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Resilient Urban
Development vs.
Right to the City



Editorial

Today, more people are living in urban areas than ever before, and finding adequate ways to manage this growth is proving a challenge. Concepts such as "resilient urban development" and "right to the city" are examples in response to the challenges that our cities are facing. Resilience, as a positive concept, focuses on the capacities of cities and their institutions. These capacities are essential factors for making cities capable of dealing with challenges that arise not only from rapid urban growth, but also from possible sudden shocks disrupting their natural and social systems. In turn, the "right to the city" is a desperate call for social justice, although justice usually falls by the wayside when it comes to ensuring affordable housing and basic urban services in the context of rapid urbanisation.

This issue of TRIALOG highlights selected contributions presented at the June 2018 meeting of the annual TRIALOG conference held in Dortmund, this time with the theme and title: Resilient Urban Development Versus the Right to the City? Actors, Risks and Conflicts in the Light of International Agreements (SDG and NUA). What Can the Academia Contribute? Obviously, the conference could not find a final answer, but it was able to contribute valuable cases and ideas to the broad challenge. The articles in this issue discuss these from different perspectives.

The first four articles underscore bottom-up resilience building and risk management. **Maren Wesselow**, with her article "In town, everyone is on their own", discusses the challenges that urban farmers in Dar es Salaam face as they struggle to build their risk management capacity. The subsequent two articles, one by **Páez, Díaz, Lizarralde, Labbé and Herazo**, and the other by **Muñoz, Páez, Lizarralde, Labbé and Herazo**, discuss how female-headed households mitigate and adapt to disaster risk in Salgar, Colombia and, respectively, water scarcity on San Andres island. Highlighting the traditional role of women, the authors argue the effectiveness of these strategies for resilience building on the basis that they are measures founded on local needs and capacities in managing risk and water scarcity. **Dima Dayoub**, in a completely different context, discusses resilience as an inherent character of cities embedded in the survival instincts of people. With that she underlines lessons from war-torn Aleppo with the aim of building the capacity for post-war resilient urbanisation.

In contrast to the former articles, **Wiriya Puntub** and **Juan Du** discuss resilience building from a risk-governance perspective. Using the case of informal settlements in Metro Manila, they highlight gaps in the national and regional policy frameworks, and suggest measures that should be taken into consideration to fill the gaps in the policy frameworks and urban planning. **Limbumba, Mkupasi and Herslund** present lessons learnt from a design charrette process for stormwater management in an informal settlement in Dar es Salaam. The authors discuss non-structural stormwater management measures, and argue the effectiveness of such an approach, in contrast to constructing a drainage system, to build flood resilience in informal settlements.

The articles of **Marielly Casanova** and **Laura von Puttkamer** put the focus on the concept of the "right to the city". **Von Puttkamer** discusses strategies of residents in Old Fadama (Accra) to resist eviction, and how they protect their right through proactive actions that have changed public opinion about the residents of informal settlements and influenced government decisions on their settlement. At the same time, **Casanova** discusses the issue of the right to the city from a social-production-of-habitat perspective. Based on the cases of Torre de David in Caracas and Monteagudo in Buenos Aires, she argues that the right to the city, with respect to affordable housing, can only be ensured if the production of habitat also empowers residents to organise themselves and access livelihood opportunities.

Simone Sandholz and **Mia Wannowitz** discuss how critical infrastructure influences social resilience. Using the case of the Gorkha earthquake in Nepal, the authors argue that a socio-technical approach is an essential factor to ensure the planning of resilient critical infrastructure.

Heute leben mehr Menschen in städtischen Gebieten als jemals zuvor. Es ist eine Herausforderung, Wege zu finden, um dieses Wachstum zu bewältigen. "Resilient Urban Development" und "Right to the City" sind Beispiele für Konzepte, um auf diese Herausforderungen zu reagieren. Resilienz als Konzept konzentriert sich auf die Kapazitäten der Städte und ihrer Institutionen, damit Städte Herausforderungen meistern können, die sich nicht nur aus dem Wachstum der Städte ergeben, sondern auch aus plötzlichen Erschütterungen, die ihre natürlichen und sozialen Systeme stören. Das "Recht auf Stadt" ist ein verzweifelter Ruf nach sozialer Gerechtigkeit, die in der Regel auf der Strecke bleibt, wenn es im Kontext einer schnellen Urbanisierung um die Schaffung bezahlbaren Wohnraums und grundlegender städtischer Dienstleistungen geht.

