LOCALISE

Leveraging Opportunities for Community-led, Area-based, and Locally-driven Integrated Solutions for Empowered communities

IOM
UN MIGRATION

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Acronyms

CBNA: Community Based Needs Assessment

CSO: Civil Society Organisation

CCCM: Camp Coordination and Camp Management

DTM: Displacement Tracking Matrix

DEM: Digital Elevation Model

IDP: Internally Displaced Person

GIS: Geographic Information Systems

INGO: International Non-Governmental Organisation

HLP: Housing, Land, and Property

MSNA: Multi-Sector Needs Assessment

NGO: Non-Governmental Organisation

PESTEL: Political Economic, Sociaculturalm Technological, Environmental and Legal

VCA: Vulnerability and Capacity Assessment

WASH: Water, Sanitation and Hygiene

Glossary of Terms

Settlement-Based Approach: A holistic framework addressing humanitarian and development needs through spatial, social, and economic lenses to create sustainable settlements.

Stakeholder Mapping: The process of identifying and categorising stakeholders based on their interests, power, and influence to inform project engagement strategies.

Spatial Analysis: The examination of geographic data to understand settlement dynamics, such as land use, infrastructure placement, and environmental risks.

Community Mapping: A participatory process involving residents to identify assets, challenges, and resources within a settlement.

Vulnerability and Capacity Assessment (VCA): A methodology for identifying a community's vulnerabilities and strengths to inform action planning.

Geo-location Mapping: The process of positioning settlements and infrastructure within a defined regional context using geospatial data.

Housing, Land, and Property (HLP) Mapping: The assessment of housing conditions, ownership patterns, and land rights to guide equitable interventions.

Urban Form and Land Use Mapping: The visualisation of urban infrastructure, land zones, and patterns to support sustainable urban development.

Strategic Diagnosis: A high-level analysis identifying key challenges, opportunities, and recommendations for settlement improvement.

Baseline Mapping: Initial mapping of settlement boundaries, infrastructure, and key features to serve as a foundation for analysis.

Conflict Mapping: The process of visualising conflict dynamics, stakeholders, and potential triggers to inform conflict-sensitive programming.

Damage Assessment: A method for quantifying and analysing the extent of damage to infrastructure and services due to crises.

Multi-Sector Needs Assessment (MSNA): A structured assessment process capturing needs across different sectors (e.g., shelter, health, water).

Territorial Analysis: Understanding the spatial, social, and economic linkages of a settlement within a wider regional system.

Strategic Settlement Action Plan: The final roadmap outlining prioritised projects, milestones, and key strategies for implementing a settlement approach.

Community Asset Mapping: Identifying and categorising community resources such as infrastructure, skills, and networks.

Typologies: Classification of building styles, construction methods, and materials, often used to evaluate housing conditions.

Executive Summary

Purpose and Context:

The LOCALISE Toolkit provides a practical, integrated framework to implement settlement-based approaches in crisis-affected areas, addressing humanitarian and development challenges holistically.

Key Challenges Addressed:

Rapid urbanisation, displacement crises, post-disaster recovery, and sustainable development gaps.

Overview of the Approach:

A place-based, multi-sectoral methodology divided into three stages: Defining, Understanding, and Planning for settlements.

Key Outputs:

Settlement Approach Roadmap, Settlement Profile, and Strategic Settlement Action Plan.

Why It Matters:

LOCALISE bridges the gap between emergency response and long-term development, ensuring sustainable, community-driven solutions.

Intended Impact:

Enhanced resilience, support sustainable urban growth, and community participation.

User Guide amd Structure of Toolkit

This toolkit is designed to be user-friendly and accessible, with clear instructions and practical examples to guide you through each stage of the Settlement Approach.
It is complemented by a digital platform that provides additional resources, such as templates, case studies, and interactive tools.

The digital platform allows you to customise the toolkit to your specific needs, enabling you to select the tools and methodologies that are most relevant to your context. It also facilitates collaboration and knowledge-sharing among practitioners, offering a space for users to share their experiences and learn from each other.

The LOCALISE Toolkit follows a clear and logical hierarchy to guide practitioners through its implementation process:

1. Stage (X):

- High-level phases of the toolkit, outlining the overall process.
- Example: *Stage 2: Understanding the Settlement.*

2. Steps (X.X)

- Key components within each stage, describing major tasks that need to be completed to progress.
- Example: *2.2. settlement Analysis*

3. Activities (X.X.X)

- Specific actions required to complete each step. These are actionable and clearly described.
- Example: *2.2.1. Historical and Demographic Analysis*

4. Sub-Activities (X.X.X.X)

- Smaller, detailed tasks that support an activity. These provide granular guidance.
- Example: *3.2.1.2. Theory of change (supporting Activity 3.2.1. Visioning/setting Goals and Objectives)*

Each activity is organised into consistent sections to ensure clarity and usability:

1. Purpose

*Describes the **why**:*

- *Why this activity is important.*
- *What it aims to achieve in the overall process.*

Example:

- *"The Mapping Techniques activity aims to visualise spatial data to identify key settlement patterns, infrastructure gaps, and areas of vulnerability." (2.1.2.1 Mapping Techniques)*

2. Objectives

- *Outlines the **specific goals** to be achieved by the activity.*
- *Usually presented as bullet points for clarity*

Example:

- *"Define project selection criteria for prioritising community interventions."*
- *"Ensure alignment with community-led development priorities." (3.3.2 Consensus and Prioritisation)*

3. Results

*Explains the **expected outcomes** of the activity:*

- *What the user will have accomplished or produced upon completion.*
- *Often tangible outputs (e.g., reports, maps, stakeholder lists).*

Example:

- *"A visual map overlay showing areas of high population density alongside infrastructure gaps." (2.1.2.2 Overlaying Data for Comparative Analysis)*

4. Required Information

- *Outlines the key data necessary to progress to the next step in the process.*
- *Includes information that might be gathered from **secondary sources** or **collected directly.***
- *Ensures that practitioners have the evidence and understanding needed to make informed decisions and continue with subsequent activities.*

Example:

- *"Required information includes legal frameworks, governance structures, and institutional arrangements to identify constraints, reforms, and alignment opportunities." (2.3.2 Regulatory and Organisational Analysis)*

5. Steps 

- *Describes the **process** to complete the activity, broken into sequential, actionable tasks.*
- *Often includes **key questions** to guide practitioners.*

Example:

- *"Identify relevant stakeholders for initial project discussions."*
- *"Host participatory visioning workshops to develop shared goals." (3.2.1 Visioning/Setting Goals and Objectives)*

6. Suggested Tools

- *Lists **tools, frameworks, or methodologies** that practitioners can use to complete the activity.*
- *These tools are often standardised (e.g., GIS, RACI Matrix, SWOT Analysis).*

Example:

- *"Tools: Theory of Change, Participatory Mapping templates, and consensus-building frameworks." (3.2.2 Project Identification)*

7. Key Questions

- *Guiding questions to help practitioners reflect on specific aspects of the activity.*
- *Ensures the process is contextual and comprehensive.*

Example:

- *"What economic activities exist within the settlement, and how do they support local livelihoods?" (2.3.3 Economic Analysis)*

8. Examples

- *Practical illustrations or case studies that demonstrate how the activity can be applied.*
- *These make the guidance more relatable and actionable.*

Example:

- *"Opportunities: The presence of active micro-enterprises within the settlement provides a foundation for livelihood support programming." (2.3.4 Community Mapping)*

9. Key Considerations and Tips 

Tips for the user, that:

- *Highlights important factors to consider when conducting the activity.*
- *Provides guidance for navigating challenges and anticipating risks.*

Example:

- *"Key considerations include ensuring compliance with local legal frameworks, understanding power dynamics within governance structures, and accounting for potential conflicts or misalignments between stakeholders." (2.3.2 Regulatory and Organisational Analysis)*

Some steps or activities are optional due to contextual differences, varying levels of technical complexity, or their applicability to specific situations.

How to's 

*Describes the **why**:*

- *Why this activity is important.*
- *What it aims to achieve in the overall process.*

Example:

- *"The Mapping Techniques activity aims to visualise spatial data to identify key settlement patterns, infrastructure gaps, and areas of vulnerability." (2.1.2.1 Mapping Techniques)*

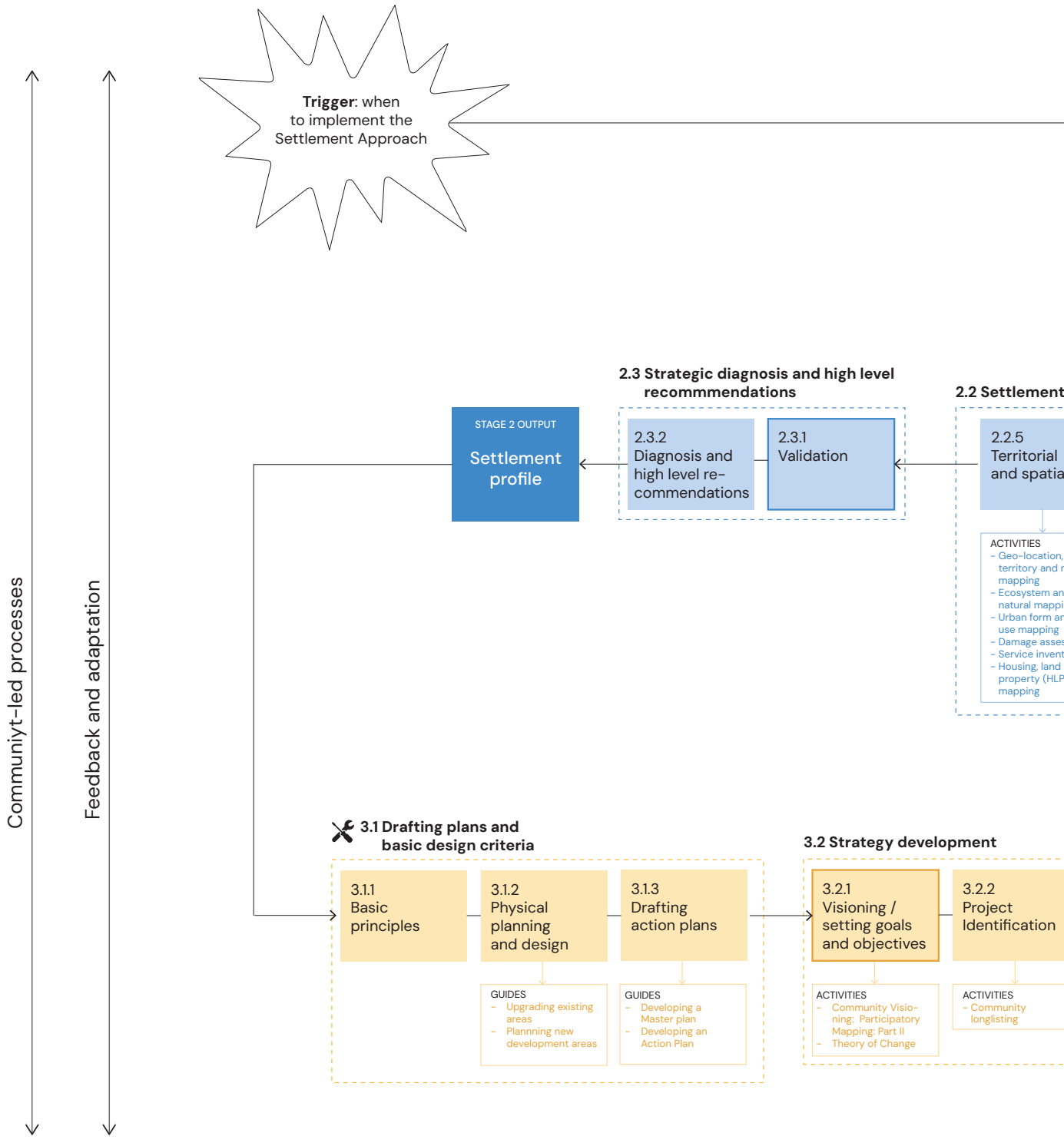
LOCALISE Framework: Implementing the Settlements

Stage 1
Defining areas of intervention and objectives

Stage 2
Understanding the Area

Stage 3
Planning and design

How



Approach

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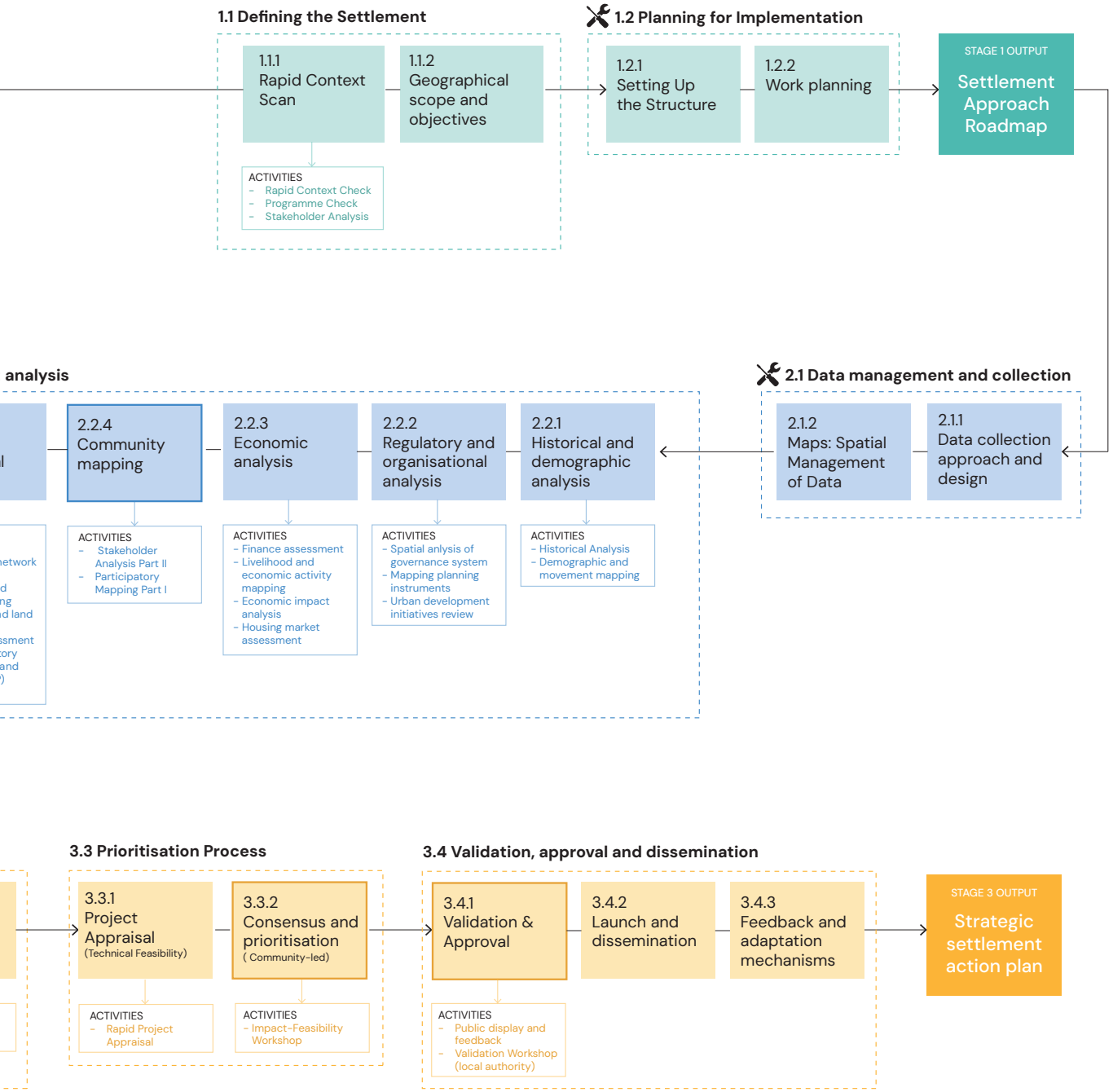


Introduction

1.1 Background and Context

Urbanisation is transforming the landscape of humanitarian and development programming, with 2.5 billion people expected to migrate to urban areas over the next three decades. This rapid urbanisation, coupled with the increasing complexity of crises, demands a shift from traditional sector-specific interventions to more integrated, multi-sectoral approaches. The International Organisation for Migration (IOM) recognises the need to address these challenges by adopting a settlement-based approach that leverages the interconnectedness of urban systems to enhance resilience, sustainability, and inclusivity.

The Settlements Approach, as outlined in the Global Shelter Cluster's 2022 Guidance Note, responds to the complex challenges of protracted conflicts, urbanisation, and environmental pressures by promoting a holistic, multisectoral response to crises. Recognising that crises impact various aspects of life simultaneously, the approach emphasises localised, collaborative strategies that prioritise the needs of affected populations and involve local stakeholders in the design and execution of interventions. Developed through a global analysis of case studies and peer-reviewed by experts, the Guidance Note offers practical guidance for better collaboration among humanitarian and development actors, aiming to enhance the effectiveness of crisis responses.

IOM's LOCALISE toolkit operationalises the Settlements Approach by providing practical tools and methodologies for conducting spatial analysis, engaging communities, and designing integrated interventions that address the unique challenges and opportunities within settlements, ultimately enhancing resilience and sustainability in crisis-affected areas.

1.2 What is LOCALISE?

LOCALISE is a holistic, place-based strategy that focuses on addressing the needs of communities within a defined geographic area. Unlike traditional approaches that often address individual sectors in isolation, LOCALISE considers the entire ecosystem of a settlement, including its social, economic, environmental, and governance dimensions. By doing so, it ensures that interventions are not only effective in the short term but also contribute to the long-term sustainability and resilience of the community and viability of built and natural environment.

LOCALISE is designed to bridge the gap between emergency response and sustainable development. It offers a comprehensive framework that integrates spatial analysis, community engagement, and multi-sectoral planning to support communities in building resilient and sustainable settlements. This toolkit serves as a guide for practitioners working in diverse contexts, providing them with the tools and methodologies needed to design and implement effective settlement-level interventions.

This approach is grounded in the principles of spatial planning and territorial development, recognising that the physical environment plays a crucial role in shaping social and economic outcomes. It emphasises the importance of integrating housing, infrastructure, services, and livelihoods within a coherent spatial framework, ensuring that all elements of the settlement work together to support the well-being of its inhabitants.

1.3 How Can the LOCALISE Toolkit Help You?

The LOCALISE Toolkit is designed to equip IOM staff, partners, and other stakeholders with the knowledge and tools needed to implement the Settlement Approach in their work. It provides a step-by-step guide to conducting spatial analysis and needs assessment, engaging with communities and key stakeholders, and designing integrated interventions that address the unique challenges and opportunities of each settlement.
The toolkit is structured to be adaptable to different contexts and scales of intervention, whether you are working in a small village or a large urban area. It offers practical guidance on how to apply LOCALISE in various stages of the project cycle, from initial assessment and planning to implementation, monitoring, and evaluation.

By using this toolkit, you will be able to:

- Conduct a comprehensive analysis of a settlement's needs, capacities, and vulnerabilities.
- Engage with communities to develop a shared vision and set strategic objectives.
- Design and prioritise interventions that are contextually appropriate and sustainable.
- Monitor and evaluate the impact of your interventions, ensuring continuous learning and adaptation.

1.4 Structure of the LOCALISE Toolkit

The toolkit is organised into three main sections, each corresponding to a different stage of the LOCALISE Approach:

1. **Defining areas of interventions:** Covers the initial steps needed to set the stage for the approach, including context scanning, capacity analysis, and the establishment of a project structure.
2. **Understanding the area:** Guides you through the process of conducting a comprehensive analysis of the settlement, including data collection, community engagement, and spatial analysis.
3. **Planning and design:** Outlines the steps involved in strategic planning, including visioning, setting objectives, settlement design and action planning.

Each section contains detailed instructions, tools, and resources to help you apply the Settlement Approach in your work, ensuring that your interventions are effective, sustainable, and aligned with the needs of the communities you serve.

1.5 When to Implement LOCALISE?

LOCALISE is most effective in contexts where there is a need for integrated, multi-sectoral interventions that address the complex and interrelated challenges faced by communities within a specific geographic area. This approach is particularly relevant in situations where:

1. **Acute Crisis and Emergency Response:** In context of sudden crisis LOCALISE can help manage the response to immediate needs with interventions that are strategically designed and placed to minimise negative environmental and social impacts, safeguarding the long-term viability of the area, and the resilience of the affected communities.
2. **Sudden Rapid Influx and Urbanisation**: In rapidly urbanising areas, where displacement and population growth outpaces the development of infrastructure and services, LOCALISE can help manage the spatial distribution of resources and ensure that new and existing residents have access to essential services and opportunities.
3. **Protracted Crises and Displacement:** In contexts of protracted crises, including those involving large-scale displacement, LOCALISE provides a framework for stabilising affected populations by addressing their immediate needs while laying the groundwork for longer-term recovery and integration. It is particularly useful in situations where displaced populations have settled in urban or peri-urban areas, and there is a need to harmonise their needs with those of the host community.
4. **Complex and Interconnected Needs:** When communities face a range of interconnected challenges, such as inadequate housing, poor infrastructure, lack of access to services, and environmental degradation, LOCALISE offers a way to address these issues holistically. By considering the social, economic, environmental, and governance dimensions of a settlement, this approach ensures that interventions are more sustainable and impactful.
5. **Post-Disaster and Recovery Contexts:** In the aftermath of a disaster or natural hazard event, LOCALISE can guide the recovery and reconstruction process. It ensures that rebuilding efforts are not only focused on restoring physical infrastructure but also on strengthening the social and economic fabric of the community, making it more resilient to future shocks.
6. **Development Planning and Urban Expansion:** LOCALISE is also applicable in contexts, where there is a need to plan for future urban expansion or development. By integrating spatial planning with socio-economic analysis, this approach helps ensure that new developments are sustainable, equitable, and aligned with the broader goals of urban resilience and sustainability.

In deciding when to implement LOCALISE, it is crucial to consider the specific needs and dynamics of the settlement in question. This approach is most beneficial when there is a clear need for integrated, place-based solutions that go beyond sectoral silos and address the complex realities of human settlements in a comprehensive and coordinated manner.

Stage 1 |
Defining areas of intervention and Objectives

1.1 Defining the Settlement

1.1.1 Rapid Context Scan

- 1.1.1.1. Context check
- 1.1.1.2. Programme Check
- 1.1.1.3. Stakeholder Analysis

1.1.2. Geographic Scope and Objectives

1.2 Planning for Implementation

1.2.1. Setting Up

1.2.2. Workplanning

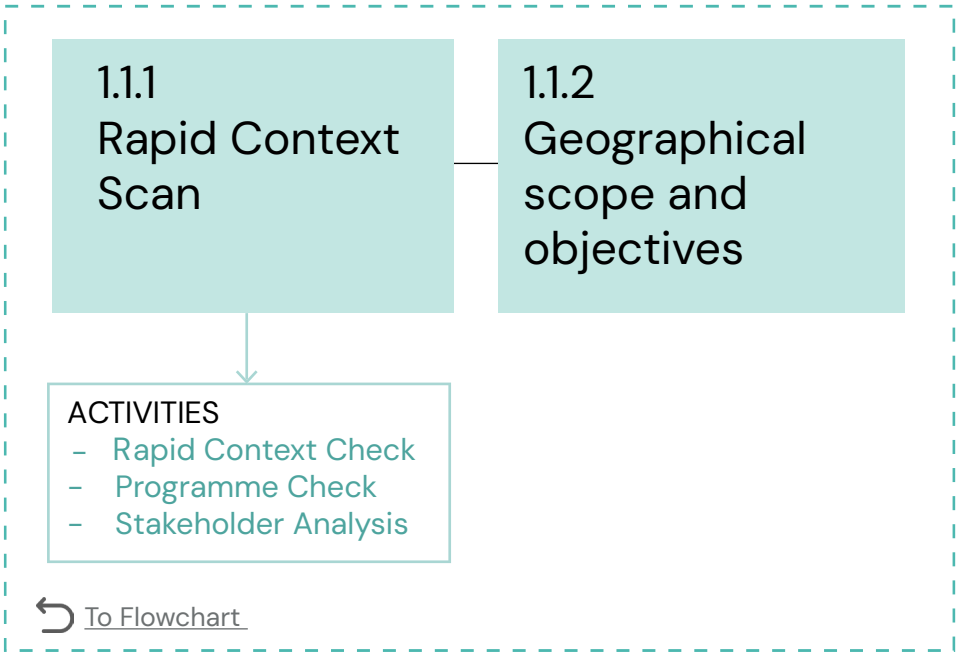
STAGE 1 | OUTPUT

Settlement Approach Roadmap

1.1. Defining the Settlement

Guiding Questions:

- *What are the existing conditions, resources, and constraints within the settlement that we must consider?*
- *What are the geographic boundaries and specific objectives for the settlement's development?*



The Rapid Context Scan is a critical preliminary assessment comprising three key components: context and programme. It aims to establish a foundational understanding for effectively applying the settlement approach by evaluating its feasibility in a specific context and assessing the mission's resources and existing programmes. The scan examines political, economic, sociocultural, technological, environmental, and legal influences to identify factors that could affect implementation, providing actionable recommendations to leverage opportunities and mitigate challenges. Additionally, it evaluates the availability and adequacy of mission resources, focusing on existing initiatives and programmes, and identifies opportunities for integrated programming and collaboration with potential partners.

1.1. Defining the Settlement

1.1.1 Rapid Context Scan

1.1.1.1 Rapid Context Check

1.1.1.2. Programme Check

1.1.1.3. Stakeholder Analysis

1.1.2 Geographical Scope and Objectives

Purpose

This section evaluates the applicability of the settlement approach to a specific context by examining political, economic, sociocultural, technological, environmental, and legal influences. The aim is to identify factors that could affect implementation and to provide actionable recommendations for leveraging opportunities and mitigating challenges.

Objectives

- Determine to which level the settlement approach is feasible and how it can be effectively applied in the given context.
- Analyse enabling and limiting conditions related to the implementation of the settlement approach.

Results

- **Identification of Key Factors:** Factors that could either facilitate or hinder the implementation of the settlement approach are identified. This analysis covers political, economic, sociocultural, technological, environmental, and legal aspects.
- **Actionable Recommendations**: Strategies are suggested to leverage enabling conditions, mitigate limiting factors, and recommend initial steps for effectively applying the settlement approach in the context.

SUGGESTED TOOLS

- **SWOT Analysis:** Using the PESTEL Framework (Political, Economic, Sociocultural, Technological, Environmental, and Legal) to structure the analysis.

1.1. Defining the Settlement

1.1.1 Rapid Context Scan

1.1.1.1 Rapid Context Check

1.1.1.2. Programme Check

1.1.1.3. Stakeholder Analysis

1.1.2 Geographical Scope and Objectives

Steps

1. **Analyse Macro-Environmental Factors:** Utilize a SWOT matrix aligned with the PESTEL Framework to assess the suitability and conduciveness of implementing a settlement approach.

Political:

- Assess the role of local, regional, and national governments post-crisis.
- Evaluate political stability, government support for recovery initiatives, resource availability, and public engagement strategies.

  Key questions:

  - *Does the political environment allow for medium-term sustainability discussions and planning?*
  - *How well do the goals of the settlement approach align with existing government priorities?*
  - *What political aspects promote or hinder the integration of medium-term development perspectives?*

Economic:

- Examine the economic effects of the crisis on the context, focusing on employment rates, funding access, and the impact on local businesses and industries.

  Key questions:

  - *How do they influence funding and investment in recovery efforts?*
  - *How do current employment rates and industrial activities shape the economic landscape?*
  - *What economic policies or trends could support or undermine the interventions?*

Sociocultural:

- Analyse the social and cultural impact of the crisis, including changes in demographics, societal norms, and community cohesion.

  Key questions:

  - *Has the crisis caused increased social fragmentation or tensions?*
  - *How involved are community members in local decision-making processes?*
  - *What are the prevailing attitudes towards external interventions?*

Technological and Infrastructural:

- Evaluate the adequacy of local infrastructure, communication systems, and transportation networks.

  Key questions:

  - How accessible is the affected area by road or public transportation?
  - Are there any road or transportation challenges affecting implementation?
  - What is the status of digital infrastructure in the settlement area?

Environmental and Risk Analysis:

- Assess environmental risks, safety of practitioners, pollution levels, and social vulnerabilities.

  Key questions:

  - *Is the security environment conducive to field surveys, site visits, and community consultations?*
  - *How do environmental risks affect the feasibility of the settlement approach?*
  - *Are there ongoing environmental initiatives that the approach can align with?*

Legal and Regulatory:

- Examine the legal framework in the area, identifying potential legal barriers or support mechanisms.

  Key questions:

  - *Are there recent legal reforms that could impact the settlement approach?*
  - *What legal considerations or constraints must be considered when engaging with local communities?*
  - *Can legal or regulatory mechanisms be leveraged to support the approach?*

> *"Remember this analysis is indicative and light, using readily available data, and will be elaborated in Stage 2"*

1.1. Defining the Settlement

1.1.1 Rapid Context Scan

1.1.1.1 Rapid Context Check

1.1.1.2. Programme Check

1.1.1.3. Stakeholder Analysis

1.1.2 Geographical Scope and Objectives

2. **Stakeholder Identification and Understanding:** Identify key stakeholders, both internal and external, who can directly or indirectly support the settlement approach. Categorize stakeholders as follows:

Internal : Units, departments, and individuals within the IOM country office.

External:

- Institutional Partners: Subnational government officials (e.g., local leadership, regional government departments).
- Aid Partners: UN agencies, INGOs, NGOs, CSOs, and donor agencies active in the target area.
- Academic Institutions: Universities and research centres.
- Civil Society: Community members, traditional leaders, women's groups, youth groups, diaspora organisations.
- Economic Actors: Trade unions, private service providers, banks, and telecommunication firms.
- Security Forces: Police, military, private security, UN peacekeeping missions.
- Other Entities: Experts or organisations with resources aligning with the project goals.

EXAMPLE

Strengths (S):

√ Political: Strong governmental backing and potential collaboration with local government.

√ Sociocultural: Receptive local community, indicating positive social environment and willingness to adapt.

Opportunities (O):

√ Environmental: Opportunity to design resilient settlements in disaster-prone regions.

√ Political: Potential for favourable policies and funding support from the government.

Weaknesses (W):

x Technological: Insufficient infrastructure to support advanced technological needs.

x Legal: Strict land use regulations complicate the project planning process

Threats (T):

x Economic: Economic instability could hinder investment and financial support.

x Environmental: Environmental vulnerabilities pose risks to both planning and long-term

1.1. Defining the Settlement

1.1.1 Rapid Context Scan

1.1.1.1 Rapid Context Check

1.1.1.2. Programme Check

1.1.1.3. Stakeholder Analysis

1.1.2 Geographical Scope and Objectives

Purpose

This section assesses the mission's resources in terms of their availability and adequacy, focusing on existing initiatives and programmes within the context. It aims to identify opportunities for integrated programming and collaboration with potential partners.

"Remember the goal of Localise is to plan for more coherent programming!

Objectives

- Determine whether the conditions are suitable for applying the settlement approach, including the presence of diverse programmatic competencies.
- Assess the mission's readiness to implement the approach.
- Identify complementarities within existing programmes to strengthen integration and collaboration.
- Engage with potential partners whose programmes align with or complement the settlement approach.
- Explore opportunities for donor support.

Results

- **Assessment of Existing Conditions:** Evaluate the mission's readiness to implement the settlement approach, including the strengths, capabilities, and gaps within the diverse programmatic units active in the context.
- **Potential Synergies and Collaboration:** Identify potential synergies among current programmes and suggest areas for collaboration, proposing mechanisms for partnership and how to leverage these for enhanced impact.
- **Partner and Funding Identification**: Identify potential partners and funding opportunities, mapping out a pathway for resource mobilization.

SUGGESTED TOOLS

- **SWOT Analysis:** Using the Resource Evaluation Framework to assess mission resources.

1.1. Defining the Settlement

1.1.1 Rapid Context Scan

Steps

1. **Inventory of Existing Programmes:** Compile an inventory of ongoing initiatives, highlighting the scope of activities, target populations, timelines, outcomes, and key stakeholders.

   Key questions:

   - *What initiatives and programmes are currently operational, and which organisations or departments are leading these efforts?*
   - *Are there issues with overlapping efforts or resource inefficiencies?*
   - *Are there opportunities for cross-sector collaboration?*
   - *How might different sectors align their goals and strategies?*
   - *Are there any interdependencies or conflicts between sectors that need management?*

2. **Resource Analysis:** Evaluate the mission's current resources in relation to settlement approach implementation:

   Financial Resources:
   - *Assess available funds, including budgets, revenue streams, and financial controls.*

   Human Resources:
   - *Evaluate workforce composition in terms of skills, roles, and knowledge.*

   Time and Organisational Resources:
   - *Assess time allocation and management within the organisation/country office.*

   Physical Resources:
   - *Evaluate the availability and condition of physical assets, such as offices, equipment, and vehicles.*

   Technological Resources:
   - *Assess technology infrastructure, including hardware and software provisions.*

   Informational Resources:
   - *Evaluate data management and information systems.*

   Strategic Resources:
   - *Assess existing partnerships and alliances contributing to strategic objectives.*

   Key questions:

   - *What internal resources does the office possess, and what could be improved?*
   - *Are there gaps in workforce skills that could impact implementation?*
   - *Can the mission provide new partnerships or investment opportunities?*

3. **Partner and Funding Opportunities:** Identify potential partners and donors who could support the settlement approach:

   - *Which organisations or departments have strong community presence and influence?*
   - *Are there any existing partnerships effective in leveraging resources for community development?*
   - *What new funding opportunities align with the settlement approach?*
   - *How do the settlement approach's goals align with potential donors' funding priorities?*

Step 3 should be taken further into the Stakeholder Analysis in 1.1.3'

EXAMPLE

Strengths (S):

√ Strong project management skills within the mission unit.

√ Alignment with an agency committed to sustainable development, indicating potential for partnership.

Opportunities (O):

√ Synergy with an existing programme focused on community engagement in urban planning.

√ Alignment with donor criteria for disaster-resilient urban development.

Weaknesses (W):

x Gaps in urban planning expertise within the mission unit.

x Lack of programmes addressing urban planning and development.

Threats (T):

x Overlap with another organisation's similar programme, requiring coordination to avoid duplication.

x Financial instability among key community organisations, risking long-term partnerships.

1.1. Defining the Settlement

1.1.1 Rapid Context Scan

Purpose

This section outlines an initial activity to identify and document key stakeholders who can support the implementation of the settlement approach. It provides preliminary information that sets the foundation for a more detailed stakeholder analysis in subsequent stages.

Objectives

- Identify key internal and external stakeholders relevant to the settlement approach.
- Understand the roles, interests, and potential contributions of these stakeholders.
- Establish initial engagement strategies and identify potential synergies or conflicts.
-
- You already considered some of the stakeholders in 1.1.1.1 Rapid Context Check

Results

- **Preliminary Stakeholder Map**: Categorising internal and external stakeholders based on their roles and potential contributions.
- **Initial Insights:** Gaining insights into the stakeholders' roles, interests, and contributions.
- **Engagement Strategy**: Outlining an initial engagement strategy, including immediate actions for further stakeholder engagement.

Key Considerations

Note, you already considered some of the stakeholders in 1.1.1.1 Rapid Context Check

Flexibility: Maintain flexibility as stakeholder dynamics may change rapidly in humanitarian contexts.

Documentation: Regularly revisit the stakeholder analysis to update information and refine engagement strategies. (See Stakeholder Analysis Part II)

SUGGESTED TOOLS

- Stakeholder Mapping: Identifying and categorising stakeholders who can influence the implementation of the settlement approach.

Steps

1. **Stakeholder Identification:** Identify key stakeholders who can support the settlement approach implementation:

   Internal Stakeholders:
   - *List units and departments within the IOM country office or globally involved or potentially involved in supporting the approach.*

   External Stakeholders:
   - *Categorise external stakeholders into institutional partners, aid partners, academic institutions, civil society, economic actors, security forces, and other relevant entities.*
   - *Use ready data sources (e.g., cluster membership, previous assessments) to identify active stakeholders in the target area.*

2. **Preliminary Stakeholder Mapping:** Utilise stakeholder mapping templates to organise information gathered from internal and external sources, documenting their primary roles, interests, and potential contributions or challenges.

3. **Initial Engagement Strategy:** Develop a preliminary engagement strategy based on rapid scan findings, identifying immediate next steps for stakeholder engagement (e.g., initial meetings or workshops).

EXAMPLE STAKEHOLDER MAPPING

Internal Stakeholders:

√ IOM Country Office: Project Manager, Housing Unit, Community Engagement Officer.

External Stakeholders:

√ **Institutional Partners:** Local mayor's office, regional planning department.
√ **Aid Partners:** UNHCR, local NGOs, international donor agencies.
√ **Academic Institutions:** University of [Region], local research centres.
√ **Civil Society:** Community leaders, women's groups, youth associations.
√ **Economic Sectors:** Local businesses, trade unions, banks.
√ **Security Forces:** Local police, regional military units, private security firms.
√ **Other Entities:** Environmental experts, urban development consultants.

1.1. Defining the Settlement

Purpose

This activity outlines the strategic framework for identifying preliminary area(s) where the implementation of the settlement approach is expected to have the most significant impact. A key criterion for deploying the settlement approach is the presence of varied programmatic units in the target area. The goal is to identify complementarities and enhance the integration of programming efforts. However, the settlement approach is also viable in potential intervention areas where programmatic units have yet to be established, as it offers a strategic, contextualised framework for analysis. Delineating the intervention area requires a quick assessment of community and environmental vulnerabilities to ensure that the response is both targeted and effective. Defining the geographical scope enables the establishment of preliminary planning assumptions and outlines expected goals.

"Remember a defined geographic location is the core objective of the SA!'

Objectives

- **Delineation of Preliminary Areas:** Identify preliminary area(s) where the settlement approach will be implemented, focusing on areas where programmes and interventions are likely to have the most significant impact.
- **Prioritisation Based on Viability and Vulnerability:** Prioritise areas based on their level of vulnerability and the potential for positive impact through coordinated efforts and activities.
- **Define Planning Assumptions and Deliverables:** Establish preliminary planning assumptions and deliverables to be achieved through the settlement approach.

Results

- **Map or List of Preliminary Areas**: A map or list of preliminary area(s) identified for the implementation of the settlement approach.
- **Rationale for Selection:** A rationale outlining the reasoning behind the selection of the intervention area(s), the definition of planning assumptions, and a list of expected deliverables.

SUGGESTED TOOLS

- Refer to the chapter on defining the area in the Settlement Approach Guidance Note for further details.
- Settlement Approach Minimum Criteria Checklist

Steps

'In cases where a location has already been determined due to crisis circumstances, such as a sudden disaster in a specific area, this step becomes unnecessary as the operational focus is already predefined. "

1. **Identify Areas with Existing Programmes:** Based on the rapid programme scan, identify area(s) where different sectoral programmes or programmatic units are already in operation. This involves:

Information Gathering:

- Collect information regarding objectives, target populations, geographic focus areas, and types of services delivered. Use existing tools such as 5Ws (Who does What, Where, When, and for Whom) or other information management tools.

Mapping Tools:

- Complement or build using simple satellite or aerial view images (e.g., Bing aerial, Google satellite, Google Earth) or user-friendly interfaces for creating custom maps (e.g., Carto, Mapbox). Geographic Information System (GIS) can also be used to localise information.

Key questions:

- *What specific sectors are these programmes addressing (e.g., health, education, water, and sanitation)?*
- *Who are the target populations of these programmes?*
- *What geographic areas are these programmes focused on?*

2. **(Optional) Use Key Criteria for Defining Areas of Intervention**: Prioritise areas with the highest impact derived from the crisis or situation. On the same map where ongoing programmes have been marked, identify hotspots where multiple challenges converge (e.g., high drought severity overlapping with large displaced populations).

Key Questions:

- *What are the main objectives of each programme?*
- *What geographic focus areas are prioritised, and why?*
- *What types of services or interventions are delivered?*

1.1. Defining the Settlement

3. **Use the Settlement Approach Minimum Criteria Checklist**: Evaluate which area(s) the settlement approach can be most relevant, feasible, and have the most significant impact. This step ensures that interventions are targeted where they are most needed.

   Key Questions:
   - *What criteria are used to define areas of intervention (e.g., severity of crisis impact, population density)?*
   - *How do these criteria align with the objectives of the planned settlement approach?*
   - *Where do multiple challenges converge, indicating a high need for intervention?*

4. **Delineate Preliminary Planning Assumptions and Deliverables**: Based on the area(s) definition and primary needs, establish preliminary planning assumptions (e.g., recovery plan, shelters, service provision) and deliverables (e.g., settlement profile, action plan, implementation) to be achieved through the settlement approach.

   Key Questions
   - *Which areas meet the minimum criteria for the settlement approach?*
   - *In which areas can the settlement approach have the most significant impact?*

5. **Compose a Rationale:** Explain and justify the selection of the intervention area(s) and the definition of planning assumptions. The rationale should outline the reasoning behind the choices made and provide a clear link between the assessment findings and the proposed intervention.

Key Considerations

Applicability in Areas Without Active Programmes: *The settlement approach is fully applicable even in potential intervention areas where programmatic units have not yet been active. It provides a strategic framework designed to tailor interventions to the specific context and streamline future coordination among various units.*

Flexibility and Adaptability: *Recognise that initial decisions on potential area(s) of intervention may need to be adjusted. Be prepared to reassess and adapt the choice based on monitoring, evaluation, and analysis as new information emerges.*

EXAMPLE

The strategic framework for implementing the settlement approach identifies the "A" region as a prime candidate. This decision is based on the presence of various programmatic units in the area, including initiatives focused on agriculture, education, and health services. The "A" region has been selected due to its significant environmental vulnerabilities, such as frequent flooding and drought conditions, which affect the local community's food production and livelihoods.

- √ **Delineation of the Intervention Area:** Focus on the "A" region, where integrated programming efforts can significantly impact improving local resilience against environmental vulnerabilities.
- √ **Prioritisation Based on Vulnerability**: The "A" region is prioritised due to its high susceptibility to climate-induced challenges and the potential for substantial positive impacts through coordinated interventions.
- √ **Preliminary Planning Assumptions and Deliverables:** Initial planning assumptions include the necessity for improved water management systems and sustainable farming practices, while deliverables are a comprehensive action plan.

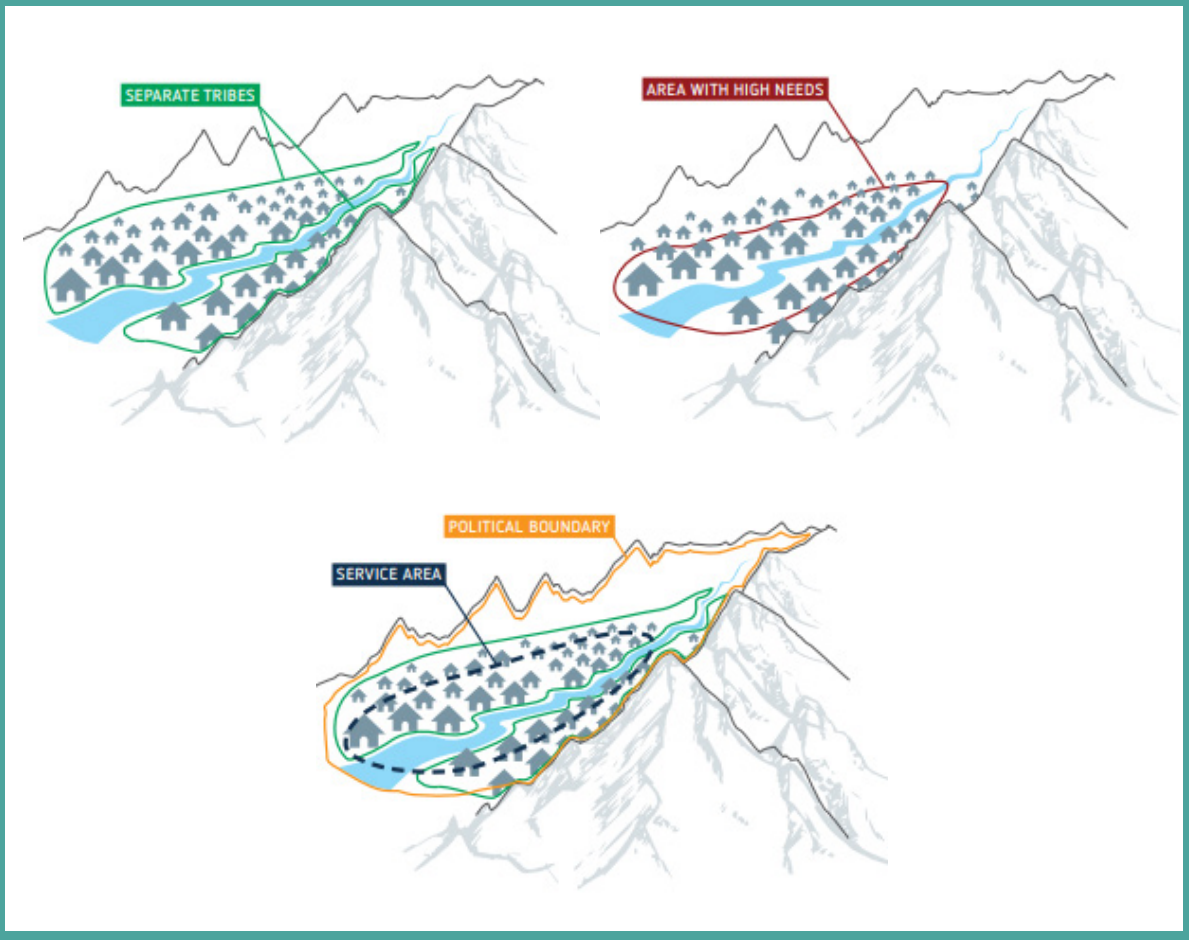


Fig. 1: *A settlement can reflect multiple boundaries (Settlements Approach Guidance Note GSC)*

1.2. Planning for Implementation

Guiding Questions:

- *How do we structure and organise the planning process to effectively implement our objectives?*

1.2.1 Setting Up the Structure

1.2.2 Work planning

To Flowchart

This step outlines the process for integrating the settlement approach within the mission's existing organisational structure. It involves forming a dedicated team with clearly defined roles and responsibilities, establishing effective communication protocols, and developing a comprehensive work plan to structure the implementation process. The goal is to ensure that the settlement approach is effectively embedded within the organisation, with all units moving cohesively towards common goals.

