank, African Development Bank, European Union); bi-lateral funding agencies representing individual donor countries; international and Somali private sector enterprises; and, most importantly, the city's population. The results of these consultations would then be incorporated into the final spatial strategic plan, to be approved by the BRA in line with the Federal Government of Somalia. Implementation would need to not only follow a realistic financing strategy, but also to be paired with continued capacity building and technical support for the Department of Urban Planning and Engineering.

'Towards Mogadishu Spatial Strategic Plan' was officially launched and displayed in the BRA headquarters at a public event for World Cities Day on 31 October 2016. A draft spatial strategic plan was then completed with the Department of Urban Planning and Engineering and the Municipality of Mogadishu.

Figure 5: Proposed project: Connectivity on the metropolitan scale

Due to a change in government (which occurred two months after ‘Towards Mogadishu Spatial Strategic Plan’ was published), the process outlined in the publication stalled. Nevertheless, the progress thus far offered an overall strategic vision for city development and provided useful recommendations for development interventions, covering a wide range of topics necessary to ensure sustainable development of the city over the short, medium, and long term. The publication highlighted urban planning as a key tool for the Municipality of Mogadishu to use to manage development and provided guidance for the BRA’s subsequent plans and strategies, as well as informing future investments.

In 2018, the Federal Government of Somalia and the World Bank launched a flagship infrastructure project in Somalia — the Somali Urban Resilience Project (SURP), which focuses on the Municipality of Mogadishu as the first municipality in a planned series of several — aiming “to strengthen public service delivery capacity at the sub-national level and support the reconstruction of key urban infrastructure in targeted areas.”³⁹ The World Bank used UN-Habitat’s work discussed in this case (including its 2016 publication) as a basis for thinking, noting that it “provide[s] useful city level information[...] to guide city growth and infrastructure/ service requirements,”⁴⁰ and conducted

a feasibility study based on some of the infrastructure projects proposed in the publication. The proposed “SURP II will validate the selected roads’ strategic importance vis-à-vis the UN-Habitat supported urban plan.”⁴¹

In 2019, the BRA released its ‘Durable Solutions Strategy’ with support under UN-Habitat’s coordinated Re-Integration Programme, funded by the European Union. (See the ‘Benadir Regional Administration and Municipality of Mogadishu Internally Displaced Person and Refugee Returnees Policy’ of January 2019 for further details.)⁴² This Strategy explicitly refers to the scenarios developed within the 2016 publication as the spatial framework for a multi-sectoral approach to address displacement and to coordinate and mainstream programmes and service delivery across the humanitarian-development nexus within the Municipality.

At the time of writing, Municipality of Mogadishu is making efforts to re-initiate the process to finalize the ‘Mogadishu Spatial Strategic Plan,’ incorporating an urban visioning exercise, also supported by UN-Habitat and JPLG, which will mobilize residents, communities, stakeholders,

(P170922) Environmental and Social Review Summary Concept Stage.’ Prepared: 8 May 2019. Report No: ESRSC00522.

41. The World Bank (2019). Somalia Urban Resilience Project Phase II (P170922). Project Information Document. 29 January 2019, p. 7.

42. Benadir Regional Administration and Municipality of Mogadishu (2019). Internally Displaced Person and Refugee Returnees Policy. Benadir Regional Administration, January 2019.

39. World Bank (2020). Somalia Urban Resilience Project.

40. World Bank (2019). ‘The World Bank Somalia Urban Resilience Project Phase

Figure 6: Proposed project: Harbour area road proposals⁴³**Box 3: Urban Planning ‘Labs’ in Gabiley and Bossaso**

Prior to the approval of the Urban Regulatory Framework (URF) for Puntland (in 2015) and the adoption of the URF for Somaliland (in 2016), Somaliland and Puntland had no existing urban planning policy laws or frameworks. The Lab explored what applying the URFs would mean in practice for the town of Gabiley, Somaliland, and for the port city of Bossaso, Puntland.⁴⁴ As noted in more detail in Box 1 (Gabiley) and Box 2 (Bossaso), UN-Habitat supported each city to create tailored plans (the Gabiley Urban Master Plan and the Bossaso City Extension Plan) which ministry officials endorsed. This success fuelled more interest in further developing planning capabilities, and, after signing cooperation agreements with the ministries, JPLG has supported the Ministry of Public Works in Somaliland and the Ministry of Public Works in Puntland to form small ‘Urban Planning Units’ (called ‘Labs’) at the ministry level in both states.⁴⁵ These ‘Labs’ are intended to supervise the implementation of these plans as well as to develop new plans for other urban centres. They are staffed by Somali nationals, consisting of GIS and urban planning specialists, and are still successfully functioning and providing urban planning and design expertise at the time of writing.⁴⁶

and politicians to conceptualize and create a better future for Mogadishu. This process would also benefit from improvements in local governance of South West State and Hirshabelle State (bordering Benadir), which could enable an examination of urban-rural linkages and metropolitan synergies for Mogadishu and surrounding areas.

Alongside the envisaged ‘Mogadishu Spatial Strategic Plan,’ UN-Habitat will continue to provide technical support to the Municipality of Mogadishu to consolidate

its database and to promote an integrated planning system and administration at area, district, and city-wide levels, with capacity development for staff at the Department of Urban Planning and Engineering.

43. For details and additional maps, please see the UN-Habitat and the United Nations Joint Programme on Local Governance and Decentralized Service Delivery (JPLG) (2016) supra note 9, p. 36.

44. UN-Habitat (2016) supra note 20, p. 13.

45. Sophianos, Sophos (2020). Internal interview on UN-Habitat Somalia Programme [not recorded]. Nairobi, Kenya. 11 February 2020.

46. Ibid.

V. Key lessons

A. Influencing investments through remote urban expertise

This case demonstrates successful collaboration between the Lab operating from headquarters and a country programme which has extensive on-the-ground experience and understanding of the urban context. Although it was restricted from having full access to undertake site visits and validate spatial information, UN-Habitat was able to utilize spatial data, maps, and urban planning and design expertise, as well as the feedback and collaboration of the government counterparts,⁴⁷ to clarify a relevant planning approach without all the data that would usually be available in typical city.

The value added by these analyses, scenarios, and potential projects, even with the finalization of the plan being delayed, shows the importance of using Strategy 9 ('Identifying and guiding investments strategically') in all contexts, as important projects and investments can be crucially informed and made more effective, efficient, and strategic by this data at any point. As noted, the spatial mapping and analysis in the publication were used by the World Bank as the basis for a feasibility study for potential investment, thus helping to guide later investments made in Mogadishu.

The analyses provided a comprehensive picture of the city within a narrative of the challenges and the opportunities, providing direction for future investments. Like the spatial analysis that the Lab has done of Johannesburg, South Africa, the analyses of Mogadishu provided equally valuable guidance, although in a very different context and with less accessibility on the ground. This demonstrates that the support types, strategies, and planning principles discussed in 'Urban Planning Responses in Post-Crisis Contexts' can be applied and can prove useful for sustainable development strategies in a variety of challenging contexts.

B. Strategic support impacting governance and administration

In addition to influencing investments, 'Towards Mogadishu Spatial Strategic Plan' has also informed, and is explicitly cited by, the Municipality of Mogadishu's 'Durable Solutions Strategy.' In addition, the Urban Regulatory Framework in Puntland (see Box 2 and Box 3), and its application through the local plans developed by UN-Habitat, significantly influenced the drafting of a city planning bill at the federal level under the Ministry of Public Works, Reconstruction, and Housing in 2018.

In 2017, when the second phase of JPLG concluded,

intensive discussions were held to develop a log frame for the third phase. For this phase, the approach to urban development planning with JPLG was adjusted to focus on managing rapid urbanization at a higher scale, across the country, and to apply the urban planning tools across the country, building widespread capacity through intensified collaboration with Ministries of Public Works at state and federal level. While the Lab was no longer involved in this phase directly, the outcome and projections from its analyses had far-reaching influence, not only on World Bank investments and the Municipality of Mogadishu's frameworks and strategies, but also in the conceptualisation of JPLG's next phases.

47. These collaborations are managed via workplans, agreements of cooperation, MoUs, planning workshops, and other modalities.



Afagooye-Mogadishu corridor, Somalia © UN Photo / Stuart Price

APPENDIX C
DETAILED CASE STUDY: KALOBYEI NEW SETTLEMENT
KENYA



An aerial view of Kalobeyei Settlement in Turkana County, Kenya, 2019 © UN-Habitat

This case demonstrates an innovative approach towards planning a new settlement to accommodate both host and refugee communities, transitioning humanitarian response resources towards sustainable development and economic benefits for the host region in Turkana County, and providing mutual benefits and better social integration between the host and refugee communities.

I. The national political and legal context

Due to Kenya's location, the country is host to many refugees from conflict-affected neighbouring countries, including Somalia and South Sudan, which have experienced ongoing internal conflicts that have resulted in the displacement of large numbers of their citizens. According to UNHCR reports, as of October 2019, Kenya had received a total of 485,524 'persons of concern' originating from outside of its borders,¹ making up around one per cent of the population of Kenya.²

Kenya is a signatory to several international treaties that relate to the rights of 'persons of concern' fleeing crises.³ Kenya's Refugees Act of 2006 established the Department of Refugee Affairs (responsible for receiving and processing applications for refugee status, it worked with and delegated much of refugee affairs, including refugee status determination, to UNCHR), which was replaced by the Refugees Affairs Secretariat (RAS) in 2016. The RAS is responsible for refugee management and conducts refugee status determination, a process that UNHCR is no longer responsible for, but that it continues to support in technical and financial ways.⁴

Given that Kenya has both endorsed international principles related to refugees and enacted specific legislation, in a country where the number of refugees, including long-term refugees, is quite high, UNHCR has a well-established presence and experience in the country. Thus, short- and long-term perspectives on refugee management coexist and are ripe for integration with the extensive long-term development programmes in Kenya. Integrative approaches can help to support multiple levels of government to both benefit the host country and to improve the uncertainty that many refugees face.

A. The socio-economic context in Turkana County

As of 2017, more than 1.5 million people had fled South Sudan and have sought refuge in neighbouring countries and urban areas, including in Turkana County, Kenya.⁵ Turkana County is home to Kakuma and Kalobeyei, where the Government of Kenya has been working with support from UNHCR to host nearly 200,000 refugees for the last 26 years.⁶ Kakuma refugee camp was established in 1991 to host refugees primarily from South Sudan, and it currently consists of four clusters: Kakuma refugee camps I, II, III, and IV. Kakuma Town is adjacent to the camp, and is the second largest urban area in Turkana County. After the enactment of the 2010 Kenya Constitution, county governments were formed, and Kakuma became part of the newly established Turkana County, located in Turkana West Sub-County.

Turkana County is the second largest county in Kenya by surface area, with 77,000 square kilometres, which is 13.5 per cent of the total land in Kenya.⁷ Its reported population, as of the 2019 census, was 926,976 people, with 14.2 per cent of the population classified as urban.⁸ It is therefore the least urbanized and least densely populated county of Kenya. In addition to hosting the second largest number of refugees in Kenya,⁹ Turkana County is among the lowest revenue counties in Kenya and its poverty rate is 88 per cent.¹⁰ These factors, combined with a fertility rate of 6.9 per cent and a population growth rate of 3.35 per cent (both of which are higher than the national averages),¹¹ present significant challenges to the County Government in terms of improving living standards for its residents.

According to UNHCR, as of 2018, approximately 40 per cent of the population of Turkana West Sub-County consisted of refugees.¹² Refugee camps are a source of funding, some of which can be felt at the local level. However,

1. UNHCR (2020). Figures at a glance.

2. Kenya's 2019 census results show the total population to be 47,213,282, with 'persons of concern' making up 1.03 per cent of that total.

3. Kenya has affirmed the following treaties: The 1951 United Nations Convention Relating to the Status of Refugees (acceded on May 16, 1966) and its 1967 Protocol (acceded in 1981); the 1969 African Union (AU, formerly OAU) Convention Governing the Specific Aspects of Refugee Problems in Africa (ratified in June 1992); and the 1984 Convention against torture and Other Cruel, Inhumane, or Degrading Treatment or Punishment (acceded in February 1997. Of particular relevance: "No State Party shall expel, return ('refouler') or extradite a person to another State where there are substantial grounds for believing that he would be in danger of being subjected to torture" - Art. 3, Dec. 10, 1984, 1465 U.N.T.S. 85). Kenya has also passed its own national legislation of relevance: The Refugees Act of 2006 (intended to implement international legal obligations, which went into effect in 2007) and the Refugees (Reception, Registration and Adjudication) Regulations (subsidiary legislation adopted in 2009).

4. UNHCR Kenya (2019). Refugee Status Determination 2019.

5. UNCHR (2017). 'South Sudan, Africa's largest refugee crisis, needs urgent response.'

6. UN-Habitat (2018). 'Kalobeyei Advisory Development Plan (2016-2026).' Kalobeyei Integrated Socio-Economic Development Programme. September 2018, p.23.

7. Turkana County Government (2016). County Investment Plan 2016-2020.

8. Government of Turkana County (2020). Government of Turkana County website: Facts and Figures. Available at: <<https://www.turkana.go.ke/index.php/facts-figures/>> [Accessed 10 May 2020].

9. According to UNHCR: "By end of December 2019, there were 217,151 (44 per cent) refugees in Dadaab, 193,684 (40 per cent) and in Kakuma and Kalobeyei Settlement, 78,912 (16 per cent) in urban areas." (UNHCR (2019). Kenya Fact Sheet 01-31 December 2019.)

10. The poverty rate figure is as of 2018. (Miriri, Duncan (2018). 'Kenya's poverty-stricken Turkana district dreams of oil wealth.' Reuters. 10 February 2018.)

11. Turkana County Government (2019). 'Statement on the 2019 population and housing census.'

12. UNHCR (2018). KISED: Kalobeyei Integrated Socio-Economic Development Plan in Turkana West: Strategic Overview, p.2.

Box 1: National classifications, procedures, and approaches in refugee management

Kenya's Refugees Act defines 'asylum' as "shelter and protection granted by the Government to persons qualifying for refugee status," while an 'asylum seeker' is defined as "a person seeking refugee status."¹³ The Act classifies refugees as those who are 'statutory' refugees (defined as a person has "a well-founded fear of being persecuted for reasons of race, religion, sex, nationality, membership of a particular social group or political opinion"¹⁴) and those who are 'prima facie' refugees (those who "owing to external aggression, occupation, foreign domination or events seriously disturbing public order in any part or whole of his country of origin or nationality is compelled to leave his place of habitual residence."¹⁵) The Act empowers the Minister of Interior and Coordination of National Government to declare a class of persons as 'prima facie' refugees, and to similarly amend or revoke this status.¹⁶ Examples include the 2016 revocation of the 'prima facie' status for Somali refugees, and the 2014 designation of the status for South Sudanese refugees, who make up the majority of the refugee population discussed in this case.¹⁷

The Refugee Act also defines circumstances under which a person may be disqualified from attaining refugee status, or may lose any status previously granted. The DRA could withdraw refugee status if it has "reasonable grounds for believing" that the person had ceased to be a refugee or should not have been recognized as such in the first place.¹⁸ In addition, the Act authorizes the DRA to withdraw the refugee status of any person it has reasonable grounds to believe poses a danger to national security or to any community in the country. The Refugees Act establishes an Appeals Board, which is required to operate independently. Technically, asylum seekers and refugees have the right to appeal any decisions to the Board.¹⁹

The Government of Kenya, the Government of Somalia, and UNHCR had signed a Tripartite Agreement on 10 November 2013 for the voluntary return of Somali refugees; UNHCR statistics indicate that thousands have repatriated voluntarily to Somalia.²⁰ The National Government has announced intentions to close Kenya's largest refugee camp, Dadaab, once in 2017, and again in 2019. Such closure was declared unconstitutional and the announcements were met with challenges by human rights NGOs and other actors. Nevertheless, two camps in Dadaab (Kambioos and IFO2) have been closed since the 2019 announcement.

