



HAL
open science

Comprehending human settlements: territorial assessments

Mikel Larraza

► **To cite this version:**

Mikel Larraza. Comprehending human settlements: territorial assessments. [Research Report] AE&CC; CRAterre. 2020. hal-03238387

HAL Id: hal-03238387

<https://hal.science/hal-03238387>

Submitted on 27 May 2021

HAL is a multi-disciplinary open access archive for the deposit and dissemination of scientific research documents, whether they are published or not. The documents may come from teaching and research institutions in France or abroad, or from public or private research centers.

L'archive ouverte pluridisciplinaire **HAL**, est destinée au dépôt et à la diffusion de documents scientifiques de niveau recherche, publiés ou non, émanant des établissements d'enseignement et de recherche français ou étrangers, des laboratoires publics ou privés.



Distributed under a Creative Commons Attribution - NonCommercial - NoDerivatives 4.0 International License

COMPREHENDING HUMAN SETTLEMENTS TERRITORIAL ASSESSMENTS

Mikel Larraza

December 2020



Summary

A. Introduction.....	3
1 Research framework, scope and objectives.....	3
2 Research methodology	3
2.1 Selection of sources of information, key search, and references	3
2.2 Research and interview process.....	4
B. Findings.....	5
1 TERRITORIAL ASSESSMENTS STATE OF THE ART	5
1.1 Concept of territory	5
1.2 Characterization of the territorial assessments in the French academic literature	6
1.3 Alternative spatial-based assessments and approaches.....	10
1.4 Debate and opportunities to the concept	14
2. A BRIEF APPLICATION OF THE TERRITORIAL ASSESSMENT CONCEPT	17
2.1 The development and humanitarian sectors	17
2.2 Inside CRAterre	18
3 TERRITORIAL ASSESSMENTS IN HUMAN SETTLEMENTS. A WORKING DEFINITION.	21
3.1 Preconditions.....	21
3.2 Considerations for the construction of a framework.....	21
3.3 Process of application	27
3.4 Strategy of intervention.....	28
4 CONCLUSIONS, RECOMMENDATIONS AND FURTHER RESEARCH	29
4.1 Conclusions	29
4.2 Proposal.....	30
4.3 Further research and recommendations	31
Bibliography.....	32
Annex 1. Questionnaire	36
ANNEX 2. INTERVIEWS.....	38
ANNEX 3. Explanatory table of elements and factors affecting the territory.	39

The research presented in this document has been sponsored by the LABEX *Architecture, Environnement et Cultures Constructives*, within the framework of ANR-10-LABX-78 of the Agence Nationale de la Recherche, as part of the Programme d'Investissements d'Avenir (PIA).

Directors of the research: Thierry Joffroy & Philippe Garnier (AE&CC)

Apart from the bibliography consulted, this work has benefitted from specific inputs by selected experts (Annex 2) who have accepted to be interviewed and need to be warmly thanked for their valuable inputs.

A. Introduction

1 Research framework, scope and objectives

The main objective of this research process was to propose a framework for conducting territorial assessments, being human settlements the entry point, while considering a sustainable development approach (using the basis of the SHERPA tool (Garnier, Rakotomalala, Sala, et al., 2018), the Sustainable Development Goals¹ (SDG), in particular SDG 11, 12 and 13, and Joffroy's (2018) grid of analysis comprising sustainable development pillars and architectural criteria and positioning itself within a dynamic of ecological transition and social progress.

To conduct the research, the author implemented a series of specific objectives:

- Elaborate a state of the art of the research concept "territorial assessments."
- Make an inventory of CRAterre/AE&CC assessments tools and practices related to territorial assessments.
- Make an inventory of partners' assessment tools and practices related to territorial assessments.
- Analyze and contextualize the collected information.
- Propose a new framework for human settlements assessments at the scale of a territory.

RESEARCH QUESTION

This exercise intended to provide an understanding of territorial analysis and assessment concepts among different scientific areas such as geography, urban planning, and architecture. Additionally, the research process aimed to identify territorial assessments methodologies and practices applied by different actors/sectors, including development and humanitarian organizations and public and private sectors. To do so, this study targeted two research questions:

State of the art	What are the different methodologies, practices or tools used to assess territories implemented by different actors (academia, public and private sectors, development and humanitarian sectors) that may be integrated into development organizations strategic approaches?
Framework for territorial assessments	What are the elements and structure of the framework for territorial assessment needed to complement and expand existing methodologies and practices?

2 Research methodology

2.1 Selection of sources of information, key search, and references

The research document is based on a literature review and interviews conducted by the author. The literature review combined documents primarily from the French school of geography on the "diagnostic territorial" concept through a key informant and a search by key words in various scientific

¹ Sustainable Development Goals. 2030 Agenda for sustainable development. <https://sustainabledevelopment.un.org/?menu=1300>

literature sites (IEEE library on-line, ACM library on-line, CiteSeerX Digital Library, Springer, Elsevier, and google scholar).

The key-words search has considered both English and French languages. Given the non-equivalence of the “diagnostic territorial” concept in English, the author searched for additional associated concepts used in the human settlements’ context.

- Specific terms: Diagnostic territorial, diagnostics territoriaux, diagnostic de territoire
- Associated terms: Territorial assessment, territorial analysis, territorial evaluation, context analysis, territorial planning, area-based approach, settlements approach.

To initiate the research, the author together with the Scientific Director of CRAterre (Deputy director of AE&CC research unit of the ENSAG) and the Head of Habitat programme CRAterre - AE&CC research unit set the objectives and structure of the research process. The author and the Scientific Director of CRAterre organized periodic monitoring meetings along the research process that contributed to this document's structure and contents.

The author identified ten key papers and documents to initially structure the research and prepare the questionnaires for the interviews. Given this research's exploratory characteristic, interviews aimed to (1) expand research documentation on existing knowledge and practices to conduct spatial-based assessments and (2) identify key informants through a snowballing sampling technique.

2.2 Research and interview process

The author conducted 16 open-ended qualitative interviews from July to August 2020. Primarily, interviews targeted CRAterre/AE&CC staff and associates (8 interviews) with expertise in humanitarian response, development, heritage conservation, research, and architecture.

At an external level, the author interviewed other actors and partners: Humanitarians (2 interviews), architects and urban planners/development experts (3 interviews), and researchers (3 interviews). As a final step, the research process was influenced by CRAterre’s internal workshop, organized in November 2020 with 15 attendees. The interview questionnaire and list of interviewees can be found in annexes 1 and 2, respectively.

B. Findings

1 TERRITORIAL ASSESSMENTS STATE OF THE ART

1.1 Concept of territory

The territory is a polysemic term. Its meaning changes according to the disciplinary field, such as law, political science, economics, and geography. Broadly, a territory may be defined as a complex relational entity that reflects the duality of humans and nature, and that can be related to many notions such as space, place, heritage, and landscape (Sébastien, 2015). To counterbalance this complexity, the concept of territory is -inextricably- related to the concept of limit or boundaries (Pesqueux, 2014).

Therefore, the territory can be understood as a topographical space in physical geography terms or a space for sovereignty according to geopolitics. It can also be a portion of nature that society claims as the place to find the conditions and material means of their existence in anthropological terms (Godelier, 1984). Likewise, a territory can be linked to a human group's cultural identity (defined, for example, by its language) or defined by the application of a legal framework (nation) or by the relations of power among actors. We can conclusively say that territory is an organized space (Comité de Liaison des Comités de Bassins d'Emploi, 1997).

According to the compendium assembled by Paquot (p.25, 2011) for historians and geographers, the *territory is the result of the human action (...), and it becomes the stake of competing powers, finding its legitimacy in the symbolic and imaginary representations it generates*. However, nuances can be found in the mobility of the territory's boundaries, their capacity to overlap and change according to how they are organized or inhabited. Moreover, Paquot critically flags the current tendency to reduce territory as a mere "technical platform, to which services, companies, housing, and equipment are connected" that miss the opportunity to seek an alternative vision towards self-sustainable territoriality.

The concept of territory has been much more developed in French (and within the francophone culture) than in the Anglo-Saxon milieu. In English scientific literature, the word "territory" tends to be reduced to an administrative section or organized division within an area. However, the diverse meanings of territory are stated explicitly according to their disciplinary field. Region, space, area, place, neighborhood, or landscape can be functional translations depending on the lens applied (human or cultural geography, urban planning, or politics) that will be used accordingly in this research.

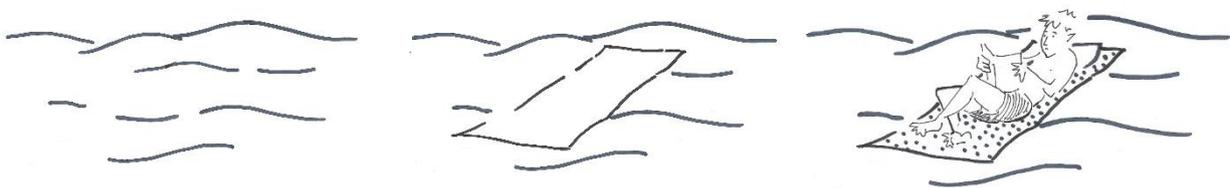


Figure 1. Illustration of the relations between nature, limits and human activity that define Territory. The author.

1.2 Characterization of the territorial assessments in the French academic literature

Suppose territory refers to the duality of nature and human activity. In that case, **territorial assessments is the moment when the actors of the territory are empowered to act in the construction of a shared vision for their territory, far from being a simple snapshot of a given area** (Lardon, Piveteau, 2005). According to Lardon et al. p71 (2005) *“territorial assessment provides the reflective elements needed for action. Thus, it has the dual function of formulating a judgment and accompanying the change. In this respect, it characterizes not only the potentialities of the territory, but also the mobilization of the actors, and it also provides a reference image for future projects”*

Assessing a territory requires understanding its geography or the economy, but most importantly, it must focus on the population because actors are the ones who make the reality of a territory (Dumont, 2012). Actors cannot be excluded, either directly or indirectly, from the processes affecting them. For Lardon and Piveteau (2005) territorial assessments are addressed to the actors so that they are mobilized according to their capacities to appropriate and conduct them. Moreover, the initial assessment is the milestone needed to bring the actors together to collectively share and manage the project of the territory (Homage, 2007). Territorial assessments – and their manner to engage local actors – are considered a new information tool that produces knowledge of the local context's dynamics and issues (Homage, 2007). However, they cannot be simply reduced to a mere source of information since they are intrinsically part of a bigger picture.

1.2.1 Inherently part of a process and a -long term- vision

The inclusion of the Territorial Assessment into a broader process is a commonality among different authors, in the sense that **territorial assessments are inextricably linked to the multiple steps of a shared development process or longer-term strategy** in a sustainable development perspective, and where the territorial assessment is understood as the **foundational step** (Comité de Liaison des Comités de Bassins d'Emploi, 1997 ; Besancenot, 2008 ; Homage, 2007)

Likewise, for Roux et al. (2005) Territorial Assessment is one step in the long process of **reconstructing the system of actors** allowing the sustainable development of the territory over three main parametres: political, technical and strategical. Due to the modular, iterative and interactive characteristics of its methodology, the territorial assessment's instruments accompany and orient the process of development of a territory (Lardon, Piveteau, 2005).

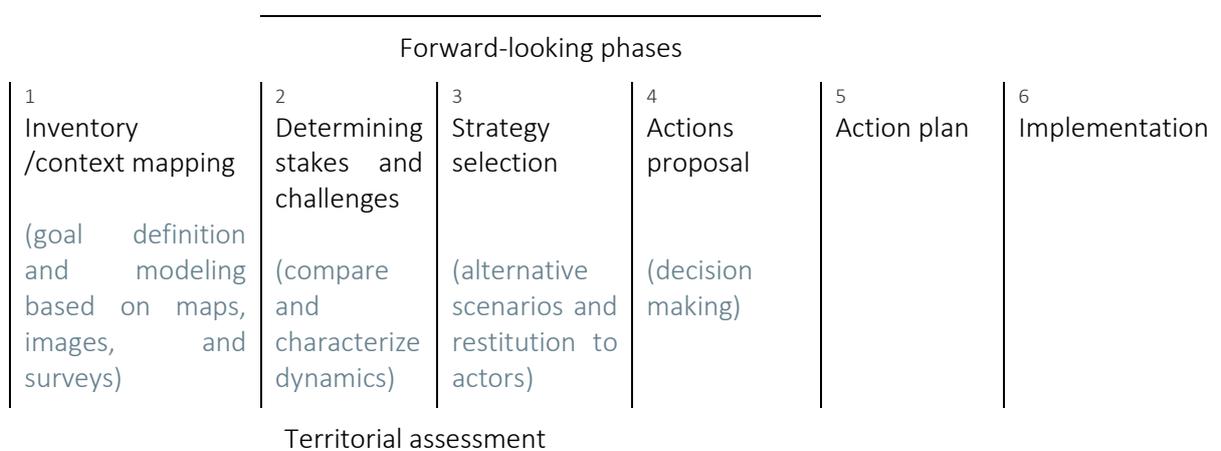


Figure 2. Inspired by Lardon & Piveteau (2005). For other authors the territorial assessment itself ends at the strategy selection phase (3rd phase). However, the territorial assessment approach comprises the implementation period and subsequent and iterative evaluations (Comité de Liaison des Comités de Bassins d'Emploi, 1997).

From a procedural perspective, the territorial assessment aims to identify the strengths and weaknesses of a place by putting into perspective the resources, needs, issues, and challenges of a place, aiming the construction of a territorial project (Lajarge, 2012 ; Roux, Lajarge, Esterni, 2005 ; Hommage, 2007). Additionally, the territorial assessment builds debate, and therefore it has to be accessible and visual (Comité de Liaison des Comités de Bassins d'Emploi, 1997), or use interactive training methods such as games and graphics (Lardon, 2003)

The territorial project is a construction by multiple local actors, but this potentially indistinct expression still needs to result in a unified and concrete vision, a long-term planned program, and a multi-stakeholder contract defining clear responsibilities (Lajarge, 2012).

1.2.2 Targets multiple focuses of analysis

Lardon and Piveteau (2002 ; 2005) propose four levels to address territorial analysis:

- (1) a combination of key thematic areas or sectors, in a
- (2) multi-scale space considering the different inner and outer connections and areas of belonging, considering
- (3) the different systems and their interactions, and
- (4) the evolving or temporal dynamics that affect them.