In dieser Ausgabe werden ausgewählte Beiträge vorgestellt, die auf der Jahrestagung von TRIALOG mit dem Titel Resilient Urban Development Versus the Right to the City? Actors, Risks and Conflicts in the Light of International Agreements (SDG and NUA). What Can the Academia Contribute? im Juni 2018 in Dortmund präsentiert wurden. Die Konferenz konnte keine endgültige Antwort finden, aber wertvolle Beispiele und Ideen beisteuern und die Themen aus verschiedenen Perspektiven behandeln. Die ersten vier Artikel unterstreichen den Aufbau von Bottom-up-Resilienz und Risikomanagement.

Maren Wesselow erläutert in ihrem Artikel "In der Stadt ist jeder auf sich allein gestellt" die Herausforderungen der Bewohner in Daressalam, die städtische Landwirtschaft betreiben, beim Ausbau ihrer Risikomanagementkapazitäten. Die folgenden beiden Artikel von **Páez, Díaz, Lizarralde, Labbé, Herazo** und von **Muñoz, Páez, Lizarralde, Labbé, Herazo** behandeln, wie Haushalte mit weiblichem Oberhaupt das Katastrophenrisiko in Salgar, Kolumbien und die Wasserknappheit auf der Karibikinsel San Andres mindern. Die Autoren heben die traditionelle Rolle der Frauen hervor und argumentieren, dass Strategien zur Stärkung der Widerstandsfähigkeit wirksam sind, wenn sie auf den lokalen Bedürfnissen und Kapazitäten im Umgang mit Risiken und Wasserknappheit beruhen. **Dima Dayoub** diskutiert idiskutiert in einem anderen Kontext die Resilienz als einen inhärenten Charakter von Städten, der in den Überlebensinstinkt der Menschen eingebettet ist. Damit unterstreicht sie die Lehren aus dem vom Krieg zerrissenen Aleppo, um die Kapazitäten für eine widerstandsfähige Urbanisierung nach dem Krieg auszubauen.

Im Gegensatz zu den Artikeln zuvor diskutieren **Wiriya Puntub** und **Juan Du** den Aufbau von Resilienz als Risikosteuerung. Anhand informeller Siedlungen in Metro Manila zeigen sie Lücken in den nationalen und regionalen politischen Rahmenbedingungen auf und schlagen Maßnahmen vor, um diese in den Institutionen zu schließen. **Limbumba, Mkupasi und Herslund** präsentieren anhand einer informellen Siedlung in Dar es Salaam Lehren aus einem Design-Charrette-Prozess für die Regenwasserbewirtschaftung. Die Autoren diskutieren nicht-strukturelle Maßnahmen zur Regenwasserbewirtschaftung und argumentieren, dass ein solcher Ansatz im Gegensatz zum Bau eines Entwässerungssystems die Widerstandsfähigkeit gegen Hochwasser in informellen Siedlungen erhöht.

Die Artikel von **Marielly Casanova** und **Laura von Puttkamer** stellen das Konzept des "Rechts auf die Stadt" in den Mittelpunkt. **Von Puttkamer** erörtert Strategien der Bewohner von Old Fadama (Accra), um sich der Räumung zu widersetzen, und wie sie ihr Recht durch proaktive Maßnahmen zur Veränderung der öffentlichen Meinung und von Regierungsentscheidungen beeinflusst haben. **Casanova** diskutiert die Frage des „Rechts auf die Stadt“ aus der Perspektive der sozialen Produktion von Lebensräumen. Anhand der Fälle von Torre de David in Caracas und Monteagudo in Buenos Aires argumentiert sie, dass das Recht auf bezahlbaren Wohnraum nur dann gewährleistet werden kann, wenn es auch die Möglichkeit gibt, sich zu organisieren und Existenzgrundlagen zu erschließen.

Simone Sandholz und **Mia Wannowitz** diskutieren, wie kritische Infrastrukturen die soziale Resilienz beeinflussen. Sie argumentieren am Beispiel des Gorkha-Erdbebens in Nepal, dass ein sozio-technischer Ansatz ein wesentlicher Faktor für die Planung einer belastbaren kritischen Infrastruktur ist.