1.2. Planning for Implementation

1.2.1 Setting Up the structure

1.2.2. Work Planning

Purpose

This section focuses on integrating the settlement approach into the mission's existing organisational structure. It entails assembling a committed team with clearly defined roles and responsibilities, mapping out relationships, and setting protocols for effective communication and information exchange.

Objectives

- **Integration within Organisational Structure:** Determine how the settlement approach implementation fits within the existing organisational structure of the mission.
- **Define Roles and Responsibilities:** Clearly define the roles, responsibilities, and areas of expertise for each team member.
- **Establish Communication Protocols:** Establish strong communication channels for collaboration and information sharing across different units.

Results

- **Organisational Framework:** An organisational framework delineating the integration of the settlement approach within the mission's structure, defining connections and interdependencies.
- **Communication Channels and Protocols:** Established channels and protocols for communication, information sharing, and decision-making across team members and different programmatic units involved.

SUGGESTED TOOLS

- **Org Chart:** A tool to visually represent the organisational structure, showing how the settlement approach team fits within the broader mission framework.
- **RACI Matrix:** A tool to define who is Responsible, Accountable, Consulted, and Informed for each task or deliverable, ensuring clarity in roles and responsibilities.
- **Collaboration Platforms**: Tools such as SharePoint, Teams channels, or other platforms to facilitate document sharing, communication, and information exchange.

1.2. Planning for Implementation

1.2.1 Setting Up the structure

1.2.2. Work Planning

Steps

1. **Determine Core Roles for the Settlement Approach Team:** Identify the essential roles that should be part of the settlement approach team, ensuring a range of expertise that covers all necessary aspects. This could include roles such as project manager, urban expert, community engagement officer, finance officer, etc.

   Key questions:

   - *What specific expertise is necessary to achieve the objectives of the settlement approach?*
   - *Are there any additional roles not traditionally included that could enhance the effectiveness of the approach?*

2. **Analyse the Current Mission Structure:** Use the Org chart tool to understand the current mission structure and identify potential areas for integrating the settlement approach. Focus on identifying current units, teams, and roles that align with the settlement approach's objectives. Analyse gaps and opportunities for integration.

   Key questions:

   - *What gaps in the current structure could the settlement approach fill?*
   - *What opportunities for integration are present?*

3. **Define Team Structure and Responsibilities**: Clearly outline the core roles, responsibilities, interdependencies, and deliverables for the settlement approach team. Use the RACI matrix to clarify who is Responsible, Accountable, Consulted, and Informed for each task.

   Key questions:

   - *How will deliverables be defined and measured for each role to ensure progress towards the settlement approach's objectives?*

4. **Establish Communication and Collaboration Protocols:** Ensure that regular meetings are convened among the settlement approach team to foster collaboration, align objectives, and develop joint strategies. Establish effective channels and protocols for communication and information sharing across the organisation using a centralised and collaborative platform. Set up regular feedback sessions to gather insights, address challenges, and adapt strategies as needed.
5. **Primary engagement with local authority:** Hold an initial meeting with the local authority as the first step to establish a coordination relationship and build trust, which is essential for completing the settlement approach process. Introduce the approach, align on shared objectives, and discuss how their priorities and capacities can contribute to its success. Use this opportunity to agree on roles, responsibilities, and mechanisms for continued collaboration, setting the foundation for joint implementation.

1.2. Planning for Implementation

1.2.1 Setting Up the structure

1.2.2. Work Planning

Purpose

The work planning serves as a foundational guide, outlining the timeframe to structure and coordinate the settlement approach process. This plan is crucial for ensuring that all units involved in the initiative move cohesively towards common goals, facilitating a harmonised effort across different aspects.

Objectives

- **Establish a Clear Timeline:** Develop a timeline for the settlement approach process, incorporating integration points with various units.
- **Identify Deliverables and Outcomes:** Define the deliverables and outcomes expected from each phase of the settlement approach process, specifying contributions from different units.

Results

- **Integrated Timeline:** A comprehensive timeline outlining key milestones for the settlement approach's phases, along with the expected outcomes and deliverables for each phase, specifying contributions from involved units.

Key Considerations

Flexibility and Adaptation: *Be prepared to adjust the timeline based on evolving needs, resource availability, and contextual changes. Flexibility is essential to accommodate unforeseen challenges and ensure that the project remains on track.*

SUGGESTED TOOLS

- **Gantt Chart:** A visual tool to outline the project timeline, showing key milestones, deadlines, and integration points across units.
- **Project Management Software:** Tools like Microsoft Project, Asana, or Trello to manage the project, track progress, and ensure alignment with the timeline.

1.2. Planning for Implementation

1.2.1 Setting Up the structure

1.2.2. Work Planning

Steps

1. **Outline Objectives, Milestones, and Timelines:** Define the overall objectives, milestones, and timelines for implementing the settlement approach. Identify specific phases or activities where collaboration between units can enhance outcomes, such as joint planning sessions, shared resource pools, or cross-unit task forces.

   Key questions:

   - *What are the main objectives and milestones of the settlement approach in the chosen area?*
   - *What is the estimated timeframe for reaching each milestone?*
   - *How can units foster collaboration to enhance outcomes?*

2. **Create a Detailed Timeline:** Use project management tools or Gantt charts to create a detailed timeline that incorporates both the core activities of the settlement approach and the integration points with other units. Define clear milestones and deadlines for each phase, including specific moments for integration activities and collaborative outputs.

3. **Outline Roles and Responsibilities:** Based on the team structure defined earlier, clearly outline the roles and responsibilities of each unit for each phase or activity where integration is planned. Ensure that there is no overlap and that resources are optimally allocated.

   Key questions:

   - *How are the roles and responsibilities of each unit defined to prevent overlap and ensure effective collaboration?*

4. **Monitor Progress and Evaluate Outcomes:** Oversee progress against the timeline and milestones, with particular attention to the integrated activities between units. At each major milestone, evaluate the outcomes and deliverables achieved, focusing on the effectiveness of unit integration and overall progress towards the settlement approach objectives.

   Key questions:

   - *At each major milestone, how will the outcomes and deliverables be evaluated in terms of their contribution to the overall objectives?*

OUTPUT 1 : Settlement Approach Roadmap

Purpose: A concise strategic document outlining the groundwork for implementing the settlement approach, focused on feasibility, priorities, and stakeholder alignment.

> *Share this Roadmap with Senior Management so they can provide their endorsement and support for the implementation.*

Key Sections:

1. Executive Summary

- Overview of purpose, scope, and key takeaways.

2. Strategic and Programme Context

- Key enabling and limiting factors summary
- Summary of initial findings from the Rapid Context Scan.
- Organisational strengths, capabilities, and resource gaps, current programmes and budget
- Organisational structure, defined roles, interdependencies, and communication protocols for collaboration.

3. Prioritised Geographic Scope

- Defined intervention areas with rationale for selection.
- High-level map illustrating boundaries and key features.
- Initial assumptions and deliverables, including profiles and action plans.

4. Stakeholder Map and Initial Engagement Plan

- Key internal and external stakeholders with roles.
- Engagement priorities and immediate next steps.

5. Implementation Timeline

- High-level Gantt chart with key milestones and dependencies

Output Format: A high-level narrative supported by summary tables, a preliminary map, and a concise timeline.

Stage 2 |
Understanding the Settlement

2.1 Data Management and Collection

2.1.1. Data collection approach and design
2.1.2. Maps: Spatial Management of Data

2.2 Settlement analysis

2.3.1. Historical and demographic analysis
2.3.2. Regulatory and organisational analysis
2.3.3. Economic analysis
2.3.4. Community mapping
2.3.5. Territorial and Spatial analysis

2.3 Strategic diagnosis and high level recommmendations

2.3.1. Validation
2.3.2 Diagnosis and recommendations guide

STAGE 2 | OUTPUT
Settlement Profile

2.1. Data Management and Collection

Guiding Questions:

- *How do we systematically collect and manage data to gain a comprehensive understanding of the settlement?*

2.1.2 Data collection approach and design

2.1.3 Maps: Spatial Management of Data

To Flowchart

"Data management and collection" is a crucial preliminary process that involves gathering accurate and relevant information for subsequent phases of analysis.

This process includes selecting appropriate methods and tools, collecting data through these methods, and organising data to facilitate analysis. The goal is to ensure that the data collected is comprehensive, reliable, and aligned with the objectives of the settlement approach.

2.1. Data Management and Collection

2.1.1. Data Collection Approach and Design

2.1.2. Maps: Spatial Management of Data

Purpose

This section describes a systematic approach to data collection, defining a clear methodology that utilises both primary and secondary data sources to fill knowledge gaps. The approach involves key stakeholders and leads to the creation of a detailed data collection plan and a secure repository for data analysis, ensuring compliance with data protection standards.

The focus is on leveraging existing data collection mechanisms and ensuring that new data collection efforts are complementary and mutually reinforcing. The integration of multi-source data is essential to avoid duplication, enhance data quality, and support a comprehensive understanding of the context.

Objectives

- **Leverage Existing Data Sources:** Efficiently utilise existing data sources, ensuring that the collection phase builds on available information without duplicating efforts.
- **Coordinate with Established Services:** Collaborate with data services like the Displacement Tracking Matrix (DTM) e.g. their Multi-Sectoral Needs Assessment (MSNA), and Community-Based Needs Assessment (CBNA), to integrate data effectively.
- **Define Data Collection Methodology:** Establish a clear methodology to integrate primary and secondary data, ensuring coherence with research objectives.
- **Identify Synergies**: Find connections between multiple data sources to improve integration and usability.
- **Involve Key Stakeholders:** Actively engage community members, local authorities, and partners in the data collection and management process.

Results

- **Comprehensive Data Collection Plan:** A clear methodology combining primary and secondary data, tailored tools, and a strategy for integrating diverse sources.
- **Partnerships and Agreements:** Development of work plans or agreements (e.g., MoUs) with data service providers to formalise data sharing and collaboration.
- **Secure Data Repository:** Set up a secure system to store and manage data adhering to data protection standards.
- **(Optional) Centralised Data Management System:** Adoption of a centralised system for storing, integrating, and analysing data from multiple sources, managed by a designated data champion.
- **(Optional) Common Indicators:** Development of indicators across datasets (e.g., DTM, MSNA) to ensure comparability and integration.

SUGGESTED TOOLS

- **Data Collection Plan Template:** A template to guide the collection of data requested

2.1. Data Management and Collection

2.1.1. Data Collection Approach and Design

2.1.2. Maps: Spatial Management of Data

Steps

1. **Map Existing Services and Review Secondary Data:**

- Analyse how services from DTM and other partners contribute to understanding the overall context and needs.
  - DTM: Provides critical data on population movements, displacement trends, and the locations of displaced populations through its Flow Monitoring Data.
  - MSNA & CBNA's: Offer a broad overview of needs across multiple sectors, including shelter, WASH, food security, health, protection, education, and livelihoods. Providing community-level insights, highlighting specific needs within different communities.
- Review secondary data sources that align with the objectives, such as reports, databases, or prior studies.

Key questions:

- *How do existing services (flow monitoring, CBNA, MSNA) uniquely contribute to understanding the overall context and needs?*
- *What protocols will be established for efficient data sharing among DTM and partners while ensuring data quality and protection?*
- *What is the current scope, scale, and quality of data available from each service, and how does it align with our analysis objectives?*
- *Are there gaps in the data provided by these services that need to be addressed through additional data collection?*
- *What frameworks can be established to collaborate with entities managing these data sources to ensure access and alignment?*

2. **Establish Data Collection Objectives:** Define what the data collection aims to achieve, such as understanding a problem, measuring impact, or identifying needs.

Key questions:

- *What specific problem are we aiming to understand through data collection?*
- *What are the key questions that our data collection efforts need to answer to meet these objectives?*

3. **Develop an Integrated Data Collection Plan:** Develop primary data collection instruments that align with the research objectives, considering available time and resources. Choose or develop tools for data collection that align with your objectives, considering both primary data (e.g., KoboToolbox for surveys) and secondary data (e.g., software for accessing and analysing existing datasets).

2.1. Data Management and Collection

2.1.1. Data Collection Approach and Design

2.1.2. Maps: Spatial Management of Data

Key questions:

- *What types of primary data collection instruments are most appropriate for our research objectives?*
- *How do we design these instruments to gather the necessary information effectively?*
- *What tools are best suited for collecting primary data, and how do they align with our objectives?*
- *For secondary data, what software or tools are needed to access and analyse existing datasets effectively?*
- *How will different data types and sources be combined and analysed according to our objectives?*

4. **Coordinate with Data Providers:** Outline a strategy for engaging with the responsible units or organisations, including communication, joint meetings, and agreements (e.g., MoUs) on data sharing.

   Key questions:

   - *What form of agreements (e.g., MoUs) will be necessary to formalise data sharing and collaboration?*

5. **Engage Key Stakeholders**: Identify key stakeholders, including community members, local authorities, and partner organisations engaged in the data collection process.

   Key questions:

   - *Who are the key community members, local authorities, and partner organisations engaged in or affected by our data collection?*
   - *How can these stakeholders contribute to the data collection process, and how will their inputs be incorporated?*

6. **(Optional) Nominate a Data Champion:** Nominate a "data champion" to coordinate data collection activities between different units.
7. **(Optional) Adopt a Centralised Data Management System**: Use a centralised data management system to store and process data from all sources, supporting data integration, analysis, and easy access.

   Key questions:

   - *How could a centralised data management system support the integration, analysis, and access of data from all sources?*

A centralised data system, if set up, is vital for measuring intervention impacts, tracking area changes, and ensuring better learning and accurate decision-making.

2.1. Data Management and Collection

2.1.1. Data Collection Approach and Design

2.1.2. Maps: Spatial Management of Data

8. **(Optional) Develop Common Indicators:** Develop a set of common indicators that can be used across DTM, CBNA, and MSNA to ensure data comparability and integration.

   Key questions:

   - *What common indicators can be established across DTM or other tools to ensure data comparability and integration?*
   - *What spatial data could complement the settlement approach, such as Travel Time-Distance data?*

9. **(Optional) Training and Capacity Building:** Provide training and capacity building for staff involved in data collection, management, and analysis to ensure they are equipped to handle the integrated approach.

Key Considerations

- ***Data Sharing Culture:*** *Encourage data sharing and transparency among different units while ensuring compliance with data protection policies.*
- ***Training and Capacity Building:*** *Equip staff with skills to handle integrated data collection, management, and analysis effectively. Consider the suitability of methods based on context (e.g., online surveys may require internet access).*

Bibliographical References:

- *UN-Habitat (2023) Managing Smart City Governance – A Playbook for Local and Regional Governments.*

2.1. Data Management and Collection

Purpose

Maps are invaluable tools for the collection and management of spatial data. Mapping techniques vary from basic methods like hand drawing to advanced digital practices, depending on the goals, available resources, and desired precision. This section highlights different mapping techniques and their applications in various contexts. LOCALISE aims to capture the qualitative development of the settlement, visualising the impact of demographic shifts, historical developments, and displacement/migration trends on the settlement's spatial layout, highlighting areas of rapid change and potential expansion. This spatially informed perspective provides a robust foundation for strategic planning and intervention.

Objectives

- Visualise the impact of key factors on the settlement's spatial development, with an optional focus on predicting areas of spontaneous expansion.
- Provide a clear understanding of the settlement's growth patterns, infrastructure development, and the relationship between population density and access to services.

Results

- **Settlement Evolution Maps:** A series of maps and diagrams that chronicle the evolution of the settlement's built-up area over selected periods, offering a clear visual history of urban development and growth. These maps should highlight key phases of expansion or contraction, areas of high population density, and the development of critical infrastructure.
- **Population Density Maps:** Detailed maps showing population density across different districts or neighbourhoods, disaggregated by demographic categories where possible. These maps should also consider the proximity and access to key basic and public services and transportation networks.
- **Displacement Impact Maps**: Maps and diagrams showing the impact of displacement on urban development, depicting trends in settlement expansion or shrinkage, and the distribution of IDP and refugee settlements.
- **(Optional) Expansion Prediction Maps:** Maps predicting areas of potential and spontaneous settlement expansion, based on current trends and spatial analysis.

2.1. Data Management and Collection

1. **Hand Drawing on Paper Maps:**
- Advantages: Simple, accessible, low cost, and requires no technical skills or equipment.
- Disadvantages: Lacks accuracy, detail, and shareability; less suitable for precise or large-scale applications.
2. **Geolocated Photographs:**
- Advantages: Easy to use with everyday technology; captures visual context and geographical information.
- Disadvantages: Limited by the photographer's perspective and requires effective data organisation.
3. **GPS Mapping:**
- Advantages: Provides precise location data, widely available on GPS-enabled devices, and supports real-time information.
- Disadvantages: Challenges with signal quality and reliance on electronic devices in specific contexts.
4. **Overlaying Information on Satellite Images:**
- Advantages: Offers up-to-date, realistic overviews of areas; accessible through various software.
- Disadvantages: Dependent on the availability and quality of satellite images; requires a moderate learning curve.
5. **Geographic Information Systems (GIS):**
- Advantages: Highly accurate, versatile, and supports complex analyses.
- Disadvantages: Requires specialised software, training, and can be costly.
6. **Advanced Methodologies (e.g., Machine Learning, AI):**
- Advantages: Capable of processing large datasets, recognising patterns, and generating insights.
- Disadvantages: Requires high-quality data, significant computational resources, and careful scrutiny.
7. **Participatory Mapping:**
- Advantages: Emphasises community engagement, inclusivity, and shared decision-making.
- Disadvantages: Time-consuming and may lead to disagreements among participants.

2.1. Data Management and Collection

Purpose

This tool is designed to help practitioners systematically overlay and compare different types of data, particularly using geographic information systems (GIS) and map overlays. It provides guidance on selecting relevant data layers, comparing them effectively, and interpreting the results for strategic decision-making in settlement planning and management.

Steps for Overlaying Data for Comparative Analysis

1. Define the Purpose of the Analysis:

Objective**:** Clearly define what you aim to achieve through the comparative analysis. Is it to identify vulnerabilities, assess resource distribution, evaluate environmental risks, or another purpose?

Example: Comparing infrastructure coverage with population density to identify underserved areas.

2. Select Relevant Data Layers

Objective: Identify and gather the necessary data layers that align with your analysis objectives. Ensure that the data sources are reliable and up-to-date.

Examples of Data Layers:

- Population Density Maps - From demographic analysis (2.3.1.2).
- Infrastructure and Service Maps - From basic service infrastructure (2.3.5.5).
- Land Use and Land Cover Maps - From urban form and land use analysis (2.3.5.3).
- Hazard Maps - From ecosystem and natural mapping (2.3.5.2).
- Housing Typology and Conditions - From typologies, construction, and materials analysis (2.3.5.7).
- Tenure Security Maps - From Housing, Land, and Property analysis (2.3.5.6).

3. Pre-process and Standardise Data

Objective: Ensure that all data layers are compatible in terms of scale, projection, and resolution. Standardise data formats if necessary.

Example: Convert different datasets into a common projection system (e.g., UTM) to ensure accurate overlay.

4. Overlay Data Layers Using GIS Tools

Objective: Use GIS software to overlay multiple data layers. The overlay will allow you to see spatial correlations, intersections, and discrepancies between datasets.

Example Process:

- Overlay population density maps with infrastructure maps to identify areas where high population density coincides with poor infrastructure coverage.
- Overlay hazard maps (e.g., flood-prone areas) with land use maps to identify high-risk zones with significant residential or commercial development.

5. Conduct Comparative Analysis

Objective: Analyse the overlaid maps to draw comparisons, identify patterns, and highlight areas of concern or opportunity.

Examples of Comparative Analysis:

- Environmental Risk vs. Population Density: Compare areas of high environmental risk (e.g., floodplains) with population density to prioritise disaster risk reduction efforts.
- Service Accessibility vs. Tenure Security: Compare the accessibility of public services with tenure security to identify if vulnerable populations (e.g., those with informal tenure) have equitable access to services.
- Land Use vs. Infrastructure Development: Assess whether current infrastructure development aligns with planned land use and identify areas where infrastructure may need to be expanded or improved.

6. Interpret Results and Draw Conclusions

Objective: Based on the overlay analysis, identify key findings that will inform strategic planning and decision-making. Consider the implications of the spatial relationships you have uncovered.

Example Interpretation:

- If areas of high population density with inadequate infrastructure are identified, this indicates a need for targeted infrastructure investment in those areas.
- If high-risk environmental zones coincide with residential areas, this highlights the need for risk mitigation strategies and potential resettlement plans.

7. Visualise Findings

Objective: Create clear, informative maps and charts that communicate the results of your analysis to stakeholders. Use visual aids to highlight key areas of concern or opportunity.

Example Visualisation:

- Heatmaps showing population density overlaid with service accessibility.
- Risk maps showing hazardous zones overlaid with settlement areas and infrastructure.
- Comparative maps showing current land use versus projected development needs.

8. Formulate Recommendations

Objective: Based on the comparative analysis, develop actionable recommendations that address identified issues and leverage opportunities.

Example Recommendations:

- Prioritise infrastructure upgrades in high-density, underserved areas.
- Implement land use regulations to prevent development in high-risk zones.
- Expand tenure security programmes in areas where service access is low to improve overall community resilience.

9. Engage Stakeholders

Objective: Present your findings and recommendations to relevant stakeholders for feedback and validation. Ensure that the analysis reflects the needs and priorities of the community.

Example Stakeholder Engagement:

- Host workshops with local government officials, community leaders, and NGOs to review the analysis and discuss potential interventions.
- Use the maps and visualisations as discussion tools to facilitate stakeholder understanding and buy-in.

Practical Examples of Data Overlays for Comparative Analysis:

1. Population Density vs. Infrastructure Coverage:

Purpose: Identify areas where high population density coincides with inadequate infrastructure, such as water supply or transportation networks.

Outcome: Areas with high population density and poor infrastructure coverage are prioritised for infrastructure development.

2. Environmental Hazard Zones vs. Land Use:

Purpose: Assess the vulnerability of residential and commercial areas to environmental hazards such as floods or landslides.

Outcome: Zoning regulations may be updated to restrict development in high-risk areas, and existing structures may need reinforcement or relocation.

3. Service Accessibility vs. Housing Quality:

Purpose: Determine if lower-quality housing is located in areas with poor access to essential services such as healthcare and education.

Outcome: Targeted programmes can be developed to improve both housing quality and service accessibility in these areas.

Key Considerations

- ***Data Quality:*** *Ensure that all data layers are accurate, up-to-date, and relevant to the analysis objectives.*
- ***Interdisciplinary Approach:*** *Engage experts from different fields (e.g., urban planning, environmental science, social sciences) to provide a comprehensive analysis.*
- ***Stakeholder Involvement:*** *Continuously involve stakeholders to ensure that the analysis addresses their concerns and priorities.*
- ***Visual Communication:*** *Use clear and effective visualisations to communicate findings and recommendations to non-technical audiences.*

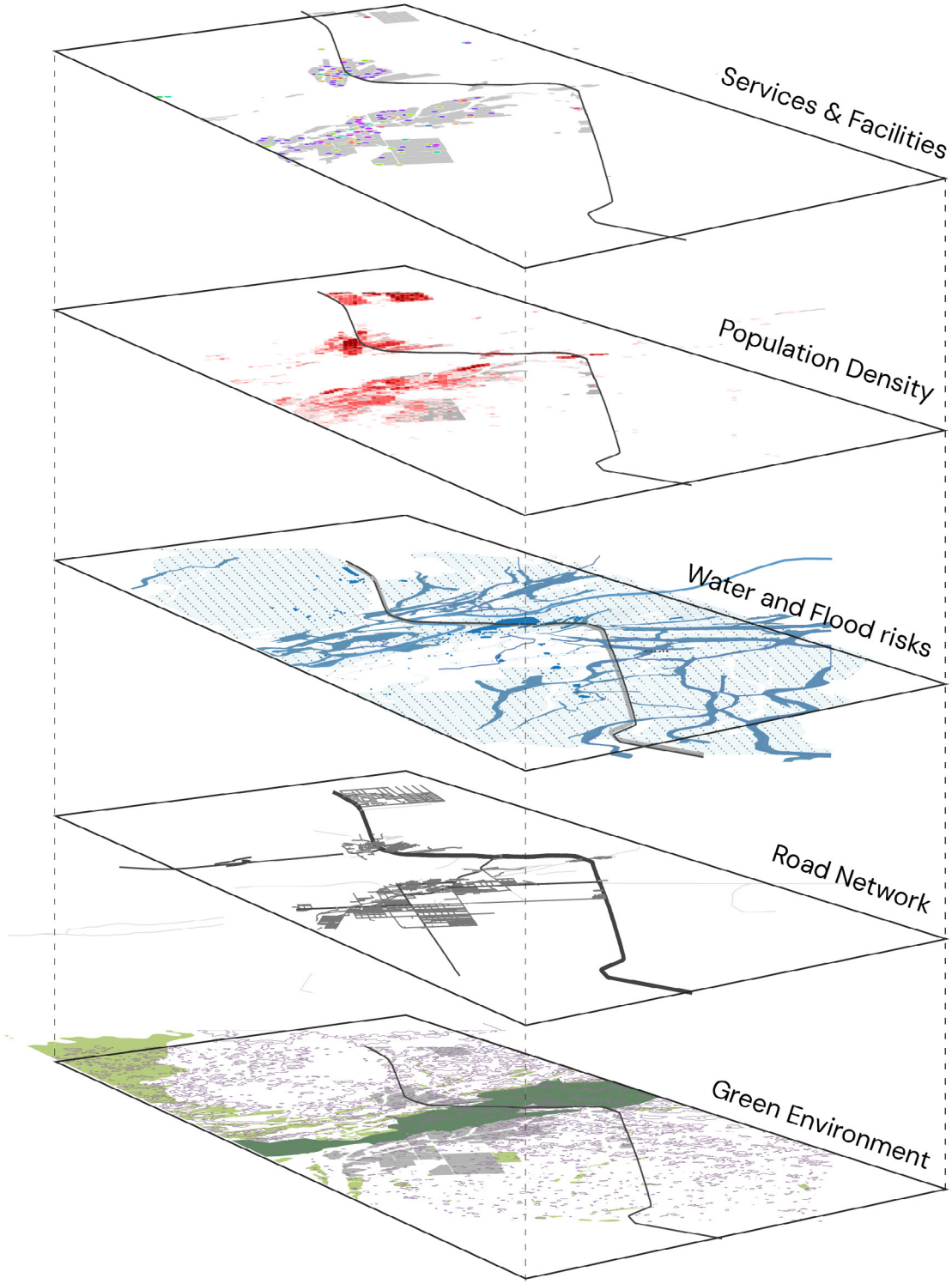


Fig. 2: *Data overlays for comparative analysis*

2.1. Data Management and Collection

1. Baseline Mapping

- Settlement Boundaries: Use satellite imagery and cadastral maps to establish the settlement's baseline boundaries, identifying the current outer edges where the settlement transitions into rural land or natural landscapes. Use platforms like Google Earth for basic analysis or satellite data providers for high-resolution images. For larger or more complex areas, consider using automated detection techniques such as edge detection algorithms or machine learning models trained to identify built-up areas.
- Legal Boundaries: Incorporate cadastral maps or administrative boundaries available from local government agencies, as these provide legal boundaries that may not be immediately apparent from satellite imagery. Consider how these legal boundaries complement or differ from the physical boundaries observable in satellite imagery.

> *'A base map is critical as it provides the foundational context - such as boundaries, landmarks and scale - that ensures consistency and clarity across all subsequent maps.'*

2. Historical and Demographic Correlation:

- Time-Frame Selection: Collect and analyse satellite images from different time periods, selecting those most representative of significant urban growth and change. Base the selection on the historical and demographic analysis (see 2.3.1 Timeline and 2.3.2 Demographic and Movement Mapping sections), evaluating the potential correlation of spatial dynamics with significant events affecting settlement growth or contraction, such as new policy implementations, infrastructure projects, economic booms or downturns, and natural events.
- Correlation Analysis: Determine the time frames or reference years to set up the subsequent analysis. Analyse how demographic shifts, historical events, and migration patterns have influenced the spatial layout of the settlement. Consider the lag between cause and effect, recognising that the impact of a policy change on urban layout may not be immediate.

3. Mapping Built-Up Areas:

- Spatial Expansion: Map the built-up area of the settlement at different chosen time frames, assigning a unique colour to each period to visualise the settlement's expansion or contraction over time. Consider the patterns of growth, such as sprawl, densification, or redevelopment, and the factors driving these patterns.
- Infrastructure Development: Contextually map the development of critical infrastructure, such as transportation networks and key basic and public services (e.g., schools, hospitals, markets), to visualise the correlation between the spatial organisation and these components. Consider how the development of infrastructure has influenced settlement growth and the distribution of services.

4. **Population Density Analysis:**

- Density Calculation: For each chosen time frame, determine the size of the identified settlement area (hectares) and, with reference to available demographic data (see 2.3.2 Demographic and Movement Mapping section), calculate the population density (people per hectare). Map the settlement density, including areas of overcrowding or depopulation, and analyse the relationship between density and access to key basic and public services and transportation networks.
- Quality of Life Indicators: Assess how population density correlates with quality of life indicators within the settlement, such as access to education, healthcare, and employment opportunities. Consider the implications of high or low population density on social cohesion, economic activity, and environmental sustainability.

5. **Impact of Displacement:**

- Displacement Mapping: Based on the migration and displacement analysis *(see 2.3.2.2 Migration and Displacement Context section),* map the distribution of IDP and refugee settlements over different time frames. Examine changes in built-up areas and density, particularly in relation to proximity to key basic and public services and transportation networks.
- Settlement Dynamics: Analyse the dynamics of settlement expansion or shrinkage in response to displacement, considering factors such as the arrival of new IDPs or refugees, relocation programmes, changes in land use policies, and the availability of services. Consider the implications of these dynamics for urban planning and service provision.

6. **(Optional) Predict Expansion Areas:**

- Spatial Analysis Tools: Especially in contexts lacking formal planning tools, use spatial analysis and modelling tools to predict potential and spontaneous areas of settlement expansion. Consider both facilitating and restrictive factors such as geography, environmental constraints, current infrastructure, and the presence of essential public services.
- Expansion Implications: Evaluate the potential impacts of spontaneous settlement expansion on urban planning, infrastructure development, and service provision. Consider how natural topography and environmental constraints influence the direction and extent of settlement expansion, and the implications for long-term sustainability.

7. **Summary and Reporting:**

- Visual Communication: Create maps and diagrams that clearly communicate the findings of the spatial analysis. These visual aids should be detailed and informative, providing a clear understanding of the settlement's growth patterns, population density, and the impact of displacement on urban development.
- Summary: Create a report summarising the spatial analysis, demographic and movement mapping, and historical analysis. The report should provide actionable insights for urban planning, infrastructure development, and policy interventions, with a focus on promoting sustainable and equitable growth.

Key Considerations

- ***Cause and Effect Lag:*** *While identifying significant periods of urban growth or contraction, consider the lag between cause and effect. For instance, the impact of a policy change on urban layout may not be immediate. This understanding is crucial for accurately correlating spatial dynamics with historical events or demographic shifts.*
- ***Land Privatisation and Plot Demarcation:*** *When examining potential and spontaneous areas for settlement expansion, it is important to consider the current dynamics in land privatisation and plot demarcation occurring in peripheral areas of the settlement. Such phenomena can be interpreted as a sign of investor confidence in market stability and tenure security. However, they also signal the continuous expansion of low-density residential areas, highlighting the necessity for a more systematic approach to urban development.*
- ***Infrastructure and Services****: Consider how the availability and quality of infrastructure and services influence settlement growth and population density. Ensure that planning interventions address the gaps in service provision and infrastructure development, particularly in areas experiencing rapid expansion or high population density.*

SUGGESTED TOOLS

- Geo Data Sources and Tools
- Learning Resources: Software and Technical Tools from Humanitarian Settlement Planning CoP

Possible Sources

- OpenStreetMap (OSM)
- Digital Terrain Models (DTMs)
- Satellite and Aerial Imagery
- Open Source Platforms and Repositories

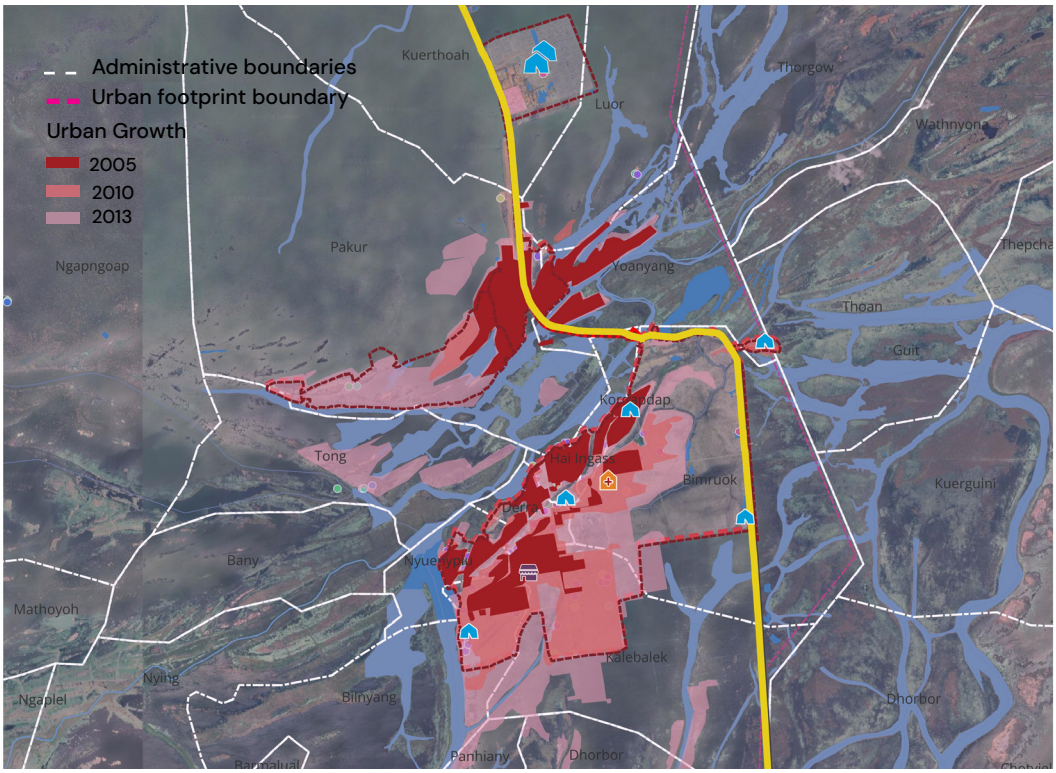


Fig. 3: *Demographic growth and boundaries*

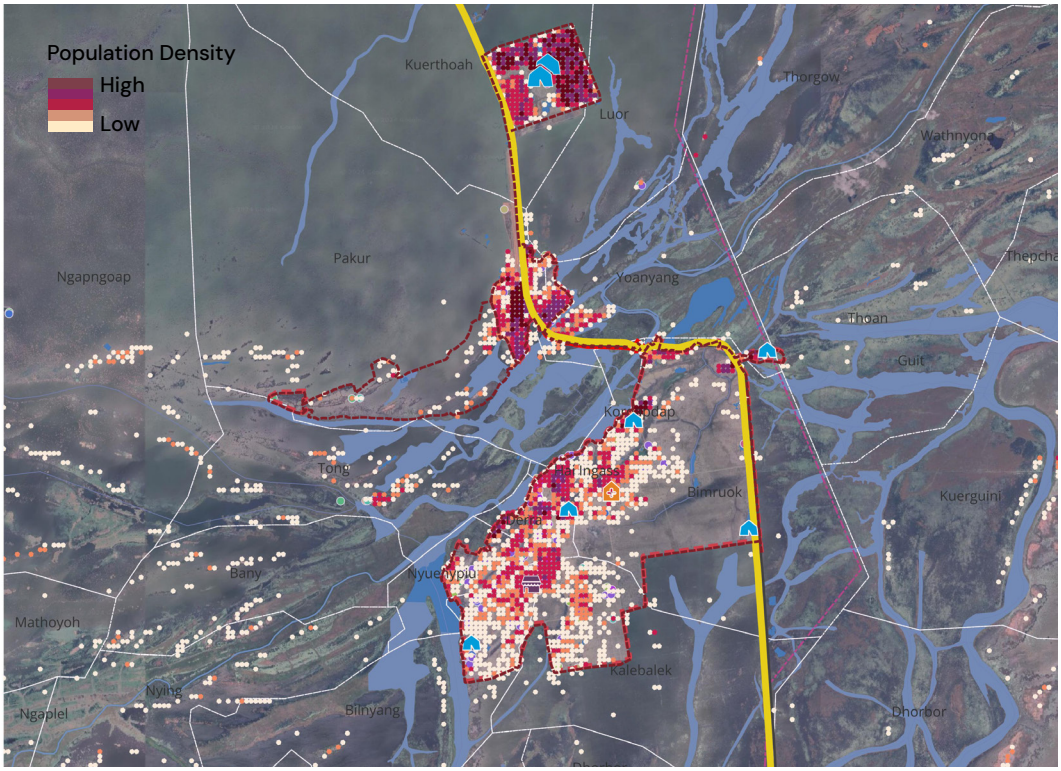


Fig. 4: *Population density*

2.2 Settlement Analysis

Purpose

To provide a comprehensive understanding of the settlement's evolution and development through time, capturing significant historical events (wars, natural disasters, major administrative and governmental changes), demographic changes, migration patterns and transformations that have shaped the settlement's socio-economic and spatial environment over time. This chronological analysis provides critical insights into the current conditions and future prospects of the settlement.

Objectives

- Examine the impact of significant historical events on the settlement's socio-economic and political development.

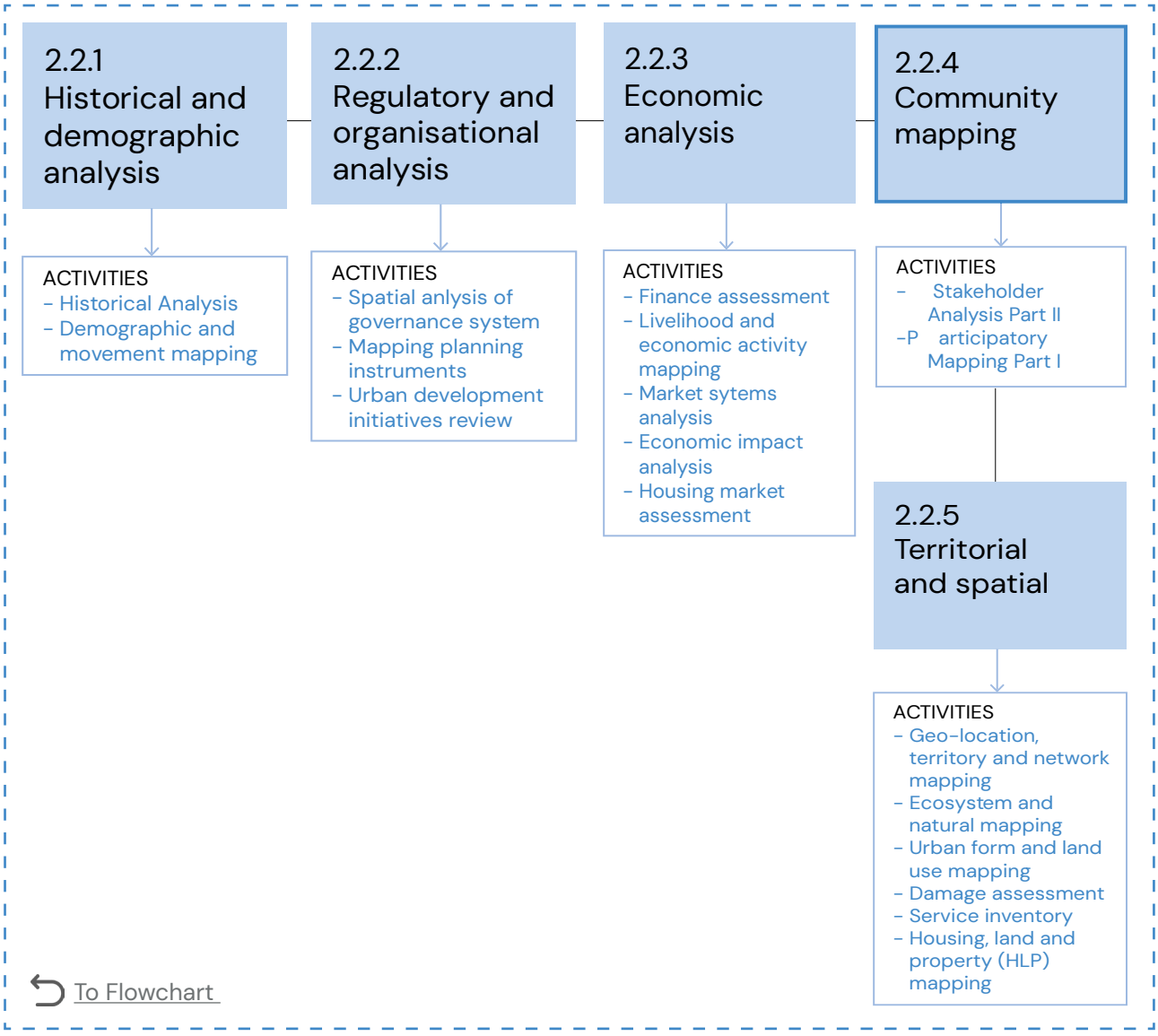
Results

- A timeline that outlines the chronological sequence of historical events, including wars, natural disasters, and significant administrative and governmental changes, and their impact on the settlement's socio-economic and political development. Each event should be thoroughly described, considering its causes, key actors involved, and outcomes, thereby connecting these events to the broader narrative of the settlement's evolution.
- Comprehensive understanding of how these historical events have shaped the current socio-economic and cultural landscape of the settlement.

2.2 Settlement Analysis

Guiding Questions:

- *What are the current social, economic, regulatory, and environmental conditions in the settlement, and how do they interact?*



Understanding the settlement from various perspectives is essential for grasping the complex dynamics that shape living environments. This analysis reveals the interactions between governance, community life, economic viability, and spatial development, forming the foundation of a settlement profile narrative; crucial for creating a comprehensive understanding of the settlement's characteristics and needs.

2.2 Settlement Analysis

2.2.1. Historical and Demographic Analysis

2.2.1.1 Historical Analysis

2.2.1.2 Demographic and Movement Mapping

Steps

1. **Data Collection:**

- Primary and Secondary Sources: Gather data from archives, government records, historians, and academic studies on the settlement's historical development.
- Local Engagement: Work with community elders and cultural groups to gather oral histories about the settlement historical events.
- Data Integration: Integrate these diverse data sources to ensure a holistic understanding of the settlement's history, considering the broader national and global context.

2. **Chronological Analysis:**

- Thematic Categorisation: Organise the data chronologically and categorise it based on themes such as socio-economic, cultural, political, and environmental factors. This allows for the identification of key phases in the settlement's history.
- Impact Assessment: Assess how each historical phase, marked by specific events like wars, natural disasters, or political changes, influenced the settlement's development. Consider economic downturns, shifts in population demographics, changes in governance, and the impact on physical infrastructure.
- Interrelation Analysis: Explore how local events are interrelated with national and global occurrences. For instance, assess how a global economic recession may have compounded the effects of a local natural disaster or how regional conflicts influenced local migration patterns.

3. **Synthesis and Interpretation:**

- Narrative Construction: Synthesise the data into a cohesive narrative that traces the historical progression of the settlement, placing it within the broader context of key national and global events. The narrative should not only recount events but also interpret their implications on the settlement's present conditions and future prospects.
- Implication Mapping: Map out how these historical events have influenced the current socio-economic structure, cultural identity, and governance frameworks of the settlement. For example, examine how colonial administrative policies might still affect land ownership patterns or how past conflicts have shaped current social divisions.

4. **Visual Representation:**

- Timeline Development: Develop an interactive and visually engaging timeline that illustrates major events shaping the settlement's landscape and development trajectory. This timeline should include annotated entries with brief descriptions of each event's relevance, ensuring an informative and engaging narrative flow.
- Supplementary Materials: Include visual aids such as photographs, maps, and archival documents that can provide additional context and enhance the understanding of historical developments. These visuals should be carefully selected to represent the different phases of the settlement's evolution.

5. **(Optional) Comprehensive Report:**

- Summary Report: Compile a detailed report that explains major historical events and the complex interplay between historical occurrences and their lasting impacts on the settlement. The report should delve into the socio-economic, cultural, and physical aspects of the settlement, providing a deeper insight into its current state and potential future directions.
- Analytical Depth: Ensure the report offers a critical analysis, drawing on interdisciplinary perspectives (e.g. from sociology, economics, and anthropology) to enrich the understanding of how historical events have shaped the settlement.