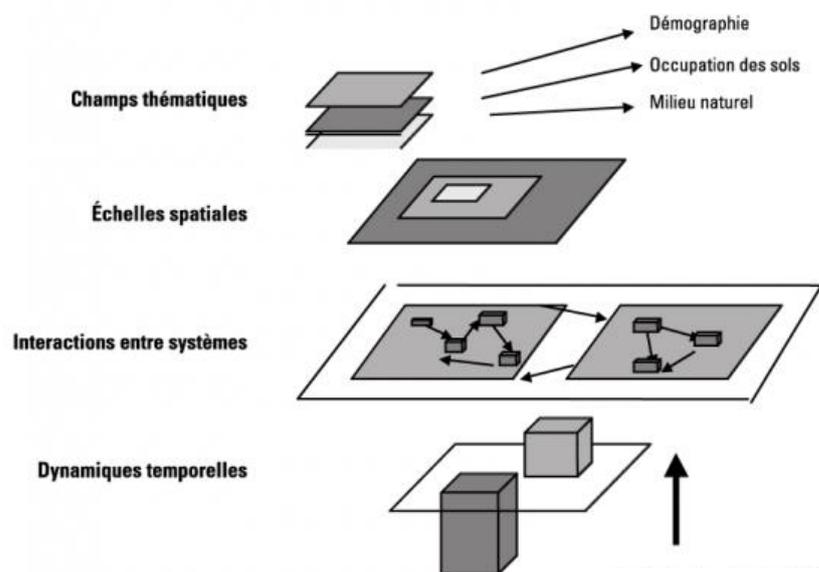


Figure 3. Les quatre registres de l'analyse. (Ibid., 2005)

Besancenot (2008) proposes a similar conceptual framework while linking territory and sustainable development and highlighting the territories' interdependencies. He describes (1) a balance between scales (a territory is interrelated with other territories' interests at different levels), (2) time scales (considering short- medium- and long-term views, as well as past experiences), (3) social, environmental and economic areas, and (4) actors specialization that affects the process.

Territorial assessments focus on the systems and sectors (geography, demographics, or economics) that compose the selected area (Dumont, 2012), not only understanding them as silos or static elements but particularly connecting them and comprehending their interactions, especially for those that may have complementary factors (Lardon, Piveteau, 2005). Therefore, it substitutes sectoral approaches that can be understood as a juxtaposition of themes, and it looks for a more holistic and complex view and

intervention where actors may complement each other (Hommage, 2007). Doing this, territorial approaches aim to interconnect and enhance – interdependent – economic activities, strategic planning, and human capacities (Comité de Liaison des Comités de Bassins d'Emploi, 1997).

1.2.3 Based on multiple actors' participation

The role of actors is seen widely as the key to untangle territorial complexity, and where the involvement in the assessment from the local population to intermediary actors and decision-makers is the primary source of information and decision-making platform to steer the process (Dumont, 2012 ; Lardon, Piveteau, 2005 ; Roux, Lajarge, Esterni, 2005 ; Hommage, 2007). As a further outcome, **the assessment may exceed the process itself and serve as a tool to facilitate the following collaboration of stakeholders and institutions in the wake of a common analysis and vision** (*Ibid.*, 2007).

Therefore, the participation of local actors is needed to complete territorial assessments. However, we can flag that different degrees of participation are proposed and so key actors are identified. Roux et al (2005) propose wide interaction by using population surveys, interviews with key actors, debates and public meetings, construction of steering committees. On the other hand, Dumont (2012), suggests that elected representatives are the main actors to address, followed by public officials, heads of companies linked to the territory, representatives of professional chambers and unions, and other key actors, while consultations with inhabitants are only suggested.

Some authors look for a definition of “actor” beyond the common classification based on actor's roles (including institutional actors, political, socio-economical, and associative). Gumuchian et al, (2003) consider the increasingly complex context caused by the multiplication of intervention and decision scales (local, national, global), the introduction of different temporalities, and the diversity of modes of action and regulations. Actors in this new territorialized context are more plural, flexible, and from a practical point of view, are anyone that need to be considered to understand the ongoing processes in a given context correctly. In comparison with previous approaches, actors from the public sector are considered instead with a role of coordination and conciliation among other actors (*Ibid.*, 2003)

Undeniably, **if the territorial assessment or approach can involve a multiplicity of actors** (local authorities, inhabitants) **in the construction of collective projects**, take into account complexities and dynamics, **and adapt local policies to social expectations**, then it becomes an object of public and social action (Hommage, 2007).

1.2.4 It is a political and governance tool

The territorial assessment is an object of public and social action as it has been defined previously, so it can foster social change (Roux, Lajarge, Esterni, 2005). When **territorial assessment goes beyond the actions of a simple project**, or if during the process actors can propose new agendas or **create new opportunities of partnership**, then the territorial assessment is part of the territorialization initiative and becomes a political tool (*Ibid.*, 2005). It can also be understood as a governance tool as it involves the administration of a process for the citizens' well-being, specifically linked to the sustainable development goals.

According to defined and agreed roles, the assessment process must have a clear objective and encourage actors and participants to act (e.g., by pilot actions). In pragmatic terms, the overall process should be practical, budgeted, programmatic, and organized (*Ibid.*, 2005), and to do so, several authors suggest the creation of a steering committee as the governing body for the entire process (Jeannot, Talha, Maujean, et al., 2003 ; Besancenot, 2008 ; Roux, Lajarge, Esterni, 2005)

However, this process's strength can also become a vulnerability if it is perceived as a threat by stakeholders, for example, powerful key actors, with different objectives or perceptions. As a starting phase, the assessment process must consider this possibility and be aware of the different political equilibria and among actors and avoid the risk of jeopardizing the long-term project at the very beginning of it (*Ibid.*, 2005).

1.2.5 Within coherent limits and scale

Boundaries are intertwined with the concept of territory. In the case of the construction of a territorial approach, and according to Dumont (2012), setting the limits or perimeter is the first step of the analysis, even if modified afterward. The assessment must follow five essential stages while choosing a relevant study and project area, and the definition of sustainable development objectives are the first ones (Besancenot, 2008). Moreover, the scale of the territory assessed is related to the level of detail expected for its output; for instance, an analysis at the national level may not be enough for accurately comprehending differences or relationships among regions. (Dumont, 2012)

Therefore, setting the parameters of the assessment's limits and scale is linked to the expectations and objectives of the process and requires a criterion. These parameters may include **identity** – inhabitants feel they belong there – (Besancenot, 2008), **perception of territorial homogeneity** – including among others, geographical patterns, economic activities, type of employment, mode of land occupation, communication elements – (Dumont, 2012), or **functionality factors** – administrative boundaries, governing bodies and regulatory frameworks affecting the area – (OECD, 2017), availability of data (Dumont, 2012) or services providers.

From an efficiency perspective, the assessment scale must consider the scale and limits of the territory's management body. Considering territorial assessment as a tool to strategically develop an area, the scale selected for the assessment and the scale for the strategy's management system are equivalent. In this sense, the possibility of identifying an optimal scale is critical for both the assessment and the long-term project. (Besancenot, 2008). On the other hand, even if a sustainable development project is localized into a territory, the exogenous implications and externalities cannot be denied. Thus, it is necessary to balance the degree of complexity between distant externalities and individual and collective realities (Besancenot, 2008).

1.2.6 Limitations and debate to the concept

It may be difficult for territorial approaches, which are naturally geographically limited, to deal with all the issues of the sustainable development concept on their own; and on the opposite side, being able of contextualizing the global principles of sustainable development into a small territory without addressing a broader scale (*Ibid.*, 2008). The challenge remains in bringing to the table elements that may be out of the picture, such as interdependence between territories, or the specialization of territories compared with other ones (*Ibid.*, 2008)

The territory is a concept in evolution, and so are its applications as territorial assessments. According to Giraut (2013) the arrival of a more mobile and networked context is at the heart of the great change in relationships to space and the making of territories. The current mutation of individual and collective socio-economic practices (from mono-location to multi-locations related to activities and dwelling), spatial understanding (from proximity to connectivity), and administrative and political governance (from borders to fluid boundaries and networks) make multi-sited territories (*Ibid.*, 2013). How can territorial assessments deal with unfathomable and changing limits of the new context in a globalized environment? In addition, territories consider mainstream practices (masculine views, economic perspectives) and their related availability of information; therefore, they may also have challenges to grasp and illustrate the diversity, fluidity, and multi-scale context.

Biased processes also limit the concept. While territorial assessments intend to analyze a context objectively, assessments are usually requested by an actor of the territory that directly or indirectly defines the initial objectives and framework for the analysis (Roux et al., 2005). Therefore, the result may be biased. Close collaboration with local actors is required to be as close as possible to the territory. However, actors may play several roles according to the different power relationships and “games” they are involved in (Piveteau, 1995, as cited in Lardon & Piveteau, 2005) and do not act just according to the role or qualification given by their profession. Other factors such as her/his institutional capacity, and implication, and personal intentions towards the place can motivate them (Gumuchian, Grasset, Lajarge, et al., 2003). Therefore, to ensure an independent process management increasing and to foster the participatory effect (Roux, Lajarge, Esterni, 2005) it is necessary to put actors’ inputs into perspective and provide objective and measured data as a counterpoint (Lardon, Piveteau, 2005)

1.3 Alternative spatial-based assessments and approaches

Territorial assessments are originated in France and commonly applied in the regional European Context². However, this approach may neither have a direct translation nor exact application in other sectors or world geographical areas. Humanitarian and development sectors -the focus of this research- regularly use equivalent spatial-based approaches that are further described below.

1.3.1 Area-based approach / Settlements approach

Area-based approaches (ABA) have gained relevance recently among agencies to better adapt humanitarian interventions in urban areas because of the struggle of traditional approaches to deal with this contextual complexity. Former models of rural humanitarian responses had to deal with minimal existing local systems, which resulted in organizations bringing and implementing their own structures (Campbell, 2016). However, urban interventions are increasingly evidencing the discrepancy between this “prefabricated” humanitarian support and complex environments. The inability of the humanitarian sector to understand the density, diversity, and dynamics of the city (*Ibid.*, 2016) does not differentiate in theory from the capacity to comprehend rural contexts. However, contextual complexity factors are dramatically amplified in urban settings.

Urban complexity may be characterized by: a diversity of administrative and governance systems, multiplicity of stakeholders operating at multiple layers, high population and built-up density, presence of infrastructure and services (water, waste, electricity), variations between wealth and poverty, interdependent social pressures, diverse livelihoods opportunities and the dominance of cash/market-based economy (Sanderson, Sitko, 2017 ; Campbell, 2016) to which business-as-usual humanitarian interventions are not well equipped to deal with.

A characterization of the Area-Based Approach would include (1) multi-sectoral support and interventions, (2) rely on collaboration between multiple stakeholders (including authorities, governments, and NGOs), (3) meaningful engagement and participatory methods with the affected population, and (4) the consideration of a specific geographic area with high levels of needs, from which the intervention can be scaled-up (USWG, 2019 ; Sanderson, Sitko, 2017). Some scholars understand this method as a developmental approach rather than a traditional humanitarian one, also because it

² Example of territorial assessments and projects: European Spatial Planning Observation Network (ESPON). The Integrated Territorial Analysis of the Neighborhood (ITAN) project aims to provide knowledge and policy cohesion on EU neighbor regions aiming regional competitiveness, integration in a connecting world economy, and cross-border cooperation. <https://www.espon.eu/programme/projects/espon-2013/applied-research/itan-integrated-territorial-analysis-neighbourhood>

spans the transition from relief to recovery, and it works with and supports existing structures (Sanderson, 2019) with a rather facilitative and enabling role than a direct aid supply (Sanderson, Sharma, 2018)

This approach aims to foster collaboration between humanitarian sectors (Shelter, Water Sanitation and Hygiene, Livelihoods, Health, and others) and stakeholders to address humanitarian needs from a more holistic perspective. The humanitarian assistance architecture and the different expertise from relief organizations tend to narrow interventions in a sectorial way, while communities do not perceive their needs in these terms (USWG, 2019).

Several agencies claimed that geographical or spatial based approaches help to work holistically in a community – based on the knowledge obtained in post-disaster and development interventions – because dealing with the complexity it is required a large number of stakeholders (Sanderson, Sharma, 2018) and using a geographical area (or territory) as the entry point (Parker, Maynard, 2015 ; USWG, 2019).

In practical terms, the shelter (housing) and settlement sector has become the main advocate of spatial-based approaches (Sanderson, Sharma, 2018). According to some respondents, the natural relationship with the urban context and the -holistic- connotations of the housing concept (linked to water, sanitation, or health) coming from Shelter and Settlements (S&S) practitioners such as architects and urban planners is behind this initiative. Scholars and practitioners are calling for a humanitarian architecture reform based on the area-based coordination model, shifting from the sectors of the cluster approach to a more multidisciplinary and territorial-based logic (Konyndyk, Saez, Worden, 2020).

However, area-based approaches may have difficulties solving underlying issues affecting the area at a bigger scale because of their focus on a reduced scale and with local stakeholders; likewise, they may create equity problems with neighboring and surrounding areas (Parker, Maynard, 2015). Also, political support, enabling cooperative environment, and extensive resources such as funding and time availability are unambiguous preconditions to its implementation.

1.3.2 Urban and territorial planning

According to UN-Habitat (2015), urban and territorial planning is a multi-dimensional (spatial, institutional, and financial) iterative process (considering time as a factor) that may combine multiple geographical scales and articulate political decisions towards a shared vision. Urban planning is a provider of policy and planning framework that, for instance, can complement area-based approaches, increasing effectiveness, and integrating long-term plans through the identification of local needs and priorities (Maynard, Parker, Yoseph-Paulus, et al., 2017).

Participatory decision-making is a core component of the renewed urban governance paradigm. It is the process that promotes local democracy, inclusion, transparency, and accountability to ensure sustainable urbanization and spatial quality (UN-Habitat, 2015). In the same document, UN-Habitat also suggests that **different scales of urban and territorial planning have different capabilities in transforming the physical and social space:**

Scale	Capabilities and expected objectives
Supranational and transboundary level, multinational regions	Ability to address global issues such as climate change (mitigate natural risks and improve the sustainable management of shared resources) and energy efficiency, integrated planning of cross-border regions
National level, national plans	Structure and balance the system of towns and cities, including structuring elements such as economic poles, natural elements, and large infrastructure.

City-region and metropolitan level, subnational regions	Strengthening urban-rural linkages and promoting territorial cohesion and complementarity between areas, regional economies of scale, and agglomeration.
City and municipal level	Encouraging synergies and interactions between separate urban areas. Increasing residential and economic densities (reducing urban extension), and promoting socially integrated communities, land use efficiency and environmental protection, and urban open spaces.
Neighborhood level	Improving urban quality (security, resilience, local democracy, accountability), spatial integration, and connectivity involving communities in managing urban commons such as public spaces and services

Figure 4. Adapted from the multiscale continuum of spatial planning. International Guidelines on Urban and Territorial Planning (UN-Habitat, 2015)

According to Garel and Ramalho (2020), urban – and territorial – planning processes may be gradual or incremental depending on the diverse availability of resources, should involve multiple actors (mainly local authorities and citizens), and be impact-oriented (focused on the action rather than in the plan itself). Special attention is needed in the process that goes from the assessment to the plan, the operationalization, and the implementation and the evaluation.

