European Commission

DG ECHO Thematic Policy Document

Shelter and Settlements

Humanitarian Aid and Civil Protection

Table of contents

Executive Summary **2**

1. Introduction **3**

2. Scope, Objectives, and Principles **5**

3. Entry and Exit Criteria **8**

4. Key Determinants for Intervention **10**

4.1 Capacity, Needs and Vulnerabilities of affected population 10
4.2 Characteristics of a crisis that inform S&S responses 11
4.3 Approaches and Modalities 15

5. Implementation **27**

5.1 Assessment, Monitoring and Evaluation 27
5.2 Targeting, Coverage and Prioritisation 28
5.3 Response Actions 29
5.4 Quality, Standards and Accountability 33

6. Supporting and Improving Responses **35**

6.1 Coordination and capacity-building 35
6.2 Advocacy 37
6.3 Innovation, Research and Development 38

7. Annexes **39**

Annex A: Indicative Decision Tree 40
Annex B: Technical Annex 46
Annex C: Frequently Asked Questions (FAQ) 82
Annex D: Commonly Used S&S Indicators 87
Annex E: Acronyms 88
Annex F: Glossary 89
Annex G: List of References: available online

Cover photos
Top left: a Darfurian refugee extends her house in Chad (UNHCR / F. Noy / 2011)
Bottom left: repairing shelters following the Nepal earthquake in 2015 (EU-ECHO-Pierre Prakash)
Right: Port-au-Prince, Haiti, following the January 2010 earthquake (Alain Grimard)

Executive Summary

Globally, forced displacement has grown rapidly over the last decade, increasing on average by 1.6 million people a year from 2000-2014. The number of displaced people around the world at the end of 2015 stood at 65.3 million[1]. In combination with the continued environmental challenges posed by climate change, this has greatly increased the need for effective and efficient humanitarian Shelter and Settlement (S&S) interventions. As a result, global technical S&S capacity needs to be upgraded and funds used more effectively to provide greater impact for the growing number of those in need.

Shelter is far more than a roof and four walls. Adequate space and physical conditions are important, but buildings should not be considered the only or even main dynamic in shelter, nor should building improvements be the only criteria for shelter interventions. Equally, settlements should not be understood simply as safe physical spaces containing shelters and other basic services, but as socially acceptable and socioeconomically viable living environments. And importantly, settlements and shelter should be integrated from the outset, with the physical location as important as the shelter itself. Shelter and settlements are key components of post-disaster recovery, of providing protection, security and dignity, and of re-establishing economic well-being and secure livelihoods. As a result, humanitarian S&S interventions should go beyond simply distributing tents and tarpaulins[2]. Indeed, whilst people always need sheltering in crisis situations, they may not want or need a shelter: **humanitarian S&S actions should focus on addressing people's shelter needs holistically, rather than simply delivering a product or a cash subsidy for shelter**.

These guidelines build on best practice in the sector, applying the criteria for European Commission humanitarian S&S funding for the most efficient and effective humanitarian responses. They promote in particular two key critical themes:

- assistance should be **people-centred**, ensuring that the interests and protection of beneficiaries are at the centre of operations, that assistance is accountable to them, and that it is tailored to the differentiated needs of women, girls, boys and men. This involves asserting the primacy of affected populations in decision-making and implementation, and acknowledging the wide range of personal, family and community contexts which inform the S&S preferences and priorities, and the varied paces and paths taken by communities through crises and into recovery;
- assistance should be **supportive**, focusing primarily on enabling and assisting household self-recovery and strengthening systems towards more sustainable outcomes and processes.

These themes should strengthen accountability to affected populations and maximise opportunities to contribute to a lasting post-emergency recovery.

[1] UNHCR; Global Trends: https://s3.amazonaws.com/unhcrsharedmedia/2016/2016-06-20-global-trends/2016-06-14-Global-Trends-2015.pdf

[2] For more info see FAQ 3 of Annex C

1. Introduction

Shelter is a basic human need and a critical determinant for survival and coping in the majority of crises. It is enshrined in human rights law under the right to adequate housing, which includes sufficient space and protection as well as appropriate siting of settlements and availability of services[3]. In most cases, **people consider shelter their most important asset or their highest living cost**[4], meaning that shelter is also essential in promoting economic well-being and securing livelihoods. It is also important to note that in many contexts, the majority of shelter solutions are undertaken by affected households themselves[5].

Sheltering the victims of disasters and performing urgent rehabilitation is often a core humanitarian activity to prevent excessive mortality and morbidity. Beyond survival, shelter is necessary to provide security and ensure personal safety and protection, and to promote resistance to ill-health and disease. It is also important for human dignity, to sustain family and community life, and to enable affected populations to recover from the impact of disasters[6]. Moreover, shelter plays an essential role in reducing vulnerability and building communities' resilience[7]. Shelter and related support services are key features of settlements because of their economic, social, and cultural importance, and because these typically occupy a majority of the land in larger urban settlements.

Shelter and the larger concept of settlement are inextricably linked and should be addressed as a whole rather than separately. Safe and secure settlements are needed to provide crisis-affected communities with protected and healthy living spaces and environments, while ensuring sufficient privacy and dignity to the groups, families, and individuals within them.

Some key trends in the context of humanitarian S&S are: increased urbanisation; increased vulnerability of settlements, including from climate change; the impacts of growing mobility of people, of cash and remittances, and of greater access to information; and the consequences of increased displacement due to conflict, particularly the cumulative effect of protracted conflicts, which can result in perpetuated transitional settlements.

The scale of needs for humanitarian S&S is increasing, not least as a consequence of forced displacement. In 2015 there were 19.2 million new displacements by disasters in 113 countries, including 8.6 million new displacements by conflict and violence in 28 countries[8]. On average 24 people were forced to flee each minute, four times more than a decade earlier. In total 65.3 million people were displaced at the end of 2015, compared to 59.5 million just 12 months earlier. That,

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[3] The Sphere Project: 'Humanitarian Charter and Minimum Standards in Humanitarian Response', Third Edition (2011) p206. Key legal instruments are listed on p244. www.spherehandbook.org

[4] It is estimated that up to one billion people across the globe live in rental housing, mainly in urban areas, and that this includes a substantial proportion of poor people in most cities, and a majority in parts of Africa and Asia. See A. Gilbert, 'International Encyclopaedia of Housing and Home', S.J.Smith. San Diego, Elsevier (Gilbert 2012).

[5] Following typhoon Haiyan in the Philippines, for instance, only 38% of assessed households reported having received shelter assistance according to the shelter sector response monitoring report in September 2014. (https://www.sheltercluster.org/sites/default/files/docs/reach_phl_report_haiyan_sheltersectorresponsemonitoring2_sep2014_0.pdf). In Lebanon, the Inter-agency Coordination Shelter Sector Quarterly Dashboard indicated in July 2015 that less than 20% of those in need had received shelter assistance.

[6] Sphere, 2011.

[7] IFRC, 2012 http://www.ifrc.org/en/what-we-do/disaster-management/responding/services-for-the-disaster-affected/shelter-and-settlement/

[8] IDM global report 2016

measured against the world's population of 7.4 billion people, implies that one out of 113 people globally is now either an asylum-seeker, internally displaced or a refugee[9].

The problem of growing needs is compounded by the length of humanitarian displacements. Data from 1978–2014 suggests that less than one in 40 refugee crises are resolved within three years, and that protractedness is usually a matter of decades. More than 80% of refugee crises last for ten years or more; 40% last 20 years or more. The persistence of crises in countries with internal displacement is also notable. Countries experiencing conflict-related or forced displacement have reported figures for IDPs of average periods of over 23 years. Understanding the likelihood of protractedness from the outset should influence the shape and duration of national and international interventions[10].

The central importance of shelter and settlements in protection, health and livelihoods, as well as the growing and complex needs, can mean that humanitarian responses are often too limited. DG ECHO has allocated up to €180 million per year for humanitarian S&S assistance[11]. To ensure the greatest impact of these funds and to help meet the growing needs, the following guidelines set out best practice, seek to advance consolidated approaches across the sector, and promote key advocacy messages. In a context of increasing needs, and very limited funding opportunities for follow-up, promoting effective practice is crucial.

Beneficiaries rebuild their homes with the help of masonry training and materials following the 2012 earthquake in Guatemala. (Photo: Laura Martinez / Mercy Corps).

[9] UNHCR, global trends reports, 2016

[10] Humanitarian Policy Group: 'Protracted displacement: uncertain paths to self-reliance in exile', 2015

[11] This is 20% of DG ECHO's 2012 annual budget. See Evaluation of the EC Humanitarian Action in the Shelter Sector (2013).

2. Scope, Objectives, and Principles

Humanitarian S&S assistance can be provided as an immediate response to a disaster, or in anticipation of one. It can also be provided during the recovery phase, particularly if activities such as reconstruction, rehabilitation or the maintenance of S&S facilities clearly address the health, protection or livelihoods needs of the affected population[12].

DG ECHO has two complementary ways of providing S&S assistance: through the funding of humanitarian partners, and through the Union Civil Protection Mechanism. This Mechanism, made up of 33 European States, can provide in-kind assistance, modules, emergency response capacity and expertise to complement humanitarian responses[13].

The main objective of humanitarian S&S assistance funded by DG ECHO **is to preserve life and alleviate suffering, for disaster-affected populations in need of basic shelter in secure and appropriate settlements, where conditions have significantly deteriorated and fallen below commonly-accepted minimum humanitarian standards, or are anticipated imminently to do so.**

This objective is to be achieved in the context of anticipated and ongoing humanitarian crises through the following specific objectives:

- **Promote access to a safe, secure and dignified environment, with adequate living spaces, and to basic services and socioeconomic opportunities for women and men of all ages affected by humanitarian crises.**

- **Support access to basic, safe and dignified sheltering, offering integrated protection for safety from the elements and the surrounding environment, to the population affected by humanitarian crises, acknowledging the differentiated vulnerabilities and specific needs of women, girls, boys and men.**

[12] Further elements that define the scope of humanitarian aid supported by DG ECHO are: to carry out short-term rehabilitation and reconstruction work, especially on infrastructure and equipment, in the post-emergency phase; to help those affected regain a minimum level of self-sufficiency, taking long-term development objectives into account where possible; to cope with the consequences of population movements by means of schemes to assist preparations for repatriation and resettlement where appropriate; to ensure preparedness for the risks concerned and use a suitable rapid early-warning and intervention system; and to finance improvements in humanitarian implementation, for example preparatory feasibility studies, project evaluation, campaigns to increase understanding of humanitarian issues, and greater coordination between the Community and Member States.

[13] Following a request for assistance, participating States of the Union Civil Protection Mechanism may offer personnel and equipment via the Mechanism, thus complementing humanitarian response, providing the assistance complies with humanitarian S&S priorities and standards, and does not compromise humanitarian principles.

General Principles

The following general principles, taken from DG ECHO's humanitarian mandate, have a particular application to inform humanitarian S&S assistance: **respect and promotion of the fundamental humanitarian principles of humanity, neutrality, impartiality and independence; a strictly needs-based approach[14]; ensuring that the interests of the crisis-affected population are kept at the centre of S&S interventions[15]; adherence to do no harm principles[16] and protection mainstreaming; a focus on results or operational outputs and outcomes rather than on inputs or aid modalities; building synergies with complementary humanitarian interventions and links with longer-term initiatives; and objective, independent and regular monitoring.**

Specific S&S Principles

Principle 1: Recognise the capacity, resources, rights, choices and responsibilities of crisis-affected populations in addressing their shelter and settlement in an effective and sustainable way. The primary resource in the provision of post-disaster shelter is the grass-roots motivation of crisis-affected populations, their friends and families[17]. DG ECHO and other assisting groups can provide support but they must avoid anything best undertaken by crisis-affected populations themselves. Environmental considerations and the respectful use of natural resources should be taken into account at the earliest opportunity. In addition, the final analysis of the successful performance of assisting groups is dependent on their accountability to the recipients of their aid.

Principle 2: Recognise the need for a continuous recovery process through various approaches and modalities of shelter and settlement[18]. Effective recovery from natural disasters, from initial sheltering to permanent dwelling, is best regarded as a continuous process rather than a set of isolated actions involving the delivery of tangible products. Recovery in conflict may be complex and protracted. In both cases there will be a continuum to be understood[19].

Principle 3: Integrate shelter and settlement with related sectors around the "centrality of protection"[20]. By their nature shelter and settlements can never be isolated from their social, cultural, environmental, technical, economic, political and governmental contexts. A humanitarian response has to be multi-disciplinary and multi-stakeholder, hence the importance of coordination amongst disciplines and actors. The protection of all persons affected and at risk must inform S&S humanitarian interventions[21].

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[14] Funding will be allocated in a neutral and objective manner to those with the greatest needs and the highest level of vulnerability, without bias or prejudice.

[15] For example by promoting accountability to affected populations and supporting people-centred approaches wherever feasible, ensuring adherence to common standards of human rights and dignity, and ensuring that the humanitarian response addresses the differentiated needs and vulnerabilities of women and men of all ages.

[16] For example, by avoiding unnecessarily the relocation of beneficiaries, creating undue dependency on the relief system, exacerbating vulnerabilities, exposing beneficiaries to unjustified risk or causing excessive detrimental impact to the environment.

[17] It will nevertheless be important to ensure that community-led responses are non-discriminatory and that vulnerable groups are included and have their specific S&S needs addressed.

[18] See Habitat for Humanity: 'Pathways to Permanence', 2012.

[19] See UNHCR: 'Durable Solutions', 2010.

[20] https://interagencystandingcommittee.org/sites/default/files/centrality_of_protection_in_humanitarian_action_statement_by_iasc_princi.pdf

[21] The way in which this is applied should be informed principally by the Pinheiro Principles (http://2001 2009.state.gov/documents/organization/99774.pdf).

Principle 4: Make shelter and settlements more resilient and safer from hazards and risks[22]. Action should be taken to protect shelter, settlements and their occupants from natural hazards as well as human-induced threats. Measures include strengthening the built environment through hazard resistant construction, safety standards (such as lighting in public places, electrical and fire safety[23]), and the introduction of necessary preparedness actions, such as early warning, evacuation and protective shelter. Based on technical advice, in order to achieve serious risk mitigation, relocation may be envisaged.

Case Study 1: EU Civil Protection assistance in response to the Nepal earthquake

In April and May 2015, an earthquake and its aftershocks struck central Nepal, close to the major cities of Kathmandu and Pokhara. 8,786 people were killed, and 2.8 million were left in need of humanitarian assistance, with shelter identified as a key priority.

On the day of the earthquake, the Nepalese government and UNOCHA made a request for assistance to the European Union Civil Protection Mechanism (EUCPM). This Mechanism, facilitated by the Commission's Emergency Response Coordination Centre (ERCC), can complement humanitarian responses by coordinating the offers of personnel, equipment and relief items from its 33 participating states. In this case, 17 states responded to the request, providing urban search and rescue support, medical teams and water purification, as well as all-weather shelter materials including 365 tents, temporary shelter kits for 65,700 people, 8178 blankets, 1064 sleeping bags and 300 beds.

The Commission deployed a Civil Protection Team of ten experts and three liaison officers for a period of 20 days to coordinate this incoming assistance and provide recommendations to the ERCC and participating states on the most urgent needs and types of assistance still required. The team included structural engineers who supported the Nepalese authorities to conduct assessments of key public buildings and infrastructure, such as hospitals, roads, shopping centres, commercial and residential buildings, and government offices, and to identify priorities for shelter and settlement repairs. The engineers also assessed access roads and buildings in the humanitarian hub to ensure operations were set up in appropriate safe locations.

The team worked closely with ECHO field staff and within the broader humanitarian coordination frameworks to support assessments, logistics and the flow of credible and reliable information, in order to improve the efficiency and effectiveness of the humanitarian response.

Photo: EU structural engineers assess hospitals and other key public infrastructure in Nepal (EU/ECHO/Pierre Prakash)

[22] Failure to address these risks can undermine the relief process, causing additional loss of life, displacement, aid dependency and increased vulnerability.

[23] Fire safety may include incorporating fire breaks to settlement planning, using non-flammable tents and construction materials, and reducing fire risks from household heating and food preparation practices.

3. Entry and Exit Criteria

In line with the principles detailed in Section 2, **DG ECHO interventions seek to achieve safe, secure, dignified and appropriate S&S solutions, which reduce individual and collective vulnerability to future shocks. Given the short-term, emergency life-saving focus of its funding, DG ECHO responses will not always provide these solutions in full, but they should promote them and help facilitate their achievement in a reasonable timeframe**[24]. If an S&S action is initiated in support of other sectors, this action should ensure that S&S guidelines are taken into account, and that standards and objectives are met.

Entry[25]

The entry point for DG ECHO's S&S assistance is objective, substantiated evidence of grossly-inadequate S&S conditions or related services, which fall below globally- or nationally-accepted humanitarian standards, as a direct result of a crisis, and where local coping capacity is insufficient. More exceptionally, the entry point may also be prior to a crisis event, if the vulnerability of the intended beneficiaries, and the likelihood and anticipated impact of a crisis on the local S&S services, are all extremely high. Humanitarian engagement should take into account that affected communities will be the first responders, and the main actors: in line with Principle 1, interventions should avoid anything best undertaken by crisis-affected populations themselves.

The constraints of DG ECHO's necessarily short-term humanitarian programming cycles should be assessed against its comparative advantages[26] for any given context, when compared to other instruments or sources of funding. In particular, implementation should be possible within the timeframe of the DG ECHO funding instrument. For DG ECHO to consider engaging in longer-term S&S assistance, the following essential components are required: clearly substantiated, continuing humanitarian shelter needs not met by others; implementing partners with the appropriate experience, capacity and skills; and a viable exit strategy with clear potential for community and/or institutional uptake, learning and replication.

Exit

In principle, **the exit point for DG ECHO's S&S assistance is the moment when the needs which initially justified the intervention have been satisfactorily and durably addressed.** This may be in absolute terms, meeting local or global humanitarian S&S standards[27]; relative to the capacity of humanitarian interventions to address such needs; or may take into account other donors, partners, and local capacity, and their respective comparative advantages. In practice, however, the time constraints of DG ECHO funding will often dictate the end of the assistance. Consequently, emphasis on the durable outcomes of S&S assistance, and on establishing synergies with development and/or other social protection programmes, will be a priority from the outset.

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[24] A more cost-effective approach to community shelter solutions, combining technical and financial support, rather than the present bias to provide shelter products, will lead to a wider and more durable impact.

[25] For additional guidance on entry criteria please refer to annex A - Indicative Decision Tree for the Selection of S&S Proposals

[26] See FAQ 1 of Annex C for additional consideration on DG ECHO's comparative advantages.

[27] Such as objective metrics defined by the relevant shelter clusters.

Case Study 2: Linking relief with reconstruction and development in Haiti

The 2010 earthquake in Haiti devastated a highly populated area including the capital Port-au-Prince, killing over 200,000 and displacing 1.5 million. The impact of this disaster was exacerbated by pre-existing economic and political weaknesses, poorly planned and constructed neighbourhoods and a lack of emergency preparedness at both national and local levels. Haiti is among the most disaster-prone countries in the region experiencing frequent flooding and hurricanes. Informal neighbourhoods in the steep foothills of the city were some of the areas most impacted by the earthquake and highly vulnerable to storm damage. The post-earthquake response and rehabilitation involved significant challenges to restore shelter, settlements and livelihoods but also provided opportunities to redress underlying vulnerabilities and contribute to more resilient communities and urban development.

Agencies such as GOAL adopted multi-sectoral area-based approaches starting with emergency measures including debris removal, provision of emergency shelter materials, rehabilitation of water and sanitation and support to those displaced in spontaneous makeshift camps. The subsequent transition to recovery involved participatory planning and implementation processes to identify priorities and to optimise capacity building, ownership and sustainability.

Shelter activities included training on hazard-resistant construction, support for repair and retrofitting, water and sanitation, and financial and livelihood assistance for displaced families to exit camps and return to their neighbourhoods. The menu of shelter assistance responded to the different needs of owners and renters. Settlement activities were implemented as targeted DRR interventions. They included 25 community-managed micro-infrastructure rehabilitation projects of stairs, footbridges, retaining walls and storm drainage, serving to mitigate risks and to improve daily life with particular regard to access and circulation. Moreover, community disaster response teams were trained and linked to the national civil protection system.

Outcomes included an accelerated recovery from crisis conditions, increased knowledge of risks at local and national level, critical urban physical mitigation, improved construction and sanitation practices, and communities mobilised to manage future disaster events. 32 communities developed area rehabilitation programmes supported by a range of assistance agencies and in collaboration with national and local authorities. NGOs like GOAL combined emergency expertise with community-centred urban development approaches to develop a settlement-based response appropriate for an urban disaster.

Photo: Trained builders and community members rehabilitating houses and public buildings in Haiti (EU/ECHO)

4. Key Determinants

In order to achieve the principal and specific objectives outlined above, **two interconnected areas of intervention have been identified: shelter assistance and settlement assistance**. These areas must be considered holistically in order for S&S assistance to be efficient and cost-effective. The extent to which each of these areas of assistance fulfil DG ECHO's core humanitarian remit of saving lives and relieving suffering will vary depending on the context. **With limited resources, DG ECHO will prioritise its engagement across these two areas of intervention.**

4.1 Capacity, needs and vulnerabilities of the affected population

Natural disasters and complex emergencies can result in damage to housing and settlements, displacement of populations, and disruption to services, food security and livelihood opportunities, and household and collective activities. Shelter, housing and settlement, and where and how people build and live in their homes, neighbourhoods and cities, are particularly context-specific. Context analysis is therefore essential to inform impact and needs assessments, as well as the design and implementation of S&S assistance.

Exclusion from access to support, and lack of or exhausted capacity[28] within the affected population, can result in the following types of need:

- physical needs, including those resulting from exposure[29], or from injuries and vulnerabilities as a result of site conditions[30];
- psychological needs[31];
- protection needs[32];
- needs arising from specific vulnerabilities[33].

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[28] due to a lack of skills, finance, rights, transport, or materials; or negative coping mechanisms, such as the sale of assets to cover shelter costs or worse.

[29] Insufficient or inadequate shelter will be a greater concern in contexts where affected populations are on the move, are at risk from severe temperatures or heavy rain, where they do not have adequate clothing and shoes, cannot keep bedding dry, or have no shade. Inadequate shelter and access to facilities may include lack of options for adequate personal hygiene or food hygiene with consequent health risks, as well as in-house pollution resulting from poor ventilation and items such as indoor kitchen stoves, candles and petrol lamps.

