



# RISE-UP: Resilient Settlements for the Urban Poor



## Rationale

One of the greatest challenges for climate change adaptation is how to build resilience for the close to one billion urban dwellers who live in informal settlements today. Despite all efforts, the urban reality in the developing world is still largely defined by informal settlements.

In parallel, climate change is progressing, and impacts on cities are felt ever more severely everywhere. The impacts of climate change, such as floods, heatwaves, droughts, landslides, storms, coastal erosion and inundation, and sea surges, are affecting cities around the world.

The expected climatic changes in means (temperature, precipitation and sea-level rise), extremes (extreme rainfall, drought, heat- or cold-waves) and changes in exposure resulting in population movements and bio-climatic changes, will have particularly severe impacts on informal settlements.

As the world's leading climate scientists from the IPCC state in their 2nd Assessment Report, Climate Change will negatively impact people living in informal settlements with "expected damages to homes, businesses, infrastructure and facilities; disruption of livelihoods and food security; reduced tenure security; higher food, water and energy prices and increased disease, morbidity and mortality".<sup>1</sup>

This is underlined by findings of the IPCC Special Report on Global Warming of 1.5°C which states that "[t]he extent of risk depends on human vulnerability and the effectiveness of adaptation for informal settlements and infrastructure sectors".<sup>2</sup>

The heightened vulnerability is due to three underlying factors:

- (i) the physical location is often on fragile sites such as steep slopes, coastlines or floodplains;
- (ii) the socio-economic characteristics of the residents, such as high levels of poverty and illiteracy mean that these communities have low capacity to deal with climate impacts; and
- (iii) the political and institutional marginalization of these communities, stemming from non-recognition of informal settlements as part of the larger city fabric, often results in the absence of meaningful investments in risk-reducing services and infrastructure.

The local and national finance gap is compounded by the fact that also globally, only around 5-8% of Climate Finance is going towards adaptation, a fraction of what is needed in the rapidly growing cities.

<sup>1</sup> Urban Climate Change Research Network (UCCRN) Second Assessment Report on Climate Change and Cities (ARC3.2), Chapter 11

<sup>2</sup> IPCC 2018



## Objective

In support of our new Strategic Plan 2020 - 2023, the objective of this Flagship is to **mobilize and coordinate large scale investments** for urban adaptation and resilience-building **into the global hotspots of vulnerability**, and **solidify a new coalition** of international to local development partners, climate finance institutions, planning and infrastructure firms, non-government actors and scientists that address these challenges in a **new way of working together**

These pro-poor investments will be prepared in close collaboration with local residents, informed by real-life data and sound planning practices, supported by local, national and international practitioners. The flagship will be instrumental in addressing two paradoxes – that only **5-8% of climate finance is going into adaption<sup>3</sup> and that only around 10% of climate fund's investments reach the local level<sup>4</sup>**.

Addressing these will be transformative for the urban poor, fortifying marginalized settlements against the dangers of climate change, and boosting the sustainable development efforts of partner cities and nations alike.

Building on lessons gleaned from past programmes, a new coalition of partners to the Flagship will work together in a new way towards achieving results on the ground. In order to enhance the climate resilience of the urban poor, the flagship programme will

- (i) identify and profile 'hotspots',

- (ii) identify the particular vulnerabilities of target groups, including women, children and youth, older persons and those with disability within a typology of risks and solutions,
- (iii) integrate and empower the urban poor through community-based adaptation and livelihoods programmes, enhancing the adaptive capacity of urban poor communities and ensuring non-discrimination,
- (iv) incorporate community-level efforts into broader city-wide planning processes and in climate resilience plans,
- (v) based on these plans, identify and develop large scale-investment projects applying international Human Rights law and standards, sustainability criteria and standards to infrastructure development and human settlements upgrading, and also considering 'green infrastructure' approaches to building resilience; and
- (vi) facilitate integration of climate resilience of the urban poor into Nationally Determined Contributions (NDCs) and National Adaptation Plans (NAPs), as well as other sectoral or integrated plans and policies.

<sup>3</sup> Climate Policy Initiative, 2018: Understanding and Increasing Finance for Climate Adaptation in Developing Countries.

<sup>4</sup> IIED, 2017: Delivering real change: getting international climate finance to the local level.



## Outcomes, initiatives and results

The RISE UP Flagship will improve the socio-economic prosperity of urban poor communities by reducing climate disruptions to livelihoods, protecting them from the monetary and social costs of climate disasters, and improving service provision.

Therefore achieving the effective adaptation of a significant proportion of the estimated 600 Million climate-vulnerable urban poor, together with the other flagship programmes and in collaboration with other UN Agencies, as well as state and non-state actors.