Key Considerations

- ***Interdisciplinary Approach:*** *Incorporate insights from multiple disciplines, such as sociology, economics, anthropology, and environmental science, to provide a richer analysis of historical events and their impacts on the settlement.*
- ***Local Perspectives:*** *Engage with local historians, elders, and cultural groups to gain a deeper understanding of the settlement's history, cultural significance, and community perspectives that may not be captured in written records. Use community consultations and meetings to verify findings and gather additional insights.*
- ***Broader Context****: Place the settlement's history within the broader national and global context to understand external influences and how they have shaped local developments.*
- ***Impact on Current Conditions:*** *Ensure that the historical analysis is directly linked to the settlement's current socio-economic and cultural conditions, highlighting how past events continue to influence present dynamics.*

2.2 Settlement Analysis

2.2.1. Historical and Demographic Analysis

2.2.1.1 Historical Analysis

2.2.1.2 Demographic and Movement Mapping

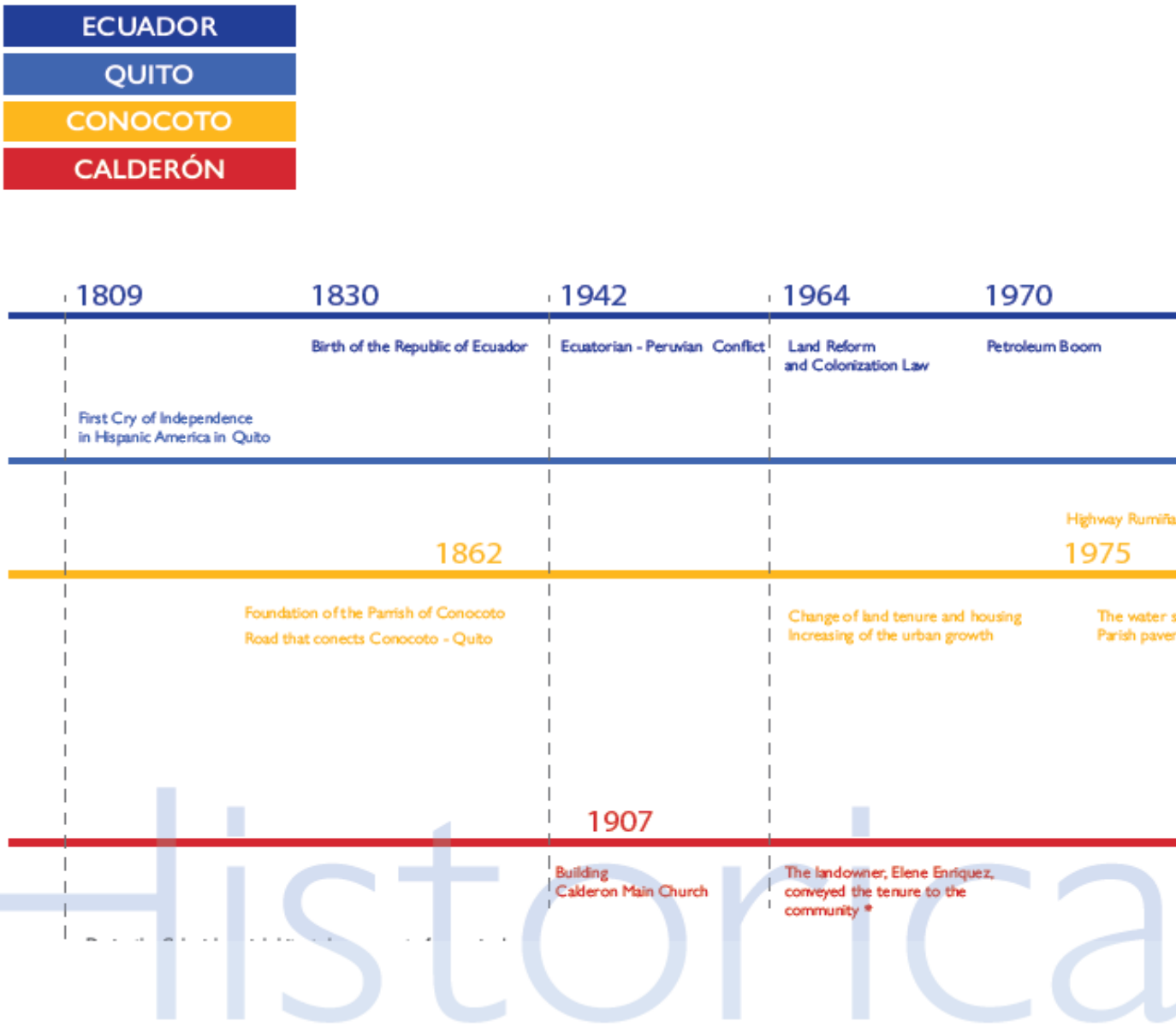
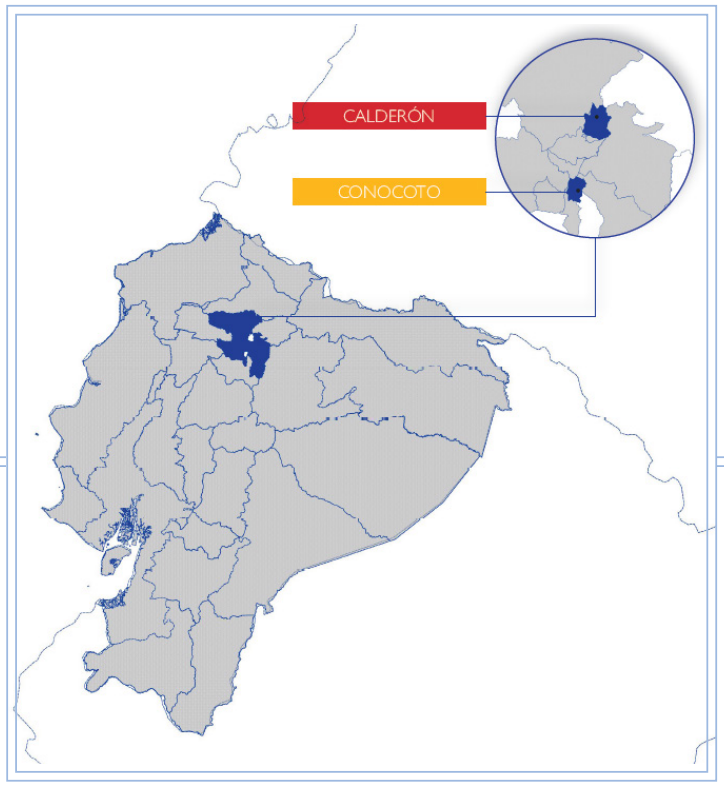
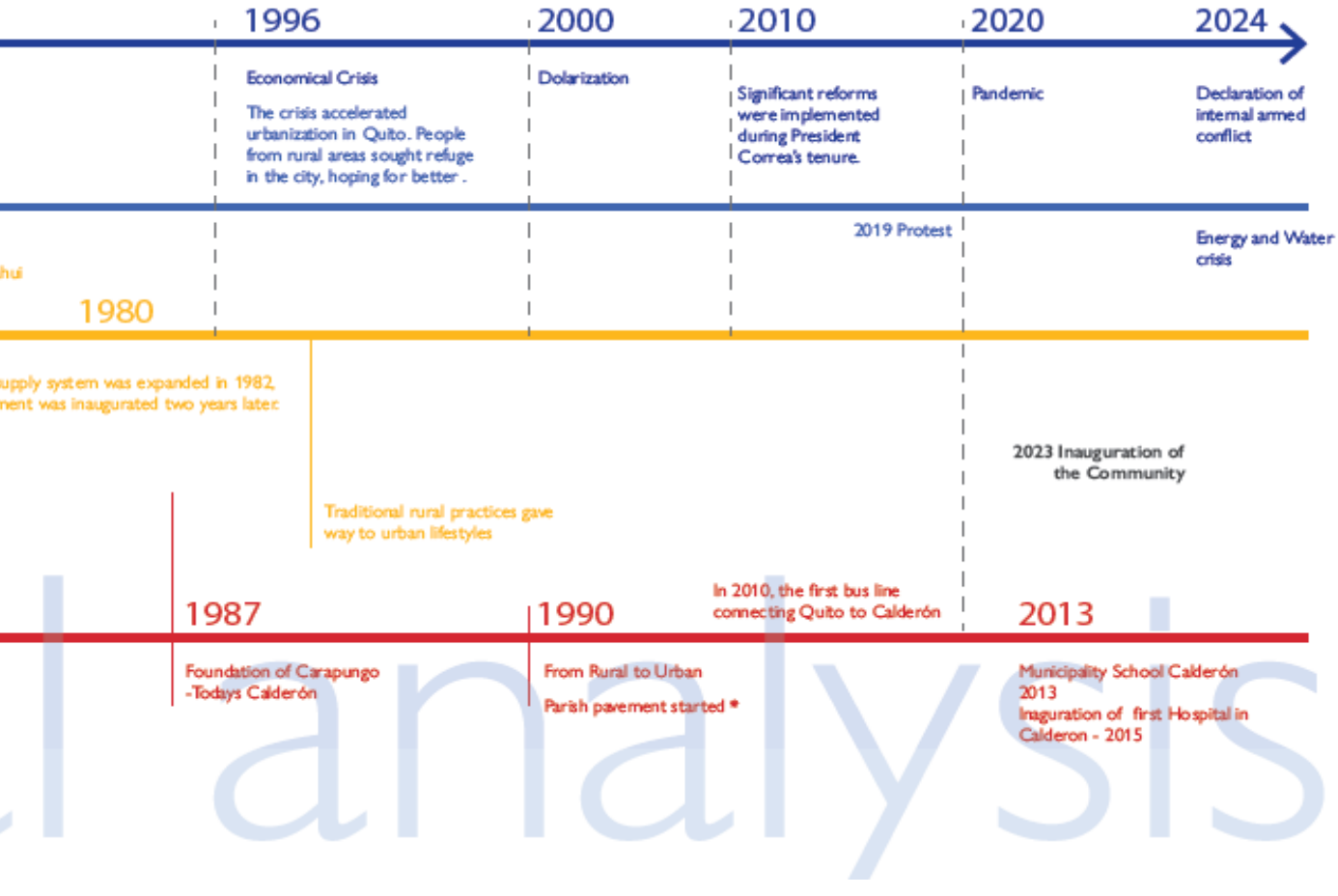


Fig. 5: *Historical Timeline, Ecuador Case Study ((Calderon and Conocoto Neighborhood Profiles, Ecuador)*


CALDERÓN
CONOCOTO


1996
2000
2010
2020
2024
Economical Crisis
The crisis accelerated urbanization in Quito. People from rural areas sought refuge in the city, hoping for better .
Dolarization
Significant reforms were implemented during President Correa's tenure.
Pandemic
Declaration of internal armed conflict
2019 Protest
Energy and Water crisis
hui
1980
upply system was expanded in 1982.
nent was inaugurated two years later.
2023 Inauguration of the Community
Traditional rural practices gave way to urban lifestyles
In 2010, the first bus line connecting Quito to Calderón
1987
1990
2013
Foundation of Carapungo -Todays Calderón
From Rural to Urban
Parish pavement started *
Municipality School Calderón 2013
Inaguration of first Hospital in Calderon - 2015

2.2 Settlement Analysis

Purpose

This section focuses on understanding the size, structure, distribution, and dynamics of the settlement population, especially as it relates to migration patterns and demographic shifts. The analysis of these factors is critical for identifying the underlying drivers of population changes and their implications for urban development, service provision and social integration.

Objectives

- **Demographic Trends**: Analyse population growth, fertility, mortality, migration, and household composition to inform sustainable urban planning.
- **Migration and Displacement Dynamics:** Understand the socio-economic characteristics of displaced populations, including their origins, demographic profiles, and access to services.
- **Causes of Displacement:** Examine the triggers of migration and displacement, such as conflict, environmental factors, and socio-economic pressures.
- **Social Integration**: Analyse interactions between displaced populations and host communities, focusing on social cohesion and economic impacts.

Results

- **Population Estimates:** Detailed tables estimating settlement populations disaggregated by categories (e.g., urban, rural, nomadic, IDPs) and further broken down by gender and household composition.
- **Demographic Development Diagrams:** Visual representation of population trends over time, including historical, current, and projected changes.
- **Migration Trends Map:** Spatial map of migration trends, showing the distribution of IDPs and refugees, areas of overcrowding, and access to services.
- **Displacement Analysis:** In-depth study of displacement causes, migration flows, and the socio-economic characteristics of affected populations, including host communities.

2.2 Settlement Analysis

Steps

1. **Data Collection and Verification:**

- Identify reliable sources such as national statistics, UN agencies, and research institutions for demographic and migration data.
- Gather qualitative and quantitative data, including primary methods like field surveys, interviews, and focus groups.
- Cross-reference data from multiple sources to ensure accuracy and fill gaps.

2. **Demographic and Migration Analysis:**

- **Profiling:** Segment data to create detailed demographic and socio-economic profiles of urban, rural, nomadic populations, and IDPs, disaggregated by age, gender, and household structure.
- **Trends:** Analyse historical and current population growth, fertility, mortality, and migration patterns to identify long-term trends.
- **Migration Dynamics:** Examine inward (e.g., IDPs, returnees) and outward migration, their impacts on settlement composition, and integration challenges.
- **Household Composition:** Evaluate household sizes and structures, linking these to housing and social service needs.

3. **Mapping and Spatial Analysis:**

- Use GIS tools to create maps visualising settlement types, population density, and access to infrastructure and services.
- Assess risks of overcrowding and adequacy of infrastructure in high-density areas.
- Include an optional spatial map of growth projections and expansion patterns.

4. **(Optional) Trend Forecasting and Scenario Planning:**

- Use demographic models to project future population trends, considering variables such as economic recovery and environmental factors.
- Develop scenarios to evaluate potential impacts of migration patterns and demographic changes on urban development.

5. **Integration of Findings:**

- Synthesise data into a report with demographic tables, migration maps, and policy considerations.
- Highlight social cohesion dynamics and legal protections for displaced populations.

2.2 Settlement Analysis

2.2.1. Historical and Demographic Analysis

2.2.1.1 Historical Analysis

2.2.1.2 Demographic and Movement Mapping (NAT - REG - LOCAL)

2.2.3. Regulatory and Organisational Analysis

Key Considerations

- ***Data Reliability:*** *Acknowledge the limitations of available data and validate through cross-referencing.*
- ***Seasonal Factors:*** *Consider how environmental changes and seasonal patterns influence migration and displacement.*
- ***Projections:*** *Use demographic forecasts as planning guidelines, recognising inherent uncertainties.*

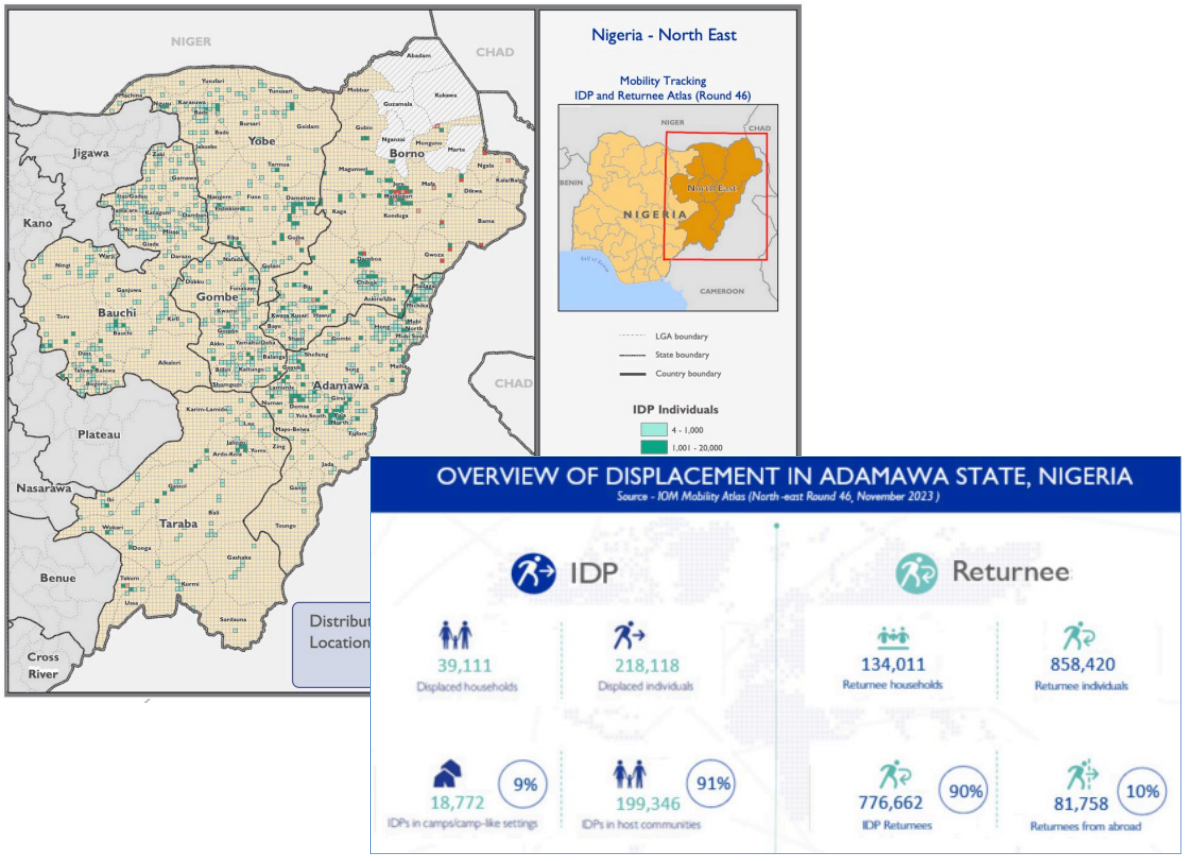


Fig. 6: *Distribution of IDPs by location (IOM DTM Mobility Tracking Round 46 Dec 2023), Adamawa State, Nigeria (Song Town Settlement Profile, Nigeria)*

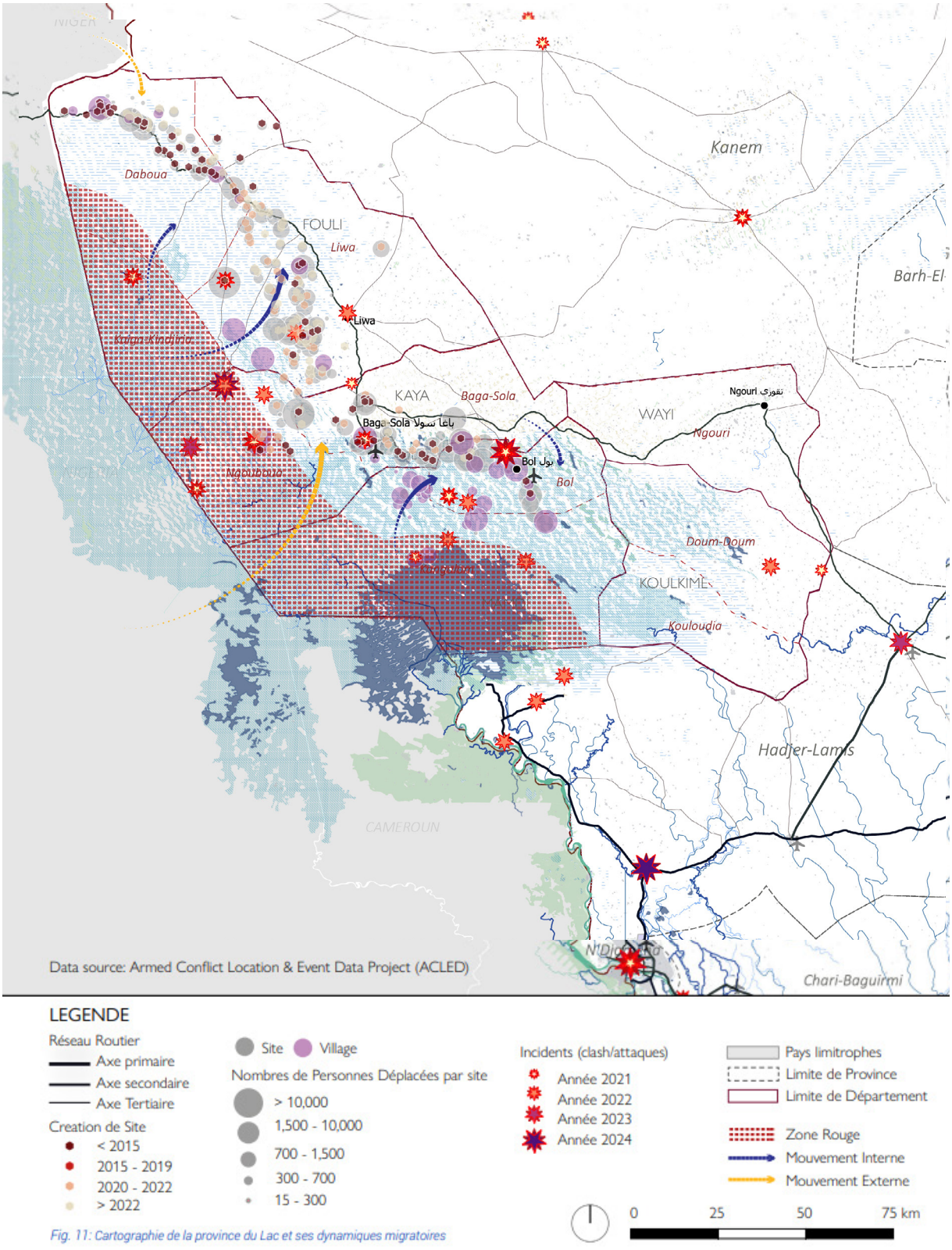


Fig. 11: Cartographie de la province du Lac et ses dynamiques migratoires

Fig. 7: *Migration and Displacement Dynamics in the Lake Province, Chad (Kaya Territorial Profile, Chad)*

2.2 Settlement Analysis

The **Regulatory and Organisational Analysis** component provides a detailed examination of the settlement's administrative structure, governance mechanisms, and the planning frameworks that inform urban design and development at various levels. This analysis is essential for understanding the legal, procedural, and instrumental frameworks that govern urban development, including the roles and involvement of both public and private stakeholders. This section is divided into three comprehensive subsections: Administrative and Governance System, Planning Instruments and Procedures, and Urban Development Initiatives Review.

2.2 Settlement Analysis

Purpose

The Regulatory and Organisational Analysis component provides a detailed examination of the settlement's administrative structure, governance mechanisms, and the planning frameworks that inform urban design and development at various levels. This analysis is essential for understanding the legal, procedural, and instrumental frameworks that govern urban development, including the roles and involvement of both public and private stakeholders. This section is divided into three comprehensive subsections: **Administrative and Governance System, Planning Instruments and Procedures,** and **Urban Development Initiatives Review.**

(Purpose 2.2.3.1) This analysis delves into the structures and mechanisms that govern the administration and decision-making processes of the settlement. It includes an evaluation of formal and informal governance mechanisms and the roles of non-governmental actors, starting from a national level and moving to intermediate and local levels.

Objectives

- To understand the organisational structure of governance at national, regional, and local levels, focusing on the administrative setup and relationships between various governmental bodies.
- To evaluate the competencies, responsibilities, influences and interrelationships of different government entities at various levels, particularly in areas such as urban management, land management, basic services, and displacement/migration issues.
- To assess the effectiveness of formal and informal governance mechanisms in addressing key challenges and fostering community involvement.

Results

- **Administrative Territorial Map:** A detailed map that illustrates the administrative-territorial divisions of the country, marking boundaries and capitals, and aligning these with the overarching administrative model (federal, unitary, etc.).
- **Organisational Diagram:** An organisational chart that visually represents the governance structure at different levels, highlighting the key entities, their competencies, and the relationships between them.
- **Governance Summary:** A summary of the key findings from the analysis, including the effectiveness of governance systems and the roles of non-governmental actors.

Required Information

Identification of the administrative model (e.g., federal, unitary) and its implications for governance.

Maps and descriptions of territorial divisions, including states, regions, and local entities, with clearly marked capitals and boundaries.

A detailed list of governmental entities and departments at various levels, outlining their roles, competencies, and relationships, particularly in urban management, land management, basic services, and displacement/migration issues.

An assessment of administrative and governance efficiency, including the effectiveness of formal and informal mechanisms in addressing recent challenges.

Insights into the contributions of non-governmental organisations to the governance system.

Analysis of the inclusiveness and participatory nature of governance models and decision-making processes.

Identification of structural weaknesses that impact the provision of services and the devolution of functions.

Steps

1. **Identify Administrative Model:**

- Data Collection: Identify the country's administrative model, such as whether it follows a federal system (with powers divided between the national government and constituent states or provinces) or a unitary system (where the central government holds primary authority and delegates powers to local levels).
- Mapping: Create a comprehensive map that outlines the administrative tiers (e.g., federal states, regions, provinces, municipalities, villages), clearly marking administrative-territorial divisions and the capitals associated with each level.

2. **Catalogue Governmental Entities:**

- Stakeholder Mapping: Use insights from the preliminary stakeholder analysis (refer to 2.1 Stakeholder analysis section) to catalogue governmental entities across different administrative levels, identifying key decision-makers and their respective responsibilities. This includes national or federal governments, regional authorities, municipal councils, and others.
- Competence Analysis: Analyse the primary competencies and responsibilities of each governmental body and department, with a particular focus on their roles in urban planning, land management, basic service provision, and addressing displacement/migration issues.

3. **Evaluate Community Involvement:**

- Decision-Making Processes: Examine the formal procedures for decision-making, including any required consultations or approvals. Evaluate the mechanisms for community involvement in these processes and assess the level of citizen participation.

2.2 Settlement Analysis

- Non-Governmental Actors: Investigate the role of non-governmental actors and informal governance structures that might exist alongside formal mechanisms, particularly in areas underserved by formal governance structures. Assess how NGOs, community organisations, and other civil society entities contribute to governance through service delivery, advocacy, or participation in governance processes.

4. Analyse Governance Effectiveness:

- Governance Effectiveness: Collect insights into the effectiveness and appropriateness of current governance arrangements in addressing recent challenges. Identify gaps, inefficiencies, and structural weaknesses in the system and understand grassroots responses and ad hoc arrangements that have emerged to fill governance voids.
- Challenges and Recommendations: Analyse the challenges these actors face, such as resource limitations, legal constraints, or resistance from formal governance structures, and provide recommendations for enhancing governance effectiveness.

5. Organisational Chart and Report:

- Visual Representation: Develop an organisational chart that visually represents the governance structure, highlighting key entities, their competencies, and relationships.
- Summary: Compile the findings into a report, summarising the governance structure, effectiveness, and the roles of non-governmental actors.

Key Considerations

- ***Inclusive Governance:*** *Understanding the role of non-governmental actors and informal governance structures is crucial for gaining insights into the broader ecosystem of governance and emphasising the importance of inclusive and participatory governance models.*
- ***Expansion Beyond Administrative Boundaries:*** *Recognise that the expansion of settlements can often exceed administrative boundaries, necessitating decisions on whether to widen current boundaries or create new administrative units for areas with distinct urban characteristics.*

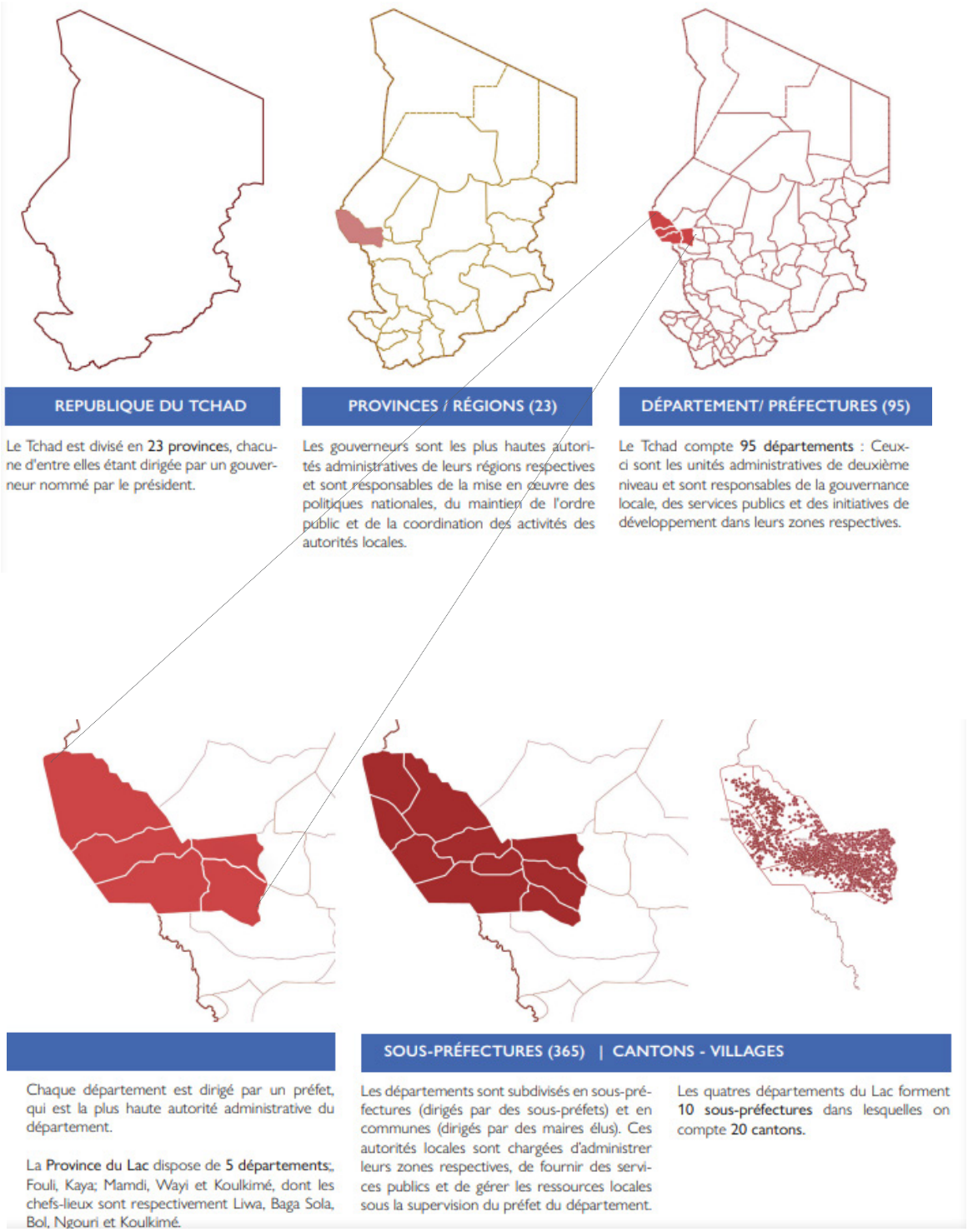


Fig. 8: *Administrative Territoiral Division, Chad (Kaya Territorial Profile, Chad)*

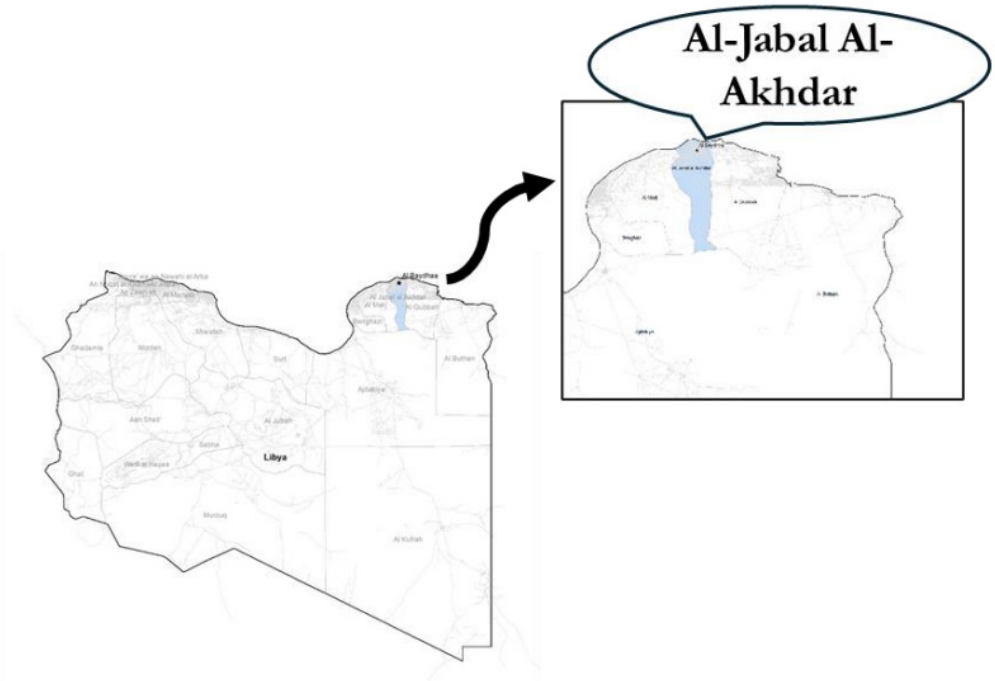


Figure 1: Geographical location and network

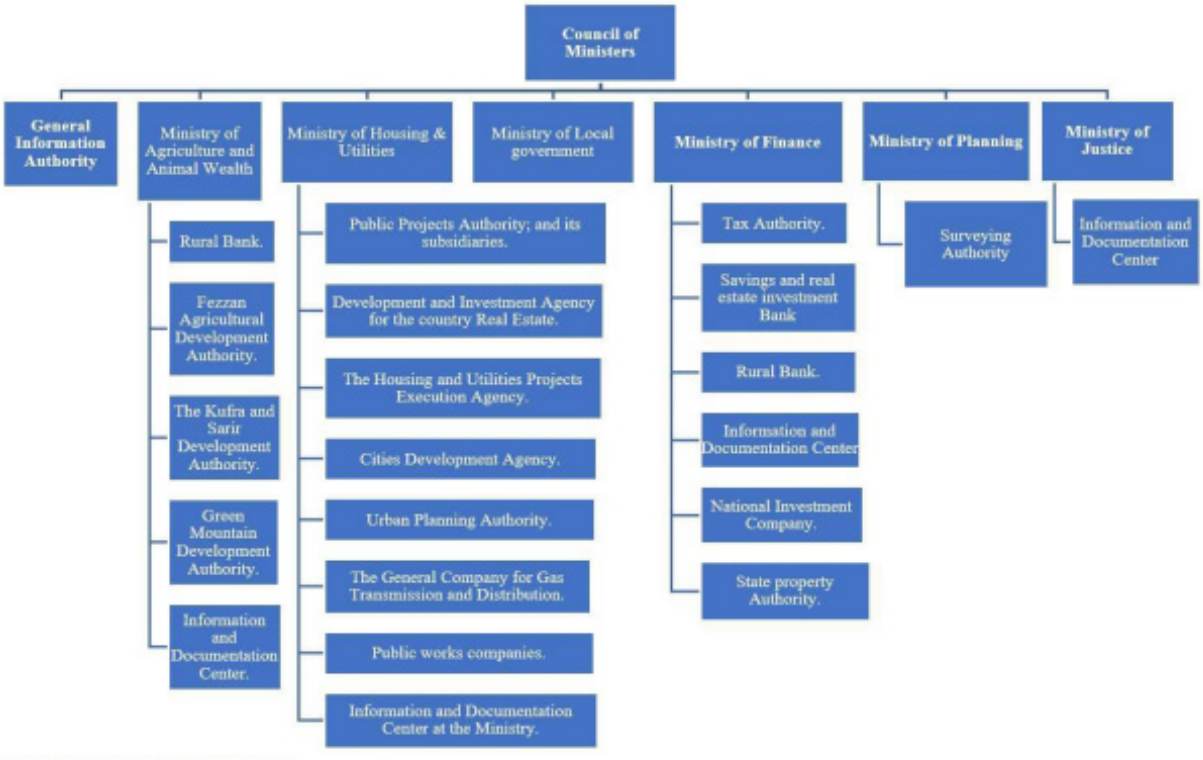


Figure 2: Land administrative bodies

Fig. 9: *Administrative Territoiral Division and Land Administration Bodies, Libya (Al Bayda, Shahat and Soussa Municipalities Profiles, Libya)*

2.2 Settlement Analysis

Purpose

This analysis provides a comprehensive overview of the legal and procedural frameworks governing urban management and spatial planning at different levels. It details the roles and responsibilities of administrative entities and governmental bodies and examines how these frameworks influence urban development.

Objectives

- To establish a foundational understanding of the current legal and regulatory environment governing urban planning and land management at national, regional, and local levels.
- To map out the procedural steps, formal requirements, and timelines involved in the formulation, approval, and implementation of urban plans.
- To evaluate the extent and effectiveness of public involvement in the urban planning process and its impact on development outcomes.

Results

- **Competence Map:** A detailed map that illustrates the roles and responsibilities of various government and administrative bodies involved in urban planning and land management, as well as how these entities interact at different levels of governance.
- **Process Flow Char**t: A flowchart that outlines the procedural steps required for formulating, approving, and implementing urban planning instruments across different administrative levels.
- **Regulatory Framework Report:** A chapter outlining legal frameworks, planning instruments, and gaps between policy and actual urban development outcomes.

Required Information

Information on urban planning and management laws, including national and regional frameworks for managing urban land.

Mapping of the competencies, responsibilities, and relationships of government and administrative bodies at different levels (national, regional, local) with mandates in urban planning and land management.

Procedures for urban planning development and approval, including formal requirements, essential steps, and timelines.

Mechanisms for public engagement and feedback in the planning and land management process.

Planning instruments that regulate settlement urban development and land use, and their alignment with supra-local plans (e.g., regional and provincial/territorial plans).

Urban regulatory frameworks governing technical aspects of spatial planning, including regulations related to historical heritage.

National or regional policies defining approval procedures for land allocation, plot development, and construction.

Assessment of the gap between the formal planning system and actual urban development, considering the influence of informal dynamics on the built environment.

Steps

1. **Review Legal Frameworks:**

- Data Collection: Collect and review existing legal documents, plans, and regulations that govern urban planning and land management at national, regional, and local levels. Evaluate whether these frameworks ensure a coordinated approach to urban planning and land management, integrating urban land planning, sustainable land use, and land rights.
- Urban Planning Laws: Examine the presence and application of urban planning land management laws and determine the responsible government bodies.

2. **Map Competencies and Relationships:**

- Competence Analysis: Based on the analysis from the Administrative and Governance System section (2.3.2.1), map out the competencies, responsibilities, and relationships of government and administrative bodies at different levels (national, regional, local) with mandates in urban planning and land management.

3. **Analyse Urban Planning Procedures:**

- Urban Planning Processes: Analyse the procedures for urban planning development and approval, including formal requirements, essential steps, and timelines. Develop a flowchart that illustrates these processes across different administrative and government entities.

2.2 Settlement Analysis

4. **Assess Public Engagement:**

- Public Involvement: Evaluate the mechanisms for public engagement and feedback in the planning and land management process. Assess how communities and key stakeholders are involved in developing and revising planning instruments.
- Mechanisms of Participation: Analyse the processes for public hearings, workshops, consultation procedures, and how these are integrated into the decision-making processes.

5. **Evaluate Planning Instruments:**

- Regulatory Instruments: Examine the planning instruments that regulate urban development and land use in the settlement, including their approval dates and alignment with wider plans. Assess how often these plans are reviewed and what processes are in place for their revision.
- Urban Development Tools: Assess urban regulatory frameworks governing technical aspects of spatial planning, such as building density, height restrictions, and zoning regulations. Include an assessment of any regulations related to historical heritage that may influence these parameters.

6. **Monitor Planning Effectiveness:**

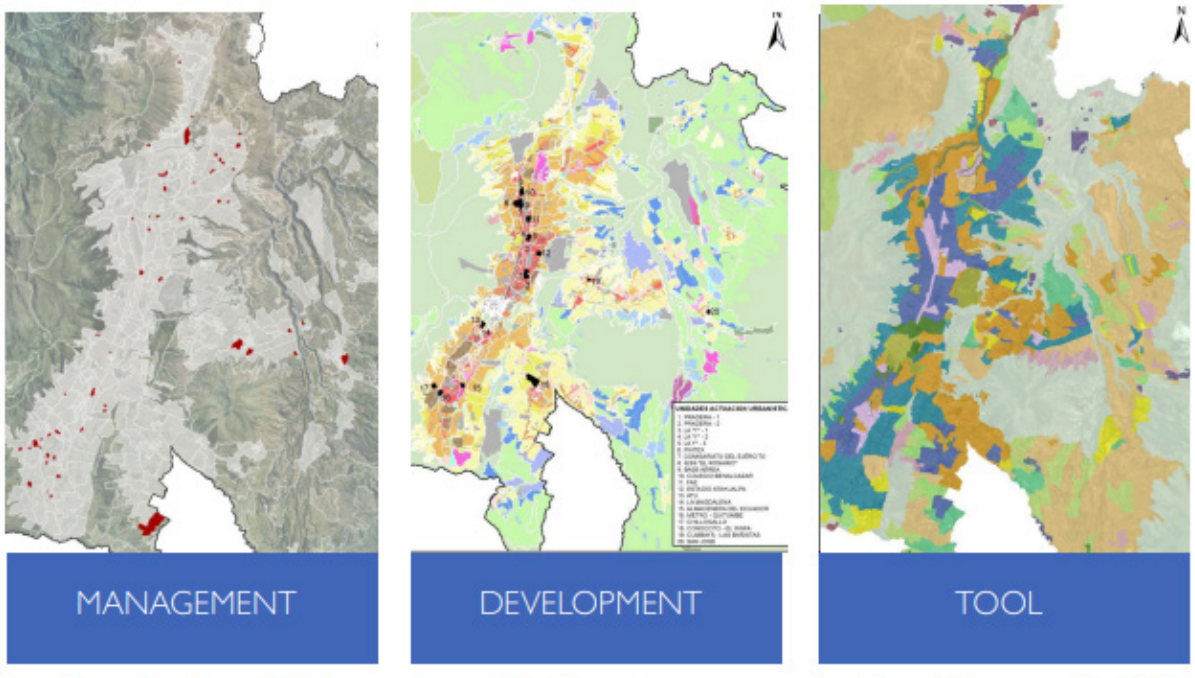
- Effectiveness Analysis: Monitor the effectiveness of current planning instruments in achieving their objectives and assess the gap between the formal urban planning system and actual urban development outcomes. Consider the influence of informal dynamics on the built environment and strategies to address these challenges.

7. **Compile Summary:**

- Regulatory Framework Report: Compile the analysis into a report detailing the existing legal and regulatory frameworks at various administrative levels, identifying key legislation, planning instruments, and regulations, while highlighting discrepancies between the formal planning system and actual urban development outcomes.

Key Considerations

- ***Coordination Among Entities:*** *Ensure a coordinated approach to urban planning and land management by fostering collaboration among relevant government agencies, stakeholders, and communities.*
- ***Urban Development Dynamics:*** *Recognise that urban development often occurs outside formal regulatory frameworks, and strategies should account for informal dynamics influencing the built environment.*



Quito Metropolitan District (DMQ):
DMQ encompasses not only the city of Quito but also surrounding areas. It has jurisdiction over a broader geographic area than the municipality alone. Collaborates with the municipality in urban planning efforts and coordinates initiatives that impact the entire metropolitan region.
Metropolitan Plan for Development and Territorial Planning (PMDOT) is also related to the Land Use and Management Plan (PUGS) and governs Quito until 2023. Both plans are essential for the planned growth and development of the city.

Responsible local institutions:
Secretariat of Territory, Habitat, and Housing of Quito: This entity plays a crucial role in land planning and management. It is part of the interinstitutional commission responsible for coordinating the PUGS along with other municipal entities.
General Secretariat of Planning of Quito: Another key institution in urban and territorial planning. It works in conjunction with other entities to ensure the coherence and alignment of the PUGS with other plans and policies.
Metropolitan Institute of Urban Planning of Quito: This institute is responsible for urban and territorial planning in Quito. It actively participates in the development and monitoring of the PUGS.
City Institute: It contributes to the development and land management of Quito. Its work is related to land management and the implementation of urban policies.

Land Use and Management Plan (PUGS):
The Land Use and Management Plan of Quito is a planning instrument aimed at establishing territorial and urban planning for urban and rural land to allocate urban planning regulations concerning land use, occupancy, building capacity, land management, and urban development.

This plan is structured by classifying the land to differentiate between urban and rural areas. In rural areas, the objective is to achieve conservation goals for biodiverse areas and maintain those suitable for sustainable agricultural production based on the principles of food sovereignty. Meanwhile, in urban areas, the aim is to promote construction development and concentrate population density with balanced and equitable access to public services.

Fig. 10: *Legal framework and planning instruments related to urban planning, land management, and development in Ecuador (Calderon and Conocoto Neighborhood Profiles, Ecuador)*

2.2 Settlement Analysis

Purpose

This section explores current urban development initiatives in the settlement and its immediate context, examining their objectives, implementation strategies, and the involvement of both public and private stakeholders. The analysis assesses how these initiatives align with broader recovery and resilience objectives and identifies gaps to guide future urban planning and development strategies.

Objectives

- To understand the overall impact of current planning tools, humanitarian programmes, and major investment projects on the settlement and its surrounding context.
- To evaluate the coordination and synergy among different stakeholders involved in urban development.
- To identify challenges and lessons learned from the implementation of these initiatives and document best practices for future efforts.
- To highlight areas of unmet needs or sectors where additional support is required.

Results

- **Initiatives Table:** A table describing key features of current planning tools, humanitarian programmes, and major investment projects in the settlement.
- **Initiatives Map:** A map visualising current initiatives with a clearly identifiable spatial component.
- **Impact Evaluation:** An evaluation of the overall capacity of these initiatives to address needs and challenges in the settlement.
- **Summary:** A report summarising key findings, identifying gaps, and providing recommendations for future strategies.