The 2019 Refugees Bill, as of the time of writing, was being debated in the Kenya parliament as an update to the previous legislation. The National Government approach has generally encouraged the majority of refugees to remain in camps – which provide clear visibility for funding – and limited opportunities and incentives (including through police crackdowns in Nairobi and other urban centres) for the refugees to integrate locally, thereby "preserving the possibility of eventual repatriation."²¹ All of the above factors have contributed to many refugees in Kenya living in limbo, without certainty that there will be sufficient stability to return to their places of origin, and without certainty that they will be allowed to remain in Kenya throughout the duration of the cause of their displacement. And, for those who may remain, their uncertainty continues regarding how long this will be allowed and what quality of life they would experience.

In recent years, the National Government approach and dialogue has differed significantly from that at the county government level. Local governments are more likely to directly benefit from the economic contributions of the refugee arrivals, and may take a different perspective and approach towards integration and long-term strategies.²²

the economic interactions and connections between the refugees in camps and the external communities is also of great benefit for the local government and host

communities. In fact, in 2005, the repatriation of a previous wave of South Sudanese refugees located in Turkana County triggered an "economic collapse," a result that the Turkana County Government remains aware of and has sought to plan for and avoid with the recent influx of refugees and their expected eventual departure.²³

The unpredictable nature of the crisis in South Sudan has led to protracted displacement, and increasingly prolonged stays in refugee camps. In South Sudan, the changing political situations and associated conflict has led to periods of high influxes of fleeing refugees, and of repatriation. In 2014, after renewed conflict had broken out

13. Refugees Act (2006). Laws of Kenya. No. 13 of 2006, 17 Laws of Kenya, Cap. 173. National Council for Law Reporting with the Authority of the Attorney-General. 30 December 2006, § 2.

14. *Ibid.*, § 3.

15. *Ibid.*

16. *Ibid.*

17. The Kenya Gazette (2016). 29 April 2016.

18. Refugees Act (2006) *supra* note 13, § 20.

19. The Law Library of Congress, Global Legal Research Center (2016). 'Refugee Law and Policy in Selected Countries.' March 2016, p. 205.

20. According to UNHCR (2020) 'Figures at a glance': "85,067 Somalis have been assisted by UNHCR and partners to voluntarily return to Somalia between December 2014 and 31 December 2019."

21. O'Callaghan, Sorcha and Georgian Sturge (2018). 'Against the odds: refugee integration in Kenya.' HPG Working Paper, December 2018, p. 25.

22. *Ibid.*

23. UNHCR (2020). 'Kalobeyei Settlement,' UNHCR website.



One of the main roads in Kakuma refugee camp © UN-Habitat

in South Sudan in December 2013,²⁴ a new influx of refugees arriving from South Sudan caused Kakuma refugee camp to surpass its capacity: by June 2015 it hosted a population of 183,000 people, compared with the capacity of 70,000 that it was originally designed for.²⁵ This caused the County Government and its partners to consider a new approach, leading to the inception of the Kalobeyei New Settlement plan.

B. The humanitarian and community context

Prior to the new Constitution of Kenya in 2010, and the associated devolution of political power to county governments, the humanitarian refugee response in Kenya had been coordinated strictly with the National Government. Since the creation of devolved county governments, humanitarian actors began to shift their work to include and to empower this county leadership in the process. Not only did the Turkana County Government need to be included and informed of the situation, but increasingly it required consultation and acceptance from native residents of the county. As the new Kenyan political system solidified, humanitarian actors such as UNHCR increasingly needed to scale their work to better collaborate with such local governments and stakeholders.

The resettlement approach over the years had assumed that the potential for the refugees' repatriation back to South Sudan would be realized shortly. Therefore, a temporary approach was implemented, in which refugees received full assistance for their basic needs, and the responses were managed entirely by humanitarian actors, in collaboration with the National Government. However, this approach led to negative impacts on the environment,



IRC main hospital in Kakuma refugee camp, Kenya © UN-Habitat

an inefficient use of land, and poor conditions for the residents, in shelters and settlements that were not well-planned. The assistance that refugees received also sparked tensions between the refugee community and local Turkana communities, with the latter feeling that refugees were depleting the resources of their community-owned land and benefitting from assistance that the hosts themselves greatly needed.

With the protracted displacement and subsequent needs of the refugees in Turkana County, sustaining the refugee camps became increasingly challenging. Despite the emergence of some beneficial informal trade between the refugee and host communities, in general the host community felt it was not benefitting sufficiently from the protracted presence of the refugees.²⁶

The longer the situation continued, the more the growing scarcity of natural resources in the area became a source of conflict. This included the extraction of ground water, which is an extremely scarce resource in the area; firewood, which had been increasingly collected, leading to forestry and vegetation depletion; and the use of land for the refugee settlements, which the pastoralist host community had previously used for grazing.²⁷ In addition to the increased demands on and competition for the area's scarce natural resources, there was unbalanced access to services and resources (such as free access to health and education services, water, and other public services), which were provided by international agencies to the refugees, but not to the host community, creating socio-economic inequalities which contributed to tensions and social conflicts between the two groups.²⁸

24. Ibid.

25. Ibid.

26. UN-Habitat (2018) supra note 6, p. 24.

27. Ibid.

28. Ibid.

II. Project inception

The Turkana County Government increasingly recognized the potential for the temporary investments made by the international community in the area to be converted into sustainable advantages for its local communities. Given the difficulties in sustaining temporary settlements within the humanitarian context, the inequalities between the host and refugee communities, and the emerging conflicts, an innovative pilot approach was conceptualized in partnership with the UN System.

UNHCR and the World Bank began consultations with the Turkana County Government, which wanted to initiate an urban settlement that would benefit the host community economically. UNHCR and the World Bank approached UN-Habitat via the Lab to support this initiative in 2014, and it was kick-started through funding by the Government of Japan. In June 2015, after negotiations and an agreement with the National Government, the Turkana County Government, UNHCR, and the host communities in Kalobeyei, 1500 hectares of land in Kalobeyei, Turkana West Sub-County, were allocated for the establishment of a new integrated refugee and host community settlement. The land was officially handed over to UNHCR during the World Refugee Day commemoration held in Kakuma on 20 June 2015.²⁹ UNHCR and the World Bank formulated the Kalobeyei Integrated Social and Economic Development Programme (KISED P) which was designed to guide the development of Kalobeyei New Settlement and other programmes in the area, in partnership with Turkana County. The new city system needed some type of coordination mechanism, and KISED P was created with thematic pillars like the humanitarian cluster system but with considerations for long-term development. Institutionalizing KISED P with the County from the beginning ensured local ownership of its implementation and a period to build up and test the mechanism before the departure of international actors. This represented a major paradigm shift in the way that refugee settlements and the humanitarian investments that go into them could be structured, as well as a new way of recognizing the importance of promoting self-reliance of both refugees and host communities through better services and livelihood opportunities.³⁰

Under the structure of KISED P, one of the four key thematic pillars is 'planning and infrastructure,' which aimed to ensure that investments linked to the new development in Kalobeyei would provide lasting benefits for both communities. UN-Habitat was requested to support a plan that could guide and respond to both the humanitarian and long-term development priorities, by providing a spatial

lens and prioritization. UN-Habitat and UNCHR signed an MOU in July 2015 to partner with the Turkana County Government to plan the spatial development and related activities for the 1500-hectare area, as part of the KISED P.³¹ As a result, UN-Habitat is the Technical Lead in the Thematic Working Group on Spatial Planning and Infrastructure Development of KISED P.

III. The value of a spatial perspective

UN-Habitat was the first UN agency apart from the World Food Programme (WFP) that supported UNHCR when the land was allocated. The land was gazetted as a normal settlement, not as a refugee camp, and therefore must follow Kenyan planning regulations. In Kenya, because the nature of humanitarian work connected humanitarian actors mainly to the National Government level, humanitarian actors within the UN System have little experience collaborating with local authorities. Building on the Comprehensive Refugee Response Framework (CRRF) and the Kenya County governance devolutions (which took place in 2012-2013, per implementation of the 2010 Constitution), humanitarian actors found themselves needing to foster cooperation with the local authorities. UN-Habitat already had a connection with local authorities in Kenya based in its mandate as a focal point within the UN System to work with local governments and its background in Kenya, and because of this, the Governor of Turkana requested the involvement of UN-Habitat. As the Technical Lead on Spatial Planning and Infrastructure Development, UN-Habitat formulated the Kalobeyei New Settlement Advisory Development Plan which was submitted to the County Government for approval in May 2017 as per the requirements of the Constitution of Kenya, County Governments Act of 2012, Urban Areas and Cities Act of 2011, Physical Planning Act, and other relevant Kenyan laws.

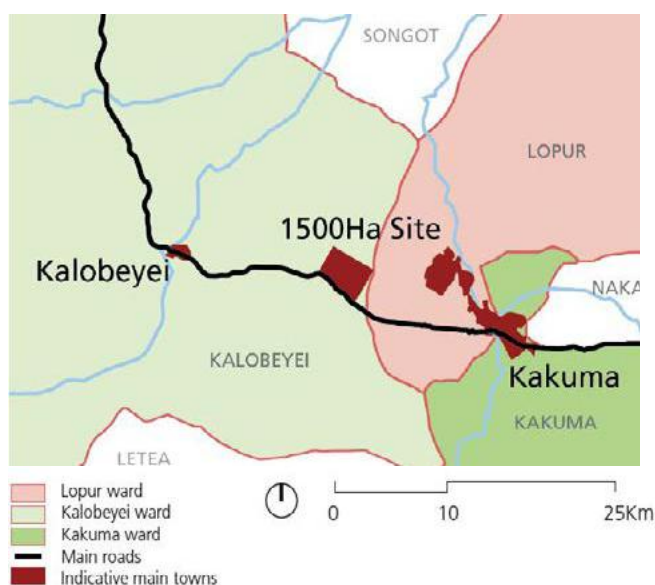
UN-Habitat has brought a human settlements lens to the project, considering the way that proper planning and its inclusive process can be used to create better socio-economic integration and to elevate the dignity of both the host and refugee community members in the new settlement. UN-Habitat also guided the assessment of existing and possible disadvantages of the location as well as an examination of the potential beneficial inter-relationships that the settlement could build and sustain between host and refugee communities. The location of the settlement area, along the A1 Lodwar-Lokichoggio Road, is part of the Lamu Port-South Sudan-Ethiopia-Transport (LAPSSET) corridor and presents possibilities for

29. UNHCR (2020). 'Kalobeyei Settlement,' UNHCR website.

30. Ibid.

31. This was done within the framework of the 'Turkana County-United Nations Joint Programme 2015-2018,' which the Turkana County Government, the Government of Kenya, and the United Nations System in Kenya had previously agreed. The development assistance coordination in Turkana County, including KISED P, took place within this prior framework. (See UN-Habitat (2018) *supra* note 6, p. 25.)

Figure 1: Location of Kalobeyei Settlement within the ward context



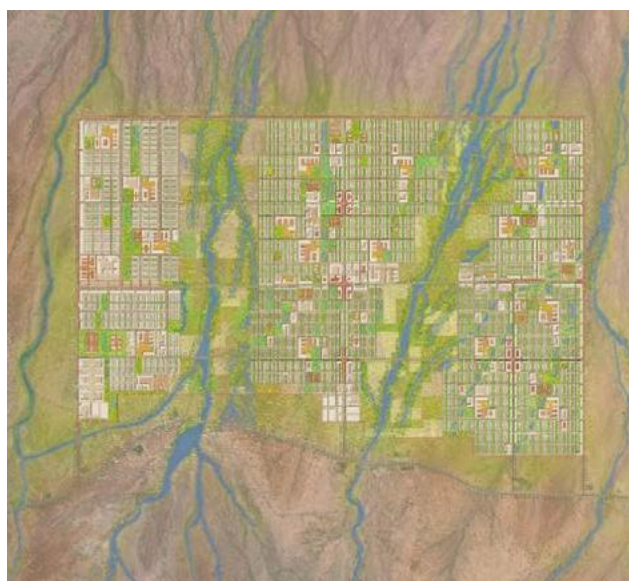
the area to develop economic opportunities along this key transportation corridor (in line with Strategy 7: ‘Planning within the larger geography’).

By basing the spatial framework for the new settlement on sound principles of good urban planning and incorporating it within a larger economic context, the plan offers the opportunity to create a productive urban setting that can be enabled through additional programming to leverage the economic and social benefits of urbanisation. To maximise this potential, UN-Habitat’s three-pronged approach³² was employed, providing greater recognition of legal property, business, and employment rights for refugees.

This long-term approach can pave the way towards social integration, stimulate additional economic growth, and ease the ‘burden’ on the host country and community. The plan was formulated to focus on both refugees and host communities as beneficiaries in Kalobeyei and its surroundings. It was envisaged that a careful integration of community priorities linked to both national and local (county and ward level) government planning processes could ensure ownership of the project as well as a crucial sustainability of investments. Impacted communities will therefore benefit from: (a) investments in basic infrastructure financed under KISED and consequently the improvement in access to social services; and (b) increased opportunities for supporting income generating activities.

By incorporating a medium-term to long-term strategy linked to a spatial framework, the proposal focused on creating space to respond to short-term

Figure 2: Kalobeyei Master Plan



needs (humanitarian) while simultaneously creating the framework and strategy for long-term (development) interventions. For any development to be successful, a long-term view of investments is required. Properly planned and executed humanitarian responses have the added advantage of producing early positive results, which in turn generate the confidence and momentum needed for long-term investments.

IV. The objective

As part of the objectives of KISED, the planning and management of Kalobeyei was envisioned to accommodate a population of over 60,000 people from both the refugee and host communities.

Here, UN-Habitat had the opportunity to collaborate within the UN System to demonstrate how, when proper planning and key urban projects are integrated through a multi-sectoral approach, the funding that is available in humanitarian emergencies can also provide sustainable development benefits for the host community, and how a planning process that addresses the needs of both communities can build social cohesion. Kalobeyei New Settlement has been recognized as an innovative pilot and a real-world demonstration of a mutually beneficial, holistic, and long-term response to protracted displacement by UNHCR, local actors, and international donors.