It is clear the importance that literature gives to concepts related to citizens participation in the making of territorial and urban plans (including concepts such as governance, local democracy, accountability, inclusion, social integration, people-centered processes, engagement in planning activities) (Dumont, 2012 ; Lardon, Piveteau, 2005 ; Roux, Lajarge, Esterni, 2005 ; Hommage, 2007 ; Garnier, Rakotomalala, Sala, et al., 2018 ; Garel, Ramalho, 2020 ; UN-Habitat, 2015); and the role that understanding stakeholders and local actors plays in territorial and urban processes and contexts (Campbell, 2016 ; Sanderson, 2019 ; Sanderson, Sharma, 2018 ; USWG, 2019). Community engagement, for example, in the case of Community-Driven Development programs, can help to provide needed support efficiently and allow disadvantaged people to express their specific needs (Wong, Guggenheim, 2018). However, actors' participation remains a vague and adaptable concept, developed in 1.4.1 Unmeasured participation.

1.3.3 Systems dynamics modeling

A system is defined by Meadows (2009) as an “interconnected set of elements that is coherently organized in a way that achieves something.” A system is defined at its most basic level by three elements: Stocks, Flows, and Feedback loops. A stock is the element of the system that can be measured, felt, or seen at any time. Flows change stocks over time by entering (inflow) or leaving (outflow) it. Feedback loops are a balancing mechanism that can adjust flows' levels and therefore changes the stock.

This concept brought to the territorial context can be used to, for instance, understand how demographic increments (inflow) can affect the availability of education services or schools (stock), balanced by the age thresholds defined to access them (feedback loop).



Figure 5. Stock and flow diagram with a feedback loop. (Ibid., 2009)

As previously mentioned, the increasing connectivity, change of scale, and mobility of the territorial concept (Gumuchian, Grasset, Lajarge, et al., 2003 ; Besancenot, 2008 ; Giraut, 2013) is fostering global dynamic relationships and processes (Campbell, 2016). Understanding complex contextual dynamics and the availability of mathematical and computer-based tools have promoted the use of systems dynamic modeling as decision support instruments.

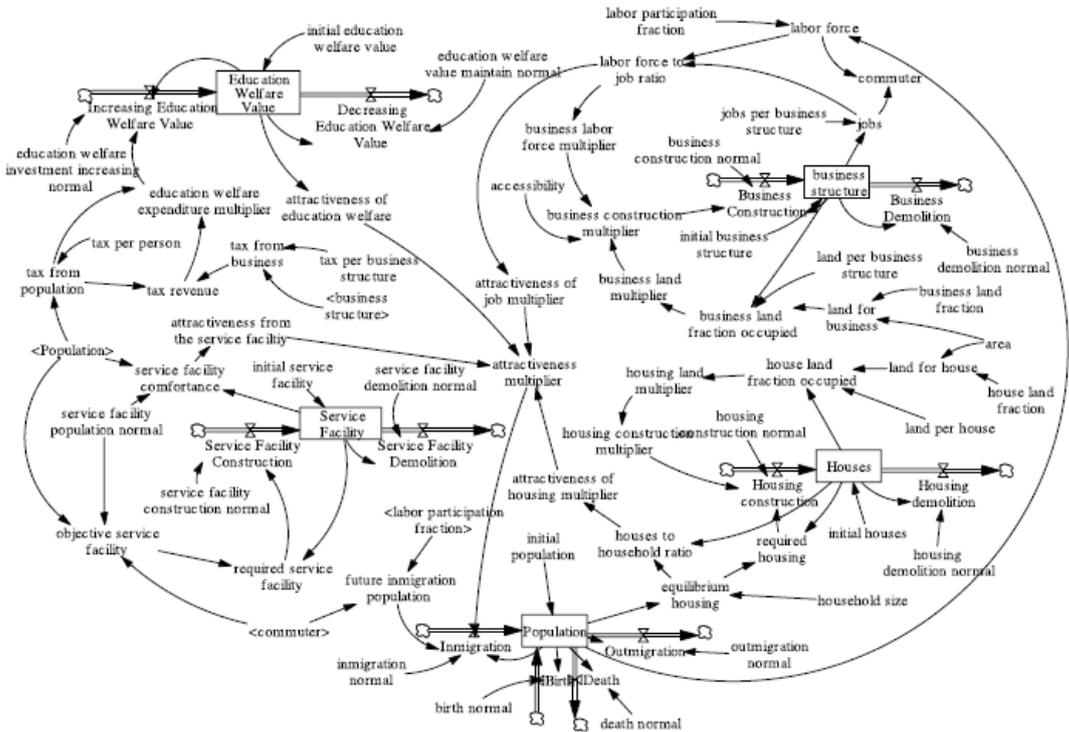


Figure 6. System dynamics model for the self-sufficient city development analysis. (Park, Kim, Lee, et al., 2013)

These instruments' direct applications³ are used to analyze and forecast the effects of crucial planning decisions affecting a city or territory. **System dynamic modeling** can help understand the underlying factors, relationships and **simulate alternative scenarios of a given context to support decision making**. The analysis of the dynamics of urban development projects can also provide critical insights of factors affecting self-sufficiency in city developments and identify greater influential policies (*Ibid.*, 2013).

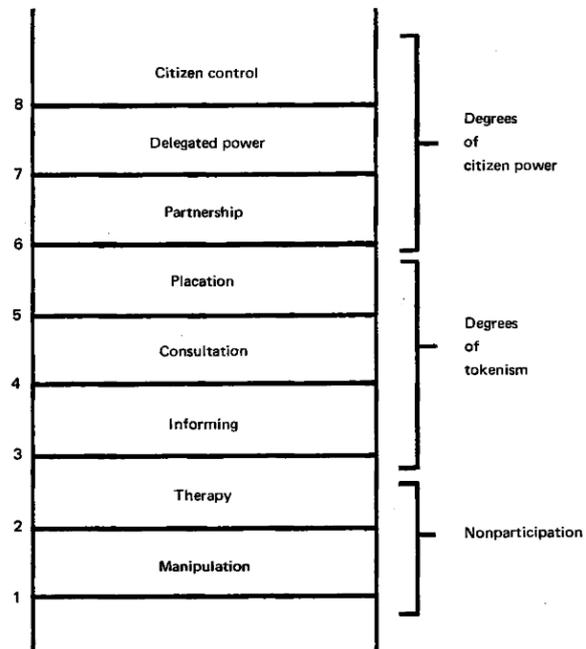
³ VTT is a research institution owned by the Finnish state focused on research and technology commercialization to address global challenges. The VTT CityTune toolkit is an urban development tool that enables holistic urban planning using systems dynamics modelling. <https://www.vttresearch.com/en/news-and-ideas/building-smart-cities-help-vtts-citytune-concept>

1.4 Debate and opportunities to the concept

1.4.1 Unmeasured participation

In 1969, Serry R. Arnstein published a gradation of citizen participation – that was precisely – based on processes linked to city planning. Yet, people-centered participatory processes are critically advocated to understand and propose territorial projects (Roux, Lajarge, Esterni, 2005 ; Dumont, 2012 ; USWG, 2019 ; Sanderson, Sitko, 2017) full participation where citizens “can induce significant social reform” and own the decision-making process (Arnstein, 1969) is not usually achieved³.

Figure 7. Eight Rungs on a ladder of Citizen Participation. (Arnstein, 1969)



In this sense, the Grand Bargain⁴ acknowledges the need to increase the participation, involvement, and feedback in the humanitarian response. The 6th workstream, “A participation revolution: include people receiving aid in making the decisions which affect their lives”:

It is necessary to include the people affected by humanitarian crises and their communities in our decisions to be certain that the humanitarian response is relevant, timely, effective and efficient. To do so, it is important to provide accessible information, ensure that an effective process for participation and feedback is in place and that design and management decisions are responsive to the views of affected communities and people.

For some interviewees of this study with extensive practical experience, participation is an empty word since it is used to define a too diverse range of interactions. It can be utilized from a simple notification to residents, a consultation without previous involvement, to a true engagement at different decision-making scales. It is common to find an illusion of community participation instead, while processes remain either insufficient or promoters of unequal participation.

On the other hand, established assumptions and mystification around community participation are also counterproductive. In the case of Community Driven-Development programs, community participation may contribute to maintaining marginalization and elite decision-making if it does not deal with the social and economic heterogeneity of community members (for example, wealthy and powerful citizens) or gender-based behavior (reduced decision-making from women and discriminated groups) (Wong, Guggenheim, 2018).

⁴ The Grand Bargain, launched during the World Humanitarian Summit (2016), is a agreement between some of the largest donors and humanitarian organizations committed to get more means into the hands of people in need and to improve the effectiveness and efficiency of the humanitarian action, through 51 commitments and 9 workstreams <https://interagencystandingcommittee.org/about-the-grand-bargain>

There is a **systemic lack of frameworks, indicators, and evaluation systems to implement and measure participation** in humanitarian and development projects. Some professionals of the sector propose factors towards a characterization of effective participation. For instance, Monnet and Langlois (2002) highlighted the importance of building mutual trust over time, agreed on community representation, contextualization of participation methods to women or minority groups, and adaptation – graphic – tools to the context, peoples' capacities, and customs. For other scholars, participation in territorial processes – such as in ecocities development – should guarantee the validity and governance of the process' results by legitimated and informed participation (Antuña-Rozado, García-Navarro, Mariño-Drews, 2018)

The lack of homogenization of participation practices is precisely seen as an advantage of the development sector, which purposely adapts these practices as needed. For Parizet (2016), international development organizations pursue a rather practical experience of participation that efficiently contributes to their model and programs, reinforces their legitimacy among local actors and contexts, and constructs a specific representation of the world.

There are, however, references to cover this systemic gap outside the humanitarian and development contexts. Public participation practitioners, such as the International Association for Public Participation, have developed tools and frameworks that define and evaluate effective participatory processes⁵. Effective participation may be defined by core values, a code of ethics, and a five-point continuum of participatory processes (spectrum): inform, consult, involve, collaborate, and empower. This process may be organized according to the objectives, the promise to the public, and the tools to achieve each one of the steps (Nabatchi, 2012). Ran (2012) proposes a complementary approach to this process-based participation, with a qualitative model that evaluates the process's equity, effectiveness, efficiency, and social learning.

⁵ the International Association for Public Participation (IAP2) developed three pillars for effective Public Participation processes. These are the internationally recognized principles for making better decisions together

https://cdn.ymaws.com/www.iap2.org/resource/resmgr/Communications/A3_P2_Pillars_brochure.pdf

	Inform	Consult	Involve	Collaborate	Empower
Goal of Public Participation	To provide the public with information to assist them in understanding the problem, alternatives, opportunities and/or solutions	To obtain feedback on analyses, alternatives and/or decisions	To work with the public throughout the process to ensure that public concerns and aspirations are understood and considered	To partner with the public in each aspect of the decision including the development of alternatives and the identification of the solution	To place final decision-making in the hands of the public
Promise to the Public	We will keep you informed	We will keep you informed, listen to and acknowledge concerns and aspirations, and provide feedback on how public input influenced the decision	We will work with you to ensure that your concerns and aspirations are reflected in the alternatives and provide feedback on how input influenced decisions	We will look to you for advice and innovation in formulating solutions and incorporate your advice and recommendations into the decision to the maximum extent possible	We will implement what you decide
Tools and examples	Websites, Mailings, Fact Sheets, Call Centers, Open Meeting Webcasts, Social Media Tools	Public Meetings, Focus Groups, Surveys, Interactive Websites	Public Workshops, Forums, Deliberative Polling, planning	Citizen Advisory Committees, Town Meeting	Delegated Decision-Making Processes, Participatory Budgeting

Figure 8. Adapted Spectrum of participation inspired by the IAP2 Spectrum of Public Participation. (Nabatchi, 2012)

A special note can be made towards computer-based decision-making processes, which create reluctance among practitioners over their information sources, transparency, and controls over them. It can be seen as a tool of use for decision-makers exclusively, or as any planning or assessment process, systems can be in place to ensure and evaluate public participation and democracy (Hofmann, Münster, Noennig, 2020)

1.4.2 Gap between Humanitarian and development interventions

Some interviewees highlighted the existing gap between humanitarian and development interventions. To illustrate this fact, respondents flagged the lack of institutional connection between humanitarian and development actors beyond local governments. The existing gap is a crucial area of improvement for both sectors, and as such, a cross-cutting commitment part of the Grand Bargain (Inter-Agency Standing Committee, 2016): *Use existing resources and capabilities better to shrink humanitarian needs over the long term with the view of contributing to the outcomes of the Sustainable Development Goals.*

Spatial-based approaches are seen as an opportunity to overcome the identified time, resources, and knowledge gap between humanitarian and development interventions. Their focus on the built environment can contribute to bridge the response, recovery, and long-term development (Campbell, 2016) and become a transformative tool because is based on a better understanding of the context and projects a longer-term effort (Sanderson, Sharma, 2018). The area-based coordination model is particularly seen as the basis for the next generation of humanitarian coordination (holistic, inclusive,

and people-oriented) and a better platform for “triple nexus” planning: humanitarian, development, and peacebuilding interventions (Konyndyk, Saez, Worden, 2020).

Since humanitarian interventions may be a hindering sequence for the following interventions and plans, some interviewees call for the capacity to reverse and repair the assistance if it is not adequate to the context. Humanitarian responses require contributing and strengthening the existing systems and long-term development plans (IASC, 2018) and also acknowledging and considering the legal, regulatory, and institutional environment. Territory-based approaches are seen by respondents as critical enablers to the transition between interventions, together with flexible and incremental methods that can adapt to the changing priorities of the population and contexts (for instance, the process from shelter to housing or gradual security of tenure).

2. A BRIEF APPLICATION OF THE TERRITORIAL ASSESSMENT CONCEPT

2.1 The development and humanitarian sectors

Territorial assessments are profoundly linked to the growing interest in better assess and comprehend complex settlements. Both the development and humanitarian sectors aim to better analyze the context, especially after the surge of urban interventions and the urban agenda. Both sectors are aware that current multi-sector territorial assessments are usually superficial, with simplistic analysis (Sanderson, 2019) and quickly done.

Contexts analysis, as in the case of theoretical territorial assessments or projects, are the first step in an investment process to understand and act. Context is defined as the environment and circumstances within which something happens, encompassing any sudden situation or experience (for example, the underlying dynamics of the city, including land tenure, administrative relationships, compared with the rapid need for housing after a disaster) (Campbell, 2018). Figure 8 describes context by using six interconnected areas, together with a proposed transversal analysis that includes physical structures, structural processes, influencing concepts, functions, and events for each one of the areas (Campbell, 2016).