UN-Habitat will achieve this objective through mobilization and coordination of large infrastructure investments, improved livelihoods, empowerment and capacity development, and the integration into larger city-wide and national frameworks. In particular, the Flagship will realize the following outcomes:

- Outcome 1** Pro-poor climate action is mainstreamed in national and city climate policies, plans and commitments, and into the priorities and strategies of important parts of the global climate action & finance architecture respecting fundamental rights
- Outcome 2** Increased investment and financing for inclusive pro-poor adaptation projects in urban vulnerability hotspots, with a specific focus on small and medium sized cities in developing and transition countries, LDCs and SIDS.
- Outcome 3** Enhanced capacity among all levels of government and core partners to effectively coordinate action towards building the resilience of the urban poor, and to access and mobilize investments.

**Outcome 1 is implemented through a variety of initiatives, including:**

- Engagement in the UNFCCC process, in the framework of the City Climate Finance Leadership Alliance and related fora for the inclusion of pro-poor consideration in climate policy and finance architecture, such as the International Climate Funds, Multilateral Climate Finance;
- Inclusion of references to informal settlements and pro-poor climate action in national frameworks and supporting policies, whether National Urban Policies, and National Climate Policies, Plans & Commitments (i.e. NDCs, NAP) to create the pre-conditions for political attention and financial investment;

***Through the New way of working together partnering with diverse actors, communities and their organizations such as SDI (Slum Dwellers International), will be at the center of the process, from profiling to investment.***

- Identify and profile vulnerability hotspots, data collection, capturing knowledge and science for improved policy and planning, and project development with appropriate disaggregation for target groups such as women, children and youth, older persons, those with a disability and, where relevant vulnerable local individuals and communities. Establishment of a public knowledge center on hotspots with key knowledge and scientific partners;
- Improved statutory adaptation and resilience planning linking the city and community scale for identification of transformative investments in risk-reducing infrastructure, services and livelihoods, based on comprehensive vulnerability and risk assessments; developed through extensive stakeholder engagement; and including both adaptation and mitigation strategies and actions.

**Outcome 2 is implemented through a variety of initiatives, including:**

- Based on city and community plans and identified solutions, develop concrete adaptation projects with appropriate non-discriminatory protections for existing and prospective residents for both public and private climate investments, to help improve knowledge on, and best practices of, adaptation finance, and pilot mobilization of local adaptation finance through public and private investors.
- Support innovative financing schemes supporting affordable climate resilient individual and public housing and infrastructure (water, energy, waste management, streets and drainage, etc.), particularly targeted at the urban poor with the aim of achieving increasing standard of living, and developing context-specific financing models to scale up endogenous resources for the same
- Development of normative guidance, standards, principles and tools - including robust pro-poor investment principles that respect international law and standards, best practice on the adaptation investments of national and local governments, development partners and investors.
- Support tracking and monitoring on pro-poor adaptation finance to cities, as part of the City Climate Finance Leadership Alliance (CCFLA) and others;

**Outcome 3 is implemented through a variety of initiatives, including:**

- Engagement in international multi-partner initiatives, with the aim of advocating for an informal settlements' focus, and joint/ coordinated action;

- Develop and deliver modules, methodologies and training courses for building capacity of national and local governments to integrate pro-poor and non-discriminatory climate action in informal settlements into national and city climate and urban initiatives;
- Support private firms and investors with data and knowledge on opportunities for adaptation in informal settlements, including appropriate disaggregation of the needs of target groups, to support public-private partnerships for planning and investments.

**The SDG aligned impact indicators are:**

**Community Level:**

- Reduced number of deaths, missing persons and directly affected persons in informal settlements and vulnerable areas in participating cities (SDG 13.1.1)
- Increased proportion of population living in households with access to basic services (SDG 1.4.1)

**City Level:**

- Proportion of identified hotspots cities that adopt and implement local disaster risk reduction strategies [...] (SDG 11.B.1)
- Increased number of local governments with adopted climate action and DRR strategies and plans, with a component explicitly focused on informal settlements (SDG 13.1.2)

**National level**

- Increased number of countries with national strategies with a component explicitly focused on informal settlements (SDG 13.1.2)

**Global Level:**

- Mobilized amount of USD per year for climate adaptation for the urban poor starting in 2020 accountable towards the \$100 billion commitment (13.A.1)



## UN-Habitat's comparative advantage

UN-Habitat is uniquely positioned to coordinate a global coalition of public and private sector partners at the global, national, city and community level and to mobilize all towards action in and for informal communities.

Since 2016, the agency is piloting such an integrated approach in five countries, adapted and developed tools plus methodologies, as well as formed strong partnerships for action.