Required Information

- *Information on current planning frameworks and implementation tools guiding urban development.*
- *Analysis of current humanitarian programmes in the settlement and its surrounding context.*
- *Analysis of major investment projects by the public or private sector.*

Steps

1. **Identify Current Planning Frameworks:**

- Framework Analysis: Based on the Planning Instruments and Procedures section (2.3.2.2), identify current planning frameworks (e.g., town strategic plan, urban development plan, zoning regulations/land use plan) and implementation tools (e.g., sectoral plans, master plans, and urban projects) that guide the settlement's urban development.
- Sectoral and Master Plans: Review the specific outcomes targeted by these sectoral plans, master plans, or urban projects.

2. **Analyse Humanitarian Programmes:**

- Programme Analysis: Based on the Programme Scan section (1.1.2), identify current humanitarian programmes established in the settlement and its surrounding context. Assess the needs addressed by these programmes and their alignment with broader urban development goals.

3. **Identify Major Investment Projects:**

- Investment Projects: Identify significant investment projects from the public or private sector that impact the settlement's development. Determine the objectives, scale, and expected impact of these projects.

4. **Evaluate Each Initiative:**

- Initiative Components: For each initiative, note its start date, key actors, performance indicators, and alignment with broader urban development strategies. Specify the targeted sectors and assess whether there is a comprehensive approach to urban development that considers the interconnections between different sectors.
- Definition Process: (Optional) Explore the definition process of these initiatives, the strategies for implementation, key performance indicators, and how these initiatives align with broader urban planning goals.

5. **Map Spatial Components:**

- Spatial Mapping: Map initiatives with a clearly identifiable spatial component to understand their distribution and impact across the settlement. (Optional) Use Geographic Information Systems (GIS) tools to enhance the mapping process and incorporate additional data layers.

2.2 Settlement Analysis

6. **Analyse Overall Impact:**

- Impact Assessment: (Optional) Analyse the overall impact of these initiatives on urban development, considering factors such as the scale of investment, resources deployed, and the number of beneficiaries. Identify areas of unmet needs or sectors requiring additional support.

7. **Identify Challenges and Lessons Learned:**

- Implementation Challenges: (Optional) Identify limitations and challenges faced during the implementation of these initiatives, documenting lessons learned and best practices. Evaluate the level of coordination and synergies among different actors involved in the initiatives.

8. **Establish Monitoring Framework:**

- Ongoing Monitoring: (Optional) Establish a framework for ongoing monitoring of initiatives to track progress and feedback. Implement a system for regular updates to ensure the analysis remains relevant and useful.

9. **Compile Summary:**

- Synthesis Report: Summarise the impact of urban initiatives, highlight gaps, and offer planning recommendations.

Key Considerations

- ***Coordination and Synergy:*** *Evaluating the level of coordination and synergies among different stakeholders involved in urban development initiatives is crucial for ensuring the effectiveness and sustainability of these efforts.*
- ***Sustainable Urban Development:*** *Taking a comprehensive view of sustainable urban development and resilience is essential. This assessment should focus on evaluating local-led urban development initiatives and related processes, providing critical insights into communities' capabilities and strategic visions for their territory.*

2.2 Settlement Analysis

The **Economic Analysis** section offers an in-depth exploration of key areas within a settlement's economic framework. This includes the finance assessment, which examines the settlement's financial mechanisms and management; the analysis of livelihood and economic activities, providing insights into the complexities of regional economies, employment, and income disparities; and the investment capacity analysis, which evaluates the settlement's potential to attract and maintain investments. Each subsection aims to identify the underlying dynamics that contribute to economic resilience and development.

2.2 Settlement Analysis

Purpose

The Finance Assessment provides a thorough examination of the financial mechanisms and management within a settlement, crucial for understanding overall economic health and sustainability. This analysis encompasses an exploration of revenue sources, expenditure patterns, budgetary frameworks, and the overarching management of financial resources.

Objectives

- To gain a comprehensive understanding of the existing settlement finance mechanisms, including revenue sources, types of expenditures, and the overall budgetary framework.
- To evaluate the financial management systems in place for budgeting, procurement, accounting, and reporting within the settlement and the broader regional/federal state context.
- To analyse systemic weaknesses in the settlement's financial management systems, which are crucial for addressing underlying issues and improving financial management.
- To understand how the settlement allocates its resources, with an emphasis on prioritising expenditures across different sectors.

Results

- Summary highlighting key findings, alongside a detailed analysis of the settlement's municipal finances, including revenue sources, expenditures, systemic weaknesses, and the impact of international aid.

SUGGESTED TOOLS

- UN-Habitat's *"Our City Plan"* tool (T4 City's Financial Assessment Guide.xlsx - Google Sheets).
- Data on municipal development goals and priorities (see 2.2.2.3 Urban Development Initiatives Review section).
- Data on service delivery (see 2.2.5.5 Basic Service Infrastructure and Public Service Facilities section).

Required Information

Analysis of the existing settlement/municipal finance mechanisms, including revenue sources, types of expenditures, and the overall budgetary framework.

Evaluation of the financial management systems in place for budgeting, procurement, accounting, and reporting within the settlement and the broader regional/federal state context. This includes reviewing the legal framework, accountability, transparency provisions, and their implementation.

Analysis of systemic weaknesses in the settlement's financial management systems, including issues related to revenue collection, budget formulation, expenditure management, and the lack of established planning and monitoring mechanisms.

Understanding how the settlement municipality/administrative entity allocates its resources, with an emphasis on prioritising expenditures across different sectors.

Review of the role and impact of international aid and development partnerships on the settlement's municipal finance, including how such support is integrated into the local budget and its alignment with municipal development goals.

Steps

1. **Literature Review:** Conduct a literature review focusing on municipal finance mechanisms. Gather annual reports, budget documents, audit reports, and financial statements of the settlement for the past 5-10 years. Review legal documents governing financial operations within the settlement, including laws on local governance, finance, and taxation.

2. **Stakeholder Interviews:** Conduct interviews with local government officials and other stakeholders to gain insights into current financial management systems, challenges, and the impact of international support. Organise focus group discussions with community members and business owners to understand their perceptions of municipal services, taxation, and the overall accountability of the municipal government.

3. **Revenue Source Analysis:** Examine the various sources of revenue for the settlement, including property taxes, business licences, agricultural taxes, and intergovernmental transfers. Analyse internal and external audit reports, focusing on financial reporting, procurement, and budgeting processes. Assess the effectiveness of these revenue sources and their contribution to the municipal budget. Evaluate measures in place for ensuring financial transparency and accountability, including public access to financial information.

   Key questions:

   - *What are the primary sources of revenue for the settlement? How significant is each source in terms of its contribution to the municipal budget?*
   - *Is there any taxation system within the settlement?*
   - *What checks and balances are in place for financial reporting, procurement, and budgeting processes within the settlement's financial management system?*
   - *What measures are implemented to ensure financial transparency and accountability in the settlement?*

2.2 Settlement Analysis

4. **Comparative Analysis:** (Optional) Compare the settlement's financial management systems with those at the regional and federal levels to identify discrepancies and potential areas for improvement.

   Key questions: How does the settlement's financial management system compare with those at the regional and federal levels?

5. **Expenditure Analysis:** Review the categories of expenditures (e.g., staff and administration, service delivery, subsidies, and investments) based on available information and stakeholder insights. Assess the prioritisation and impact of these expenditures on local development and service provision, comparing them with municipal development goals and priorities (see 2.3.2.3 Urban Development Initiatives Review section).

   - *Key question: How are expenditures categorised within the settlement's budget? What is the prioritisation of spending in terms of staff and administration, service delivery, subsidies, and investments? How do these expenditures align with municipal development goals and priorities, particularly in the context of urban development initiatives?*

6. **Resource Allocation Efficiency:** Assess the efficiency of resource allocation and its impact on service delivery and development outcomes (see 2.3.5.5 Service Inventory section).

   - *Key question: Are there any identified inefficiencies in how resources are distributed towards basic service infrastructure and public service facilities?*

7. **International Aid Assessment:** Briefly assess the role of international organisations, NGOs, and development partners in providing financial support. Analyse agreements, project documents, and reports related to international aid and partnerships. Highlight the challenges and opportunities in integrating these funds into the municipal budget for sustainable development. (Optional) Engage with international partners, local NGOs, and community groups to understand their perspectives on the impact and integration of aid.

   - *Key question: What role do international organisations, NGOs, and development partners play in providing financial support to the settlement?*

8. **Compilation of Findings:** Compile the findings into a chapter, ensuring clarity and accessibility for a wide audience, including local stakeholders, development partners, and the general public.

Key Considerations

- *Limitations in data availability and accuracy may pose challenges, impacting the depth and breadth of the general understanding of the analysis and potentially influencing the accuracy of findings and related recommendations.*
- *Visual aids like charts and graphs in the section could make key findings more accessible and impactful.*

2.2 Settlement Analysis

Purpose

This analysis aims to dissect the complex landscape of regional and local economies, focusing on livelihood activities, employment types, and income sources across urban and rural areas. It explores sectoral contributions to the GDP, migration patterns, and income disparities, offering insights into the dynamics of economic interdependencies and the role of the informal economy.

Objectives

- To analyse the regional and local economy, focusing on urban and rural livelihood activities, employment types, and income sources.
- To assess the economic contributions and interdependencies of sectors and understand their impact on employment and local GDP, alongside examining migration patterns and their effects on labour markets and remittances.
- To investigate income levels and disparities within different demographic groups to reveal root causes and the significance of the informal economy in supporting community livelihoods.
- To evaluate the impact of crises on the economy by identifying affected sectors, analysing market system dynamics, and assessing the resilience of economic sectors.
- To provide recommendations for actions and interventions, especially related to the built environment, to support economic growth, job creation, and improved livelihoods.
- To gain a comprehensive understanding of the existing settlement finance mechanisms, including revenue sources, types of expenditures, and the overall budgetary framework.

Results

- A summary highlighting key economic insights and a detailed analysis of sectoral contributions, migration impacts, income disparities, crisis effects, and possible recommendations for the settlement's economic development.

SUGGESTED TOOLS

- **Market System Analysis Guide.**

Required Information

- *Mapping of livelihood and key economic sectors (formal and informal), identifying their distribution across the region and settlement.*
- *Market systems analysis.*
- *Focus on migration patterns (pastoralist communities and economic implications).*
- *Employment income and informal economy income.*
- *Disparities between different populations in terms of income.*
- *Barriers/difficulties in accessing the market.*
- *Understanding how crises have affected economic activities.*
- *Effects of environmental factors and climate change on economic activities (particularly agriculture and livestock).*
- *Impact of humanitarian activities on local markets and employment.*

Steps

1. **Literature Review:** Conduct a comprehensive literature review to understand the historical context of the regional economy, previous studies, and existing economic models. Identify gaps in knowledge and formulate research questions. Execute the data collection plan, ensuring coverage of both quantitative and qualitative aspects. Use various sources to enhance data reliability (check Data Collection Instruments).

2. **Livelihood Mapping:** Collect information on the types and prevalence of livelihood activities, encompassing both urban and rural settings, including formal and informal economic activities. Identify their geographic distribution within the settlement and region. Use satellite images or GIS tools to map out where each economic sector is concentrated within the settlement and region.

   Key questions:

   - *What are the major livelihoods and economic activities in the region and the settlement?*
   - *What typical industries and trades exist in the region?*
   - *How do migration patterns influence labour supply and demand, remittances, and consumption patterns in both origin and destination areas?*
   - *Do refugees and IDPs trade in host community markets and vice versa?*
   - *Do people from the host community employ refugees and IDPs and vice versa?*

3. **Sectoral Contribution Analysis:** Analyse the contribution of each sector to employment and the local GDP, exploring interdependencies between sectors and their impact on the broader regional economy.

Key questions:

- *What is the contribution of each economic sector to employment and the local GDP?*
- *What are the income levels from both formal employment and informal activities across different demographic groups?*

4. **Migration Impact Analysis:** Based on 2.3.1.3 Migration and Displacement Context section, analyse the economic impacts of migration on both origin and destination areas, particularly labour supply and demand, remittances, and consumption patterns. Focus on the movements of pastoralist communities.

   Key questions:

   - *How do migration patterns influence labour supply and demand, remittances, and consumption patterns in both origin and destination areas?*

5. **Income and Disparity Analysis:** Collect data on income levels from both formal employment and informal activities, exploring variability within different demographic groups. Analyse income disparities, identify root causes, and understand the critical role the informal economy plays in supporting livelihoods across the community.

   Key questions:

   - *What are the income levels from both formal employment and informal activities across different demographic groups?*
   - *How significant are income disparities within the community, and what are the root causes of these disparities?*
   - *What role does the informal economy play in supporting livelihoods across the community?*

6. **Crisis Impact Assessment:** Understand the impact of crises on the local economy by collecting pre- and post-crisis economic indicators. Identify the sectors or activities most affected and analyse the resilience and vulnerability of different economic sectors.

   Key questions:

   - *How have economic indicators changed pre- and post-crisis, and which sectors or activities were most affected?*

7. **Market System Dynamics:** Analyse the structure and dynamics of the local market system, identifying physical and non-physical barriers to market access. Evaluate the efficiency and resilience of the local market system.

   Key questions:

   - *What is the structure of the local market system, and how efficient and resilient is it?*
   - *What are the physical and non-physical barriers to market access, and how do these affect businesses and consumers?*

8. **Humanitarian Impact Analysis:** Based on 2.3.2.3 Urban Development Initiatives Review section, analyse the direct and indirect impacts of humanitarian interventions on local markets and employment. Extract lessons learned and provide recommendations for future interventions.

   Key questions:

   - *How do humanitarian interventions directly affect local markets, including changes in supply chains, prices of goods and services, and demand for labour?*
   - *What are the secondary effects of humanitarian interventions on market dynamics? How do these indirect impacts influence the resilience and adaptive capacity of local markets to external stressors?*

9. **Sectoral Challenges and Opportunities:**(Optional) For each identified economic sector, conduct an additional analysis of current challenges, opportunities for expansion, and specific interventions needed to unlock potential.

   Key questions:

   - *What are the existing strengths, competitive advantages, and potentials within each economic sector that could be leveraged for expansion and growth?*

10. **Compilation of Findings:** Compile the findings into a report, ensuring clarity and accessibility for a wide audience, including local stakeholders, development partners, and the general public.

Key Considerations

- *The local economy is influenced by a complex interplay of factors, including geography, natural resources, historical context, livelihood activities, and the stability and security of the region.*
- *It is crucial to explore youth employment within the proposed analysis, gathering information on employment rates, types of employment among the youth, and the challenges they face in the job market.*
- *Consider the unique local circumstances of the settlement to identify specific opportunities for growth and investment.*

2.2 Settlement Analysis

Purpose

This section evaluates a settlement's capacity to attract and sustain investments while analysing the direct, indirect, and induced economic impacts of activities, policies, and external shocks. It provides a comprehensive understanding of economic health, growth prospects, and resilience to inform decision-making and strategic planning.

Objectives

Investment Capacity Analysis:

- Assess the settlement's economic health and growth prospects through key indicators such as GDP, income levels, and industry performance.
- Evaluate the settlement's ability to attract and retain investments by examining infrastructure quality, regulatory environment, socio-political stability, and quality of life.
- Identify opportunities to enhance the settlement's investment appeal, pinpointing high-potential sectors and recommending policy or strategic improvements.

Economic Impact Analysis:

- Assess the direct, indirect, and induced economic impacts of specific activities, policies, or external shocks.
- Understand broader economic ripple effects within the settlement and region.
- Identify key drivers and barriers to economic growth and development.
- Provide actionable insights and recommendations for enhancing economic resilience and growth.

Results

- A summary of the settlement's investment capacity, including economic health, investment attractiveness, and strategic development opportunities.
- An overview of the economic impacts of the analysed factors, including direct, indirect, and induced effects.
- Strategic recommendations for mitigating negative impacts and enhancing positive outcomes.

Steps

1. **Literature Review and Data Collection:**

- Conduct a comprehensive review to identify gaps and formulate research questions. Gather quantitative and qualitative data on economic activities, investment trends, and external shocks from reliable sources, including surveys and stakeholder consultations.

2. **Economic and Investment Health Assessment:**

- Study GDP trends, sector-specific performance, and income levels to assess economic health and consumer purchasing power.
- Analyse key industries, unemployment rates, and domestic and foreign direct investment trends.

3. **Infrastructure and Real Estate Analysis:**

- Evaluate the availability and quality of transportation, utilities, and communication infrastructure.
- Assess the real estate market, focusing on commercial and residential property trends.

4. **Socio-Political and Environmental Factors:**

- Review government policies, taxation, and foreign investment regulations, along with the settlement's political stability and legal system.
- Analyse factors such as education, healthcare, safety, and environmental regulations affecting investment attractiveness and economic resilience.

5. **Economic Impact Analysis:**

- Direct Impacts: Assess immediate changes in production, employment, and income due to specific activities or policies.
- Indirect Impacts: Evaluate secondary effects on related sectors through supply chain linkages.
- **Induced Impacts: Examine broader economic effects resulting from changes in household income and spending.**

6. **Scenario Analysis:**

- Develop scenarios (e.g., best-case, worst-case, and most likely) to understand potential future impacts and simulate variables over time.

7. **Investment Capacity and Economic Impact Assessment:**

- Use financial models to estimate returns on investment (ROI) and evaluate the settlement's competitive advantages or disadvantages.
- Analyse ripple effects, growth drivers, and barriers to identify opportunities for economic development.

8. **Compilation of Findings and Recommendations:**

- Summarise key strengths, weaknesses, opportunities, and threats in a report.
- Provide strategic recommendations for enhancing investment capacity, mitigating negative impacts, and promoting economic growth.

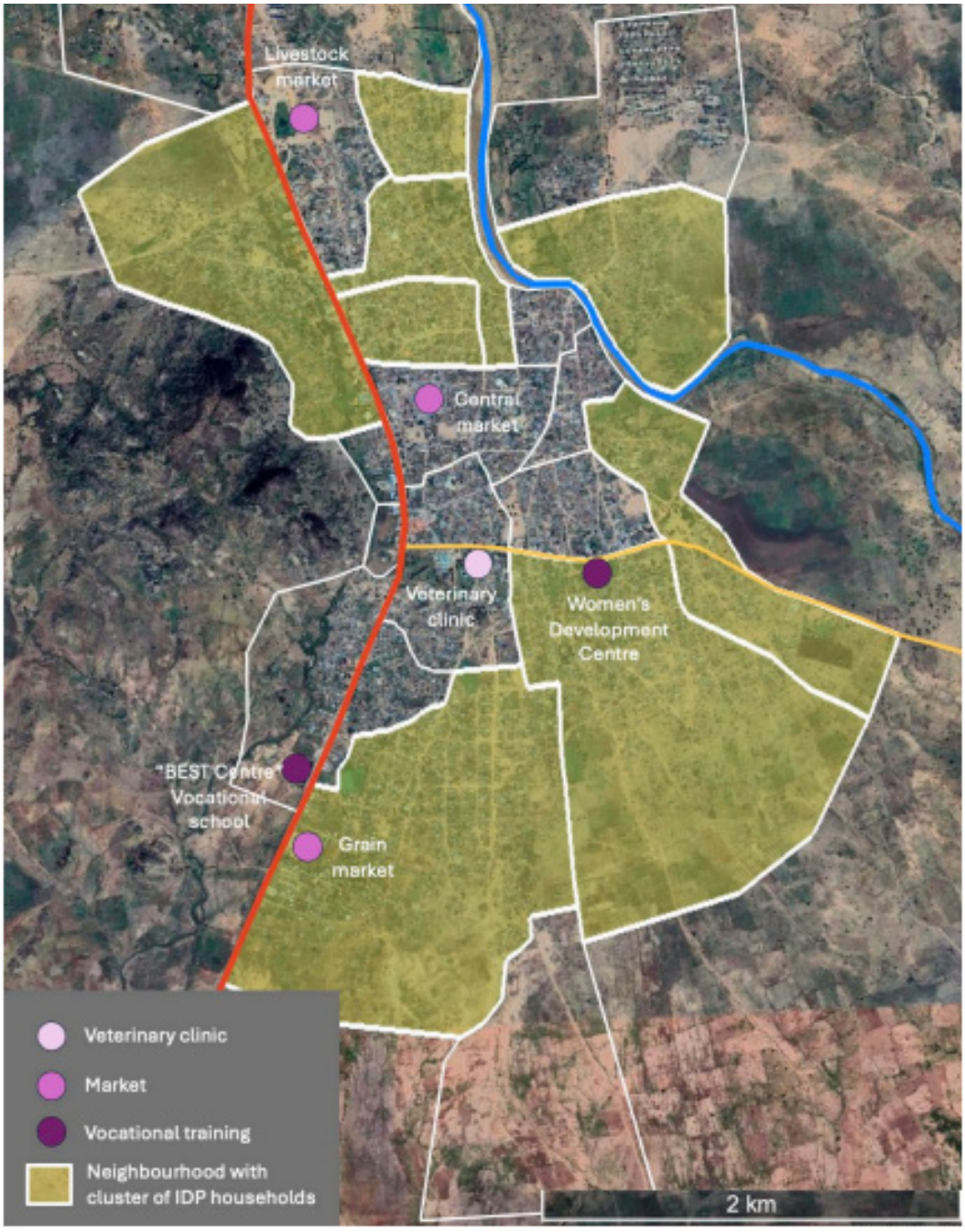


Fig. 11: *Key assets, services and infrastructure related to Livelihoods in Song town, Nigeria (Song Town Settlement Profile, Nigeria)*

Key Considerations

- *Monitor evolving market conditions, economic indicators, and policy changes that impact investment and economic resilience.*
- *Ensure data accuracy and reliability through cross-referencing and validation.*
- *Consider socio-political, environmental, and temporal factors when analysing impacts.*
- *Continuously update findings to reflect new data and trends in the economic landscape.*

2.2 Settlement Analysis

Purpose

The Housing Market Assessment aims to explore the complex landscape of the housing market, highlighting the diversity of housing types, investment trends, and the critical role of financing and policy in shaping market conditions. It delves into the dynamics between supply and demand, influenced by demographic shifts and economic factors, to offer insights into housing affordability and market trends.

Objectives

- To examine the types, conditions, and segmentation of housing within the target area, alongside the nature and level of investment, to understand market composition and financial flows.
- To assess the current balance between housing supply and demand.
- To investigate the availability and challenges of credit for consumers and developers, including the role of informal and alternative financing in the housing sector.

Results

- A chapter compiling all collected data, observations, and analyses into a comprehensive summary, incorporating maps and data visualisations.

Bibliographical References:

- *IOM (2023) Guidance on HLP and Tenure Security for Rental Assistance.*

Required Information

Categorisation of housing by type and condition, distinguishing between self-help, rental, and privately owned properties.

(Optional) A market segmentation analysis by property type, price ranges, locations, and demographics.

Analysis of investment levels and credit availability in the housing sector, including financial system challenges and informal financing mechanisms.

(Optional) Historical data review to identify patterns and trends like seasonal variations, valuation changes, and inventory shifts.

Evaluation of supply-demand balance, incorporating economic indicators and demographic trends to assess housing demand and affordability.

Review of housing policies, zoning laws, tax policies, and regulations affecting housing construction, ownership, and renting, and their market impact.

Impact of policies, regulations, and broader economic factors on the rental market.

Characteristics and existence of informal markets for selling and buying shelters or commercial properties.

Degree of investment by refugees or other displaced persons in housing and commercial properties.

Steps

1. **Preliminary Review:** Review studies, legal documents, and policies to understand housing market conditions in the target area. Identify key stakeholders, including government entities, local communities, legal experts, and NGOs. Develop a data collection strategy that outlines sources, methods, and tools for gathering information.

   Key questions:

   - *Who are the main actors in the rental housing market, and how do they relate to each other and influence the market system?*

2. **Housing Types and Conditions:** Estimate the types and conditions of housing available within the settlement, distinguishing between self-help, rental, and privately owned properties. Segment the market based on property types (e.g., single-family homes, apartments), price ranges, locations (e.g., urban, suburban), and (Optional) buyer demographics.

   Key questions:

   - *What are the types and conditions of housing available within the settlement, distinguishing them in self-help, rental, and privately owned properties? What is the price range for different rental properties?*

- *What are the types of rental arrangements in the housing market (e.g., direct lease from owner, lease from third-party like manager, collective ownership, sublessor)?*
- *How affordable is housing within the settlement, and are there variations in affordability among different housing types?*
- *Are there housing construction cooperatives active in the area, and how do they contribute to the available housing supply and affordability?*

3. **Investment and Credit Analysis:** Investigate the level and nature of investment in housing and research the availability of credit for both consumers (mortgages) and developers (construction loans). Explore informal or alternative financing mechanisms used in the settlement (e.g., remittances, cooperative housing models).

   Key questions:

   - *What is the current level of investment in housing within the settlement or region, and how has it evolved over time?*
   - *What are the main sources of funding for housing investment, and what proportion of investments come from consumer mortgages versus developer construction loans?*
   - *Besides traditional mortgage loans and construction financing, what informal or alternative financing mechanisms are prevalent within the settlement or region for housing development and purchase?*

4. **Historical Data Analysis:** (Optional) Analyse historical data to identify patterns and trends over time, such as seasonal variations, price appreciation or depreciation rates, and changes in inventory levels. This provides a context for current market conditions.

   Key questions:

   - *What patterns of seasonal variations have been observed in the housing market over historical periods, and how do these fluctuations impact supply, demand, and pricing dynamics?*
   - *How have housing prices trended over time within the settlement or region, including periods of appreciation, depreciation, or stability, and what factors have driven these changes?*

5. **Supply-Demand Balance Assessment:** Assess the current balance between supply and demand. Analyse broader economic indicators (e.g., employment rates, income levels, interest rates) and demographic trends (e.g., population growth, urbanisation) that can influence housing demand and affordability.

   Key questions:

   - *How do key economic indicators, such as employment rates, income levels, and interest rates, influence housing demand and affordability within the settlement or region?*
   - *How do demographic trends impact housing demand and affordability?*

6. **Policy Impact Assessment**: Based on 2.3.2.2 Planning Instruments and Procedures section, identify and assess local and national policies affecting housing construction, ownership, and renting in the settlement. Understand local zoning laws, tax policies, and housing regulations that could impact the housing market.

   Key questions:

   - *What external factors impact the rental market (policies and regulatory framework)?*
   - *What are the financial barriers for affected populations to access adequate housing in the short, medium, and long term?*
   - *Have refugees invested significant personal funds into shelter improvements or commercial properties?*

7. **Compilation of Findings:** Summarise the analysis.

2.2 Settlement Analysis

A participatory process is essential for implementing the settlement approach effectively. This approach ensures strategies are tailored, participatory, and sustainable by dynamically mapping stakeholders and deeply understanding community contexts, assets and capacities. It emphasises continuous adaptation and engagement, fostering interventions that are informed by the complex interplay of stakeholder interests, technical considerations, and community-specific needs.

2.2 Settlement Analysis

Purpose

Building on the initial data from Part I, this section employs a detailed methodology to identify key and potential stakeholders at various levels. It categorises them based on their capacity to impact the settlement approach, considering their roles, expectations, concerns, and interests. Stakeholder mapping is a dynamic, iterative process that must be continuously updated to ensure relevance throughout the project's lifecycle.

Objectives

- **Systematic Stakeholder Identification:** Identify key and potential stakeholders at various levels, actively engaging them based on their capacity to impact the project positively or negatively, with consideration of their roles, power, interest, influence, and impact.
- **Dynamic Stakeholder Mapping:** Ensure that stakeholder mapping is adaptable and responsive, capable of adjusting to different analytical perspectives and requirements as the project progresses.
- **Conflict and Power Dynamics:** Recognise and map conflict and power dynamics, understanding how they impact the project's delivery, outcomes, and overall impact**.**
- **(Optional) Stakeholder Engagement Strategies:** Develop strategies for engaging key stakeholders, including communication plans and feedback mechanisms.

Results

- **Stakeholder Matrix:** A matrix identifying key stakeholders, their roles, interests, power, and levels of influence.
- **(Optional) Strategic Engagement Plan:** A strategic plan outlining how key stakeholders will be engaged throughout the project, including communication plans, engagement schedules, and feedback mechanisms.

Steps

1. **Conduct Desk Research:**

- Identify key stakeholders at local, regional, and national levels, including institutional partners, aid partners, academic institutions, civil society, economic actors, security forces, and other relevant entities.

  Key question: What are the main stakeholders operating in the selected area?

2. **Attend Local Events and Engage in Outreach:**

- (Optional) Attend local networking events, workshops, and community meetings to connect with potential partners. Engage in community outreach to directly communicate with local residents and gather information on trusted potential partners.

  Key questions:

  - *What local events can be attended to connect with potential partners?*
  - *How can community outreach be effectively conducted to identify trusted potential partners?*

'Remember to utilise existing local organisation structures and… do not duplicate'

3. **Prepare a Comprehensive Stakeholder List:** Compile a "long list" of potential stakeholders, guided by general categories of stakeholder groups.

4. **Engage with Key Stakeholders:** (Optional) Engage with key stakeholders to gather insights into their roles, expectations, concerns, and interests. Facilitate discussions on project objectives, potential challenges, and collaboration opportunities.

   Key question:

   - *What insights, concerns, and interests have been identified from initial interactions with major stakeholders?*

5. **Map Stakeholders Using Analytical Tools:** Represent stakeholders based on their power/interest or influence/impact using tools like the Power-Interest Grid or Influence-Impact Grid. Analyse their capacity to contribute positively or negatively to the settlement approach. Ensure that the mapping remains dynamic and adaptable.

   Key question:

   - *Which stakeholders have the capacity to contribute most significantly to the project?*
   - *How can the diverse roles and interests of stakeholders influence the implementation of the settlement approach?*

6. **Develop Communication and Engagement Plans:** (Optional) Design detailed communication plans for each stakeholder/group, specifying channels, frequency, and content of communications. Develop schedules for engagement activities and set up mechanisms for integrating stakeholder feedback into decision-making processes.

   Key questions:

   - *What communication plans can be developed for effective stakeholder engagement?*
   - *What processes should be in place to periodically review and update the stakeholder engagement strategy?*

7. **Conflict Analysis:** Utilise the Conflict Analysis Framework (CAF) and conflict mapping tools to systematically identify conflict drivers, the groups involved, and the potential directions of the conflict. This step helps in understanding the dynamics of power and conflict among stakeholders and their implications for the project.

   Key questions:

   - *What are the primary drivers of conflict, and how are they interconnected?*
   - *How can conflict mapping be utilised to visualise and analyse the dynamics effectively?*

SUGGESTED TOOLS

- Power-Interest Grid: To categorise stakeholders based on their level of power and interest.
- Influence-Impact Grid: To categorise stakeholders based on their influence and the impact they can have on the project.
- Conflict Analysis Framework (CAF): To systematically analyse conflicts and their impact on stakeholder dynamics.
- Conflict Mapping: To visualise the relationships and dynamics between different stakeholders involved in or affected by conflicts.

Key Considerations

- ***Inclusivity:*** *Ensure inclusivity by mapping a broad range of stakeholders that are gender-balanced, age-sensitive, and diverse.*
- ***Continuous Process:*** *Recognise that stakeholder mapping is not a one-off task but a continuous process requiring regular updates as stakeholder interests, influence, and power dynamics evolve.*

2.2 Settlement Analysis

Purpose

Community mapping is a pivotal component of the settlement approach as it offers an in-depth understanding of the unique characteristics, needs, assets, and challenges within the selected community. This participatory approach enhances community involvement and ownership, ensuring the effectiveness and sustainability of initiatives.

Objectives

- **Identify Community Assets:** Identify the community's assets across various categories (physical, natural, human, social, economic, institutional, informational) and assess how these assets can be leveraged to address community challenges.
- **Delineate Community Needs:** Understand and delineate the community's needs by identifying resource gaps, evaluating the availability and accessibility of services, and outlining community priorities.
- **Analyse Conflict Dynamics:** Analyse the sources of conflict within the community, understanding the involved groups, the nature of the conflict, and its potential evolution, as well as how it impacts community needs and capacities.
- **Inform Strategic Decision-Making:** Use the insights gained to inform strategic decisions on the most appropriate locations for deploying interventions.

Results

- **Community Landscape Report:** A data report and repository providing critical insights into the community's landscape, enriching subsequent stages of analysis and planning.

Required Information

Key Stakeholders List: *A comprehensive list of current key stakeholders, including government bodies, local community groups, legal experts, and NGOs.*

Community Assets Analysis: *A detailed listing and analysis of the community's physical, natural, human, social, economic, institutional, and informational assets.*

Needs and Resource Gaps*: An overview of identified needs, resource gaps, and priorities based on collected data.*

Conflict Insights*: Insights into conflict drivers, involved groups, and dynamics of existing conflicts, along with an evaluation of how the conflict might evolve and impact the community.*

Steps

1. **Review Existing Data::**

- Conduct an exhaustive review of existing data and analysis (e.g., Community-Based Planning or Vulnerability and Capacity Assessment projects) to prevent duplication and leverage previous findings. Identify key stakeholders involved in previous assessments.

  Key questions:

  - *What types of assessments have been conducted, and are their findings publicly available?*
  - *Are there gaps or limitations in the existing data that need to be addressed?*

2. **Segment the Community for Targeted Analysis:**

- Segment the community into meaningful groups based on demographic data (e.g., youth, elderly, low-income families) to tailor the analysis effectively. Identify at-risk groups within the community.

  Key questions:

  - *How can the community be divided into key demographic groups for targeted analysis?*
  - *Who are the local host community, their status, cultural background, predominant ethnicity/clan, and their interrelations?*

3. **Identify and Categorise Community Assets:**

- Categorise the community's physical, natural, human, social, economic, institutional, and informational assets. Use participatory mapping sessions to engage community members.

  Key questions:

  - *What are the most significant assets and resources within the community?*
  - *How effectively are these assets being utilised, and what barriers exist to leveraging them?*

Fig. 12: *Participatory Mapping in Chad, Lac Province*

4. **Outline the Needs Assessment Aims:**

- Clearly outline the aims of the needs assessment, such as identifying resource gaps, evaluating service availability, and understanding community priorities.

  Key questions:

  - *What specific resource gaps and service availability challenges exist within the community?*
  - *What are the most pressing issues facing the community, and how do residents rate the quality and accessibility of essential services?*

5. **Choose Assessment Methods:**

- Select the most effective methods to conduct the assessment, including surveys, focus groups, and interviews. Utilise digital tools to enhance efficiency and broaden reach.

  Key questions:

  - *What methods are most suitable for conducting the assessment effectively?*
  - *How can digital tools be used to enhance the data collection process?*

6. **Analyse the Collected Data:**

- Systematically analyse the data collected from both surveys and qualitative methods to identify community needs and priorities.

7. **Conduct Conflict Analysis:**

- Use established frameworks (e.g., Conflict Analysis Framework) to systematically identify conflict drivers, involved groups, and the dynamics of the conflict. Utilise conflict mapping to visualise these dynamics.

  Key questions:

  - *What are the primary drivers of conflict within the community?*
  - *How can conflict mapping be used to visualise and analyse conflict dynamics effectively?*

8. **Detailed Stakeholder Analysis:**

- Capture diverse perspectives and interests through detailed stakeholder analysis, identifying both direct and indirect participants in the conflict.

  Key questions:

  - *Who are the key stakeholders in the conflict, and how can their perspectives inform conflict resolution strategies?*

9. **Evaluate Conflict Trajectory:**

- Assess the potential trajectory of the conflict and its implications for community needs and capacities, considering the evolving nature of the conflict.

Key questions:

- *How might the conflict evolve, and what implications does this have for community needs and capacities?*

10. Integrate Results and Develop Strategies:

- Combine the results from the community mapping, needs assessment, and conflict analysis to identify overlapping areas and insights. Engage stakeholders in developing strategies that leverage community assets, address priority needs, and mitigate conflicts.

11. Prepare and Share Findings:

- Prepare a summary of the methodology and findings. Conduct community meetings to share the results and gather feedback, using insights to inform future interventions.

SUGGESTED TOOLS

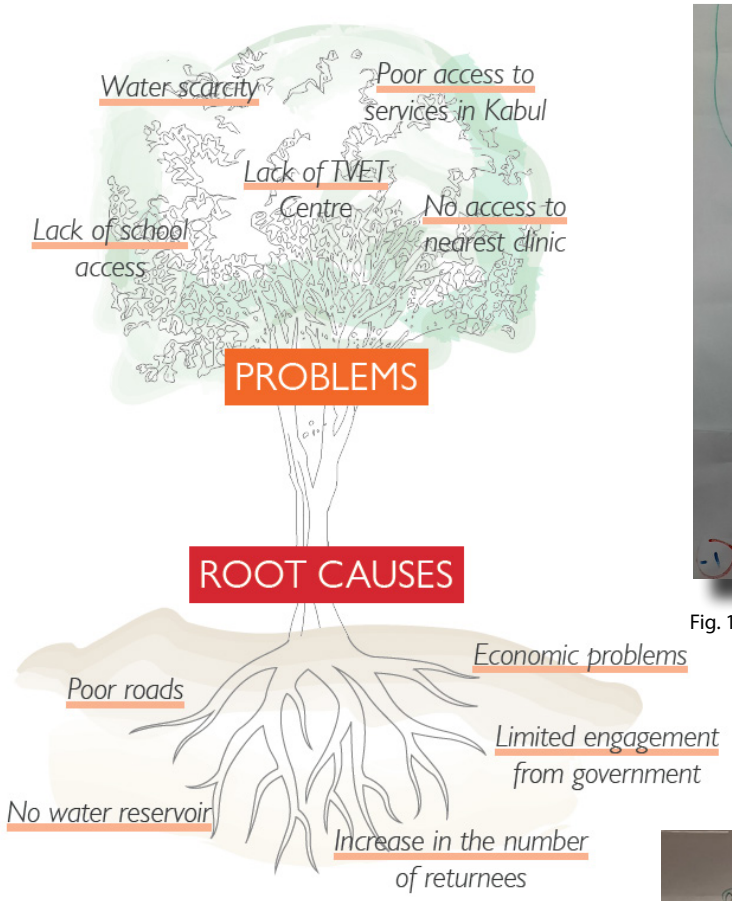
- Community Assets Categories: To categorise and assess community assets.
- Problem and Solution Tree: To visualise problems and potential solutions within the community context.
- Participatory Community Assets Mapping: To engage community members in identifying and mapping their assets.
- IOM's Community-Based Planning Manual (CBP): For structured community planning.
- Vulnerability and Capacity Assessment (VCA): To assess community vulnerabilities and capacities.
- Participatory Rural Appraisal (PRA): For participatory assessment and planning.

Methods / Instruments

- Existing Data Review: Review existing community-based data collected by different units or experts.
- Interviews and Focus Groups: Conduct interviews, focus groups, and community meetings to gather qualitative data.
- Surveys: Use surveys to collect both qualitative and quantitative data.

Bibliographical References:

- *IOM (2022) Participation in Practice: Community-Based Planning Manual.*



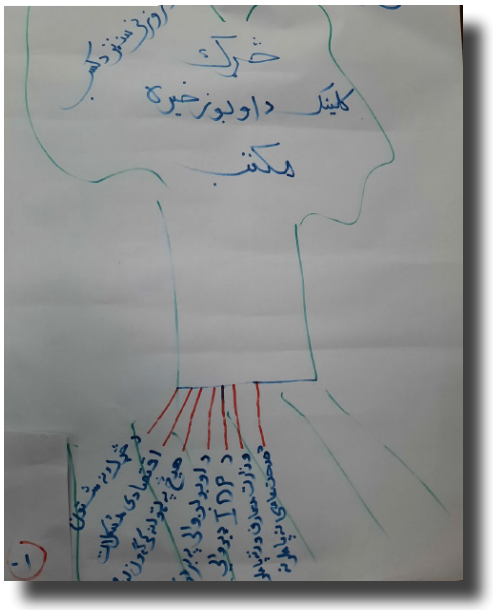


Fig. 13: *Problem tree exercise in Safi Kot, Afghanistan*

Fig. 14: *Community Mapping, Lybia*

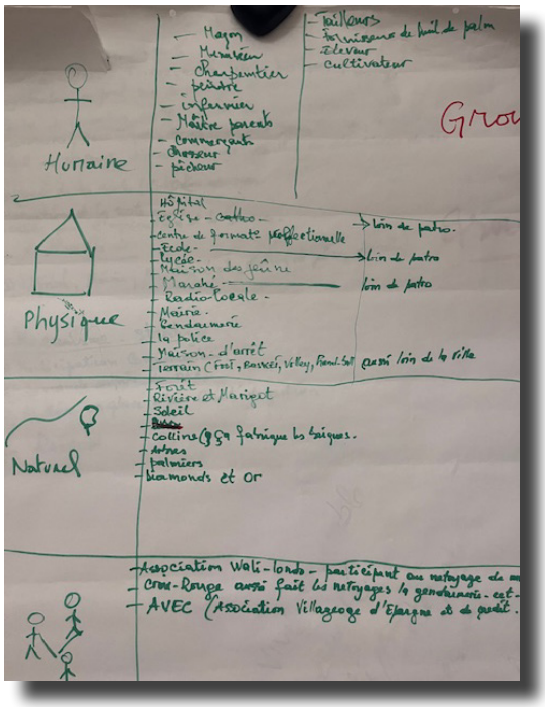


Fig. 15: *Community Assets mapping, Central African Republic*

2.2 Settlement Analysis

The **Territorial and Spatial Analysis** chapter captures the complex dynamics between communities and their geographical, environmental, and infrastructural settings. This analytical approach goes beyond static mapping, revealing how human activities and natural processes leave enduring marks on the landscape and influence the physical layout of settlements.

Refer back to 2.1.2 Maps & Spatial Implications and critically consider the basemap for all subsequent maps

2.2 Settlement Analysis

Purpose

This section aims to contextualise the settlement's location and dynamics within the wider geographical, infrastructural, and socio-economic system, understanding the external factors impacting the settlement's development, opportunities, and challenges.

Objectives

- To determine the settlement's geographic location within the regional context, including its relation to significant landmarks and infrastructures (e.g., road networks, transportation hubs, and economic corridors).
- To identify potential risks and challenges associated with the settlement's location, such as vulnerability to natural disasters or conflicts due to proximity to borders.
- To map and quantify key travel distances between the settlement and its regional context and hinterland.
- (Optional) To understand the main linkages and mutual dependencies between the settlement and surrounding areas, analysing the existing flow of goods, services, and people.

Results

- A map representing the settlement's regional context, highlighting key environmental features, connectivity to major transportation networks, and economic corridors.
- (Optional) additions to map above representing the time (driving/walking distance) and travel cost from the settlement.
- (Optional) A study analysing the economic linkages between the settlement and its hinterland, including agricultural dependencies, trade relations, and employment trends.
- Summary of key findings.

Required Information

Analysis of the approximate distances and orientation with respect to other cities, towns, national and international borders, refugee or displaced persons camps, coast, airports, ports, trade corridors, rivers, and any other element that has or could have an impact on the settlement.

Analysis of potential risks stemming from the settlement's geographical location, including environmental hazards, political tensions due to proximity to borders, and other regional threats.

Delineation of the geographic areas related to the settlement, administrative or other.

Steps

1. **Obtain Satellite Maps and Geospatial Datasets:** Obtain satellite maps and geospatial datasets covering the regional context of the settlement area (check Data collection instruments).

2. **Analyse Settlement's Proximity to Major Infrastructure:** Analyse the settlement's proximity to major infrastructure like airports, ports, and trade corridors, assessing its connectivity and potential economic linkages. Map at the regional level key elements such as:

- Primary geographical features (e.g., rivers, lakes, coastlines).
- Administrative borders (e.g., international, national, regional, and district).
- Capitals of different administrative territorial entities and major cities, indicating their distances from the settlement.
- Key transportation networks and routes (e.g., ports, airports, railway, major and minor transportation links), possibly assessing conditions and suitability for movements.
- Major economic corridors and hubs (e.g., economic artery, major and minor trade routes, trade flows, economic centres).
- Rural livelihood zones (e.g., rainfed/irrigated croplands, agroforestry, riverine fishing).