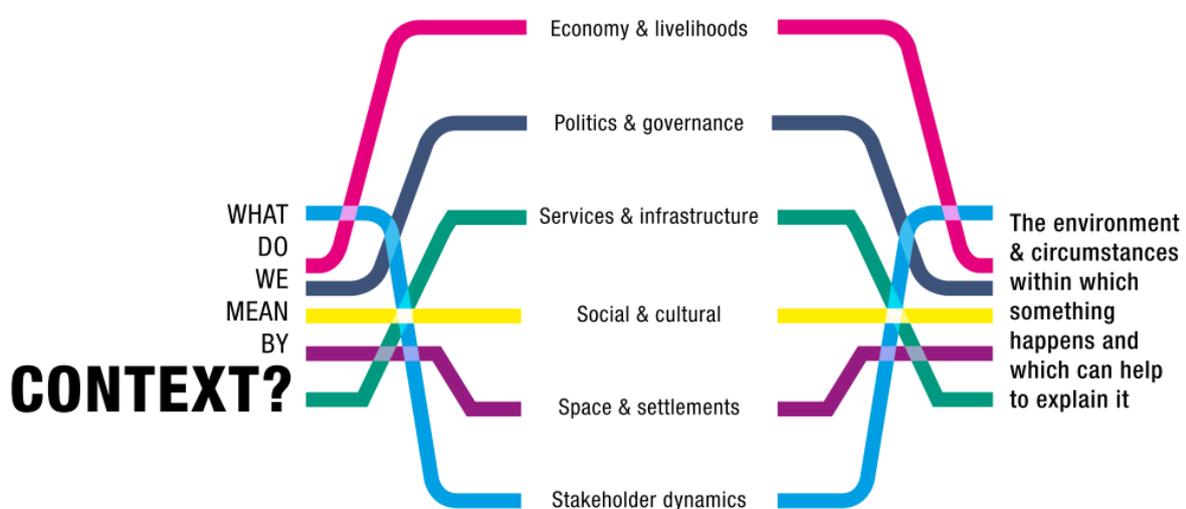


Figure 9. What is (urban) context ? (Campbell, 2018)

Understanding the context allows building on existing systems and services, working appropriately with stakeholders, understanding issues relevant to the specific territory, and supporting urban planning and development (*Ibid.*, 2018).

Despite their value, implementing spatial-based assessments and approaches requires time and special skills and can be challenging to accomplish, resulting in an investment for organizations conducting them (Sanderson, Sharma, 2018). In parallel, assistance programs have short timelines and scarce resources that conflict with the requirement of both to achieve context understanding (Campbell, 2016).

In the settlement context, it is becoming predominantly clear that housing cannot be understood without considering a broader scope of interrelated factors (see 1.3.1 Area-based approach / Settlements approach). From a human rights perspective (Office of the United Nations High Commissioner for Human Rights, UN-Habitat, 2009), adequate housing requires the fulfillment of basic criteria such as security of tenure, availability of services (access to water, sanitation, or energy), affordability, habitability (including physical safety, protection against the cold or rain), accessibility (adequate to specific needs of disadvantaged groups), location (access to employment opportunities, and facilities such as health-care services, and schools), and cultural adequacy.

This framework entails a more complex understanding that includes land provision, infrastructures and services, formal and informal housing markets and financing, protection and social aspects related to housing users' groups, education, environmental considerations, and legal and regulatory frameworks, to mention some. Likewise, the sector's interventions are adapting and shifting from reconstruction and repair to a more flexible type of support such as cash-based interventions, rental support, and technical assistance.

2.2 Inside CRAterre

Assessing local building cultures for resilience and development (Caimi, 2015), built over several years of institutional learnings, remains the primary process-based tool used and produced by CRAterre for understanding the context at a territorial level. This approach's main focus is technical and primarily centered on housing production, identifying main features of housing and settlements, hazards affecting the area, local capacities and vulnerabilities, and some context elements (socioeconomic, cultural, institutional, and natural) (*Ibid.*, 2015). This methodology is currently being adapted and completed with other partner organizations toward a more comprehensive context analysis, integrating additional components such as health, social minorities, and vulnerable groups (CRAterre, IOM, Humanitarian Benchmark, 2019).

However, as per definition, local building cultures assessments are not territorial assessments. According to the characterization provided in this document **remains unexplored a more multidisciplinary analysis, the empowerment of local actors, the political distinction of the process, and most importantly, the integration of the assessment in a long-term strategy** beyond the idea of a photo in a given time.

Other related - CRAterre's co-produced - tools such as SHERPA (Garnier, Rakotomalala, Sala, et al., 2018) do not focus on the assessment process but in the key questions to evaluate sustainable housing projects. Sherpa is not an assessment tool to understand a context but can be complementary in defining the **multisectoral elements of a sustainable (housing) project** together with a **scalable focus**: from territory to neighborhood to household level.

Increasing capacities towards multi-sectoral assessments

The current trend towards urban contexts and multi-sector interventions is pushing the global agenda to increase interdisciplinary assessments. A broader scope to assess contextual complexity and preexisting conditions beyond the built environment may require expanding CRAterre’s capacities strategically and building on the existing housing production and qualitative research expertise. For many respondents within the organization, this is an opportunity to either develop additional skills internally (including fields such as economics, demographics, environment, gender, sociology, and anthropology) or to set strategic partnerships with complementary organizations or laboratories.

Several interviewees highlighted the overuse of a technical approach to the detriment of other social, economic, institutional, or gender-oriented components. As an illustration, CRAterre’s Assessing local building cultures for resilience and development targets predominately technicians (artisans, materials suppliers) and engages technical professionals among local counterparts (architects, engineers), leaving other sectors or skills unaddressed.

This initiative aims to identify better the factors and dynamics affecting the housing sector that may not be present in CRAterre’s frameworks. For instance, Acioly and Horwood (2010) assess the **housing delivery system**, illustrating the mechanisms, institutional frameworks, and interdependencies among different components. They identify five key inter-dependent components: land, infrastructure, finance, labor, and building materials, that are shaped by four groups of external forces comprising the legal, regulatory (including policies and strategies), and the institutional frameworks (which included instruments and actions). While this framework remains in the housing provision policymaking and does not directly engage in sustainability elements such as culture or environment, it is helpful to understand and identify the elements of the multilayered housing sector.

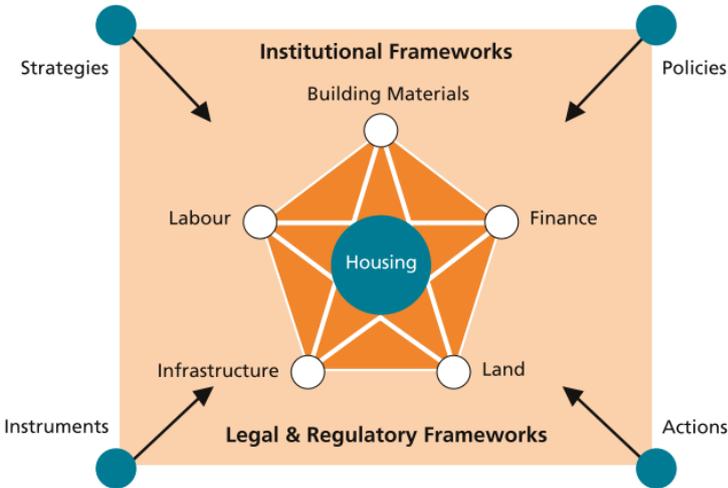


Figure 10. Holistic and Multidimensional View of the Housing Sector. A Practical Guide for Conducting: Housing Profiles. UN-Habitat. (Acioly, 2010)

Moreover, moving away from the public sector perspective, additional factors and dynamics affecting the provision and use of housing and settlements, such as preexisting inequalities, social diversity of the population, environmental aspects, complex urban housing markets, are increasingly appearing in the picture of humanitarian and development interventions. The Inter-Agency Standing Committee (2018) calls for increasing the capacity for holistic and multi-sectoral responses among organizations in urban communities and territories. The shelter/housing sector is becoming central in this initiative as housing

integrates or is deeply intertwined with other humanitarian sectors such as water, sanitation, and hygiene, health, protection, or education⁶.

A new scale

In practical terms, moving towards territorial assessments represents an opportunity to extend the intervention from individual housing to communal, territorial, and structural levels. As previously mentioned, territorial assessments are applied at different scales and for different objectives to transform the territory (Lardon, Piveteau, 2005). It is intrinsically a step towards a territorial project, affecting the scale of the vision, the strategy, and, therefore, the intervention.

While territorial logic implies a change of scope in the intervention, we need to highlight that an assessment's effectiveness is based on clear and feasible objectives linked with resource availability (e.g., time and funding). The assessment scale and the resulting intervention also depend on the requesting entity's interest and people's expectations. Moreover, from a technical point of view, this decision may require a coherent limit and scale base on identity, homogeneity, functionality (see 1.2.5 Within coherent limits and scale), or needs (see 1.3.1 Area-based approach / Settlements approach).

Considering this balance, territorial projects can either be massive interventions or rather "focused interventions that can create new energy, demonstrating the possibility of a space in a way that motivates others to engage with their community" (Lerner, 2014). Using these words, Lerner defines the concept of "urban acupuncture" as quick and precise actions that can contribute to the planning process. In terms of feasibility, territorial actions or territorial acupuncture can be better placed to perform at an initial stage and subsequently increase the intervention's programmatic scale. For both options, a long-term engagement with the territory and the actors of the territory becomes obvious, and therefore a strategic element.

Framework and process

The inherent complexity of the dynamics affecting the housing and settlements sector may pose a significant challenge to complete one-time assessments. However, territorial assessments are essentially part of a longer-term strategy and a step in the process, and as such, can help to define a vision that can be iteratively fine-tuned.

As understanding the context takes time, the CRAterre strategy is to use project interventions as means to, at the same time, observe and assess the reality. Through this strategy, CRAterre documents learnings from the context and the intervention, share this knowledge internally and externally and looks for connections and advocacy towards other actors. Whether this practice is systematized or not, stimulating exchanges between local and external players and linking scattered approaches in a territory can help reach partnerships - leveraging local capabilities – and showing case actions and results. An organizational interest in territorial assessments and projects may demand a more systematic understanding of the stakeholders' context, foster collaboration with governments, and intensify capacity building process with local partners.

This entire approach raises concerns about how conducting both resource-efficient and exhaustive enough assessments. Investing time and funding in territorial assessments is not common. However, it

⁶ The Inter-Agency Standing Committee (IASC) cluster approach defines groups of humanitarian organizations, in each of the main sectors of humanitarian action. The aim of the cluster approach is to strengthen preparedness and partnerships, technical capacity, accountability, improving prioritization and defining the roles and responsibilities of humanitarian organizations while responding to humanitarian emergencies. https://interagencystandingcommittee.org/system/files/legacy_files/guidance_note_on_using_the_cluster_approach_to_strengthen_humanitarian_response.pdf

will likely become more usual in the pursuit of better-contextualized interventions. Some initiatives in this sense are the Global Shelter Cluster Shelter response profiles (Sevillano Gutierrez, Murtagh, Crété, 2018), the UN-Habitat city profiles series (UN Habitat, 2017), or the Housing Land and Property mapping (CARE International, Global Shelter Cluster, 2020).

3 TERRITORIAL ASSESSMENTS IN HUMAN SETTLEMENTS. A WORKING DEFINITION.

Following the objective of this research process, a framework for conducting territorial assessments centered in human settlements is proposed. Considering the concept and its implications, the author defines below the preconditions needed to undergo a territorial assessment and its strategic application process.

3.1 Preconditions

Based on the research conducted, territorial assessments may not be the default method to understand and intervene in an area given the process's complexity and long-term scope. To ensure efficiency and feasibility, some preconditions need to be in place:

First phase:

- **Scope.** Definition of the purpose of the assessment, territory's limits and scales to be analyzed, detailed scope, objectives, depth of the analysis, and the timeframe required.
- **Supportive environment.** Multiple actors' willingness to partner together and complement each other according to individual expertise, agencies, and local partners, government towards a similar goal and common approach.
- **Strong commitment** from decision-makers and stakeholders in the long term and possibly at multiple levels, as required.
- **Funding.** Available funds or a realistic financial plan able to generate economic and financial benefits (e.g., capturing land value), including income-expenditure plans (UN-Habitat, 2015)
- **Limitations.** Identify logistical constraints, including data availability or physical accessibility (Campbell, 2018)

Second phase:

- **Operational system.** Define an efficient implementation approach aiming to reduce duplication of efforts, coordination systems (e.g., steering committee), and consensus-building approaches, able to be periodically monitored and fine-tuned.
Transparent **legal and institutional framework.** System of rules and regulations that provide a solid and predictable long-term legal framework, ensuring accountability, capability to be implemented, and the capacity to enforce it if needed (UN-Habitat, 2015)

3.2 Considerations for the construction of a framework

Multiple sectors and multidisciplinary have been previously mentioned in this document as one of the pillars of territorial assessments. Proposing an instrument for analyzing human settlements and housing is based on understanding the wholeness of the context, including the multiple thematic built environment areas and systems and their (complex) interactions and interconnections.

The author has analyzed and compared different frameworks that may influence the study's entry point to suggest a dynamic framework. This first attempt may serve to frame an extensive number of elements affecting the provision, adequacy, and sustainability of housing and settlements; however, **the**

framework is thought to be further modified and refined. More importantly, its goal is to help highlight the causal connections between elements, so rather than a static picture, the framework should portrait a changing shape according to the case studied.

SHERPA tool (Garnier, Rakotomalala, Sala, et al., 2018), the Sustainable Development Goals (SDG) in particular 11, 12, and 13 (United Nations, 2020), and Joffroy's grid of analysis (2018) were identified from the beginning of this study as the basis of the analysis. The first two are part of the framework's visible level, as they propose factors of assessment. Joffroy's grid is precisely an analytical framework that has been integrated into the structure of the proposed framework.

Besides, the author selected other frameworks or views that affect the continuum from housing access and provision to settlements: CRAterre's assessing local building cultures (Caimi, 2015), the right to adequate housing (Office of the United Nations High Commissioner for Human Rights, UN-Habitat, 2009), the holistic and multidimensional view of the housing sector- Housing delivery system (Acioly, Horwood, 2010), and the specifics to understanding urban context (Campbell, 2018). The study of these frameworks has resulted in selecting different elements or factors affecting housing, human settlements, and territory, graphically described in figures 11 to 15.

Likewise, the framework also includes gender as a relevant factor not represented in the sources and frameworks cited. This relevant factor is fully explained, together with the detailed description and relation with human settlements, of each element in the explanatory table (Annex 3). According to the operational scales and theme, the theoretical frameworks or sources of the elements and their organization are also included in the above-mentioned table.