[30] These may include flooding or inadequate drainage including of contaminated water, severe overcrowding increasing communication of disease, or occupation of damaged and dangerous buildings. Populations which have experienced extensive damage to buildings such as by earthquakes or hurricanes, or who have experienced violent conflict, may have high rates of injuries; or displaced populations whose journeys were arduous may have high rates of exhaustion or other health problems. In both cases shelter and settlement conditions are a critical factor in facilitating recuperation.

[31] Losing a home through natural disaster or conflict or forcibly leaving home may be extremely stressful for individuals and families. The uncertainty of displacement and the prospect of mobilising resources to replace such a substantial asset as a home may be overwhelming. Temporary shelter conditions may be stressful, not only in terms of inadequate physical space, but also due to loss of privacy, isolation from support networks, or insecure or exploitative arrangements. Sheltering in crisis frequently causes reshaping of the household unit, including both separation or splintering of families or merging of groups in hosting arrangements, which can contribute to relationship breakdowns and other strains.

[32] People need to be able to settle in areas that are safe and distant from major risks such as conflict frontlines, aggressive neighbours living in the same settlement, or from surrounding communities. The different risks facing men and women in terms of gender-based violence should also be taken into consideration. This will impact the choice for both shelter (including locked doors and windows, for example) but also settlement (such as including public lighting). In addition, men and women may be abused and in need of assistance to protect their rights to access safe and more durable shelter and settlement solutions, and allow them to recover from the effects of crisis.

[33] In all of the above cases, duration may be a factor in exacerbating the negative impacts of poor shelter and settlement conditions on physical or mental health. There may be specific vulnerabilities and challenges for members of the affected population, including the disabled, mentally ill, unaccompanied minors, pregnant women, female-headed households, elderly and very young children. Consider limiting barriers to inclusion, such as steps or changes of levels close to exits in

Information collected as part of a shelter needs assessment may include the following[34]:

- a **description of the damage**, cataloguing the varying degrees of housing damage (ranging from "undamaged" to "destroyed") and profile of the affected population, including the number, location and percentage of total households with no shelter or inadequate shelter;
- a detailed analysis of the **prevalent housing typologies** in the target area as well as the damage inflicted to each typology by the disaster;
- an **analysis of key housing market characteristics** in affected areas;
- a description of the **main constraints and opportunities** faced by the disaster-affected population **in accessing housing** without relying on external assistance;
- an analysis of the **causes of housing damage and the risks of this reoccurring** (e.g. traditional and repeated faults with construction methods), the severity of the disaster and the **vulnerability of existing shelter practices** to future disasters, etc.;
- how many people lived in the affected area prior to the disaster; and
- information on **the nature of shelter required** and the expected duration.

4.2 Characteristics of a crisis that inform S&S responses

S&S adequacy will depend on the physical context, pre-crisis conditions and standards, and the socioeconomic and cultural characteristics of the affected population. The building, use and maintenance of housing and settlements should be understood as composed of dynamic systems of governance, culture, local building, planning or siting traditions, infrastructure, markets and social systems, and the environment. The resulting impact of a disaster on the S&S sector needs to be evaluated in terms of the interdependent relationships between these systems and the type of crisis.

Humanitarian S&S responses should seek to support context-driven solutions, support community coping mechanisms and recovery initiatives, address the priorities and preferences of the affected population, embrace building and settling back better strategies and leverage and guide local capacities and resources.

Displacement from the place of origin of the affected population is a critical factor. If a disaster has made land, buildings and housing inaccessible – for example due to inundation, debris, landslides, or conflict – people may be displaced to open areas or to existing settlements[35]. In the case of natural disasters people are likely to wish to return to their place of origin as quickly as possible to rebuild their homes. This may be problematic if lands and other natural resources such as water have been lost, contaminated or reconfigured; if people are unable to document property ownership; if locations are deemed highly hazardous or environmentally fragile; if they are otherwise restricted for redevelopment, as in coastal or riverbank no-build zones; or simply of the risk of recurrent conflict. The type of response will be influenced by whether the potential beneficiaries are displaced, still in their homes, or are host communities. In addition, since reconstruction often begins immediately after a disaster, support to people who are still in their homes may be as urgent as it is for those who have been displaced[36]. Therefore assistance to these groups should be assessed and

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collective centres, throughout S&S assistance programming. See http://www.cbm.org/article/downloads/54741/All_Under_One_Roof_-_Disability-inclusive_shelter_and_settlements_in_emergencies.PDF and http://www.ungei.org/resources/files/12.pdf and http://gbvguidelines.org/wp-content/uploads/2015/09/2015-IASC-Gender-based-Violence-Guidelines_lo-res.pdf.

[34] https://www.concern.net/.../2-10-13-sectoral_guidelines_final.pdf

[35] See the MEND Comprehensive Guide for Planning Mass Evacuations in Natural Disasters (http://www.globalcccmcluster.org/tools-and-guidance/publications/mend-guide)

[36] DFID/SC: 'Shelter After Disasters', 2010.

delivered simultaneously rather than sequentially, mindful of their specific and most urgent needs.

Climate and environmental conditions will entail basic physiological requirements, which may be quite different from one region to another or from one season to the next. For example, protection against rain, snow and strong winds may be required. In very harsh environments, shelter should provide enclosed, temperature-controlled (heated or cooled) spaces with adequate insulation, ventilation and/or shading[37]. Moreover, assessments will need to take account of environmental considerations and locally-available natural resources to ensure approaches are well-adapted, sustainable and in line with do no harm principles[38].

Seasonally-appropriate shelter should at all times be combined with suitable non-food items for personal insulation, such as clothing, blankets and bedding, adequate heating or cooling equipment, and fuel. Where only limited resources are available during an emergency phase, agencies should promote individual survival and give priority to personal insulation rather than trying to provide a consistently warm internal environment.

Rural or urban settlements present different challenges and opportunities, both in terms of impact and response options. In **rural settlements**, housing and construction typologies are often based on local materials, techniques and skills, and construction calendars may be linked to climate and livelihood activities, such as rainfall and planting seasons. Land ownership may be traditional or collective, and rural livelihoods may be subsistence-based. In **urban settlements[39]**, access to land and housing is predominantly cash-based, with formal and informal mechanisms and markets, and multiple stakeholders and price points. Urban settlements may range in size from villages to large cities and slums, with diverse backgrounds, interests and networks, offering greater capacities in terms of governance systems, markets, communications, service providers and professional skills. Displacement in urban centres may offer greater rental accommodation and livelihood opportunities, but may strain infrastructure and make it difficult to locate or assist those in need. Land and property may be complex in terms of legal frameworks for ownership, status and transactions. Housing and construction typologies may be local or makeshift using temporary and recycled materials, or conventional including materials such as bricks and concrete, and including single or multi-storey blocks. All of these typologies, formal and informal, may coexist and represent different stages of development or different economic levels.

The type of hazard is of importance in considering the response. **Natural hazards** such as floods, cyclones, volcano eruptions and earthquakes may cause extensive death and injury, loss of personal and household goods, debris, and damage to land and infrastructure, including to habitats and buildings. Earthquakes may completely destroy or seriously compromise the structural integrity of buildings. Liquefaction may occur in water-saturated soils and bring edifices down. After-shocks often result in people being afraid to sleep inside buildings, including those whose homes are not damaged, and create demand for safe shelters. Wind, rain, snow or ash may cause roof failure, and rainwater runoff may cause erosion of land or deposition of silt. Inundation may weaken buildings or may render settlements inaccessible. Slow-onset natural disasters such as drought may not have a direct impact on shelter but may trigger displacement with consequent new settlement and shelter needs. Events of extreme heat or cold can lead to higher levels of morbidity and mortality, if shelters are not adequately weatherised. **Man-made hazards**, including conflicts as well as chemical or biological threats, may result in insecure settlements, and destroyed, damaged, looted or booby-trapped houses. Access to shelter and settlement at the place of origin may be lost, severely restricted or intermittent. Solutions may include demolition and clearance before the rehabilitation of

[37] See Shelter Project: 'Emergency Shelter for Humanitarian Relief in Cold Climates', p26: http://www.shelterproject.org/downloads/coldshelter2.pdf

[38] See footnote 14.

[39] See NRC/Shelter Centre, Urban Shelter Guidelines, 2010 http://www.sheltercasestudies.org/files/NRC-urban-shelterguidelines_23-11-10_compressed.pdf

existing neighbourhoods can take place. Heavily damaged areas of multi-storey urban housing may involve different issues than simple rural housing and settlement; and returning populations may have land or property issues to resolve.

The scale of crisis, the capacity to recover and markets are all important factors. The proportion of the population which has been affected, severely or partially, needs to be considered. If only a small proportion is made homeless, accommodation and hosting may be available from others whose homes are safe, whereas if the majority are homeless, local options may be more limited, leading to greater exposure. While some affected communities may already suffer from a chronic pre-crisis housing deficit, others may have capacity, including through collective centres and religious buildings. S&S differs from most other sectors in that there is often no specific government agency to take over the humanitarian S&S response, which can create an institutional vacuum. This is why the impact on the private sector, particularly local S&S systems, associated markets, industries and services should also be carefully considered. The functionality of government, markets, supply lines, and transport in support areas as well as directly-affected areas is critical to understand the capacities for recovery and the options for response. Crises may lead to scarcity and inflationary impacts on markets. Capacities and skills may be affected, for example with the departure of many men in a conflict. Damage to urban areas may affect markets and services available to rural areas. Urban reconstruction will likely draw labour from rural areas seeking job opportunities. Conversely, damage in rural areas may affect food availability and trade in urban areas.

The timing and duration of crisis – including the season, the possibility of rain or extreme temperature, protracted inundation, or delayed debris-removal – will impact on the S&S needs and the rehabilitation and reconstruction process. Beneficiaries may have been displaced a number of times and may have more urgent priorities than upgrading their current place of residence; in some cases occupants may not be permitted to carry out building works. Upgrading the fabric of the building may become less of a priority during the warmer and drier months and may re-emerge as a concern later in the year. In the likelihood of protracted displacement, where the average duration of such refugee situations is estimated to be around 25 years[40], S&S interventions should promote durable solutions as the ultimate goal, even if humanitarian aid in itself is unlikely to fund them to completion.

[40] UNHCR estimates that the average length of major protracted refugee situations – defined as situations in which at least 25,000 refugees from the same nationality have been in exile for five or more years in a given asylum country – is about 25 years. This duration relates to the refugee situation as a whole and not necessarily to the experience of individual refugees. See UNHCR: 'World at War: Global Trends Forced Displacement in 2014', 2015. https://www.unhcr.org/556725e69.html.

Case Study 3: Shelter, Settlements, and the centrality of Protection

In dynamic and unpredictable crisis situations, protection criteria are likely to be paramount, and require responsive approaches including in shelter and settlement activities. The Central African Republic experienced an escalation in violence and tension from the end of 2012 and throughout 2013 and 2014. At its peak, over 900,000 of the national population of 4.5 million were displaced. Within the capital city Bangui, people took refuge in buildings such as churches and schools or in improvised camps. As the situation improved people chose to return to their homes and neighbourhoods, but continued to fear insecurity particularly at night.

The shelter response strategy aimed to ensure that displaced populations in the provinces and the city were protected from the elements and could live in dignified conditions, without threats to their personal safety. Shelter support included the distribution of emergency materials such as tarpaulins and the construction of community shelters in Bangui. Community shelters included the conversion by ACTED of a local disused training centre to provide a protected compound at night from 6pm to 6am for families who used their homes during the daytime. 30 group shelters were constructed, which people occupied with their families and neighbours. Latrines and showers were also constructed on the premises. The planned capacity of the site was approximately 1000 people, but exceeded 2000 during periods of high instability. Security was maintained by high existing boundary walls and new lighting, along with the presence of international peace-keeping troops in the area, on-site management and coordination between authorities, agencies and the community.

The community night shelter addressed the population's vulnerability by ensuring they had close access to a location secure from armed violence. The facility operated in parallel with a return support programme, helping to accelerate incremental recovery of normal daily activities, livelihoods and rehabilitation of houses. The communal shelter model was flexible enough to accommodate additional people when required and to adapt to different user groups. Services provided on site were accessed by high numbers and could be managed and maintained, whilst hygiene and other risks linked to overcrowding were mitigated by shelters only being used at night[41].

Photo: Community night shelters in Bangui (ACTED)

[41] For further information, see www.acted.org/en/car and http://www.sheltercasestudies.org/shelterprojects2013-2014/Shelterprojects_2013-14_Lowres_WEB.pdf

4.3 Approaches and modalities

In responding to humanitarian S&S needs, DG ECHO prioritises:

- **speed and coverage** in the immediate emergency phase; and
- **safety, quality and cost-effectiveness**, **with replicable, risk-informed and durable solutions** progressively applied from the emergency phase onwards, including in recurring and protracted crises, and **with emphasis on supporting the variable rates of recovery, recognising that acute needs can recur at any stage in the crisis.**

DG ECHO also prioritises **process rather than a product.** Families who have been impacted by disasters always need sheltering, but they may not want or need a shelter. It is the process that is vitally important, not always the delivery of a finite product. Such process assistance can help recover family self-reliance, re-establish livelihood activities, and ensure populations feel safe and protected after the trauma of destruction and loss.

Approaches

DG ECHO identifies seven approaches, which may be combined in various ways, based on the analysis of local circumstances, when developing a shelter & settlement programme.

1. S&S assistance should be people-centred
2. S&S assistance should select the appropriate balance between provision and support
3. S&S assistance is incremental
4. All interventions should be risk-informed, and building and settling back safer should be a key consideration.
5. S&S assistance should be settlement informed by adapting the shelter response to the characteristics of the local settlement[42].
6. S&S assistance is multi-dimensional,
7. S&S should be displacement sensitive

1. Assistance should be people-centred. Affected populations may seek shelter solutions from day one after a disaster event, and often with a mid- to long-term perspective. For example, refugees or IDPs may seek rental opportunities, and owners and renters may start to build or rebuild housing. In many contexts, shelter and housing arrangements are organised by the affected people, mostly informally. The **affected communities hold a range of capacities, skills, knowledge and abilities, individually and collectively, that should be harnessed**. It is fundamental that S&S assistance supports the local dynamic and self-recovery process in the sector, building on the prevailing technical practice, culture and knowledge, and taking into account household and livelihood activities. For instance, in some cases consideration should be given to the specific needs of pastoralist populations in line with minimum standards for livestock shelter and settlement[43].

A people-centred approach seeks to ensure that the interests of beneficiaries is at the centre of operations and that S&S assistance is tailored to the differentiated needs of women, girls, boys and men. This includes asserting the primacy of affected populations in decision-making and implementation; it acknowledges the wide range of personal, family and community contexts

[42] See FAQ 10 in Annex C for ECHO position regarding *settlement or area-based approaches* in S&S programming.
[43] See LEGS: 'Livestock Emergency Guidelines and Standards', 2014, p167: http://www.livestock-emergency.net/wp-content/uploads/2012/01/LEGS-2nd-edition-reprint-October-2015-reduced-locked.pdf

which inform the S&S preferences and priorities, and the varying paces and paths taken by populations through crises and into recovery.

Assistance should **take gender, age and disability considerations into account.** Natural disasters and man-made crises are not gender-neutral, and women, girls, boys and men have different needs, roles and responsibilities related to shelter[44]. S&S assistance should take into account the potential exclusion of minorities and/or groups such as unaccompanied minors, disabled or the elderly, from some type of programmes; the differentiated needs and capacities; and the traditional roles of women and men in the construction and use of shelter, including division of labour, collection of material and responsibility for household chores. Both men and women should be consulted and should participate in design and implementation. Whenever relevant, GBV mitigation measures should be incorporated[45]. The systematic integration of a gender and disability approach in S&S assistance is an operational requirement for effective quality programming, as well as for compliance with the EU's humanitarian mandate and international law and commitments[46].

Case Study 4: People-centred approach in the Philippines

In November 2013 super typhoon Haiyan made landfall in the Philippines causing widespread physical and economic losses. Across nine regions buildings collapsed and roofs were ripped off in strong winds. Coastal areas were inundated by storm surges destroying houses and infrastructure. Agricultural and environmental damage affected food supply and livelihoods. Over 1 million homes were destroyed or damaged, displacing 4.3 million people. In all 13 million people were affected. Although the Philippines experiences frequent typhoons and has made significant progress in disaster management, the scale of damage after Haiyan was unprecedented and the task of meeting emergency and reconstruction needs was extremely complex across the archipelago.

Agencies sought to ensure a balance between coverage and targeting to vulnerable groups. CARE and its local partners focused on settlements directly damaged by the typhoon in remote and disadvantaged areas, and coastal areas with low coping capacities. A community based approach was used to further identify and assist households with greatest needs.

CARE's shelter assistance consisted of both household-level support, including tarpaulins, tools and conditional cash grants provided to priority families along with technical mobile teams; and community-level support, with wide scale mobilisation, training and awareness on hazard resistant construction, water and sanitation. The aim was to facilitate self-recovery in shelter, equipping people with the means, materials, skills and information to start rebuilding their homes with improved construction practices to reduce future risks. The self-recovery shelter support approach addressed the challenge of scale, using analysis of needs, capacities and local markets as well as strong community engagement and technical assistance throughout the recovery process.

Within a year over half of those who received shelter assistance had rebuilt their homes, and the other half expressed confidence that they could complete the work. All households used safer construction measures,

[44] See HelpAge International/ICRC: 'Guidance on including older people in emergency shelter programmes', 2011: http://www.ifrc.org/PageFiles/95749/HelpAge-IFRC-Shelter-Guidelines.pdf

[45] http://gbvguidelines.org/wp-content/uploads/2015/09/TAG-shelter-08-26-2015.pdf

[46] See DG ECHO's Thematic Policy Document 6: Gender: Different Needs, Adapted Assistance, 2013.

with particular uptake of bracing, strapping and roof fixing improvements. The support approach reached far more people than an agency-centred construction approach. The programme enabled cost-effective reconstruction, with minimal wastage, supporting choices made by households tailored to their shelter and other needs.

Photo: Beneficiaries repairing their homes using financial and technical support (EU/ECHO/Pierre Prakash)

Assistance may **include a range of individual, collective and/or host S&S solutions. Individual** household dwellings are often preferred as they can help reinforce the privacy, security, cohesion and resilience of individual families. However, **collective** shelter solutions may be required temporarily in areas where security threats increase the risk to isolated households, where essential services such as water and food are limited, or where displaced populations are on the move and are simply transiting through. The provision of mass shelter in large buildings or structures can provide rapid temporary protection from the climate and other threats, and may be preferable when there are insufficient material resources to provide the required level of thermal comfort within individual dwellings. Disaster-affected people often prefer to stay in a **host** community, with other family members or with people who share historical, religious or other ties. Shelter assistance may include support to expand or upgrade an existing host family shelter and facilities to better accommodate the displaced household, or the provision of an additional separate shelter adjacent to the host family[47].

2. S&S assistance should be the result of an appropriate balance between "provision" and "support". Following the emergency provision of basic S&S items such as tarpaulins and household items, focus should as quickly as possible shift towards a supportive approach. This requires in-depth assessment, and not just of different groups and household reconstruction and recovery rates. Assessments should include local markets, S&S traditions and skill-sets, and environmental considerations, and a broad range of assistance options should be considered. This might include technical assistance on housing and settlement regulatory issues, policies, codes and standards; local-level coordination; capacity-building of local systems; quality assurance, such as for materials and skills; household-level awareness of risk and safety; facilitating informed decision-making; and tenure support.

> *A supportive approach focuses on adding value, assisting household self-recovery, and strengthening systems towards more durable outcomes and processes, thereby informing a viable ECHO´s exit strategy.*

In situations where addressing the shelter needs of affected populations requires **household reconstruction** (rather than, for instance, support with rent payments or housing, land and property (HLP) issues, or assistance for populations on the move), consideration should be given to whether beneficiary-driven, community-driven or agency-driven programmes are most appropriate, taking into account factors such as household capacity for reconstruction, ensuring shelters and settlements are built back safer, cost- and time-effectiveness, and household choice and flexibility[48].

3. S&S assistance is incremental, requiring constantly-evolving planning and monitoring for continued improvements and upgrades in quality and resilience, in investment, and in growth and consolidation. It should contribute to the progressive improvement of living conditions in conflict situations and to recovery and reconstruction in natural disasters. It should also prioritise **durable solutions based on locally-available and affordable options**. For example, lumber debris resulting from typhoons may be recycled as building material for reconstruction, and local construction workers and professionals may be trained in hazard-resistant structures, repair and

[47] See Sphere: Humanitarian Charter and Minimum Standards in Humanitarian Response, 2011. http://www.spherehandbook.org/en/1-shelter-and-settlement/

[48] See FAQ 7 in Annex C: Frequently Asked Questions.

retrofitting.

For some populations, the return to normality can start quickly through in-situ rehabilitation; for others the impact of the crisis and varying capacities for recovery may mean the process takes longer. For those in protracted crises or frequently-recurring disasters, the path to re-establishing permanent homes may be unpredictable and complex.

4. All interventions should be risk-informed, and building and settling back safer should be a key consideration. Climate change, rapid urbanisation, poor construction practices, risky settlement-siting and corruption are some of the factors that increase the level of vulnerability to S&S-related hazards. Rehabilitation following a disaster provides a unique opportunity to introduce measures aimed at mitigating the negative impact of these factors, so that future threats to S&S infrastructure and services are reduced. Disaster Risk Reduction and Risk Management measures[49] should be incorporated into the overall strategic plan of S&S programming and implemented as soon as any reconstruction begins[50], and **action should be as environmentally-friendly as possible**[51].

In many pre-disaster settings, affected housing does not comply with local construction standards or building codes, or these may not exist. Humanitarian S&S interventions such as temporary or transitional shelter[52] may not always attain these standards, but they should promote them for populations and other actors engaged in rehabilitating or constructing permanent shelters[53].

The vulnerability of a shelter or settlement, and the extent of the physical damage caused by a given disaster on the affected habitat, need to be assessed. A distinction must be made between the need to **retrofit, repair, or rebuild** disaster-affected houses or shelters; and ultimately, if no other solution is available, or if the site is too exposed to hazards, the need to **relocate** affected populations. Considering a combination of these four options will inform the design of the S&S response.