Resilient Urban Development vs. Right to the City

Volume editors: Genet Alem, Wolfgang Scholz

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Disaster Risk Governance and Urban Resilience of Informal Settlements

Findings and Reflections of a Multi-stakeholder Participatory Gap Analysis Workshop in Metro Manila

Wiriya Puntub, Juan Du

Eine strategische Risikominderung, insbesondere in Bezug auf informelle Siedlungen im Globalen Süden, hat bislang keine große Bedeutung in internationalen Debatten erfahren. Informelle Siedlungen in katastrophengefährdeten Gebieten kämpfen weiterhin mit hartnäckigen sozio-ökonomischen Problemen. Bisherige Ansätze auf den Philippinen mit Umsiedlungen erzielten keinen Erfolg bei der Sicherung des Lebensunterhalts der Umsiedler. Dieser Artikel präsentiert die Ergebnisse einer partizipatorischen Lückenanalyse im Rahmen eines Stakeholder Workshops, die mit der Steuerung des Katastrophenrisikos und einer resilienten Stadtplanung der informellen Siedlungen in Metro Manila betraut sind. Auf der Grundlage einer vorgeschalteten Desktop-Forschung und des Dialogs mit den Stakeholdern wurden die wichtigsten Herausforderungen der raschen Urbanisierung und bei einer anhaltender Informalität bezüglich einer Risikominimierung in Bezug auf Umsiedlung, Aufwertung der informellen Siedlungen und der Risikogestaltung untersucht. Die Ergebnisse zeigten kritische Defizite bei partizipativer Governance und Resilienzbildung von der nationalen zur individuellen Ebene auf, fehlende regionale und stadtübergreifende Planung, mangelnde Durchsetzung einer umfassenden Landnutzungsplanung, keine formale Vertretung informeller Gemeinschaften in lokalen Planungen, fehlendes detailliertes sozioökonomisches Profiling informeller Siedlungen, günstige Wohnmöglichkeiten für informelle Siedler und Ausbildung von umgesiedelten Bewohnern zur Sicherung des Lebensunterhalts.

Criticalities of Urban Resilience and Disaster Risk Governance

There is a paradigm shift of resilience from being reactive (bouncing back to the normality) to being proactive (bouncing forward for a sustainable future). Though resilience has been diversely conceptualised in the last three decades, it is still lacking in regard to its integration in spatial planning, particularly its practice and implementation in disaster risk reduction (Burby 1998, Godschalk 1999, Birch & Wachter 2006, and Greiving et. al. 2016). Recently, urban resilience planning has been further challenged by rapid urbanisation, pressing impacts of climate change, and increasing natural disasters. There are three prominent international understandings to promote urban resilience, namely: the Hyogo Framework for Action 2005-2015 (HFA) – Building the Resilience of Nations and Communities to Disasters, by UNISDR; the 2030 Agenda for Sustainable Development Goals (SDGs), by UNDP; and the Climate Change Adaptation Framework under the United Nations Framework on Climate Change. These policies made concepts of vulnerabilities, and resilience and coping capacities regarding disaster-risk reduction and management, distinct.

The adaptation of resilience planning turns acute in developing countries experiencing fast urbanisation. UN-Habitat (2016) presented the fact that more than 90% of today's urbanisation is taking place in developing countries, with the fastest urban growth occurring in Asia and Africa. Thereupon, UNISDR (2015a:7) concluded that, "There is a requirement for strengthening disaster risk governance to manage disaster risk with clear vision, competence, plans, guidelines and coordination across sectors." Specifically, investment in disaster risk reduction for resilience and

risk governance to manage disaster risk was prioritised in the 2030 Sendai Framework for Disaster Risk Reduction.

The aforementioned issues are particularly critical for countries like the Philippines, which combines an extremely high level of risk to natural hazards (Birkmann & Welle 2016) with a weak planning system and severe prevalence of urban informality. Therefore, this paper attempts at investigating the urban development approaches of the disaster risk governance process of Metro Manila, which strives at establishing and increasing urban flood resilience in informal settlements in the Philippines. This study applies desktop research and a multi-stakeholder participatory gap analysis approach to show criticalities in the inefficient coordination of disaster risk reduction, regional and local planning in view of the rapid urbanisation and increasing natural disasters, and the urgent need for linking the above-mentioned to sustainable development; it also offers tailor-made strategies for addressing disaster-prone informal settlements in Metro Manila. "Mainstreaming of Disaster Risk Management" is one of the outcomes of the National Disaster Risk Reduction and Management Plan of the Philippines (2011-2018), which aims for disaster-resilient communities. So far, however, it has had no local impact, it won't unless localised coping strategies based on the livelihoods, capacities and knowledge of the communities are internalised.