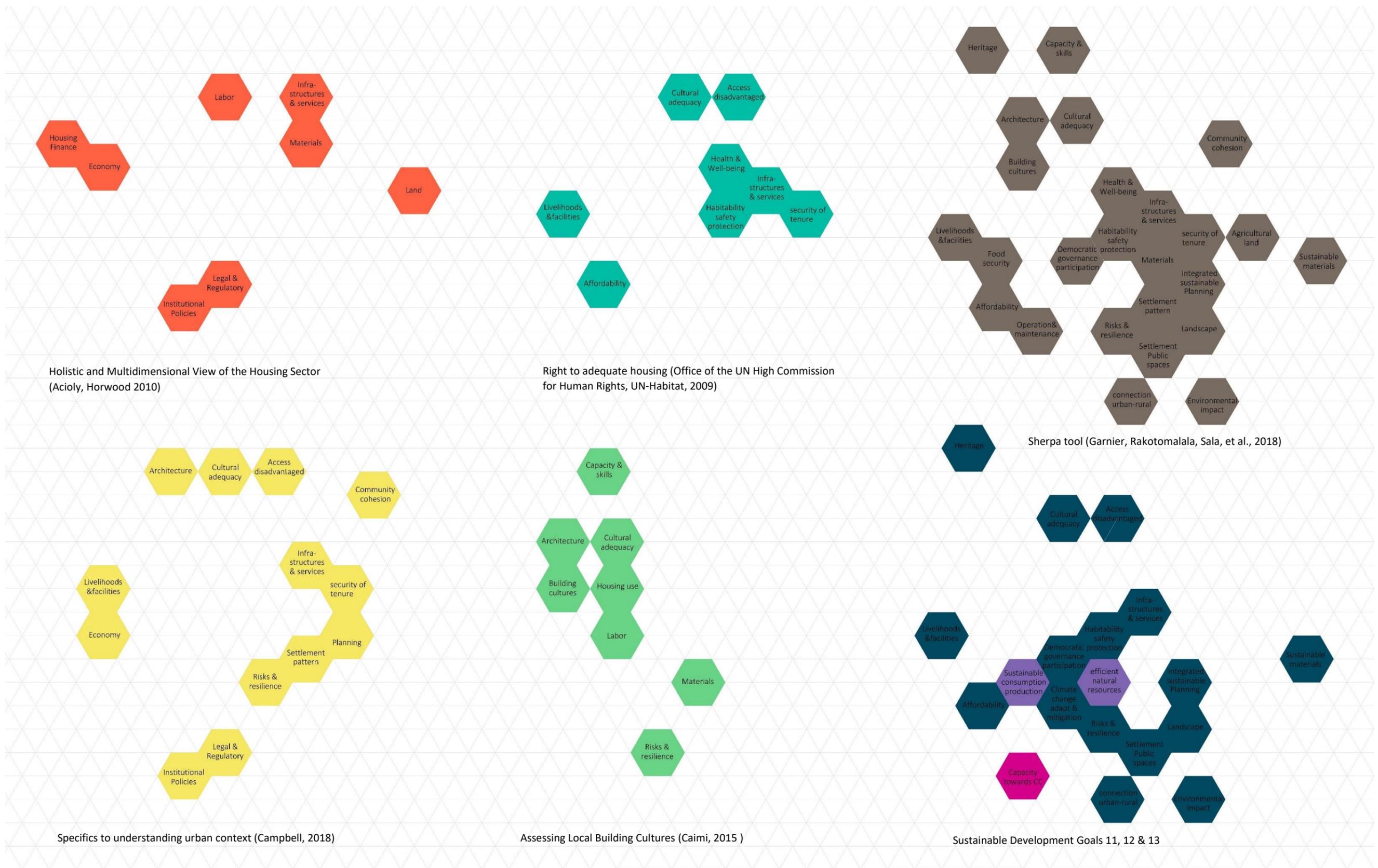


Figure 11. Frameworks and views used in the construction of the factors affecting human settlements.

The combination of previous frameworks resulted in a comprehensive framework that superposes the elements to comprehend human settlements. **The framework's key focus is to connect elements and show potential dynamics between them.**

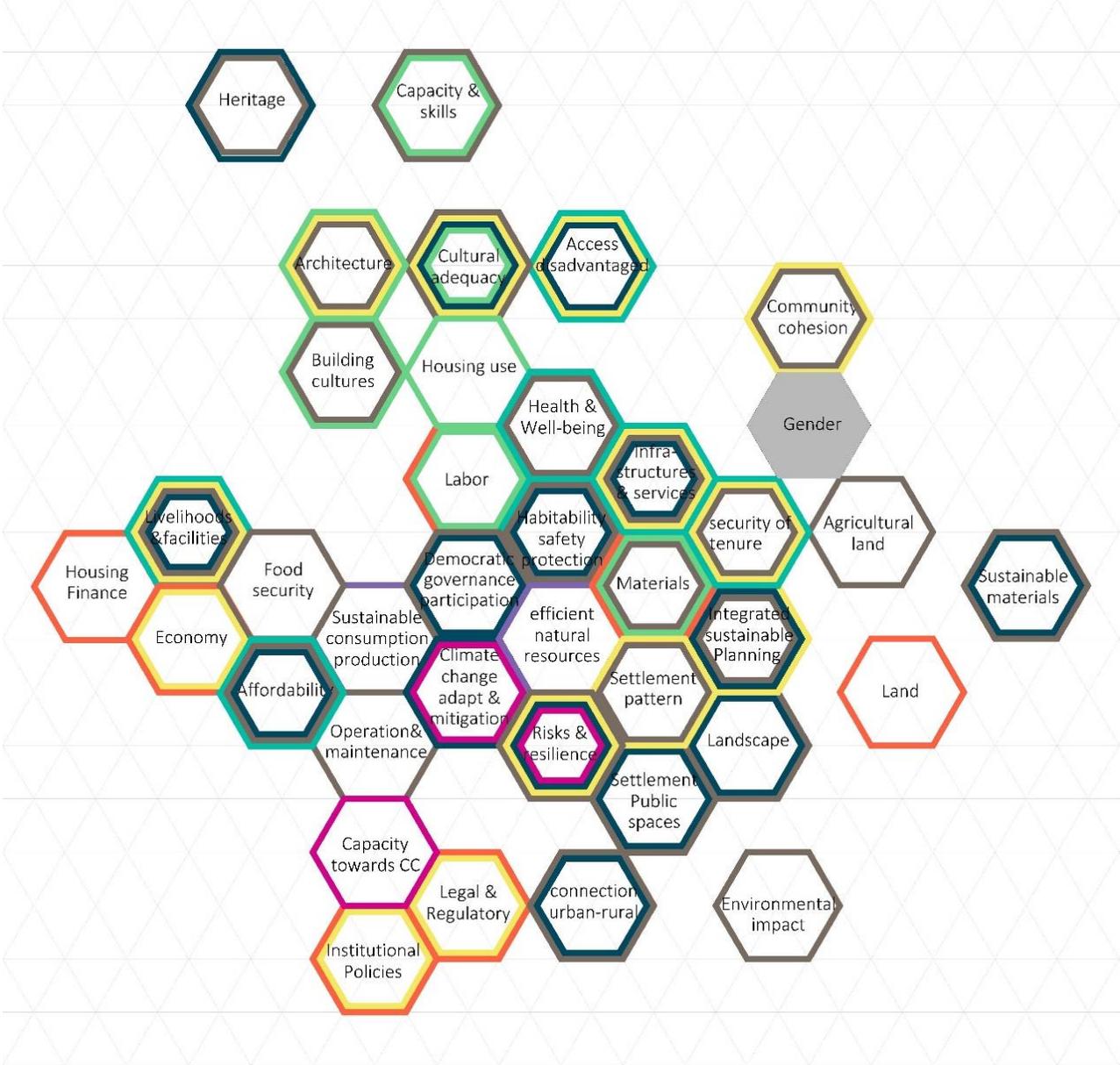


Figure 12. Factors affecting human settlements.

To show the potential for connectivity the author has selected the Context of Housing Markets and Policies (Acioly, Horwood, 2010, p. 21). This theoretical view defines the factors affecting housing **affordability**, considering supply and demand in the context of housing policies. Reorganizing this view through the framework proposed, may help to portrait it through a new perspective, and show causal dynamics.

However, the framework has the potential to further connect this view with other elements and factors as required by the situation. By doing so, we can expand the view towards a more complex contextual understanding, allowing additional factors to join pre-existing views, and highlighting the underlying dynamics and their translation into causal links.

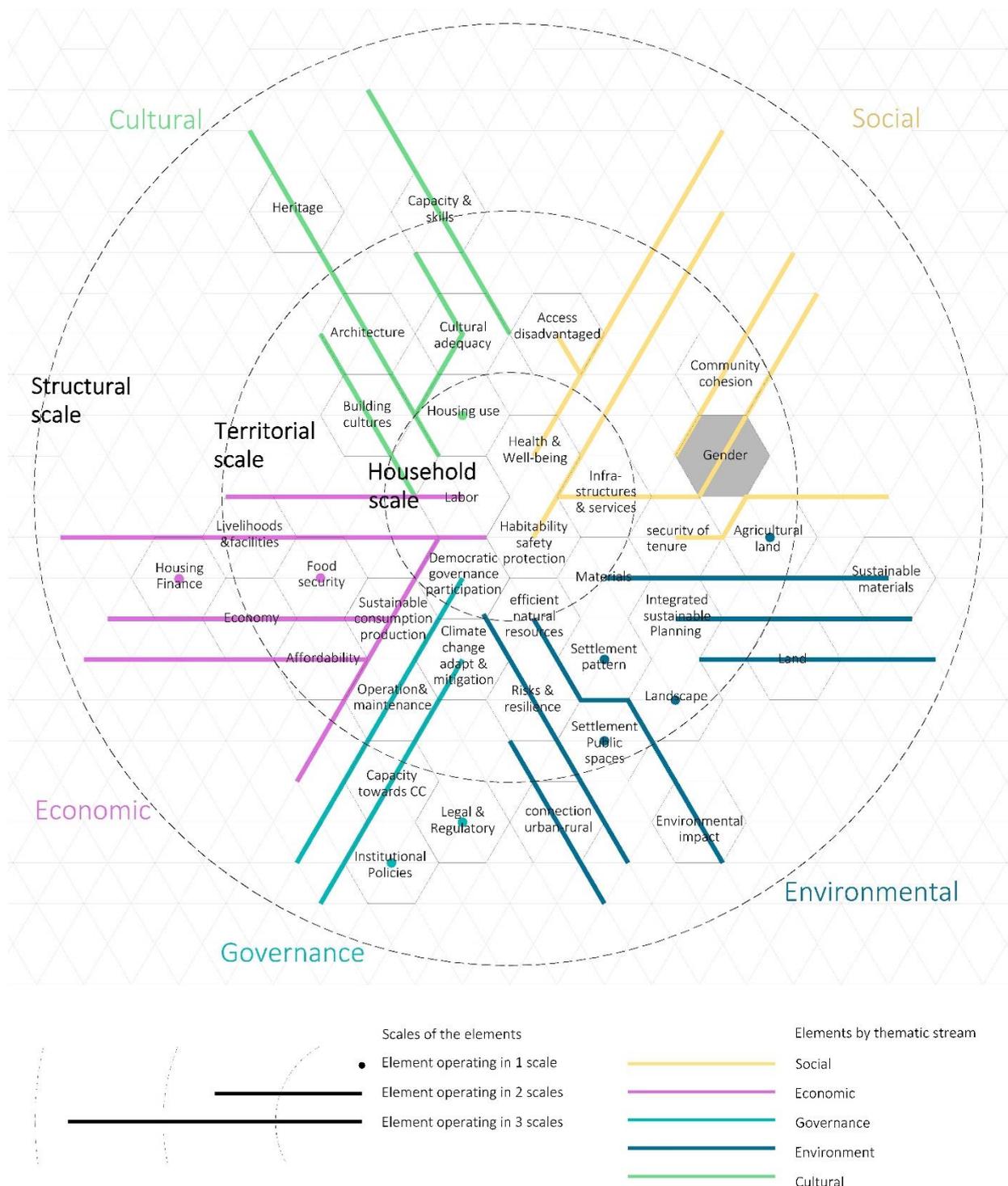


Figure 14. Multi-scale and workstreams framework for comprehending human settlements interrelations. also including the legend of the framework

The organization of the factors part of the framework follows a thematic composition that is linked to the multisectoral character of the territorial assessment. The author builds these main thematic workstreams based on the four sustainability pillars: environmental, social, economic, and cultural (Garnier, Rakotomalala, Sala, et al., 2018) and includes governance as the fifth thematic area (Joffroy, 2018). These factors, however, do not act purely within one exclusive pillar or theme. Their interventions, effects, and impacts can be classified or understood according to different themes. For instance, housing use is a cultural aspect with social, economic, and governance ramifications.

3.3 Process of application

Territorial assessments are transformational processes aiming to empower actors of a territory, and as such, go beyond the application of a framework or tool. Monnet and Langlois (2002) mention that assessment methods have become tools and instruments; however, they are processes originally. Results are not – naively – coming from the tools but from the process itself and how the tools are applied (appropriation, attitude, mindset) by the assessment's conductor (*Ibid.*, 2002). Acknowledging this characteristic and build a coherent frame is vital to fulfilling the potential of the approach.

In the proposed territorial assessment framework, the process involves different time periods ($t=0$, $t=1$, $t=2$, etc.) in which the analysis is done iteratively. The focus of the assessments is the dynamics connecting **multiple elements** affecting human settlement. In a process, these elements may become actions or interventions pushed by the actors – **multiple stakeholders** – towards a **long-term vision**.

In the following figure, between $t=1$ and $t=2$, actors' synergies allow the creation of new actions that **exceed the initial scale** in the wake of a parallel vision. Based on the collaboration of stakeholders and institutions adapting local policies to social expectations, this new stream or action is what Hommage (2007) describes as **public and social action**.