V. The approach

The Kalobeyei New Settlement project was conceptualized in three phases: Phase 1 (‘Emergency

32. See Appendix F: ‘UN-Habitat and its Urban Planning and Design Lab’ for information on the three-pronged approach.

Response') would take place over 2016-2020, during which the spatial plan for the settlement would be developed, stakeholders would be engaged, and the foundations for long-term development interventions and synergies across the projects would be initiated. Phase 2 ('Transitional') would take place over 2021-2025, and would focus on building sustainable services and economic opportunities, and preparing refugees for return while building resilience to this shift within the host community. Phase 3 ('Self-Sufficient Settlement') would take place over 2026-2030, and assumes that the situation in South Sudan will have improved and that many refugees may have returned by this time.³³ This phase will focus on building economic development, resilience, and greater integration of the settlement into the region, positioning it for self-reliance. The Government of Japan provided funding to UN-Habitat for much of the advisory documents and services which have guided phases 1 and 2.

The integrated, multi-phase approach exemplifies how two of the key Lab strategies (Strategy 4: 'Setting the area on a trajectory of long-term sustainability' and Strategy 8: 'Connecting and aligning with the local government perspective and role') can be conceptualized and built into the core of a project.

A baseline socio-economic survey and mapping were conducted to provide detailed analyses of specific areas of Kakuma and Kalobeyi Wards, and the resulting data informed the plan formulation.³⁴ The residents (refugees and host) of both wards were considered key local stakeholders in the planning process. Household surveys as well as planning workshops and focus group discussions were held to seek input on the provisions that should be in place in the settlement. Based on the understandings derived from these studies of the site and its context, the Lab collaborated with stakeholders, UNCHR, and the Turkana County Government, as well as colleagues in the UN-Habitat Kakuma Sub-Office, to create, through an iterative process, an urban strategy to empower the refugee and host communities and create more equitable access to services.

In most humanitarian contexts, where actors have a mandate focused on immediate shelter, demarcation lines are drawn in the ground and different organizations build specific structures without a wider picture of the area as a cohesive settlement. To avoid the impacts of this method, UN-Habitat first carried out an educational process to ensure that those involved in the process had maps and understood

the overall strategy, and supported implementation in accordance with the plan (exemplifying Strategy 2: 'Using urban planning as a coordinating tool among actors and activities'). Following the plan formulation, UN-Habitat advised KISEDIP partners on the implementation of the plan, and undertook pilot projects in various areas (e.g. public space, see Box 2) to demonstrate how some aspects of the plan can be implemented.

With the objective of accommodating 60,000 people in an urban centre with equal access to services, and integrated service delivery for both communities, the settlement was conceptualized in collaboration with UNHCR and the World Bank Group, which contributed to the development of the Local Economic Development approach, engaging in collaborations with the public, NGOs, and the private sector for growth and employment opportunities.³⁵ The private sector became involved on the management board of the new settlement, and several private sector organizations became interested in building investment opportunities. The International Finance Corporation (IFC) Kakuma-Kalobeyi Challenge Fund (KKCF), a fund which has emerged to support private sector investments, and at the time of writing is still ongoing, provides a competitive financing mechanism for disbursing funding to incentivize local businesses and enterprises to start or to scale up operations in the area.

The Lab had developed³⁶ (in collaboration with UNCHR, the Turkana County Government, community stakeholders, and the UN System stakeholders) several spatial analyses as part of the 'Kalobeyi Advisory Development Plan' to guide the iterative planning process, along with capacity development activities undertaken during the planning process. In terms of urban planning, the approach focused on setting out a typical block size and coordinated street grid and hierarchy to support the creation of urban value through logical street patterns and public space.³⁷ It was fundamental to incorporate this starting from the initial stage of urban growth, as the streets provide the connectivity matrix for the settlement and ensure

35. UNHCR (2020). 'Kalobeyi Settlement.' UNHCR website.

36. Details on the data, plans, processes, and recommendations can be found in the following UN-Habitat documents: 'Kalobeyi Financial Sustainability Strategy'; 'Community Driven Public Space Rehabilitation'; 'Kalobeyi Advisory Development Plan'; and 'Kalobeyi New Site Socio-Economic Baseline Survey and Mapping Report,' which are available on UN-Habitat's website.

37. Many guidance documents were developed using UN-Habitat's in-house expertise. To address overall spatial development, it developed the 'Spatial Development Concept,' the 'District Scale Development Concept,' and the 'Land Use Framework' (covering residential areas, commercial and mixed use, education, public purpose, public utility, agricultural, and industrial land areas) which is accompanied by the 'Land Allocation' schedule. The 'Urban Design Framework' includes a detailed overview of the proposed public space network, street hierarchy system, commercial nodes, community nodes, residential areas, and green infrastructure and leisure space. The 'Development Control Guidelines' provide a framework for this development to take place, and accompanying development strategies provide mobility and environmental management approaches. The 'Basic Services Strategy' details the strategies for the provision of water, sanitation, solid waste collection and disposal, and energy and transportation provisions and access. The 'Local Economic Development' concept, developed with the World Bank, focuses on long-term self-reliance in the wider regional economy. The 'Implementation Framework' prioritizes projects and provides detailed project plans and designs as well as a feasibility study.

33. For further information on these phases, see: UN-Habitat (2018). 'Kalobeyi Advisory Development Plan (2016-2026): Kalobeyi Integrated Socio-Economic Development Programme. September 2018.

34. For details, see: UN-Habitat (2016). Socio-Economic and Mapping Baseline Survey Report.' Kalobeyi Integrated Socio-Economic Development Programme. Supporting Planning for an integrated settlement in Kalobeyi New Site Turkana County, Kenya.



A resident using water in front of transitional shelters from UNHCR in Kalobeyei Settlement © UN-Habitat/ Julius Mwelu



Refugee community members hired to upgrade and build infrastructure in Kalobeyei Settlement © UN-Habitat

Box 2: Building capacity of public space community management groups³⁸

As part of the 'Community Driven Public Space Rehabilitation Project' in Kalobeyei, UN-Habitat's Global Public Space Programme creatively engaged participants in visualizing the potential of public spaces within their neighbourhoods. This project established public space community management groups, consisting of both host and refugee members from the immediately surrounding neighbourhoods of each public space, to ensure engagement, contribution, and ownership. The objective was to develop beneficial public spaces while also increasing the capacity and skills of members of both communities to plan, design, implement, and maintain these spaces. Minecraft Design Workshops were conducted, using the Global Public Space Program's Minecraft software technology, to provide a platform for youth and members of the communities to contribute to designing their own public spaces.

In addition to innovative design methods, capacity development and implementation were prioritized to promote local ownership and self-sustainability of the infrastructure and processes. Community level capacity development promoted public space as an avenue for integrated livelihoods and for opportunities for economic and environmentally responsible activities. The groups were trained and supported to develop and implement different public space designs and strategies for public space maintenance and management.

The first training component focused on 'design and management,' including design workshops and a component on management and group self-sustenance. The second training component addressed 'skill development for youth,' focusing on skills that will contribute to implementation and future maintenance of the public spaces. This approach can lead to the increasing integration of both communities for leisure and economic purposes, and make it possible to implement future actions which will improve the neighbourhood climate and liveability. The proposed achievement indicators will measure increases in the communities' capacity to plan and implement projects in public space, and the extent to which the public spaces support socio-economic and environmental development at the neighbourhood scale.

accessibility, supporting inclusiveness, economic vibrancy, and social interaction. Linking this to a land-use pattern (which mixes residential, commercial, and service spaces) can enable access to potential areas of employment and support the integration of the informal sector. This includes creating accessible neighbourhoods serviced by public transport, which is informal in the current initial stage but has space to grow and expand in the future.

Due to the unique relationship between the host and refugee communities, the team put special emphasis on the planning process itself (using Strategy 1: 'Putting special emphasis on the planning process'). A collaborative and participatory planning process was used, informed by planning and design principles – adequate streets, mixed-use, high density, adequate social mix, and limited land-use specialization (in line with Strategy 5: 'Using a principles-based approach') – with consideration of the specificities of the location and the needs of the community. The community as well as the key stakeholders were engaged at every stage of this process. Regular consultations were held with partner organizations within the KISEDIP framework, with government institutions from the national and county level, as well as with county departments and local chiefs, to ensure ownership, exchange, and buy-in at every level.

A. Engagement and ownership

Given that one of the goals of the new settlement was to reduce the tensions between the host and the refugee communities, the approach of bringing both together, and making both groups feel equally engaged and included in the planning process, was vital (in line with Strategy 6: 'Including and consulting to foster social cohesion and ownership'). Utilizing an inclusive process through participation and consultation promotes stronger ownership of the settlement interventions, fosters social cohesion, and creates a sense of belonging. As a key part of its approach, UN-Habitat created Settlement Development Groups for the host community and for the refugee committee respectively, and both groups included diverse membership representative of age, gender, and levels of vulnerability. The host community groups focused on creating a productive flow of information between UN-Habitat and the community representatives, who were selected by the community leaders and elders. This engagement also ensured thorough consideration of traditional land uses and the semi-arid context. The refugee community representatives managed the engagement of the refugees and the flow of information with the UN-Habitat team. The groups were both updated on the project and its goals, as well as trained in town planning and livelihoods. They also engaged in participatory planning workshops, and had the opportunity to provide feedback on and eventually validate the key emergent issues as well as the UN-Habitat proposals for integrated host and refugee

38. For details on this, see: UN-Habitat (2017). 'Community driven public space rehabilitation, Turkana Kenya.' Support to Kalobeyei New Settlement Project as Part of Kalobeyei Integrated Socio-Economic Development Programme (KISEDIP) 2017-2019.



UN-Habitat public space design session using Minecraft technology © UN-Habitat



Participatory public space design process with host and refugee communities © UN-Habitat



A hands-on approach utilized as part of the public space design processes © UN-Habitat



UN-Habitat map reading workshop © UN-Habitat

community planning.

Through an iterative process, the settlement design was constantly adapted to respond to new data and to the new results of analyses, as well as to continuous input and feedback from the stakeholders. This enables the Settlement Development Groups to stay engaged and updated on every step of the process, to provide feedback throughout Phase 1, and to continue to gain skills that will promote a sense of ownership and value of the new settlement and their space and place within it. One of the key goals for the planning process, and a step that will have a significant impact on its success, is the capacity

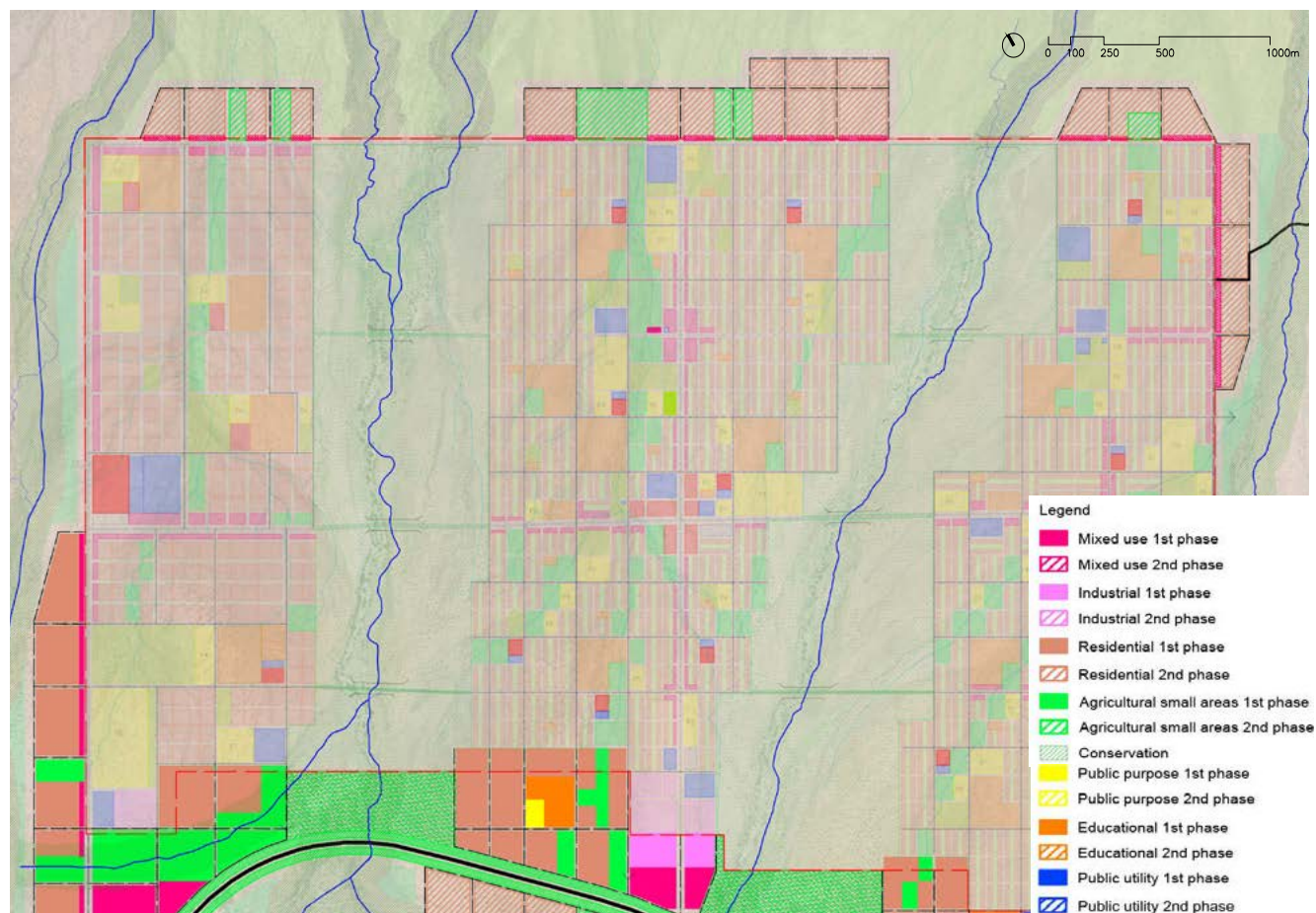
enhancement of stakeholders on issues related to spatial planning and settlement development. The establishment of these groups, their consistent engagement, and their increased planning capacity further this goal and serve as a vital component to the UN exit strategy and transition of ownership and operations to the local level.

In one instance, UN-Habitat recognized a gap in the host community engagement due to lack of knowledge on map reading. UN-Habitat and UNHCR organized a workshop for host community members in Kalobeyei and Turkana West to develop map reading skills and to promote understanding and engagement in the participatory



Planning workshop with the Refugee Settlement Development Group in Kalobeyei, Kenya © UN-Habitat/ Julius Mwelu



Figure 3: Kalobeyei Extension Plan

planning exchanges. The workshop included drawing exercises and taught map and plan reading skills, so that members of the community could locate themselves using the maps and plans, and better understand the real-world implications of the discussions. Similar methodologies were also utilized as part of the ‘Community Driven Public Space Rehabilitation Project’ and the idea and design generation processes with host and refugee communities (see Box 2).

Furthermore, formalizing this proposal under the mandate of Turkana County Government as a planning policy document allows spatial demands to be better coordinated, and permits humanitarian and County Government policy priorities to be better integrated. Evidence-based analysis and visioning provided opportunities to identify potential infrastructure and investment plans for the settlement and neighbouring areas, which can also secure commitment from private sector partners and development banks (Strategy 9: ‘Identifying and guiding investments strategically’). This can have a major effect in reducing vulnerability in the long term for both the incoming refugees and the local communities who have also long suffered from a lack of developmental support, and can offer a real chance at achieving self-reliance.