The Philippines confronting pressing issues

Disaster-prone informal settlements in Metro Manila

The Philippines is located at the western rim of the Pacific Ocean's typhoon belt, and along the "Ring of Fire" (Fig. 1). It is one of the countries with highest risk of natural

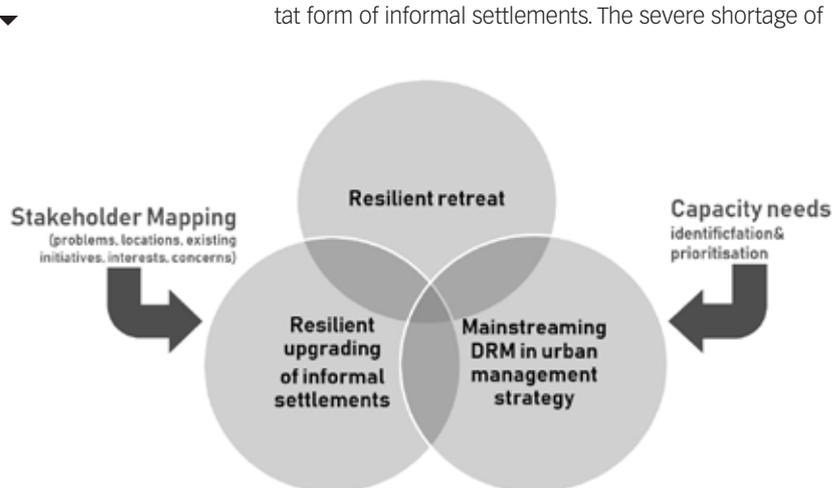
Figure 1: Map of the Philippines with an area of approximately 300,000 km², comprising 7,101 islands. Source: Adapted from google map, 2008



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Figure 2: Workshop conceptual framework and method. Source: The Authors, Jan. 2018



hazards, including tropical cyclones, flooding, storm surges, earthquakes and tsunamis. According to UNISDR (2015a), it is one of the countries with the most frequent storms and floods. UNISDR (2015b:64) further pinpoints that, "Combing with the social vulnerability, the multi-hazard exposure causes an average annual loss of 69% of the Philippine social expenditure." Von Einsiedel (et al. 2010) argues that risk comes from a combination of hazard, vulnerability and lack of resilience, all of which is highly present in the Philippines.

Having a total area of 620 km², Metro Manila comprises 16 cities and one municipality. In 2015, it had a total population of ca. 13 million, or 13% of the national population, and the city of Manila has a population density of 71,263 persons per square kilometre (Philippine Statistics Authority 2015). As a fast-growing, global city-region, the rapid urbanisation of Metro Manila is typically reflected by spatial concentrations of diverse rural migrants and informal economic activities in the metropolitan region. Extremely rapid urbanisation, high concentrations of population in the metropolitan region, and increasing poverty have forced the urban poor to find their enclave in the habitat form of informal settlements. The severe shortage of

affordable housing has been exasperating the situation. Shatkin (2004:2470) argues the urban poor are confronting extreme difficulties in accessing legal shelter close to sources of livelihood, besides the rising threat of being displaced elsewhere from informal settlements.

What has to be underlined is "informal settlers" refers not only to those who, as conventionally understood, illegally occupy land with precarious housing structures. The term "informal settlements", in this paper, is more physically conceived: it refers to settlements in danger- and disaster-prone areas, such as along or within river channels, along shorelines, in low-lying bay areas and other flood-prone areas, and/or on dumping sites. They are basically not considered as proper human habitats. One-fifth of the informal settlers, or an estimated 1.3 million individuals, live in informal settlements on hazard-prone areas in Metro Manila (Morin et. al. 2016:696). This is a drastic increase if compared with officially reported number, that is over 0.5 million informal settlers concentrated in risk-prone areas (Metro Manila Development Authority 2010). Besides being highly dependent on informal economies with unstable income, informal settlers face constant threat of eviction or being relocated to remote areas. Hitherto, despite the great potentials that Informal Settler Families (ISFs) can underpin resilience planning and climate change adaptation, the collective initiatives and activities are still lacking. For instance, the New Urban Agenda has not yet settled the issue of how to position informal and formal urban development within formal planning procedures, albeit the Agenda's acknowledgement of the complementarity of informal and formal institutions (Bertuzzo & Nest 2016:41).