Key questions:

- *What is the exact location of the settlement on a map?*
- *How does the settlement relate to surrounding settlements? What is the system of cities, towns, and villages?*
- *How far are the capitals of different administrative territorial entities and major cities from the settlement?*
- *Where are the major economic corridors and hubs located?*

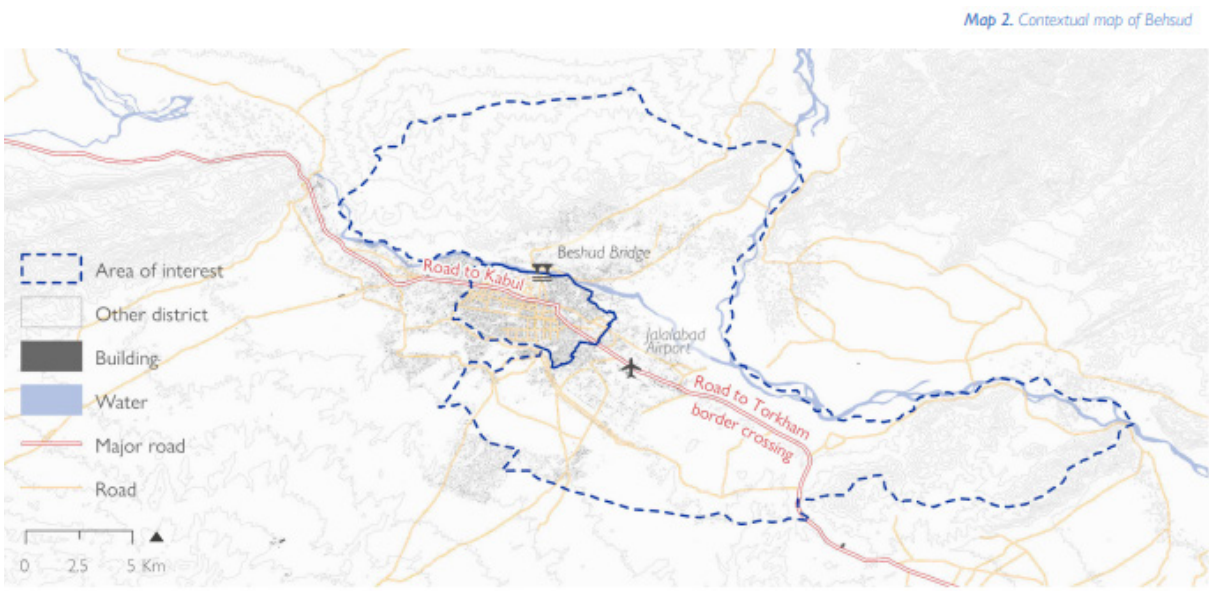


Fig. 17: *Contextual map of Behsud, Behsud District Profile, Afghanistan*

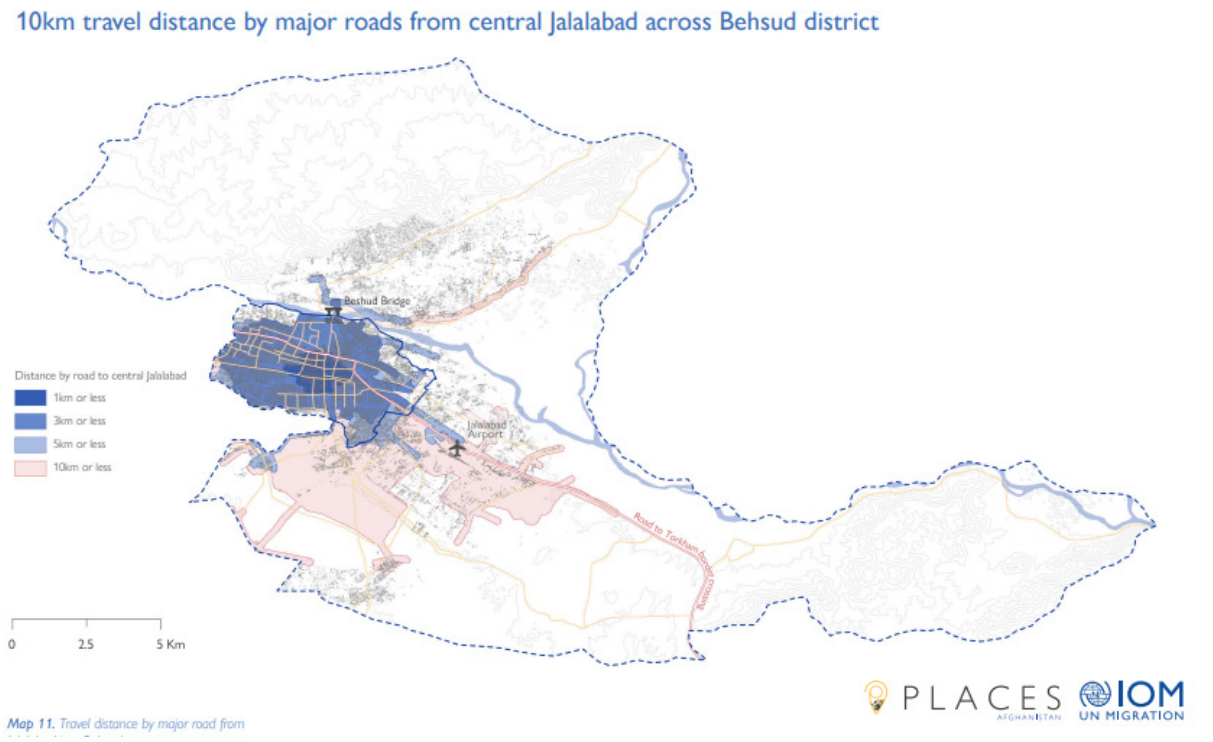


Fig. 16: *Travel distance by major road from Jalalabad into Behsud, (Behsud District Profile, Afghanistan)*

3. **Analyse Potential Risks:** Analyse potential risks derived from the settlement's geographical location relative to economic corridors, strategic resources (e.g., water bodies, mineral resources), geopolitical considerations/tensions (e.g., proximity to borders, conflict zones), and environmental hazards.

   Key question: What risks does the settlement's geographical location pose in terms of proximity to economic corridors, strategic resources, geopolitical tensions, and environmental hazards?

4. **Calculate Distances and Travel Costs:** Calculate the distances and travel costs from the urban area to various points of interest such as other cities, towns, economic hubs, national and international borders, and other critical elements, evaluating the affordability for host and displaced communities.

   Key questions:

   - *How long does it take to travel to nearby larger towns or cities? How much does the trip typically cost?*
   - *Is this cost affordable to host and displaced communities?*

5. **(Optional) Analyse Economic Interdependencies:** Based on the economic activities and market system section, understand the economic interdependencies and flow of goods, services, and capital between the settlement and surrounding rural areas, focusing on agricultural supply chains, market access, employment opportunities, and education.

   Key question: What are the economic interdependencies and flow of goods, services, and capital between the settlement and surrounding rural areas?

6. **Provide Regional and District-Level Maps:**

- Provide a map at the regional level showing main geographical features, administrative borders, key transportation networks and hubs, and major economic corridors.
- Provide a map at the district/territorial level showing geographical features, administrative boundaries, transportation networks, towns and villages present in the settlement's hinterland, rural land use, and settlement service areas (driving and walking).

7. **Synthesis and Reporting:** Synthesise findings into a comprehensive summary, supported by detailed maps and reports.

Key Considerations

- *The settlement's location within the broader regional context plays a crucial role in shaping its development trajectory and resilience. Factors such as access to resources, connectivity, and vulnerability to environmental risks must be carefully analysed to inform strategic planning.*
- *Both natural and man-made features should be considered when analysing the settlement's geo-location and regional context, as these elements interact and collectively influence development outcomes.*

2.2 Settlement Analysis

Purpose

This section aims to analyse the settlement's environmental and natural context, identifying risks and vulnerabilities, and assessing policy frameworks for managing environmental challenges and mitigating climate change impacts.

Objectives

- To examine geographic and climatic data within the regional context of the settlement, while also analysing future trends.
- To assess the settlement's environmental context at a regional and district level, including its relationship with natural features, ecosystems, and surrounding rural land uses.
- To evaluate environmental risks and challenges, alongside identifying the areas most susceptible to vulnerabilities, with a focus on the most at-risk populations.
- (Optional) To evaluate the effectiveness of policy, legal, and institutional frameworks in managing environmental risks and climate change impacts.

Results

- Infographics and diagrams on climate data, including monthly temperature averages, average rainfall, flood cycles, seasons, and projected climatic changes.
- A **map/set of maps** that:
- captures the region's diverse natural features, ecosystems, rural land uses, and significant historical landmarks.
- highlight areas prone to specific hazards, including both natural and anthropogenic threats, as well as the effects of climate change.
- An analysis identifying the most vulnerable areas within the settlement and its district area, focusing on IDP and refugee camp locations.
- A report summarising key findings.

Required Information

Examination of climate patterns (rainfall, temperature, seasons) of the region, assessing climate change impacts and trends.

Analysis of main topographical features such as valleys, plateaus, mountains, and plains, as well as elevation, slope, and aspect of the landscape. This helps in understanding the topographic characteristics and their influence on the local climate and hydrology.

Analysis of regional natural landscapes and elements, including various ecosystems, water bodies, protected zones, agricultural land use, and geomorphological and historical aspects.

District-level environmental risk analysis, including hydraulic hazards, hydrogeological risks, seismic effects, anthropogenic environmental hazards and degradation, and climate change impact.

Analysis of the settlement's and district's vulnerability to environmental hazards, with a focus on high-risk populations.

(Optional) Analysis of the coping capacity, understanding legal, and policy frameworks in addressing environmental risks and climate challenges, including the assessment of disaster reduction and adaptation measures.

Information Sources

- Google Earth / satellite data providers
- Global Ecological Zones (GEZ) by FAO
- Data on migration and displacement (see 2.2.1 Migration and Displacement Context sections)

Steps

1. **Obtain Satellite Maps and Geospatial Datasets:** Obtain satellite maps and geospatial datasets covering the district context of the settlement area.

2. **Analyse Present Climate Patterns:** Analyse the present climate of the settlement and the broader region, focusing on rainfall patterns, temperature ranges, and distinct seasons. Evaluate the impact of climate change by examining trends in temperature, precipitation, and changing climatic conditions.

   Key questions:

   - *How have temperature and precipitation patterns changed over the past decades in the settlement and its broader region?*
   - *How has the region been affected by climate change? Are there particular hotspots?*

3. **Identify Main Topographical Features:** Analyse satellite imagery to identify main topographical features such as valleys, plateaus, mountains, and plains. (Optional) Techniques like image classification and object-based image analysis can be useful. (Optional) Use Digital Elevation Models (DEMs) to analyse elevation, slope, and aspect of the landscape.

   Key questions:

   - *What are the dominant topographic features within the area of interest, such as mountains, valleys, plateaus, or coastal plains?*
   - *How do these topographic features influence local climate patterns?*

4. **Map Regional Natural Elements:** Map at the regional level the main geographical and natural elements, such as:

- Natural land uses and vegetation types (e.g., forests, grasslands, shrubland, desert areas, coastal ecosystems).
- Major and minor waterways and watersheds.
- Protected areas (e.g., national parks, nature reserves).
- Agricultural ecosystems and rural livelihood zones (e.g., rainfed/irrigated croplands, agroforestry, riverine fishing).
- (Optional) Categories of the geomorphological structure (e.g., river terraces, alluvial plains, wetlands, natural cavities).
- (Optional) Elements of historical, architectural, and landscape interest (e.g., areas of archaeological significance).

   Key questions:

   - *What natural resources and features are present around the settlement?*
   - *What are the major and minor waterways traversing the area?*
   - *What protected areas exist within the area?*

5. **Map District-Level Environmental Risks:** Map at the district level areas related to environmental risk and challenges, such as:

- Hydraulic hazards (e.g., flood-prone areas, active riverbeds).
- Hydrogeological risks (e.g., areas of hydrogeological instability, areas subject to landslides).
- Seismic effects (areas susceptible to earthquakes).
- Anthropogenic environmental hazards (e.g., areas of deforestation, resource exploitation).
- Environmental degradation and climate change impact (e.g., areas experiencing severe drought conditions).

   Key questions:

   - *What types of hazards are present in the area (e.g., floods, earthquakes, landslides, droughts)? And how frequent and severe are these hazards?*
   - *What mitigation measures are already in place to protect against them?*
   - *How are regional or global environmental trends expected to impact local resource availability?*

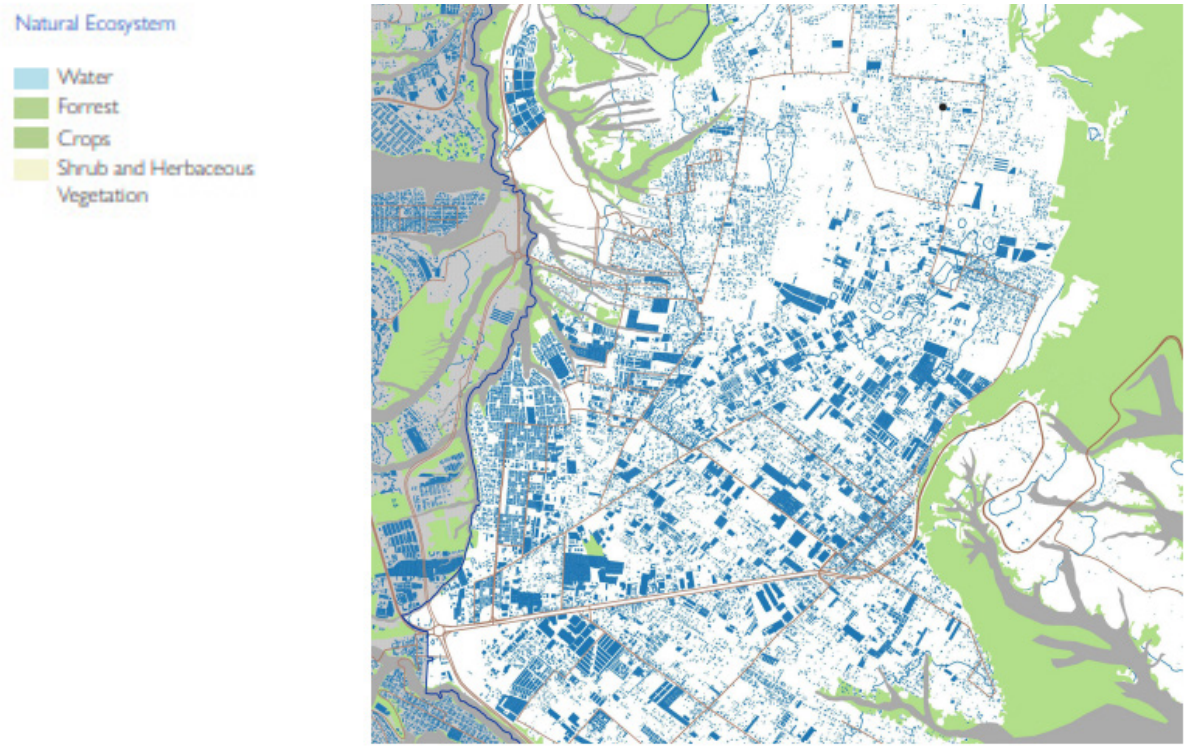


Fig. 18: *Natural Environment of Calderon, Ecuador*

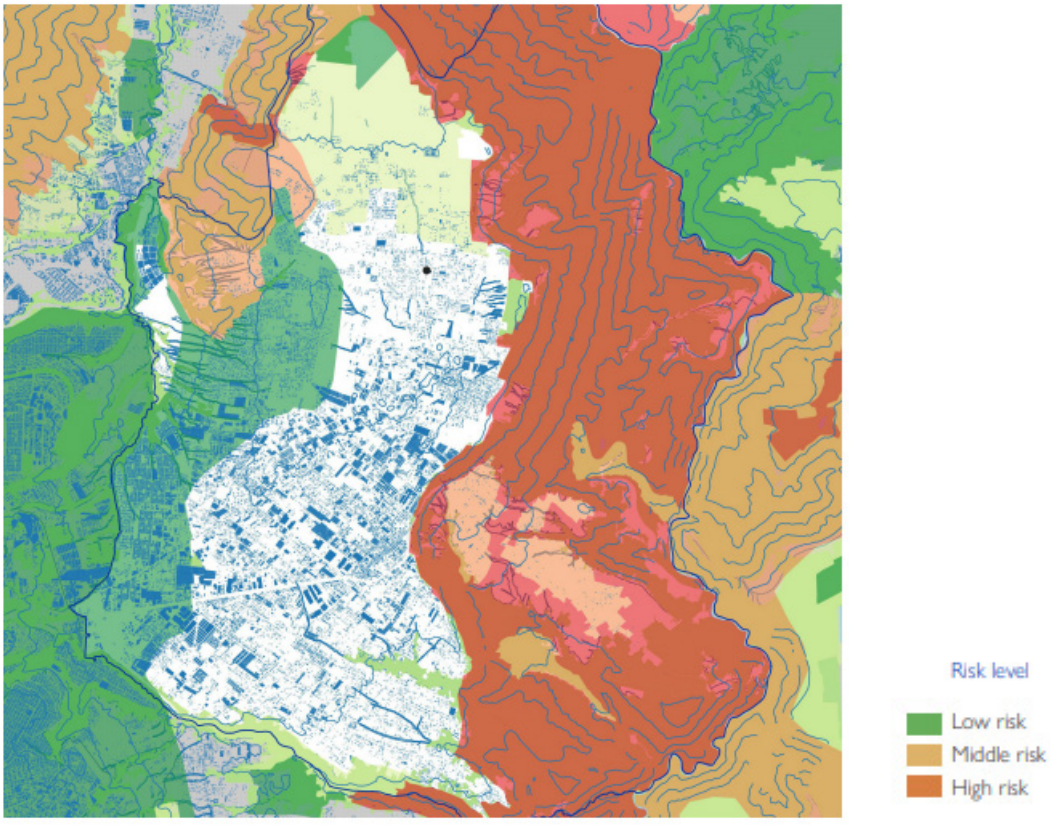


Fig. 19: *Natural Hazards risks of Calderon, Ecuador (Calderon and Conocoto Neighborhood Profiles, Ecuador)*

6. **Determine Vulnerability and Exposure to Environmental Hazards:** Determine the vulnerability and exposure of the settlement and related district context to environmental hazards, paying special attention to IDP and refugee camp locations, as well as areas with the poorest quality of housing and infrastructure.

   Key questions:

   - *Which areas within the settlement and surrounding district are most exposed to environmental hazards?*
   - *Which areas within the settlement and surrounding district are most vulnerable to environmental hazards?*
   - *How do socio-economic factors exacerbate vulnerability to environmental hazards in these areas?*

> *IOM conceptualises risk in the context of disaster risk reduction (DRR) as a function of hazard, exposure, and vulnerability.*

7. **(Optional) Evaluate Institutional and Governmental Capacities**: Evaluate the capacity of institutional and governmental bodies in managing and mitigating the impacts of environmental hazards and climate risks. Investigate the legal, regulatory, and policy frameworks in place, alongside coordination mechanisms between various agencies.

   Key questions:

   - *Are there any international, national, or local laws/conventions in relation to natural resources protection?*
   - *Is the settlement preparing for and seeking to limit the magnitude and severity of existing and future climate impacts?*

8. Synthesis and Reporting: Synthesise findings into a comprehensive summary, supported by detailed maps, diagrams, and reports.

Key Considerations

- *Understanding the settlement's environmental context is crucial for sustainable development planning. This includes recognising the interdependencies between natural features, ecosystems, and human activities, as well as identifying and mitigating environmental risks.*
- *The analysis should be adaptable to future trends, particularly concerning climate change, to ensure long-term resilience and sustainability of the settlement.*

2.2 Settlement Analysis

Purpose

Land use analysis is a crucial tool for classifying and delineating different types of land based on their observed or planned use. Within land uses, urban green and blue spaces refer to the natural and semi-natural areas (parks, gardens, rivers, lakes, and other bodies of water) which play a vital role in the sustainability of cities by providing a range of ecosystems as well as recreational and social benefits.

Objectives

- To identify and study the physical form of urban development and the morphology of the built environment, including patterns of density and compactness as well as plot sizes, street patterns, and public spaces, understanding how these elements contribute to the character and functionality of different areas of the settlement.
- To understand the spatial distribution of different land uses in the settlement, including green (vegetated areas) and blue (water bodies) spaces.

Results

- A map that visually represents the settlement's various urbanisation patterns, taking into consideration historical urban development.
- (Optional) Focus maps on the diverse typologies of urbanisation patterns shaping the settlement, specifying the morphology of the built environment, average road widths, number of houses/shelters, block population density estimates, and standard plot sizes and forms.
- A map that provides a clear picture of the current land uses in the settlement and (optional) provides a visual interpretation of the settlement form (e.g., linear, radial, irregular, grid) through examining the arrangement of main roads and urban blocks.

Required Information

Understanding of the historical urban evolution of the settlement, including changes in its physical layout, expansion patterns, and how historical events have influenced its development. (refer to 2.2.1.1 & 2.2.1.2)

Analysis of the settlement's urban form.

Mapping of green (natural and semi-natural areas, parks, gardens, woodlands, green corridors, and urban greenery) and blue (aquatic environments like rivers, lakes, wetlands, reservoirs) spaces present in the settlement.

Land use mapping highlighting functional zones (residential, commercial, industrial, agricultural, etc.) within the settlement.

Comprehensive analysis of spatial data to understand the distribution, patterns, and relationships between different land uses, morphological assessment, and geographical features.

Information Sources

- Google Earth/satellite data providers
- Data on geographical location *(see 2.3.5.1 Geo-location and regional context and 2.3.5.2 Ecosystem and natural mapping sections)*
- Data on historical urban development and density *(see 2.3.4 Spatial implications section)*
- Data on land use, such as planning documents, zoning maps, and land use plans *(see 2.3.2 Urban development initiatives review section)*
- Data on migration and displacement *(see 2.3.3 Migration and displacement context section)*

Steps

1. **Obtain Satellite Maps and Available Datasets:** Obtain satellite maps, historical maps, and available datasets on the settlement area. Consider conducting field surveys to gather first-hand information about land uses and functions to supplement satellite imagery and remote dataset analysis.

2. **Identify the Settlement's Location and Topography:** Based on *sections 2.2.5.1 Geo-location and regional context and 2.2.5.2 Ecosystem and natural mapping*, start by identifying the settlement's location on a map, noting its proximity to geographical features (e.g., water sources, mountains, plains) and livelihood opportunities. Assess the topography of the area using elevation data to understand how natural landscapes influence the settlement's layout. Study how weather conditions have conditioned the overall settlement's layout and design

Key questions:

- *What significant geographical features are near the settlement?*
- *How does the elevation data suggest the natural landscape influences the settlement's layout?*
- *Are there any unique adaptations in the settlement's design due to weather considerations?*
- *What factors influence the overall physical form of the settlement in terms of scale and density patterns?*

3. **(Optional) Study Historical Urban Evolution:** Study historical records, maps, and documents to understand how the settlement has evolved over time. This includes changes in its physical layout, expansion patterns, and how historical events have influenced its development. Identify and analyse historical landmarks and heritage sites within the settlement.

   Key questions:

   - *What historical records, maps, or documents are available that detail the settlement's evolution?*
   - *Are there discernible phases or periods of urban development, and what are the underlying factors shaping each phase of evolution?*

4. **(Analyse the Settlement Urban Form**: Conduct an analysis of the settlement's urban form. Identify differences in the layout, density, and compactness, documenting the shift from rigid block structures (planned areas) to organically developed clusters of plots (unplanned areas). Map the diverse typologies of urbanisation patterns shaping the settlement by analysing:

- The morphology of the built environment, including the layout, hierarchy, and width of streets.
- The quality, distribution, and use of open spaces, including parks, squares, and recreational areas.
- The average number of houses/shelters present in each representative urban block.
- The average block population density estimate.
- The shape and size of plots to understand land subdivision.
- Main building typologies.

Key questions:

- *How are the main roads and urban blocks arranged within the settlement?*
- *What kind of public spaces and usage patterns can be found?*
- *What parts of the settlement are denser, and why?*

5. **(Optional) Map Green and Blue Spaces**: Based on section 2.2.5.2 Ecosystem and natural mapping, map green (natural and semi-natural areas, parks, gardens, woodlands, green corridors, and urban greenery) and blue (aquatic environments like rivers, lakes, wetlands, reservoirs) spaces present in the settlement. (Optional) Employ image processing techniques to enhance features related to green and blue spaces, such as vegetation indices (e.g., NDVI) for green spaces and water indices for blue spaces. Assess the connectivity between green and blue spaces for ecological corridors and networks and analyse how they contribute to biodiversity, recreation, and ecosystem services.

   Key question: What green and blue spaces can be identified within the settlement?

6. **Land Use Mapping:** Use GIS or other mapping techniques to illustrate functional zones (residential, commercial, industrial, agricultural, etc.) within the settlement. If conducting field surveys, teams should visit each section of the area and record the land use category.

   Key questions:

   - *What functional zones can be identified within the settlement, and how are they distributed?*
   - *Are land uses well distributed throughout the city?*
   - *How does the local economic or livelihood system intersect with land use?*

7. **Analyse Spatial Data:** Analyse spatial data to understand the distribution, patterns, and relationships between different land uses, morphological assessments, and geographical features. (Optional) If historical data are available, perform change detection analysis to identify trends over time in land use patterns, such as urban sprawl, deforestation, or the expansion of water bodies.

   Key questions:

   - *Are there any significant relationships between specific land uses and geographical features?*
   - *Have there been any noticeable changes in land use patterns over time?*
   - *What trends can be observed in land use changes if historical data are available?*

8. **Create Maps and Reports:** Create maps that visually represent the findings of the analysis and consolidate insights into a chapter of the report.

Key Considerations

- *Engage the local community in mapping exercises. Community members can provide insights into the uses of areas that might not be clearly defined through imagery alone. Organise workshops to train community members in basic mapping and land use classification techniques. This empowers them to contribute to the mapping process and ensures that the classification reflects ground realities.*

2.2 Settlement Analysis

Purpose

The damage assessment following crises or events such as natural disasters and conflicts is a critical step in understanding the extent of harm or loss incurred to the built environment and infrastructure.

Objectives

- Determine the scale and severity of damage to infrastructure and property, including residential, commercial, and public buildings, roads, bridges, utilities, and cultural heritage sites.
- Investigate the conditions or circumstances that exacerbated the extent of damage, such as construction quality, location, and preparedness levels.

Results

- A map documenting the geographic distribution and severity of damage within the settlement, providing a clear visual representation of affected areas, and highlighting the areas most in need of assistance and reconstruction efforts.
- A comprehensive report summarising the findings.

Information Sources

- Google Earth/satellite data providers
- Data on historical urban development & density *(See 2.2.5.3 Urban Form & Land Use Mapping)*

Required Information

Analysis of the geographic distribution of damage, clearly identifying affected areas and trends.

Analysis of the severity of damage to the settlement.

Analysis of the multifactorial conditions or circumstances that exacerbated the extent of damage.

Determination of the areas most in need of assistance and reconstruction efforts.

Steps

1. **Review Pre-existing Conditions:** Based on previous sections, review existing reports, studies, and historical data on the affected area to understand pre-existing conditions and vulnerabilities.

2. **Select Tools and Conduct Preliminary Assessment:** Select appropriate tools and technologies based on the scale of the disaster and available resources. Use satellite images to conduct a preliminary assessment of the damage, which helps in identifying large-scale destruction and areas inaccessible for ground surveys. Utilise platforms like KoboToolbox for conducting surveys and collecting GPS points, contributing to real-time data collection and accuracy. (Optional) Implement machine learning algorithms to analyse satellite imagery and other large datasets, enhancing the speed and accuracy of damage assessments by automating the detection of damaged structures and infrastructure. Integrate collected data into GIS software to create detailed maps of the damage.

   Key questions:

   - *What are the most affected areas?*
   - *What patterns of damage can be identified from satellite imagery, and how do they correlate with known vulnerabilities?*
   - *Are there inaccessible areas that require special attention or alternative methods for assessment?*

3. **Examine Geographic Distribution of Damage:** Use spatial analysis tools to examine the geographic distribution of damage and identify trends or patterns.

4. **Categorise Damage Severity:** Establish clear, standardised categories for damage severity, such as minor, moderate, severe, and destroyed. Define each category based on observable and measurable criteria. Using the categorisation system, evaluate the physical condition of buildings, infrastructure, and other assets. (Optional) Train machine learning algorithms on datasets of pre-and post-event imagery to automatically classify damage severity.

   Key questions:

   - *What criteria are being used to define each category of damage severity, and how do they apply to the local context?*

5. **Analyse Damage Patterns and Prioritise Areas:** Conduct an analysis to identify patterns or clusters of damage severity, which can be used to prioritise areas for intervention. (Optional) Incorporate machine learning outputs into GIS platforms to spatially analyse damage severity across the affected area, providing a comprehensive overview of the damage landscape.
6. **Compare Severity with Contributing Factors:** Compare the severity of damage with

   Key questions:

   - *How does the classification of damage severity inform priority areas for immediate intervention?*

collected data on construction quality, location, and preparedness levels. Identify patterns where lower standards or higher-risk locations correspond with more severe damage. Conduct multivariate analyses to understand how different factors interact and contribute to the severity of damage, revealing complex dependencies.

7. Prepare a Detailed Report: Prepare a detailed assessment report incorporating maps and

Key questions:

- *What specific construction qualities or deficiencies have contributed to the extent of damage observed?*
- *How have geographic and environmental factors played a role in the severity of damage?*
- *In what ways have preparedness levels affected the outcomes?*
- *Which factors, when combined, exacerbate the risk and severity of damage most significantly?*

visual aids to illustrate the findings. The report should provide clear insights into the extent of damage, affected areas, damage severity, and contributing factors, highlighting the areas most in need of assistance and reconstruction efforts.

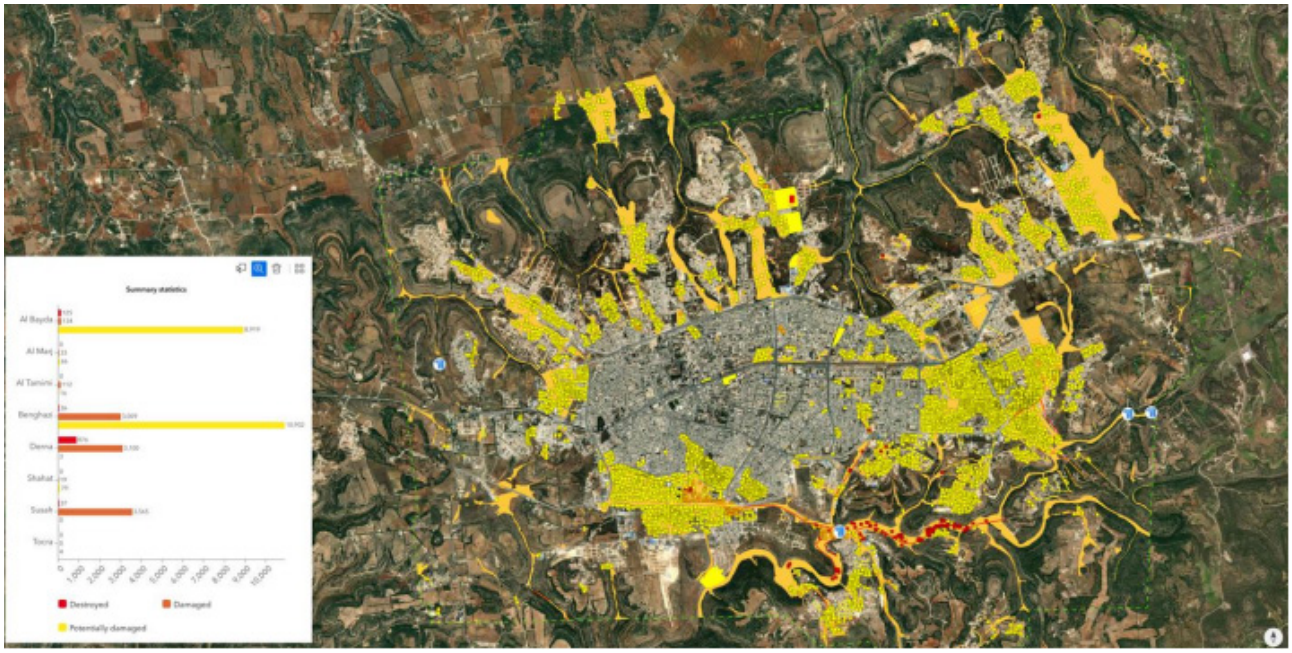


Fig. 20: *Damage assessment, Al Bayda Municipality, Libya (Al Bayda, Shahat, and Soussa Municipalities Profiles, Libya)*

Key Considerations

- *Damage assessment is inherently multidisciplinary. It is important to incorporate expertise from different sectoral units to enrich the analysis and findings.*
- *Advanced tools like machine learning and GIS offer profound insights but require specific expertise. Ensure the team has the necessary skills or access to training.*

2.2 Settlement Analysis

Purpose

Mapping and analysing basic service infrastructure and public service facilities is crucial for implementing a settlement approach. This process provides essential information about the distribution, availability, quality, and accessibility of services within the territory, assessing their capacity to meet community needs. For this toolkit, basic service infrastructure is defined as water provision, mobility, sanitation and solid waste management, drainage systems, energy, and telecommunications. Public service facilities are defined as health, food, education, community, religious, and protection risk facilities.

Objectives

- To gather detailed information on the location, availability, quality, and accessibility of various basic infrastructure and public facilities within the settlement.
- To understand the capacity of basic infrastructure and public facilities to meet the demands of the current population and to analyse inequalities in service provision (physical, social, and economic).
- To assess the current institutional arrangements for service provision, as well as humanitarian initiatives to address gaps in provision.

Results

- Maps showing the locations, types, accessibility, functionality and conditions of basic infrastructure and public facilities in the settlement and its surrounding territory.
- A comprehensive map showing the extent of service areas at the regional/district level around the settlement, including transportation networks, utility coverage, and access to services.
- A report summarising key findings.

Possible Sources

- *Google Earth / satellite data providers*
- *Existing data records*
- *Open data portals (OpenStreetMap, Humanitarian Data Exchange HDX, UN OCHA, DTM, etc.)*
- *Data on demography and migration (See 2.2.2 Demographic trends & impact of migration)*

Required Information

- *Distribution of basic infrastructure and public facilities within the settlement and its related territory.*
- *Typology of basic infrastructure and public facilities present in the settlement and its related territory.*
- *Quality and operational status of different basic infrastructure and public facilities present in the settlement and its related territory.*
- *Planned basic infrastructure and public facilities within the settlement and related territory.*
- *Identification of the public/private actors responsible for the construction, maintenance, and management of different basic infrastructure and public facilities, including services provided by humanitarian actors.*
- *Capacity of basic infrastructure and public facilities relative to demand.*
- *Coverage of basic service infrastructure and public service facilities, and their accessibility by different groups. Analysis of barriers (economic, social) to access.*
- *Damage to basic service infrastructure due to the crisis.*

Steps

1. **Compile Data Sources:** Compile a list of primary and secondary data sources that provide insights into basic infrastructure and public facilities (check Data collection instruments).

2. **Identification and Documentation:** Conduct a systematic identification and documentation of basic service infrastructures (e.g., water and sanitation systems, electricity grids, transportation networks, waste management systems, telecommunications) and public service facilities (e.g., educational institutions, healthcare centres, community and religious facilities, recreational areas, food, and protection risk services) present in the settlement and its surrounding territory.

   Key questions:

   - *What are the main components of the water and sanitation systems in the settlement, including sources of water supply, distribution networks, wastewater treatment facilities, and sanitation infrastructure?*
   - *How is electricity generated, transmitted, and distributed within the settlement, and what are the coverage and reliability of the electricity grid?*
   - *What modes of transportation are available within the settlement and its surrounding territory, including road networks, public transit systems, and pedestrian infrastructure?*
   - *How are waste management services organised and operated within the settlement, including waste collection, recycling facilities, and disposal sites?*

- *What are the telecommunications networks present in the settlement, including landline, mobile, and internet connectivity, and what is their coverage and quality of service?*
- *What educational institutions are available in the settlement, including schools, colleges, and vocational training centres, and what are their capacities and enrolment levels?*
- *How are healthcare services provided within the settlement, including hospitals, clinics, pharmacies, and other medical facilities, and what is the accessibility and quality of healthcare?*
- *What community and religious facilities exist in the settlement, such as community centres, places of worship, and cultural institutions, and how do they contribute to social cohesion and cultural identity?*
- *Are there recreational areas and green spaces within the settlement, such as parks, playgrounds, and sports facilities, and what amenities and services do they offer to residents?*
- *How are food and protection risk services delivered within the settlement, including food distribution centres, emergency shelters, and disaster response mechanisms, and what is their capacity to address community needs during emergencies?*

3. **Spatial Distribution Mapping:** Develop a spatial distribution map to visually represent the geographic location of these infrastructures and facilities across the settlement and adjacent territory.

4. **Operational Status Analysis:** Analyse the operational status of these infrastructures and facilities, categorising them as fully operational, degraded, or non-functional. Examine the underlying factors affecting their performance and service delivery.

   Key questions:

   - *What is the status of the basic service infrastructure in question? Is it operational? If so, to what extent? What is its condition? Who is responsible for its administration and management?*
   - *What is the status of the public service facility in question? Is it operational? If so, to what extent? What is its condition? Who is responsible for its administration and management?*

5. **Document Forthcoming Projects:** Document forthcoming infrastructure and facility projects, detailing their scope, timeline, and intended impact on improving existing services or addressing deficiencies.

   Key questions:

   - *What forthcoming infrastructure and facility projects are planned or under development within the settlement and its surrounding territory, and what is the scope of each project?*
   - *What is the projected timeline for the implementation of these projects?*
   - *How are these projects expected to improve existing services or address deficiencies in service provision?*

6. **Map the Governance Landscape**: Identify the array of public and private stakeholders responsible for the construction, maintenance, and management of the infrastructure and facilities. Highlight the role of humanitarian and non-governmental organisations in supplementing basic services, particularly in response to crisis-induced demands.

Key questions:

- *Who are the key public stakeholders involved in the construction, maintenance, and management of infrastructure and facilities within the settlement and its surrounding territory, including government agencies, municipal authorities, and regulatory bodies?*
- *How do humanitarian organisations, NGOs, and civil society groups contribute to supplementing basic services within the settlement, particularly in response to crisis-induced demands such as natural disasters, conflicts, or population displacement?*

7. **Capacity Analysis**: Based on the 2.2.2 Demographic trends and impact of migration section, analyse the capacity of each infrastructure and facility to meet current and projected demand, considering factors such as population growth, urbanisation trends, and economic development.

   Key questions:

   - *How does infrastructure demand compare to its existing capacity, and what are the main factors contributing to capacity constraints or deficiencies (e.g., population growth, urbanisation trends, economic development, or changes in service usage)?*

8. **Coverage and Accessibility Analysis:** Assess the coverage of basic service infrastructure and public facilities across different demographic groups, including marginalised communities. Identify physical, economic, social, and institutional barriers that hinder access to basic services and infrastructure, analysing any disparities.

   Key questions:

   - *Are there social or economic barriers to access to public service facilities? Are facilities shared with refugees and IDPs? Are refugees' and IDPs' facilities shared with the host population?*
   - *What views do the host and refugee communities have regarding the basic service infrastructure and public service facilities?*

9. **Crisis Damage Evaluation**: Based on the 2.3.5.4 Damage assessment, evaluate the extent and nature of damage inflicted on the infrastructure and facilities by recent crises, quantifying the impact in terms of service disruption and degradation

   Key questions:

   - *Has the recent crisis caused damage to the infrastructure and facilities?*
   - *What are the quantifiable impacts in terms of service disruption and degradation experienced by the community?*

10. **Reporting and Visualisation:** Create maps and diagrams that clearly communicate the findings and compile the analysis into a summary report.

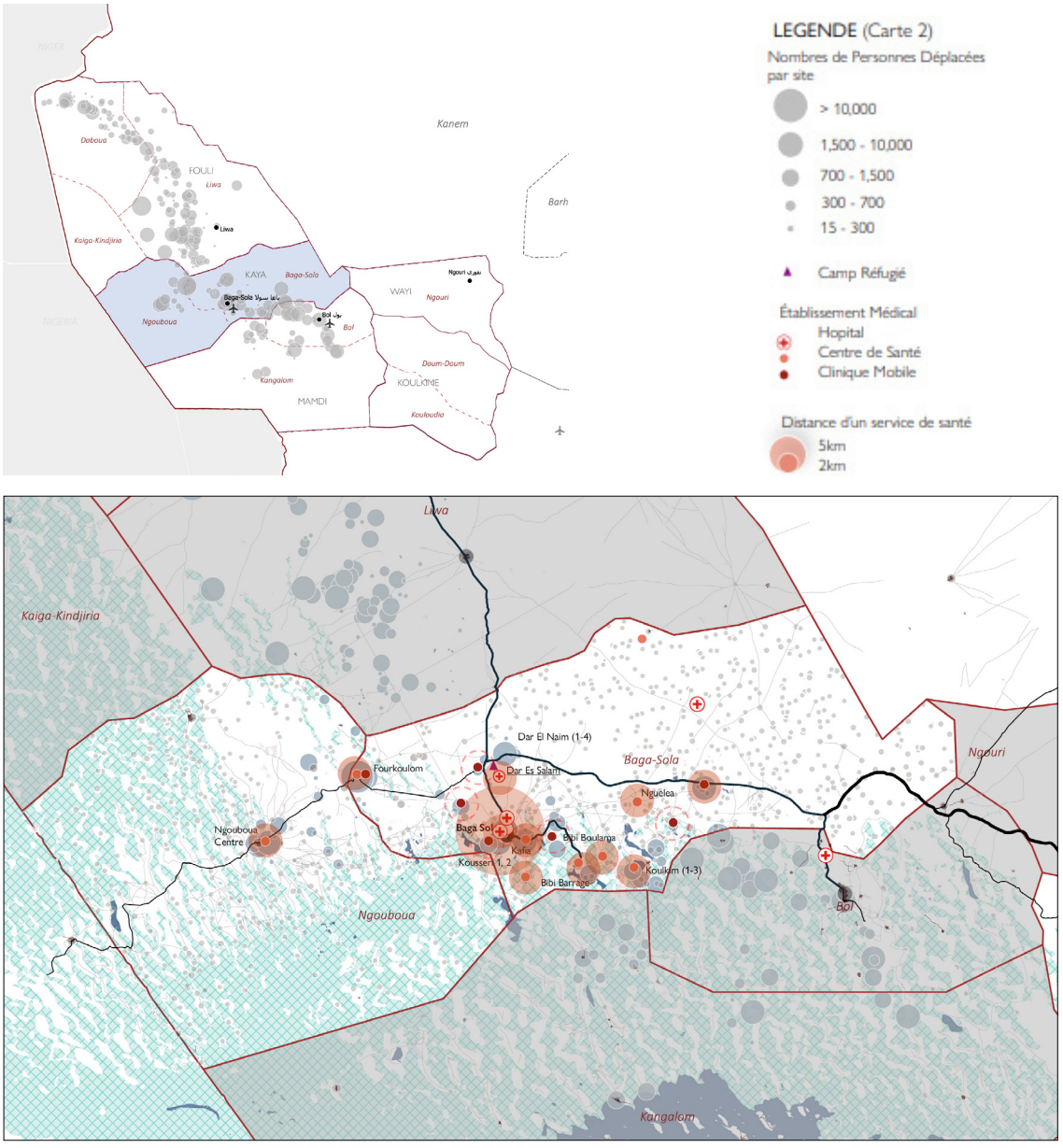


Fig. 21: *Distribution of Health facilities and catchment area, Kaya Department, Chad (Kaya Territorial Profile, Chad)*

Key Considerations

- *Engage with the local community and stakeholders during the assessment process to ensure the findings reflect the on-the-ground realities and needs.*
- *Use accessible tools so staff without planning expertise can collect and analyse data effectively in a variety of operational contexts.*

2.2 Settlement Analysis

Purpose

Housing, Land, and Property (HLP) encompass the rules, arrangements, practices, customs, and attitudes that enable individuals to inhabit and use the land, property, and accommodation they live in. The analysis involves a comprehensive understanding of land governance, types of tenure arrangements, access to land and tenure security, and HLP-related disputes or risks.

Objectives

- To evaluate the constitutional acknowledgment of housing rights, land classification, and the regulatory landscape governing land use, ownership, and informal rights. This includes assessing governance structures, registry systems, and the efficacy of land administration.
- To explore access to land, the distribution of various tenure forms, and the protection of rights for different demographics, particularly focusing on ownership, inheritance, and tenure security.
- To investigate the procedures surrounding land expropriation, the impact of forced evictions, and the mechanisms in place for dispute resolution, aiming to understand the root causes of land conflicts and the strategies employed to address them.

Results

- A comprehensive Housing, Land, and Property (HLP) profile that includes detailed analyses, maps, and key information addressing land use, ownership, tenure security, and dispute resolution in the targeted area.

SUGGESTED TOOLS

- Rapid Tenure Assessment Guidelines for Post-Disaster Response Planning (pp. 20-29).

Required Information

Legal and Governance Framework

Recognition of housing rights and land classifications.

Key laws on housing, land, and property rights, including informal rights.

Roles of government bodies in land governance and administration.

Land Access and Tenure

Forms of tenure and their benefits or limitations.

Ownership patterns by demographics and geography.

Protections against forced evictions and inclusion of minority rights.

Tenure Security

Use and recognition of land ownership documents.

Processes for surveying, boundaries, and hazard mapping.

Perceptions of tenure security and frameworks for expropriation and compensation.

Land Disputes

Drivers, stakeholders, and mechanisms for resolving disputes.

Steps

1. **Preliminary Review:** Conduct a preliminary review of existing studies, legal documents, and reports related to HLP issues in the target area. Identify key stakeholders, including government entities, local communities, legal experts, and NGOs involved in HLP issues. Develop a data collection strategy that outlines sources, methods, and tools for gathering information.

2. **Constitutional and Legal Framework Review:** Review constitutional documents, laws, and regulations related to HLP rights and assess whether the constitution explicitly guarantees the right to adequate housing and the legal frameworks governing land, distinguishing between classifications such as disposable and non-disposable land.

   Key questions:

   - *Is the right to adequate housing specifically recognised in the Constitution?*
   - *How is land classified (disposable, non-disposable)? What are the main ways to access land (acquisition, inheritance, marriage, renting, collective ownership, etc.)? Are there differences between urban and rural areas?*

3. **Governance Structure Analysis:** Detail the governance of housing, land, and property rights, spotlighting the intersection of laws, regulations, and key provisions that shape ownership, leasehold arrangements, and the acknowledgment of informal rights. Assess the land governance and regulatory framework, identifying which government bodies oversee land administration and how responsibilities are allocated among them.

Key questions:

- *What is the land governance and regulatory framework?*
- *Which department or ministry is responsible for what, with respect to the administration and regulation of housing, land, and property?*
- *What laws and regulations govern housing, land, and property rights? Consider land ownership but also other forms of occupancy and use (leasehold, community land trusts, other forms of community or collective management). What are the key provisions?*
- *Are informal rights (such as customary law or communal rights) formally recognised? Are they recognised in practice?*

4. **Land Records and Administration:** Analyse the centralisation of land records, the existence and maintenance of cadastral maps and land registries, including how residential addressing integrates into these systems, highlighting and mapping areas with any gaps in land registration and record-keeping.