In addition, UN-Habitat has been promoting the financing of durable solutions, which include collaborations with private sector partners for the design and implementation of urban infrastructure and basic services within the settlement. This includes the building of durable shelters, rainwater harvesting infrastructure, community facilities, and public spaces, as well as promoting livelihoods opportunities through renewable energies.

One such partnership has been through the collaboration with partners on ‘the sustainable economic development along the Turkana West development corridor through enhanced connectivity’ project funded by Cities Alliance and DFID, which aims to improve connectivity and networks that enable businesses, local governments, and individuals to gain access to a wider choice of goods, finance, employment, and investment opportunities. This is being organized through the development of forums for cities along the major transport corridor, LAPSSET, promoting the establishment of Economic Enterprise Zones (EEZ), expanding networks of cities for knowledge exchange and cooperation, building hard and soft infrastructure, and strengthening local capacity for coordination.



Kalobeyei Settlement © UNHCR/ Samuel Otieno

VI. The result

UN-Habitat delivered tailored planning support in this unique context and has continued to support implementation in line with the plan, by building capacity to understand and read maps and plans for colleagues in NGOs and both host and refugee communities, and by facilitating participatory mapping exercises.

One of the most important results in this case is the local ownership of implementation through KISED. By the end of Phase 3 ('Self-Sufficient Settlement') in 2030, the settlement will have transferred governance to the local government and will be an economic and social asset in Turkana County, set in a strategic corridor for economic and livelihoods growth. After the conclusion of Phase 1, in Phases 2 ('Transitional') and 3, the role and responsibilities of UNHCR will be reduced and the mandates of the new settlement will be transferred to the Government of Kenya and the Turkana County Government for governance and management.

Several studies since 2016 have indicated that the presence of refugees has a beneficial impact on Turkana County's economy, with a 2016 World Bank analysis indicating the Gross Regional Product of the region had

risen by 3.4 per cent.³⁹ The report further projected through simulations that the full integration of the refugees would cause the Gross Regional Income per local person to rise 6.1 per cent for about 25 years⁴⁰ which would be a positive impact for both the host and refugee communities for the long term. When viewed as an asset to a host community, displaced persons can bring significant economic benefits, which, if properly planned and integrated, can be sustained in the long-term.

Kalobeyei New Settlement has demonstrated collaboration across the humanitarian-development-peacebuilding nexus to utilize humanitarian funding investments to address development needs, with a long-term urban planning and transitional approach. The spatial plan developed by UN-Habitat has been a tool for coordination which bridges the cluster and development approaches, ensuring a systematic approach for local and international actors' intervention and for monitoring through the government (employing Strategy 10: 'Creating an urban plan as a management tool for actors and local

39. Sanghi, Apurva, Hauri Onder and Varalakshmi Vemuru (2016). 'In My Backyard? The Economics of Refugees and their social dynamics in Kakuma, Kenya.' World Bank Group, UNHCR, p.25.

40. Ibid, p. 46.

governments'). Community members have also benefited from capacity development investments and are able to envision the plan and where upcoming interventions would be realized. The approach has used non-traditional modes of response and programming, integrating humanitarian and development operations with an emphasis of providing value for investments in the long-term. The lessons from Kalobeyei contribute to global discussions and to the continued paradigm shift towards integrated responses in humanitarian and post-crisis contexts.

VII. Key lessons

The novel approach in Turkana County points to an alternative model to address traditional and existing challenges in humanitarian responses. The approach, which could be replicated widely, binds together economic, legal, and spatial components towards an integrated solution. It has also shown how integrated investments can bridge the differing needs of the refugee and the host communities.

A. Integrating humanitarian and development approaches

Recognizing the challenges resulting from the typical processes followed by humanitarian actors (with different organizations building specific structures without a wider perspective of the area as a cohesive planned settlement), UN-Habitat supported the joint delivery of better value for investments by (1) carrying out an educational process to ensure that those involved in the process used maps and understood the overall strategy from the start, and (2) supporting implementation to follow that strategy. UN-Habitat's involvement in planning and in leading the spatial conceptualization for Kalobeyei demonstrates how spatial planning and the associated participatory processes add value to humanitarian and peace programming, and how urban planning ties together many areas of the humanitarian-development-peacebuilding nexus.

UN-Habitat's participation as the Technical Lead in the Thematic Working Group on Spatial Planning and Infrastructure Development has also been effective in supporting full ownership of the plan by UN agencies and in exploring all synergies. The collaborative approach in Kalobeyei has prompted UNHCR to invite UN-Habitat's participation in their humanitarian response work for Rohingya refugees in Cox's Bazar, Bangladesh (described in Appendix D) and has also led to the development of forthcoming guidelines from UN-Habitat and UNHCR⁴¹ on responding to displacement in urban areas and increasing initiatives for partnership.

B. Sustainable development investments for host communities

The integrative work in Kalobeyei has provided a successful example of collaboration among UN agencies and non-traditional response partners, such as the private sector, in a strategic, robust, multi-partner response taking place over 15 years. The bottom-up planning approach seeks to sustain a local economy (using Strategy 8: 'Connecting and aligning with the local government perspective and role' and Strategy 10: 'Creating an urban plan as a management tool for actors and local governments') which has proven resilient and able to provide a basic level of prosperity to the region.

The scheme turns a system that depends on humanitarian aid into one that ties infrastructure investments for refugee assistance with strategic local economic development plans. These plans and developments could attract and leverage private sector contributions in the long term, and at the same time contribute to establishing a reliable municipal finance system, reducing the need for international support over time.

The long-term approach to a protracted refugee crisis can serve as an example for other host communities and host governments of how humanitarian resources can be maximized to contribute to local sustainable development priorities. The local government's engagement and coordination in Kalobeyei has demonstrated the social and economic benefits of hosting refugees, and KISEDIP exemplifies one approach in which hosting can provide improvements for both communities.

C. Reducing tensions between refugee and host communities

The approach taken in Kalobeyei demonstrates how urban planning can be applied to provide more holistic support to all inhabitants of a strained area through integrated settlements that address the needs of both refugee and host communities, thereby reducing tensions and perceptions of imbalanced benefits.

Further, the case provides an example of how Strategy 6 ('Including and consulting to foster social cohesion and ownership') can be employed successfully in a complex environment with positive results. A participatory, consultative process coupled with investments to benefit both the host and refugee communities can reduce tensions, prevent conflict, and build social cohesion that will further bridge humanitarian investments towards also meeting long-term development and peacebuilding goals.

41. This guidance document is forthcoming. The working title at the time of publication is 'Guidance for Responding to Displacement in Urban Areas.'



Staff from the Lab provide training and guidance to community members for mapping activities © UN-Habitat

APPENDIX D
DETAILED CASE STUDY: COX'S BAZAR
BANGLADESH



This case demonstrates the effective assessment of the spatial linkages between camps and the outside world, as well as a spatially based approach for integration and effective planning for refugees and host communities alike. The Lab's involvement in Cox's Bazar began in 2018 and is ongoing, at the time of writing.

I. The political context

Bangladesh's District of Cox's Bazar is located within the Chittagong Division of Bangladesh, along the Bay of Bengal in south eastern Bangladesh. The District has an area of 2,491.86 km² (962.11 sq. mi). Several major rivers run through the district, and it shares a border with Myanmar to the east, as well as bordering two other districts in Bangladesh (Bandarban on the east and Chittagong District on the north). The border with Myanmar is the reason this District has historically been a destination for refugees from Myanmar. The area's economy relies heavily on tourism, fishing, and sea products.

As of December 2019, over 900,000 stateless Rohingya refugees reside in Ukhiya and Teknaf Upazilas in the District of Cox's Bazar, spread across 34 extremely congested camps.¹ The majority, over 700,000, arrived after August 2017 due to the greater threat of genocide² in Rakhine State in Myanmar, but over 200,000 Rohingya refugees were already in the area, having fled Myanmar in previous waves of persecution. While most arrived between August and December 2017, arrivals have continued since then. The largest single site, the Kutupalong-Balukhali Expansion Site, hosts approximately 626,500 Rohingya refugees.³

The situation has gradually begun to stabilize since 2019, with basic assistance being provided and living conditions improving. However, the root cause of the refugees' flight from Myanmar has not been addressed, making conditions and timing for return uncertain.

In Cox's Bazar District, local livelihoods and resources are under strain. While refugees are not allowed to be employed in Bangladesh, many have engaged in informal work, and salaries in the area have decreased due to low price competition from refugees.⁴ The influx of refugees has also strained the natural environment, resulting in significant deforestation, and many refugees are in shelters that are vulnerable to environmental risks and hazards, such as mud slides and floods.⁵ The rapid deforestation of many of the hillsides on which refugees reside further compounds the risk of mudslides and other hazards to the residents there

Given this massive influx, and the limited land allocated for hosting the Rohingya populations, land in Cox's Bazar

and particularly within the refugee hosting sub-districts has become some of the most in-demand in the world. All the humanitarian organizations present in the area were under immense pressure to invest immediately in vast amounts of life-saving temporary basic infrastructure. This challenge was compounded by concurrent initiatives from major international funding institutions that committed to investing in large-scale infrastructure projects. This urgency generated rushed planning and implementation of refugee support actions with challenging operation conditions, which resulted in short-term actions that did not have the best value for the investments in the long term. This essentially put development funding under humanitarian pressure, and meant that investments were being carried out rapidly, and subject to a humanitarian and emergency funding and planning cycle, without a cohesive spatial plan or strategic connection with the wider district infrastructure.⁶ More importantly, investments within the camps were being approached targeting emergency needs only, in isolation from the surrounding spatial context and even from each other (e.g. roads, water, drainage etc.). Agencies followed the UNHCR and IOM refugee camp management approach, which is a fundamental common approach from the start of such a crisis. However, this created a situation in which massive investments were being made within a small space in an isolated manner, without a strategic long-term development perspective.

A. Practical and legal context of the treatment of the refugees

While the Government of Bangladesh has not signed multilateral agreements recognizing the rights and protections of refugees, it thus far has continued to honour its customary international law obligation to keep its border with Myanmar open to refugees fleeing persecution, and to honour the principle of non-refoulement. Refugees have increasingly been given identification cards by the Government upon their arrival in Bangladesh. As of August 2019, over 500,000 refugees over the age of 12 had received biometric identity cards, which include information on fingerprints and iris scans, and which serve as an official document.⁷ However, the Government has made it clear that these are not citizenship documents, but simply

1. UN-Habitat (2019). Ukhiya Camps Profile Cox's Bazaar. Rohingya Crisis Response. May 2019, p.4.

2. UN News (2019). 'Genocide threats for Myanmar's Rohingya greater than ever, investigators warn Human Rights Council.'

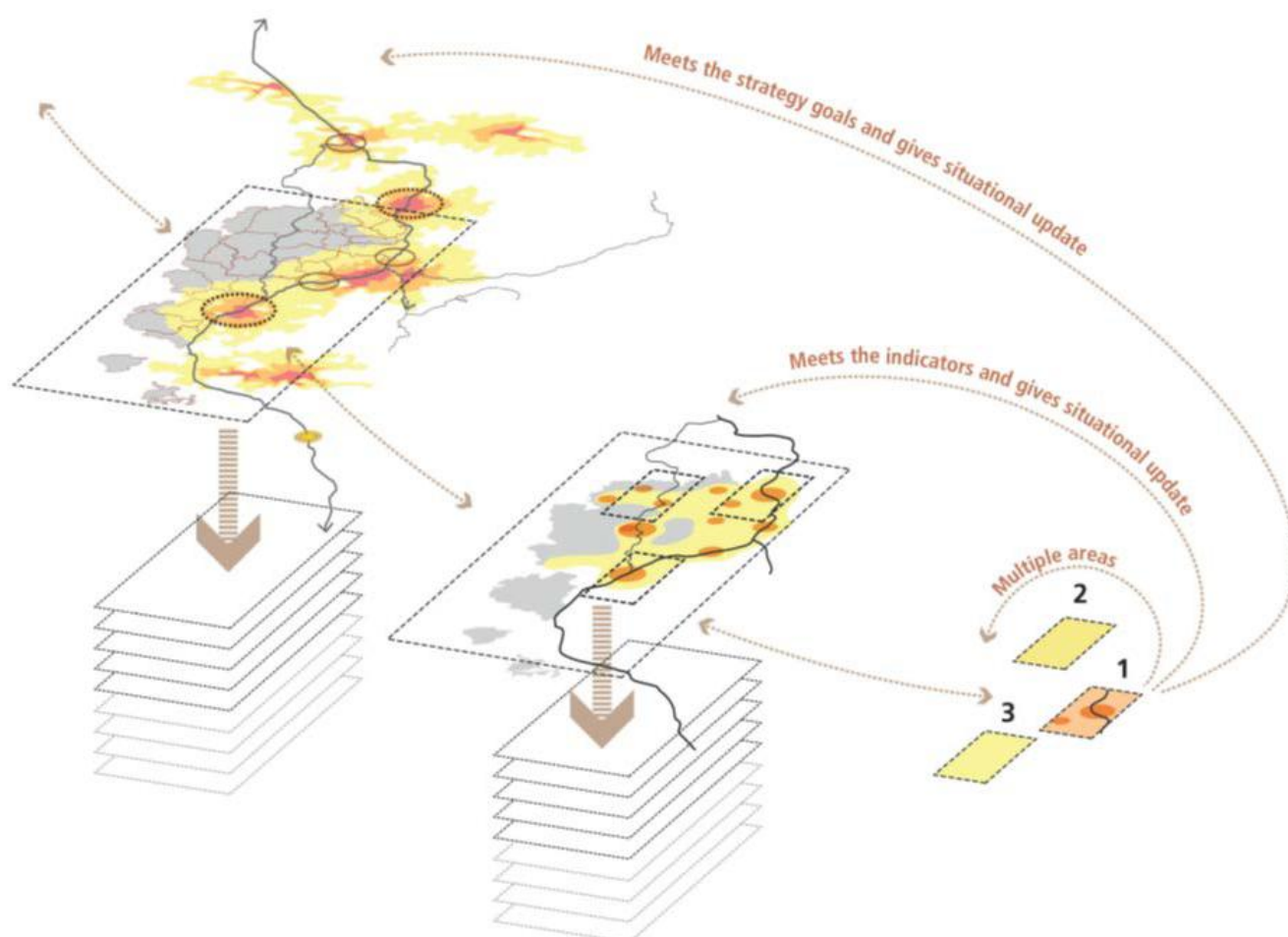
3. UN-Habitat (2019) supra note 1.

4. Ibid.

5. Ibid, p.5.

6. Until UN-Habitat (under the Site Management and Site Development (SMSD) Sector) cross-referenced all local government engineering department roads and mapped them together with the humanitarian-funded roads, there was no clear set of information on which the international financial institutions were able to base decisions.

7. UNHCR (2019). 'More than half a million Rohingya refugees receive identity documents, most for the first time.' 09 August 2019.

Figure 1: The planning strategy as a framework plan of action in Cox's Bazar, Bangladesh

regulate their registration and their stay in Bangladesh.⁸

The Government of Bangladesh opposes any plans for the refugees present to remain in Bangladesh long-term, and at the time of writing had increased its rhetoric regarding the importance of the present refugees' returning to Myanmar. The Government of Bangladesh and the Government of Myanmar, along with the United Nations, have signed several agreements related to potential repatriation of the refugees.