Problems in regional and local planning

Cariño and Corpuz (2009:20) argue that the incongruence of sectoral and area-based planning orientation, the weak governance capacity of Local Government Units (LGUs), and weak participatory mechanisms are the fundamental issues that hamper urban development and housing in the country. Since the establishment of Metro Manila in the 1970s, decentralisation of the central government, along with urban development needs, were positioned at the fore. However, decentralisation translated into the difficulty of bringing the city government together (Choi 2016:582). Metropolis-wide planning has not been in real practice, despite the master plan. Since the 1991 legislation of the Local Government Code, the LGUs of Metro Manila have been relatively autonomous: the Code enables LGUs to implement programmes in urban development and housing with their own constituents. Nevertheless, Cariño and Corpuz (2009) assert that large and strategic investments identified by LGUs often have little chance to be implemented once touching boundary issues. This is mainly because the national funds get cascaded down to regional and local sectors. Furthermore, local planning is inward-looking and includes little to no strategy for complementing with surrounding administrative bodies. Friction-areas arise when planning cuts across LGUs' boundaries and LGUs' development and housing-programme implementation. The Philippine government has undertaken certain housing programmes since the 1950s, mainly for low-income families and not for Informal Settler Families (ISFs). Insofar, there is no accurate official statistics on the number of ISFs that need



◀ **Figure 3:** Extensive discussion during stakeholder workshop. Source: The Authors

to be relocated. *Oplan Likas* programme, which was launched by the national government, aimed to move 104,000 ISFs out of the danger zones in Metro Manila by 2016. The programme includes the option for ISFs to resettle to off-city resettlement sites (ca. 30-70 km away from the origin) instead of being remotely relocated in rural areas. Its implementation appeals for a strong planning coordination between/among LGUs and related sectors. Overall, resettlement schemes demand long-term, cross-sectoral planning from the regional to local levels. The lack of regional, structured planning quite often leaves resettlement programmes pending. However, the reform of the Philippine Disaster Risk Reduction and Management Act of 2010, in regard to emphasising risk management as being a comprehensive, cross-sectoral and governmental issue (Congress of the Philippines 2009), has not gained much achievement. And the expected disaster risk management as a systematic process still falls short in practice.

Multi-stakeholder participatory gap analysis

Focusing on the informal-settlement context, a multi-stakeholder participatory gap analysis was conducted through desktop research and a stakeholder workshop (with the topic of *Linking Disaster Risk Governance and Land-use Planning in Metro Manila*) from the 1st to 2nd of February, 2018, at the School of Urban and Regional Planning, University of the Philippines. The workshop was thematised into three topics: resilient retreat, resilient upgrading, and mainstreaming disaster risk management in urban management strategy (Fig. 2), which are the core elements for achieving disaster risk resilience in the context of informal settlements. 47 stakeholders from the national government, LGUs, civil society, academia and international organisations participated in the discussions (Fig. 3). Participants sketched stakeholder mapping, identified concerns and interests of different stakeholder groups, and initially pointed out hotspots (Fig. 4) of the issues in both physical and political aspects. To overcome the identified gaps and strengthen the disaster risk resilience of communities, participants defined capacity needs and prioritisation, both in vertical and horizontal dimensions of risk governance. Additionally, the workshop was complemented by a fieldtrip to – and a focus-group discussion with – the Colo-ong community of Venezuela

City (Fig. 5-6.), where the community has been confronting persistent flooding for more than 25 years.