   Key questions:

   - *Is land administration centralised? Is there a central database of land records? If not, how is it managed?*
   - *Are there any relevant cadastral maps? How accurate and accessible is the land registry or cadastral system? How is it maintained and updated? Is there any system of residential addresses within the settlement?*
   - *What percentage of land remains unregistered? How fast is land being registered?*
   - *How do land use policies encourage or discourage slum upgrading?*
   - *How is ownership or occupancy of unregistered land recorded (e.g., community records)?*

5. **Land Tenure Analysis:** Explore and map the spectrum of land tenure forms (including leasehold, freehold, and customary tenure systems), noting their features, prevalence, and how they are practised differently across urban and rural settings. Assess rights and protections tied to each tenure type, focusing on mechanisms against forced eviction and inheritance. Examine the inclusivity of these rights, especially concerning gender and minority groups, and map out the extent of land ownership within the community. Consider the status and rights of non-owners, such as renters, individuals living in informal settlements, and women without documented inheritance or marital rights.

   Key questions:

   - *What different forms of formal and informal tenure exist? What are their features? Which forms of tenure are most common? How are forms of tenure distributed across the settlement?*
   - *Who can and can't own land?*
   - *What rights (protection from forced eviction, to inherit) are linked to each form of tenure?*
   - *Are gender and minority rights respected? For instance, is joint ownership recognised and practised? Can women legally own or inherit land? In practice, do they?*
   - *Does the legal framework allow minority groups (ethnic minorities, immigrants, stateless people, etc.) to own, occupy, or use land or housing? Are they subject to special conditions?*
   - *Determine the extent of land ownership among the settlement.*

6. **Documentation and Tenure Security:** Review and analyse the primary types of tenure agreements and documentation used to establish land ownership and occupation, including formal and informal mechanisms. Investigate the processes for establishing and recognising land boundaries, ownership, and the implications for tenure security among various community groups, including refugees versus host community perceptions.

   Key questions:

   - *What official statutory instruments or documents identify land ownership (title deeds) and land occupation (lease agreements)? Is formal ownership widespread?*
   - *What is the procedure for surveying land (spatial measurement and mapping)? Is risk/hazard mapping done?*
   - *Are informal documents (tax declarations, utility bills, etc.) used to confirm land ownership and occupation?*
   - *How are land boundaries and ownership established and recognised?*
   - *Is there clear land demarcation for the overall settlement area?*
   - *What is the procedure for subdividing plots of land?*
   - *How do refugees perceive their security of tenure? How does this compare to members of the host community's perceptions of their own tenure security?*

7. **Land Expropriation and Evictions:** Clarify the legal basis for, and procedural details of, government expropriation of land, particularly during emergencies, and examine the prevalence and acknowledgment of forced evictions. Outline the measures in place to protect or compensate those affected by evictions or relocation, considering the effectiveness of these interventions.

   Key questions:

   - *Can the government temporarily expropriate land during emergencies? If so, what is the procedure?*
   - *Do forced evictions occur? If so, is the problem recognised?*
   - *What protective or compensatory measures are provided for people who are evicted or relocated?*

8. **Land Dispute Analysis:** Identify the primary causes of land disputes and the demographic groups frequently involved, offering insights into the socio-economic and cultural dynamics at play. Evaluate the strategies and mechanisms available for resolving land disputes, including legal, social, and community-based approaches, to understand their effectiveness and accessibility to affected parties. Map hotspots for land disputes, marking the demographic groups often involved.

   Key questions:

   - *What are the typical drivers of conflict?*
   - *Among which groups are there disputes over land (e.g., clans/sub clans, pastoralist/sedentary communities, IDPs, returnees, and host community)?*
   - *How are land disputes most commonly resolved? What dispute resolution mechanisms are available?*

9. **Reporting:** Compile the information gathered into a comprehensive report that outlines the findings, including maps and flowcharts produced.

Key Considerations

- *Coordinate with government authorities, traditional leaders, and community representatives identified during stakeholder mapping to inform about community engagement activities.*
- *Consider the diversity between rural and urban contexts, as land and property rights are often regulated differently.*
- *Consider both written laws and procedures (de jure) and what happens in practice (de facto), especially in remote areas and informal settlements.*
- *Account for individuals who do not hold property ownership. This group includes renters, residents of informal settlements, individuals whose living quarters are situated at their place of employment, and women without official documentation of inheritance or marital status.*

Bibliographical References:

- *Global Shelter Cluster (2024) Housing, Land, and Property Rights Toolkit.*
- *International Federation of Red Cross and Red Crescent Societies (IFRC) (2015). Rapid Tenure Assessment Guidelines for Post-Disaster Response Planning.*
- *IOM (2024) Housing, Land, and Property (HLP) Rights and Shelter & Settlements: Due Diligence Mini Manual.*
- *OHCHR (2021) Women and the Right to Adequate Housing. Special Rapporteur on the Right to Adequate Housing.*

2.2 Settlement Analysis

Purpose

This section embarks on a comprehensive examination of the settlement's housing physical landscape, providing essential insights into housing characteristics, typologies, construction methods, conditions, materials used, and population density.

Objectives

- To assess the suitability of land areas for safe and sustainable construction.
- To develop a detailed database that captures the diversity, quality, and safety of the current housing stock within the settlement. This includes understanding various typologies, construction practices and materials used, and assessing the physical condition and compliance with building standards and codes.
- To understand housing density, identifying implications for resource distribution and living quality.

Results

- A report that compiles all collected data, observations, and analyses into a comprehensive document, incorporating maps, photographs, and data visualisations.

Required Information

Context Considerations:

Land Suitability Analysis: Analysis of the suitability for construction across various land areas, considering factors such as soil stability, pollution levels, and environmental health indicators.

Density Patterns: Identification of patterns in settlement density and the implications for resource distribution and living quality.

Typologies, Constructions, and Materials:

Housing Types Documentation: Documentation of the range of housing types (emergency, transitional, permanent) across income groups.

Construction Methods: Exploration of the prevalent housing typologies and their construction methods, understanding their alignment with local needs and conditions.

Accommodation for Vulnerable Groups: Analysis of types of accommodations (private housing, shared rooms, etc.) available to economically vulnerable groups, highlighting challenges and needs.

Materials and Techniques: Understanding of materials and techniques used in construction, including compliance with building codes and suitability for the local environment.

Quality and Standards:

Housing Condition: Evaluation of the condition and maintenance of housing.

Building Codes: Examination of the existence, enforcement, and adherence to building codes.

Safety Standards: Focus on safety standards during construction, including the use of safety measures.

Steps

1. **Preliminary Review:** Conduct a preliminary review of existing studies, legal documents, and reports related to housing typologies, construction, and materials in the target area. Identify key stakeholders, including government entities, local communities, legal experts, and NGOs involved. Develop a data collection strategy that outlines sources, methods, and tools for gathering information.

2. **Land Suitability and Risk Assessment:** Based on the *Ecosystem and Natural Mapping section (2.2.5.2)*, delineate areas prone to natural hazards, such as floodplains, steep slopes, and areas near high-tension electrical lines, to assess potential risks to residential units. Evaluate the suitability of various land areas for safe construction, considering soil stability, pollution levels, and other environmental health indicators. Overlay residential areas and trends in land privatisation and construction with hazard zones to identify potential risk areas and zones unsuitable for construction.

Key questions:

- *Do residential units typically avoid areas exposed to natural hazards, and is the land deemed suitable for construction from an environmental and safety perspective (e.g., flood plains, steep slopes, highly polluted areas, proximity to high-tension electric cables)?*

3. **Density Analysis:** Gather data on the number of people living within each household, based on the Demographic Trends and Impact of Migration section (2.3.1.2) and the Migration and Displacement Context section (2.3.1.3). Identify patterns of settlement density, examining the implications for resource distribution, accessibility, and overall living quality within the community. (Optional) Provide a density heatmap.

   Key question: What is the average number of people per household, and how does this reflect on the settlement's density?

4. **Housing Typologies and Distribution**: Catalogue the diverse housing types present within the settlement (e.g., emergency, transitional, or permanent housing units and shelters), focusing on their distribution across different income groups. This assessment can be carried out through visual inspections or interviews with residents and local housing authorities. Investigate the predominant housing typologies (e.g., traditional tents, single-story or multi-story; courtyard or in-line; traditional or historical typology) and associated construction methods, understanding the rationale behind these choices in relation to local needs and conditions. Provide a map on the spatial distribution of housing types across the settlement.

   Key questions:

   - *What housing types are present in the settlement (e.g., emergency, transitional, and permanent housing)?*
   - *What are the prevalent housing typologies in the settlement? Are they generally single-story or multi-story? Are they related to specific construction methods?*

5. **Accommodation for Vulnerable Groups**: Determine the primary forms of accommodation (e.g., private housing, private rooms within private property, shared rooms) accessible to economically vulnerable groups by assessing ownership and rental statuses through community surveys and housing records analysis. Highlight the challenges and needs of these groups. If it concerns rented housing solutions, document housing characteristics, including the number of rooms, availability of basic utilities, provision of furniture, and overall accessibility, to gauge the standard of living provided.

   Key questions:

   - *What are the primary types of housing or accommodation available to economically vulnerable populations (e.g., private housing, private rooms within private property, shared rooms)? Is the accommodation owned or rented?*
   - *What are the common features of rental units in terms of the number of rooms, utilities provided, furniture, and accessibility?*

6. **Plot Layout and Housing Positioning (Optional):** Conduct a thorough evaluation of how housing structures are positioned within plots, taking into account privacy, ventilation, and fire safety considerations, as well as the potential for communal spaces and the feasibility of incremental expansion.

   Key questions:

   - *How are housing structures positioned within plots to ensure adequate privacy for residents?*
   - *What measures are taken to optimise ventilation and airflow within housing units?*
   - *How feasible is the incremental expansion of housing units within the plot while maintaining safety and adherence to regulations?*

7. **Construction Materials and Techniques:** Consult with builders, residents, and construction companies to understand common construction materials, techniques, and the prevalence of self-built or company-built shelters. If present, identify active housing construction cooperatives, analyse their formation processes and founding members. Investigate whether house constructions, especially those undertaken by residents, comply with local or national building codes. Analyse the durability and suitability of the construction materials used in the local climate and environmental challenges. Based on the Planning Instruments and Procedures section (2.3.2.2), investigate the role of local government in issuing building permits to understand regulatory oversight.

   Key questions:

   - *Which construction materials are predominantly used in the settlement's housing construction?*
   - *Is the construction of houses primarily undertaken by the residents themselves or by construction companies?*
   - *Are there housing construction cooperatives active in the area, and how are they formed?*
   - *Does the local government issue building permits for construction?*

8. **Housing Condition Assessment:** Assess the overall condition, quality, and state of maintenance of housing within the settlement by comparing actual living conditions against the needs and preferences of the residents, identifying areas for improvement.

   Key questions:

   - *How would you describe the overall conditions and quality of housing in the settlement? Does this meet the requirements of residents?*
   - *Do rental lodgings meet the minimum conditions for habitability, as stipulated by local standards or guidelines?*

9. **Building Codes and Compliance:** Examine the existence and enforcement of building codes and evaluate the level of adherence during construction, with an eye toward understanding the gaps between regulation and practice.

   Key questions:

   - *Is there an established building code in the settlement, and to what extent is it adhered to during house construction?*

10. **Safety Standards in Construction:** Assess the focus on safety standards throughout the construction process by observing the use of safety measures, the quality of construction materials, and adherence to safe construction practices, especially in self-built structures.

    Key questions:

    - *How much attention is given to safety standards during the construction process?*

11. **Reporting:** Compile the collected data, observations, and analyses into a detailed summary, integrating maps, photographs, and data visualisations to clearly present the findings. Identify critical areas of concern (e.g., risk-prone zones, inadequate housing conditions, lapses in regulatory compliance), providing a basis for targeted interventions.

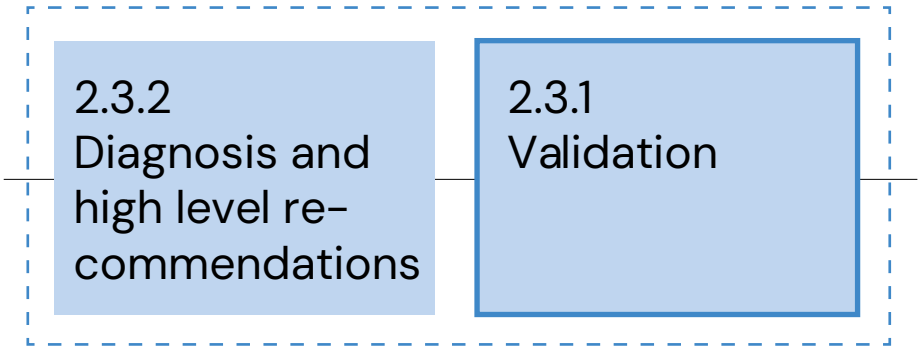
Key Considerations

- ***Diversity in Typologies:*** *Housing and building typologies exhibit a wide range of diversity, influenced by geographic location, historical developments, and cultural traditions, reflecting the unique architectural heritage and environmental adaptations of different regions.*
- ***Community Engagement:*** *Ensure that community members are actively involved in the data collection process to capture their perspectives and insights on housing conditions, needs, and priorities.*

2.3 Strategic Diagnosis and Recommendations

Guiding Questions:

- *What are the key challenges and opportunities within the settlement, and how can they be strategically addressed?*



To Flowchart

The "Strategic Diagnosis" chapter details the methodologies and strategic approaches utilised in the post-analysis phase. This process is crucial for ensuring the accuracy, relevance, and applicability of the data collected during the multi-sectoral analysis. The strategic diagnosis phase involves two primary components: validation and systematic examination of the settlement ecosystem to identify key issues and opportunities. Coordination and collaboration across varied programmatic units are integral to this process, ensuring a cohesive and informed approach.

2.3 Strategic Diagnosis and Recommendations

Purpose

Validation is conducted after the completion of the analysis and serves as a quality assurance mechanism. It involves systematically assessing the appropriateness of data collection methods, the accuracy and reliability of data analysis, and the extent to which the findings effectively answer the research questions or meet the predetermined informational needs.

Objectives

- To validate data and analysis outcomes.
- To ensure the integrity, relevance, and applicability of the analysis findings in answering research questions and meeting informational needs.

Results

- A detailed document outlining the methodology, analysis, and validation process, presenting findings substantiated with evidence.
- Identification of gaps in the current analysis that necessitate further investigation, setting the stage for future studies.
- (Optional) Documentation of assumptions, limitations, and uncertainties associated with unverified data.
- (Optional) Strategies for communicating findings to different stakeholder groups.

SUGGESTED TOOLS

- Unverified data approaches
- Validation workshops

Steps

1. **Compare Findings Against Research Questions:** Systematically compare the findings against each research question to assess their direct relevance and comprehensiveness. Evaluate whether the findings provide the insights, answers, or solutions expected, based on the predefined informational needs.

2. **Cross-Disciplinary Validation:** Verify data and findings across different programmatic units and disciplines, enhancing credibility and relevance by incorporating diverse perspectives.

3. **(Optional) Handle Unverified Data:** When verification is not feasible, utilise the Unverified data approaches tool to strategise methods for handling unverified data.

4. **Stakeholder Validation**: Present preliminary findings to key stakeholders for validation and feedback. Refine the analysis based on stakeholder input, ensuring that the findings meet informational needs and have stakeholder buy-in.

5. **Document the Validation Process:** Create a document detailing the entire research process, including methodology and validation. Highlight limitations or gaps that could lead to future research opportunities.

6. **(Optional) Communication Strategy:** Formulate strategies for disseminating the findings to various stakeholder groups, tailored to their interests and needs.

7. **Consolidation of additional data and/or amendments of the findings**: Incorporate new data or insights obtained during validation or stakeholder feedback, ensuring that findings are accurate, comprehensive, and up-to-date. Refine conclusions and recommendations as needed.

Key Considerations

- *Re-assess Data Collection Methods: Define the appropriateness of data collection methods in terms of relevance to research questions, comprehensiveness, and ethical considerations. Assess each data source for reliability, credibility, and validity, ensuring they are authoritative and relevant to the research topic. Review data collection procedures for rigour, objectivity, and alignment with research objectives.*
- *Unverified data should be revisited and updated as soon as verification becomes possible.*

2.3 Strategic Diagnosis and Recommendations

Purpose

The strategic diagnosis phase involves a systematic examination of the settlement ecosystem, identifying key issues, opportunities, and viable strategies for resolution. This process requires the coordination and collaboration of diverse programmatic units across various disciplines to ensure a comprehensive and nuanced understanding of the findings.

An essential aspect of this phase is overlaying the different levels of analysis, such as social, economic, environmental, and infrastructural data; to extract cross-cutting challenges and gaps, and identify the interconnections between sectors

Objectives

- To systematically identify problems and challenges facing the settlement and its community, addressing both immediate and long-term issues.
- To uncover opportunities for development and improvement.
- To inform a clear and coherent strategic vision for the settlement.

Results

- A comprehensive document summarising the findings from the analysis, including identified problems, opportunities, impacts, and stakeholder insights.
- A strategic and prioritised list of key issues and opportunities to address.
- (Optional) Insights and recommendations for actionable steps to address identified problems, including short-term actions for immediate improvement and long-term strategies for sustainable development.
- (Optional) Metrics and benchmarks for monitoring progress towards the strategic vision.

SUGGESTED TOOLS

- Guide to Overlaying Data for Comparative Analysis

Steps

1. **Conceptual Analysis:** Analyse findings through various conceptual lenses (e.g., social inclusion, accessibility, urban resilience, and sustainability) to identify and understand the complex interplay of factors affecting the settlement.

2. **Multi-Disciplinary Involvement:** Involve different programmatic units and experts from various fields (e.g., urban planning, engineering, sociology, environmental science, economics) to provide a multifaceted analysis of the findings, ensuring a comprehensive understanding of complex issues.

3. **Identify Strategic Issues:** Synthesise data and findings to identify critical strategic issues. Clearly articulate each issue, its implications, and potential strategies for addressing it. Consider using system dynamics models to understand causal relationships within the urban ecosystem, predicting how changes in one area might impact others.

4. **Stakeholder Engagement:** Continuously engage with stakeholders throughout the process to validate findings, refine strategies, and ensure the analysis reflects community needs and priorities.

5. **(Optional) Prioritisation:** Create a preliminary prioritised list of critical issues and opportunities. Establish criteria such as impact magnitude, urgency, intervention feasibility, stakeholder concern, and alignment with strategic goals to guide subsequent planning and actions.

6. **(Optional) Scenario Planning:** Scenario planning helps anticipate future conditions that could impact the settlement. By exploring different plausible scenarios—such as economic shifts, environmental changes, or population growth trends—it helps identify risks, opportunities, and the implications of strategic decisions. This process involves assessing how identified spatial challenges and opportunities might evolve under varying assumptions, allowing stakeholders to design adaptive, resilient strategies that address both immediate needs and long-term goals. Scenario planning also supports prioritisation by highlighting potential high-impact interventions across multiple future contexts.

7. **(Optional) Recommendations:** Provide clear and actionable recommendations for each strategic issue identified, including short-term and long-term actions, responsible parties, and indicators for monitoring progress. Ensure that recommendations align with the IOM Strategic Plan's priorities, contributing to broader goals of sustainable urban development.

8. **(Optional) Monitoring and Evaluation Framework:** Establish a framework for ongoing monitoring and evaluation, using defined metrics and benchmarks to track progress and adjust strategies as necessary.

9. **Reporting:** Compile the findings, analyses, and strategic framings into a summary report that serves as a critical reference for decision-makers.

Bibliographical References:

- *IOM Strategic Plan 2024-2028*

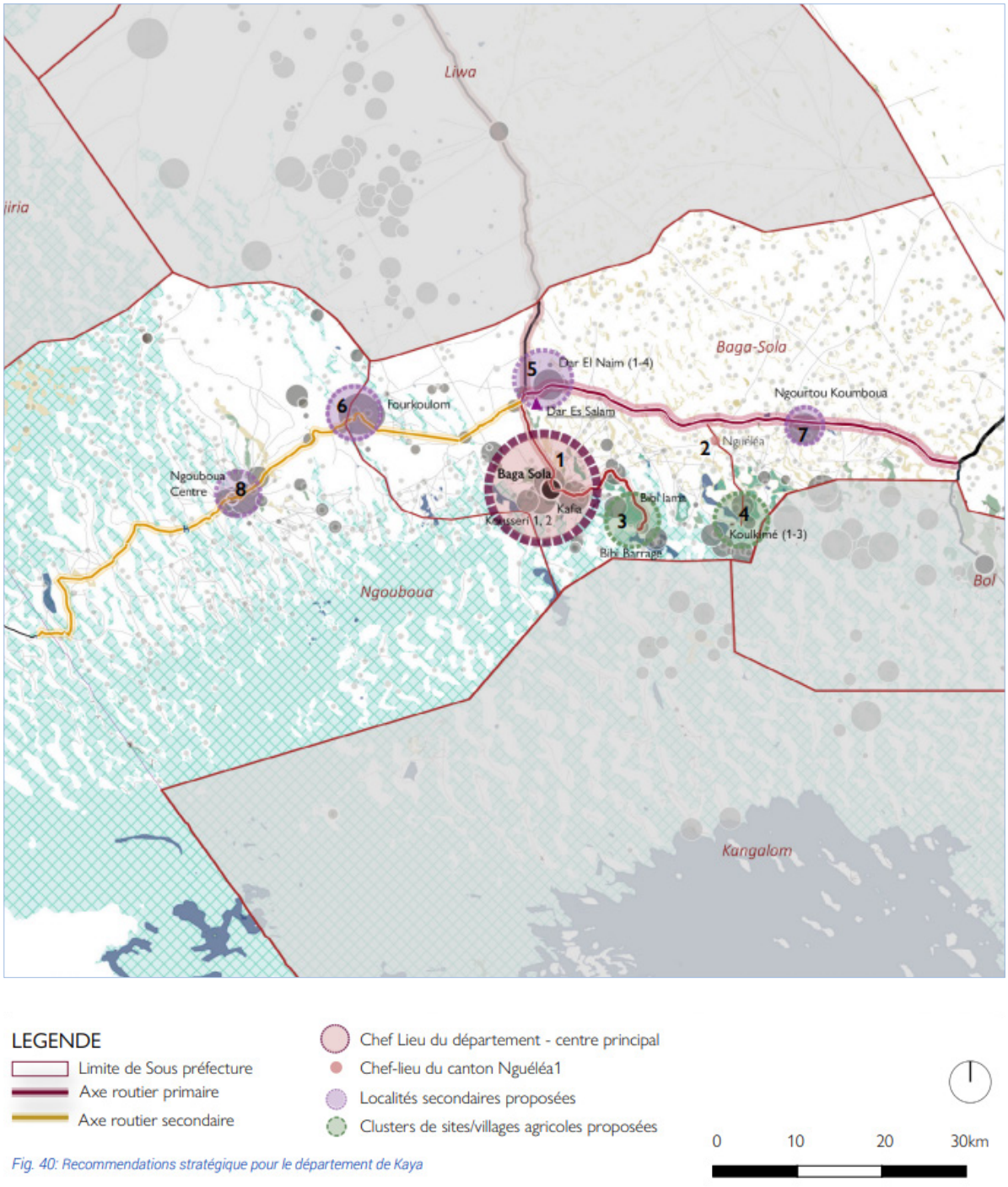


Fig. 22: *Strategic Recommendations, Kaya Department, Chad (Kaya Territorial Profile, Chad)*

OUTPUT 2 : Settlement Profile

Purpose: Deliver a comprehensive analysis of the settlement, focusing on needs, capacities, vulnerabilities, and spatial dynamics.

Key Sections:

1. Introduction

- Purpose and scope of the settlement profile.
- Overview of the settlement area and its significance.

2. Data Management Summary

- Data collection methodology (primary and secondary).
- Sources of data and gaps identified.
- Tools and techniques used (e.g., GIS, participatory mapping).

3. Analytical Sections

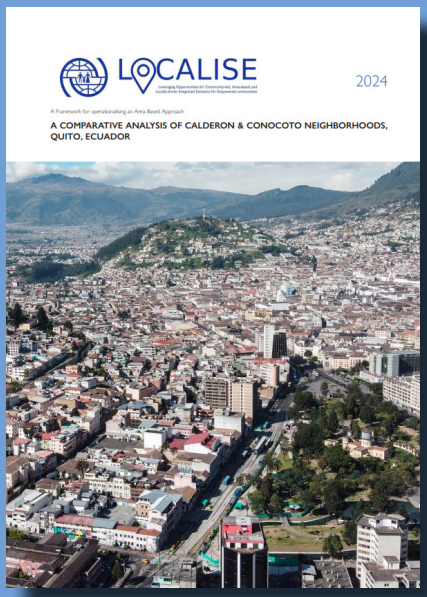
- **Historical and Demographic** Analysis: Population trends, displacement impacts, and key demographics.
- **Regulatory and Organisational Context**: Governance structures, legal frameworks, and policy reviews.
- **Economic Analysis:** Livelihoods, market dynamics, and economic vulnerabilities.
- Community Mapping and Assets: Social networks, local organisations, and infrastructure.
- **Territorial and Spatial Analysis:** Urban form, land use, service coverage, and environmental risks.

4. Key Findings and Recommendations

- Identification of key challenges and opportunities.
- Preliminary recommendations for addressing gaps and leveraging strengths.

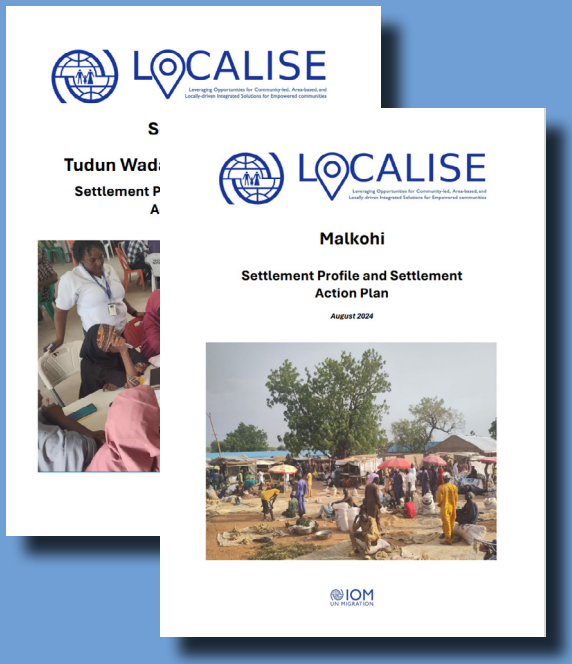
Output Format: Analytical report with maps (baseline, density, vulnerability), charts, and tables summarising data.

A Comparative Analysis of Calderon & Conocoto Neighborhoods, Quito, ***Ecuador***

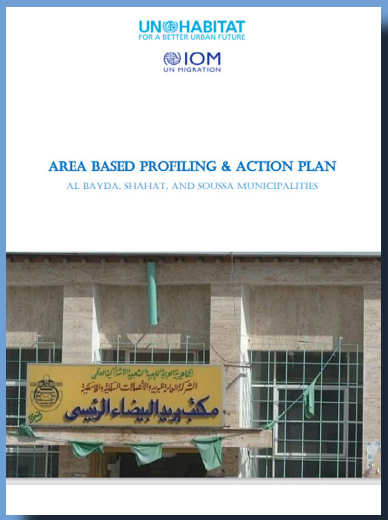


Territorial Profiles of Kaya and Fouli Departments, Lac, ***Chad***

Song town and the Tudun Wada-Dauchi-Loko axis Settlement Profiles, ***Nigeria,*** *Malkohi Settlement Profile and Action Plan,* ***Nigeria***



Area based profiling & Action plan Al Bayda, Shahat, and Soussa Municiaplities, ***Libya***



Behsud, District profile, ***Afghanistan***

Stage 3 |
Planning and Design

3.1 Drafting plans and basic design criteria

3.1.1. Basic Principles
3.1.2. Physical Planning and Design
3.1.3. Drafting Action Plans

3.2 Strategy Development

3.2.1. Visioning/ Setting Goals and Objectives
3.2.2. Project identification

3.3. Prioritisation Process

3.3.1. Project Appraisal (Technical Feasibility and development framework)
3.3.2. Consensus and Prioritisation (Community-Led)

3.4.Validation, Approval and Dissemination

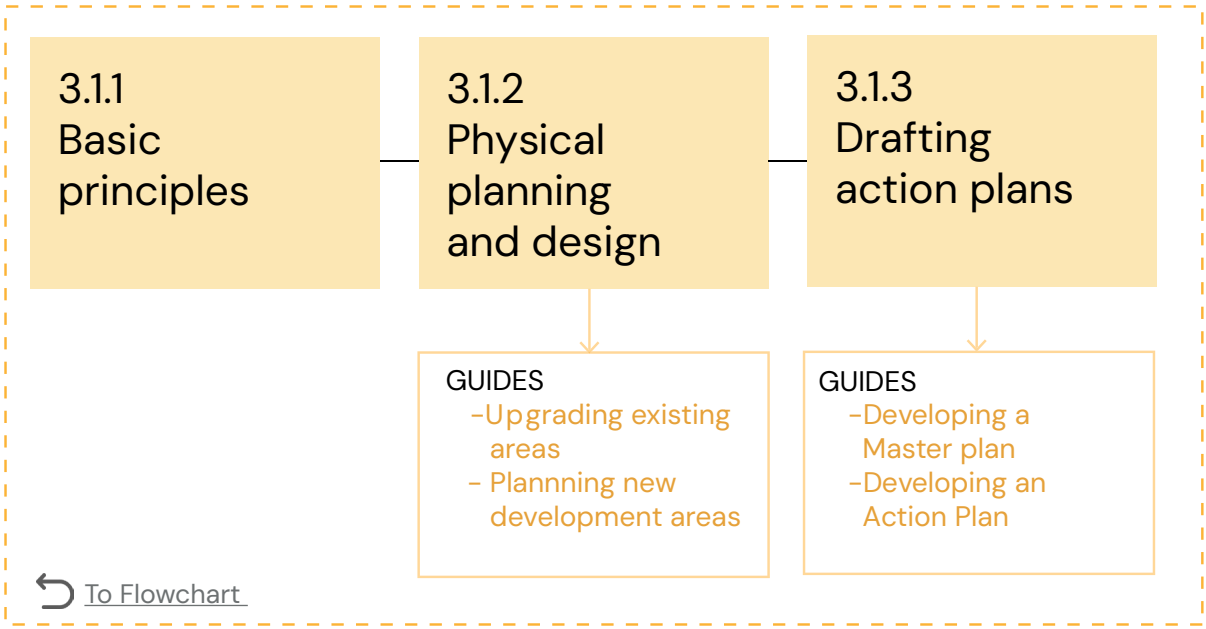
3.4.1. Validation & Approval
3.4.2. Launch and Dissemination
3.4.3. Feedback and Adaptation Mechanisms

STAGE 3 | OUTPUT
Strategic Settlement Action Plan

3.1 Drafting Plans and Basic Design Criteria

Guiding Questions:

- *What are the fundamental principles and design criteria that will guide the development or upgrading of the settlement?*



This section outlines a humanitarian-focused approach to urban planning, prioritising the reduction of spatial, social, and economic segregation to support inclusive, resilient, and dignified living conditions. The principles promote equitable access to services, sustainable livelihoods, and diverse housing solutions that address the needs of vulnerable populations. Strategies include maximising the use of existing infrastructure, integrating green and blue systems, and fostering food security through urban agriculture. By enhancing accessibility, walkability, and social cohesion, these criteria aim to create safe and inclusive spaces that uphold human rights, promote resilience, and respond to the complex needs of displaced and marginalised communities.

3.1 Drafting Plans and Basic Design Criteria

This section establishes foundational principles aimed at promoting sustainable development within/ human settlements.

These principles prioritise liveability, diversity inclusivity, and environment integrity, ensuring that development strategies foster cohesive communities, equitable access to services and resources, and integrated growth. Each principle is versatile and can be applied across various scales, from neighbourhoods to broader territorial networks

Key Resources:

- *UN-Habitat's Five Principles of Sustainable Neighbourhood Planning for additional guidance on sustainable urban development.*
- *My Neighbourhood; UN-Habitat*

Key Principles

1. Efficient Land Use and Optimal Density

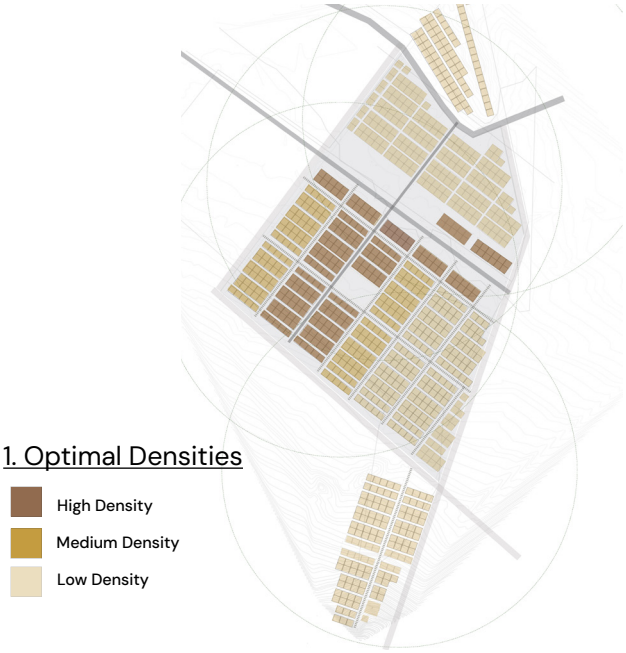
- This principle prioritises maximising the use of existing urbanised areas and infrastructures while mitigating the challenges of high density, such as overcrowding and strain on services. It promotes balanced and efficient urban growth to reduce spatial fragmentation and environmental degradation.

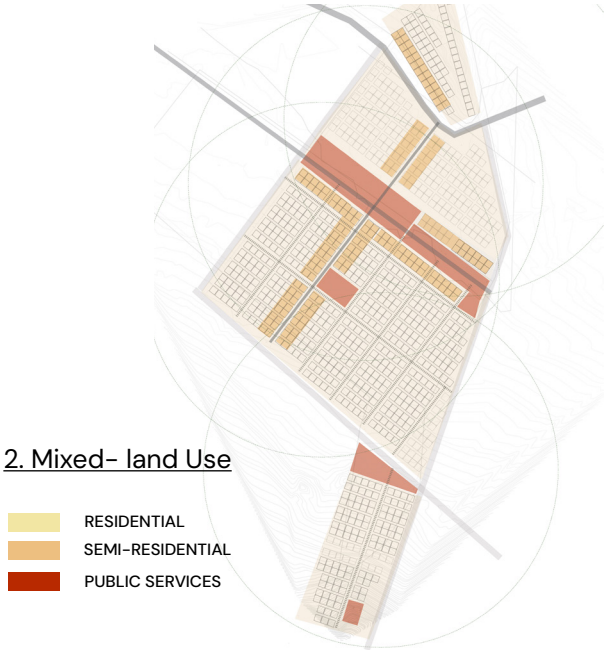
Main Benefits:

- Preserves natural lands and habitats, reducing biodiversity loss and environmental degradation.
- Minimises urban sprawl and lowers infrastructure and public service costs.
- Concentrates populations and services, fostering accessibility and reducing reliance on private vehicles.
- Enhances the quality of life by revitalising underused or neglected areas and creating walkable, connected neighbourhoods.

Key Recommendations:

- Prioritise upgrading and densifying existing urban areas before considering expansion into undeveloped spaces, ensuring efficient use of land and resources.
- Design new developments to integrate seamlessly with existing settlements, avoiding further dispersion and promoting cohesive urban forms.
- Promote balanced densities that ensure accessibility, social inclusivity, and environmental integrity, supporting both immediate recovery needs and long-term sustainability.
- Integrate key public services and facilities into planning to improve access for vulnerable populations and support inclusive recovery efforts.





2. Mixed-Land Use

This principle involves integrating different land uses – such as residential, commercial, recreational spaces and public services – within close proximity. The aim is to create multi-functional areas that enhance urban livability and sustainability while fostering social inclusivity and reducing the need for long commutes.

Main Benefits:

- Reduces traffic and pollution by minimising the distances between living, working, and leisure spaces.
- Prevents the creation of monofunctional areas and zoning-based segregation, ensuring diverse and inclusive (urban) environments.
- Enhances economic vitality by encouraging a diverse range of businesses and services, boosting local economies and creating more job opportunities within communities.
- Improves social interaction and community cohesion by bringing different activities, spaces, and a diversity of groups, closer together.
- Increases walkability and accessibility, making it easier for residents to access services and public transport.
- Creates vibrant neigbourhoods where residents have easy access to amenities, hobs and leisure spaces, fostering better quality of life and wellbeing.

Key Recommendations:

- Ensure that incompatible land uses (e.g., industrial sites and residential areas) are not placed in close proximity and establish buffers where necessary to separate these uses.
- Aim for a balance between public and private land uses, with approximately 30-40% of land dedicated to public spaces like parks and plazas, and 60-70% for private developments. This ratio should be adjusted based on the specific needs and characteristics of the urban area.
- Develop mixed-use areas around mobility hubs to reduce reliance on private vehicles and support efficient movement within the urban area.
- Integrate green spaces, parks, and recreational facilities within mixed-use developments, connecting them through green corridors that contribute to an attractive urban environment and support public health.
- Integrate urban agriculture within mixed-use developments to support food security, provide livelihood opportunities, and foster community engagement.
- Limit single-function blocks to less than 10% of any neighbourhood to promote diversity in land use

3. Public Spaces and Service Accessibility

This principle underscores the dual importance of accessible public spaces and essential services in fostering inclusive, sustainable, and resilient human settlements. Public spaces and services are designed not only as places for recreation and social interaction but also as critical hubs for delivering humanitarian assistance, supporting recovery, and strengthening community cohesion.

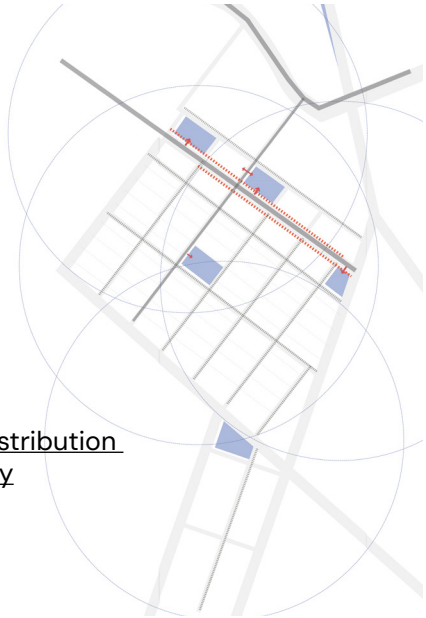
Main Benefits:

- Provides spaces for social interaction, cultural expression, and civic engagement, contributing to social stability and recovery.
- Enhances access to essential services, such as healthcare, education, and livelihoods, ensuring equity across diverse populations.
- Supports mental and physical well-being through green spaces that improve environmental quality and reduce urban heat islands.
- Strengthens resilience by integrating spaces for emergency preparedness and recovery efforts.
- Public spaces may also function as emergency hubs, hosting temporary shelters, service distribution centres, or community resilience activities during crises and recovery periods.

Key Recommendations:

- Design public spaces that are inclusive, multifunctional, and located near essential services to address both immediate and long-term community needs.
- Ensure all residents, particularly vulnerable groups, are within a five-minute walk (400 metres) of high-quality public spaces and services.
- Integrate public spaces with surrounding land uses to enhance safety, accessibility, and adaptability for diverse community activities and humanitarian needs.
- Provide scalable and adaptable public service facilities that can accommodate evolving demands during recovery and development phases.
- Create connected networks of green and open spaces, integrating ecological functions with community resilience and well-being.

3. Public Spaces & Green Corridor



3b. Service distribution & Accessibility

4. Proximity, Walkability, and Accessibility

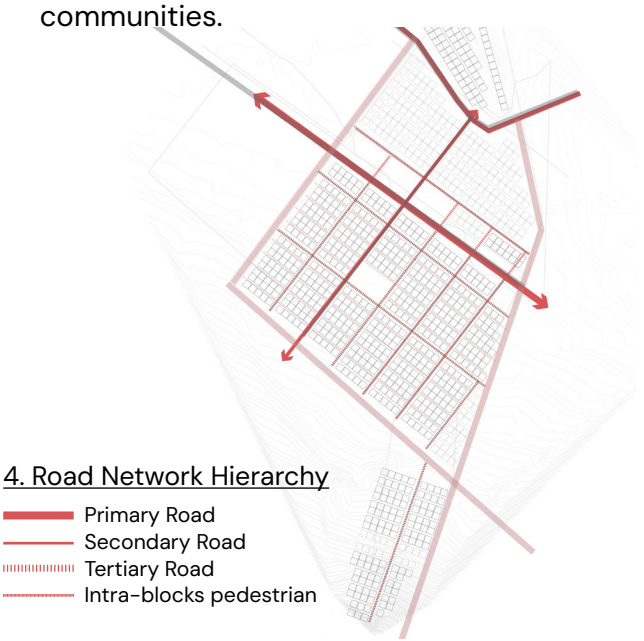
This principle emphasises creating inclusive, walkable, and accessible urban environments supported by diverse and sustainable mobility systems. Prioritising public transport, cycling, and pedestrian pathways ensures equitable access to services, markets, and livelihoods, particularly for vulnerable populations, displaced communities, and those recovering from crises.

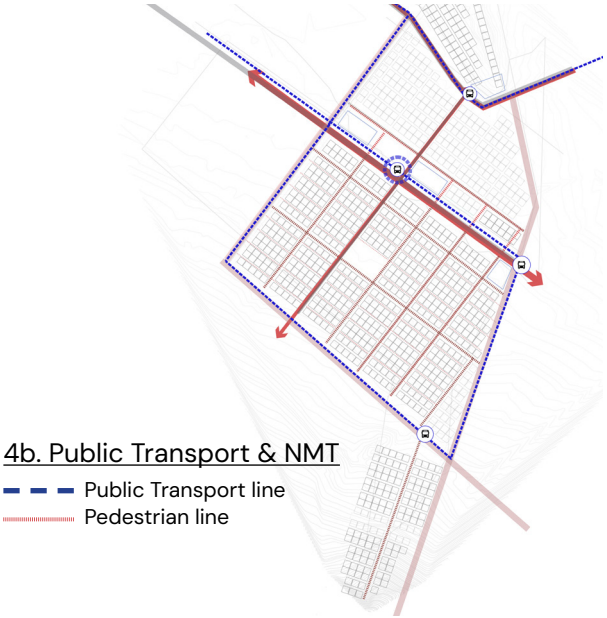
Main Benefits:

- Enhances mobility for vulnerable groups, including women, children, elderly persons, and individuals with disabilities.
- Reduces reliance on private vehicles, lowering costs, emissions, and congestion in urban areas.
- Improves access to essential services, markets, and recovery resources for marginalised and displaced populations.
- Promotes physical activity, social cohesion, and engagement with community life through safe and connected public spaces.
- Supports recovery by ensuring efficient movement of people, goods, and services within settlements.

Key Recommendations:

- Develop interconnected and safe pedestrian and cycling networks that prioritise accessibility for diverse users, including those with disabilities.
- Enhance public transport systems to connect displaced populations, informal settlements, and urban centres, improving access to essential services and livelihoods.
- Create walkable urban areas with well-designed streetscapes, integrating features like lighting, signage, and resting spaces to enhance safety and usability.
- Remove obstacles to mobility by ensuring streets, pathways, and public spaces are universally accessible, supporting continuous and inclusive movement.
- Invest in sustainable transport options, such as public buses and shared mobility systems, to reduce environmental impacts and improve urban connectivity.
- Design transportation nodes and networks to align with daily patterns of work, education, and household activities, ensuring they cater to the needs of vulnerable and recovering communities.





5. Climate-Responsive and Ecological Infrastructure

- This principle integrates blue and green infrastructure with climate-responsive urban design to enhance resilience, reduce disaster risks, and support recovery efforts in vulnerable and fragile contexts. By blending ecological and adaptive solutions, it creates safe, sustainable, and inclusive environments that address immediate humanitarian needs and long-term urban resilience.

Main Benefits:

- Mitigates climate-related risks, such as flooding, droughts, and urban heat islands, protecting vulnerable populations and settlements.
- Provides safe and accessible public spaces that support recovery, social interaction, and community well-being.
- Strengthens biodiversity and ecological networks, promoting environmental sustainability in urban areas.
- Enhances resilience by integrating adaptive designs that withstand future climate impacts and disasters.
- Reduces the environmental footprint of urban recovery through sustainable energy use and ecological restoration.

Key Recommendations:

- Prioritise the integration of green and blue infrastructure to mitigate disaster risks and improve ecological connectivity in recovery and urban development contexts.
- Design public spaces and buildings to be climate-adaptive, incorporating nature-based solutions such as rain gardens, green roofs, and permeable pavements.
- Enhance urban resilience by protecting ecological areas, integrating urban agriculture into green and blue infrastructure to improve food security, biodiversity, and climate adaptation.
- Design urban farms and gardens as multifunctional spaces that provide fresh food, support local livelihoods, and integrate with flood mitigation and water management systems.
- Use renewable energy sources and sustainable materials in recovery efforts to minimise environmental impacts.
- Strategically locate green and blue infrastructure to serve both ecological functions and community needs, creating spaces that foster safety, inclusivity, and recovery.
- Ensure that infrastructure and urban design plans account for future climate risks and incorporate flexible, scalable solutions to adapt to changing conditions.