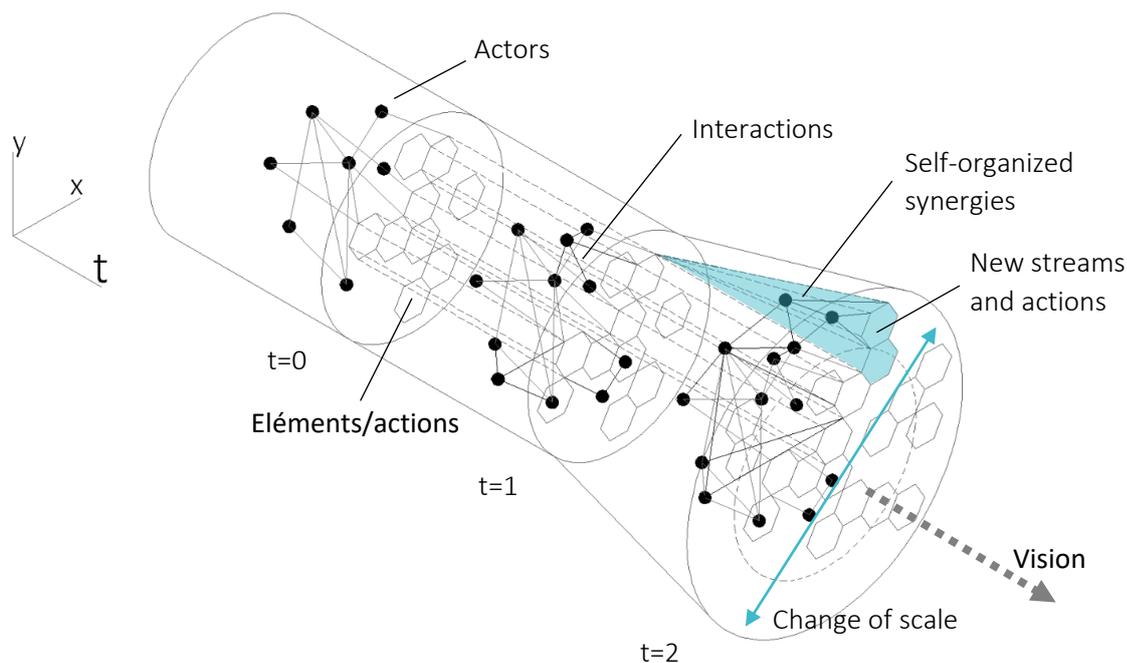


Figure 15. Process of territorial assessments application in the human settlements' context, proposed by the author.

This study proposes an operational process based on the territorial assessment process described in article 1.2.1 *Inherently part of a process and a -long term- vision*. The process is complemented by phases identified during the research process, such as preconditions evaluation/appropriateness, process iteration (allowing learning and fine-tuning), and fostering synergies (to enable alternative plans and interventions) as a cross-cutting activity throughout the process.

3.4 Strategy of intervention

Understanding a territory implies multiple sectors and multidisciplinary and uses an actors'-based approach. A further step to integrate the territorial approach into context assessments implies three essential strategies:

- **Systematically integrating the long-term vision from the assessment** may be the key element to develop territorialized projects. Building a shared vision and aiming an impact at the territorial and public level is the final goal of this process.

To do so, it is needed to organizationally engage in the long run with a context and its actors to pursue that vision that may change or adapt along with the process. This can be done using punctual or a continuum of actions to build understanding and synergies in a territory.

- **Territorial assessments mean a change of scale, not just in the assessment but in the subsequent intervention.** This allows to address territorial issues and build the long-term vision coherently.

An interviewee mentioned that “we do not arrive in neutral territories, but with issues at stake”. Prudence and humility are highly required attitudes among the conductors of the assessment, translating in flexible interventions that can be undone. Shifting from a household scale to a larger one might translate into massive interventions; however, action planning or territorial acupuncture may be better placed in terms of feasibility to progressively increase the intervention's programmatic scale towards a consensual vision. Moreover, increasing the scale of assessment and intervention also implies involving further stakeholders and actors at scales that affect the process of intervention.

As acknowledged by the IASC (2018), humanitarian interventions mainly target the household level. However, the opportunity exists to move towards a broader understanding and, therefore, spatial, territorial, and public-focused interventions. Also, set towards covering the humanitarian and development nexus.

- **Involving local actors becomes an objective rather than a mean.** The objective is to foster cross-sectoral and self-organized synergies among actors (and between natural processes and human activities) and build a conducive environment resulting in new streams and actions. Territorial Assessments can be the first step towards political and public action if they can define a plan, set productive partnerships, and showcase results and case studies towards alternative citizens' actions.

4 CONCLUSIONS, RECOMMENDATIONS AND FURTHER RESEARCH

4.1 Conclusions

Territorial assessments are a strategic step towards a -sustainable- vision for a territory rather than a simple “picture” of a context. This territorial vision is made by the actors of the territory, empowered to act in this shared construction (Lardon, Piveteau, 2005). A territorial assessment is characterized as:

- (1) Inherently part of both an assessment process to understand a context and a vision to transform it,
- (2) It considers complex focuses of analysis such as thematic areas, systems, scales, and temporal dynamics,
- (3) It is made and steered by multiple actors,
- (4) the object of social action with the potential of becoming a political tool, and
- (5) limited by boundaries and scales to be efficient.

Also, territorial assessments have associated limitations linked with the natural limitations and boundaries of the territorial concept in connection with a sustainable development view and a globalized and changing environment. Under this perspective, the territorial basis – and its scale – of the concept is at the same time the strength and the weakness of the approach.

Moreover, this research has identified parallelisms between territorial assessment and other key spatial-based approaches used in humanitarian and development sectors:

Area-based approaches (ABA) or settlement approaches in humanitarian responses are characterized by multisectoral support, multiple stakeholders, geographically based and people-centered interventions (USWG, 2019 ; Sanderson, Sitko, 2017). This approach is a reaction to the usual sectoral programming and the humanitarian sector's inability to deal with complex contexts. Besides, these approaches are bringing an opportunity to connect humanitarian and development interventions, as they work over a territorial basis, supporting existing structures (Sanderson, 2019 ; IASC, 2018), and linked with local plans and policies (Maynard, Parker, Yoseph-Paulus, et al., 2017).

Urban and territorial planning is also multi-dimensional and iterative processes (through assessment, plan, operationalization, implementation, and evaluation phases) that articulates political decisions towards a shared vision, considering multiple geographical scales (UN-Habitat, 2015). Based on these scales, the capabilities and objectives of the planning process change. For instance, working at a supranational scale may be more effective in addressing global issues such as climate change at a neighborhood level. The planning process is also characterized by a participatory decision-making methodology involving multiple actors (Garel, Ramalho, 2020).

Systems dynamics modeling is a computer-based tool to deal with contextual complexity and support decision-making. Applying these instruments in territorial assessment and planning processes can facilitate understanding complex sectoral relationships and simulate alternative visions and scenarios.

The main underlying difference among the above approaches can strive in the use of a vision, together with a political component. ABAs, for instance, aim to have a complex understanding of the context and their actors in the pursuit of more adapted and needs-based humanitarian assistance, but they lose the opportunity to construct a vision. In summary, **traditional projects or programs used in humanitarian and development sectors are based on a present time, while the territorial approach requires and builds towards a long-term vision.** One of the questions resulting from this study is how relevant this vision may be to covering the gap between humanitarian (Area-based approaches) and development interventions (territorial planning). Moreover, territorial approaches are seen as an opportunity to

bridge the gap between humanitarian and development interventions due to their focus on the existing context and the built environment. However, the nexus' practical terms based on the territory are yet to be constructed and demonstrated.

Moreover, the research conducted over approaches and tools flags the need to address the overuse and unmeasured **concept of participation**. Despite ongoing initiatives such as the Grand Bargain, in practical terms, participation lacks frameworks, indicators, and evaluation systems; and remains far from the social reform and empowerment envisioned by Arnstein (1969). There is a great area of improvement and systematization over this subject: Frameworks such as the five-point continuum of participatory processes (IAP2) may be an opportunity to tackle this need.

Interventions and assessments with longer-term and more profound impact emphasize the need for a better adaptation, understanding, and flexibility. The resulting enhanced responsibility of humanitarian and development actors implementing complex programs also increases the internal awareness to implement adaptable or reversible programs in case of a negative impact. Likewise, several calls go in the direction of more locally enrooted interventions considering the existing structures mostly within the public sector (such as legal, regulatory, and institutional frameworks) and local development plans (IASC, 2018; Campbell, 2018). However, implementing spatial-based assessments requires multidisciplinary skills, resources, and a conducive environment, which are precise preconditions from an operational perspective. More comprehensive assessments of a – territorial – context are an investment that naturally leads to a wider and longer-term intervention. Otherwise, it can result in inefficient use of resources and negatively affect local expectations and trust.

4.2 Proposal

This study proposes a framework to conduct territorial assessments that highlights **the causal connections between the factors affecting human settlements**. Because the territorial approach shifts the focus from the individual level towards a more comprehensive approach, **the framework proposes different scales of intervention (household, territorial and structural ones) where the factors operate and interconnect**. This territorial view may help understand contextual complexity, illustrating the underlying dynamics among factors, and identifying the optimal scale(s) and limits of the intervention. At same time, territorial assessments inherently propose a long-term vision and aim to foster social change.

The proposed iterative process of the application focuses on the dynamics connecting multiple elements or factors affecting human settlements. These elements may become actions or interventions driven by the actors – multiple stakeholders – towards a long-term vision. The creation of new actions that exceed the initial scale, based on the collaboration of stakeholders and institutions, is what Hommage (2007) describes as public and social action. Figure 17 (page 34) illustrates the process of territorial assessments.

In summary, the key strategies to conduct territorial assessments are:

- The integration of the long-term vision in the assessment may be the key element to develop territorialized projects. It may be required a long-term organizational engagement with a context and its actors to build shared views and synergies in a territory.
- The change of scale in the assessment implies a change of scale in the subsequent intervention allowing to address territorial issues and build a vision coherently. However, changing the scale does not necessarily translate into massive interventions. Action planning or territorial acupuncture may be better placed in terms of feasibility, allowing a progressive increase of the programmatic scale.

- Involving local actors becomes an objective rather than a mean. The objective is to foster cross-sectoral synergies between actors. Doing this, territorial assessments can be the first step towards political and public action.

4.3 Further research and recommendations

This exploratory exercise on territorial assessments has shown some theoretical parallelisms between the territorial project approach and humanitarian or developmental intervention approaches. However, the study's main limitation is its theoretical dimension and its restricted scope and time constraints.

Further research should tackle this limitation and address the parallelism between long-term iterative humanitarian or development interventions and purely territorial assessments focusing on practical cases. To do so, CRAterre's interventions in Haiti and Mayote (France) could be reinterpreted based on the framework proposed and fit into the characterization required: multi-scale, multi-sector, and multi-actor. A third by-the-book territorial assessment or project should be identified, most likely in metropolitan France, to establish a comparative analysis.

Further study's objectives would be to showcase the process and define a systematization of the method, researching the methodology of intervention, practical results, key learnings, and barriers and opportunities. More importantly, to **highlight the underlying dynamics that trigger strategic sectors within human settlements**, as in the selected previous case of the interrelations affecting affordability (Acioly, Horwood, 2010).

Complementary questions may be the role of territorial or spatial-based projects to address the nexus between humanitarian and development projects and their role in fostering, systematizing, measuring, and evaluating citizens' participation.

Strategic recommendations

Conducting territorial assessments requires developing or have access to specific skills at an institutional level. Multiple analysis and interdisciplinarity sectors require multiple levels of expertise and knowledge, including participatory methods, institutional capability, and knowledge on the territorial assessment process itself. Any organization willing to create such capacity should undergo a strategic review to identify their capacities towards this goal and develop internally and externally the complementarities required.

CRAterre/AE&CC has had a crucial role in developing the housing project analysis tool, Sherpa. The remarkable comprehensiveness of the tool to measure sustainability, as one of the pillars of the analytic framework presented in this study, can be an entry point to build multi-sectoral and multi-scale knowledge. Therefore, there is an opportunity to systematize the use of this tool, analyzing and evaluating CRAterre's interventions in the first place, to ensure that they meet these sustainability criteria while developing comprehensive internal capacity.

Citizens' and actors' participation is a characteristic of territorial assessments that remains unmeasured and rarely evaluated. A responsibility towards comprehensive and empowering assessments should go hand in hand with a better understanding and implementation of participatory and democratic methods. Ensuring transparency, accountability, and measurable methods would require an institutional commitment to put systems and indicators in place. It is recommended to explore further and establish a scientific, measurable, and systematic participatory approach as a standard procedure within CRAterre action-research activities.

Bibliography

- ACIOLY, Claudio, HORWOOD, Christopher, 2010. *A Practical Guide for Conducting : Housing Profiles*. [S.l.] : United Nations Human Settlements Programme (UN-HABITAT).
- ANTUÑA-ROZADO, Carmen, GARCÍA-NAVARRO, Justo, MARIÑO-DREWS, Juana, 2018. « Facilitation processes and skills supporting ecocity development ». In : *Energies*. 2018. Vol. 11, n° 4, p. 1-22. DOI 10.3390/en11040777.
- ARNSTEIN, Sherry R., 1969. « A Ladder Of Citizen Participation ». In : *Journal of the American Planning Association*. 1969. Vol. 35, n° 4, p. 216-224. DOI 10.1080/01944366908977225.
- BESANCENOT, François, 2008. « Réalisation d'un diagnostic territorial de développement durable. Expérimentation dans le Bassin potassique alsacien ». In : *Développement durable et territoires*. 2008. p. 0-12. DOI 10.4000/developpementdurable.6083.
- CAIMI, Annalisa, 2015. *Assessing local building cultures for resilience & development* [en ligne]. [S.l.] : CRAterre - International Centre for Earthen Construction. Disponible sur : < https://archive.org/details/Assessing_Local_Building/page/n1 > ISBN 978-2-906901-86-5.
- CAMPBELL, Leah, 2016. *Stepping back: Understanding cities and their systems* [en ligne]. London : Disponible sur : < <https://www.alnap.org/help-library/stepping-back-understanding-cities-and-their-systems> >
- CAMPBELL, Leah, 2018. *Whats Missing? Adding context to the urban response toolbox* [en ligne]. ALNAP Stud. London : ALNAP/ODI. 134 p. Disponible sur : < <https://www.alnap.org/help-library/whats-missing-adding-context-to-the-urban-response-toolbox> > ISBN 9781910454640.
- CARE INTERNATIONAL, GLOBAL SHELTER CLUSTER, 2020. « Lebanon Housing Land and Property mapping ». In : [en ligne]. 2020. Disponible sur : < <https://www.sheltercluster.org/resources/documents/lebanon-hlp-mapping-care> > (consulté le 21 octobre 2020).
- COMITÉ DE LIAISON DES COMITÉS DE BASSINS D'EMPLOI, 1997. *Construire un projet de territoire. Du diagnostic aux stratégies*. Villes et. Paris : DATAR - Délégation à l'aménagement du territoire et à l'action Régionale. 73 p. ISBN 211082168X.
- CRATERRE, IOM, HUMANITARIAN BENCHMARK, 2019. *GUIDE FOR THE DIAGNOSIS OF LOCAL CONSTRUCTION TIMOR-LESTE* [en ligne]. [S.l.] : [s.n.]. Disponible sur : < [https://img1.wsimg.com/blobby/go/a227c4d4-aa66-4ead-b3cf-ea424f7e31f5/downloads/CRAterre Manual diagnosis local construction E.pdf?ver=1598615037688](https://img1.wsimg.com/blobby/go/a227c4d4-aa66-4ead-b3cf-ea424f7e31f5/downloads/CRAterre%20Manual%20diagnosis%20local%20construction%20E.pdf?ver=1598615037688) > (consulté le 21 octobre 2020).
- DUMONT, Gerard-François, 2012. *Diagnostic et gouvernance des territoires. Concepts, methode, application*. [S.l.] : Armand Colin. 299 p. ISBN 972-2-200-27830-4.
- GAREL, Laure, RAMALHO, Thomaz, 2020. *Participatory Incremental Urban Planning: A Toolbox to support local governments in developing countries to implement the New Urban Agenda and the Sustainable Development Goals*. Nairobi : United Nations Human Settlements Programme (UN-HABITAT).
- GARNIER, Philippe, RAKOTOMALALA, Lalaina, SALA, Giulia, ANTUÑA ROZADO, Carmen, BOCK, Maximilian, HERDA, Gregor, SALCEDO, Jesus, 2018. *SHERPA for Sustainable Housing Projects: Training booklet*. [S.l.] : GHSH, CRAterre/Labex-AE&CC, VTT, UN Habitat, University of Cambridge.
- GIRAUT, Frédéric, 2013. « Territoire multisitué, complexité territoriale et postmodernité territoriale : des concepts opératoires pour rendre compte des territorialités contemporaines ? ». In :