However, the efforts by the Government of Bangladesh to encourage repatriation of the refugees have not been successful due to the ongoing civil conflict in Myanmar and allegations of continued persecution of the Rohingya minorities, and, therefore, the reluctance of the refugees to return amidst legitimate safety concerns. The National Government and District Government maintain the position that the refugees must eventually return to Myanmar, and do not openly discuss projections or options for the refugees' remaining in Bangladesh long-term. Therefore, the humanitarian aid and investments arriving in the camp contexts are generally viewed by the Government

of Bangladesh as temporary investments to support the refugees in the short-term, until they are able to return to Myanmar.

In this context, any discussions about forward-looking investments in durable solutions planning need to be focused on the host communities coping with the 'burden' of hosting the Rohingya refugees within Bangladesh. Humanitarian and urban actors and stakeholders (e.g. development banks, such as the World Bank and Asian Development Bank) have been engaged to mobilize infrastructure investments and to prioritize projects that are tailored towards the improvement of services and resources for hosts in informal settlements. Adding to complexities on the ground, the original humanitarian response in Cox's Bazar was run by IOM and UNHCR, not under a typical cluster system or a typical refugee coordination model, but operating as a hybrid of the two. Although an inter-sector coordination group (including all UN agencies and major INGOs) was established, which was viewed as independent, it could also be a potentially cumbersome entity through which to operate.

8. Ibid.

II. The objective

UN-Habitat does not have permission from Bangladesh authorities to work directly with refugees, and works only with host communities under UNDAF; therefore, UNHCR requested a secondment from UN-Habitat to bring a spatial perspective and technical advice to their work. The Lab entered this context with the objective of delivering an independent planning perspective to provide technical advice on bridging the short-term with medium-term response, and providing a strategic, long-term perspective on investments made within the humanitarian context to ensure value for cost, a minimal environmental impact, and a long-term use for the district linking with its holistic development approach, among others. The Lab sought to improve humanitarian coordination using strategic spatial profiling and analysis as a tool (Strategy 2: ‘Using urban planning as a coordinating tool among actors and activities’), as well as engaging the local government and the relevant humanitarian actors to facilitate effective forward-looking planning and management (Strategy 8: ‘Connecting and aligning with the local government perspective and role’ and Strategy 10: ‘Creating an urban plan as a management tool for actors and local governments’).

III. The value of the spatial perspective

UN-Habitat’s engagement with UNHCR in Cox’s Bazar came after its Kalobeyei, Kenya, project, where UN-Habitat worked to develop new systems and methods of working with UNHCR Country Offices and teams and to bring an urban perspective to their work, under the spirit of the UN’s ‘new way of working.’⁹ With the scale of the situation arising in Cox’s Bazar, UNHCR requested that UN-Habitat bring planning expertise to the situation, inviting a planner from the Lab to join their team (via an informal secondment) to find a more strategic way forward in the planning context. Furthermore, given that UN-Habitat does not, at the time of writing, have regular representation within the UN Humanitarian Country Team in Dhaka, opportunities for strategic level engagement were – and continue to be – somewhat limited.

As a result, the placement of UN-Habitat’s Lab secondee (‘the secondee’) within UNHCR enabled the planner to look at the achievements, linkages, and consequences of infrastructure and other projects with UNHCR’s oversight. For example, the secondee would examine the expected achievements of a project, how it interacted with other planned infrastructure, who will be responsible for maintaining it, if or how it would link to other local infrastructure, and if it would be adopted within

the local governance framework.

UN-Habitat’s Lab secondee also played a key role in the humanitarian response coordination body, as the Technical Coordinator for Site Development and as the Secretariat for the Site Planning Task Force chaired by the Refugee Response and Repatriation Commissioner (RRRC). Having an urban planner as the Secretariat of the Task Force enabled the Lab to put planning at the forefront in this coordination context.

IV. The approach

Humanitarian approaches are typically sectoral, with each cluster focused on its own agenda. The Site Management and Site Development Sector – whose role was to support Government of Bangladesh camp level representatives – serves as the custodian of the space, coordinating the various actors and giving specific attention to how all the components fit together on a few very limited pieces of land. With this sector serving as the ‘convening’ sector, the Lab was able to employ Strategy 2 (‘Using urban planning as a coordinating tool among actors and activities’) and to do so objectively. UN-Habitat’s role in this context has been ambitious due to the scale of Cox’s Bazar, its population, and the number of humanitarian organizations operating within it, as well as the difficulty in introducing a planning approach in such an emergency context.

UN-Habitat’s expertise has also been particularly useful to frame the conversation with the Government of Bangladesh by demonstrating the value of investments and infrastructure and economic additions for the local government, using Strategy 7 (‘Planning within the larger geography’) and Strategy 8 (‘Connecting and aligning with the local government perspective and role’). This approach avoided the need to agree on durable solutions for the refugee community while adding value for the Government and host population through a long-term planning strategy for investments.

UN-Habitat has a significant role to play in such contexts, employing Strategy 9 (‘Identifying and guiding investments strategically’) to serve as an advocate for sound investments in integrating infrastructure within existing government systems that (a) respond to both humanitarian and local priorities and (b) can demonstrate tangible co-benefits for both the camp and the wider district, which will lead to positive change for the host locality even if the camp is temporary. The Lab acted as a catalyst for such planning, using the secondee based in Cox’s Bazar to provide advice and to liaise with Lab colleagues (in the UN-Habitat headquarters) who provided focused, immediate spatial analyses and technical inputs, while significantly expanding the capacity of the secondee.

9. See Appendix E: ‘Relevant global policy frameworks and trends’ for background and details on the evolution of the ‘new way of working.’

The Lab provided support to the Shelter and Site Planning teams as well as to the Site Management Side Development sectors, conveying a planning perspective. Much of this work was done through frequent meetings with other UN agencies, contributing a planning and spatial perspective regularly as the chair of the Site Planning and Site Development Working Group as well as at the Inter Sector Coordination Group Meetings and other sector specific meetings. The spatial and planning recommendations provided include defining prioritized infrastructure programming (i.e. roads), supporting camp-wide and cross-sector facility rationalization, developing planning responses to mitigate natural hazards, and working with the Government and humanitarian actors to ensure that infrastructure was aligned to government standards and agenda.

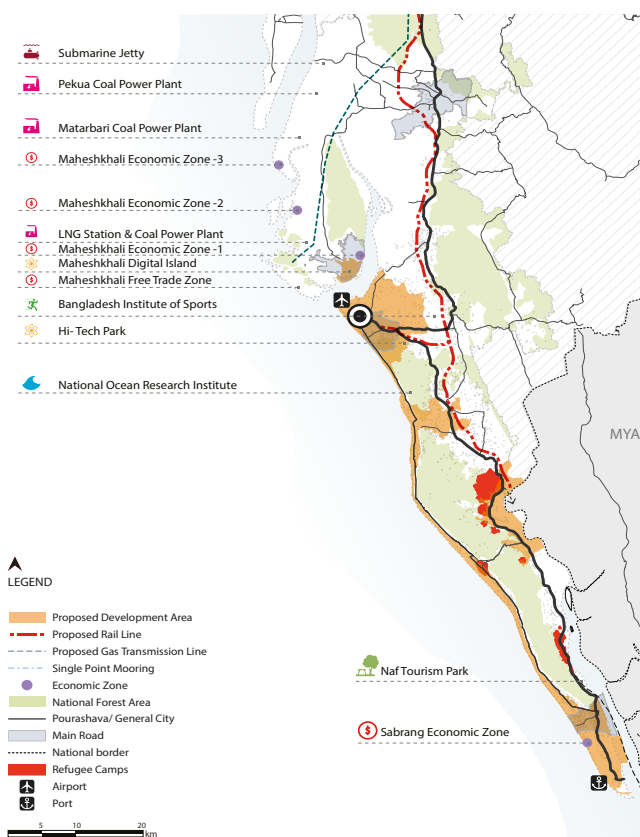
Some of the documents produced by the Lab influenced the physical development of Cox's Bazar. These include, for example, a position paper on roads ('Recommendations on Asian Development Bank funded road infrastructure'), which included analyses of the spatial implications, household relocation implications, facility decommissioning implications, as well as recommendations and solution comparisons to inform the donor; an assessment of the viability of two-story shelters ('Joint Proposal for Two Storey Shelter Implementation'), which

put forward potential locations, as well as an assessment of the materials that can be used and land that would be saved along with corresponding analyses and maps for each location; and many operational papers. This was in addition to site-based support and problem solving with the IOM and UNHCR site development teams and World Bank and Asian Development Bank task teams.

The 'Ukhiya Camps Profile: Cox's Bazar' report, which the Lab produced in May 2019, provides spatial analyses that examines the entire region of Cox's Bazar and specifically explores the details of the Ukhiya and the Kutupalong contexts respectively. The report further provides scenarios for the levels of action that may be taken, and presents the spatial impact of the influx of people in relation to the plans of humanitarian actors as well as the local government to provide a contextual analysis of the camps in relation to the surrounding areas. Further, the projections and recommendations provide an evidence-based spatial foundation upon which decisions can be made based.

A key challenge in the context of Cox's Bazar was the exceptional density and scale of the settlements, which meant that none of the existing standards could be utilized. Still, the Lab was able to support Sphere and UNHCR to examine what could be delivered in the context and gain the endorsement of that from all the coordination stakeholders. The Lab worked with multiple sectors (including shelter, WASH, protection, and site management) to refine their typical standards, contextualized the refinements and consolidated them within the Site Planning Standards Graphics Guidelines, to be read in conjunction with the site planning standards document. This allowed for the contextualization of standards within Cox's Bazar and ensured that all the actors are accountable and delivered support that is in accordance with some form of endorsed standards.

Figure 2: District-wide infrastructure



Mapping district-wide infrastructure initiatives allowed the identification of areas for integrated interventions within refugee settlements and surrounding areas.

A. Capacity development

A crucial component of the Lab's approach in this context included leading capacity development efforts with various line ministries involved in aspects of the response, to support a better understanding of the spatial context of not only the camp itself but also its connection to the wider district and infrastructure. This was carried out through numerous ongoing joint presentations, field visits, and workshops with the Local Government Engineering Department (LGED), Refugee Response and Repatriation Commissioner (RRRC), and the 'Camp-in Charge' officer (CIC) at the camp level. This process enabled the Lab's spatial advice and expertise to be integrated to provide increased value of investments for both the refugee beneficiaries and for the local government in the long term, while aligning

10. UN-Habitat (2019) supra note 1, p. 25.

with local priorities (Strategy 8: ‘Connecting and aligning with the local government perspective and role’).

Furthermore, the Lab secondee contributed to the development of the curriculum under development as part of a response-wide ‘capacity sharing’ initiative particularly focused on macro site planning and site development. The Lab sought to promote a greater understanding of the spatial realities and conditions for not only the United Nations entities involved but also for the local governments, helping the district see the humanitarian investments for the benefits that they will also ultimately provide for the locality, even after the potential departure of all United Nations agencies.

V. The result

The Lab has been successful in providing the ‘urban perspective’ with spatial expertise and technical advice to add a strategic, long-term outlook on investments made within the humanitarian context, and continues to do so at the time of writing. Given the scale of Cox’s Bazar and the infrastructure investments being made there, it was not possible to influence all areas within the relevant spatial context. Yet, the Lab distilled the critical developments and corresponding projects and successfully influenced programming aspects of various agencies’ (particularly ADB, World Bank, IOM, UNHCR, UNICEF, and FAO) infrastructure implementation strategies. By working with the District Government to frame the infrastructure developments in the context of the future benefit they can provide for the district following a potential return of the refugees, through current and clear spatial strategies, the Lab laid a foundation so that the infrastructure follow up can be taken on by line ministries in the future. This helped to ensure that immediate and urgent humanitarian investments were constructed to also serve long-term development goals.

The nature of the Lab set-up in this case – including a common way of thinking, opening the door to spatial

understanding, and maximizing the joint work of the experienced team in headquarters and a focal point in the field – facilitated the rapid production of profiles and spatial documents to a high standard in a short amount of time. Spatial, road planning, and site planning standards were aligned with the protection, shelter, and WASH sectors, and were reviewed directly with humanitarian actors. The Lab approach in using the strategies discussed in this publication, and the spatial coordination role that it played, was critical to informing the prioritization of projects: using continuous coordination and open planning, each infrastructure investment step could be assessed and input was provided to prioritize the best investments and developments. In addition, changes were made that vastly increased the value of the investment for the local government.

However, the experience also reveals the difficulties of operating in and influencing humanitarian contexts. In a context of over 3,000 humanitarian staff, the Lab secondee, while endeavouring to coordinate several infrastructure and ad-hoc projects, was not able to influence the spatial planning as much as would be necessary to ensure the best use of funds and long-term planning goals for the District. A larger team and resources would be necessary to adequately ensure the best use of investments for the most effective benefit of the current Rohingya residents as well as the long-term benefit of the host communities. Furthermore, it would be critical in future engagements of a similar nature to build upon the strengths of a strong country team. In this case, the lack of a formal UN-Habitat presence in Bangladesh to engage at the central level continues to limit the potential for scaling impacts.

A. Ongoing situation and next steps

At the time of writing, the Lab’s presence in Cox’s Bazar is ongoing, and it is currently following up with the Resident Coordination Office (RCO) and UNDP on a District Development Plan process as well as preparing concept notes on profile expansion for donors. It is also initiating



Engaging ‘Camp in Charge’ officers in infrastructure planning, with key decision-makers at the camp level representing Bangladesh’s Refugee Relief and Repatriation Commission.
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discussions with the Development Coordination Office (DCO) and will continue to work with the humanitarian sectors to maximize its influence and utility.

VI. Key lessons

The impact and introduction of spatial planning and linked investment and planning principles and standards (Strategy 5: ‘Using a principles-based approach’) that one secondee located within UNHCR in this humanitarian camp situation could contribute demonstrates the vital need for more integration of spatial thinking and expertise in such emergency and overcrowded contexts.

In addition to contributing to more catalytic and effective transitional investments that can bridge the humanitarian-development divide and contribute to the development of the wider district, the spatial expertise in this case also demonstrated to local authorities the potential positive impacts that such humanitarian investments can have in long-term strategic spatial development schemes for the wider area.

The experiences in Cox’s Bazar have demonstrated the demand for spatial expertise by a wide range of urban actors – from multilateral financing institutions to local engineering departments – on where to best allocate funding so that it is both spatially coordinated and sustainable, with benefits for multiple communities, and responds to local and global priorities. Ultimately, the more this expertise is shared at the earliest possible stages, taking a medium- and long-term sustainability view, the more it has the potential to build capacity within local and national governments to bridge these investments and thinking and to build relevant expertise for urban planning and management functions.

A. Response and coordination lessons, applicable for United Nations collaborations

In future humanitarian situations, UN-Habitat must ideally be represented at the UN Country Team (UNCT) and involved in order to make inroads with the government and donors and to increase its influence and ability to achieve impact at the local and central levels (particularly in heavily centralized governance systems such as Bangladesh).