Gaps and priorities for strengthening the disaster risk resilience of informal settlements in Metro Manila

Stakeholders addressed six top issues concerning disaster risk governance, disaster-prone informal settlements, and urban management, including:

Resettlement typology: There are four types of resettlement options for informal settlements listed in Metro Manila: 1) *On-site upgrading* of the informal settlement; 2) *Off-city relocation* to upgrade housing projects in peri-urban regions with supportive life-line infrastructures and job training; 3) *Off-site but in-city relocation* (expensive for LGUs, given the land shortage and reliable provision of



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◀ **Figure 4:** Initially identified hotspots for theme, resilient upgrading of informal settlements' in Metro Manila. Source: Result of the stakeholder workshop



▲ **Figure 5:** Colo-ong Community Multi-Purpose Club House, in disaster time, it is used as shelter. Source: The Authors, Feb. 2018

social infrastructure such as schools, clinics, community centres, etc.); and 4) *Between-city relocation*, including across provincial boundaries, which highly requires a coordination of regional/provincial plans with local plans.

Housing and land-use policy and implementation: Housing and balancing the development of Metro Manila and its vicinities have never been a national priority. The ever-increasing number of informal inhabitants are ignored, especially those in disaster-prone areas such as Marikina, Cainta, Valenzuela, Caloocan, and Malabon. The Climate Change Commission and Housing and Land Use Regulatory Board (2014) provides a guideline on mainstreaming disaster risk reduction management and climate change adaptation in the comprehensive land-use plan. It dismisses informal settlements by just broadly indicating needs of relocation and land acquisition. Hence, it lacks pragmatic guidelines for working on the ground.

Spatial aspect for disaster-risk-related relocation: Legally-binding hazard mapping and risk analysis should be used to support relocation decision making and planning with equal treatment of formal and informal residents. Therefore, the geospatial aspects of hazard risk should be taken into account for proper implementation of the zoning ordinance. On-site upgrading with consideration of future disaster risks and socioeconomic changes could be an option.

Regional institutionalizations and capacity building: Lack of regional planning and an according institution is a major barrier in linking disaster-risk and land-use planning. Further, this deficiency hampers resettlement programmes regarding both vertical (national and local governments) and horizontal (LGUs) administrations. It has been identified that raising the awareness and enhancing the capacity of the relevant stakeholders regarding regional planning is crucial. Interestingly, the urgent need for intensive courses in this regard for policy-makers, local planners, LGUs and NGOs has been raised. Furthermore, bringing policies to the ground by implementing pilot projects and exchanging lessons learned among LGUs was viewed by stakeholders as a productive and collective learning process.

Stakeholder participatory and coordination: Conventionally, relocation strategies in the Philippines are top-down oriented. Hence, lacking lifeline-infrastructure provision and livelihood-restoration strategies has often forced the relocated to return to their previous houses in the danger

areas. Despite the joint efforts of LGUs, NGOs and academia, critical problems are observed in the funding gap at the regional level; since funding is not available at the local level, regional level funding still has to be tapped at the national level. In addition, meaningful participation of community representatives shall be immediately addressed, especially in the process of relocation site assessment, relocation planning as well as relevant decision making.

Data management: Updated, valid and reliable data on informal settlements for resettlement planning and further policy formulation at all planning levels is scarce. Community socio-economic profiling and settlement mapping have been conducted by LGUs, communities and NGOs, but they are unlikely to be used by the national government due to scepticism of data incompatibility and the lack of quality assurance. As a result, trustworthiness between national and local government is one of the most crucial issues.

In connection to all this, stakeholders have identified the top-priority actions for risk-informed planning, namely: database management by starting the process of data standardisation among the relevant agencies, and increasing awareness across all levels, from policy-makers to community leaders, on risk governance and its link to comprehensive land-use planning. In the long run, stakeholders marked their priority as enabling an environment for improving resettlement planning processes by strengthening the capacity of LGUs and local stakeholders (i.e., communities and local NGOs) in regard to planning and implementing resettlement programmes. Furthermore, the national government should set a budget priority for LGUs to work on the ground and devise various financial schemes (micro-finance, grants, soft-loans, etc.) for communities in terms of housing, tenure, and land arrangements. Additionally, stakeholders also see mainstreaming disaster risk management as an entry point for aligning national, regional, local and community planning on linking disaster-risk governance and comprehensive land-use planning.