The operational concept has been proven to be of high-impact, able to leverage significant partner activities and amounts of climate co-funding for investment in risk-reducing infrastructure and community-based adaptation.

UN-Habitat's unique value proposition will consist of:

1. Experience identifying urban challenges and priorities for pro-poor climate adaptation;
2. Supporting governments and investors to collect and make appropriate use of data and methodologies;
3. Bridging city issues to global debates and global policy to local city actions; harmonizing and synergizing pro-poor climate action along the vertical continuum – global – national - local - community level;
4. Our proven capacity to support national governments shape policies and frameworks, and help cities improve plans and strategies;
5. Track record of developing impactful climate adaptation projects at city and community level to mobilize climate finance;
6. Our human rights-based approach and non-negotiable values, norms and standards on human rights, inclusion, our capacity-building centered development approach, and our unique capacity to assure environmental and social safeguards everywhere.



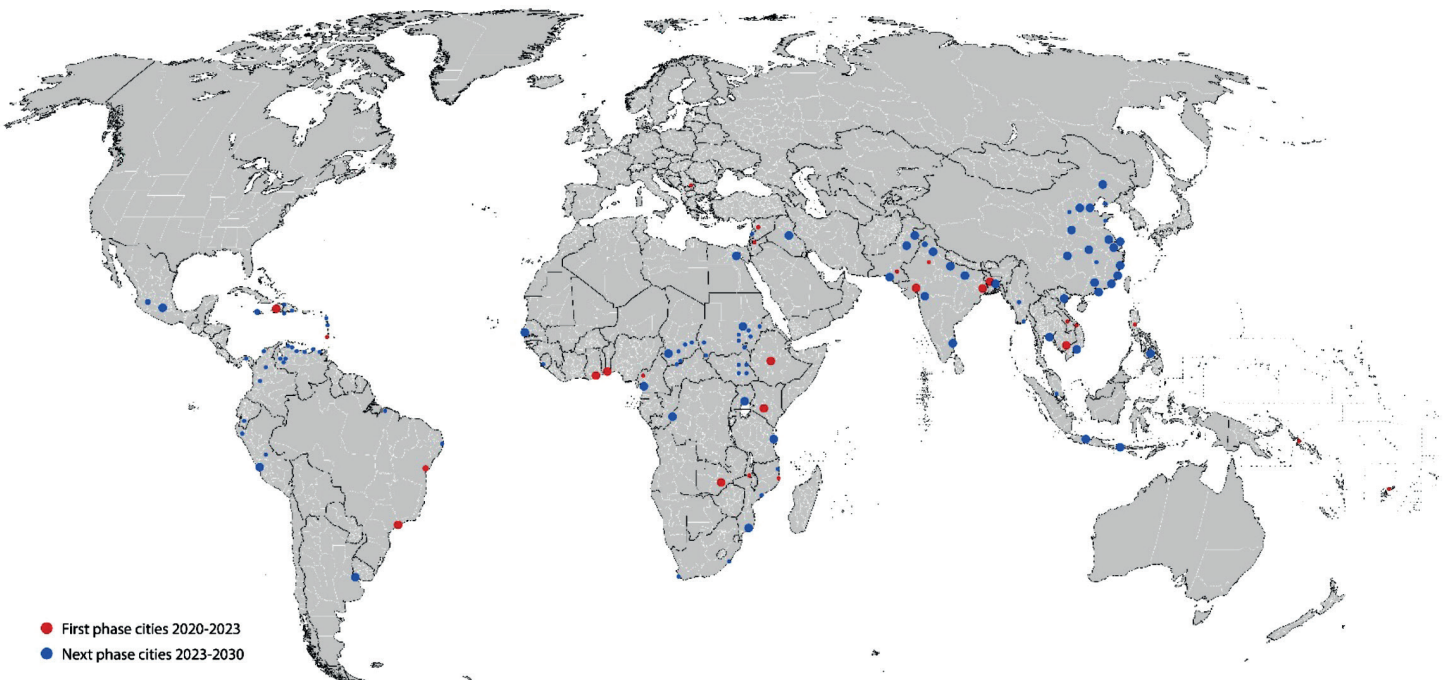
Consulting community members in building the climate resilience of informal settlements in Fiji @Bernhard Barth



## Preliminary proposed locations

Potential locations for the roll-out of the flagship programme have been identified in over 100 cities in 54 countries.

The proposed first phase until 2023 is targeting 30 cities in 26 countries, with phase two (2023-2030) targeting over 100 cities.





## Partnerships

Through the **New way of working together** partnering with diverse actors, communities and their organizations such as SDI (Slum Dwellers International), will be at the center of the process, from profiling to investment.