- L'Espace géographique*. 2013. Vol. 4 Tome 42, p. 293-305.
- GODELIER, Maurice, 1984. *L'Idéal et le matériel : pensée, économies, sociétés*. Paris : [s.n.]. 348 p. ISBN 2-213-01336-5.
- GUMUCHIAN, Hervé, GRASSET, Eric, LAJARGE, Romain, ROUX, Emmanuel, 2003. *Les acteurs ces oubliés du territoire*. Anthropos. Paris : Economica. 186 p. ISBN 2717845852.
- HOFMANN, Mathias, MÜNSTER, Sander, NOENNIG, Jörg Rainer, 2020. « A Theoretical Framework for the Evaluation of Massive Digital Participation Systems in Urban Planning ». In : *Journal of Geovisualization and Spatial Analysis*. 2020. Vol. 4, n° 1, p. 1-12. DOI 10.1007/s41651-019-0040-3.
- HOMMAGE, Corinne, 2007. « La démarche de diagnostic territorial au service d'une dynamique partenariale et citoyenne ». In : *Les Sciences de l'éducation - Pour l'Ère nouvelle*. 2007. Vol. 40, n° 1, p. 79-95. DOI 10.3917/lsdle.401.0079.
- IASC, 2018. *Guidance Note for Coordination in Urban Crises* [en ligne]. [S.l.] : Inter-Agency Standing Committee. Reference Group on Meeting Humanitarian Challenges in Urban Areas. Disponible sur : < <https://www.humanitarianlibrary.org/sites/default/files/2018/12/6.-IASC-MCHUA-Urban-Coordination-Guidance-Note.pdf> >
- INTER-AGENCY STANDING COMMITTEE, 2016. « the Grand Bargain ». In : [en ligne]. 2016. Disponible sur : < <https://interagencystandingcommittee.org/about-the-grand-bargain> > (consulté le 2 septembre 2020).
- JEANNOT, Gilles, TALHA, Anne, MAUJEAN, Sébastien, GRILLET, Sven, BION, Jean-Yves, 2003. *Le diagnostic territorial : un outil de l'action publique. Cahier n° 4 : Diagnostics de territoires et systèmes d'acteurs*. [S.l.] :
- JOFFROY, Thierry, 2018. « Dossier de demande d'habilitation à diriger les recherches De quelques briques de terre à un Laboratoire d'Excellence ». In : . 2018. Vol. 2, p. 1-232.
- KONYNDYK, Jeremy, SAEZ, Patrick, WORDEN, Rose, 2020. *Inclusive Coordination : Building and Area-Based Humanitarian Coordination Model* [en ligne]. Washington, DC : Center for Global Development. Disponible sur : < <https://www.cgdev.org/publication/inclusive-coordination-building-area-based-humanitarian-coordination-model> >
- LAJARGE, Romain, 2012. *Territorialites et développement. Contribution aux sciences territoriales*. [S.l.] : Université de Grenoble. Laboratoire PACTE. 333 p.
- LARDON, Sylvie, 2003. « Diagnostic de territoire et représentations spatiales : les chorèmes, graphes et jeux ». In : DEBARBIEUX, Bernard, LARDON, Sylvie (dir.), *Les figures du projet territorial*. [S.l.] : La Tour d'Aigues, Editions de l'Aube. p. 109-129.
- LARDON, Sylvie, PIVETEAU, Vincent, 2005. « Méthodologie de diagnostic pour le projet de territoire : une approche par les modèles spatiaux ». In : *Géocarrefour*. 2005. Vol. 80, n° 2, p. 75-90. DOI 10.4000/geocarrefour.980.
- LARDON, Sylvie, PIVETEAU, Vincent, LELLI, Laurent, 2005. « Le diagnostic des territoires ». In : *Geocarrefour* [en ligne]. 2005. Vol. 80/2, p. 71-74. Disponible sur : < <http://journals.openedition.org/geocarrefour/979> >
- LERNER, Jaime, 2014. *Urban Acupuncture. Celebrating Pinpricks of Change that Enrich City Life*. Washington, DC : Island Press. 160 p. ISBN 1610915836.
- MAYNARD, Victoria, PARKER, Elizabeth, YOSEPH-PAULUS, Rahayu, GARCIA, David, 2017. *Thinking bigger: area-based and urban planning approaches to humanitarian crises* [en ligne]. London :

- IIED, Urban Crises. Disponible sur : < <http://pubs.iied.org/17443IIED> >
- MEADOWS, Donella H., 2009. *Thinking in Systems -A primer-*. Vol. 53. London : Earthscan. 218 p. ISBN 978-1-84407-726-7.
- MONNET, Sophie, LANGLOIS, Mélanie, 2002. *Les diagnostics participatifs en milieu rural L'exemple du projet Shepac aux Philippines*. [S.l.] : Handicap International. ISBN 2909064611.
- NABATCHI, Tina, 2012. *A Manager's Guide to Evaluating Citizen Participation*. [S.l.] : IBM Center for The Business of government.
- OECD, 2017. *OECD Territorial Reviews: Sweden 2017: Monitoring Progress in Multi-level Governance and Rural Policy* [en ligne]. Paris : [s.n.]. Disponible sur : < <https://dx.doi.org/10.1787/9789264268883-en> > ISBN 978-92-64-26887-3.
- OFFICE OF THE UNITED NATIONS HIGH COMMISSIONER FOR HUMAN RIGHTS, UN-HABITAT, 2009. *The Right to Adequate Housing*. Geneva : Office of the United Nations High Commissioner for Human Rights.
- PAQUOT, Thierry, 2011. « QU'EST-CE QU'UN « TERRITOIRE » ? » In : *ERES / « Vie sociale »* [en ligne]. 2011. Vol. 2, p. 23-32. Disponible sur : < <https://www.cairn.info/revue-vie-sociale-2011-2-page-23.htm> >
- PARIZET, Raphaëlle, 2016. « Le « pauvre d'abord ». Une analyse des dynamiques circulatoires de la participation populaire au développement ». In : *Participations, 2016/1 (N° 14)* [en ligne]. [S.l.] : De Boeck Supérieur. p. 61-90. Disponible sur : < <https://www.cairn-int.info/revue-participations-2016-1-page-61.htm> > ISBN 9782807390348.
- PARK, Moonseo, KIM, Youngjoo, LEE, Hyun soo, HAN, Sangwon, HWANG, Sungjoo, CHOI, Min Ji, 2013. « Modeling the dynamics of urban development project: Focusing on self-sufficient city development ». In : *Mathematical and Computer Modelling* [en ligne]. 2013. Vol. 57, n° 9-10, p. 2082-2093. DOI 10.1016/j.mcm.2011.05.058. Disponible sur : < <http://dx.doi.org/10.1016/j.mcm.2011.05.058> >
- PARKER, Elizabeth, MAYNARD, Victoria, 2015. *Humanitarian response to urban crises: a review of area-based approaches* [en ligne]. London : Disponible sur : < <http://pubs.iied.org/10742IIED> >
- PESQUEUX, Yvon, 2014. « DE LA NOTION DE TERRITOIRE ». In : *Prospective et stratégie* [en ligne]. 2014. Vol. 1, p. 55-68. Disponible sur : < <https://www.cairn.info/revue-prospective-et-strategie-2014-1-page-55.htm> >
- PIVETEAU, Vincent, LARDON, Sylvie, 2002. « Chorèmes et diagnostics de territoire : une expérience de formation ». In : *Mappe Monde*. 2002. Vol. 68, p. 1-6.
- RAN, Bing, 2012. « Evaluating Public Participation in Environmental Policy-Making ». In : *Journal of US - China Public Administration* [en ligne]. 2012. Vol. 9, n° 4, p. 407-423. Disponible sur : < http://search.proquest.com/docview/1465056046?accountid=44269%5Cnhttp://www.lusodoc.pt/b-on/?url_ver=Z39.88-2004&rft_val_fmt=info:ofi/fmt:kev:mtx:journal&genre=unknown&sid=ProQ:ProQ:politicalscience&atitle=Evaluating+Public+Participation+in+Environmental+ >
- ROUX, Emmanuel, LAJARGE, Romain, ESTERNI, Mathieu, 2005. « Un diagnostic pour re-connaître et territorialiser ? Contribution à la construction d'un projet de Parc naturel régional dans les Baronnies (Drôme, Hautes-Alpes) ». In : *Géocarrefour - Revue de géographie de Lyon, Association des amis de la revue de géographie de Lyon*. 2005. Vol. 80, n° 2, p. 131-143. DOI 10.4000/geocarrefour.1062.
- SANDERSON, D., SITKO, P., 2017. *Urban area-based approaches in post-disaster contexts. Guidance*

- note for Humanitarian Practitioners* [en ligne]. London : Disponible sur : < <http://pubs.iied.org/10825IIED> >
- SANDERSON, David, 2019. « Urban Humanitarian Response ». In : *Good Practice Review. Humanitarian Practice Network* [en ligne]. 2019. n° 12, p. 1-244. Disponible sur : < <http://www.urban-response.org/%5Cnhttp://www.urban-response.org/resource/5936> >
- SANDERSON, David, SHARMA, Anshu, 2018. *The State of Humanitarian Shelter and Settlements* [en ligne]. [S.l.] : Disponible sur : < https://www.preventionweb.net/files/62787_thestateofhumanitarianshelterandset.pdf >
- SÉBASTIEN, Léa, 2015. « Le territoire, un système socio-patrimonial décrypté par le modèle de l'Acteur en 4 Dimensions ». In : *Nouvelles perspectives en sciences sociales*. 2015. Vol. 10, n° 1, p. 283-329. DOI 10.7202/1028442ar.
- SEVILLANO GUTIERREZ, Enrique, MURTAGH, Victoria, CRÉTÉ, Eugénie, 2018. *Detailed Shelter Response Profile: Ethiopia. Local Building Cultures for sustainable and resilient habitats* [en ligne]. [S.l.] : Disponible sur : < https://ia800707.us.archive.org/30/items/Shelter_Ethiopia/17493_Fiche_Ethiopie.pdf > (consulté le 21 octobre 2020).
- UN-HABITAT, 2015. *International Guidelines on Urban and Territorial Planning* [en ligne]. Nairobi : United Nations Human Settlements Programme (UN-HABITAT). Disponible sur : < https://unhabitat.org/sites/default/files/download-manager-files/IG-UTP_English.pdf >
- UN HABITAT, 2017. *City Profile: Tyre* [en ligne]. [S.l.] : Disponible sur : < <https://unhabitat.org/tyre-city-profile-2017/> >
- UNITED NATIONS, 2020. *Global indicator framework for the Sustainable Development Goals and targets of the 2030 Agenda for Sustainable Development* [en ligne]. [S.l.] : [s.n.]. Disponible sur : < https://unstats.un.org/sdgs/indicators/Global Indicator Framework after 2019 refinement_Eng.pdf%0Ahttps://unstats.un.org/sdgs/indicators/Global Indicator Framework_A.RES.71.313 Annex.pdf >
- USWG, 2019. « Area-based approaches in urban settings. Compendium of Case Studies ». In : *Compendium of Case Studies*. 2019. n° May, p. 1-14.
- WONG, Susan, GUGGENHEIM, Scott, 2018. « Community-driven development : myths and realities ». In : *World Bank Group. Social, Urban, Rural and Resilience Global Practice*. 2018. n° 8435. DOI 10.1596/1813-9450-8435.
- WORLD HEALTH ORGANIZATION, 2018. *WHO HOUSING AND HEALTH GUIDELINES* [en ligne]. Geneva : [s.n.]. Disponible sur : < <http://apps.who.int/bookorders>. > (consulté le 12 janvier 2021). ISBN 9789241550376.

Annex 1. Questionnaire

COMPREHENDING HUMAN SETTLEMENTS THROUGH TERRITORIAL ASSESSMENTS

Objective of this research

The importance of territorial approaches is gaining momentum among organizations invested in untangle the complexity of a given context. Territorial assessments – or similar spatial based analysis – are already being used in regional cooperation programs in the EU, humanitarian contexts, and international development approaches.

CRAterre/AE&CC is an organization committed to develop research, methodologies and tools that can be used by organizations to improve housing and human settlements conditions. Therefore, we seek to explore the territorial dimension approach, to open the focus and capture the big picture in our interventions.

The objectives of this research process are (1) to explore the different methodologies, practices or tools used to assess territories implemented by different actors (academia, public and private sectors, development and humanitarian sectors) that may be used (2) to develop a framework and process for conducting territorial assessments targeting a better comprehension of human settlements.

Definition of Territorial Assessments

Territorial assessment (TA) is the moment when actors of a territory are empowered to act in the construction of a shared vision for their territory. Therefore, actors are the ones constructing the Territorial assessment as it makes part of a shared development process or longer-term strategy (TA is usually the first step of it). (Lardon, Piveteau, 2005 ; Hommage, 2007 ; Besancenot, 2008)

Territorial assessment analyzes (1) defined thematic areas, and (2) the different systems and their interactions in a (3) multi-scale territory/space/region, considering (4) the evolving or temporal dynamics that affect it (Lardon, Piveteau, 2005 ; Dumont, 2012). TA substitutes sectoral approaches (juxtaposition of themes) since it looks for a more holistic and complex view and intervention (Hommage, 2007).

QUESTIONNAIRE

- The questionnaire will take 45' and will be recorded to accurately capture your insights. Would you give me permission to do so?
- Can you please provide your name, position, and a bit of background on your work?