5. S&S assistance should be settlement informed by adapting the shelter response to the characteristics of the local settlement[54]. This includes, for instance, adapting to **urban settings** so that responses strengthen the functionality of existing urban systems. This will require engagement with local authorities, who are likely to have greater roles and responsibilities than in rural areas, including in S&S service provision and regulatory frameworks. Urban S&S programming requires greater coordination and approaches that take into account household-, neighbourhood- and city-level stakeholders, as well as consideration of context-specific protection issues. In urban settings, some IDP camps may become permanent. In such cases, consideration should be given to planning these camps as integral extensions of cities, to become self-sufficient or even sustainable. As far as possible, the planning of formal camps should be based on national urban planning guidelines and international good practice to avoid creating future slums, and so that infrastructure investment in temporary settlements increases the resilience of urban settings.

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[49] See DG ECHO's Thematic Policy Document #5: Disaster Risk Reduction, 2013.

[50] For floods or hurricanes, this may include individual household-level measures aimed at improved anchorage or raised plinths, and collective measures at settlement supporting coastal protection, windbreaks or watershed management efforts.

[51] This should include consideration of environmental sustainability and the impact of both the crisis and the reconstruction process on the local environment. For example, site and settlement planning may include assessing the environmental impacts of S&S projects, fewer but larger managed settlements may be prioritised to maximise environmental sustainability, consideration may be given to the beneficial and detrimental effects of erosion for shelter and settlement, and adequate procedures should be in place for the disposal of construction and packaging waste. See https://www.humanitarianresponse.info/es/topics/environment/page/emergency-shelter.

[52] See FAQ 4 of Annex C: Frequently Asked Questions.

[53] See FAQ 9 of Annex C: Frequently Asked Questions.

[54] See FAQ 10 in Annex C for ECHO position regarding *settlement or area-based approaches* in S&S programming.

Case Study 5: Shelter support in the urban settings of Lebanon

Lebanon – the smallest and most densely populated of Syria's neighbours – hosts the highest per capita number of Syrian refugees in the world. Unlike in Jordan, Turkey or Iraq, almost all Syrian refugees in Lebanon have had to find private accommodation owing to the Government's decision not to permit large-scale formal camps. As a result, over 80% have settled in the country's urban and peri-urban areas, many of them in substandard conditions, often renting garages or rooms in unfinished buildings. Seventy per cent of refugees live below the poverty line. Five years into the crisis, refugees state that the biggest challenge they face since coming to Lebanon is securing adequate accommodation for their families.

In response, the NRC in 2013 began supporting property owners to bring their unfinished houses and apartments to a basic habitable condition in exchange for hosting Syrian families rent-free for a period of 12 months. This provided vulnerable households with safe housing meeting minimum standards, contributing to their physical security and dignity during displacement, while stimulating local economic activity and increasing the value of the property owner's asset – a win-win approach. As the displacement became prolonged and the vulnerability of refugees increased, NRC, with support from ECHO, modified the programme to provide additional hosting periods to vulnerable households through further upgrades to host-community properties. The protective elements of this shelter approach are further enhanced by ensuring appropriate water and sanitation and support for basic rights through full integration of WASH activities alongside information, counselling and legal assistance at the household level.

As a result of the intervention, NRC has supported thousands of vulnerable families with rent-free hosting, invested resources in the local community and increased the affordable housing market. Through household level information and counselling, refugees have been able to access services and make use of their rights. And an evaluation carried out in 2015 found that the win-win approach increased host community acceptance of refugees.

Photo: A Syrian refugee in rented accommodation in Lebanon (NRC/Christian Jepsen)

6. S&S assistance is multi-dimensional, addressing not only sector-specific needs but also those linked to other basic services and infrastructures, including WASH[55], protection, health[56], education, access and transport, food utilisation[57], Infant and Young Child feeding, livelihoods and markets, governance and social dynamics, and environment and ecosystems[58]. These considerations should be informed by inter-agency and inter-sectorial coordination, and support the design of S&S programing, incorporating vital cross-cutting considerations such as LRRD, DRR and resilience. Improved S&S conditions will therefore contribute to multiple outcomes including improved health, safety, dignity, privacy and security, increased social cohesion, accelerated economic recovery, and reduced risk.

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[55] For integration of WASH, see FAQ 5 of Annex C.

[56] For health impacts of thermal stress resulting from inadequate shelter, see FAQ 6 of Annex C.

[57] One of the core pillars of food security, adequate food utilisation requires a sufficient diet with all essential nutrients, good feeding practices, potable water, adequate sanitation, access to appropriate fuel and energy for food preparation and conservation, and access to health services.

[58] See Kelly: 'Checklist-based Guide to Identifying Critical Environmental Considerations in Emergency Shelter Site Selection, Construction, Management and Decommissioning', 2005, and Groupe URD: 'Environment and Humanitarian Action – Increasing Effectiveness, Sustainability and Accountability', 2014.

7. S&S assistance should be displacement sensitive, recognising the distinct vulnerabilities that displacement situations can produce for those directly and indirectly affected, and with distinct entry points for acute and protracted displacement situations. Assistance may focus on **transitional settlements**, **transitional reconstruction**[59], support for people who are on the move, in transit or stranded[60], and support for host communities.

For **displaced populations**, S&S assistance is usually provided for **transitional settlement** in the following types of settings: collective centres, formal or informal camps, urban settlements, rural self-settlements, and host families. Settlements can either be **dispersed or grouped**.

Dispersed settlement: A post disaster response strategy may include support to displaced populations in dispersed settlement, such as host families and either rural or urban self-settlements, which is often preferable to supporting grouped settlement for the following reasons:

- It can be more responsive to the changing needs and circumstances of displaced families, if it allows more choice and better relations with the hosting community
- It can be more appropriate to the needs of those displaced, offering a better use of existing coping strategies and local contacts
- It can be more effective in offering the hosting community support to common infrastructure and services
- It can be more cost effective as it requires smaller initial investments than large scale responses, such as planned camps.

Grouped settlements: The support of grouped settlements, such as collective centres, self-settled camps and planned camps should only be considered when:

- the only sites available are where there are no local settlement within which to integrate the displaced population
- political, social and financial costs of emergency and longer term support to dispersed solutions are too high
- the need is so urgent that there is no time to set up an infrastructure for dispersed settlement
- the local community is hostile to the integration of those displaced
- the host government is not allowing dispersed settlement for political or security reasons
- the local environment is fragile and the impacts caused by the migrating population can be better contained in a grouped settlement
- the displaced population requires special infrastructure such as emergency feeding centres and cholera hospitals.

"*Out of Camps*"[61] or "*Alternatives to Camps*"[62] settlement strategies should be pursued whenever possible so that the displaced are protected and assisted effectively, and are able to achieve solutions without resorting to the establishment of camps; and when existing camps are phased out or transformed into sustainable settlements. These strategies allow displaced populations better to exercise their rights and freedoms, make meaningful choices regarding their lives and improve their possibilities to live with greater dignity, independence and normality as members of communities.

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[59] See Annex F: Glossary for definition of both terms.

[60] Support may include the provision of temporary emergency shelters adapted to the climate and weather conditions; and personalised insulation for populations that may be sleeping in the open, with seasonally-appropriate light-weight items such as portable tents, sleeping bags, blankets, clothing and footwear.

[61] http://www.globalcccmcluster.org/tools-and-guidance/publications/urban-displacement-out-camps-review-0

[62] UNHCR: Alternatives to Camps, 2014 http://www.refworld.org/docid/5423ded84.html

New (emergency) settlements such as camps (informal or planned) are often costly, rarely successful and may increase dependency on aid. However, where camps are appropriate, or are the only viable option, S&S assistance should fulfil all requirements and standards of site selection (i.e. proximity to place of origin of the displaced), planning, design, administration and management[63]. To maximise the success of a camp option, consideration should be given to the state and needs of host communities.

For **non-displaced populations**, S&S assistance will usually be provided for **transitional reconstruction**, targeted at different categories of potential beneficiaries, including occupants without legal status; house, apartment or land tenants; and house or apartment owner-occupiers. Existing settlements include urban settlements, rural self-settlements and host communities or families. Depending on the circumstances, support may entail a range of in-situ options including: S&S assistance to return to the neighbourhood of origin; increasing the absorption-capacity of receiving neighbourhoods; support for extending or building new neighbourhoods; optimising available housing stock; and prioritising rehabilitation and upgrading where feasible.

Finally, in some contexts, limited support to indirectly-affected populations may be required, such as contributions to the livelihood of **host communities** in order to support settlement functioning and societal cohesion.

Table 1: Typology of affected populations[64]

Crisis impacts on:

Non-displaced population, including	Displaced population (that are hosted in/by)	Indirectly affected population, including
• Dwellers with no legal status • Tenants which includes, house tenants, apartment tenants, and land tenants. • Owner which includes apartment owner-occupiers and house owner-occupiers.	• Collective, evacuation or transit centres • Planned or self-settled camps • Urban settlements • Rural self-settlements • Host families	• Host families/communities • Local property and land owners • Individuals involved in the construction sector

[63] See CCCM : 'The Camp Management Toolkit', 2015: http://www.globalcccmcluster.org/tools-and-guidance/publications/camp-management-toolkit-2015

[64] Adapted from DFID/Shelter Centre: 'Shelter after Disasters: Strategies for transitional settlement and reconstruction', 2010. http://sheltercentre.org/sites/default/files/shelterafterdisasterguidelines2010_0.pdf

Modalities[65]

Four core categories of modality operationalise the S&S principles and practices, and frame the variety of response actions. These are: Technical support, financial support, Material support and Contracted works or products.

Detailed analysis should be used to inform the choice and combination of modalities best suited to a particular context and the needs to be addressed. In order to successfully respond to the needs of affected populations, **S&S programmes need to consider the best possible combination of sheltering activities and modalities**. **A diverse response is more likely to allow for a more targeted reach and a wider coverage, while making the best use of affected families' and individuals' own coping capacities**.

For more information please refer to Annex B (Technical annex). This annex provides practical **advice to enable strategic decision-making for the implementation of S&S response scenarios, based on a combination of different modalities and activities.**

Modality 1: Technical support

Technical support covers a broad range of inputs to inform, guide and add value to the S&S solutions organised or carried out by affected populations themselves, either with their own resources or with financial or material support. Technical support is particularly vital to accompany cash programming, the provision of tarpaulins or shelter kits, and other broad-scale distribution activities.

Technical support provides an opportunity to assist – rapidly and cost-effectively – very large numbers of people and improve their S&S recovery through increased awareness and capacity. Technical support enables informed choice and flexibility for affected populations, acknowledging their diverse needs and their primary role and responsibility in the sheltering and settlement process.

Technical support:

- includes centralised activities such as establishing construction standards and mass media campaigns; and decentralised local activities such as community meetings, training or demonstration buildings. It may be provided through existing communication channels, through local authorities, through dedicated centres, mobile teams, or a combination of mechanisms;
- is not limited to construction expertise but includes legal issues, planning, information management, communication and social mobilisation skills, and economic and environmental issues;
- should not be considered a one-way dissemination processes as in printing leaflets, but should involve two-way communication, accessibility for all affected gender and age groups, practical learning and experience, and continual change and development.

Technical support contributes to protection objectives by ensuring access to information, whether on eligibility for assistance, tenure rights, grievance redress or safe shelter and services. It should address immediate S&S programme needs in a way that builds on existing local knowledge and practice, ensuring solutions are appropriate for the context, and strengthening local skills and systems as part of continued risk reduction efforts. It should be evaluated in terms of the S&S outcomes, and subject to continuous monitoring to analyse factors such as adoption and replication rates, information needs, and feedback. The criteria for providing technical support should include appropriateness, timeliness and speed, coherence, consistency, quality, scale, replicability, partnership and sustainability.

[65] For additional guidance on please refer to annexes A and B.

Modality 2: Financial support[66]

Financial support can enable households and communities to address humanitarian needs quickly, where purchasing power is a barrier to accessing goods or services, or to carrying out works. Through financial support, affected communities can organise a wide range of shelter solutions appropriate to their diverse circumstances and particular needs, including cyclone shelters and community spaces and infrastructures, meeting critical criteria for dignity and flexibility. Financial support may be provided to fully or partially address an S&S need, and to encourage adherence to standards or other conditions. This may be part of a multi-purpose cash transfer designed to address a range of needs. However, **whenever S&S programmes are supported, technical expertise, capacity building and monitoring will have to be provided for**. In some contexts, the use of cash can optimise the local economic impact of available funding, supporting local markets and labour[67]. With the growth of digital payment systems, humanitarian cash can in many contexts be delivered in increasingly affordable, secure and transparent ways. However, cash may not always be appropriate, for instance where markets are weak, where high volumes of cash may cause inflation, and where levels of corruption and cronyism are high.

Conditional or unconditional financial support[68] to **households** may be used to:

- replace personal and household items. Enabling selection and procurement by families themselves through cash or voucher mechanisms can ensure a wider choice than through in-kind distribution, and will mean that items are more appropriate and acceptable. Where large volumes of particular items such as blankets are required – and especially if these are not available in sufficient quantity or quality in local markets – they may be provided as material assistance, supplemented by cash mechanisms to allow flexibility for items with more bespoke criteria such as clothing or shoes. Cash assistance for personal and household items usually involves smaller amounts of money than assistance for shelter needs;
- construct, rebuild, repair or retrofit a shelter. The barrier for many families may be financial, so enabling them to procure materials (and pay for their transport to and from suppliers, as well as for transport of materials) or labour directly can increase individual rates of construction. Programmes involving financial assistance to carry out temporary or permanent construction works should include technical support to ensure construction is completed and to adequate standards;
- subsidise rental and utility expenses. Rent or utilities constitute living costs and may be programmed through multi-purpose cash designed to address basic needs. Costs incurred for the use of utilities, services, land or accommodation may be in instalments, or paid in advance. Terms and conditions may require deposits or other costs. Costs may be agreed through verbal or written agreements, including leases, or may be less formal such as in hosting arrangements.

Financial support to **communities** may be provided in the form of:

- Cash-for-Work (CfW) projects. Using daily or other rates, cash-for-work may be used to support S&S activities such as debris removal[69], salvaging materials, or temporary S&S or

[66] All proposals to DG ECHO for the distribution of cash and (e)vouchers must clearly articulate the intended humanitarian outcome and be consistent with DG ECHO's humanitarian mandate. Refer to DG ECHO's Thematic Policy Document 3: Cash and Vouchers, 2013, pp 13-14. See also the Global Shelter Cluster's Position Paper on Cash and Markets at https://www.sheltercluster.org/working-group/shelter-and-cash-working-group/documents?sort=date&sort_direction=DESC.

[67] It may be necessary to promote low-price markets to ensure affordable goods and services for the most vulnerable, and to promote regulated prices (for rent, materials or services) in collaboration with the competent local or national authorities.

[68] As stated in DG ECHO's Thematic Policy Document 3: Cash and Vouchers, 2013, conditionality refers to what beneficiaries are required to do to receive the transfer (for instance, cash-for-work projects), and not to conditions on how they subsequently use the resources. Grants paid to beneficiaries without the beneficiary being required to do anything specific to receive the grant are described as unconditional cash transfers.

[69] See UNEP/OCHA Environment Unit, Disaster Waste Management Guidelines, 2011

rehabilitation works;

- Direct financial support to the community to carry out and contract infrastructure works, rehabilitate S&S production facilities, improve distribution capacity or to otherwise rehabilitate local capacity for shelter construction materials.

If S&S needs – including rent or construction – are supported through shelter-specific or multi-purpose cash assistance, actors should ensure that affected men and women have access to appropriate technical information and support such as on tenure rights[70] or construction safety. **All financial support requires Post-Distribution Monitoring (PDM) to verify the use of the funds provided, the outputs and outcomes, the impacts on local markets and, where relevant, the additional resources contributed or leveraged to meet the S&S outcomes.**

Case Study 6: Financial and HLP assistance for Shelter repairs in Gaza

Since 2006, residents of the Gaza Strip have suffered from a general siege and three Israeli military operations in eight years. The blockade has resulted in increased socioeconomic vulnerability and a lack of protection, whilst the 2014 war severely affected Gaza´s local economy. 16,000 families are still displaced, with their homes destroyed or rendered uninhabitable. Hampering recovery efforts are restrictions on the import of construction material[71], as well as issues with the legal framework governing housing, land and property rights (HLP). Unclear land ownership and inheritance status for women, and concerns about the protection of those displaced, further exacerbate vulnerability. With ECHO funding, NRC responded to the need for shelter repair and reconstruction through a self-help approach using conditional cash, enabling people to take ownership of their repairs whilst injecting cash into the local economy. Working closely with ministries, UN agencies, the Shelter Cluster and communities, NRC conducted comprehensive household needs assessments to identify the most vulnerable households in marginalised areas, taking account of social and economic vulnerability and protection concerns. Funds were then transferred through pre-paid bankcards to support the completion of the agreed-upon repairs, and 1,000 households benefited from physical and climate protection, in line with minimum Shelter and WASH standards. HLP rights and protection concerns were also addressed through information sharing and legal counseling (see photo), with those prioritised including female-, elderly-, and child-headed households. Finally, NRC developed an effective complaint and feedback mechanism to quickly respond to the concerns of the population.

NRC contributed to defining prioritisation tools in the beneficiary-selection process for the Shelter Cluster, proving to be successful in identifying vulnerabilities and protection concerns. This reinforced good practice through the development of solid shelter-assistance management tools, which have positively influenced reconstruction modalities and coordination.

Photo: Elderly heads of household receive HLP and legal assistance in Gaza (NRC)

https://docs.unocha.org/sites/dms/Documents/DWMG.pdf

[70] See DG ECHO's thematic policy document # 8 on Protection.

[71] The UN-brokered temporary Gaza Reconstruction Mechanism (GRM) was created to channel and monitor the restricted supply and utilization of ABC material (Aggregate, Bars and Cement) and of specified 'dual use materials' necessary to enable shelter repair and reconstruction works in Gaza

Modality 3: Material support

Shelter materials and Non-Food Items (NFI)[72], including for return or transit purposes, may be distributed to the affected population. In the immediate aftermath of a crisis, people may lack adequate clothing, bedding, and personal or household items for specific weather conditions. In-kind distribution of such items is possible, particularly if markets are inaccessible or badly disrupted, or if this approach is more cost-effective, but it should be assessed against the advantages of providing greater choice to beneficiaries through cash grants. The selection of construction materials to be distributed should be informed by decisions on whether to construct temporary shelters or to retrofit, repair or rebuild structures. Consideration should be given to quality and safety[73], opportunities to strengthen local supply lines, and to the environmental impact. Distribution of NFI or shelter items may be phased, allowing adjustment for emerging needs, and to evaluate the usefulness of previously-distributed items and of the modality itself. Market analysis through the Emerging Market Mapping Analysis (EMMA) or other tools should inform planning, with attention paid to the quality, volume or speed of supply, and the capacity of and impacts on local markets and prices. **All material support requires post-distribution monitoring to verify the use of the materials provided and the S&S outputs and outcomes achieved; and where relevant the impacts on local markets and/or the additional resources contributed or leveraged to meet the S&S outcomes.**

Modality 4: Contracted works or products

This modality refers to partial or complete S&S works carried out for, or S&S products provided to, affected populations. It includes the following sub-modalities, which are further detailed in Annex B.

- Community labour (beneficiary/community driven)
- Contracted labour (agency driven)
- Direct labour (agency driven)
- Self-help (beneficiary driven)

The capacity of the private sector to contribute to the S&S response should be recognised and mobilised where appropriate. Contracted works may involve multi-stage roles for agencies – including selection of sites, design and permissions, procurement of materials and labour, and supervision of works – or may be packaged as supply agreements with contractors. In both cases, liability is adopted by the assistance agency. **Partial works** refer to construction works carried out to existing buildings or settlements in order to address humanitarian needs. This may include rehabilitation of existing buildings, settlements or services, or the upgrading of existing facilities – such as collective centres – for humanitarian needs. Partial works may be minimal or extensive, and carried out through various implementation arrangements. **Full or completed works** refer to the provision of new complete shelter products such as tents or temporary shelters, or the new complete construction of buildings, facilities or associated services, including shelter housing, infrastructure, camps or transitional settlements. The quality of these commercially sourced products should be well established within the sector and comply with basic requirements such as structural strength, weatherproofing insulation, privacy, ventilation and fire safety. Shelter or housing may be prefabricated or may be constructed in-situ, through various implementation arrangements. Site, design and specification decisions are generally taken by the assistance agency and tend towards standardisation, assuring standards but limiting flexibility and choice for affected households.

[72] Despite current practices, Non-Food Items (NFI) should not be solely associated with the Shelter sector, but as a an aid modality (part of in-kind) which is potentially relevant for most other sectors.

[73] In particular, materials which are potentially harmful or flammable should be avoided. See https://www.humanitarianresponse.info/es/topics/environment/page/emergency-shelter.

Table 2: Modalities of humanitarian S&S assistance[74]

Based on a thorough context analysis, a combination of modalities and activities as presented below may be considered; this includes market analysis, availability and quality of materials on the market, availability and level of skills and labour, etc. Refer to Annex B 'Designing and implementing S&S responses' for further information on how to balance and combine activities modalities and (sub) modalities.

Modality	Category or submodality	Possible activities	Example criteria
Technical support	Information and communication	Referral, awareness, information, guidance, support for planning. Social mobilisation. Facilitation.	• Where affected population have materials and resources. • Where risk reduction improvements are needed.
	Capacity Building	Training and mentoring. System development or strengthening.	
	Assurance	Quality assurance. Monitoring, supervision, inspection.	
Financial support	Individual or household	Restricted, unrestricted, conditional and unconditional cash.	• Where technical improvements are not required, such as for rent support, or simple shelter rehabilitation or replacement. • Where technical improvements are required, combine with technical support to ensure correct use.
	Community	Cash for work. Direct financial support to the community for infrastructure works.	
Material support	Personal and household NFIs	Non-food items.	• Where materials are not available in adequate time or quality. • To ensure quality of key shelter activities. • May be combined with technical or financial assistance.
	Shelter and Settlement materials	Temporary shelter materials or kits Durable materials. Infrastructure materials.	
Contracted works or products	Partial works through self-help, community labour, direct labour, or contracted labour	Rehabilitation of existing buildings or settlements. Upgrading of facilities such as collective centres. Upgrading/rehabilitating damaged houses to guarantee "1safe room"	• Where partial works can restore or establish a minimum level of functionality. • Implementation may be through various means.
	Full / completed products / works through self-help, direct and contracted labour	Tents Temporary and core shelters/one safe room[75]/Houses Other S&S infrastructure Camp / transitional settlement fully established	• Technically complex works requiring external capacities. • Critical works requiring higher degree of risk or liability. • Where there is no other option.