These bottom-up and top-down information flows will be supported by academia, like The University of Twente /ITC, Cardiff University and UCCRN. Urban planning firms such as AECOM, Arcadis and ARUP will help develop sustainable climate risk-informed urban solutions, tailor-made for the urban poor but also coherent with the overall city plans.

Other partners include UN Office for Disaster Risk Reduction, global networks of cities (ICLEI, C40, UCLG, Cities Alliance)

and planners (ISOCARP), non-governmental organizations (WRI, IIED, Adrienne Arsht-Rockefeller Foundation Resilience Center), and several universities.

Partnering with Climate Investors, both public (e.g. GCF, Adaptation Fund) and private will allow experience and trust building among the financial community for pro-poor investments in such fragile contexts.

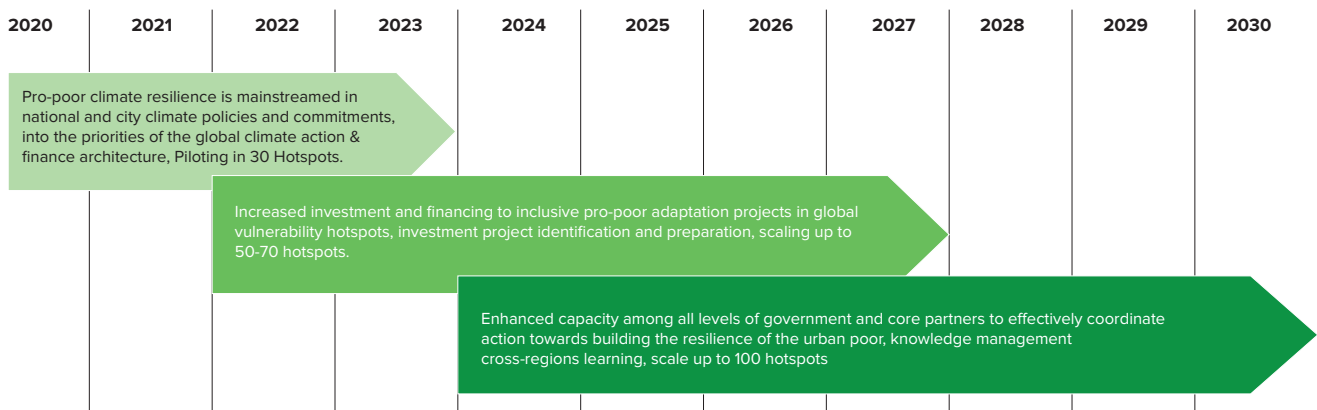
There is an opportunity for UN-Habitat to take a convening role and bring many of these actors together in a coordinated way that could be further strengthened by the establishment of a pro-poor adaptation action group under the City Climate Finance Leadership Alliance.



## Phasing and milestones

This flagship programme is intended to run until 2030 and provide an overall umbrella for operational and normative work. It will include a variety of pilot projects, the coordination mechanism, development of normative tools, technical advisory services, a project development and strong advocacy.

After profiling and planning in a first set of 10 cities in year 1 and 2 a further 10 cities will be added and, actions will be scaled-up to 30 until the end of UN-Habitat's strategic plan 2020-2023. Until 2030, successively the Flagship will scale-up to reach the most vulnerable 100 urban hotspots globally.





## Budget

Given the scope of the programme (global, regional, national and local) and the range of activities, the flagship programme is estimated at \$75million USD – 60 million of this funding for in-country initiatives - over a period of 10 years.

UN-Habitat will drive the development, implementation and monitoring of the programme in conjunction with a wide range of credible and experienced partners. The implementation of all initiatives leading to the achievement of Outcome 1 is estimated at \$20 million USD, for Outcome 2 at \$45 million USD, and for Outcome 3 at \$10 million USD.

Experience mobilizing climate finance with the Adaptation Fund and other financial mechanisms have in just four years resulted in a preliminary pipeline of investments totaling over 100 Million USD, underscoring the huge potential for leverage – but also underscore the necessity to take a common coordinate approach at the national-, city, and community-level to achieve these results and prepare high-quality projects that attract third party funding. Based on current estimations and past experiences of mobilizing climate finance, it is expected that this Flagship will leverage significant amounts of co-funding of approximately 1 Billion USD.

DOMAIN OF CHANGE III

## Strengthened climate action and improved urban environment

UN-Habitat addresses the resilience, adaptation, and mitigation actions for the development of sustainable cities, through curbing climate change impacts, as well as creating new economic opportunities for the improvement of the health of human and natural systems in cities.

A better quality of life for  
all in an urbanizing world

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