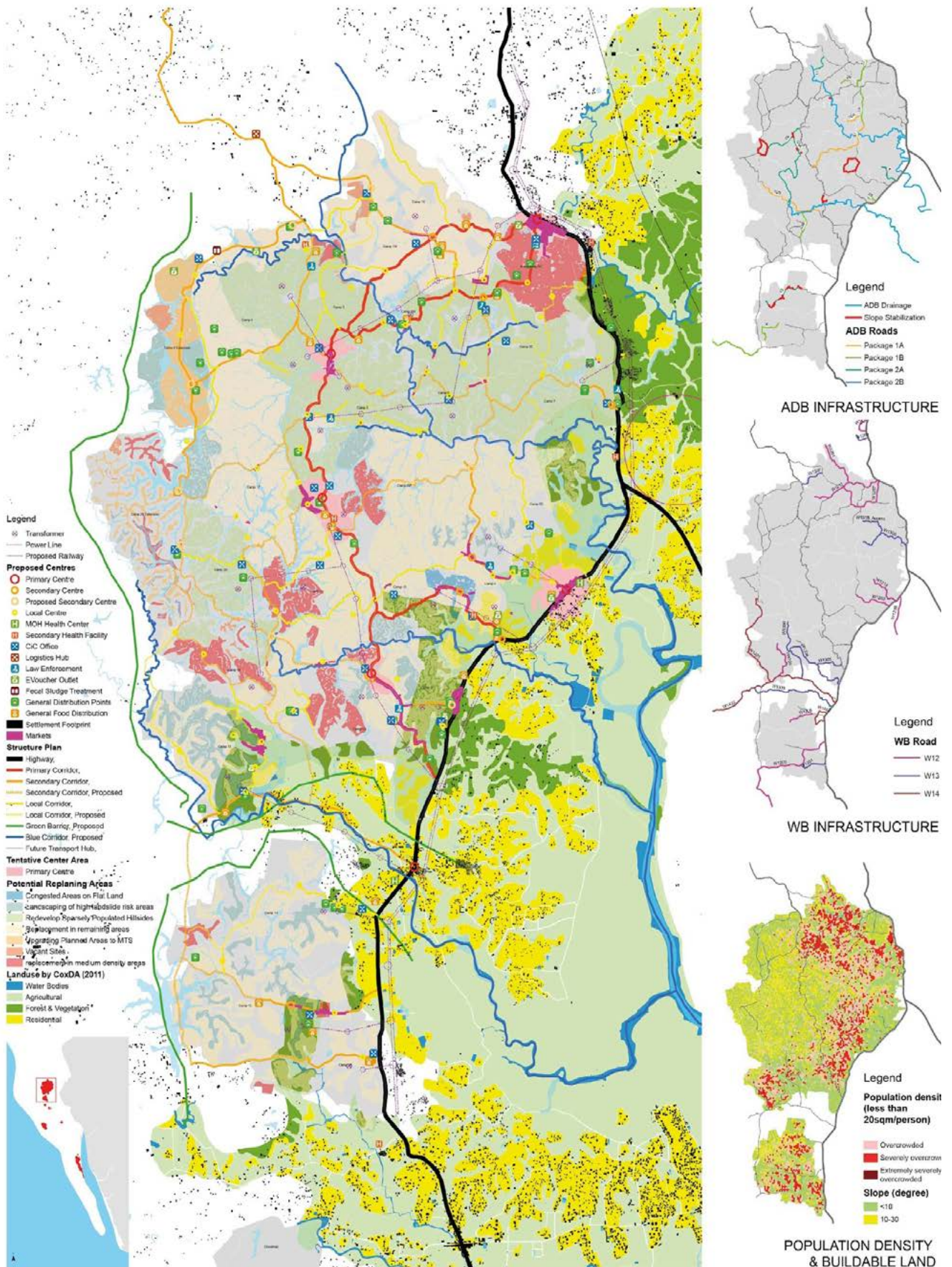
More clarity is needed in agreements between UN-Habitat and UNHCR to avoid confusion regarding the role of secondees, which requires acknowledgement of the complexity of work demands in an ever-evolving humanitarian context. A more formalized technical response team that can be seconded into certain response contexts through co-funded positions could prevent perceptions of ‘vested interests.’

In this case the Lab was able to act as an entry point and open the door, within UNHCR, to spatial thinking and to

the in-house expertise of UN-Habitat. However, to achieve the most impact from the funding and efforts of such humanitarian responses, it is vital that UN-Habitat deploy humanitarian experts with planning expertise during the preparation of the UN humanitarian appeal process. Having a larger team with several focal points in headquarters, as well as having several experts based in the field, will enable continuous advice and interventions throughout the responses. Such an approach would help to institutionalize spatial considerations within more projects, would enhance capacity development efforts, and would ensure that any projects undertaken during the emergency response phase will be properly linked with local infrastructure and be maintained by local authorities, with governments recognizing the value of such investments. When local government and local host communities develop a sense that they are receiving increased benefit from long-term investments, social cohesion is strengthened and there is less likelihood that tensions will arise among refugee and host populations (as exemplified in Appendix C on Kalobeyei, Kenya).

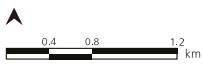
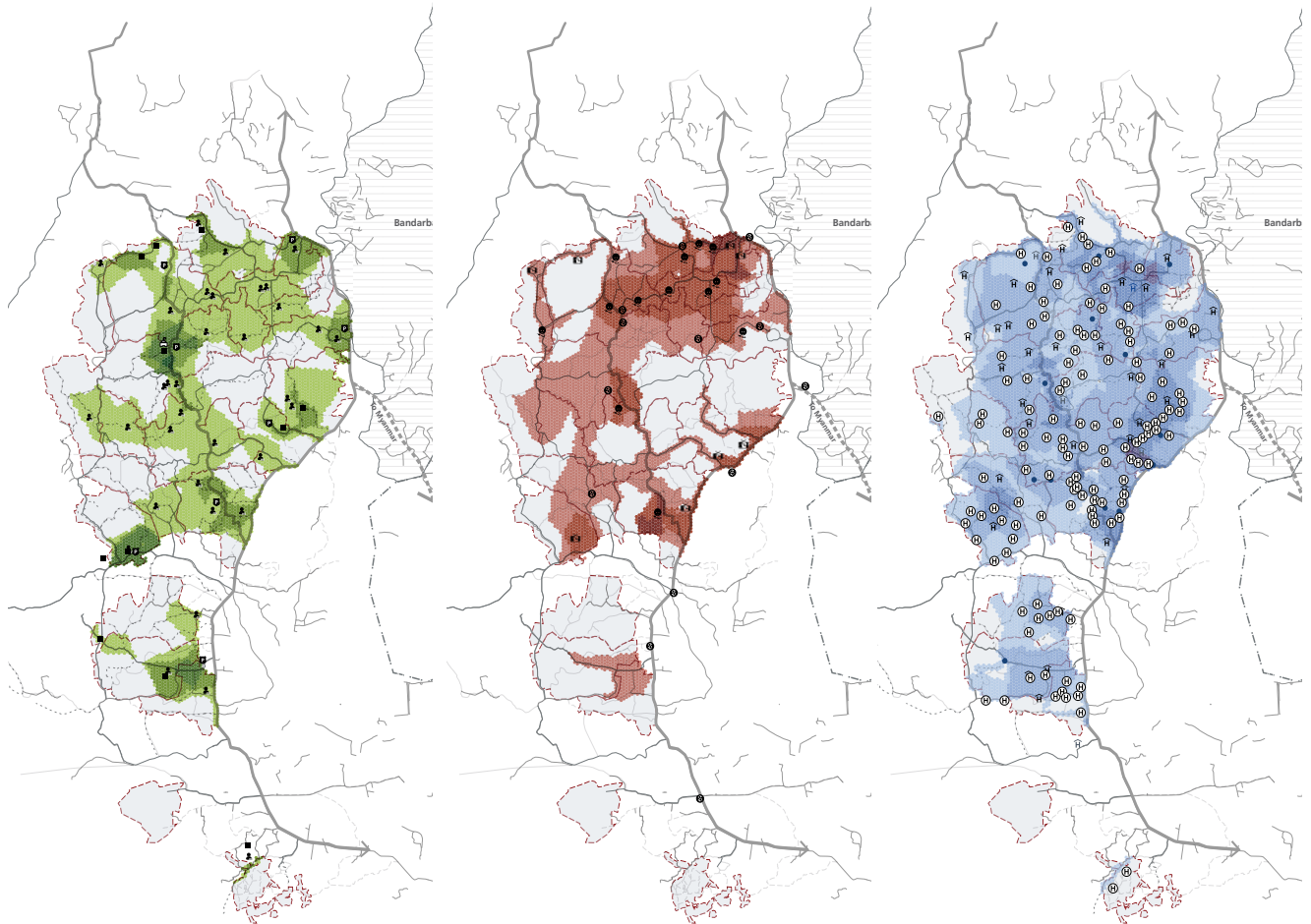
In addition to providing greater support and expertise to increase the value of investments and to bridge humanitarian and long-term development work, there is a need to strengthen back-office support from headquarters, as well as to build more coordinated regional support from other UN-Habitat offices internationally. This cohesive response can build enhance UN-Habitat’s relationship with the host governments and provide a transitional support team that will be better able to support and advise governments on pursuing long-term goals which consider the spatial realities that will arise as the refugee populations change in the future. In a context where requirements are often rapid, evolving, and ever-changing, and where complex responses are needed, an approach that promotes greater agility and flexibility – through developing a deeper understanding of the different ways that traditional humanitarian actors work – can also expand the ability of UN-Habitat and development partners to contribute effectively.

Figure 3: UN-Habitat provided spatial analysis and support to the coordination of infrastructure investments in the refugee camps in Cox’s Bazar, Bangladesh



APPENDIX E

RELEVANT GLOBAL POLICY FRAMEWORKS AND TRENDS



LEGEND

- Camp border
- Highway
- Primary road
- Existing road network
- Proposed road network
- National border
- P Police
- D District Commissioner
- C CIC (Camp in Charge)
- Distribution points

Opportunity Index:

- 4
- 3
- 2
- 1
- 0

Opportunity Index:

- Camp border
- Highway
- Primary road
- Existing road network
- Proposed road network
- National border
- F Food distribution
- M Market
- V Voucher

Opportunity Index:

- 3
- 2
- 1
- 0

Opportunity Index:

- Camp border
- Highway
- Primary road
- Existing road network
- National border
- H Primary Health Facilities
- H Secondary Health Facilities
- H Military Health Facility
- Non-classified Facilities
- H Medical Posts

Opportunity Index:

- 4
- 3
- 2
- 1
- 0

Administrative, economic, and health services interventions as infrastructure proposals in Cox's Bazar, Bangladesh

This appendix provides further details on the background and evolving convergence of humanitarian and development work in the UN context. It is supplementary to the information provided in 'Urban Planning Responses in Post-Crisis Contexts' Section 1.II: 'Global humanitarian trends and frameworks.'

As it involves various types of human settlements, crisis response is increasingly confronted with the need to better address urban issues. Since 2015, sustainable urbanization has become recognized as central to the realization of the global development goals as set out in the suite of global agreements signed between 2015 and 2016, including, most importantly, the 2030 Agenda for Sustainable Development and its Sustainable Development Goals (SDGs), the Addis Ababa Action Agenda of the Third International Conference on Financing for Development, the Sendai Framework for Disaster Risk Reduction, the Paris Agreement on Climate Change, the New York Declaration for Refugees and Migrants,¹ and the New Urban Agenda. The 2030 Agenda clarified the importance of urban planning in SDG 11 ('Make cities and human settlements inclusive, safe, resilient and sustainable')² as well as the interdependence and mutual support of the 17 goals. The New Urban Agenda (2016) clarifies the link between well-planned and well-managed urbanization and successful sustainable development. It outlines standards and principles for the planning, development, management, and improvement of urban spaces and cities along five pillars of implementation: national urban policies, urban legislation and regulations, urban planning and design, local economy and municipal finance, and local implementation. It also includes references to social inclusion and participatory processes.

The World Humanitarian Summit in 2016 provided an opportunity for many stakeholders to gather and discuss some of the above-mentioned frameworks and to consider two additional subjects: displacement as a cross-cutting issue for all development challenges, and the need to transcend the humanitarian-development divide. At the Summit, then UN Secretary-General Ban Ki-Moon, along with eight United Nations agencies, committed to a 'new way of working,' to break down the silos between humanitarian and development work and to ensure a holistic approach and more efficient and sustainable use of resources. The UN System has recognized that flawed development can lead to unplanned urbanization, spatial

and social inequalities, pressure on natural resources, and a lack of or unequal access to housing, basic services, and land, thus contributing to an increased risk of and vulnerability to disaster, instability, and conflict. Crises often impact the urban poor, the displaced, and those already experiencing marginalization. This can contribute to further entrenching inequalities, which must be addressed and improved in order to build resilience.

In this context, the increasingly urban nature of conflict, peacebuilding efforts, and disasters was recognized, as was the growing body of evidence and knowledge around the positive impact that proper planning of urban spaces and human settlements can have on social cohesion, integration, and resilience, which contribute not only to recovery after a crisis, but also to the prevention of future crises.

Following the Summit, the convergence of these topics in the context of the reforms that took place within the UN Development System (UNDS)³ has been described as the 'humanitarian- development-peacebuilding nexus,' in recognition of the need for increasing collaboration and integration among humanitarian, development, and peace interventions. Another outcome of the Summit was the establishment of the Global Alliance for Urban Crises,⁴ which brings together an array of multi-disciplinary actors to commit to the principles of the Urban Crisis Charter and to collaborate on preparation for such crises, with UN-Habitat being among the founding members. The Alliance creates knowledge products to guide responses in urban crises, including creating frameworks, protocols, guides, and case studies to prevent, prepare for, and effectively respond to humanitarian crises in urban settings.⁵

The United Nations Office for the Coordination of Humanitarian Affairs (UNOCHA) published a policy paper on the 'new way of working' in 2017, noting that the protracted nature of crises has caused the volume, cost, and length of humanitarian assistance to increase significantly. The paper clarifies the need to pursue collective outcomes, collaborating across silos in the humanitarian-development space, as well as maximizing the comparative advantages of different actors and utilizing multi-year timeframes to properly plan operations that can effectively span this

1. The 'New York Declaration for Refugees and Migrants' was adopted by the UN General Assembly in September 2016, and reaffirmed Member States' commitments to respect refugees' and migrants' human rights and to support countries that welcome them.

2. Of particular relevance are target 11.3 ("By 2030, enhance inclusive and sustainable urbanization and capacity for participatory, integrated and sustainable human settlement planning and management in all countries"), target 11.7 ("By 2030, provide universal access to safe, inclusive and accessible, green and public spaces, in particular for women and children, older persons and persons with disabilities"), target 11.a ("Support positive economic, social and environmental links between urban, peri-urban and rural areas by strengthening national and regional development planning"), and target 11.b ("By 2020, substantially increase the number of cities and human settlements adopting and implementing integrated policies and plans towards inclusion, resource efficiency, mitigation and adaptation to climate change, resilience to disasters, and develop and implement, in line with the Sendai Framework for Disaster Risk Reduction 2015-2030, holistic disaster risk management at all levels").

3. Initiated with UNGA Resolution 72/279 on 31 May 2018.

4. Members of the group include UN-Habitat, OCHA, IOM, the European Union, American Red Cross, UKAid, Habitat for Humanity, the Norwegian Refugee Council, and Cordaid. For further information about the evolving perspectives on spatial views in humanitarian contexts, please see Global Alliance for Urban Crises (2019) 'Urban Profiling for Better Responses to Humanitarian Crises.'