Needs for enhancing stakeholder capacity in disaster-risk resilience

Led by academic communities, the collaborative discussion was a hybrid of international, national and local stakeholders. Despite a sound balance of different groups of stakeholders, there was no private-sector involvement. Yet, there was a representative from an international financial institute as well as from the government department responsible for public-private partnerships engaged in the talks, but neither private-sector interests nor perspectives were marked. On the contrary, concerns and interests of the locals were substantially presented by the LGUs and NGOs. Hence, this study notices a challenge in involving the private sector, especially landowners and real-estate developers who are willing to participate in city-wide disaster-risk management and project development in risk-prone informal settlements. In some sensitive and conflict-prone areas, confrontation between local and private developers might add a high degree of tension to the overall discussion. Nevertheless, the involvement of the private sector and/or a developer in this workshop could create valuable opportunities for establishing

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public-private partnership initiative or funding mobilisation, particularly investment in streamlining resilience retreat and upgrading (both in housing and infrastructure) through domestic commercial banks (Shand et. al. 2017) and/or national and international financial institutes. This paper also argues that the need is there for appropriate and long-term funding mechanisms. Moreover, community participation and enhancing the capacity of LGUs regarding integrating spatial planning and disaster-risk management in resettlement plans are underlined as key elements to ensure sustainable local livelihoods. This paper asserts that while governance is crucial, building the capacity of the individuals and networks in disaster-risk reduction is equally important. Moreover, this study recasts resettlement planning of informal settlement as: 1) Overcoming potential conflicts and drawbacks of top-down resettlement planning and implementation, and inventing mechanisms to ensure the voice of people is well fed to the national policy/initiative, are crucial. The informal settlers' presence must be legitimised in the participation process. 2) Seamless coordination and implementation across administration boundaries are necessary in order to minimise potential conflicts and ensure the sustainability of resettlement as well as to balance urban development in the region. 3) Besides the horizontal perspective, improving vertical coordination mechanisms between local and national governments by empowering the technical capacity of local governments and enhancing the facilitation roles and coaching skills of the national government could be an option. Meanwhile, institutionalising regional entity functions as mediators (conflicts), optimisers (resources allocation) and coordinators will enable the entire governance strata to work broadly across territories. Therefore, introducing a regional institution as an interface body is a preferred solution in the view of stakeholders.

The stakeholders highlighted that data management is prerequisite for identifying problems and investigating potential solutions. Aside from the huge time and human resources and financial burden, participatory and coordination at all levels are highly required for data standardisation and communication in order to assure data quality for planning and building trust among stakeholders. Therefore, permanent working groups and designated responsible units (that are in charge of updating and maintaining the process and system of data) would significantly influence the achievement of policy formulation and its implementation. To this context, the national government should play a role as facilitator in providing financial resources and technical support, especially for establishing or utilising the existing data interface/management platform (i.e., Open Data Philippines [data.gov.ph]) (Capili 2015) as planning and decision-making support tools as well as for stakeholder outreach. With the trust of the stakeholders, local-driven socio-economic profiling and settlement mapping could be regularly fed and shared throughout the online platform, specifically in a Geographic Information System illustration. This would support the relevant agencies to develop evidence-based planning with tailor-made relocation options and also support implementation instruments (both technical and financial) based on an understanding of the given locality (livelihoods, culture, and customs). Furthermore, the information platform could play an important role in creating policy monitoring and evaluation mechanisms, as well as

in generating lessons learnt, transferable not only among communities in Metro Manila but also nationwide or even internationally.

Conclusions and recommendations

For current practices to facilitate a more future-oriented natural-disaster risk management, identified key concerns are: 1) Participatory risk governance requires the improvement of collaborative planning between national and local levels and also the introduction of regional and cross-city planning; 2) Integration of mandated formal representation of informal communities in local plans is essential; 3) Enforcement of comprehensive land-use planning in local contexts is required for disaster-risk management; 4) Lack of harmonisation between national and local data-setting and data-collection procedures is a key obstacle to overcome; 5) Enhancing the capacity of LGUs and their integrated urban planning network and the availability of pragmatic instruments for mobilising expertise and financial resources would enable an environment for successful risk-governance implementation; and 6) Involvement of the private sector in disaster-risk management would create opportunities for devising novel social and financial interventions in urban and regional development. Further investigations include: assessing interrelationships between the future natural disaster risks and urban development dynamics as well as possible resilient options for informal settlements; co-production of participatory housing planning guidelines for resettlement sites; mainstreaming regional-based resettlement planning to ensure horizontal coordination among the LGUs of Metro Manila and its periphery; and the feasibility of introducing variable financial and social interventions (especially public-private partnerships) in the resilience upgrading and resettlement of informal settlements.