6. Market based and Affordable Housing Solutions

This principle promotes social diversity and inclusivity by ensuring a variety of affordable housing options that meet different needs and income levels. Secure land tenure is central to fostering stability, reducing economic segregation, and supporting sustainable recovery for vulnerable and displaced populations.

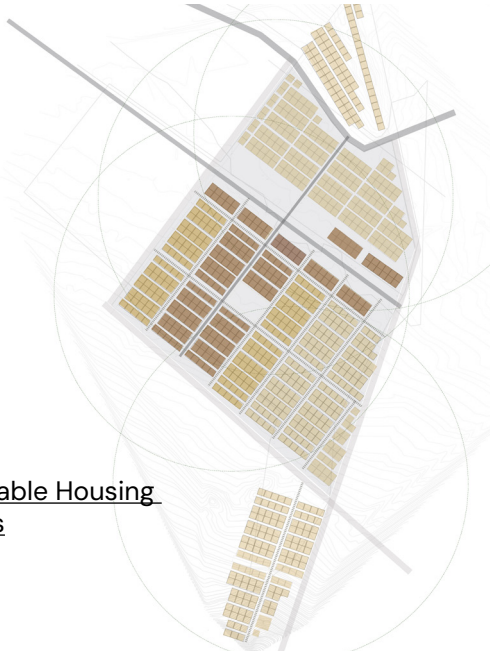
Main Benefits:

- Supports recovery by providing stable housing and secure land tenure for affected populations.
- Promotes social diversity and inclusivity, reducing segregation.
- Enhances access to equitable opportunities and services.
- Builds community resilience by offering tenure security, reducing eviction risks, and supporting investment in housing improvements.

Key Recommendations:

- Implement mixed-tenure models within housing developments to create diverse, inclusive communities.
- Design inclusive communal spaces that encourage interaction and mutual understanding among residents.
- Strengthen tenure security through formalised land documentation and policies that support displaced populations and vulnerable groups.
- Invest in upgrading public housing standards to improve living conditions and ensure safe accommodations for all.
- Collaborate with private developers to expand the supply of public housing and enhance the diversity and quality of housing options.
- Prioritise upgrading informal settlements, incorporating tenure regularisation programmes to improve living conditions and provide secure, legally recognised tenure.
- Ensure housing developments and upgrades integrate shared agricultural or livelihood spaces, fostering self-reliance and community engagement.

5. Climate Responsive
Incorporation of efficient drainage system & nature based solutions



6. Affordable Housing Solutions

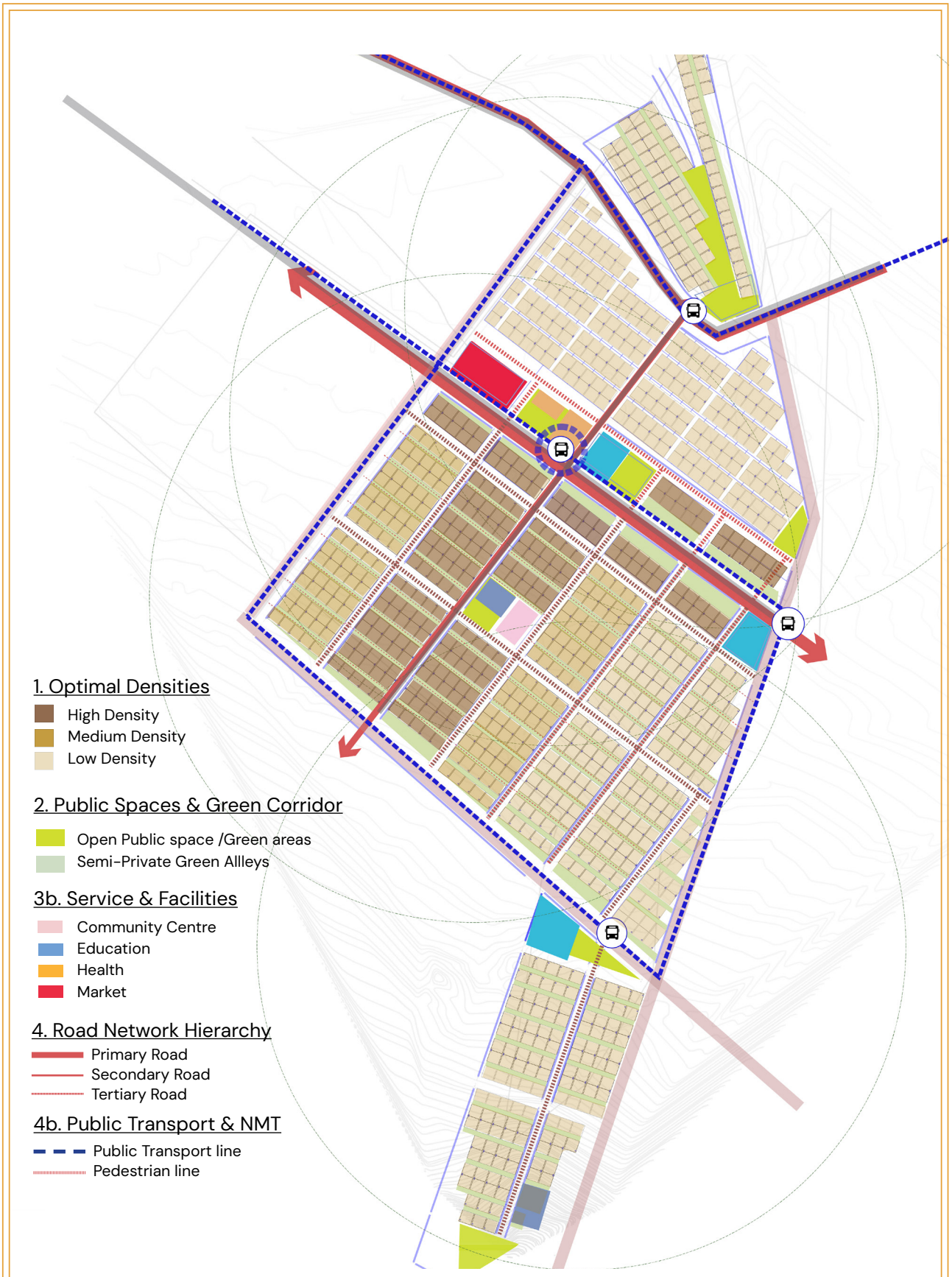


Fig. 23: *Settlement Spatial plan incorporating all basic principles of planning*

3.1 Drafting Plans and Basic Design Criteria

In urban development, ***key planning interventions can be categorised into two fundamental types: upgrading existing areas and planning new development areas.*** Upgrading existing areas focuses on revitalising and enhancing physical infrastructure, services, and living conditions within established communities. This may include upgrading informal settlements, enhancing public spaces, and improving transportation and utility systems. On the other hand, planning new development areas involves the comprehensive design and construction of new communities or districts, requiring meticulous planning to ensure sustainable growth and efficient land use, such as planning a city extension. This section aims to equip Shelter and Settlement practitioners with diverse perspectives and essential concepts for effective urban planning and design, offering general guidance, foundational knowledge, and practical orientations. It is important to note that these orientations are inherently general, providing a broad framework. Each planning intervention must consider specific variables and the unique context to ensure that it is tailored to the particular circumstances and needs of the area.

3.1 Drafting Plans and Basic Design Criteria

Upgrading existing areas is essential for improving the quality of life in established communities while preserving their cultural and social fabric. This section outlines the principles, interventions, and considerations necessary for effective urban upgrading.

Principles of Upgrading Existing Areas

1. Minimise Displacement:

Objective: Protect the rights of residents and enhance their living conditions by prioritizing in-situ upgrading.

Approach: Keep the settlement in its existing location whenever possible. Displacement should only be considered if the area is extremely vulnerable (e.g., prone to flooding, lacking access to water, or exposed to environmental hazards). Any necessary relocation should offer alternative plots nearby that improve living conditions and are acceptable to the community.

2. Community Participation:

Objective: Ensure the upgrading process reflects the needs and aspirations of the community.

Approach: Engage the community fully in the planning and implementation phases. This involvement guarantees that the proposals are both relevant and affordable for the residents.

3. Incremental Delivery of Infrastructure and Services:

Objective: Improve the physical conditions of the area through phased interventions.

Approach: Deliver infrastructure and services incrementally to allow flexibility and adaptability in meeting the evolving needs of the community.

Interventions for Upgrading

1. Optimising and Redeveloping Underused Land:

- Action: Identify and repurpose underused or vacant spaces within the existing urban structure. For instance, eliminate excess roads and convert them into open spaces, playgrounds, footpaths, or plots for development.
- Action: Redraw the boundaries of large, underused plots to create new blocks of land within the urban fabric, reducing the need for expansion into undeveloped areas.

2. Addressing Congested Areas:

- Action: Improve areas where various activities coexist (e.g., markets, transportation hubs) by reorganising space to reduce conflicts and enhance functionality.

3. **Revitalising Inefficient or Abandoned Zones:**

- Action: Focus on areas that are underutilised or abandoned, such as informal settlements or former military zones, and redevelop them into productive urban spaces.

4. **Rehabilitating War-Damaged or Neglected Areas:**

Action: Prioritise the redevelopment of areas that have been negatively impacted by conflict, natural disasters, or neglect, transforming them into safe, vibrant environments.

5. **Upgrading Poorly Serviced Neighbourhoods:**

- Action: Implement targeted improvements in neighbourhoods lacking essential services, such as water supply, sanitation, and roads, to create a better-serviced and more livable environment.

Road Network Improvement

1. **Establishing a Road Hierarchy:**

- Action: Identify major and secondary roads within the site and categorise them based on their importance for connectivity and accessibility.

2. **Assessing Road Conditions:**

- Action: Evaluate the current condition of roads, identifying issues such as blockages, over-crowding, or unsafe conditions, and plan interventions to improve their functionality.

3. **Enhancing Pedestrian and Vehicle Movement:**

- Action: Distinguish between pedestrian and vehicular roads and design improvements that ensure safe and efficient movement for all users.

Housing and Public Services Improvement

1. **Enhancing Socio-Cultural Services:**

- Action: Improve the quality and accessibility of social and cultural services, ensuring they meet the needs of the community.

2. **Implementing Traffic Moderation Techniques:**

- Action: Use traffic calming measures, urban greening, and sustainable drainage systems to create safer, pedestrian-friendly environments.

3. **Designing Climate-Responsive Public Spaces:**

- Action: Integrate climate adaptation features into public spaces, ensuring they are resilient to climate change and provide comfort and safety to users.

4. **Promoting Sustainable Resource Use:**

- Action: Implement systems that reduce water and energy consumption, manage wastewater effectively, and promote the use of renewable resources in housing and public services.

Heritage and Environmental Considerations

1. **Promoting Heritage Reuse:**

- Action: Encourage the reuse of historical sites for public enjoyment, integrating them into the urban fabric and enhancing their cultural value.

2. **Safeguarding Peri-Urban Agriculture:**

- Action: Protect and promote peri-urban agricultural areas, ensuring they contribute to the sustainability of the settlement and provide food security.

3. **Creating Green Ventilation Corridors:**

- Action: Establish corridors that enhance air circulation and connect urban areas with surrounding agricultural zones, promoting environmental health.

4. **Enhancing Ecosystem Connectivity:**

- Action: Develop ecological corridors that link urban areas with natural landscapes, improving biodiversity and resilience.

5. **Increasing Urban Greenery:**

- Action: Expand the presence of trees, shrubs, and urban forests to mitigate pollution, improve air quality, and enhance the overall livability of the settlement.

Monitoring and Adjusting the Urban Upgrading Plan

1. **Documentation and Communication:**

- Action: Compile all data, community feedback, and technical analysis into a comprehensive plan, including maps, diagrams, and visual aids. Communicate the plan to stakeholders to ensure alignment and support.

2. **Monitoring Progress:**

- Action: Establish mechanisms for ongoing monitoring of the upgrading interventions, allowing for adjustments based on feedback and evolving community needs.

3. **Continuous Engagement:**

- Action: Maintain engagement with the community and other stakeholders throughout the implementation process, ensuring that the upgrades remain relevant and effective.

Upgrading existing areas requires a careful balance of protecting residents' rights, enhancing infrastructure, and preserving the cultural and environmental assets of the settlement. By following these detailed steps, practitioners can design and implement effective upgrading strategies that are **inclusive, sustainable, and responsive** to the needs of the community.

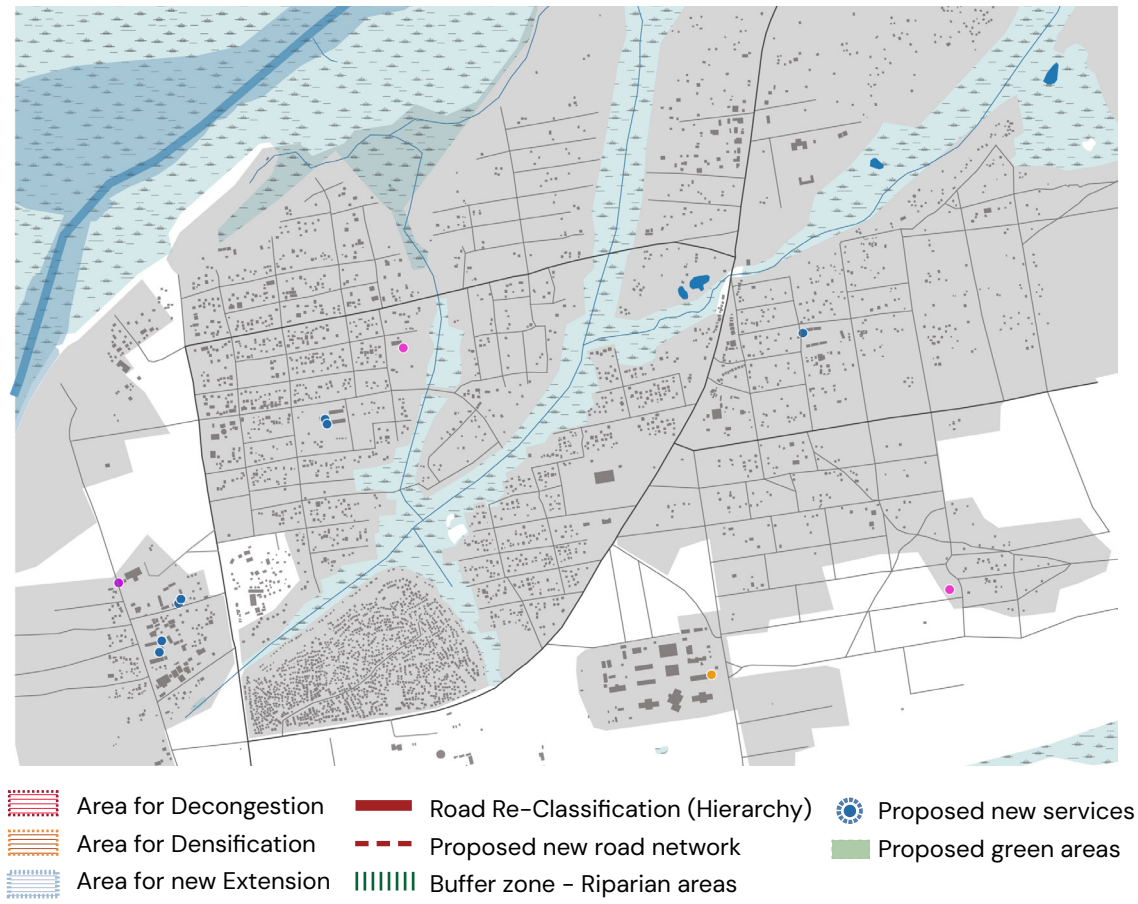


Fig. 24: *Upgrading of existing area, settlement plan*

3.1 Drafting Plans and Basic Design Criteria

The planning of new development areas is a crucial task that should ideally align with a comprehensive master plan for the city or town. This approach ensures that urban expansion is cohesive, integrated, and sustainable. However, in situations where a master plan is unavailable or inadequate, selecting expansion areas requires careful consideration of several fundamental criteria to ensure that the new developments are suitable, sustainable, and accessible. This section provides detailed guidance on the principles, criteria, and technical recommendations for planning new development areas.

The development of new areas should only proceed after a thorough evaluation has confirmed that no other locations within the existing settlement are available or suitable for the intended purpose. This prioritisation ensures the optimal utilisation of already developed land and infrastructure, thereby minimising unnecessary expansion and associated costs. The following guidelines serve as a framework for making informed decisions when planning new development areas.

Principles of Planning New Development Areas

Integration with Existing Territorial and Urban Structure

Objective: Ensure that the new development area is contiguous or in close proximity to existing urban fabric.

Approach: This proximity facilitates the easy extension of infrastructure networks, such as roads, electricity, water supply, and sewage systems, and ensures that essential services like schools, health clinics, and markets are within accessible distances. This reduces travel time and increases convenience for residents.

Environmental Considerations

Objective: Protect valuable lands and avoid areas prone to environmental risks.

Approach: New developments should avoid encroaching on agricultural or pastureland, established woodlands, significant watercourses, and areas of ecological or cultural significance. The land should also be free from foreseeable hazards like landslides, severe floods, or contamination by pollutants.

Legal Status and Land Ownership:

Objective: Prevent conflicts and ensure clear land ownership.

Approach: Select land free from contentious issues with current occupiers through thorough consultations with landowners, land users, and land administrators (both statutory and customary). The tenure arrangements of the land must be clarified before planning, with official confirmation from local authorities.

Water Accessibility and Provision

Objective: Meet the water needs of the population according to minimum standards.

Approach: The land must have access to sufficient potable water, adhering to the Minimum Sphere Standard of 15 litres per person per day, with additional considerations for livestock. The accessibility of water should take into account the depth of the water table and soil conditions.

Land Stability and Suitability for Construction

Objective: Ensure the land is safe and stable for construction.

Approach: The land should have a slope of less than 15% to minimise erosion risks and ensure construction stability. The soil should have adequate bearing capacity and stability to support buildings and infrastructure.

Access to Livelihood Opportunities and Proximity to Employment

Objective: Facilitate access to employment and income-generating activities.

Approach: The distance to livelihood opportunities should not exceed 10 km, or the average travel time should be under 45 minutes. The site should offer sufficient transport options to facilitate access to economic activities.

Compliance with National Legislation, Policies, and Plans

Objective: Ensure that all development activities align with existing legal frameworks and planning priorities.

Approach: Confirm that the proposed development adheres to national and local legislation, policies, and plans. Engage relevant authorities for validation, ensuring compliance with zoning regulations, environmental laws, and urban development strategies. Integrate feedback from policymakers to align with broader territorial and socio-economic goals.

Compliance with National Legislation, Policies, and Plans

Objective: Ensure that all development activities align with existing legal frameworks and planning priorities.

Approach: Confirm that the proposed development adheres to national and local legislation, policies, and plans. Engage relevant authorities for validation, ensuring compliance with zoning regulations, environmental laws, and urban development strategies. Integrate feedback from policymakers to align with broader territorial and socio-economic goals.

Designing a Good Layout for New Development Areas

A well-planned layout for new development areas fosters cohesive, functional, and sustainable communities. It enhances connectivity, optimises land use, and ensures environmental sustainability, significantly improving residents' quality of life. The following technical recommendations and criteria are essential for achieving these objectives.

Integration with Existing Settlement

1. Seamless Urban Integration:

Objective: Integrate the new area with existing urban structures.

Approach: Identify and categorise existing roads based on their function, condition, and importance to enhance connectivity and strengthen the overall urban fabric.

2. Aligning with Urban Growth Patterns:

Objective: Complement existing urban expansion.

Approach: Ensure that new developments align with context-specific urban growth patterns, integrating historical and cultural landmarks to preserve the area's identity.

Street Grid and Road Layout

1. Establishing a Clear Road Hierarchy:

Objective: Ensure efficient and safe movement within the area.

Approach: Design a clear hierarchy of roads, from major arterial roads to local streets, to facilitate efficient traffic flow, ease of movement, and accessibility.

2. Ensuring Connectivity and Accessibility:

Objective: Create a connected and accessible street network.

Approach: Major roads should be wide enough to handle expected traffic volumes and connect the new development to existing urban areas. Secondary roads should provide access to different parts of the development, while local streets should serve residential areas with limited traffic flow.

3. Promoting Walkability and Safety:

Objective: Enhance the livability and safety of the community.

Approach: Design an interconnected street network that promotes walkability and cycling, with well-lit, secure streets that encourage active transportation and community engagement.

Topography and Environmental Conditions

1. Respecting Natural Topography:

Objective: Align development with the natural landscape.

Approach: Avoid steep and rocky areas that are unsuitable or costly for development, preserving erosion-prone zones as green spaces for parks, leisure areas, and ecological reserves. Utilise natural features such as rivers, green areas, and wetlands as boundaries for development, integrating them into the urban fabric to enhance environmental sustainability and quality of life.

2. Optimising Environmental Integration:

Objective: Incorporate environmental features into the urban design.

Approach: Design the layout to consider solar and wind orientation for energy efficiency, strategic channelling of watercourses, and positioning installations to withstand flooding in low-lying areas. Integrate landscape and key environmental features as spatial components, such as using watershed corridors as natural drainage channels.

3. Integrating Green Networks:

Objective: Enhance urban resilience and ecological balance.

Approach: Integrate the landscape as part of the urban system, creating green corridors that serve as alternative transit routes and risk prevention areas for floods.

Livelihood Strategy

1. Incorporating Agriculture:

Objective: Support food security and economic activity.

Approach: Integrate an agricultural strategy within the urban structure to provide food security and potential income for residents.

Definition of Public and Private Sphere

1. Balanced Space Allocation:

Objective: Ensure a balanced distribution of land use.

Approach: Allocate 50% of the space for residential purposes, 30% for streets, and 20% for public spaces and services. Public spaces should include parks, playgrounds, and community centres, accessible to all residents. Private spaces should offer privacy and comfort, clearly delineated from public areas.

Urban Drainage

1. Effective Water Management:

Objective: Address runoff and unconsumed water issues.

Approach: Incorporate both natural watercourses and built drains into the urban drainage system to prevent deterioration of road surfaces and impacts on housing plots.

Land Use Planning

1. Promoting Appropriate Density:

Objective: Maximise land efficiency and prevent sprawl.

Approach: Define a mixed land use distribution scheme that supports easy access to public services and trading opportunities, promoting diverse communities and vibrant street life.

2. Zoning Categories:

Objective: Ensure a balanced urban structure.

Approach: Identify and designate areas for residential, commercial, industrial, open spaces, and public services/utilities to create a functional and well-organised urban area.

Services and Public Facilities

1. Ensuring Equitable Distribution, Accessibility and Safety:

Objective: Provide essential services within accessible and safe locations.

Approach: Locate schools, hospitals, public buildings, and utilities near major roads, ensuring they are fully accessible and can serve as refuges in case of natural disasters.

2. Creating Inclusive Public Spaces:

Objective: Enhance community cohesion and livability.

Approach: Design public spaces that cater to various activities and user groups, ensuring accessibility and safety. These spaces should be integrated with public facilities to support community life.

Block and Plot Design

1. **Optimising Residential Blocks:**

Objective: Promote walkability and connectivity within neighbourhoods.

Approach: Design residential blocks following a walkable grid structure, with plots laid out considering the road hierarchy and proximity to public facilities. Plots should allow for potential densification in the future.

2. **Efficient Plot Layout:**

Objective: Minimise costs and maximise utility.

Approach: Plan layouts to allow the shortest length of network to serve the largest number of plots, reducing infrastructure costs. Plot grouping and division should be regulated after the initial development phase.

Planning for Future Needs

1. **Modular Planning Approach:**

Objective: Ensure adaptability and future growth.

Approach: Adopt a modular planning approach that allows for phased development, ensuring the neighbourhood can evolve as population and demands change.

Bibliographical References

- *UN-Habitat (2012) Planning Urban Settlements in South Sudan*
- *UN-Habitat (2010) Urban Planning Manual for Somaliland*
- *UN-Habitat (2016) Guidelines for Urban Planning (Prepared for the Republic of the Union of Myanmar)*
- *UN-Habitat (2014) A New Strategy of Sustainable Neighbourhood Planning: Five Principles - Urban Planning*

Fig. 25: *Extension of new development area, spatial plan*

3.1 Drafting Plans and Basic Design Criteria

This section focuses on creating actionable plans that address the immediate, medium-term, and longer-term recovery and development needs of settlements affected by crises. Unlike city-wide urban planning, which falls under the responsibility of municipal or regional authorities, this approach is specifically tailored to the settlement scale. It prioritises the unique challenges and opportunities within humanitarian contexts, ensuring that interventions are relevant, feasible, and aligned with the evolving needs of affected populations. By doing so, this process lays the groundwork for sustainable recovery and long-term resilience.

The purpose of drafting master and action plans is multifaceted. First, it seeks to address the immediate humanitarian needs of settlements through targeted and context-specific interventions that respond to the most urgent priorities. Second, it aims to bridge the gap between short-term recovery efforts and longer-term development goals by integrating principles of sustainability, resilience, and inclusivity. These plans are designed to be participatory and community-focused, incorporating the input of affected populations while also drawing on technical expertise and aligning with broader strategic frameworks. Finally, the process establishes a foundation for incremental development, enabling settlements to adapt and thrive over time as conditions evolve.

3.1 Drafting Plans and Basic Design Criteria

Purpose

To create a comprehensive and strategic master plan that outlines the spatial, social, and economic framework for the sustainable development of a settlement. This tool ensures that the master plan integrates data-driven analysis, community inputs, and strategic priorities identified in the earlier stages of the planning process.

Step 1: Review Analysis and Strategic Vision

Actions:

1. **Synthesize Findings:**

- Review the multi-sectoral analysis conducted in previous sections, such as Geo-location and Regional Context, Urban Form and Land Use, Ecosystem and Natural Mapping, and Basic Service Infrastructure and Public Facilities.
- Summarise key challenges, opportunities, and constraints identified across sectors.

2. **Align with Strategic Vision:**

- Revisit the Strategic Diagnosis and the Community Visioning Outcomes. Ensure that the master plan aligns with the broader strategic goals, such as sustainability, inclusivity, and resilience.

Outputs:

- Summary of key analysis findings.
- Alignment checklist with strategic vision and community priorities.

Step 2: Define Spatial Framework

Actions:

1. **Establish Land Use Strategy:**

- Define and map land use zones, ensuring a balanced mix of residential, commercial, industrial, and recreational areas. Refer back to the Urban Form and Land Use analysis for guidance.
- Incorporate mixed-use zones to promote vibrant, multi-functional neighbourhoods.

2. **Integrate Infrastructure Networks:**

- Plan the expansion or upgrading of infrastructure networks, including roads, water supply, sanitation, electricity, and telecommunications, as identified in the Basic Service Infrastructure section.
- Ensure connectivity within the settlement and with surrounding regions, as outlined in the Geo-location and Regional Context analysis.

3. **Environmental and Risk Considerations:**

- Integrate Ecosystem and Natural Mapping insights to protect environmentally sensitive areas, such as wetlands and floodplains.
- Design green and blue infrastructure to enhance resilience against climate change impacts and environmental hazards.

Outputs:

- Draft land use zoning map.
- Infrastructure integration plan.
- Environmental and risk mitigation strategy.

Step 3: Design Public Spaces and Services

Actions:

1. **Public Space Planning:**

- Design public spaces that are accessible, safe, and well-distributed throughout the settlement. Ensure these spaces cater to diverse community needs, as highlighted in the Basic Service Infrastructure and Public Facilities analysis.
- Include green spaces, parks, community centres, and recreational areas.

2. **Service Provision:**

- Plan for the distribution of essential services such as schools, healthcare facilities, and markets. Ensure these are strategically located to serve all community members, with particular attention to vulnerable groups.

3. **Transport and Mobility:**

- Develop a transport network that prioritizes sustainable mobility options, such as public transport, cycling, and walking. Refer to the Proximity, Walkability, and Accessibility principles.

Outputs:

- Public spaces and services map.
- Transport and mobility plan.

Step 4: Draft and Refine the Master Plan

Actions:

1. **Create the Draft Master Plan:**

- Compile all elements into a comprehensive draft master plan. Include detailed maps, zoning regulations, infrastructure plans, and design guidelines.

2. **Stakeholder Review:**

- Present the draft master plan to key stakeholders, including local authorities, community representatives, and technical experts. Gather feedback and make necessary revisions.

3. **Final Validation:**

- Finalise the master plan, ensuring it reflects stakeholder inputs and aligns with strategic goals.

Outputs:

- Draft master plan document.
- Revised and validated master plan.

Step 5: Documentation and Dissemination

Actions:

1. **Prepare Final Documentation:**

- Compile the final master plan, including all maps, diagrams, and supporting documents.

2. **Disseminate the Master Plan:**

- Share the final master plan with stakeholders, community members, and relevant authorities. Ensure it is accessible and well-communicated.

Outputs:

- Final master plan document.
- Dissemination strategy.

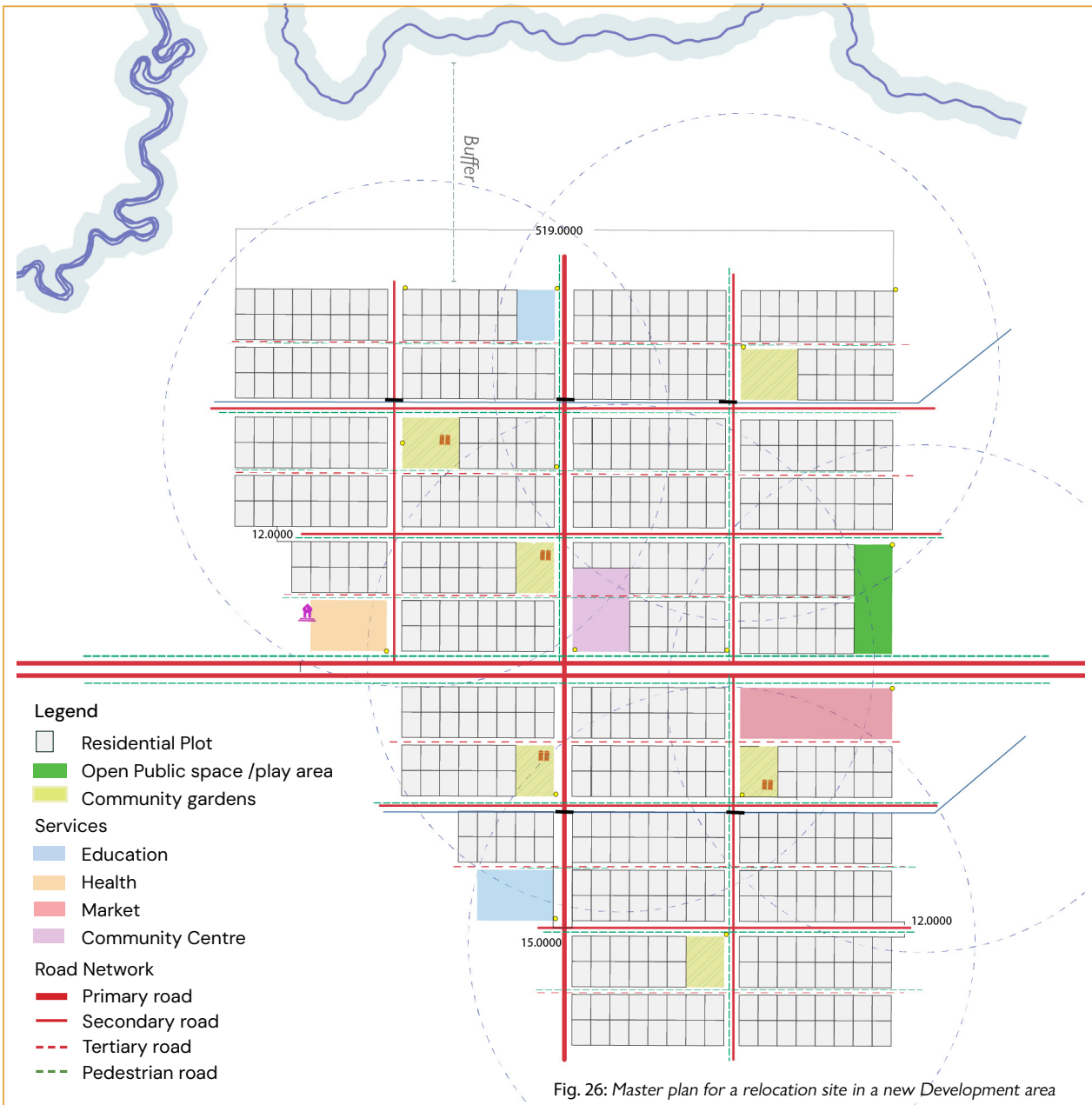


Fig. 26: *Master plan for a relocation site in a new Development area*

3.1 Drafting Plans and Basic Design Criteria

Purpose

To create a detailed action plan that outlines specific steps, timelines, and responsibilities for implementing the master plan. This tool ensures that the action plan is strategic, feasible, and aligned with the priorities identified in the master planning process.

Step 1: Prioritise Actions

Actions:

1. **Review the Master Plan:**

- Revisit the master plan to identify priority areas for action. Focus on high-impact projects that address immediate needs and align with strategic goals.

2. **Set Prioritization Criteria:**

- Establish criteria for prioritising actions, such as urgency, resource availability, community impact, and alignment with strategic goals.

3. **Create a Prioritised Action List:**

- Develop a list of prioritised actions based on the criteria. Categorize them into short-term, medium-term, and long-term actions.

Outputs:

- Prioritised action list.

Step 2: Breakdown of Tasks and Responsibilities

Actions:

1. **Task Breakdown:**

- For each prioritised action, break down the work into specific tasks. Detail the steps required to complete each task.

2. **Assign Responsibilities:**

- Assign tasks to specific stakeholders, including local authorities, community groups, NGOs, and private sector partners. Ensure clear communication of roles and responsibilities.

3. **Resource Allocation:**

- Identify the resources (financial, human, material) required for each task. Develop a budget that aligns with the overall project timeline.

Outputs:

- Detailed task breakdown.
- Responsibility assignment matrix.
- Budget and resource plan.

Step 3: Develop a Timeline and Milestones:

Actions:

1. **Create a Timeline:**

- Develop a project timeline, mapping out when each task will be initiated and completed. Include key milestones for monitoring progress.

2. **Establish Milestones:**

- Define specific milestones for each phase of the project. These should be measurable and aligned with the project goals.

3. **Contingency Planning:**

- Plan for potential delays or challenges. Develop contingency measures to ensure the project stays on track.

Outputs:

- Project timeline with milestones.
- Contingency plan.

Step 4: Monitoring and Evaluation Framework

Actions:

1. **Define KPIs:**

- Establish Key Performance Indicators (KPIs) for each action. These should be specific, measurable, and aligned with the project objectives.

2. **Develop Monitoring Tools:**

- Create tools for tracking progress, such as progress reports, dashboards, and regular meetings with stakeholders.

3. **Evaluation Plan:**

- Develop a plan for evaluating the impact of the action plan. This should include periodic reviews, feedback mechanisms, and impact assessments.

DTM methodologies allow for longitudinal data collection - revisit MSNA & CBNA's from section 2.1.1 to provide baseline and current data to measure change.

Outputs:

- Monitoring and evaluation framework.
- Progress tracking tools.

Step 5: Stakeholder Engagement and Feedback

Actions:

1. **Present the Draft Action Plan:**

- Share the draft action plan with stakeholders for review. Facilitate discussions to gather feedback and ensure alignment with stakeholder expectations.

2. **Refine the Action Plan:**

- Revise the action plan based on stakeholder input. Ensure it reflects the needs and priorities of all involved parties.

3. **Final Validation:**

- Obtain final approval from key stakeholders to ensure buy-in and commitment to the plan.

Outputs:

- Revised and validated action plan.
- Stakeholder feedback report.

Step 6: Documentation and Implementation

Actions:

1. **Prepare Final Documentation:**

- Compile the final action plan, including all detailed tasks, timelines, and responsibilities.

2. **Launch and Communication:**

- Officially launch the action plan, communicating it to all stakeholders through various channels, such as public meetings, reports, and media.

Thematic Area	Current Issue	Short-Term Actions		Mid-Term Actions		Long-Term Actions	
		Action	Responsible	Action	Possible Responsible	Action	Possible Responsible
Security	There is an increase in the rate of insecurity and violence in public spaces such as parks and bus stops, as well as in nearby streets	Coordination between the population to make community alarms with the police and raise awareness of security issues	GAD Parroquial, Patronato San José	Implementation of security elements such as cameras and increased lighting in specific spaces	UPC, GAD Parroquial	Implementation of monitoring centers in partnership with the national police	UPC, GAD Parroquial
Health	Limited access to health care, care centers are not able to care for the majority of the population	Articulation with primary or mobile health care programs	Gad Parroquial, Patronato San José	Mobile Health Services Space	IOM, Secretaria de Salud	Construction of a central hospital for Conocoto	GAD Parroquial
Children and Teens	There are not enough safe spaces for children or for them to engage in after-school activities	Creating a safe space for children inside the community dining	IOM, Patronado San José	Creating a safe space for children in public spaces	Patronato San José	Creating a network of spaces and services for children	Patronato San José
GBV	There is a high rate of gender-based violence both within the family and in public spaces.	Raising awareness on the issue of gender-based violence and empowering women.	IOM, Patronado San José	Development and creation of an interagency plan to address the issue of violence and create safe spaces and support	IOM/ Patronado San José	Establish safe spaces in the community in order to prevent violence, with a secure environment for recovery and support.	IOM/ Patronado San José
Public Infrastructure	Several streets and spaces are in poor condition or have a lot of accumulation of waste.	Improvement of spaces through community organization and awareness of their care	GAD Parroquial	Municipal management with spaces that require improvement	GAD Parroquial	Comprehensive waste management in company with a recycling center	GAD Parroquial
Senior Citizens	Reduced accessibility, lack of inclusive spaces	Improvement of spaces through community organization	Patronato San José	Articulation of social programs focused on the elderly	Gad Parroquial, Patronato San José	Implement systems to regularly assess the effectiveness of age-friendly initiatives.	Gad Parroquial, Patronato San José
Comerce	Presence of informal and unregulated trade	Develop spaces where orderly commerce can take place, such as entrepreneurship fairs and cultural spaces.	IOM, Patronado San José	Promotes new capacities for insertion in trade and formal economic activities	Gad Parroquial, Patronato San José	Creating an accessible market for small traders	GAD Parroquial
Social	The community has expressed significant concerns about the economic vulnerability and substance abuse challenges faced by individuals living on the streets.	Development of training and workshops for economic and social reintegration	GAD Parroquial, Patronato San José	Insertion of individuals into economic activities	Gad Parroquial, Patronato San José	Advocate for improved social services and safety nets that prevent individuals from falling into economic vulnerability.	GAD Parroquial, Patronato San José

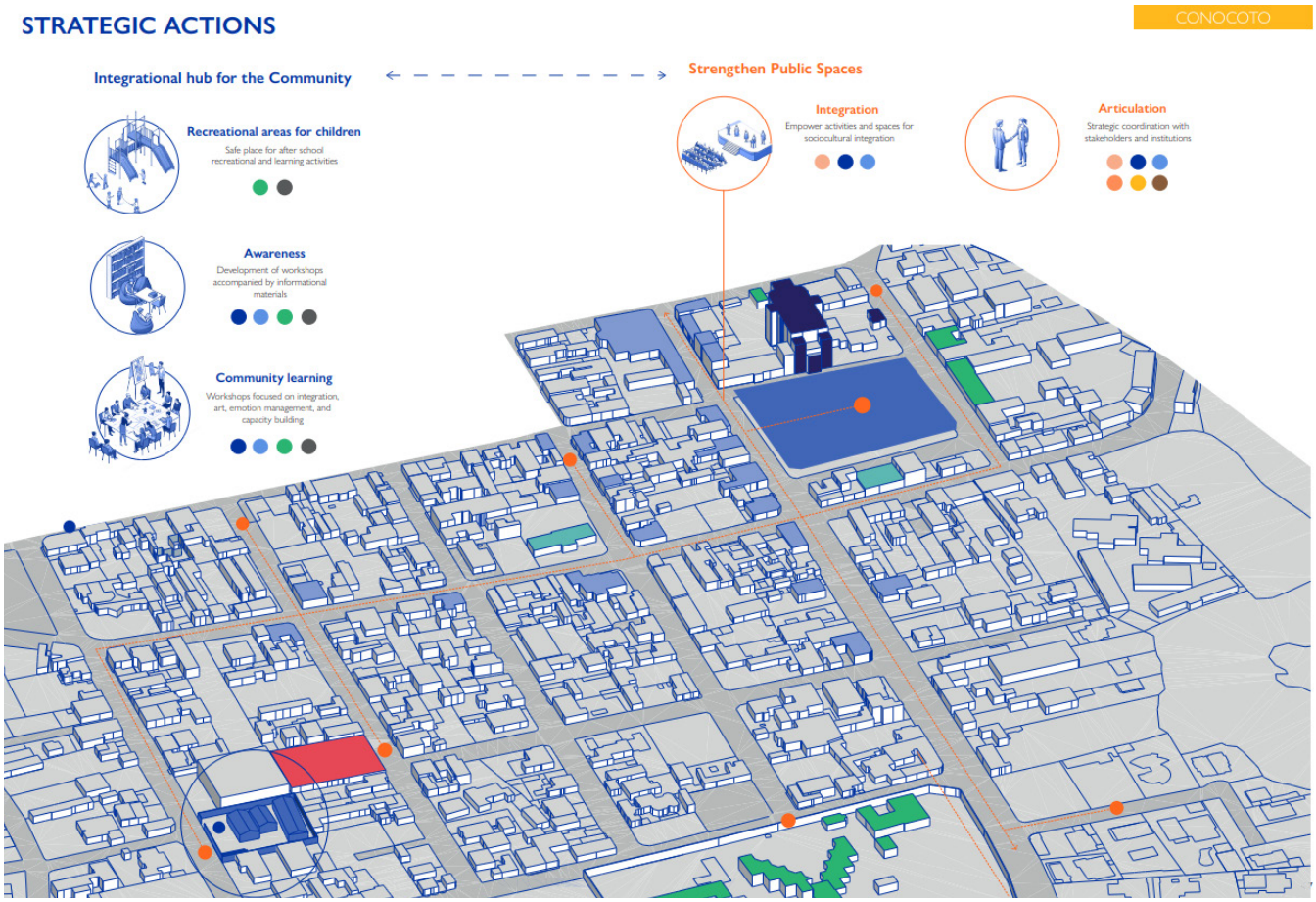
Fig. 27: *Action Plan of Conocoto, Ecuador*

3. **Begin Implementation:**

- Initiate the action plan, starting with the highest priority tasks. Ensure regular monitoring and adjust as necessary.

Outputs:

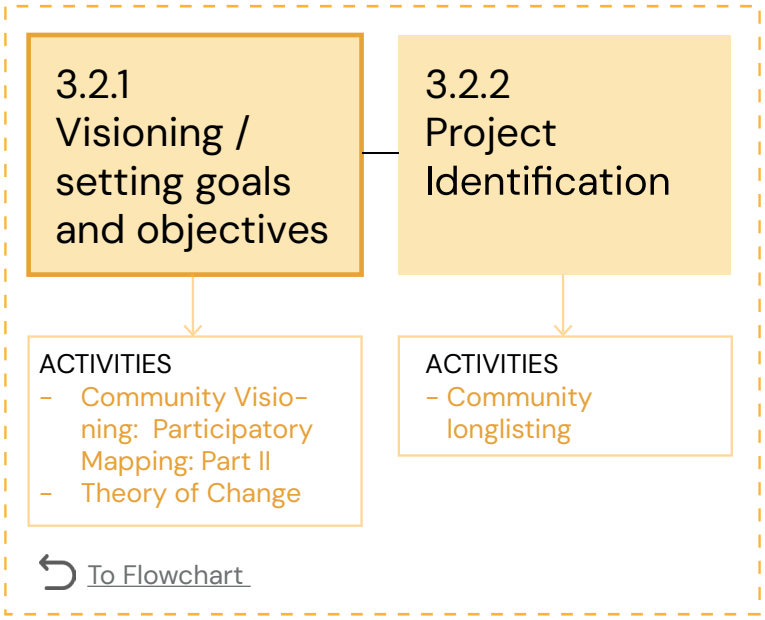
- Final action plan document.
- Communication and launch strategy.
- Implementation kick off.



3.2. Strategy Development

Guiding Questions:

- *What is the long-term vision for the settlement, and what goals and objectives will guide our actions?*



This section, community-led and inclusive, emphasises the importance of involving community members in defining the objectives that will guide settlement interventions. By centring the process on the community's needs, aspirations, and priorities, it ensures that the resulting objectives are not only relevant and actionable but also enjoy broad-based support and ownership. Inputs from key stakeholders, including local authorities, technical experts, and development partners, are also integrated to align objectives with broader strategic frameworks.

3.2. Strategy Development

Visioning and goal setting form the foundation of strategic planning, translating community aspirations into actionable and measurable objectives. Participatory tools enable a comprehensive understanding of the community's needs, opportunities, and pathways to achieving a shared vision for the future.

This process builds directly on the detailed multi-sectoral settlement profiles developed in Stage 2. Insights and data from the analysis phase highlight key challenges, opportunities, and areas of need, providing a robust basis for informed decision-making. By rooting the vision and objectives in the realities of the settlement, the strategic plan remains both aspirational and responsive to current conditions, ensuring that it addresses the community's priorities while aligning with practical and achievable outcomes.