[74] This table should be read not as a choice but as a spectrum of combinations of aid modality to match the different rates of recovery.

[75] A "core house" aims to provide households with the core of their future house: one safe (and dry) room, or the frame of a permanent house with a "safe room" to inhabit (see related definitions in glossary).

5. Implementation

5.1 Assessment, monitoring and evaluation

Assessments of the needs and capacities of the affected communities provide vital information to identify opportunities to assist. Such assessments can be effectively undertaken by surviving communities themselves or their representatives[76]. However, damage assessments of buildings require assessors with experience and expertise in structural safety and local building traditions. Assessment should lead into a continuous monitoring exercise based on the initial analysis, guided by S&S strategies, and with regular adjustments as the crisis and its recovery evolve and as the planned response reaches its own exit strategy prior to the evaluation.

DG ECHO supports the use of common needs assessment. Analysis should take into account a wide range of expertise and representation, including those of different gender, ages, income groups, and occupations. The sources should be multi-disciplinary with knowledge of: social and cultural structures (families, communities, beliefs); settlement typologies; land and tenure issues; local housing typologies and uses; basic services, facilities and practices; the construction sector, including materials, skills, markets, and production; household finances and livelihoods; coping mechanisms, including sources and capacities of assistance; and the political and institutional context. It should be informed by sources familiar with the pre-crisis S&S situation, including its evolution and normal functioning; and, where applicable, sources who know the area's prior history of crisis recovery. It should also take into account local capacities, priorities and preferences.

Market analysis should be conducted, considering rental supply, prices and impact on existing tenants; the quality, volume or speed of supply; capacity of and impacts on local markets and prices for construction materials; and labour.

Needs assessment may involve a range of capacities, tools, resources or agreements such as REACH / GSC methodology, MIRA or PDNA. Specialised assessments include habitability; damage; risks and vulnerability; markets (such as for rental, labour, and construction material); skills-profiling; natural resource and environmental impact; and social, cultural, anthropological or economic dimensions of S&S, which will include coping mechanisms such as hosting, self-recovery and remittances.

S&S needs assessments should be situated within a basic-needs approach and integrated with other sectors[77]. As far as possible, assessments should provide an entry point for mid- to long-term stakeholders to build on. Importantly, assessment, monitoring and evaluation should produce data and analysis that is disaggregated for gender, age and disability.

Monitoring and evaluation should be informed by widely-accepted standards indicators (see Annex D). S&S programming should include regular monitoring to analyse challenges and opportunities arising during the course of the response, and to inform revisions or further actions. Markets should also be monitored for inflationary or deflationary impacts. Monitoring of S&S programmes cannot be only people-centred and locally accountable. The quality of construction materials and the correct implementation of agreed construction techniques must be monitored at different stages during construction by qualified personnel, who will verify their compliance with

[76] It is nevertheless important to ensure that such assessments are non-discriminatory and that vulnerable groups are included and have their specific needs addressed.

[77] In some cases, financial S&S assistance can therefore form part of a multi-purpose transfer addressing various needs, and should be supplemented by other modalities, such as technical support.

locally agreed standards. Sampling cannot be used for S&S programmes, as each construction must be compliant in order to be safe. As part of monitoring and evaluation frameworks, aid actors may use a number of tools to carry out effective monitoring. Complaints mechanisms[78] are one of these tools, which needs to be established in order to collect feedback from beneficiaries and understand the impact of S&S interventions. The information collected from beneficiaries could encompass the following:

- coverage: the effective coverage is less than the one programmed
- delivery (quantity): the effective support provided is less than the one programmed (less cash, lesser number of NFIs)
- delivery (quality): the effective support provided is less than the one programmed (such as poor /substandard quality of NFI, of construction materials, of building services)
- access to services is less that the one expected due to unjustified price inflation of targeted goods/services.
- partner internal mismanagement/fraud of some of its staff and set it accordingly (complains line different/separated from implementing teams both HR and locations)

DG ECHO implementing partners should have sufficient skills and capacity to deliver S&S specific rolling needs assessment and monitoring.

5.2 Targeting, coverage and prioritisation

Targeting S&S assistance is critical to ensure that humanitarian funding is used to maximum effect. Limited resources require humanitarian S&S assistance to be used only where it is most urgent, by those that most need it. DG ECHO S&S interventions should therefore focus on the disaster-affected population that is most vulnerable and exposed to context-specific threats, and that has the least adequate coping capacity[79]. **Whether targeting should be based on needs rather than coverage of S&S activities, should ideally be established and regularly reviewed through the activated in-country coordination mechanisms. Targeting of S&S activities should be multi sectoral where appropriate.** At the project level, targeting can be carried out through a range of methodologies suited to the context. A balance should be struck between practicality and effectiveness in minimising inclusion and exclusion errors. DG ECHO accepts that S&S assistance to be targeted geographically, or on the basis of socioeconomic criteria, depends on the context and the means by which S&S needs have been identified and analysed.

Approaches which seek to understand and consider the primary causes of vulnerability[80] of people, buildings and settlements in determining appropriate S&S programming are more likely to deliver successful outcomes. Targeting beneficiaries should consider the **specific vulnerabilities** of certain profiles of the affected population, such as minorities, the disabled, single-headed households, unaccompanied minors, forced or long-term displaced, and other context-specific vulnerabilities, which may be related to urban settings, Housing, Land and Property issues, and other forms of displacement. S&S responses increasingly occur in urban settings characterised by lack of planning, poor construction, overcrowding, limited access and scarce open spaces. Urban displacement and growth is accompanied by a high degree of vulnerability of much of the population, due to informal

[78] For more information on the shelter accountability framework, please refer to section 5.4

[79] A number of targeting tools are available, including score card and decision tree approaches. See https://www.sheltercluster.org/sites/default/files/docs/prioritisation-final.pdf for example models developed in the context of the 2015 Nepal earthquake.

[80] Please refer to DG ECHO's gender-age marker toolkit and DG ECHO's resilience market guidance to ensure all vulnerabilities are addressed: http://dgecho-partners-helpdesk.eu/action_proposal/fill_in_the_sf/section5

settlement patterns, limited access to land and security of tenure, inexistent, inadequate or corrupt local authorities, and poor or non-existent urban infrastructures. This will often result in greater need for humanitarian action.

In sudden-onset crises with large scale needs, it may be more appropriate to ensure **maximum coverage** through coordinated use of available assistance, rather than providing targeted assistance. This may be the case in urgent situations where the extent of vulnerability amongst the affected population is high. Consideration should be given to **balancing coverage with targeting.** In some cases, achieving a broad coverage to increase the S&S resilience of the affected population may be the best option. In other cases, it will be more cost-effective to focus on interventions that can be easily replicated, thus using ECHO as a catalyst for broad coverage.

Where a high proportion of the population is vulnerable or subject to acute needs, the priority is rapid coverage. Subsequently, prioritisation should increasingly balance coverage with targeted focus on the greatest needs and vulnerabilities in order to maximise the impact of the intervention. Considering the range of possible S&S response options, prioritisation may result in a combination of settlement-based targeting with household-based coverage.

5.3 Response actions

Specific S&S responses to humanitarian needs may include the following. Disaster risk reduction should apply before, during and after a crisis.

Shelter response

Technical assistance may be used for:

- coordination, policy and programme support;
- risk assessments; information, outreach, training and advice;
- implementation assistance for the erection of tents and the construction of temporary shelters;
- habitability assessments;
- salvage and re-use of materials;
- the securisation[81], rehabilitation and upgrading of damaged or existing buildings;
- (re)construction including improvement measures;
- temporary, rehabilitated and new housing-related services (such as WASH or heating);
- support for safe access to and use of existing buildings, for example through habitability assessments or securisation measures; and
- assistance with housing, land and property issues including legal and tenure support[82].

Financial assistance, through cash or voucher mechanisms, may be provided to:

- enable affected households to procure personal or household items, temporary shelter items or works;
- rehabilitate or (re)construct items or works;
- subsidise renting or hosting arrangements.

[81] Securisation may include restricting access to damaged buildings and taking emergency structural protection measures to avoid new fatalities and injuries. It is an important consideration given that people may return to damaged buildings to recover household items or conduct structural assessments, and particularly as events such as earthquakes are often followed by aftershocks, which can cause buildings to collapse.

[82] See FAQ 8 of Annex C:

Case Study 7: Financial and technical assistance to typhoon-affected families in central Vietnam

When typhoons Wutip and Nari hit central Vietnam in 2013, safe shelter was identified as a priority. Most families rapidly began repairing their damaged homes, but without knowledge of safe construction techniques and without access to quality materials, leaving their homes vulnerable to future disasters.

Development Workshop France (DWF), with support from DG ECHO, assisted 840 of the most vulnerable families to carry out repairs and strengthening works on their homes using a combination of technical and financial assistance. Following an assessment of the works needed and of household and market capacity, families were supported with a tailored cash grant – 50% in advance, and 50% on completion – to undertake works to make their homes safer. DWF provided training on resistant construction techniques for 770 local builders, additional technical assistance to both builders and families, and ran safe shelter promotion campaigns to build greater resilience among the population.

This approach combined the expertise of DWF's technicians with choice and flexibility for families, since they participated in the needs identification and action design, purchased building materials, chose their builders and supervised the works. Making homes more resilient, able to withstand the impacts of future disasters, has also contributed to poverty reduction, since in the past families had struggled to cover the costs of repairs to their regularly-damaged homes.

Photo: DWF-trained builders and families carry out household repairs in Vietnam (EU/ECHO/Evangelos Petratos)

Material assistance may include:

- personal and household items such as clothing, blankets or bedding, and kitchen, heating or other household items to maintain health, privacy, dignity and to facilitate household activities[83];
- shelter and construction materials, such as tarpaulins, plastic sheeting, fixings and tools, for the erection of temporary shelters; to improve safety and weather-proofing (such as winterisation); to ensure quality of materials used for repair/ rehabilitation and reconstruction; and/or to rehabilitate, upgrade or (re)construct existing buildings to accommodate crisis-affected households.

[83] Care should be taken to ensure items provided do not cause harm by compromising indoor air quality in poorly-ventilated shelters. This may be the case, for instance, with indoor kitchen stoves, some candles and petrol lamps, and plastic products releasing hazardous compounds. Indeed, air pollution in shelters from cooking with solid fuels can cause serious illnesses such as Acute Respiratory Infections, particularly for women and children, and is the fourth largest cause of death in the world's poorest countries. Consideration should be given to these risks when selecting stoves, fuel and chimneys, and fuel efficiency and smoke reduction measures can be implemented, for instance by ensuring that families have dry places to store biomass fuels.

Partial or full / completed products, assets, works and services may involve:

- supporting the accommodation of crisis-affected populations and the acceleration of early recovery through weather-proofing, rehabilitation, upgrading and (re)construction of durable housing and associated services;
- supporting collective or evacuation centres through the provision of relocation assistance, maintenance or upgrading of structures or facilities and associated services, or supplies and management, in order to shelter multiple households;
- tents and prefabricated shelters, with associated fixings, services and site-works;
- the construction of temporary shelters, including labour, materials or prefabricated units and associated fixings, services and site-works, and possibly involving household or community participation or contributions.

Settlements response[84]

Technical assistance may provide coordination, policy and programme support; information, outreach, training and advice; and implementation assistance for:

- area securisation[85], access (including road repairs), and debris management[86];
- site selection, analysis, planning and management, including urban setting expertise;
- settlement risk analysis, mitigation and management, which should include natural resource and environmental impact assessment (EIA), such as deforestation, or contamination or depletion of ground water[87]; fire safety and waste management;
- neighbourhood or village rehabilitation and improvement, including raising settlements or shelters above flood water levels;
- transitional settlement development and management;
- protection issues, such as public lighting, accessibility, housing, land and property support, and referral to other assistance such as social housing programmes.

Financial assistance, material assistance, and partial or complete goods or works may be used:

- to support safe access – including for humanitarian services – to existing settlements, for example through debris removal, possibly through cash for work;
- for emergency service provision or rehabilitation, such as stabilising or removing unsafe structures;
- to support existing settlements through rehabilitation or improvement of damaged infrastructure (physical, economic and social) to support access for crisis-affected populations to shelter, basic service provision and livelihood activities while improving safety and accelerating early recovery. Examples may include public lighting, and community wardens that support protection;
- to support emergency and transitional settlements in site development, services and management for spontaneous and planned camps; for new settlements or extensions, in order to support access for crisis-affected populations to shelter, basic service provision and livelihood activities while reducing hazard risks. Examples may include protection measures such as secure boundaries;
- to build capacity through support for shelter, housing, and associated service systems and supply chains, including increasing and improving the availability and quality of the materials,

[84] This assistance is to be coordinated with the UNHCR or CCCM camp managers (in case of camp settings) and/or local (urban/rural) authorities.

[85] This may include clearing mines and unexploded ordnances which may have shifted following floods and landslides.

[86] See FAQ 2 of Annex C for consideration of DG ECHO's approach to debris removal.

[87] See DG ECHO Thematic Policy Document# 5: Disaster Risk Reduction, 2013, page 28.

equipment and skills required for the S&S activities listed above. Examples may include the restoration of brick kilns to support recovery.

Disaster Risk Reduction and Emergency Preparedness

It is essential to adopt a risk-informed approach to programming whether before, during or after a crisis. Key considerations to attain this are elaborated in ECHO Thematic Policy Document # 5 on Disaster Risk Reduction. Understanding the exposure to different hazards and the specific vulnerabilities and capacities of the population is vital, as is due consideration to the range of measures and building codes[88] that serve to mitigate and prevent disaster risk. Indeed, post-disaster recovery depends on the full integration of risk considerations, since building back to the former state would be exposing people to the same pre-disaster levels of risk or worse. With the objective of promoting protected settlements and building back better and safer, examples of measures include:

- **Non-structural measures:** training builders on safe techniques and materials; settlement planning; reviewing or updating building practices; pre-positioning of S&S relief items (such as sandbags, tools, strapping materials); use of flame retardants and fire equipment; and post-disaster surveys of critical facility safety;
- **Structural measures:** drainage and flood protection; hazard-resistant shelters; retrofitting of existing buildings; maintenance or construction of multi-purpose facilities such as schools/cyclone shelters; land-raising/elevation of buildings or homesteads in flood plains; and slope stabilisation in landslide-prone mountainous communities.

In some cases, it may be suitable to take a participatory approach to safe shelter awareness[89] which aims to raise the consciousness of everyday vulnerabilities and risks related to the built environment and to foster locally appropriate safe S&S practices. Depending on the likely risk and impact of anticipated shocks, some S&S Emergency Preparedness activities may be justified. In such cases, the Commission´s partners, local authorities and intended beneficiaries may need to prepare themselves, set up procedures and make agreements with potential suppliers of S&S materials. Contingency plans may call for limited **emergency S&S stockpiles** in isolated and hard to reach areas and/or in centralised hubs, although the added value of such pre-positioning stocks has to be demonstrated against the capacity of local markets to regulate themselves and absorb these shocks. Stockpiles may include *General Household Support Items* closely associated with shelters, such as cooking sets, clothing, bedding and blankets which can usually be distributed without additional instruction, promotion, or education; H*ousehold Shelter Construction Support Items*, such as tool kits (with hammers, shovels, axes and similar items), and construction materials (such as plastic sheeting, CGI sheets, fixings timber, bamboo, bricks, flooring, and roof insulation); and complete E*mergency Shelter* products such as tents or prefabricated shelters, which usually require additional instruction, promotion, and/or education. Contingency plans may also establish the need for protective shelters within settlements, **emergency (mass) evacuation of vulnerable**

[88] For example: the length of connected shelters should be no more than three times the width of the structure; Damp Proof Coarse (DPC) should be provided between the foundation and super structure; a minimum distance of two feet between the corner and any opening or between any two openings should be maintained; no more than 50 percent of the total length of any wall consists of openings; at least one wall must have no openings at all; all openings have a lintel support; all the Point Loads (PL) are converted to Uniformly Distributed Loads (UDL) such as central beams; all the walls are inter-connected; ensure cross ventilation; wall thickness is up to accepted standards; the height of the shelter is aligned with wall thickness; the roof has a proper slope towards rain-harvesting pipes; rain-harvesting pipes are long enough to divert water away from shelter's foundation; and the shelter includes an over-burden load; etc. More details for each recommended shelter typology are available in the global shelter cluster guidelines.

[89] IFRC: 'Participatory Approach to Safe Shelter Awareness (PASSA)', 2011: http://www.ifrc.org/PageFiles/95526/publications/305400-PASSA%20manual-EN-LR.pdf

settlements and the anticipated siting, planning and/or development of alternative sites, which require S&S technical assistance[90].

Case Study 8: Saving lives through timely resettlement and temporary shelter solutions in exposed areas of Bolivia

La Paz is a city of 1.6 million where more than 70% of houses are built in precarious areas exposed to recurrent floods and landslides. To respond to these hazards the local municipality, with the support of Oxfam GB, initiated a project to develop risk maps and a geodynamic hazard monitoring system of unsafe settlements. In 2010, this risk monitoring made it possible to identify the likelihood of an imminent landslide in one of the most vulnerable settlements of the city. With funding from DG ECHO under the Small Scale Response Mechanism, an emergency operation was conducted to evacuate families to a safe site and to provide them with temporary shelters, which included toilets and communal kitchens. These shelters were made of standard modules which included 12 different types of items (such as wooden panels, doors and roofing materials) and which could be easily assembled, dismantled and stored for future evacuations. A few days later, a huge landslide swept away the neighbourhood that had just been evacuated. Although it destroyed the houses of more than 5,000 people, no victims were reported because of the timely evacuation.

Based on this experience, the municipality decided to adopt the model of temporarily displaced settlements and shelters, designed by Oxfam GB and Fundepco, and to replicate it in other metropolitan areas in order to complete the resettlement of populations exposed to landslides. As a result, the impact of the ECHO small-scale grant was extended beyond its initial scope. Furthermore, with additional DIPECHO funding, the geodynamic monitoring system for unsafe settlements was institutionalised at governmental level.

Photo and reference: Temporary shelters for evacuated populations, taken from the Manual de montaje de módulos habitacionales, (ECHO/FUNDEPCO/Oxfam)

5.4 Quality, standards and accountability

DG ECHO-supported projects should integrate, where possible and relevant, existing policies and regulations including national standards and building codes, and should be integrated with longer-term S&S strategies. They should be designed and implemented in accordance with international standards and best practice, including those promoted by the Global Shelter Cluster and Sphere[91], and in close coordination and harmonisation with the local actors wherever possible.

All S&S-related items and materials procured for Commission humanitarian S&S programming should respect locally- and/or internationally-agreed technical standards and specifications[92]. These include general household support items (such as bedding and clothing) and household shelter

[90] See the MEND Comprehensive Guide for Planning Mass Evacuations in Natural Disasters: (http://www.globalcccmcluster.org/tools-and-guidance/publications/mend-guide)
[91] See www.sheltercluster.org and www.spherehandbook.org/en/1-shelter-and-settlement/
[92] Such as those specified in IASC: 'Selecting NFIs for Shelter', 2008: http://www.ifrc.org/PageFiles/95759/D.03.a.04.%20NFIs%20for%20Shelter_IASC.pdf

construction support items (such as CGI thickness / corrugation / dimensions / packing, or tarpaulin weight / core and lamination material / tensile-tear-bursting strength / UV resistance etc.).

DG ECHO ensures that supported agencies providing S&S assistance are equipped with sufficient qualified technical staff to enable appropriate and adequate implementation of S&S programs, for planning, design and supervision of construction, repairs and other S&S activities. Depending on the needs and on the context, programmes may include capacity building activities of local building professionals, to advance building skills and ensure safety and quality of all construction works.

Based on the HAP standards, accountability in humanitarian S&S assistance should include the following elements: a basic code of conduct outlining the roles and responsibilities of the S&S agency towards the assisted population; culturally-adapted and continuous participation and communication with the assisted population including about its right to access timely and relevant information on assistance options and about its gratuity; transparent intervention and assisted-population selection criteria; a functional system to register, process and address grievances; visibility and clear identification of the implementing S&S agency (including its staff) and the supporting donor(s); regular satisfaction and monitoring surveys on the efficiency, efficacy and relevance of S&S assistance and its delivery modalities; and the optimisation of the assistance to build S&S capacities at community level. A *Shelter Accountability Framework*[93] will guide practitioners to understand and assess the levels of accountability within their shelter programmes, as well as indicating what next steps should be taken to improve practices. The framework is organised by "components of response" which are indicators with a shelter-specific focus.

Families forced to relocate following floods in northern Benin received shelter kits and assistance to build new homes. (Photo: EU/ECHO/Nicolas Le Guen, 2012)

[93] Shelter Accountability Resources: A guide to improving accountability to disaster-affected populations during the implementation of humanitarian shelter programmes, April 2013; www.ecbproject.org/cluster-accountability

6. Supporting and Improving Responses

6.1 Coordination and capacity-building

Coordination, complementarity and capacity-building are promoted as part of DG ECHO-funded S&S programming to prevent gaps in assistance, to avoid duplication, to ensure quality, continuity and sustainability, and to maximise the overall impact of the resources available[94]. As set out under approaches, a high level of coordination is required to achieve an effective response that is people-centred, moving as rapidly as possible from provision to support.

Technical coordination is essential for:

- the definition of strategic response plans
- the establishment of technical standards and the provision of relative guidance
- the overview of the on-going response so that remaining humanitarian needs and geographical gaps are brought to the attention of relevant stakeholders and dealt with

DG ECHO supports the use and reinforcement of national or local S&S coordination or, in their absence or incapacity to cope, the establishment of temporary S&S coordination platforms such as Clusters or equivalent. To this end, partners are required to participate and contribute to such coordination mechanisms.

Engagement at local level and working with local know-how are essential parts of this coordination. DG ECHO strongly supports the participation of beneficiary representatives and government institutions, and other cross-sector or inter-cluster coordination platforms. Where activated, DG ECHO may directly support the S&S and/or CCCM clusters, with an emphasis on ensuring agreed targeting, coverage and efficient aid delivery. Such coordination support is meant to change and adapt over time, as the needs of the affected populations evolve.