5. See <www.urbancrises.org> for further information on the Global Alliance for Urban Crises and its work.

nexus.⁶

Taken together, the 2030 Agenda, the outcomes of the Humanitarian Summit, the New Urban Agenda, and the UN System's evolving 'new way of working,' have solidified the role that sustainable urbanization and spatial and urban planning plays in the humanitarian context. The New Urban Agenda illustrates the interlinkages of sustainable urban development, social cohesion, and humanitarian response, emphasizing the crucial role of effective spatial planning approaches and management to building social cohesion and achieving the 2030 Agenda.⁷ The New Urban Agenda also recognizes "that the spatial organization, accessibility and design of urban space, as well as the infrastructure and the basic services provision, together with development policies, can promote or hinder social cohesion, equality, and inclusion."⁸ This element plays a key role in building integrated and resilient societies, thereby reducing risk of conflict and negative impacts of crises and other shocks.

In its provision of guidance on the development of urban spaces, the New Urban Agenda notes that, in its global implementation, "special attention should [...] be given to countries in situations of conflict, [...] post-conflict countries and countries affected by natural and human-made disasters."⁹ In the New Urban Agenda, Member States further committed "to promoting adequate services, accommodation and opportunities for decent and productive work for crisis-affected persons in urban settings and to working with local communities and local governments to identify opportunities for engaging and developing local, durable, and dignified solutions while ensuring that aid also flows to affected persons and host communities to prevent regression of their development."¹⁰ They also note that timely and effective responses should address the needs of inhabitants, including "the integration of the 'build back better' principles into the post-disaster recovery process to integrate resilience building, environmental and spatial measures and lessons from past disasters, as well as awareness of new risk, into future planning."¹¹

This dialogue represents a fundamental shift in how planning is viewed within post-crisis responses, and places

new urgency on the need to remove the barriers that create silos between actors, and to advocate and lobby with the donor community and within the Inter-Agency Standing Committee (IASC) for a more effective joined-up response to crises that engages humanitarian, local partners and development actors from day one of the response.

This publication, 'Urban Planning Responses in Post-Crisis Contexts,' describes the perspective that UN-Habitat brings to the humanitarian-development-peacebuilding nexus, which advocates for the integration of spatial perspectives and effective sustainable development planning from the very beginning of a humanitarian response.

6. UN OCHA (2017). A New Way of Working.

7. See New Urban Agenda paragraph 25: "We also recognize [...] that the spatial organization, accessibility and design of urban space, as well as the infrastructure and the basic services provision, together with development policies, can promote or hinder social cohesion, equality, and inclusion," and paragraph 29: "We further commit ourselves to promoting adequate services, accommodation and opportunities for decent and productive work for crisis-affected persons in urban settings and to working with local communities and local governments to identify opportunities for engaging and developing local, durable, and dignified solutions while ensuring that aid also flows to affected persons and host communities to prevent regression of their development".

8. United Nations (2016). New Urban Agenda A/RES/71/256* Endorsed 23 December 2016, para 25.

9. Ibid, para 19.

10. Ibid, para 29.

11. Ibid, para 78.



UN-Habitat Governing Council meeting at the United Nations Office at Nairobi © UN-Habitat

APPENDIX F
UN-HABITAT AND ITS URBAN PLANNING AND DESIGN LAB



Profiling was done for refugee settlement areas in consultation with stakeholders in Nakivale, Uganda © UN-Habitat

This appendix provides further background information on urban planning at UN-Habitat during the period of its 2014-2019 Strategic Plan, and on the City Planning Extension and Design Unit (CPEDU) which served as UN-Habitat's custodian of the planning side of the three-pronged approach (planning, finance, legislation) at the time. This appendix also provides more information on the Urban Planning and Design Lab and its functions. It serves as supplemental material to 'Urban Planning Responses in Post-Crisis Contexts,' Section 2.1: 'Elevating urban planning in the United Nations System,' and as a guide to the material available on this topic.

I. Urban planning in UN-Habitat

Within the United Nations System, the United Nations Human Settlements Programme (UN-Habitat) is “a focal point on sustainable urbanization and human settlements, including in the implementation, follow-up to and review of the New Urban Agenda, in collaboration with the other United Nations system entities.”¹ UN-Habitat is mandated by the UN General Assembly (UNGA)² to promote socially and environmentally sustainable towns and cities. UN-Habitat envisions well-planned, well-governed, and efficient cities and human settlements, with adequate housing, infrastructure, and universal access to employment and basic services such as water, energy, and sanitation. In the past decade, UN-Habitat has focused on preventing poorly planned and managed urbanization and unplanned urban growth, providing assistance to Member States at the local, national, regional, and global levels.

In order to support countries and cities to overcome urban and spatial challenges, and to enhance sustainable urban development, UN-Habitat has adopted a strategic and integrated approach to addressing the challenges and opportunities in twenty-first century human settlements that addresses urbanization as a key factor of sustainable development.

Alongside urban policies, urban governance, and municipal financing, urban and territorial planning serves as a critical decision-making process that aims at realizing economic, social, cultural, and environmental goals through the development of spatial visions, strategies, and plans. Urban and territorial planning drives prosperity by balancing overlapping and often contradicting interests in physical space through multi-scalar, multi-sectoral, and multi-stakeholder processes. The spectrum of **planning methods** is broad, and reflects an evolving continuum which combines top-down and bottom-up approaches

depending on the context. Although the content of plans has been under much less scrutiny in the past, since 2010, the content of planning approaches, processes, systems, and institutions was much more carefully considered. There was the realization that successful implementation of urban plans requires strong political will and appropriate partnerships involving all relevant stakeholders, as well as three key enabling components captured in the ‘three-pronged approach.’

The three-pronged approach “advocates for an integrated urban management and urban planning practice that simultaneously adopts the implementation of (1) an urban/ **spatial plan** that addresses density, land use, streets and public spaces, and the definition of public and private domains through **urban design**, (2) a legal plan that contains the rules of land subdivision and land occupation, as well as the **regulatory frameworks** governing planned urbanization, and (3) the **financial plan** to mobilize resources of its realization.”³ These three components need to be well-defined and incorporated into implementation: a map or an action plan in itself (even one with widespread consensus) would not produce impact on the ground unless design, legislation, and resources were considered synergistically.

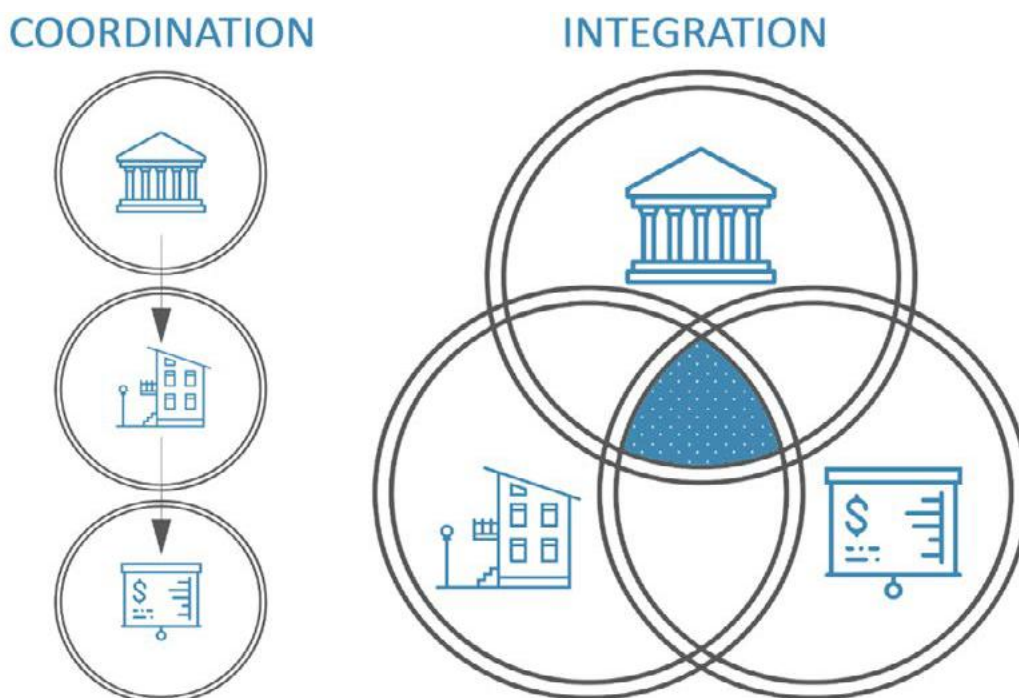
The strategic and integrated approach is systemic, addressing the root causes of malfunctioning urbanization. The approach is integrated rather than sectorial, and links urbanization and human settlements to sustainable development by focusing on a vision for sustainable urban development that builds a relationship between urban dwellers and urban space, while increasing the value of urban land.

In addition, UN-Habitat developed more defined principles as the basis for its work, deriving them from an analysis of the dynamics of sustainable urban development and the role of urban planning in that context. Those principles are, in broad terms, the principles of sustainable urban development (compact, connected, integrated, inclusive, and resilient), and more specifically the so-called UN-Habitat five principles for neighbourhood planning,³ which support the development of neighbourhoods and cities that are compact, integrated, and connected. These five principles are:

1. United Nations (2016). New Urban Agenda A/RES/71/256* Endorsed 23 December 2016, para 171.

2. See UNGA Resolution A/56/206 (2002), which transformed the United Nations Centre for Human Settlements (Habitat) into the Secretariat of the United Nations Human Settlements Programme (UN-Habitat), and entrusted the Secretariat of UN-Habitat with the responsibilities set out in paragraph 228 of the Habitat Agenda and in UNGA Resolution 32/162 (1977). The main documents that frame UN-Habitat's mandate are: the 1976 Vancouver Declaration on Human Settlements (the product of the Habitat I Conference), the 1996 Istanbul Declaration on Human Settlements and the Habitat Agenda (both the product of the Habitat II Conference), the 2001 Declaration on Cities and Other Human Settlements in the New Millennium, UNGA Resolution A/56/206 (2002), and the 2016 New Urban Agenda (the product of the Habitat III Conference). Its mandate is also shaped by UNGA Resolution 3327 (XXIX) (1975), the United Nations Millennium Declaration (A/RES/55/2, 2000), as well as UNGA Resolution 65/1 (2010).

3. UN-Habitat (2016). Working Paper on the Implementation of the Principles of the Planned Urbanization: A UN-Habitat Approach to Sustainable Urbanization.

Figure 1: The three-pronged approach as a coordinated process (left) and as an integrated process (right)

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1. **Adequate space for streets and an efficient street network:** The street network should occupy at least 30 per cent of the land, with at least 18 km of street length per km²
2. **High density:** The density should be at least 15,000 people per km²; that is 150 people per hectare, or 61 people per acre.
3. **Mixed land-use:** In any neighbourhood, at least 40 per cent of total floor space⁴ should be allocated for economic use.
4. **Social mix:** There should be an availability of houses in different price ranges and tenures in any given neighbourhood to accommodate different incomes; 20 to 50 per cent of the residential floor area should be for low-cost housing; and each tenure type should be not more than 50 per cent of the total.
5. **Limited land-use specialization:** Single function blocks or neighbourhoods should be limited, and should cover less than 10 per cent of any neighbourhood.⁵

These principles contribute to creating cities and neighbourhoods that have a vibrant street life and are walkable and affordable for residents. They lay the groundwork for addressing issues of accessibility,

4. In urban planning, 'floor space' signifies built-up space and built-up surfaces. An urban area can include a built-up surface of several floors, as it is not necessarily ground/ land space.

5. For more information about these five principles, please see UN-Habitat (2015) 'A New Strategy for Sustainable Neighbourhood Planning: Five Principles.'

productivity, and inclusion. Although they require careful discussion in each context, they provide a good reference framework to bring content and outcomes of planning into the discussion and to promote reflection on how planning links and supports the achievement of broader goals in terms of inclusion, reduction of poverty, and environmental sustainability.

These principles are reaffirmed in the New Urban Agenda, which focuses on sustainable urbanization as key to sustainable development, and presents a roadmap for 20 years (2016-2036), with a strong focus on urban planning and design, and a recognition of the roles of public space as well as city planning and design approaches. UN-Habitat maintains that urbanization, as an unavoidable trend, should be viewed as a pathway for improved and more equitable development, rather than simply as a challenge.

With urban planning as a clear, critical tool for urban development and spatial integration, and with the mandate to achieve the SDGs and to implement the New Urban Agenda, the substantive sub-programmes within UN-Habitat charged with this work have been deeply involved in creating normative products. These products were then applied by UN-Habitat, in a pragmatic way, both at headquarters and in regional and country offices.

The scope of this publication, 'Urban Planning Responses in Post-Crisis Contexts,' is limited to one unit – the City Planning Extension and Design Unit (CPEDU),⁶

6. While UN-Habitat has changed its organizational structure as of 2020, this publication will refer to the organizational structure during the period discussed

Box 1: Typologies of Lab projects

The Lab provides various services, projects, and forms of support. These include:

- Advisory and technical services on the integration of urban planning, urban economy and finance, and urban legislation (the three-pronged approach) and related analyses and programmes;
- Conceptual plans and visions, scenario building, urban planning and design plans (on various urban scales, detailed and/or at the project level); urban and city profiling; city-wide strategic plans; urban extension, infill, regeneration, and transformation plans; climate change planning for urban resilience; statutory plans (including strategic, land use, detailed plans, etc.);
- Normative urban design recommendations;
- Support in implementing the following tools: Plan Self-Assessment Tool, SDG Project Assessment Tool, Urban Legislation Assessment, Planning Law Assessment Framework, Rapid Financial Assessment Methodology, Housing Assessments, feasibility studies, environmental impact assessments, and urban perimeters;
- Leading and providing input on participatory processes, including rapid planning studios, expert group meetings, and utilizing the Incremental Participatory Planning Methodology (which are also applied for the above-listed plans and processes);
- Providing spatial and planning capacity development to communities, governments, and local planners (including via the establishment and support to local Labs run by partners).

within the Urban Planning and Design Branch – which acted as the custodian of the planning side of the three-pronged approach and as the convener of the legal and financial sides when planning processes were taking place.

The Unit focused on improving policies, plans, and designs for compact, integrated and connected, socially inclusive cities and neighbourhoods adopted by partner cities. This included improving policy dialogue at the local, national, and global levels on innovations in urban planning and design by city authorities; as well as strengthening the capacity of city institutions to develop plans and designs for compact, socially inclusive, integrated, and connected cities and neighbourhoods. It also integrated the issues of gender equality, youth inclusion, human rights, and climate change throughout its work. The Unit hosted the Global Public Space Programme⁷ and the Urban Planning and Design Lab, and utilized capacity building as an integrated component of all the operational and normative activities in the planning area. From Expert Group Meetings to participatory planning

and design processes in field projects, to training and close supervision, CPEDU focused largely on linking knowledge to practice. Promoting urban planning as a tool for sustainable urbanization has included developing reference publications such as ‘Urban Planning for City Leaders,’ ‘Analysis of Practices on Urban Planned City Extensions,’ and ‘Five Principles of Sustainable Neighbourhood Planning,’ which underpin much of the work discussed in this report.