Understanding	1. What is a territorial assessment for you?
	2. What is the information you would expect to have in a territorial assessment?
Experience	3. Have you conducted territorial assessments (either being part of another assessment or purely a TA) in the past? If yes, could you please describe it?
	4. Have you participated in interventions considering a territorial approach? If yes, could you please describe it?
Analysis	5. What are the benefits and drawbacks of using territorial assessments/approaches?
Methods, guides, and tools	6. Whenever you conduct a territorial assessment or consider a territorial approach, what are the key steps and components you consider?
	7. Do you know about methodologies/guides to conduct territorial assessments?
Lessons learned	8. Do you know of any case where a territorial approach/assessment may have been relevant to better understand a context
	9. What would you need to integrate territorial approaches/assessments in your work?
Sources of information. Use and availability	10. What are the sources of information that you use normally? (people, government, secondary data, big data, other organizations, etc.) Do you know about other sources that you could use?
Other...	11. Could you refer me to any person that would have information about this topic?
	12. Do you want to share any additional information in this regard? Do you have any question?

ANNEX 2. INTERVIEWS

CRAterre/AE&CC ENSAG	Elsa Cauderay	Architect and consultant
	Enrique Sevillano Gutiérrez	Architect and consultant
	Sebastien Moriset	Heritage expert
	Olivier Moles	Program Manager Housing
	Carolyn Garcia & Vincent Trabaud	Architects and consultants
	Philippe Garnier	Architect-Researcher/ Head of Habitat programme
	Benjamin Bourdon & Almudena Albert	Architect and Social educator / Head of Mission and Project Manager
	Aysegul Cankat	Professor, Architect, Urban Planner
CRS	Seki Hirano	Team lead Shelter and Settlement Technical Advisors
PACTE Grenoble	Stephan Cartier	Head of research
UN Habitat	Christophe Lalande	Leader Housing Unit
VTT Technical Research Center	Carmen Antuna Rozado	Sr Scientist, MSc Architect
IFRC	Cecilia Schmölzer	Global Shelter Cluster Focal Point for Technical Coordination
Independent Consultant	Michael Majale	Architect, Planner, researcher
URD	Beatrice Boyer	Researcher, Architect, Planner
UNSW Australia	David Sanderson	Professor, Researcher, Architect

ANNEX 3. Explanatory table of elements and factors affecting the territory.

Every element located in the framework for comprehending human settlements interrelations is described in the table below. The description explains how it is related to or affects human settlements and/or territory. The source of the element, also the source of the description, is also mentioned in the second column. The table also shows the organization of the elements according to their operational scales, and their thematic workstream according to the sustainability pillars.

Element	Source	Description: How does it affect human settlements/territory?	Scale	Thematic workstream
Climate change adaptation and mitigation	SDGs	Cities and human settlements policies and plans can mitigate and adapt to climate change related hazards, fostering resilience to disasters, and develop and implement holistic disaster risk management.	Settlement and structural	Governance
Democratic governance and participation	SHERPA tool SDGs	Local actors' participation is a key element to build a territorial vision, which may result in social action. Direct participation of civil society in urban planning and management can affect appropriation, legitimacy, and community development.	Household, settlement, and structure	Governance
Operation and maintenance	SHERPA tool	Maintenance, its institutional mechanisms, frequency, and practices, need to be considered as it is related to economic sustainability, affordability, and lifespan of the housing and building stock. O&P extends to a wide group of built and non-built infrastructures, facilities, and services at the territorial level.	Household, settlement and structure	Governance
Institutional & policies frameworks	Housing delivery System Understanding urban context	Policies define the political vision and government objectives over a matter. In the context of this research, policies and laws have the power to bring more equity to the housing sector while increasing the government's ability to act preventatively against informality in housing and land supply.	Structural	Governance
Legal and regulatory frameworks	Housing delivery System Understanding urban context	The legal and regulatory framework is the set of applicable rules that support the vision of the policy (including laws, regulatory documents, compliance mechanisms). The establishment of enabling legal and regulatory frameworks, such as planning regulations, is conducive to generating housing opportunities and govern contextual solutions and local systems.	Structural	Governance
Capacity towards Climate Change	SDGs	Mechanisms to improve education, awareness-raising, and human and institutional capacity for effective climate change-related planning and management. This can include mitigation, adaptation, impact reduction, and early warning in settlements and communities	Settlement and structural	Governance
Settlement risks and resilience	SDGs Understanding urban contexts SHERPA tool Assessing Local Building Cultures	The holistic understanding of risk (shocks, stresses, vulnerabilities, exposure, possible impacts, capacities, and coping strategies) affecting territories, settlements, and communities, is critical to subsequently building resilience and reduce exposure and vulnerability to climate-related extreme events and other economic, social and environmental shocks and crisis. Territorial planning and regulations are essential to enhance resilience and to decrease vulnerability towards environmental and human-made hazards.	Settlement and structural	Environment

Settlements pattern	Understanding urban context SHERPA tool	It is a factor towards adaptation and mitigation of climatic conditions, considering and affecting transportation, health, safety, cultural practices, and social cohesion, among others.	Settlement	Environment
Integrated and sustainable Planning	Understanding urban context SHERPA tool SDG 11	The methods and systems used to conduct territorial or settlement planning (e.g., participation levels, transparency, etc.) also affect the outcome's appropriateness. Understanding the urban environment increases the capacity to contribute to long-term development and planning.	Settlement and structural	Environment
Settlement public spaces	SDG 11 SHERPA tool	Access (including women, children, elderly, and other vulnerable groups) to safe, inclusive, accessible, green, and public spaces. This may contribute to foster social and community cohesion.	Settlement	Environment
Connection urban-rural	SDG 11 SHERPA tool	The urban-rural interface links both economic, social and environmental factors. Addressing them through territorial, regional, and development planning is a way to decrease agricultural land impact, preserve valuable landscapes, and foster urban agriculture.	Settlement and structural	Environment
Landscape	SDG 11 SHERPA tool	Landscapes, linked to the concept of territory, are the result of human beings and nature interactions. The notion of the landscape has cultural, economic, and identity elements. Protecting landscapes can contribute to protecting biodiversity, resources, heritage, and knowledge.	Settlement	Environment
Agricultural Land	SHERPA tool	Contributes to food security, particularly considering future population growth. It is linked to urban sprawl and landscape protection.	Settlement	Environment
Land	Housing delivery System	The land is a scarce resource, pressured by a world-wide demographic demand. This resource's access to and availability is also qualitative as it can be "serviced" land or located in "hazard-prone" areas, affecting housing adequacy, security of tenure, or settlement's location.	Settlement and structural	Environment
Environmental Impact	SDGs SHERPA tool	Cities and settlements have a high environmental impact. Sound environmental management to reduce the impact of waste and chemicals throughout their life cycle and considerations towards air quality are key sustainability elements of a territory.	Household, settlement, and structural	Environment
Efficient Natural resources	SDGs	Sustainable management and efficient use of natural resources such as water, minerals, forest resources, and other biomass resources affect the building and construction sector and urban and city management.	Household, settlement, and structural	Environment
Materials and sustainable materials	Assessing Local Building Cultures SHERPA tool Housing delivery System SDGs	Construction materials are part of the construction process and, therefore, of a context's building culture. Together with local know-how, materials represent a strong potential to generate resilience and support local dynamics, while its availability affects affordability (and scalability) However, the building-materials industry has a significant impact on the environment, being a major consumer of natural resources and polluters of the environment. Considering materials' life cycle (embodied energy or their recyclability) and ensuring sustainable material extraction (including the protection of quarries and materials sources) can contribute to global sustainability and fight climate change.	Household, settlement, and structural	Environment
Habitability, safety, and protection	Right to adequate housing	A habitable housing guarantees physical safety and provides adequate space and protection against the cold, dampness, heat, rain, wind, other threats to health and structural hazards.	Household, settlement, and structure	Social

	SHERPA tool	Protection refers to the enjoyment of the whole range of human rights, including the right to housing, education, health, and personal security.		
	SDGs			
Access by disadvantaged population	Right to adequate housing Understanding urban context	Highly vulnerable groups, such as minorities, disadvantaged, marginalized, or displaced people and their specific needs, need to be considered. Different profiles may affect settlement's social cohesion, and the disparities among groups block access to land, transportation, public spaces, livelihoods, and/or legal protection for some.	Household, settlement, and structure	Social
	SDGs			
Gender		In most cultures, women and girls are primarily responsible for sustaining and maintaining the home and the care responsibilities, creating a different relationship to the home than men. However, many women and especially poor and marginalized women, do not have equal access to housing, land, and property rights and have unrealized the right to adequate housing. Of particular importance is the link between housing and gender-based violence. Gender and diversity-sensitive urban planning, governance, and housing innovations have the capacity to change how cities and housing facilitate the lives of their inhabitants (Khosla, 2014)	Household, settlement, and structure	Social
Health and well-being	Right to adequate housing SHERPA tool	Health and well-being consider structurally sound and accessible housing for disabled people, reducing the risk of injury, stress, and isolation. Extremes temperatures (high or low), indoor air pollution can cause respiratory or cardiovascular illnesses. Access to basic services attached to the home, such as safe drinking water and adequate sanitation, can decrease the development of communicable diseases. Crowded housing increases the risk of exposure to infectious disease. Building materials can also impact the inhabitant's health (World Health Organization, 2018). At a larger level, access to health care facilities and other sanitary-related infrastructures may have a health impact.	Household, settlement, and structure	Social
Community and social cohesion	Understanding urban context SHERPA tool	It is defined as the existing common vision and sense of belonging. In a cohesive community, people's diversity or those from different backgrounds are appreciated and positively valued. Strong and positive relationships are developed, affecting accessibility and safety of public spaces, facilities, and cultural spaces.	Settlement and structure	Social
Infrastructures and services	Housing delivery System Right to adequate housing SHERPA tool Understanding urban context SDGs	The availability of services, materials, facilities, and infrastructure, fulfill one of the criteria for adequate housing; This includes safe drinking water, adequate sanitation, energy for cooking, heating, lighting, and waste management. Sustainable and accessible transportation, including people with special needs, is also a key element.	Household, settlement, and structural	Social
Security of tenure	Right to adequate housing	Adequate housing requires occupants to have a degree of tenure security which guarantees legal protection against forced evictions, harassment, and other threats. Different tenure modalities (e.g., individual rental, communal	Settlement and structural	Social

	Understanding urban context	ownership, customary land use rights) can ensure enough security. Existence and access to land tenure management systems are also crucial. Complex land tenure dynamics and balances may exist and may affect the fulfillment of this right.		
Affordability	Right to adequate housing SHERPA tool SDGs	Housing is not adequate if its cost threatens or compromises the occupants' enjoyment of other human rights. If household expenditure for housing financing (mortgages) or rent and housing maintenance and transport costs do not exceed 30% of monthly household income, it is affordable. Affordability can be preemptively determined by factors such as housing demand, ability to pay, construction costing (labor and materials), housing finance, and land purchase/lease.	Household, settlement, and structure	Economic
Housing Finance	Housing delivery System	It scales the supply of housing opportunities and makes them accessible to all society segments through financial services, such as credit lines, community-based saving schemes, and mortgage products. Both financial services and its governance system affect housing demand. Housing finance is linked with the macro-economy, monetary, and economic policies, affecting the overall financial sector (income, asset development, employment generation and wealth production) and impacting the country's GDP.	Structural	Economic
Economy	Housing delivery System Understanding urban context	Components of the housing sector have strong linkages with the economy. For example, the construction sector provides employment and income generation opportunities. It helps boost technology development and enhances skills and knowledge that is likely to produce improvements in housing quality, promote research, and foster the labor force's development and capacity building. The role of markets & the private sector in the provision of housing, types of economic activity, existing vulnerabilities, poverty, and the influence of macro-economic dynamics on people are key factors affecting human settlements.	Household, settlement, and structure	Economic
Food security	SHERPA tool	Food is strongly connected with the need to address food production, supply, distribution, consumption, and nutrition security in a context and in a sustainable settlement. Attention to the food and agriculture system is needed since the agriculture sector offers critical solutions for development, livelihood security, and poverty eradication.	Settlement	Economic
Livelihoods and facilities	Right to adequate housing SHERPA tool SDGs Understanding urban context	Adequate and sustainable housing also requires access to employment opportunities and income generation, health-care services, schools, childcare centers, public rescue and security services, cultural activities, and other social facilities. Household livelihood security is defined as adequate and sustainable access to income and resources to meet basic needs (including adequate access to food, potable water, health facilities, educational opportunities, housing, time for community participation, and social integration). The variety of livelihoods & economic models, formal & informal affects the shape and functioning of the settlement.	Household, settlement, and structure	Economic
Labor	Housing delivery System Assessing Local	Construction labor is part of the housing supply market, the construction industry, and one of the linkages with the economy, culture, knowhow, and people's needs. It is composed of different skilled subgroups such as builders, engineers, architects, and planners.	Household and settlement	Economic

Building Cultures				
Sustainable consumption and production	SDGs	Linked to economy, materials and natural resources, sustainable consumption patterns and production aim to reduce waste generation, manage waste environmentally, use material with a low footprint, and address energy efficiency. Public procurement practices (addressing construction) can foster sustainable practices if policies are in place.	Household, settlement, and structural	Economic
Cultural adequacy	Assessing Local Building Cultures SHERPA tool Right to adequate housing Understanding urban context SDGs	Peoples' lifestyles, socio-cultural habits, customs, and knowledge and experience are embedded into their houses and settlements. Cultural adaptation is reflected in building cultures that adapt to local climatic conditions, cultural and symbolic processes of disaster preparedness, construction materials and ways of living, to mention some.	Household and settlement	Cultural
Heritage	SDGs SHERPA tool	Heritage can be tangible (referred to buildings, construction, or cities) or intangible (knowledge and know-how). It can show adaptation to the local environment in terms of resilience or sustainable consumption of local resources.	Household, settlement, and structure	Cultural
Architecture	Assessing Local Building Cultures SHERPA tool Understanding urban context	Architecture gathers design, planning, and construction of buildings (structure, space, shape) influenced by building cultures, aesthetic concepts, typologies, technical regulations, and scientific rules. It assembles societal norms and environmental integration (economy, customs, lifestyles, wellbeing, resources), responds to a building function (housing, institutions, religious, commercial), and to users' expectations (image, aspirations, spirituality).	Household, settlement, and structure	Cultural
Building cultures	Assessing Local Building Cultures SHERPA tool	Building cultures results from a long process of experimentation to set up a habitat in a given environment (context, site, climate, resources, social practices, and cultural models) in a territory's time and space, resulting in different building systems and architectures. Local building cultures are a reference to better target people's capacities, ensure sustainability, and improve community resilience.	Household and settlement	Cultural
Housing use	Assessing Local Building Cultures	The way a house is used is conditioned by its structural safety, durability, and design, related to its energy performance, adequacy to user needs, comfort and health conditions, and socio-cultural customs, rules, and responsibilities.	Household	Cultural
Capacities and skills	Assessing Local Building Cultures SHERPA tool	Understanding existing endogenous capacities helps to enhance adaptation, evolution and build on local strengths and dynamics. Throughout local populations ascribe value to their culture, better understand the local environment's potential, and prioritize housing and settlement improvements according to their technical and financial capacities.	Settlement and structure	Cultural