Where appropriate, private sector and citizens group stakeholders should be integrated into coordination and capacity-building mechanisms. There may be opportunities to develop partnerships at scale with the private sector (such as for urban disaster housing), and with civil society organisations supporting community engagement (such as targeting, participatory design, and feedback mechanisms). In preparedness, such partnerships can be achieved through standby agreements or contracts for anticipated S&S goods, expertise or services.

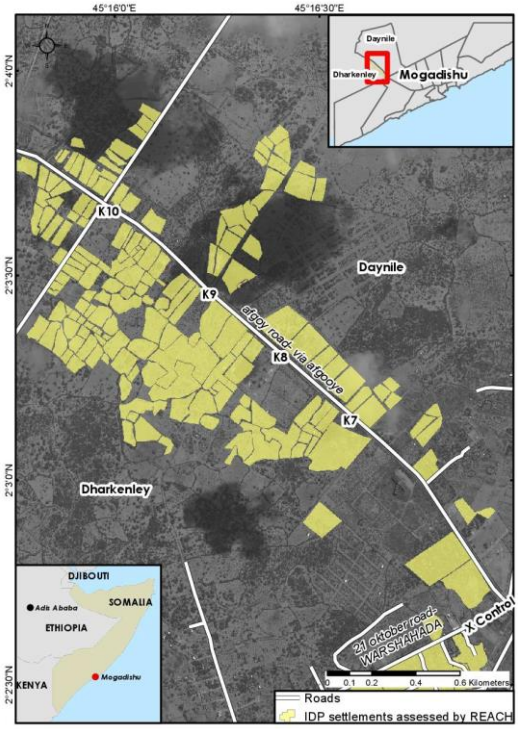
Coherence will be promoted with other international donors delivering S&S as well as between relevant Commission departments and services, and with particular attention to resilient and transitional solutions, ensuring strong links between relief, rehabilitation and development. As far as possible, S&S decision-making and coordination should be decentralised to the community or neighbourhood level to be more responsive and accountable to the needs of the affected population.

DG ECHO strongly supports capacity-building and coordination across the humanitarian S&S sector at global level, in order to maximise impact and promote quality in S&S aid delivery. The Global Shelter Cluster has an important role in this, both for participating agencies and as a reference for other S&S actors. The role of the Global Shelter Cluster should be independent of any agency-specific concerns, and with demonstrable benefits for those agencies that participate and cooperate with this mechanism.

[94] At Commission level, DG ECHO coordinates its humanitarian assistance with the assistance provided through the Union Civil Protection Mechanism.

Global S&S coordination should build on and facilitate effective coordination at country and regional level, and should provide the ultimate surge capacity to support a coordinated S&S response to major humanitarian crises. It should be the repository of learning and best practice for humanitarian S&S responses, and the main forum for the identification of priority areas to be addressed, including through global capacity-building, to ensure the best delivery of S&S assistance in humanitarian settings.

Case Study 9: Innovative approaches to coordination and assessment in Somalia



Civil war in Somalia had by 2006 been underway for over fifteen years, displacing up to 400,000 people. Large parts of the country remained off-limits to humanitarian agencies due to insecurity and lack of access, making monitoring and evaluation extremely difficult. It also proved challenging for coordination mechanisms to achieve minimum global response quality, effective synergies among partners, and appropriate data collection and dissemination to support the establishment of appropriate strategies.

Following a 2014 evaluation, the Shelter cluster sought to address these challenges by developing an e-cluster structure. This used electronic tools such as mobile technology and satellite imagery to collect data and support assessments, as well as managing information through digital exchange platforms. Whilst such tools provided a snap-shot rather than in-depth research, cluster partners nonetheless appreciated its easy-to-use features and the increased flow of important information.

For instance, satellite imagery tracked changes in settlements over time, whilst mobile phones were used to collect information from nearly 830 households. This enabled improved analysis of shelter and settlement facilities, supporting the development of more appropriate response strategies. Evaluations found that shelter subsequently provided by cluster members – whether emergency, transitional or permanent – was of better quality than that provided previously, meeting with high levels of beneficiary satisfaction. Most people reported feeling safer within their individual shelters, and partners recognised the added value of the shelter cluster to improve the strategic and technical coordination in the sector.

Satellite images of target settlements, taken from REACH: Shelter Sector Three Phase Response Evaluation: http://www.reachresourcecentre.info/system/files/resource-documents/reach_som_casestudy_mogadishu_shelterresponseevaluation_emergencyshelter_january2015_final_0.pdf

6.2 Advocacy

The European Commission will play an active role in framing and advocating a global agenda towards key S&S sector duty-bearers for access to basic S&S services in humanitarian crises, in collaboration with other Commission services and international partners. Where justified, DG ECHO may support public campaigns to address key S&S vulnerabilities, such as to improve the resilience of critical S&S infrastructure including health centres, hospitals and schools in highly vulnerable urban or coastal areas. In addition, DG ECHO will consider supporting the advocacy priorities of the international humanitarian S&S community[95].

Key advocacy messages may include:

- promoting the potential impact of S&S as a key sector and contributor of humanitarian aid, such as by highlighting how it enhances protection and prevents specific diseases;
- stressing the need for settlement planning prior to construction wherever possible, to ensure effective and efficient responses not just in shelter, but in related sectors;
- developing the institutional capacity of the humanitarian system at international, regional and local level, in order to rapidly and efficiently provide needs-based S&S assistance;
- promoting coordination and coherence between humanitarian and development actors, ensuring strong links between relief, rehabilitation and development;
- ensuring unhindered and free equal access to basic S&S services during emergencies, while encouraging the ownership and self-reliance of beneficiaries, and promoting sustainable S&S services as early as possible;
- ensuring that S&S response inputs during emergencies reinforce best practice in the sector; and that all actors work collectively to document, disseminate lessons learnt and build capacities for associated learning and development;
- meeting predictable needs for S&S in stable contexts with predictable, multi-annual resources (and not, by implication, humanitarian resources) delivered preferably through national government-led programmes, through expanded development and poverty reduction or social safety net actions, or through other long-term actions such as social housing or microcredit;
- ensuring that the international aid system operates consistently and coherently to address extreme vulnerability caused by inadequate S&S conditions, spanning emergency, transitional and developmental needs simultaneously, within frameworks of good governance and national and international policies, responsibilities and mandates.

[95] Such as the Advocacy and Communications Strategy of the Global Shelter Cluster (GSC)

6.3 Innovation, research and development

DG ECHO will consider funding activities – including innovative approaches, methods or instruments and tools – aimed at improving the quality of S&S aid delivery, and increasing the impact of available resources.

- Such activities may include pilot interventions using innovative methods or tools.
- Research and innovation activities should be in the interests of the beneficiaries.
- Partners should have the required expertise to conduct research, and evidence must be available to support this.
- Research results, either positive or negative, should always be reported with free access and explained to the involved populations, and should be for the benefit of the whole humanitarian S&S sector.
- DG ECHO does not support basic research or any research that is not specifically directed at emergency interventions.
- Research is secondary to operations and should not be the entry point or the initiation of any country programme.

Case Study 10: Promoting S&S innovation in the Caribbean region

DG ECHO supported the S&S response to Hurricane Sandy, which hit the Caribbean in October 2012, by financing nine projects in Cuba, Jamaica and the Dominican Republic. In April 2013, DG ECHO sponsored a workshop in Santo Domingo designed to promote improved construction techniques for hurricane-resistant roofs. The workshop brought together over 40 participants from the region, including partners, local actors and technical experts, to discuss techniques for building roofs and hurricane resistant structures. Participants exchanged techniques used for houses and community infrastructure in their respective countries and discussed recommendations and lessons learned from past projects.

In the same region, a Plan-Oxfam-Habitat consortium was set up as part of the DIPECHO Action Plan 2013-2014 to implement the project: 'Warning, informing and including: Strengthening emergency information management, school safety and inclusive Disaster Risk Reduction'. Nine communities in the Azua province of the Dominican Republic benefited from a large number of DRR activities with innovative features, particularly in the S&S sector. After considering a range of technically viable solutions to tackle the issue of extremely vulnerable housing units, the partners came up with a cost effective solution with maximum flexibility: the Mobile and Modular Shelters. These shelters were made up of prefabricated modules installed over a previously constructed concrete floor-base with a capacity to withstand hurricane-force winds and designed in accordance with earthquake resistant building codes. Such shelters could be easily assembled and dismantled, and offered innovative and replicable elements. This made it a viable option for a nationwide initiative to promote a practical shelter solution for communities displaced due to natural disasters. 'Mobile and Modular Shelters' (2014) captures the entire process, with testimonies from participating partner organisations, beneficiaries and institutions.

Photo: A mobile and modular shelter (Habitat for Humanity)

7. Annexes

- Annex A: Indicative decision Tree
- Annex B: Technical Annex
- Annex C: Frequently Asked Questions (FAQ)
- Annex D: Commonly used S&S indicators
- Annex E: Acronyms
- Annex F: Glossary

Annex A: Indicative Decision Tree

Beyond the general entry criteria specified in the main text, the following annex provide further guidance on which types of S&S interventions may be considered for DG ECHO funding, and which conditions should be in place.

Option 1 considers **short term responses to an acute crisis in support of a population recently displaced and/or on the move.**

Option 2 considers **fully-fledged S&S responses to ongoing humanitarian crises, either as stand-alone interventions or as a component of a multi-sector intervention**. For examples of recent Commission-funded interventions, see case studies 2 (Linking relief with reconstruction and development in Haiti, page 9), 4 (People-centred supportive approach in the Philippines, page 16), 6 (Financial assistance for shelter repairs in Gaza, page 25), 7 (Financial and technical assistance to typhoon-affected families in Vietnam, page 32), 9 (Innovative approaches to coordination and assessment in Somalia, page 36) and 10 (Promoting S&S innovation in the Caribbean region, page 38).

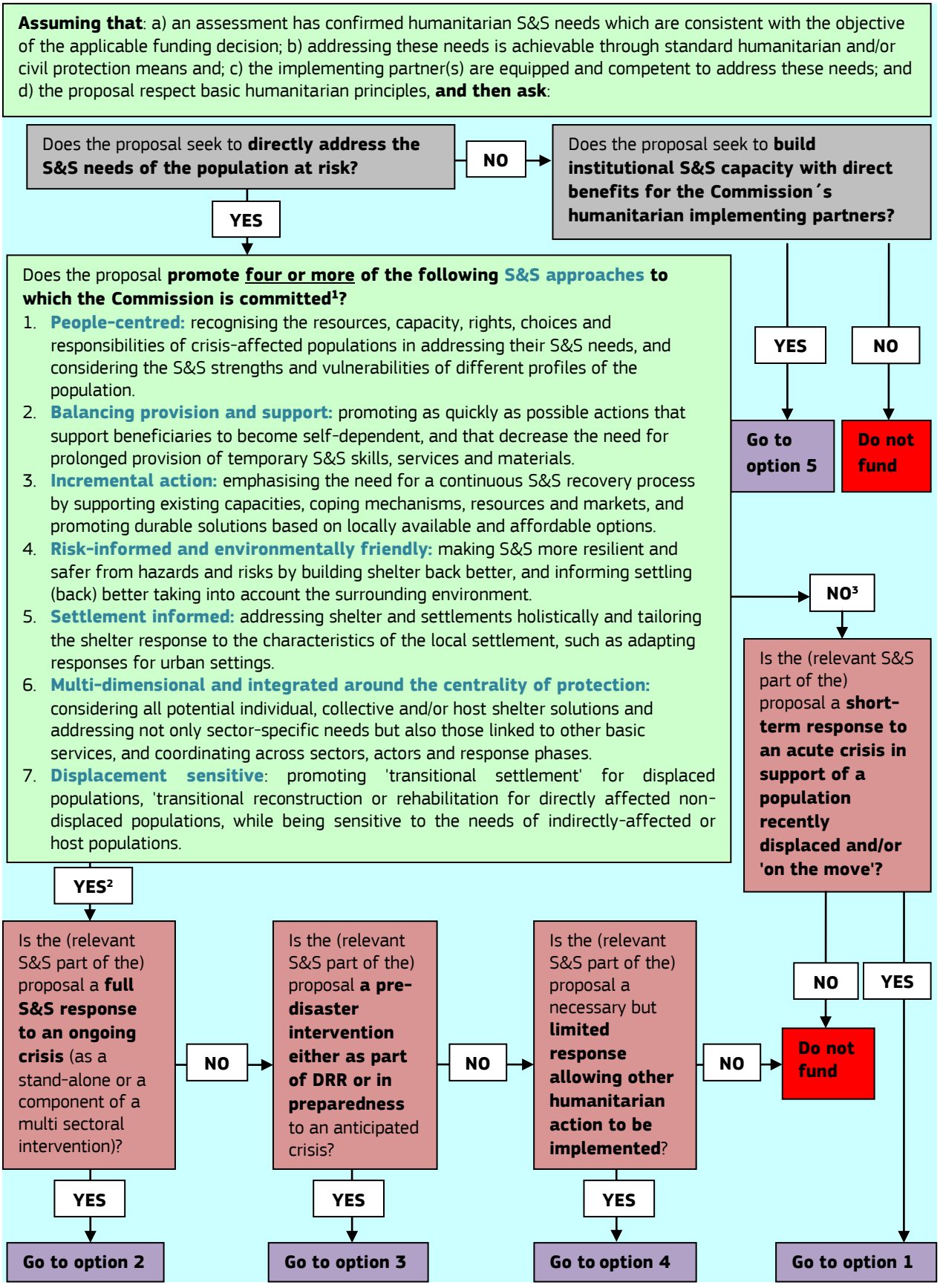
Option 3 considers **disaster preparedness or disaster risk reduction actions** of which S&S is a core component. For an example, see case study 8 (Saving lives through timely resettlement and temporary shelter solutions in exposed areas of Bolivia, page 33).

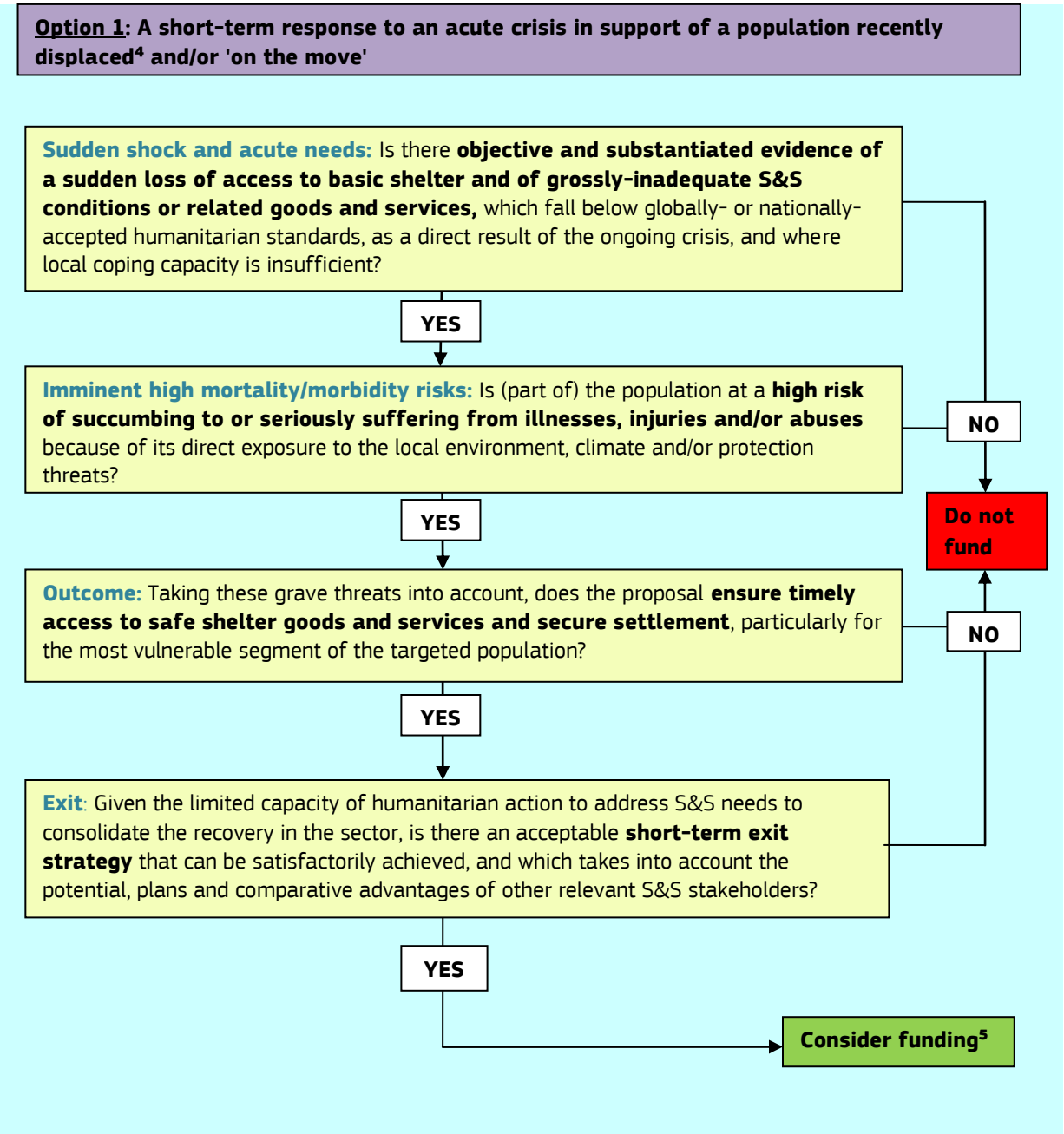
Option 4 considers **a necessary but limited S&S intervention which is required to facilitate a primary (and possibly more critical) humanitarian action** such as protection. See case study 3 (Shelter, settlements and the centrality of protection, page 14) for an example.

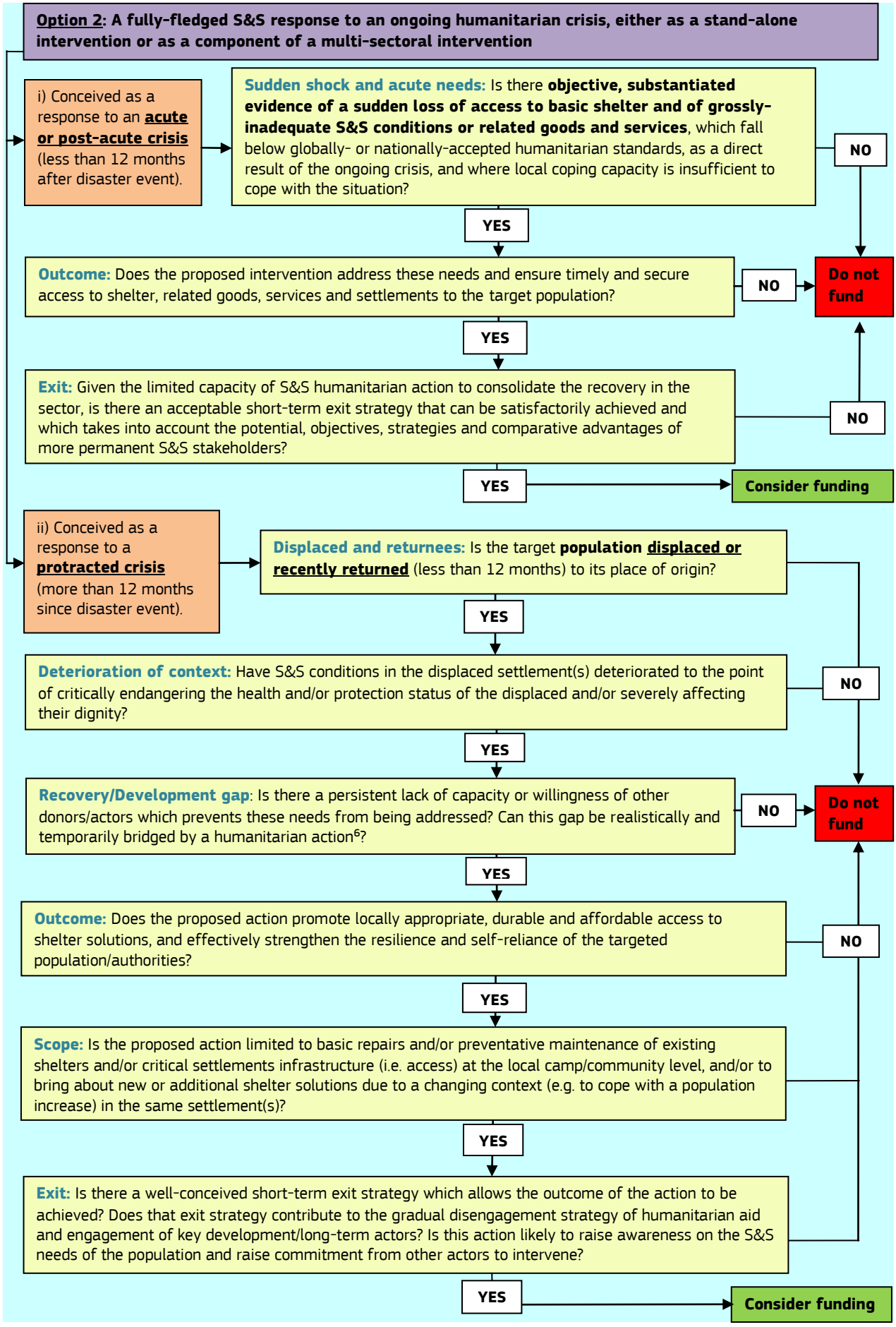
Finally, **Option 5** considers **institutional S&S capacity-building interventions**, directly benefiting Commission humanitarian implementing partners. Examples of past interventions include supporting the Global Shelter Cluster to provide surge support to enhance coordination and/or assessments capacity at (sub) country level, pre-positioning of S&S items in strategic partners' regional logistic hubs, and the development and testing of innovative shelter technologies and products.