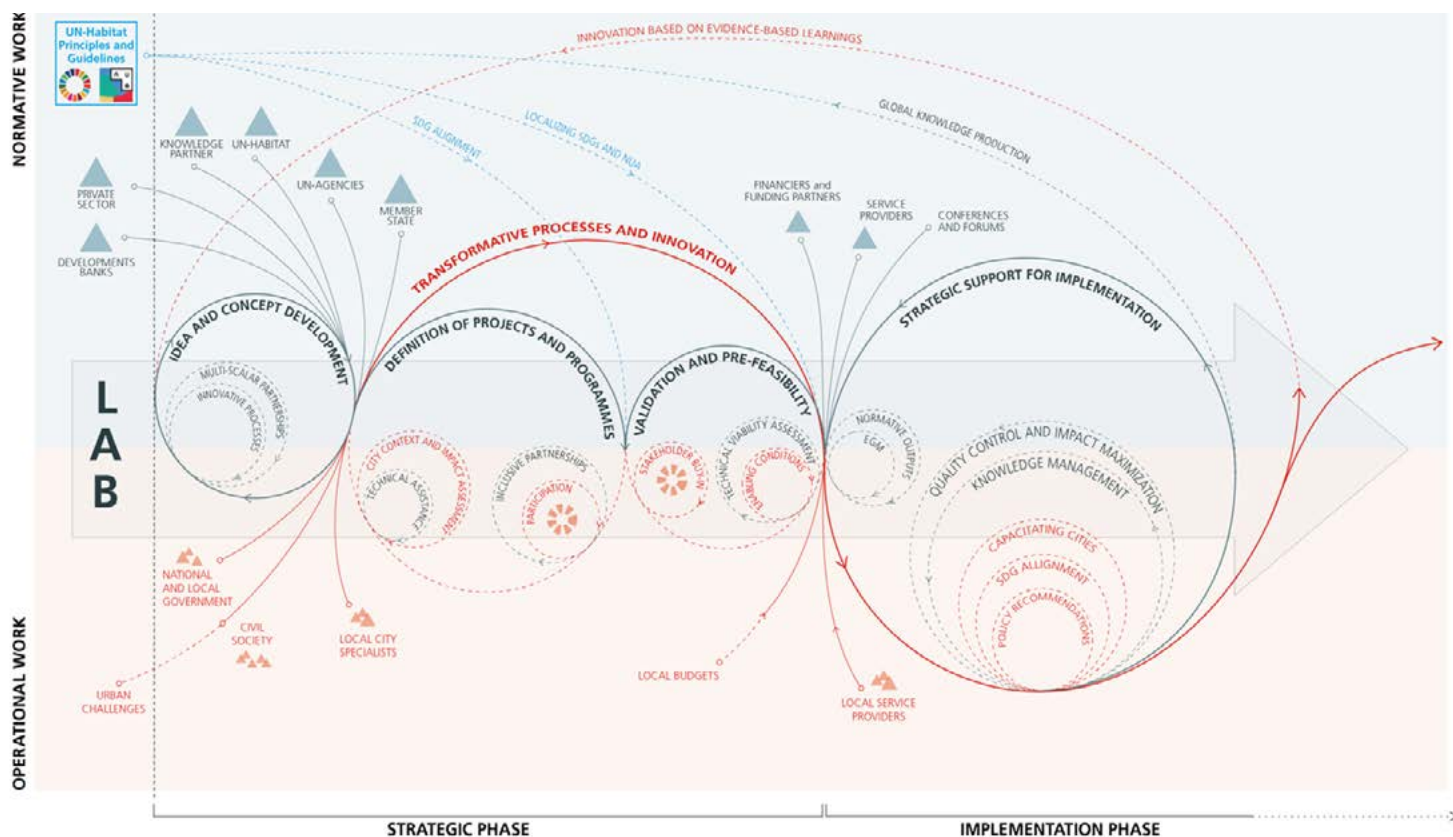
II. The Urban Planning and Design Lab

The Urban Planning and Design Lab (henceforth ‘the Lab’) is a UN-Habitat initiative, and its work is the focus of this publication. Central to its work are the SDGs and the New Urban Agenda, which promote urban planning and management as core instruments of sustainable urbanization and which highlight the critical importance of the urban form and urban patterns in ensuring sustainable development. The Lab was established originally as a part of CPEDU in 2014 as a strategic mechanism to translate the three-pronged approach into concrete action. It opened the door for new collaborations, utilizing the normative work available within UN-Habitat and bringing together in-house expertise to contribute to the definition, design, coordination, and implementation of urban projects. It has been doing so in collaboration with local authorities, providing urban planning advisory services to address a range of issues, from responding to emergencies, to revising and supporting institutionalized processes, to introducing dynamic planning principles in locations that

in this publication: 2014-2019. In addition to SDG 11 (and especially 11.7) and the New Urban Agenda, the mandate of CPEDU was rooted in key resolutions from UN-Habitat’s Governing Council related to urban planning, including Resolution 24/5: Pursuing Sustainable Development through National Urban Policies (which stressed the need to work on planned city extensions); Resolution 24/6: Adopting the International Guidelines on Urban and Territorial Planning (which provide guidance on planning at national, regional, and local levels); and Resolution 25/L.6 (which endorses the creation of a Network of Urban Planning and Design Labs).

7. Launched in 2012, UN-Habitat’s Global Public Space Programme (located within CPEDU) promotes the integration of accessible public space, which is recognized as a vital ingredient to promote safety, community cohesion and inclusion, quality of life, economic empowerment, and political engagement, among other vital benefits for a successful city. The Global Public Space Programme furthers the achievement of SDG 11 and, specifically, target 11.7, the UN-Habitat Governing Council Resolutions, and the New Urban Agenda. The Programme works in collaboration with governments and partners to promote UN-Habitat’s Charter of Public Space and to implement public space projects worldwide.

Figure 2: The iterative intervention cycle of the Lab, as illustrated by an example from the Global Future Cities Programme



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lack planning capacity and institutions.⁸ It was organized to promptly respond to urbanization challenges, with a focus on iterative implementation.

There is a clear linkage between urban planning policies at the national, regional, and local levels and the implementation of projects in cities, which gives the Lab, as part of UN-Habitat – which serves UN Member States while managing a local mandate – an ideal perspective to provide these services based in normative best practices and local contexts. Urban planning is a constantly evolving field, and, accordingly, the Lab seeks to continuously adapt and to learn by doing.

The Lab has found that planning and design processes are most successful and engaging when they are iterative, including activities (such as analyses, data collection, thematic explorations, participation and workshops, and syntheses) which are repeated throughout the process across different thematic areas and different scales of intervention. Data is the input for the iterative design process, which is interpreted and analysed, and then serves as the basis for the solutions developed. Possibilities and opportunities for development are mapped out throughout

the process, using tools such as scenarios and models. Any approved document is approached as flexible and dynamic in terms of monitoring, updating, and revising the next levels of detailed area plans. A planning process does not end with an approved plan; it only enters a next stage of detail and repeated iteration. This ensures that the plan is fit-for-purpose, responding flexibly to realities on the ground, and keeps the key stakeholders engaged and informed. In post-crisis contexts, the Lab has found that it particularly helpful to have a continued and trusted presence on the ground to respond to these realities, ensuring that regular meetings are held with all relevant actors to verify data and ensure continued ownership and buy-in from the communities involved to ensure effective iterations.

In the context of the UN System, the Lab takes an unusually agile, fast, and innovative approach; as the name Lab' denotes, it acts as a somewhat independent entity within UN-Habitat to operate with new dynamics and to experiment in effective responses. This approach allows for back-and-forth and discussion with other actors and the stakeholders, so several options may be put together and presented, baselines agreed, and planning processes allowed to move forward rapidly. In turn, this encourages more synergies and coordination through presenting multiple spatial propositions to accelerate discussions and

8. UN-Habitat (2016). Urban Planning and Design Labs: Tools for integrated and participatory urban planning. Quito, Habitat III Version 1.0, p. iv.



Rapid planning studio sessions facilitated by the Lab in Saudi Arabia © UN-Habitat

next steps.

Key to this approach is UN-Habitat's established infrastructure of country offices and its long-term commitments with Member States and local governments, which provide access to the political leadership that must be engaged to drive sustainable, locally owned change.⁹ The country offices and regional offices also provide a wealth of knowledge built up through producing country reports and surveys, and through maintaining continuous links to different levels of government and continuous awareness of security and other realities on the ground. As a mechanism to support UN-Habitat's responses to urgent and diverse needs, as well as to longer term demands, the Lab has operated in several ways, including taking the lead in a process, providing technical services within UN-Habitat, and collaborating through integrated UN programming and in collaboration with UN-Habitat's country and regional teams as well as the UN Country Teams.

Over the 2014-19 period, the Lab has fulfilled 3 key functions: 1. Providing urban planning services, producing quality plans, and supporting planning processes; 2. Supporting integrated programming, working across different fields and providing tools for the integration; 3.

9. Ibid, p. 16.

Innovation: exploring complex contexts and the role of planning in those contexts.

A. Tailoring Lab approaches for post-crisis and difficult contexts

The Lab has worked to bring its principles, tools, and services to various challenging and post-crisis contexts. Through its engagement in post-crisis contexts, the Lab has translated these services to make strategic impacts, such as promoting integrated programming tools and influencing humanitarian actors to embed a spatial approach.

In the post-crisis context analysed in this report, protocol, engineering, management, reporting, and political boundaries control much of the environment. Within this deeply institutionalized yet urgent reality, coordination and synergies can be difficult to organize among crucial actors. The Lab therefore has pursued an area-based approach to support the well-established cluster system or other multi-actor response mechanisms to identify overlapping and contradicting interests and to complement the cluster approach, creating cross-sectoral synergies and providing logical guidance for targeting interventions by donors and, in the future, informing any capital investment planning.

The urban planning process generally includes the steps of assessment, spatial analyses, profiling, participatory

engagement, establishing visions and plans, various forms of planning engagements (such as rapid assessment and planning workshops, planning charrettes, Expert Group Meetings, etc.), consultations, prioritization, establishing monitoring mechanisms, and implementation. However, while planning is often considered a linear process, in fact it is not: many of the steps listed above are carried out in multiple phases of the planning process, repeated and refined until the next steps are agreed upon and clear. Approaching this process in an iterative manner allows the Lab to best tailor its work to every context and meet the changing needs of the space and population (see Box 3 on the 'Iterative planning cycle' in Strategy 1).

In post-crisis contexts, there is a need to find new ways of integrating urban planning and spatial coordination into humanitarian approaches, and the Lab provides the space to experiment and to introduce new partnerships and multi-disciplinary teams early in the process to challenge 'business-as-usual' approaches in cities to deliver innovative solutions. Many urban plans are created with the focus of creating a perfect plan, but are then not implemented or followed-up. The Lab promotes feasibility and implementation from the onset, aiming to utilize its expertise and tools to bring catalytic changes to the ground.

As discussed previously, the well-established infrastructure of country offices and project offices greatly facilitates access to local knowledge and to local leadership. This structure allows the Lab to contribute spatial and planning expertise in challenging contexts that feature political instability, such as areas of conflict, post-conflict, and post-disaster, and politically sensitive areas that experience migration, informality, and social segregation.¹⁰

In certain post-crisis scenarios, the Lab has collaborated with a UN-Habitat country office, which provides local contextual expertise and the historical background and linkages with the local government and structures necessary for UN-Habitat to lead the process fully. The case study on Canaan, Haiti, (Appendix A) serves as an example of this. The Lab can also serve as an entry point for UN-Habitat in countries in which it was not previously active. Here, the Lab provides urban planning expertise and contributes tools, approaches, and normative resources to support and complement humanitarian and recovery actors. The case study on Cox's Bazar, Bangladesh (Appendix D) illustrates the value that the Lab adds to humanitarian coordination contexts, while the case study on Kalobeyei, Kenya (Appendix C) demonstrates the value of a locally integrated, long-term planning perspective.

Through collaboration with UN-Habitat's country and

regional offices and other substantive programmes, the Lab has been working in a number of post-crisis contexts, including Somalia (Appendix B), Afghanistan, and Gaza; responding to the effects of crisis vis-à-vis refugee influxes in Kenya and Bangladesh (appendices C and D); and post-disaster planning in Haiti (Appendix A) and in Ecuador.¹¹ These are the experiences on which the strategies in the core publication are based.

Following the restructuring of UN-Habitat in early 2020, the Urban Planning and Design Lab is currently operating within the new UN-Habitat structure as a part of the Planning, Finance, and Economy Section within the Urban Practices Branch. UN-Habitat and the Lab continue to support governments, UN entities, and partners in post-crisis contexts around the world. At the time of writing, there is discussion on where the Lab should ultimately be located in the future to enable the potential of its approach to best serve the new structure and to best perform its different roles as an integrative and response facility at the intersection of UN-Habitat's normative, technical support, and innovation work.

10. However, where there are no governance structures that can ensure the implementation of plans and operationalized projects, the Lab's impact can be compromised unless the capacity of institutions is also prioritized. Source: Ibid.

11. The Lab responded to Ecuador's earthquake of 2016, providing assistance to the national government and to six teams of experts that developed reconstruction plans for 20 affected cities and towns along the coastal area.



Children in Kalobeyi enjoying swing sets in one of the public spaces © UN-Habitat

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UN-Habitat has worked for decades to bring spatial and long-term planning into post-crisis scenarios. 'Urban Planning Responses in Post-Crisis Contexts' highlights strategies and lessons from UN-Habitat's Urban Planning and Design Lab during the period of UN-Habitat's 2014-2019 Strategic Plan. It endeavours to guide practitioners and to increase understanding between the humanitarian and urban planning communities, and discusses the role that urban planning plays in developing holistic post-crisis responses.

The publication outlines the ten different strategies that the Lab has developed to provide effective planning support and tools: (1) putting special emphasis on the planning process; (2) using urban planning as a coordinating tool among actors; (3) quickly structuring an orderly settlement of land for effective service delivery and management; (4) setting the area on a trajectory of long-term sustainability; (5) using a principles-based approach; (6) including and consulting to foster social cohesion and ownership; (7) planning within the larger geography; (8) connecting and aligning with the local government perspective and role; (9) identifying and guiding investments strategically; and (10) creating the plan as a management tool for actors and local governments. It further explores the three typologies

of support that the Lab has found to be the most useful in post-crisis contexts: (A) supporting settlement profiling; (B) supporting participatory decision-making; and (C) supporting institutional capacity building.

While each post-crisis response must be carefully tailored to the specific context, and sweeping recommendations cannot be applied across the board, these strategies and support areas are explored in this publication to provide guidance and support to practitioners. The appendices include four detailed case studies that illustrate the applicability of these points in various contexts: Appendix A: Canaan, Haiti; Appendix B: Mogadishu, Bossaso, and Gabiley, Somalia; Appendix C: Kalobeyei, Kenya; and Appendix D: Cox's Bazar, Bangladesh. Appendix E provides further background on the relevant global frameworks and evolving perspectives related to the humanitarian-development nexus and the UN perspective, and Appendix F provides background information on urban planning at UN-Habitat and its Urban Planning and Design Lab.

To learn more about UN-Habitat's work in this area, or the Urban Planning and Design Lab, please write to UNHabitat-GSD@un.org to be connected to the appropriate team member.

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