3.2. Strategy Development

Purpose

Building on the initial data from Part I, the participatory mapping and visioning process is an inclusive exercise designed to engage the community in identifying their key priorities and setting a common vision for the future. Through participatory mapping the process enables the community to reflect on their current assets, challenges, and aspirations while collaboratively defining their pathway forward, identifying interventions that are informed by the complex interplay of stakeholder interests, technical considerations, and community-specific needs.

Objectives

- To engage the community in identifying and mapping their assets, risks, and priorities.
- To provide a visual and participatory platform for understanding the settlement's challenges and opportunities.
- To collaboratively develop a shared vision for the settlement's future.
- To foster inclusivity and ensure participation from marginalised groups, enabling a diversity of voices in the visioning process.
- To build community ownership of the planning process through active participation and collaboration.

Results

- A Participatory Map: A visual representation of the settlement's assets, vulnerabilities, and opportunities, reflecting the community's collective insights.
- A list of Key Challenges and Opportunities identified through tools such as the Cobweb analysis.
- A Shared Vision Statement: A concise and inspiring articulation of the community's long-term aspirations.
- Strengthened community engagement and ownership of the planning process, laying the foundation for collaborative decision-making.

Steps

Community Mapping

Objective: Create a visual representation of the community's assets, risks, and aspirations to identify key opportunities and challenges.

Action Steps:

1. **Mapping the Community:** Participants draw their settlement on large sheets of paper, marking significant locations, assets, vulnerabilities, and areas of importance. Facilitators can provide satellite images as a base map if needed.
2. **Using Post-Its for Categorisation:**

- Key Places: Indicate vital locations like schools, health clinics, and marketplaces.
- Challenges and Risks: Highlight vulnerable areas or risks, such as flood-prone zones or lack of services.
- Assets: Represent community strengths across physical, natural, human, and economic categories.

3. **Facilitated Discussion:**

- Facilitators guide participants in explaining why these areas are significant, encouraging dialogue about daily activities and preferences.
- Use guiding questions to understand what the community had, have and wants in the future. Map inputs for each category to create a clear narrative of community aspirations.

Outcome: A participatory map that reflects the community's understanding of their settlement, highlighting key areas of importance, risks, and assets to inform further planning steps.

Identifying Key Issues and Opportunities:

Cobweb Analysis: The Cobweb tool is used to visually map community challenges, opportunities, and potential solutions. It supports structured discussions to identify root causes, prioritise issues, and propose actionable interventions.

1. Problem Identification: Identify pressing issues based on prior engagements, such as town hall meetings or settlement profiles.
2. Mapping Solutions: Brainstorm solutions for each problem, mapping them onto the Cobweb with linked actions, stakeholders, and beneficiaries.
3. Identifying Stakeholders and Resources: Determine key participants, required resources, and potential risks, using colour-coding to distinguish elements.
4. Review and Refinement: Validate the Cobweb with participants to ensure all critical elements are captured.

Outcome of Cobweb Analysis: A detailed visual representation of challenges, solutions, and stakeholders, serving as a foundation for actionable objectives and risk-informed planning.

Setting a Collective Vision:

Visioning: Through inclusive sessions or workshops, participants articulate their collective vision for the settlement's future, focusing on what they had, have and want to keep, and want.

Facilitation Techniques:

1. Guided Discussions: Facilitators pose questions such as: "What are the most important changes you want to see in your settlement over the next 5-10 years?"
2. Vision Statements: Participants craft vision statements that capture shared aspirations, refined through group discussions.

Outcome: A vision statement that serves as a guiding framework for strategic planning and decision-making.

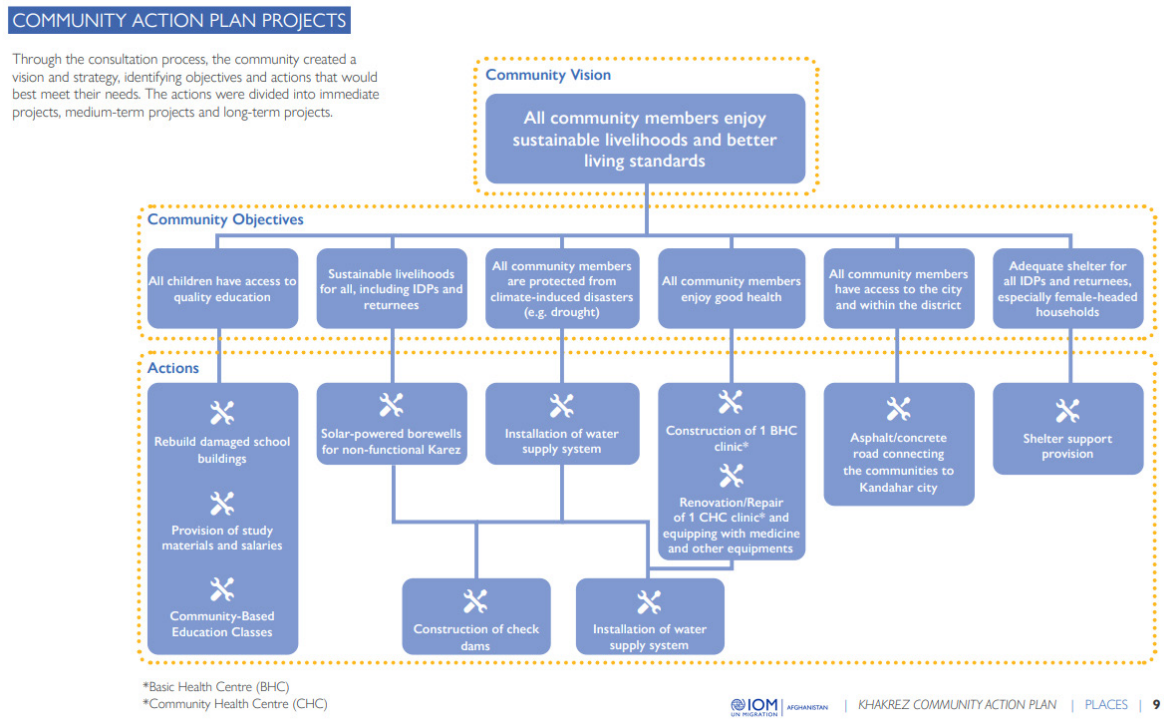


Fig. 28: *Community Vision, Khakrez, Afghanistan (Khakrez Community Action Plan)*

3.2. Strategy Development

Purpose

The Theory of Change translates the community's vision into a structured pathway for achieving desired outcomes. It defines the necessary steps, preconditions, and interventions while identifying risks and assumptions to ensure feasibility and sustainability.

Objectives

- To translate the community's vision into a structured and actionable roadmap for achieving long-term goals.
- To identify the necessary preconditions, actions, and milestones required to progress from the current state to the envisioned future.
- To document assumptions and risks to ensure the robustness and adaptability of the plan.
- To align interventions with the settlement's realities, as identified in the participatory mapping and analysis phases.
- To foster a shared understanding among stakeholders about the steps required to achieve the community's vision.

Results

- A Theory of Change Diagram: A visual roadmap linking the current state to desired long-term outcomes, including intermediate steps and required interventions.
- A clear understanding of Key Actions and Milestones necessary to achieve the vision.
- Identification of Assumptions and Risks to ensure adaptability and mitigate potential challenges.
- Enhanced collaboration and alignment between the community and stakeholders, ensuring coordinated efforts toward achieving the vision.

Steps

1. **Current State Assessment:**

- Objective: Clearly define the community's existing challenges, assets, and resources.
- Action**:** Use findings from participatory mapping and settlement profiles to establish a comprehensive baseline.

2. **Defining Desired Outcomes:**

- Objective: Articulate long-term goals aligned with the community's vision statement.
- Action: Break down broad aspirations into specific, measurable outcomes.

3. **Identifying Intermediate Outcomes:**

- Objective: Define milestones that serve as stepping stones toward long-term goals.
- Action: Ensure outcomes are specific, measurable, and linked to desired impacts.

4. **Mapping Interventions and Actions:**

- Objective: Identify the activities required to achieve outcomes.
- Action: Specify stakeholders, resources, and timelines for each intervention, linking actions to outcomes.

5. **Documenting Assumptions and Risks:**

- Objective: Ensure robustness and adaptability of the plan.
- Action: Highlight critical assumptions and potential risks, developing mitigation strategies.

Key Considerations

- ***Inclusivity and Participation:*** *Ensure active engagement from all community segments, including women, youth, and marginalised groups.*
- ***Feasibility****: Align objectives with the community's resources and capacity.*
- ***Sustainability****: Ensure interventions are grounded in resilience and long-term impact.*
- ***Alignment:*** *Link community aspirations with broader strategic and policy goals for holistic development.*

3.2. Strategy Development

3.2.1. Visioning / Setting Goals and Objectives

3.2.2 Project Identification

Purpose

Following the establishment of a clear vision and strategic goals in **3.2.1**, this step identifies a comprehensive long list of potential projects to achieve the settlement's aspirations. This phase combines community inputs, technical insights, and data from the settlement profile to ensure all viable solutions are captured before moving to evaluation and prioritisation. The focus is on inclusivity, ensuring that no idea is overlooked, and that proposed projects align with both community priorities and strategic goals.

Examples of potential projects might include improving healthcare facilities, enhancing housing resilience, or establishing a local skills training centre. No project or idea should be excluded prematurely, as interventions in one sector can often address needs in others. For instance, infrastructure improvements may boost economic opportunities while increasing access to essential services.

Objectives

- Generate a comprehensive longlist of projects aligned with the community's vision and strategic goals.
- Ensure inclusivity by engaging diverse perspectives, including marginalised groups.
- Utilise settlement data and visioning insights to inform project ideas.
- Incorporate participatory methods to reflect community preferences.
- Align projects with strategic goals, addressing critical needs and opportunities.

Results

- **Comprehensive Long List of Projects:** Inventory of potential projects with descriptions, strategic alignment, and data-based justification.
- **Strategic Alignment:** Projects mapped to the community's vision and settlement objectives, supporting the Theory of Change.
- **Documented Ideas**: Detailed records of project ideas, challenges, opportunities, and resource requirements.
- **Inclusive Engagement:** Enhanced participation from all community groups, fostering ownership and trust.
- **Foundation for Prioritisation**: Outputs ready for feasibility and resource assessments in the next phase.

Steps

Review of Stage 2 Analysis and Community Visioning Outcomes

Objective: Ground project ideas in existing data and community priorities

Action Steps:

1. Leverage findings from Stage 2, including settlement profiles, socio-economic data, and infrastructure assessments.
2. Cross-reference with the community vision and objectives developed in **3.2.1** to ensure alignment with aspirations.
3. Ensure that proposed projects address key challenges and opportunities highlighted in the analysis phase.

Community Longlisting

Objective: Generate a broad list of project ideas through participatory processes.

Action Steps:

1. Facilitated Workshops: Conduct inclusive workshops with diverse community members, technical experts, and stakeholders to brainstorm project ideas.

   Use Targeted questions like

   - *"What specific projects could help achieve the vision for our settlement?"*
   - *"What gaps in infrastructure or services need to be addressed?"*

2. Techniques for Idea Generation:

- Sector-Based Brainstorming: Focus on areas like housing, health, education, livelihoods, and environmental management.
- Problem-Solution Mapping: Link identified challenges to specific project ideas.
- Visioning Exercises: Build on the community's long-term vision to propose transformative projects.

3. Documentation: Record each project idea with a brief description, the problem it addresses, and its alignment with strategic goals.

Outcome: A broad, inclusive list of potential projects reflecting community aspirations and settlement needs.

Pairwise Ranking for Community Preferences

Objective: Generate a broad list of project ideas through participatory processes.

Action Steps:

1. Introduction to Pairwise Ranking: Compare projects in pairs, asking participants to vote on their preference based solely on perceived impact and importance.

2. Conducting the Exercise:

- List all projects on cards or a digital platform for comparison.
- Organise small group discussions to vote on each pair of projects.

3. Recording Results: Track preferences and rank projects based on how often they are selected.

Outcome: A ranked list of projects that reflect community priorities, forming a foundation for further evaluation.

Refinement and Integration

Objective: Validate the longlist and ensure strategic alignment.

Action Steps:

1. Cross-reference ranked projects with Stage 2 findings to ensure they address critical gaps and challenges.
2. Ensure all projects contribute to the strategic goals defined in 3.2.1.
3. Document the final longlist, including project descriptions, alignment with goals, and supporting data from the settlement profile.

Outcome: A refined longlist of projects ready for evaluation against feasibility and resource availability.

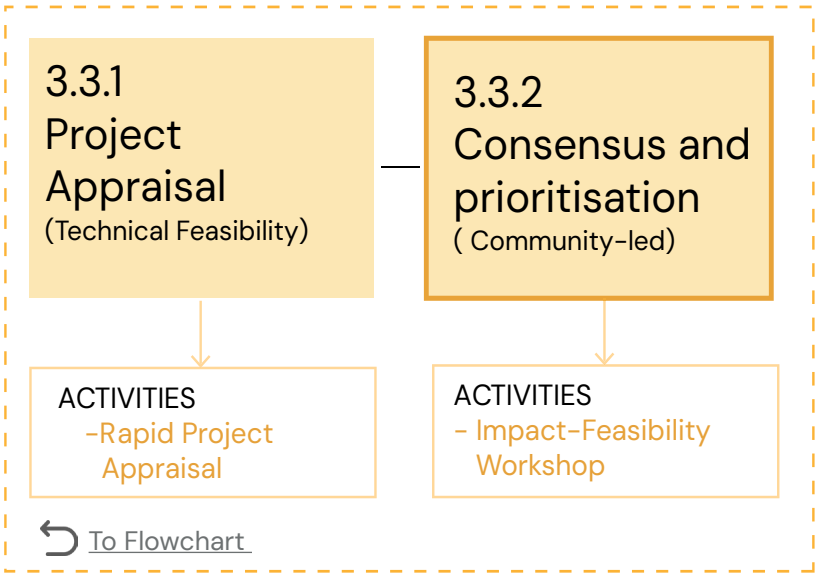
Key Considerations

- ***Inclusivity:*** *Ensure broad participation, particularly from marginalised groups, to capture diverse perspectives.*
- ***Strategic Alignment:*** *Maintain a clear link between projects and the overarching goals developed in 3.2.1.*

3.3 Prioritisation Process

Guiding Questions:

- *What is the technical and financial feasibility of proposed projects, and how do they align with the settlement's development strategy?*
- *How do we ensure that the prioritisation of projects reflects the community's needs and preferences?*



The Prioritisation Process, incorporating technical and community-led activities are integral, interconnected steps in the project development process, ensuring that resources are directed toward impactful and achievable initiatives. By identifying projects that are sustainable, aligned with community objectives, and viable within the settlement's constraints, this phase narrows the focus to the most promising initiatives, providing a refined shortlist for prioritisation.

Building on the results of the feasibility assessment, the prioritisation and consensus stage empowers the community, in collaboration with technical experts, to rank the shortlisted projects based on their potential impact and feasibility. Using participatory tools stakeholders can dynamically assess and visualise the relative merits of each project. This consensus-driven process fosters collaboration and ensures that selected projects reflect both the community's aspirations and practical considerations. Together, these stages ensure that decision-making is both data-informed and inclusive, maximising the sustainability, effectiveness, and ownership of the selected interventions.

3.3 Prioritisation Process

3.3.1 Project Appraisal (Techincal Feasibility)

3.3.2. Consensus and Prioritisation (Community-led)

Purpose

The Project Appraisal is a critical initial step in evaluating potential projects identified during the longlisting phase. It serves to quickly assess the viability of each project, helping to narrow down the list to those that are most promising and aligned with community objectives. This phase ensures that resources and efforts are focused on projects with the greatest potential for success, before moving into more detailed analysis stages.

Objectives

- **Preliminary Evaluation:** Conduct a swift yet thorough evaluation of each identified project to determine its viability, alignment with community goals, and potential for success.
- **Resource Optimisation:** Focus resources and efforts on projects that are most likely to succeed, avoiding unnecessary expenditure on projects with low potential.
- **Stakeholder Engagement:** Involve community stakeholders in the evaluation process to ensure that project selection is aligned with community needs and priorities.

Results

- **Shortlist of Projects:** A refined list of projects that have passed the initial appraisal and are deemed worthy of more detailed analysis.
- **Preliminary Assessment Report:** A document summarising the strengths, challenges, and alignment of each project with community goals.
- **Stakeholder Feedback Summary:** A record of feedback from community members and other stakeholders, highlighting areas of consensus and concern.

Required Information

Long List of Projects: The comprehensive list of potential projects generated from the initial identification phase.

Community Vision and Goals: Clear understanding of the community's long-term vision and strategic goals, as established in the visioning process.

Stage 2 Analysis Data: Relevant data from the Stage 2 analysis, including socio-economic profiles, environmental assessments, and existing infrastructure evaluations.

Steps

1. **Define Appraisal Criteria:** Develop a clear set of criteria for evaluating each project. These should include:

- Alignment with Community Goals: Assess how closely each project aligns with the community's vision and strategic objectives.
- Alignment with Government Goals: Assess how closely each project aligns with the government national and local objectives and priorities.
- Potential Impact: Estimate the potential benefits of the project, including economic, social, and environmental impacts.
- Beneficiary impact: Estimate the average % of beneficiaries (direct or indirect) impacted by the project.
- Implementation Complexity: Evaluate the complexity of implementing the project, considering factors such as technical requirements, resource availability, and potential risks.
- Community Support: Gauge the level of community support and willingness to engage with the project.

2. **Preliminary Data Collection:** Gather initial data for each project, including:

- Cost Estimates: Preliminary estimates of the financial, human, and material resources required.
- Resource Availability: Availability of necessary resources such as land, labour, and materials.
- Community Input: Feedback from community members regarding their preferences and concerns related to each project.

3. **Conduct the Appraisal**: Evaluate each project against the defined criteria through:

- Stakeholder Consultations: Engage with community leaders, technical experts, and other stakeholders to gather insights on each project.
- Scoring System: Develop a scoring system to rank projects based on how well they meet each criterion. This can be a simple numerical scale or a more complex weighted system, depending on the project's scope.

4. **Document Findings**: Prepare a preliminary assessment report that includes:

- Project Summaries: Concise descriptions of each project, highlighting key strengths and potential challenges.
- Appraisal Scores: A table or matrix showing how each project scored against the appraisal criteria.
- Recommendations: Suggestions for which projects should proceed to the next stage of detailed analysis.

5. **Shortlist Projects**: Based on the appraisal findings, compile a shortlist of projects that demonstrate the highest potential. This shortlist should include projects that:

- Strongly Align with Community Goals: Projects that directly support the community's long-term vision and strategic objectives.
- Show High Impact Potential: Projects likely to deliver significant benefits to the community.
- Are Technically and Logistically Feasible: Projects that can be realistically implemented with available resources and within a reasonable timeframe

SUGGESTED TOOLS

- Cost-Benefit Analysis (CBA)
- Guide to Technical Feasibility Studies in the Built Environment

Key Considerations

- ***Transparency:*** *Ensure that the appraisal process is transparent and inclusive, involving a wide range of stakeholders to build consensus and support.*
- ***Flexibility:*** *Be prepared to revisit the appraisal criteria and process as new information becomes available or as community priorities evolve.*
- ***Documentation:*** *Keep thorough records of the appraisal process, including data sources, stakeholder feedback, and decision-making rationale, to support future planning and evaluation efforts.*

3.3 Prioritisation Process

Purpose

Community-led prioritisation is a critical stage where community members, in collaboration with technical experts, actively decide which projects or actions should be implemented. This participatory approach builds on the detailed analysis, longlisting, and feasibility assessments conducted in previous stages, ensuring that the selected interventions reflect the community's needs, desires, and values. By fostering a collaborative and iterative process, this stage not only solidifies community ownership but also enhances the sustainability and effectiveness of the chosen projects.

The consensus-building process involves reviewing and ranking the longlisted projects, with the objective of identifying priorities for implementation. Using tools like the impact vs feasibility matrix, participants can dynamically assess and visualise the relative merits of each project, considering both their potential impact and feasibility. This structured approach empowers the community to make informed decisions while fostering agreement among stakeholders, ensuring that the final priorities align with both practical realities and shared aspirations.

Objectives

- To build consensus within the community on the prioritisation of projects by comparing their potential impact and feasibility.
- To ensure that the prioritisation process is grounded in the analysis and feasibility assessments conducted in earlier stages, reinforcing the alignment of selected projects with the community's strategic goals.
- To create a flexible decision-making environment where community preferences can evolve through discussion, ensuring that the final selection of projects reflects the collective will and practical considerations.

Results

- A prioritised list of projects that reflects community consensus, considering both the desired outcomes and the technical feasibility of each option.
- An adjustable impact vs feasibility matrix that visualises the prioritisation process and allows for real-time adjustments as community preferences are refined.
- A report documenting the prioritisation process, including key discussions, consensus-building strategies, and the final outcomes.

Required Information

The long list of potential projects generated during the project identification phase.

Data and insights from the analysis conducted in Stage 2, including community needs, available resources, and potential risks.

Feedback and input from community stakeholders and technical experts.

Steps

1. **Preparation and Context Setting**

- Facilitator Preparation: Before initiating the prioritisation process, facilitators should review all relevant outputs from the longlisting and feasibility assessment stages, including the Rapid Project Appraisal (3.3.1) and Community Asset Mapping (2.2.2). This ensures that facilitators have a thorough understanding of the technical and community aspects of each project.
- Community Briefing: Organise a session with community representatives to explain the purpose of the prioritisation process. Review the longlisted projects, summarise the findings from the feasibility assessments, and introduce the impact vs feasibility matrix. Ensure that participants understand how this process builds on the previous work, including the community's vision and goals set in earlier stages.

2. **Introducing the Impact vs Feasibility Matrix**:

- Matrix Overview: Introduce the impact vs feasibility matrix as a flexible tool for guiding the prioritisation process. Explain that the matrix is not a rigid scoring mechanism but a visual aid to help compare projects based on their potential impact and feasibility. Emphasise that the matrix is adjustable and should evolve as the community discusses and refines its priorities.
- Revisiting Criteria: Revisit the criteria used during the longlisting and feasibility assessments, focusing on how they relate to impact (e.g., number of beneficiaries, alignment with community goals) and feasibility (e.g., resource requirements, technical challenges). Ensure that the community is comfortable with these criteria and understands their importance in the prioritisation process.

3. **Facilitating the Consensus Process**

- Initial Project Placement: Begin by placing the first few projects on the matrix, focusing on those that the community feels strongly about in terms of impact or feasibility. Encourage open discussion about why these projects are placed where they are and whether their placement aligns with the community's strategic objectives.
- Iterative Adjustment: As more projects are added to the matrix, encourage the community to revisit earlier placements. This iterative approach allows the community to adjust the placement of projects as they compare them to others, fostering a deeper understanding of the trade-offs and synergies between different options.

- Encouraging Dialogue: Facilitate ongoing dialogue among community members, technical experts, and other stakeholders. Encourage participants to voice their opinions, share insights, and challenge each other's perspectives. The goal is to build consensus through discussion, ensuring that all voices are heard and considered.

4. Reaching Consensus

- Consensus Building: Use the matrix as a guide to help the community reach a consensus on the prioritisation of projects. Facilitators should guide the group towards identifying projects that not only have high impact but are also feasible within the available resources and time-frame. Highlight any emerging patterns, such as projects that consistently rank highly in both impact and feasibility.
- Final Adjustments: Once the majority of projects have been placed on the matrix, facilitate a final review session. Encourage the community to make any last adjustments, ensuring that the prioritised list truly reflects their collective will and practical considerations.

5. Documenting the Process

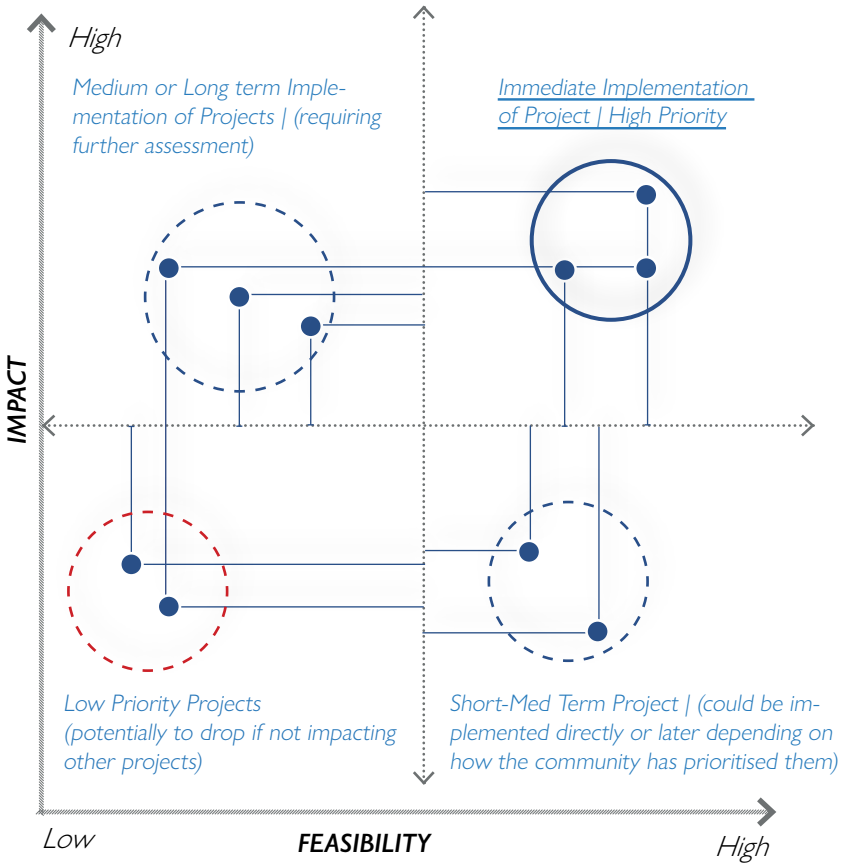
- Detailed Reporting: Prepare a report that documents the entire prioritisation process. This should include a description of the discussions held, the evolution of the matrix, and the final list of prioritised projects. The report should also capture any key decisions made during the process, including how consensus was reached and any notable shifts in community preferences.
- Visual Documentation: Include visual representations of the matrix at various stages of the process, showing how project placements evolved over time. This helps to illustrate the dynamic nature of the prioritisation process and the collaborative effort involved in reaching a consensus.

6. Next Steps and Communication

- Feedback Session: Hold a feedback session with the broader community to present the prioritised projects and explain how the consensus was reached. This session should also provide an opportunity for any final questions or comments before the projects move into the detailed planning and implementation phases.
- Transition to Action Planning: With the prioritisation complete, the next step is to develop detailed action plans for the selected projects, including timelines, budgets, and implementation strategies. Refer to 3.1.3.

Key Considerations

- ***Inclusivity:*** *Ensure that the prioritisation process is inclusive and that all community members, especially marginalised groups, have the opportunity to participate and influence the outcomes.*
- ***Flexibility:*** *Maintain flexibility throughout the process, allowing the community to re-visit and adjust decisions as new information or perspectives emerge.*
- ***Documentation:*** *Record the prioritisation process to maintain transparency and provide a reference for future decision-making.*



PRIORITIZATION MATRIX

After having identified all actions that would support the achievement of the community's strategy, community members prioritized actions based on their impact and feasibility.

Considerations to estimate impact included whether the action would support the most vulnerable, whether it would contribute to multiple objectives in an integrated manner, and how many people it would benefit among others.

Considerations to estimate feasibility included a reflection on the existing assets and capacities in the communities, the financial resources and time needed to implement the action, as well as long-term operation and maintenance needs.

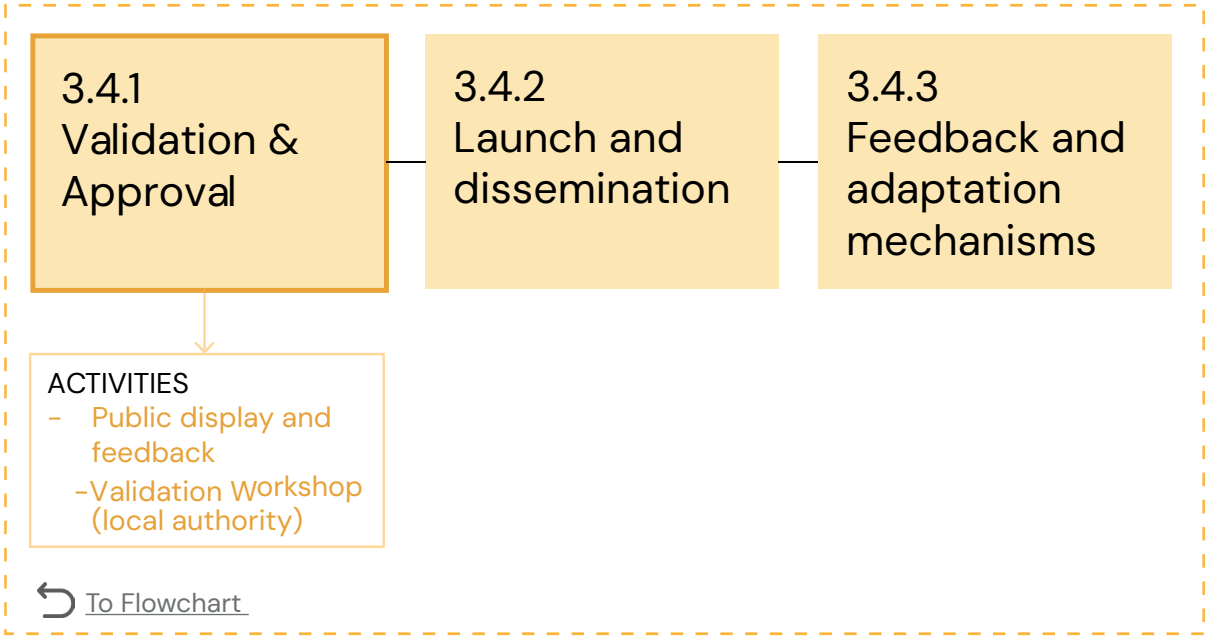
Actions were divided into immediate-, medium-, and long-term.

Fig. 29: *Prioritisation Matrix, Kharkez, Afghanistan*

3.4. Validation, Approval and Dissemination

Guiding Questions:

- *How do we secure community and local authority approval for the plan, and how do we communicate and adapt it based on feedback?*



The validation, approval, and dissemination stage is the final phase in the planning process, ensuring that the proposed plan is technically sound, widely supported, and ready for implementation. This stage involves presenting the plan to the public, collecting feedback, securing official approvals, and launching the plan with transparency and inclusivity. Throughout this process, it's crucial to continuously consider the conflict analysis and stakeholder analysis conducted earlier to ensure that the plan is sensitive to potential conflicts and aligns with the interests and power dynamics of key stakeholders. A robust feedback and adaptation mechanism is established to continuously refine and adjust the plan as needed, ensuring it remains relevant and responsive to evolving community needs and circumstances.

3.4. Validation, Approval and Dissemination

The Validation and Approval step is a critical phase where the draft plan reviewed to ensure alignment with community priorities and local authority requirements. This stage consolidates community feedback and secures formal endorsements, creating a plan that is both inclusive and technically robust while fostering ownership and legitimacy among all stakeholders.

3.4. Validation, Approval and Dissemination

Purpose

Community validation is a critical component of the planning process, ensuring that the proposed plan aligns with the community's needs, expectations, and aspirations. This step involves publicly displaying the draft plan, gathering feedback through various tools, and making necessary adjustments based on community input. The process strengthens community ownership and ensures transparency while taking into account the insights gained from conflict and stakeholder analyses to mitigate any potential issues that could arise during this stage.

Objectives

- To ensure that the proposed plan is reviewed and validated by the community, reflecting their needs and priorities.
- To provide a platform for community members to voice their opinions, suggest modifications, and express concerns.
- To incorporate community feedback into the final plan, enhancing its relevance and acceptance.
- To ensure that potential conflicts and stakeholder dynamics are considered in the validation process.

Results

- A comprehensive record of community feedback, including suggestions, concerns, and areas of consensus.
- A refined version of the plan that incorporates community input and considers conflict and stakeholder dynamics.
- Documentation of the public display and feedback collection process, including the methods used and the number of participants.

Steps

1. **Preparation for Public Display**

- Display Locations: Identify accessible and visible locations within the community for displaying the plan. Consider using community centres, markets, schools, and other public spaces where community members frequently gather. Ensure these locations are neutral and accessible to all, considering any potential conflict sensitivities.
- Materials Preparation: Prepare clear, easy-to-understand visual materials, including maps, diagrams, and summaries of the plan. These should be displayed in a way that is engaging and easily interpretable by all community members, regardless of literacy levels.

2. **Public Display**

- Interactive Sessions: Organise public display sessions where community members can review the plan, ask questions, and provide feedback. Consider using both physical displays and digital platforms to reach a wider audience.
- Facilitated Discussions: Hold facilitated discussions during the display sessions to explain the plan's components and gather in-depth feedback. Use tools like the "You Spoke, We Listened" approach to show how previous community input was incorporated. Ensure these discussions are facilitated by individuals who understand the local context and can navigate sensitive issues effectively.

3. **Feedback Collection Tools**

- Feedback Forms: Distribute simple feedback forms that allow community members to express their views on specific aspects of the plan. These forms can be collected physically or submitted online.
- Suggestion Boxes: Place suggestion boxes at display sites for anonymous feedback. This ensures that those who might not feel comfortable speaking out publicly can still contribute.
- Community Meetings: Organise meetings where community members can discuss the plan in groups, providing more nuanced feedback. Ensure these meetings are inclusive, allowing marginalised groups to participate. Consider the dynamics of local power structures and potential conflicts when organizing these meetings.
- Focus Groups: Conduct focus groups with key community representatives to gather detailed insights and validate specific aspects of the plan.

4. **Incorporating Feedback**

- Analysis of Feedback: Review all feedback collected, categorising it into actionable suggestions, concerns, and areas of consensus. Consider any conflict or stakeholder dynamics highlighted during this process and how they may impact the final plan.
- Plan Revision: Revise the plan based on the feedback, making necessary adjustments to better align with community preferences and concerns.

5. **Documentation**

- Record-Keeping: Record all feedback received and how it was addressed. This documentation is crucial for transparency and for reference in future planning processes.

Key Considerations

- *Ensure that the feedback collection process is inclusive, reaching all segments of the community, especially those who are typically underrepresented.*
- *Transparency is key; the community should be informed about how their feedback was used to refine the plan.*
- *Consider conflict dynamics and stakeholder power relations when presenting the plan and collecting feedback.*

3.4. Validation, Approval and Dissemination

Purpose

Securing approval from local authorities is a vital step to ensure that the plan is officially recognised and supported by the governing bodies responsible for its implementation. This step involves presenting the refined plan to local authorities, addressing any concerns they might have, and obtaining the necessary endorsements. It is essential to consider the conflict analysis and stakeholder analysis conducted in earlier stages to ensure that the approval process is smooth and that the plan aligns with local power dynamics and potential areas of tension.

Objectives

- To secure formal approval of the plan from local authorities, ensuring alignment with local policies and regulations.
- To address any concerns or requirements posed by local authorities, ensuring the plan is feasible and compliant.
- To build a collaborative relationship with local authorities, facilitating smoother implementation and oversight.
- To consider potential conflict and stakeholder dynamics in securing local authority approval.

Results

- An officially approved plan that is ready for implementation.
- Documentation of the approval process, including any conditions or amendments required by local authorities.
- Strengthened partnerships with local authorities, enhancing cooperation for future initiatives.

Steps

1. **Preparation for Approval**

- Review of Local Policies: Ensure the plan aligns with existing local policies, regulations, and strategic priorities. Address any potential conflicts before presenting the plan.
- Engagement with Authorities: Engage with key local authority representatives early in the process to brief them on the plan and gather preliminary feedback. Consider any potential conflicts or power dynamics that could impact the approval process.

2. **Formal Presentation**

- Presentation Materials: Prepare a clear, concise presentation that highlights the plan's objectives, benefits, and alignment with local policies. Include visual aids and data to support the case.
- Stakeholder Meeting: Arrange a formal meeting with relevant local authorities to present the plan. Be prepared to answer questions and address any concerns they may have, considering the insights from the conflict and stakeholder analysis.

3. **Addressing Feedback**

- Adjustments Based on Feedback: If local authorities request changes or additional details, revise the plan accordingly. Ensure that all concerns are addressed to their satisfaction.
- Final Submission: Submit the revised plan for final approval. Obtain written endorsements or formal approval documents as required.

4. **Documentation**

- Approval Records: Document the approval process, including any conditions or agreements made with local authorities. This record is crucial for transparency and for guiding the implementation phase.

Key Considerations

- *Building a strong relationship with local authorities is crucial for the successful implementation of the plan. Ensure continuous communication and collaboration throughout the process.*
- *Ensure that all legal and regulatory requirements are thoroughly addressed to avoid delays or complications during implementation.*
- *Be mindful of conflict dynamics and stakeholder power relations that could affect the approval process.*

3.4. Validation, Approval and Dissemination

Purpose

The launch and dissemination of the plan are critical steps in transitioning from planning to implementation. This phase involves not only unveiling the approved plan to the public but also ensuring that all partners, stakeholders, and community members are fully informed and engaged in the process. Effective dissemination fosters transparency, encourages broad participation, and helps to build momentum for the implementation phase. It's also essential to consider the roles and contributions of various partners in this stage, ensuring that they are actively involved in promoting and supporting the plan.

Objectives

- To publicly launch the approved plan, ensuring widespread awareness and understanding among community members, stakeholders, and partners.
- To foster a sense of ownership and commitment to the plan's implementation by actively engaging all relevant parties.
- To ensure that the dissemination process is inclusive, transparent, and aligned with the roles of key partners.
- To coordinate with partners to leverage their networks and resources for broader dissemination and support.

Results

- A successfully launched plan that is widely recognised and supported by the community, stakeholders, and partners.
- Dissemination materials that effectively communicate the plan's key elements, strategies, and implementation roadmap.
- A public record of the launch event and dissemination activities, including contributions and endorsements from partners.

Steps

1. **Consider Launch Event**

- Event Organisation: Plan a public launch event that is accessible to all community members, stakeholders, and partners. Choose a venue that is central, symbolic, and capable of accommodating a diverse audience.
- Partner Engagement: Involve key partners in the planning and execution of the launch event. This could include co-hosting the event, contributing speakers, or providing resources such as logistics support and media coverage.
- Agenda Setting: Develop an agenda that includes presentations, speeches from community leaders and partners, and opportunities for community members to ask questions. Highlight the plan's objectives, the roles of different stakeholders, and the next steps in the implementation process.

2. **Dissemination Materials**

- Summary Documents: Prepare concise, easy-to-understand summary documents that outline the plan's goals, key actions, and timelines. Ensure these documents are distributed to all partners, stakeholders, and community members, in multiple formats (e.g., printed, digital) and languages as needed.
- Visual Aids: Create engaging visual aids, such as posters, infographics, and videos, to communicate the plan's key elements. Display these materials in public spaces, community centres, and online platforms.
- Partner Contributions: Leverage the communication channels of partners, such as their social media platforms, newsletters, and community outreach programmes, to disseminate the plan to a broader audience.

3. **Public Engagement**

- Interactive Sessions: Include interactive sessions during the launch event where community members can discuss the plan, ask questions, and express their views. Use tools like "You Spoke, We Listened" to show how previous input shaped the final plan.
- Community Involvement: Mobilise community members to take an active role in the dissemination process, such as distributing materials, organising local meetings, and using their networks to spread information.

4. **Ongoing Communication**

- Regular Updates: Provide regular updates on the plan's implementation through community meetings, newsletters, and online platforms. Coordinate with partners to ensure these updates reach all relevant audiences.
- Feedback Mechanism: Establish a mechanism to collect ongoing feedback during the dissemination phase. This feedback can be used to refine communication strategies and address any emerging concerns promptly.

Key Considerations

- *Ensure that the launch and dissemination process is inclusive, reaching all segments of the community and stakeholders, including marginalised groups and those typically underrepresented.*
- *Consider the roles and strengths of partners when planning dissemination activities. Their networks and resources can significantly enhance the reach and impact of the dissemination process.*
- *Maintain transparency and open communication throughout the dissemination phase to build trust and support for the plan's implementation.*
- *Regularly engage with partners to ensure they remain committed and aligned with the plan's objectives, leveraging their expertise and resources to support successful implementation.*

3.4. Validation, Approval and Dissemination

Purpose

Even after the plan is launched, it is essential to have mechanisms in place to continuously gather feedback and make necessary adaptations. This ensures the plan remains relevant and effective throughout its implementation. Feedback and adaptation mechanisms allow for the plan to evolve based on real-time information, community input, and changing circumstances, ensuring that it continues to meet the needs of the community and stakeholders while being sensitive to conflict and stakeholder dynamics.

Objectives

- To establish a continuous feedback loop that allows the community and stakeholders to provide input throughout the implementation phase.
- To ensure the plan remains flexible and adaptable to new information, challenges, and opportunities.
- To document and communicate all adaptations made to the plan, ensuring transparency and accountability.
- To consider conflict analysis and stakeholder dynamics in the feedback and adaptation process.

Results

- A system for regularly reviewing and updating the plan based on feedback and new information.
- Documentation of all adaptations made to the plan, including the reasons for changes and the process followed.
- A plan that remains responsive and relevant throughout its implementation, with strong community and stakeholder support.

Steps

1. **Establishing Feedback Channels**

- Feedback Tools: Set up multiple channels for feedback, including suggestion boxes, online surveys, community meetings, and focus groups. Ensure these tools are accessible to all community members and that they take into account any potential conflicts or sensitivities identified in earlier analyses.
- Regular Check-ins: Organise regular check-in meetings with community representatives and stakeholders to review progress and gather feedback. These sessions should be scheduled at key milestones in the implementation process.

2. **Feedback Collection and Analysis**

- Data Collection: Collect feedback systematically, categorising it into actionable suggestions, concerns, and general comments. Use this data to identify trends and areas that may require adjustments, while also considering conflict and stakeholder dynamics.
- Regular Review Sessions: Hold regular review sessions with the implementation team to discuss the feedback received and decide on necessary adaptations to the plan. Ensure that these sessions are documented for transparency.

3. **Adapting the Plan**

- Plan Revisions: Make necessary revisions to the plan based on the feedback received and any new developments. Ensure that changes are communicated clearly to the community and stakeholders.
- Continuous Monitoring: Continuously monitor the implementation of the plan to identify any emerging issues or opportunities that may require further adaptations.

4. **Documentation and Communication**

- Adaptation Records: Keep detailed records of all changes made to the plan, including the rationale behind each change and the process followed. This documentation is crucial for accountability and future reference.
- Ongoing Updates: Provide regular updates to the community and stakeholders on the implementation progress and any adaptations made. Ensure that these updates are accessible and clearly communicated.

Key Considerations

- *The feedback and adaptation process should be ongoing, ensuring that the plan remains flexible and responsive to new challenges and opportunities.*
- *Maintain transparency throughout the adaptation process, ensuring that all changes are well-documented and communicated to the community and stakeholders.*
- *Continuously consider conflict dynamics and stakeholder power relations during the feedback and adaptation process to maintain broad support and minimise potential tensions.*

OUTPUT 3 : Srategic Settlement Action Plan

Purpose: A practical roadmap for implementing targeted interventions to achieve a resilient, sustainable settlement.

Key Sections:

1. Vision and Strategic Objectives

- Theory of Change – setting clear goals derived from community visioning and stakeholder input.

2. Prioritised Interventions

- Summary of key projects with expected impacts.
- Alignment with identified challenges and opportunities.

3. Implementation Plan

- Detailed steps for rolling out interventions
- Phasing and Priorities: Project phases and prioritisation criteria.
- Activity Details: Titles, objectives, stakeholders, budgets, timelines.
- Stakeholder roles and responsibilities
- Spatial prioritisation map linking interventions to areas (Current state, projected changes, and project locations)

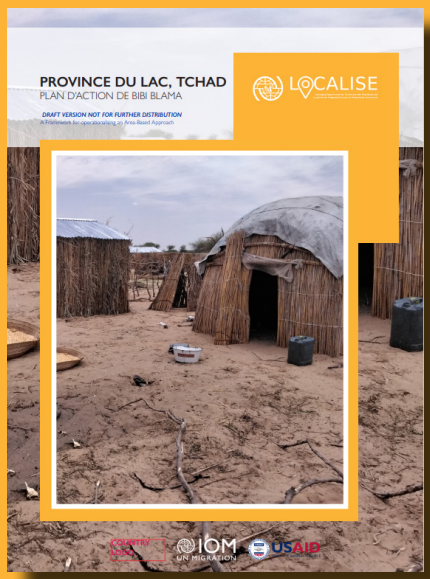
4. Resource and Partnership Strategy

- Resource mobilisation plan.
- Key partnerships and stakeholder roles.

5. Monitoring and Adaptation Framework

- Indicators to track progress.
- Mechanisms for ongoing feedback and plan adaptation.

Output Format: A practical, action-oriented document with clear deliverables, time-lines, and visual tools for decision-making.



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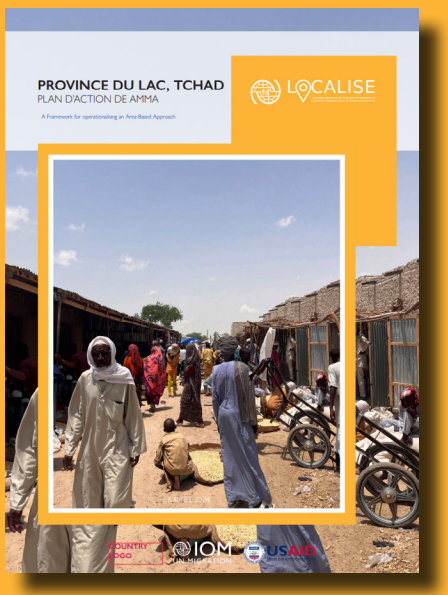

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