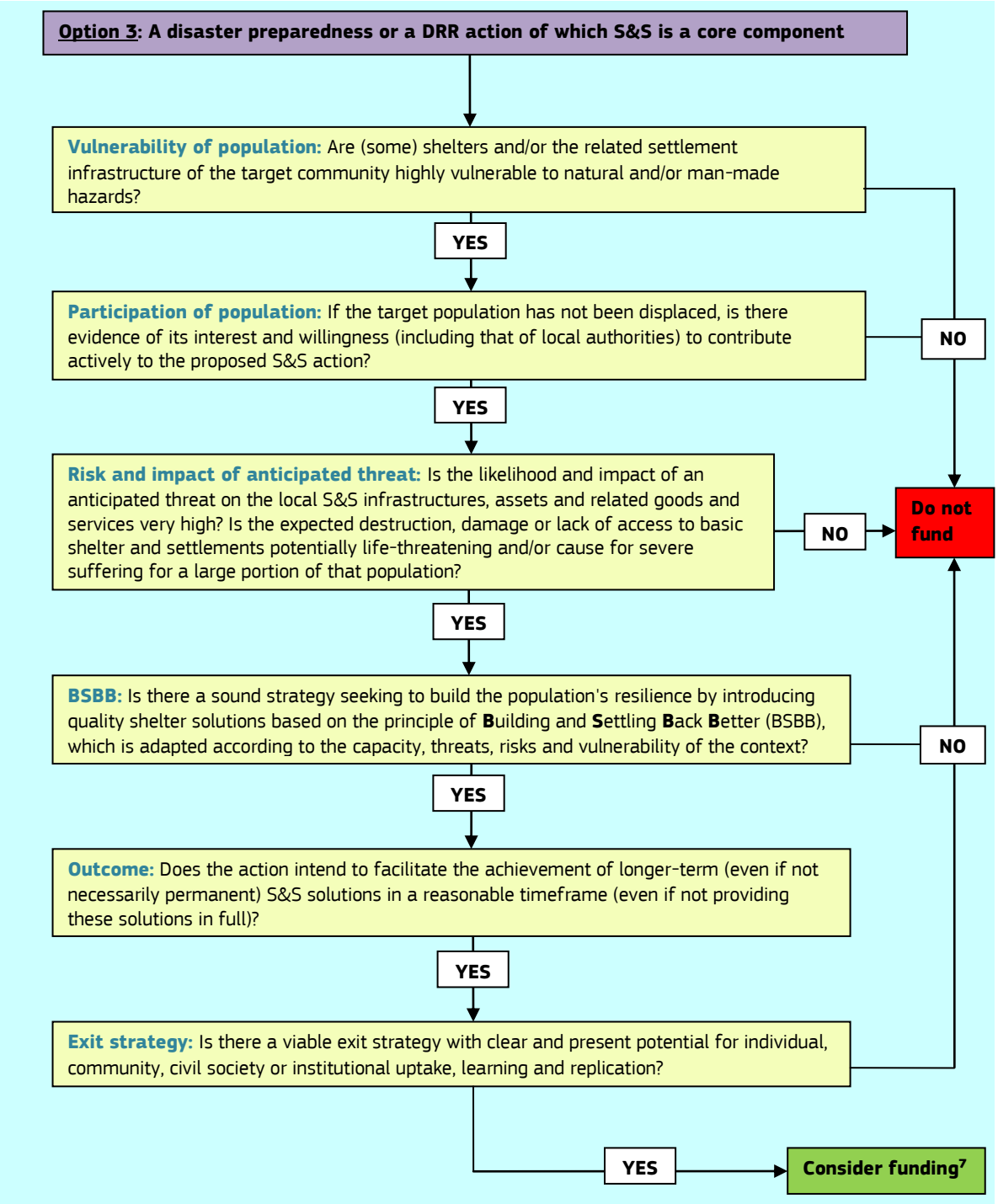
Footnotes for Indicative Decision Tree

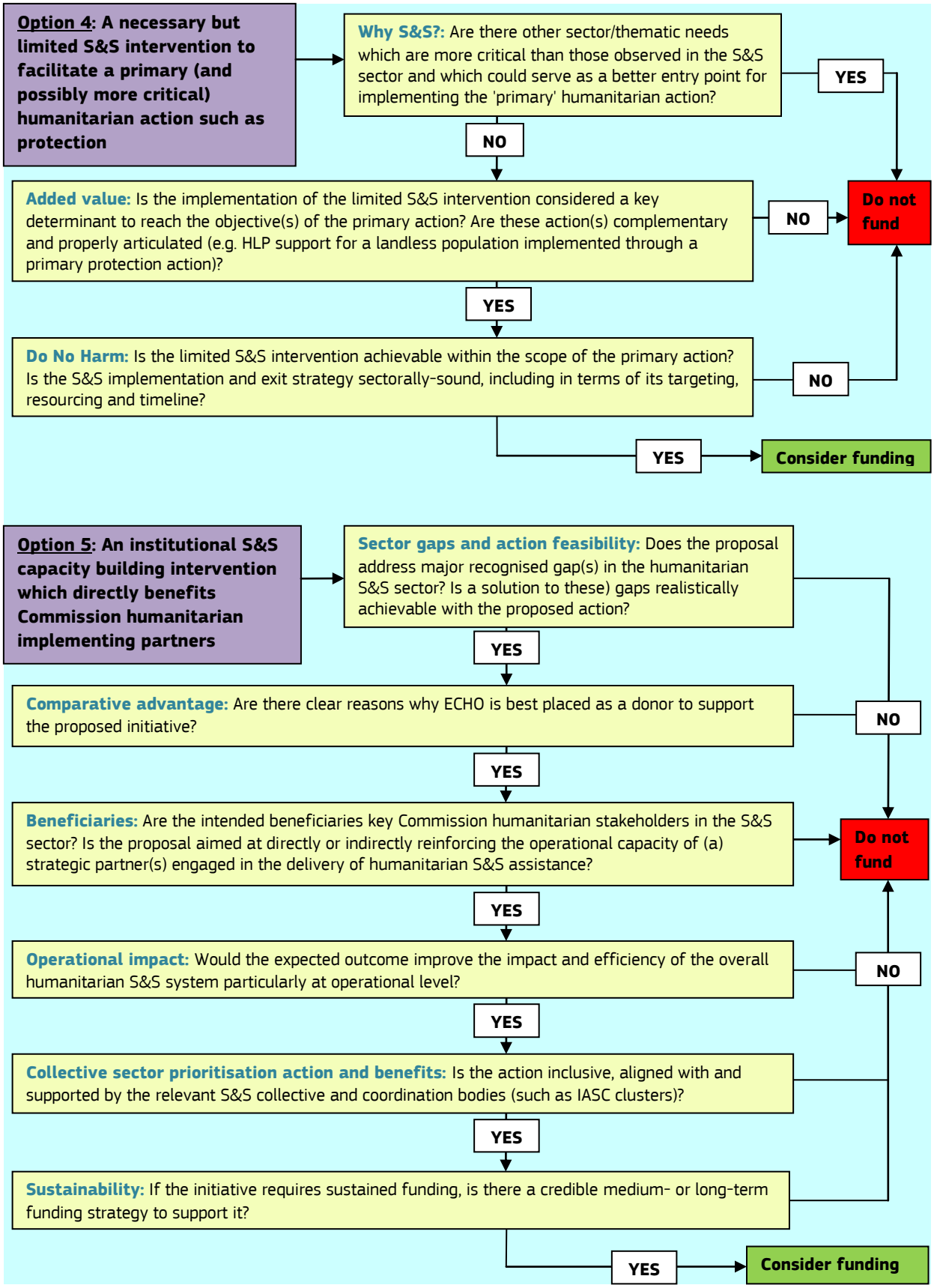
[1] These principals are not exhaustive and may vary according to the context. Whilst some may not be achievable early in the response, the implementing partner is expected to continuously assess which ones can be realistically adopted as early as possible and take swift corrective action where appropriate.
[2] That is, promoting a majority (four or more) of these approaches.
[3] That is, promoting three or fewer of these approaches.
[4] For one month or less usually
[5] For a maximum of three months usually.
[6] Where DG ECHO's comparative advantages as a donor are clear and LRRD conditions are in place (see Case Study 2, p9).
[7] In line with the corresponding funding decisions, where DG ECHO's comparative advantages as a donor are clear, and where LRRD conditions are in place (see Case Study 2, p9).


Assuming that: a) an assessment has confirmed humanitarian S&S needs which are consistent with the objective of the applicable funding decision; b) addressing these needs is achievable through standard humanitarian and/or civil protection means and; c) the implementing partner(s) are equipped and competent to address these needs; and d) the proposal respect basic humanitarian principles, **and then ask**:
Does the proposal seek to **directly address the S&S needs of the population at risk?**
NO
Does the proposal seek to **build institutional S&S capacity with direct benefits for the Commission´s humanitarian implementing partners?**
YES
YES
NO
Go to option 5
Do not fund
Does the proposal **promote four or more of the following S&S approaches to which the Commission is committed[1]?**
1. **People-centred:** recognising the resources, capacity, rights, choices and responsibilities of crisis-affected populations in addressing their S&S needs, and considering the S&S strengths and vulnerabilities of different profiles of the population.
2. **Balancing provision and support:** promoting as quickly as possible actions that support beneficiaries to become self-dependent, and that decrease the need for prolonged provision of temporary S&S skills, services and materials.
3. **Incremental action:** emphasising the need for a continuous S&S recovery process by supporting existing capacities, coping mechanisms, resources and markets, and promoting durable solutions based on locally available and affordable options.
4. **Risk-informed and environmentally friendly:** making S&S more resilient and safer from hazards and risks by building shelter back better, and informing settling (back) better taking into account the surrounding environment.
5. **Settlement informed:** addressing shelter and settlements holistically and tailoring the shelter response to the characteristics of the local settlement, such as adapting responses for urban settings.
6. **Multi-dimensional and integrated around the centrality of protection:** considering all potential individual, collective and/or host shelter solutions and addressing not only sector-specific needs but also those linked to other basic services, and coordinating across sectors, actors and response phases.
7. **Displacement sensitive**: promoting 'transitional settlement' for displaced populations, 'transitional reconstruction or rehabilitation for directly affected non-displaced populations, while being sensitive to the needs of indirectly-affected or host populations.
NO[3]
Is the (relevant S&S part of the) proposal a **short-term response to an acute crisis in support of a population recently displaced and/or 'on the move'?**
YES[2]
NO
YES
Is the (relevant S&S part of the) proposal a **full S&S response to an ongoing crisis** (as a stand-alone or a component of a multi sectoral intervention)?
NO
Is the (relevant S&S part of the) proposal **a pre-disaster intervention either as part of DRR or in preparedness** to an anticipated crisis?
NO
Is the (relevant S&S part of the) proposal a necessary but **limited response allowing other humanitarian action to be implemented**?
NO
Do not fund
YES
YES
YES
YES
Go to option 2
Go to option 3
Go to option 4
Go to option 1


Option 1: A short-term response to an acute crisis in support of a population recently displaced[4] and/or 'on the move'
Sudden shock and acute needs: Is there objective and substantiated evidence of a sudden loss of access to basic shelter and of grossly-inadequate S&S conditions or related goods and services, which fall below globally- or nationally-accepted humanitarian standards, as a direct result of the ongoing crisis, and where local coping capacity is insufficient?
YES
Imminent high mortality/morbidity risks: Is (part of) the population at a high risk of succumbing to or seriously suffering from illnesses, injuries and/or abuses because of its direct exposure to the local environment, climate and/or protection threats?
NO
YES
Do not fund
Outcome: Taking these grave threats into account, does the proposal ensure timely access to safe shelter goods and services and secure settlement, particularly for the most vulnerable segment of the targeted population?
NO
YES
Exit: Given the limited capacity of humanitarian action to address S&S needs to consolidate the recovery in the sector, is there an acceptable short-term exit strategy that can be satisfactorily achieved, and which takes into account the potential, plans and comparative advantages of other relevant S&S stakeholders?
YES
Consider funding[5]


Option 2: A fully-fledged S&S response to an ongoing humanitarian crisis, either as a stand-alone intervention or as a component of a multi-sectoral intervention
i) Conceived as a response to an acute or post-acute crisis (less than 12 months after disaster event).
Sudden shock and acute needs: Is there objective, substantiated evidence of a sudden loss of access to basic shelter and of grossly-inadequate S&S conditions or related goods and services, which fall below globally- or nationally-accepted humanitarian standards, as a direct result of the ongoing crisis, and where local coping capacity is insufficient to cope with the situation?
NO
YES
Outcome: Does the proposed intervention address these needs and ensure timely and secure access to shelter, related goods, services and settlements to the target population?
NO
Do not fund
YES
Exit: Given the limited capacity of S&S humanitarian action to consolidate the recovery in the sector, is there an acceptable short-term exit strategy that can be satisfactorily achieved and which takes into account the potential, objectives, strategies and comparative advantages of more permanent S&S stakeholders?
NO
YES
Consider funding
ii) Conceived as a response to a protracted crisis (more than 12 months since disaster event).
Displaced and returnees: Is the target population displaced or recently returned (less than 12 months) to its place of origin?
YES
Deterioration of context: Have S&S conditions in the displaced settlement(s) deteriorated to the point of critically endangering the health and/or protection status of the displaced and/or severely affecting their dignity?
NO
YES
Recovery/Development gap: Is there a persistent lack of capacity or willingness of other donors/actors which prevents these needs from being addressed? Can this gap be realistically and temporarily bridged by a humanitarian action[6]?
NO
Do not fund
YES
Outcome: Does the proposed action promote locally appropriate, durable and affordable access to shelter solutions, and effectively strengthen the resilience and self-reliance of the targeted population/authorities?
NO
YES
Scope: Is the proposed action limited to basic repairs and/or preventative maintenance of existing shelters and/or critical settlements infrastructure (i.e. access) at the local camp/community level, and/or to bring about new or additional shelter solutions due to a changing context (e.g. to cope with a population increase) in the same settlement(s)?
YES
Exit: Is there a well-conceived short-term exit strategy which allows the outcome of the action to be achieved? Does that exit strategy contribute to the gradual disengagement strategy of humanitarian aid and engagement of key development/long-term actors? Is this action likely to raise awareness on the S&S needs of the population and raise commitment from other actors to intervene?
YES
Consider funding


Option 3: A disaster preparedness or a DRR action of which S&S is a core component
Vulnerability of population: Are (some) shelters and/or the related settlement infrastructure of the target community highly vulnerable to natural and/or man-made hazards?
YES
Participation of population: If the target population has not been displaced, is there evidence of its interest and willingness (including that of local authorities) to contribute actively to the proposed S&S action?
NO
YES
Risk and impact of anticipated threat: Is the likelihood and impact of an anticipated threat on the local S&S infrastructures, assets and related goods and services very high? Is the expected destruction, damage or lack of access to basic shelter and settlements potentially life-threatening and/or cause for severe suffering for a large portion of that population?
NO
Do not fund
YES
BSBB: Is there a sound strategy seeking to build the population's resilience by introducing quality shelter solutions based on the principle of Building and Settling Back Better (BSBB), which is adapted according to the capacity, threats, risks and vulnerability of the context?
NO
YES
Outcome: Does the action intend to facilitate the achievement of longer-term (even if not necessarily permanent) S&S solutions in a reasonable timeframe (even if not providing these solutions in full)?
YES
Exit strategy: Is there a viable exit strategy with clear and present potential for individual, community, civil society or institutional uptake, learning and replication?
YES
Consider funding[7]


Option 4: A necessary but limited S&S intervention to facilitate a primary (and possibly more critical) humanitarian action such as protection
Why S&S?: Are there other sector/thematic needs which are more critical than those observed in the S&S sector and which could serve as a better entry point for implementing the 'primary' humanitarian action?
YES
NO
Added value: Is the implementation of the limited S&S intervention considered a key determinant to reach the objective(s) of the primary action? Are these action(s) complementary and properly articulated (e.g. HLP support for a landless population implemented through a primary protection action)?
NO
Do not fund
YES
Do No Harm: Is the limited S&S intervention achievable within the scope of the primary action? Is the S&S implementation and exit strategy sectorally-sound, including in terms of its targeting, resourcing and timeline?
NO
YES
Consider funding
Option 5: An institutional S&S capacity building intervention which directly benefits Commission humanitarian implementing partners
Sector gaps and action feasibility: Does the proposal address major recognised gap(s) in the humanitarian S&S sector? Is a solution to these) gaps realistically achievable with the proposed action?
YES
Comparative advantage: Are there clear reasons why ECHO is best placed as a donor to support the proposed initiative?
NO
YES
Beneficiaries: Are the intended beneficiaries key Commission humanitarian stakeholders in the S&S sector? Is the proposal aimed at directly or indirectly reinforcing the operational capacity of (a) strategic partner(s) engaged in the delivery of humanitarian S&S assistance?
Do not fund
YES
Operational impact: Would the expected outcome improve the impact and efficiency of the overall humanitarian S&S system particularly at operational level?
NO
YES
Collective sector prioritisation action and benefits: Is the action inclusive, aligned with and supported by the relevant S&S collective and coordination bodies (such as IASC clusters)?
YES
Sustainability: If the initiative requires sustained funding, is there a credible medium- or long-term funding strategy to support it?
YES
Consider funding

Annex B: Technical Annex

Table of Contents

Part 1 : Modalities **47**

Technical support ***47***

- *Construction/rehabilitation and planning expertise* *48*
- *Guidance and standards* *49*
- *Capacity building and training* *50*

Financial support ***51***

- *Unrestricted cash* *54*
- *Restricted cash* *54*

Material support ***56***

- *General household support items (NFIs which do not require instruction to use)* *57*
- *Shelter NFIs (NFIs which require instruction to use)* *57*
- *Construction materials and related items* *59*

Contracted works or product ***60***

- *Community labour* *60*
- *Contracted labour* *61*
- *Direct labour* *61*
- *Self-help* *62*

Part 2 : Applying Modalities **63**

Sub/sectors and activities ***63***

Response Scenarios ***65***

- *Preparedness phase* *66*
- *Emergency phase* *68*
- *Early Recovery phase* *70*

Comparing and combining modalities with activities ***72***

- *Technical support and contracted works* *73*
- *Material support and financial support* *74*

Further Reading **79**

Part 1: Modalities

1 Technical support modality

2 Financial support modality

3 Material support modality

4 Contracted works or products modality

Introduction :

While planning for the implementation of S&S interventions, decision makers should select the most appropriate activities and modalities to be undertaken - based on the results of the situation assessment and analysis of needs, resources, markets, and feasibility. '**Market based programming'** must inform programme design regardless of the combination of modalities selected. **Particularly relevant when designing S&S programmes will be verification of the following through assessments :**

- availability on the local market and quality compliance of construction materials
- availability on the local market and skill level of construction labour force
- availability on the local market and quality compliance of contractors
- availability on the local market of heavy machinery and machine operators

In the following section each modality is presented with its associated sub-modalities.

1. TECHNICAL SUPPORT MODALITY

Technical support is an essential support modality for all S&S interventions and is the only one that should always be reviewed, in order to determine whether additional internal expertise - including quality assurance - is required, or whether such expertise already exists on site.

Decision makers need to ensure they or at least their implementing partners can rely upon adequate technical capacity at different stages of programme design and implementation. Technical experts will be tasked to assess construction materials, as well as rental markets, construction industry's capacity, skills of local builders, undertake site selection and site planning, set up construction works and monitor their compliance to agreed standards or existing building codes. Supervision and technical expertise should be considered from the outset of a disaster response and integrated within planning design and implementation schedules. Technical expertise should be considered mandatory and may be provided by humanitarian organisations or by engaging the private sector. Regardless of the option chosen, supervision of any subcontracted works and services (including suppliers) must be ensured, whether implemented directly or through partner organisations. This should be standard practice so that risks are not transferred to the beneficiaries, and to prevent substandard response is prevented.

When S&S implementing agencies have in-house technical expertise it is recommended that they build upon local technical capacity to accompany site supervisors. For example, during monitoring and evaluations throughout the crucial stages of the construction works; and to inspect building parts such as foundations, drainage, and joints, before they are permanently covered by slabs or cladding. Such local capacity building often proves particularly beneficial and cost-effective in protracted crisis contexts and where natural disasters are recurrent.

Technical support encompasses 3 types of sub-modalities:

1) Construction/rehabilitation and planning expertise

2) Guidance and standards

3) Capacity building and training

1) <u>Construction/rehabilitation and planning expertise</u> :

This should be identified as soon as possible and can often be found locally. When that is not the case, expertise should be brought in by implementing organisations. It consists of engineers, architects, carpenters, masons and experienced builders who will undertake supervision at different levels and stages of works.

Construction/rehabilitation expertise *may be required:*

- when selecting the combination of activities and modalities to be supported, and to determine the technical requirements for the definition of technical assessment monitoring and evaluation programmes
- when implementing partners are selected for proposed projects in order to supervise the technical level of competence of their staff
- when crucial phases of construction are undertaken by implementing partners, which require direct supervision, to ensure quality assurance and compliance with standards, and that faults and errors have not been concealed by the advancement of the works.

In particular, construction/rehabilitation experts will be required for the following:

- Programme and project assessment and planning
- Building damage and habitability assessment
- Rehabilitation/retrofitting of repairable buildings
- Safe demolition
- Rehabilitation/retrofitting site supervision
- Capacity building for the development of national building code
- Recycling expertise of salvageable construction materials

Sources of expertise may be found through:

- Line ministries (Housing, etc.) and Army Corps
- Local municipalities
- National/Global Shelter Cluster
- Local Institute of Engineers or Architects
- Chamber of commerce
- Universities/professional technical schools
- Local builders associations

Site Planning Expertise should be provided whenever a large displacement of the affected population takes place following both conflict and natural disaster, and whenever resettlement needs to be envisaged to prevent the affected population from returning to hazardous areas, putting them at risk. Such expertise can range from urban planners, waste manager, environmental experts, lawyers and they may be requested to provide expertise to governments, municipalities, aid actors and other relevant institutions for:

- Site selection (including site hazard mitigation measures), programme and project assessment and planning, including environmental impact assessment
- Camp planning (including fire breaks, drainage, camp decommissioning, urban planning - integrating and building upon existing master plans when available - and waste management)
- Planning of out of camps and mixed settings programme management (this being a different set of expertise form site selection and physical planning)

- Rubble removal and management (handling and disposing of hazardous materials)
- Legal advice including protection, Housing Land and Property rights, based on and integrating local practice, while advocating for equitable rights
- Market assessment and analysis, market monitoring and evaluation (for example for inflation, and deflation)
- Information management support

Sources of expertise may be found through:

- Relevant ministries depending on countries of operations, such as Ministry of urban and rural affairs, Ministry of planning and land, Ministry of social affairs, Ministry of environment, etc.
- Global/national Shelter Cluster or other coordination platform
- Institute of planners
- Chamber of commerce
- Institute of Lawyers
- Universities

2) Guidance & standards:

The humanitarian sector has developed specific international guidance and standards to inform best practice in S&S interventions for conflict and natural disaster response and highlight. Guidance and standards are essential to ensure a harmonised response, and all aid actors should comply additionally with locally agreed sectoral guidance.