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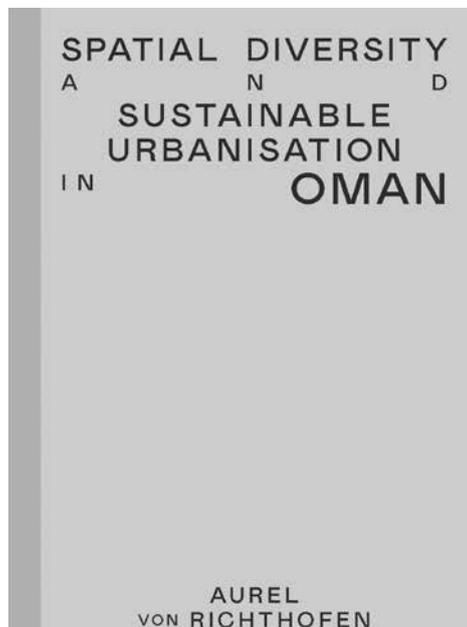
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Figure 6: A woman fixing the only access to her house. Colo-ong community in Valenzuela City, Metro Manila. Source: The Authors, Feb. 2018



vending as an example of urban informal economy and highly specialised mode of survival in the city. The relation of formality and informality is therefore no longer seen as a dichotomy, but already described by many recent works following Roy's insights, as a site-specific dialectic. The state therein defines the status of formality and decides which forms of informality are tolerated and which are criminalized. The books framing picks up this understanding and describes how the unclear legal status puts the vendors in a constant situation of uncertainty, having to shift around in the streets, seeking out vending areas while relating to customers. Thereby the relation among the street vendors alternates between cooperation and competition around customers, goods and urban space. Malefakis' detailed description can serve to highlight the complexity of these operations and help to understand, while simplistic attempts to regularise small-scale trade in (African) cities are deemed to fail. With irregular incomes, the need for workshops and flexible access to the market the traders have requirements that are rarely met by formal market developments. Making this visible is a valuable contribution of this well written book.

Nadine Appelhans



Spatial Diversity and Sustainable Urbanisation in Oman, by von Aurel Freiherr von Richthofen, Dissertation TU Braunschweig, 2019, DOI: 10.24355/dbbs.084-201901220928-0

The dissertation of Aurel von Richthofen focusses on urban development in Oman (see also *Trialog* 114) and applies computer-based methods and

tools of remote-sensing and parametric design. The current urbanisation trends and problems are analysed in his first part with rapid urbanisation: high land consumption due to low density with single family houses which leads to urban sprawl (mainly triggered by the system of a land lottery and current planning standards) and huge investments in car-oriented infrastructure. Since the publication is a dissertation, it obviously starts with a hypothesis: "a differentiated spatial, temporal and structural understanding of spatial diversity in the form of land use maps, spatial diversity indices and urbanisation models can lead to a more resilient and sustainable form of urbanisation in Oman". The rich and well-established theoretical framework and the in-depth analysis of the planning documents and previous research on urban planning in Oman, as well as his own data analysis by satellite image provides a solid ground not only for his work but can serve as starting point for further research. This is one of the main achievement of his work. A small shortcoming is however, the not clearly defined use of the terms sustainable and resilience urban development in the beginning. When it comes to his main methods, one may ask whether a diversity index derived from biodiversity is a useful concept to analyse spatial distribution of land uses and whether spatial diversity is not yet covered by urban planning concepts of a compact and mixed used city? The parametric 3-D urban design tool however, can be seen as useful alternative to the common tools of zoning land-uses and height and density planning regulations. However, while the latter fail in Oman due to the impact of the land-lottery system, speculation and other shortcomings to create well-functioning neighbourhoods, the author remain silent on how to implement the parametric design results on the ground considering the socio-economic conditions and the legal framework. The parametric design proposes detached courtyard houses to provide a higher density and reflects well cultural aspects. This is a suitable finding to cope with the problems mentioned above and should be considered by the planning authorities. The author clearly displays the advantages in density and land consumption in comparison to current developments of different neighbourhoods types. The publication is, no doubt about, worth to read for all interested in previous and current urban development in Oman (and similar Gulf countries) and in the two main methods applied. However, the two parts on the analysis of urban development by remote-sensing and the development of housing layouts by parametric design are somehow disconnected or, in a positive way, suitable for two separate publications.

Wolfgang Scholz

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