The humanitarian sector has also defined specifications for key items often needed and used in disaster responses. In most emergencies, when a Shelter Cluster is activated, the Shelter Cluster team will provide relevant guidance to inform the definition of locally agreed minimum quality standards. Compliance for general household NFIs may be verified by non-specialists; however when it comes to construction materials technical support should be envisaged.

Technical guidance:

- S&S assessment (including needs assessment, damage assessment, mapping/topographic surveys, site selection, environmental assessment), programme design, implementation; monitoring and evaluation)
- Settlement planning (including camp and urban planning strategies, but also cross sectoral issues, such as livelihoods)
- NFIs and NFI Kits for emergency shelter, winterisation and summerisation
- Rubble removal and safe handling and disposal of hazardous materials
- Reuse and recycling of materials (See Annex C, FAQ # 2)
- Safe construction of temporary / transitional shelter / one safe room / core shelter / house
- Repairs and rehabilitation of homes and communal infrastructure

Minimum quality standards:

Minimum quality standards are often defined by national building codes. These exist in most countries. Even though they might not always be widely disseminated or complied with in local practice, they are national regulations, which have to be respected, as well as a useful source of information (See Annex C, FAQ #9). The existence of building codes or otherwise agreed quality standards does not compensate for lack of technical expertise. Whenever it comes to construction works, reconstruction, retrofitting or site planning, technical experts are required to verify project compliance to codes and standards. Further elements to minimum standards are :

- Local building standards and codes
- Agreed minimum quality standards for NFIs and/or NFI Kits in the given context, and
- Where there are no agreed minimum standards, establish agreed minimum standards for planning and construction works based on previous emergencies, government guidance, and shelter cluster guidance

3) Capacity building and training:

Qualified expert supervision is essential to build back safer and to avoid transferring risk to beneficiaries. In order to build on resilience, especially in disaster prone countries, where recurrent disasters are predictable, qualified technical support should be linked to tailored capacity building of the local construction industry, down to the village mason or carpenter, and any relevant institutions. Such capacity building activities offer opportunities for stakeholders to increase their speed and ability to respond to scale in future emergencies. It also allows them to support the development or the implementation of building standards and codes. Capacity building programmes including constructions damage assessment, basic retrofitting techniques, common hazardous construction techniques, can be envisaged in liaison with local universities or local builder's associations. An integrated capacity building program should be included wherever possible and deemed necessary, involving workshops, practical training, skills development, and resource and information services.

Stakeholders from the construction industry may benefit from capacity building activities. In the context of a self-help approach where the affected population may be required to contribute to the reconstruction process, providing construction training and capacity building to beneficiaries can be crucial. It should be remembered, though, that self-help may also mean self-managed, as often people recur to local skilled labour to undertake construction works on their behalf. Capacity building should be considered whenever assessments indicate that affected population and local construction industry do not have the capacity to implement S&S programmes; for example, in order to identify and disseminate good practice in risk awareness, mitigation, and management. When S&S expertise or capacity is not available in-house, international training organisations exist, which can organise tailor made workshops facilitated locally.

Training of beneficiaries

Training packages for beneficiaries need to be contextualized, and these may include:

- Awareness on handling and disposing of hazardous materials
- Training on material reuse and safe recycling
- Training on safe construction for beneficiary driven construction
- Training of trainers

Example of materials used for training include:

8 Build Back Safer Key Messages, Shelter Cluster Philippines, 2014.
Help for Homes - Tips to Build Back Safer, How to make your house more resilient to natural disaster, Shelter Cluster Fiji, 2016.

Training of experts (NGO staff, authorities, institutions)
Based on local needs, training of experts may include:

- Urban planning
- HLP (Housing, Land and Property rights)
- Technical damage assessments
- Participatory approach for safe shelter
- S&S agreed guidelines and minimum standards
- Services repairs & reconstruction
- Safe handling and disposal of hazardous materials
- Material reuse and safe recycling

2. FINANCIAL SUPPORT MODALITY

DG ECHO strongly supports the promotion of financial modalities because of the significant efficiency gains that can thus be achieved. Further, it can empower beneficiaries and enhance a more people-centred approach. There are significant opportunities in the S&S sector to gain from the promotion of financial modalities. An integral part of this position is to uphold humanitarian principles and thus that this should also include essential quality assurance criteria and indicators, technical standards compliance, and that building and settling back safer should be also be assured.

For the effective implementation of financial support in S&S interventions, pre-conditions need to be in place. Markets need to be functional and accessible, and the required goods or services available at reasonable and, wherever feasible, stabilized prices, and acceptable quality; safe delivery mechanisms should be in place, and social and government acceptance ensured. The appropriate type of financial support should be identified in coordination with government authorities and existing coordination mechanism and should be based on the objectives of S&S programs.

As highlighted by the Global Shelter Cluster: ***'A cash based program is unlikely ever to be a primary objective of a shelter and NFIs response, it should be seen as one of several modalities through which an objective can be achieved. Therefore it is recommended that this modality be recorded as an additional separate attribute of the activity, as opposed to be used to categorize outputs.'***[96]

In order to make an informed decision on the appropriate selection of financial support modalities, in addition to seeking to maximise cost-efficiency, there should be a thorough analysis of context, needs, capacities, and markets, This should be part of a coordinated assessment, monitoring and evaluation cycle[97] that is both sectoral and inter-sectoral. S&S programming at scale relies on a series of market systems not only related to key construction materials (such as timber, bamboo, and CGI Sheets) but also to procurement and supply chain, labour market, land market, as well as housing financing mechanisms, and rental markets.

Council of the European Union Conclusions on Common Principles for Multi-Purpose Cash-Based Assistance to respond to Humanitarian Needs

In June 2015, The Conclusions of the Council of the European Union provided political endorsement for the 'The Common Principles for Multi-Purpose Cash-Based Assistance to respond to Humanitarian Needs' and paved the way for greater advocacy with other donors and DG ECHO's partners.

These principles stress the efficiency and effectiveness aspects and recall key issues such as the need to uphold the humanitarian principles and to ensure accountability. They recognize the importance of context specific solutions and the need to select the delivery modality that suits best. The principles introduce the notion of a humanitarian response across sectors to address basic needs, with dignity, flexibility and choice for beneficiaries. They note the implications of such an approach for programme design, which should be joined up, with enhanced coordination among actors and improved targeting. The principles also make the link with longer term resilience building and national social protection systems.

The following checklist is adapted from the International Red Cross and Red Crescent Movement 'Cash in Emergencies Toolkit' to reflect S&S considerations.

[96] Cash Based Programmes for Shelter and NFI-Implications upon Shelter Cluster Information Management Services', Global Shelter Cluster, May 2016.

[97] Selection of modalities should be informed by 'DG ECHO Thematic Policy Document n° 3 Cash and Vouchers', December 2013 and '10 Common Principles for Multi-purpose Cash-Based Assistance to Respond to Humanitarian Needs', March 2015

CHECKLIST: IS CASH FEASIBLE?[98]				
Criteria	**Key considerations**	**Yes**	**No**	**Comments**
NEEDS to be met by intervention	Can the needs be met through specific commodities and/or services?			Be aware that building damages can be different from sheltering needs
FUNDING	Is cash within donors' funding policies and framework?			
GOVERNMENT policies	Is cash in accordance with local government policies? *Ensure that there is no prohibition.*			For which type of activities are CTP acceptable by local governance?
MARKET	Is the economy monetized and are people used to handling money?			
	Does the population usually use markets to access its S&S needs?			Construction materials and labour markets?
	Are markets accessible after the emergency?			People can access transports to and from markets?
	Are needed items available in sufficient quantity and at acceptable prices in the local markets?			Is the quality compliant with agency's standards?
	Are traders able and willing to adapt to an increased demand? *Consider transportation, stocking, quality and quantity issues.*			
	Are prices likely to remain stable in the coming weeks/months?			
ORGANIZATIONAL CAPACITY	Does the agency have the internal capacity (programmatic, financial, logistic) to implement a CTP intervention? *Consider previous experience and potential partnerships.*			Does the agency have the internal capacity to link and follow up any S&S CTP intervention with technical support? Does the agency have the internal capacity to integrate any CTP intervention with material support and contracted works, in addition to technical support, anytime markets or beneficiaries' vulnerability criteria require it?
BENEFICIARY PREFERENCES	Is CTP a preferred option for the beneficiaries? *Consider empowerment, dignity issues and beneficiary capacity to deal with technology (mobiles, cards, etc.).*			Is access to CTP guaranteed to the most vulnerable in terms of numbers and geographical coverage?
INFRASTRUCTURE AND SERVICES	Are the infrastructure and services needed to transfer cash to beneficiaries available? *Consider financial and technology requirements (banks, microfinance institutions, mobile phone coverage, etc.).*			
RISKS	Are the risks associated with CTP acceptable or possible to mitigate? *Consider beneficiary and staff security, as well corruption issues.*			
TIMELINESS	Is it possible to set up and implement a CTP with the necessary speed and at the intended scale? *Consider the time that might be required to roll out the different delivery mechanisms.*			Depending on the time and scale of the intervention planned, has material support being planned to complement CTP?

[98] IFRC, Cash in Emergencies Toolkit.

Financial support may be categorised under 2 sub-modalities with possible levels of conditionalities related to them:

1) Unrestricted cash

2) Restricted cash

Financial assistance is <u>restricted</u> when the beneficiary is required to spend the cash on particular goods and/or services (for instance, shelter items through a voucher system).

Financial assistance is <u>conditional</u> when the beneficiary has to pre-qualify or fulfil some activities or obligations to obtain the cash (for instance, in cash for work schemes the beneficiary has to contribute with labour).

The assistance is <u>unconditional and unrestricted</u> when the beneficiaries do not have to do anything in return for receiving the cash and it can be used entirely as the beneficiaries' choice[99].

It may be useful for programme design purposes to foresee different conditionalities and restrictions based on beneficiaries' different vulnerability criteria (who can work and who can't) or needs (who needs to be supported to relocate, and who can be supported on site) if applicable to big categories of beneficiaries.

The additional costs the introduction of conditionalities brings with it, as opposed to a greater cash disbursement per beneficiary, should be justified; for example, by the provision of adequate S&S assistance, which includes different types of disaster vulnerability reduction measures, such as settling and building back safer[100], and the minimalizing of transferring risks to the beneficiaries. The following table is adapted from a Save the Children 2016 training on cash transfer programming for shelter. It illustrates the distinction between unrestricted and restricted cash in relation to conditionalities, and offers some examples of unrestricted and restricted cash sub-modalities.

<u>Distinction between unrestricted and restricted cash in relation to conditionalities:</u>

	UNCONDITIONAL	CONDITIONAL
UNRESTRICTED	• Maximum degree of flexibility • Utilisation out of implementers' hands • Intended to contribute to several outcomes (including sector related ones) • Not for a single specific sector • Suitable for recurrent, small transfers <u>Example</u>: • Multi-Purpose Cash Transfer (MPCT)	• Medium degree of rigidity • Utilization out of implementers' hands • Conditions checked prior to transfer • Better control on desired outcomes • Can be linked to specific sector <u>Examples:</u> • Cash for Work: time-based remuneration • Cash for Work: product-based
RESTRICTED	• Medium degree of rigidity • Utilization in implementers' hands • Better control on desired outcomes • For specific sector <u>Example</u>: • Commodity or value voucher received without having to meet conditions, e.g. : shelter item through voucher	• Maximum degree of rigidity • Utilization in implementers' hands • Maximum control on desired outcomes • For specific sector • Suitable for high transfers, one-off transfers (rare) <u>Example</u>: • Cash for construction material given in tranches • Voucher given after training attendance

[99] CaLP Glossary retrieved from: http://www.cashlearning.org/resources/glossary

[100] Page 33-34, 'DG ECHO Thematic Policy Document n° 5 Disaster Risk Reduction', September 2013

1) <u>Unrestricted cash</u> :

It can be provided throughout a crisis, from the early stages of an emergency, through a protracted crisis, towards being absorbed into a cash social protection system. Unrestricted cash grants can be provided when the operating context allows it and beneficiaries can best benefit from the flexibility and choice to spend the money on a wider range of products and services - other than construction materials and shelter NFIs. For repair and construction activities, it remains imperative to provide for technical quality monitoring and evaluation, for which unrestricted cash disbursements would be inappropriate as contrary to approaches and procedures such as building and settling back better. Vouchers would be more appropriate in such cases. The use of unrestricted cash for rental is more appropriate.

Unrestricted and unconditional cash

- **Multi-Purpose Cash Transfers (MPCT)**

MPCT are a regular or one-off transfer, corresponding to the amount of money a household needs to cover, fully or partially, a set of basic and/or recovery needs[101]. MPCT can be the simplest cash transfer modality to set up and manage, they aim at covering fully or partially, sets of beneficiaries' needs across a range of sectors and they often can be cost-effective at responding to various needs. MPCT are often adopted for cost-efficiency reasons and/or fungibility of funds in addressing needs, and to allow for further flexibility and choice. From inception MPCT programmes require measurable technical outcome indicators specific to DRR and S&S to ensure that outputs can be traced; and need to be complemented with activities to ensure quality assurance, as well as S&S sector specific programme impact monitoring. Planning for risk informed cash disbursements alone is not sufficient to protect beneficiaries from the transfer of S&S risks.

Unrestricted and conditional cash

- **Cash for work (CfW)**

CfW often requires training for the beneficiaries, technical assistance from the agency and equipment and small machinery. There are other sub-modalities where communities are engaged in the repair or rehabilitation of infrastructure and communal facilities, which are covered in section 2.4 Contracted works or products.

2) <u>Restricted cash</u> :

Most financial support for S&S interventions would be restricted, except for some interventions provided through MPCT or cash for work as described above. The introduction of restrictions decreases the level of choice of beneficiaries, while its added value is compliance with S&S programme design principles and objectives, quality, materials and technical standards. Restricted cash allows beneficiaries to use the assistance only for pre-selected commodities or services, very often through vouchers or pre-selected vendors.

The decision to apply restrictions may be related to the need to provide instruction on the use of specific items, or to support the selection of safe and appropriate construction materials, for example restrain the selection of hazardous materials such as asbestos, or unethical timber, or untreated timber.

Restrictions may be applied:

- To increase traceability on what the cash was spent on, having therefore an impact in terms of programme outcome and in determining the extent to which the output had contributed towards programme objectives;

- To reduce the risk of use of sub-standard materials and/or their incorrect usage, inherent to self-selection by beneficiaries. Aside from hindering the achievement of programme objectives, such risk would have a direct impact on the fulfilment of agencies' core principles, such as making S&S more resilient and safer from hazards and risks.

[101] Adapted from CaLP, 'Cash Transfer Glossary", www.cashlearning.org

Following are examples of the most common S&S restricted cash disbursements types, which do not include cash for the payment of utilities bills, which are better included as part of MPCTs in emergency response or during care and maintenance in the case of protracted crisis.

Restricted and unconditional cash

- **Vouchers**

Vouchers may be conditional or unconditional. Commodity vouchers specify the items and quantities they can be redeemed for, whilst cash vouchers – with a lighter restriction compared to commodity vouchers – have a specific value to be expended in a range of goods and services. Existing guidance[102] is insufficient to inform S&S response analysis, taking into account the use of vouchers, as decision-making is framed mainly around market functioning and safety criteria for cash distribution, omitting essential S&S considerations of repairs' and construction's safety, together with affected populations' vulnerability reduction principles, which need to be integrated to achieve an informed decision.

Restricted and conditional cash

- **Cash for rent**

A pre-qualifying condition can be set as to sign and present a rental agreement with the landlord before receiving the assistance. Training on searching and selecting appropriate accommodation is required to inform beneficiaries on local regulations, contracts and practices and specifically on understanding rights and obligations of tenants.

- **Cash for hosting and hosted families**

Although this form of assistance is for other sectors often provided under unrestricted form as part of MPCT, for S&S interventions it should be restricted and conditional, and target both host and hosted families[103]. The need for monitoring this type of assistance is critical to meet programme objectives, principles and standards, which would be impossible with MPCT. Depending on the context, a mix of modalities might be envisaged, restricted for shelter purposes, and unrestricted as a compensation for the payment of higher utility bills and most needed commodities.

- **Cash for retrofits, upgrades and rehabilitation (materials, labour and transport)**

Cash transfer to allow for beneficiary driven repairs and rehabilitations, partial or total construction of their own dwellings, in the form of a temporary shelter, or one safe room, or core shelter. In the case of owner-occupiers, beneficiaries contribute by managing – and sometimes providing non-skilled labour - the construction or reconstruction with the technical support of the agency to ensure that houses are rebuilt to standards. In the case of tenant-occupiers arrangements need to be negotiated with landlords and included into rental agreements to specify the type of investment, which will be made, and its return as free rental periods or rent reduction, depending on the scale of investment.

- **Market based intervention through direct support to markets: trader's support**

In a sudden on-set disaster, vendors' premises might have been destroyed or damaged, through cash transfer they can repair or rehabilitate their shops and/or re-stock with the needed items to serve the local market. In some contexts, support to traders can be relevant even if they have not been directly affected by a disaster, to increase market capacity.

- **Market based intervention through cash to increase the housing stock**

For example, cash to land owners for the completion or renovation of existing properties in exchange of a rent-free period for a population in need, is a form of market intervention.

[102] Page 3-4, Decision tree to support response analysis in 'DG ECHO Thematic Policy Document n° 3 Cash and Vouchers', December 2013

[103] D'Urzo S., Vitale A., Assisting host families and communities after crises and natural disaster. A step-by step guide, IFRC, 2012.

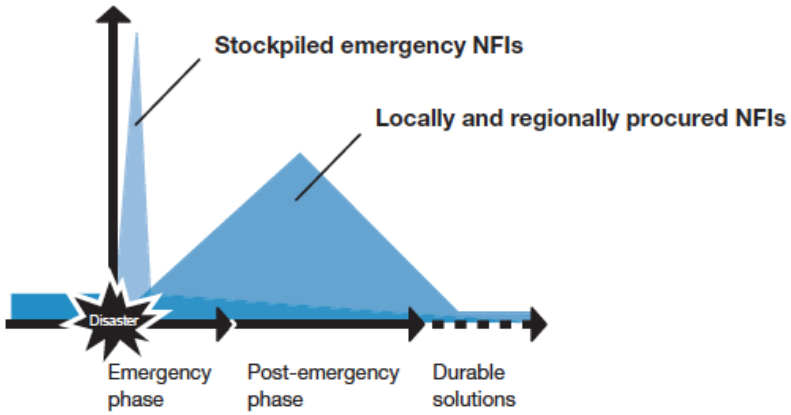
3. MATERIAL SUPPORT MODALITY

The appropriateness and effectiveness of material support through in-kind distribution will be determined through early assessment of needs, access, markets and resources available. Relief priorities and assistance levels should be agreed with the affected families, the host communities, the government, coordination mechanisms such as the cluster, and with implementing organisations. This as part of a continuous coordination process involving assessment monitoring and evaluation. The provision of NFIs and construction items may be achieved through in-kind distributions, where restrictions and conditionalities may be applied. In-kind distribution is most appropriate when local markets are inaccessible or disrupted, or when the quality of the items available on the market (including tarpaulins, concrete blocks, CGI sheeting) is below agreed international shelter standards [104]. In such circumstances, especially just after the onset of a disaster, international procurement becomes unavoidable whenever the programme design aims at the quickest and widest possible coverage. Local markets (traders, manufacturers) are likely to require time to recover their pre-disaster level after the disaster. With time they will adjust to the post-disaster demand for materials and products on their market, but is very likely to be only after the first emergency phase that, if supported, they can start to be relied upon.

Market and supply chain analysis, and distribution and logistics activities are always critical in the provision of construction materials; however, **the distribution of NFIs alone does not constitute a shelter programme, unless it is combined with a wider shelter strategy aimed at achieving durable solutions.**

NFIs may be distributed from the emergency phase until durable solutions are achieved. The following figure illustrates how the demand for NFIs changes over the duration of the response. In the immediate aftermath of the disaster a higher proportion of stockpiled NFIs might be distributed to supply for insufficient local availability or related logistics. Later on more locally and regionally procured NFIs are distributed.

Variation for the demand of NFIs over the duration of the response:



Material support encompasses 3 types of sub-modalities :

1) General household support items (NFIs which do not require instruction to use)

2) Shelter NFIs (NFIs which require instruction to use)

3) Construction materials and related items

[104] IASC, Shelter Centre, Selecting NFIs for Shelter, 2008

Operationally, some organisations consider many general household support items and Shelter NFIs to be general relief goods under the responsibility of logistics and/or disaster management teams. Other organisations consider specific items to be the responsibility of specific sectors, such as water, sanitation and hygiene. As responsibilities within organisations differ, organisations should coordinate their activities within their sector and among sectors to ensure an appropriate response, with no gaps or overlaps in assistance.

Assistance itself will need to evolve over time to cope with the changing circumstances and needs of the affected population. While the first response will aim at meeting basic survival needs, implementing agencies and organisations may later support other types of response such as temporary shelters and in due course durable solutions (such as one safe room or core shelters).

1) <u>General household support items</u>:

General household support items are distributed without additional instruction, or Information Education Communication (IEC) support. They may be distributed both during the emergency and recovery phase and may be distributed by agencies and organisations as standardised packages. The composition of such packages will be determined based on beneficiaries' needs, climatic conditions, availability, quality and prices of items in accessible markets. The items may include:

- Cook sets, jerry cans, buckets, stoves, solar torches, chargers, radios, clothes, blankets, bedding, floor mats, mosquito nets, shade nets
- Cleaning-up and handling rubble removal tools (cleaning kit, gloves, hats, boots, etc)
- Tool kit (manual tools: hammer, rope, nails, wire, hurricane straps)
- Furniture and kitchen units

Partners from the WASH Cluster or the Shelter Cluster may distribute items such as mosquito nets or water containers, and so coordination especially between these clusters is essential to avoid gaps and overlaps in response. Additionally, structures falling under the responsibility of other clusters, such as latrines for the WASH Cluster, often require items, such as plastic sheeting and timber.

2) <u>Shelter NFIs</u> :

Shelter NFIs are items which require instruction or IEC to use, such as tents, plastic sheeting/tarpaulins. These items also have agreed specifications, which have been purposely developed for S&S interventions. Shelter NFIs available on local markets are generally not compliant with such specifications and standards.

Tents - tents are a frequently used emergency shelter solution and they can provide support to non-displaced people, and allow them to stay on their own land. The advantage of their quick set up time does not always compensate for the fact that tents do not respond to the longer term housing needs of affected people, and have:

- high procurement and transport costs (shipping being by far the cheapest option, but appropriate for tents replacement or for pre-positioning, as it leads to considerable delays
- limited durability when deployed (only few months in extreme climates)
- limited durability when in stock (depending on materials)
- impact on local distribution to site due to weight (55-100 kg per unit)
- additional costs for summerisation/winterisation

Tents should not be distributed whenever:

- they cannot be delivered in time
- existing buildings can be adapted or repaired quickly (host communities and/or reconstruction can be supported)
- locally constructed shelters have a comparable cost to tents and quality materials distributed can potentially support later reconstruction

Common types of tents (adapted from IASC, Selecting NFIs for Shelter, 2008)

Type	Family Tent	Lightweight Emergency Tent (LWET)	Ridge tent	Centre pole tent	Frame tent or transitional shelter
Details	Ridge tent with raised walls and extended fly sheet at ends	Tunnel tent with fibre glass poles and synthetic covering	Metal poles form ridge with cotton based canvas flysheet	Canvas tent with one large pole in the centre May have poles to raise walls	Solid metal frame tent with synthetic covering material
Covered area	16 m^2 plus two vestibules	15-21 m^2	12-16 m^2	12-24 m^2	12-28 m^2
Weight	55 kg	42-60 kg	75-85 kg	50-120 kg	50-120 kg

Winterisation - The following priorities[105] for NFI distribution should be taken into account in cold climates, and in the following order (wall and roof insulation, although fundamental to make a difference, are the last priorities):

1. Clothes and bedding (including hats and blankets)
2. Shelter
3. Waterproofing of shelters (waterproof roofs, walls and floors)
4. Groundsheets and mattress
5. Wind proofing/thermal buffer
6. Heating and ventilation (stove and fuel)
7. Insulation of floor
8. Insulation of walls

Plastic sheeting - Often plastic sheeting will be used directly by organisations or contractors. Rolls (usually 4mt wide, 50-60mt long) provide more flexibility, compared to pre-cut sheets (packet in bales of 5 or 10), for construction of shelters, latrines, and washrooms. Distribution of plastic sheeting should be complemented with tools, fixings and materials for the structure. Transport and technical assistance, especially for the most vulnerable, needs to be considered. Especially when coordination is weak among distributing agencies, plastic sheeting is likely to be resold on the local market.

Insecticide Treated Plastic Sheeting (ITPS) is a vector control treatment, which contains pesticide. It must not be distributed without close training and support in its use.

Plastic sheeting should not be distributed whenever there are locally available and are commonly used and climate appropriate:

- palm, banana or other leaves (for roofs, palm leaves not to be used in endemic Chagas diseas areas)
- thatch or other type of grass (for roofs or for protecting plastic sheeting on roofs)
- adobe (for walls)
- cement or fired earth tiles
- woven bamboo sheets (for walls)
- Corrugated Galvanised Iron (CGI) sheets
- plywood or fibreboards (for walls)
- foam or plastic mats (for flooring)

Pre-cut plastic sheets - are usually distributed to beneficiaries directly. Requirements for assistance, tools, fixings and materials for the structure remain the same as for plastic sheeting. Pre-cut sheets are often also used for the upgrading of existing shelters. Typical pre-cut sheets sizes are listed below, examples are based on a 30° pitched roof-walls not included and allowing 25 cm for fixings

[105] IASC, Selecting NFIs for Shelter, 2008

- 5mt x 4mt - provides a 13.5 m^2 effective covered area
- 6mt x 4mt - provides a 16.5 m^2 effective covered area
- 7mt x 4mt - provides a 19.5 m^2 effective covered area

More extensive information on use and specification of plastic sheeting for different purposes can be found in listed in Oxfam, IFRC, Plastic Sheeting - A guide to the specification and use of plastic sheeting in humanitarian relief, 2007

Containers and pre-fabricated shelters - These items are also sometimes categorised as shelter NFIs. Due to their high unit cost, cost of transport, long shipping time, and cultural acceptance, containers use should be limited to special infrastructure (such as clinics or secure stores for expensive items), or agency infrastructure, and not intended for sheltering affected individuals and families. Their cost depends on size (20ft 6x2.4 x 2.6 m, 32m^3or 40ft. 12 x 2.4 x 2.6 m, 65 m^3) and conditions. Imported pre-fabricated shelters undergo similar constraints as containers; they additionally require long production times. Local pre-fabrication, as a form of organisation of the local construction process, should, on the other hand, be supported and encouraged, as component part of recovery.

3) Construction materials and related items :

Construction materials are items distributed, once the decision to retrofit, repair, or rebuild has been made, and subsequently throughout the response until programme objectives have been achieved. The distribution of construction materials may be phased to provide an opportunity for monitoring and to record progress. These items do require additional instruction, IEC materials, promotion, and awareness-raising. Quality assessment and monitoring of construction materials and tools provided, or available on the market, is a pre-requisite for the implementation of S&S programmes. Trainings (and training of trainers' programmes) on appropriate construction techniques should be set up whenever the distribution of construction materials is envisaged. It must be followed up with S&S implementation monitoring and evaluation, in order to avoid agencies transferring all risks onto beneficiaries (rather than supporting them in mitigating risks) while also meeting accepted humanitarian standards.

Construction materials distributions may include :

- Corrugated Galvanized Iron Sheet (CGI)
- Construction materials (timber, plywood, bamboo, cement, aggregate, steel bars, blocks, bricks, binders, thatch roof)
- Fixings (strapping, nails, screws, rope)
- Doors and windows
- Tools (manual and electrical tools - these can be provided at the community level, to be shared amongst several households)
- Timber treatment and paint
- Machinery to remove rubble

Corrugated Galvanised Iron (CGI) Sheets - There are two types of galvanised sheeting, which is sometimes called corrugated iron sheeting: thin gauge is used for walling, and thicker sheets (G32-24SWG) are used for roofing. It is common to find 22 gauge (0.80 mm thick) sheets used for roofs. When painted silver grey, corrugated metal roofs are cooler by 5°C than when left in their natural state. CGIs must be distributed with fixings, such as appropriate nails and wind ties. In areas with high winds, additional fixings are to be provided. Holes should be drilled (not punctured) in the ridge of the corrugation.

4. CONTRACTED WORKS OR PRODUCTS MODALITY

Both when entailing partial and completed works aid agencies implementing S&S intervention will use different forms of labour contracting to perform activities and achieve the desired outcome. Decision makers should consider that involving owners, contractors and communities may all be appropriate forms of labour contracting in the same response. The primary objective is to involve the affected population centrally in agreeing, planning and implementing the support offered to them. The ultimate responsibility for construction quality control and compliance with agreed standards rests with the implementing agency - both when self-help is envisaged, but also when direct or contracted labour are involved. Implementing agencies are required to have the necessary in-house technical capacity to set up, monitor and ascertain whether all construction works are conducted so that beneficiaries, while repairing, retrofitting, and reconstructing, are mitigating their vulnerability to hazards.

Hiring labour for S&S programmes may influence the degree to which the affected population participates in implementation. Although self-help labour is considered by many to be the most participatory labour type when managed and implemented correctly, it is not always appropriate. Decisions on labour type should therefore consider different factors necessary to achieve quality constructions and not just participation. The mapping of labour and support capacities and resources should be considered as part of a market assessment in post-disaster response as well as during contingency and preparedness.

Contracted works or product may be presented under 4 sub-modalities :

1) Community labour

2) Contracted labour

3) Direct labour

4) Self-help

1) <u>Community labour</u>:

Community labour involves the mobilisation of a community to undertake together S&S interventions, whereby materials or financial support combined with technical support, is provided to the community as a whole, rather than to an individual family. Pre-existing solidarity mechanisms have to be taken into account in programme design both in order to derive the maximum community involvement, and to avoid disrupting their essential nature, which is often volunteer-based.

Community labour is different to Cash for Work, as usually individuals are not paid for their labour, the labour is provided in-kind by the beneficiaries in exchange for materials or financial support to purchase materials, combined with technical support.

A number of factors should be taken into account to ensure this is the appropriate contracting method. **Skilled and unskilled labour in the local and displaced communities should be assessed in a technical support framework, to identify levels of skills and ensure availability**. Construction capacity building programmes can be put in place so as to ensure some capacity rests within the targeted community. It is critical to include the displaced communities in the planning process, and identify individuals to take the lead on the project, to manage the rest of the community and ensure that a schedule of works has been agreed and adequately documented.

Policies for engaging local labour should be in place and approved by the community and implementing agency, which consider the most vulnerable as well as all potential issues deriving from social, financial and gender differences. Tools and equipment, as well as the parameters for health and safety onsite required for the works, should be available.

***Community labour may be used for*:**

- Distribution of NFIs
- Repairs & rehabilitation of settlement communal areas, infrastructure and facilities
- Repairs & rehabilitation of private houses
- Construction of temporary shelter and / or core shelters.

2) Contracted labour:

Contracted labour is the hiring of professional companies to provide technical expertise, carry out distributions, undertake reconstruction activities or provide resources. Technical expertise obtained through contracted labour does not exempt agencies from providing adequate technical support for the supervision of third party services.

A number of factors should be taken into account to ensure this is the appropriate contracting method. Project plans should be developed with beneficiaries to ensure high levels of participation. Tendering processes should be considered in certain contexts; in others tendering might not be relevant. The technical expertise required should be identified to ensure the engagement and management of an appropriate contractor - including site management if necessary. Building codes and quality of construction, as well as quality control procedures and mechanisms, should be defined and agreed prior to the works and included at all planning levels.

***Contracted labour is often used for*:**

- Distribution of goods (for example in remote areas)
- Construction of large and complex projects (apartment blocks, large community facilities of infrastructure projects)
- Implement specific hazard-resistant measures (removing hazardous materials)
- Constructing elements within projects that require specialist skills
- Providing additional capacity especially where damage or mortality levels are high, and when communities have no tradition of self-building

3) Direct labour:

Humanitarian organisations may hire and manage labour directly. Direct labour may be appropriate to undertake a S&S activity, such as rubble clearance or repairs and reconstruction works. **This is different to Cash for Work, as direct labourers are employed by the organisation for their skills and competencies, rather than purely compensated for their work.**

A number of factors should be taken into account to ensure this is the appropriate contracting method. Adequate technical capacity for supervision, training and site management, including health and safety should be provided. Employees should represent the diversity of social, political and economic groups in the community, and community leaders should be involved in all public or official negotiations. Schedule of works should be agreed and recorded and implemented with appropriate project activity monitoring. Contracts with individual workers should be considered with adequate remuneration package.

***Direct labour may include*:**

- Rubble removal
- Masons and/or carpenters for repairs and reconstruction of houses and communal facilities
- Construction labourers for the construction of temporary shelters

4) Self-help:

Affected families should be supported with an appropriate combination of assistance in order to allow them to implement S&S programmes and projects themselves. Self-help, sometimes defined as self-build or owner-driven[106] is most appropriate when labour is available, the construction methods required are relatively simple and non-engineered, beneficiaries have a tradition of self-building and there are no strict time pressures. S&S programme implementation through self-help does not exempt agencies from providing technical support and from undertaking monitoring and evaluation of compliance of all premises built to standards in order to avoid transferring risks onto unaware beneficiaries.

A number of factors should be taken into account to ensure this is the appropriate contracting method. It is often helpful to have S&S objectives and activities agreed and publicly and officially shared. Considerable care should be taken if self-help is employed in hazardous areas to ensure that vulnerabilities are not rebuilt, while also ensuring that traditional risk mitigation techniques are understood and supported. Weather patterns and other risks should be planned for. Aid agencies should ensure they have the capacity and resources to offer continuous technical support, quality assurance, and compliance with minimum standards. This may be carried out through trainings and capacity building, when necessary. Market mechanisms to ensure wide and sufficient access to construction materials and their price regulation should be in place to facilitate self-help implementations.

Multi-sectoral needs assessment will be the basis for the definition of vulnerability criteria upon which beneficiary selection will be undertaken. It is critical that assistance is designed around the most vulnerable, including existing solidarity mechanisms for those who might not be able to carry out the works themselves. Beneficiaries may for example decide to employ family labour, local constructors, labourers, or a combination of both. They may also prioritise their assistance in order to improve other aspects of their livelihoods, an option they do not generally have when other types of labour are chosen. When correctly monitored, implemented, and assessed, self-help ensures the greatest direct participation of the affected community in the rebuilding of their livelihoods following a disaster or crisis. Resources may be transferred directly to the families, or managed with them, for example by an NGO.

Self-help may include:

- Construction of temporary shelters
- Repairs and rehabilitation of houses
- Construction of core shelters
- Sub-contracting other individuals to carry out the works

[106] Owner Driven Reconstruction (ODR), World Bank, 2010.

Part 2 : Applying Modalities

1. Sub/sectors and activities

2. Response Scenarios

3. Comparing and combining modalities with activities

1. SUB/SECTORS AND ACTIVITIES

DG ECHO works with sub-sectors to frame its interventions, the table below links sub/sectors with the following common activities DG ECHO undertakes during humanitarian S&S interventions. These are used in the *Response Scenarios* below to help clarify the definition of the appropriate balance between provision and support in different phases of S&S assistance :

1. Emergency Shelter Non-Food items (NFIs) (prepositioning, procurement, distribution)
2. Winterisation / Summerisation of sheltering solutions in camp and out of camp
3. Rubble Removal & Material Recycling
4. Settlement planning (camp and urban planning, infrastructure & services repairs and reconstruction)
5. Temporary / transitional shelter / camps (host families support, rent)
6. Repairs / Rehabilitation, Retrofitting of houses
7. 1 safe room / Core Shelter / House
8. Repairs / Rehabilitation, Retrofitting of Communal facilities (schools, cyclone shelters, public administrative buildings)

The above activities may be implemented individually, but will usually need to be combined simultaneously or in sequences depending on needs, priorities, and context. Regardless of whether provision and/or support modalities are finally chosen for implementation, all sheltering activities will need to be:

- structurally sound
- provide adequate sheltering from the elements
- offer a level of safety and security
- provide access to water and sanitation
- support livelihoods
- achieve agreed standards
- include disaster risk reduction measures

Common activities per S&S subsector:

S&S Sub/sectors	Activities
Individual household shelter	Emergency Shelter Non-Food items (NFIs) (prepositioning, procurement, distribution) Winterisation / Summerisation of sheltering solutions in camp and out of camp Temporary / transitional shelter / camps (host families support, rent) 1 safe room / Core Shelter / House
Camps and collective centres	Emergency Shelter Non-Food items (NFIs) (prepositioning, procurement, distribution) Settlement planning (camp and urban planning, infrastructure & services repairs and reconstruction) Temporary / transitional shelter / camps (host families support, rent) Winterisation / Summerisation of sheltering solutions in camp and out of camp
Settlements (Site selection, planning and development)	Settlement planning (camp and urban planning, infrastructure & services repairs and reconstruction) Rubble Removal & Material Recycling
Support to host communities' shelters and settlements	Emergency Shelter Non-Food items (NFIs) (prepositioning, procurement, distribution) Temporary / transitional shelter / camps (host families support, rent) Repairs / Rehabilitation, Retrofitting of Communal facilities (schools, cyclone shelters, public administrative buildings)
Capacity building (Shelter)	Repairs / Rehabilitation, Retrofitting of houses Repairs / Rehabilitation, Retrofitting of Communal facilities (schools, cyclone shelters, public administrative buildings)
Other (Shelter)	Rubble Removal & Material Recycling

2. RESPONSE SCENARIOS

This section provides practical tools to inform strategic decision-making on the implementation of S&S interventions, by considering the appropriate combination of modalities. **The following section presents response-based scenario tables for decision-making on the choice of balanced package of S&S assistance between provision and support.**

In order to respond successfully to the needs of affected populations and fulfil S&S objectives, S&S programmes should include a series of sheltering activities, to be implemented through a combination of modalities. Based on an assessment of local resources and capacities, a diversified response is generally more likely to achieve a better targeted reach, and a wider coverage, while making the best use of affected families' and individuals' own coping strategies.

In S&S interventions, technical support should to be provided at all times; regardless of whether implementation takes place through the provision of material or financial support simultaneously or at different times. Any S&S activity chosen should be fit for purpose and informed by technical standards endorsed by local government, while guaranteeing adherence to agencies' governing principles.

In order to meet the needs of the affected population, while also achieving quality assurance at all stages of the response, **a single modality of support is not appropriate.** Maintaining an accurate understanding of the progress and of the impact of S&S programmes is required to support beneficiary accountability, correcting possible deficiencies, and drawing conclusions with regard to how future responses may be informed by good practice.

In unstable and rapidly changing environments, such as in complex emergencies, it is particularly important that **monitoring and evaluation are closely connected to the programme needs assessment as a continuous work in progress,** in order to provide a picture of the rapidly changing programme environment.

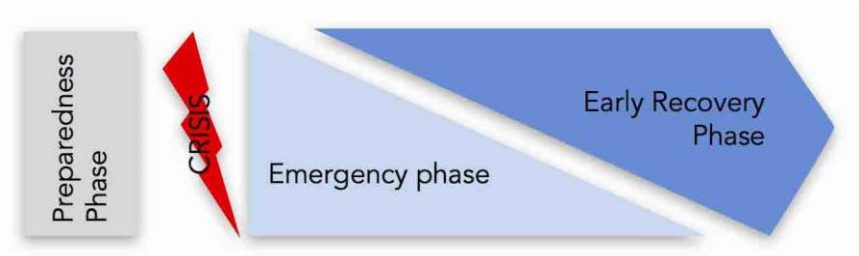
The S&S response scenarios below are intended to summarise the most commonly undertaken activities implemented through the four modalities and depending on the phase of response*:*

1) Preparedness phase

2) Emergency phase

3) Early recovery phase

Response phases:



Although these phases often overlap, and in some contexts they are sometimes difficult to differentiate, they remain a common denominator for humanitarian actors to define the implementation of S&S activities and modalities.

1) Preparedness Phase

The preparedness phase for S&S programmes can be described as the period before an emergency, which is not necessarily imminent. It is different from the contingency phase, which is when the emergency is yet to happen, but is likely to occur. Planning for S&S should focus on identifying, establishing, developing, and maintaining local and national capacities through:

- consolidating international law, such as refugee law, within national and regional statutes
- adapting retrofitting or constructing safe havens/disaster proof shelters
- building capacity for DRR and disaster response within national institutions, line ministries
- establishing stockpiles of key shelter materials and equipment for the response in the emergency phase
- public information campaigns to raise awareness of the impact of population displacement from another region or country

The following table presents frequent activities and modalities, which may take place during preparedness. This includes:

- emergency shelter (warehouses pre-positioning)
- winterisation / summerisation ((warehouses materials pre-positioning)
- settlement planning (risks and hazards maps)
- repairs, rehabilitation and retrofitting of houses (awareness raising and local capacity building)
- repairs, rehabilitation and retrofitting of communal facilities to serve as safe havens

Technical support remains the central modality to every activity, through : the development of a country profile that maps risks, market status, and construction practices; developing contingency planning based on scenarios with stock piles, procurement and distribution plans; establishing minimum standards for NFIs, temporary shelter and reconstruction; reviewing building codes; building the capacity of relevant experts; and upgrading communal facilities, residential buildings and evacuation centres.

Financial support may be used through market-based interventions; through restricted or conditional cash for the prepositioning of NFIs, to undertake repairs, for the rehabilitation and retrofitting of communal facilities to be used as safe havens, for transit centres, and collective centres. Pre-crisis market assessment may be conducted to ensure awareness of market functioning, and to accelerate responses to weak links in supply chains, for when markets are affected by the crisis.

Materials in-kind should be provided instead of cash if they are not available on the market; when material quality on the market is below standards; if the cash transfer options are inadequate; if inflation may cause negative impacts; and if the affected populations do not have access to the markets.

Community labour and contracted labour may be used in this phase to undertake hazard mapping, put in place early warning mechanisms, and provide safe havens in disaster prone countries. Pre-disaster assessment of locally available construction materials, industry and labour markets should be additionally envisaged.

Main modality to be supported in this phase

Modalities, which need to be balanced locally

✓ Appropriate when ...

✗ Not appropriate when ...

! Critical consideration

→ Refer to ...

- General support items and Shelter NFIs may also be provided during this activity, using financial support or material support modalities.

PREPAREDNESS PHASE

	Technical Support	Financial Support	Material Support	Contracted Works
1. Emergency Shelter NFIs (prepositioning, procurement and distribution)	▫ Construction and planning expertise ▫ Guidance & standards ▫ Capacity building & training ! Develop country profile identifying risks, market status, construction culture. ! Develop contingency plan based on scenarios with stock piles, procurement and distribution plans. ! Develop evacuation plan.	▫ Market based intervention ! Data collected during pre-crisis market assessment might change after the crisis. Consider doing post-crisis market assessment.	▫ General support items ▫ Shelter NFIs ✓ Prepositioning of stocks, and stockpiling. ✓ Ensure pre-positioned items are relevant to the context.	! Pre-crisis mapping of labour force. → Technical Support
2. Winterisation / Summerisation of shelter solutions in camps or out of camp settings	▫ Construction and planning expertise ▫ Guidance & standards ▫ Capacity building & training ! Training construction experts and beneficiaries on winterisation / summerisation.	▫ Cash for general support items (MPCT) ▫ Cash for Shelter NFIs ▫ Market based intervention Provision of general items and NFIs may take place as a preventative measure. ✓ Markets are functional, accessible, and more effective than distributions. ✘ Results need to be measured → **cash restrictions** → Material Support	▫ General support items ▫ Shelter NFIs Provision of general items and NFIs may take place as a preventative measure. ✓ Markets are not accessible, disrupted or cannot assure quality of items (Shelter NFIs). ✘ Market are functional consider → Financial Support	▫ Contracted labour ▫ Direct labour ▫ Self-help ! Ensure beneficiaries are aware of how to use (purchase) items.
4. Settlement Planning (camps and urban planning, infrastructure and services)	▫ Construction and planning expertise ▫ Guidance & standards ▫ Capacity building & training ! Lack of planning guidance & experts may lead to unplanned camps			
6. Repairs, Retrofitting & Rehabilitation of Houses	▫ Construction and planning expertise ▫ Guidance & standards ▫ Capacity building & training ! In natural disaster context, repairs and upgrade of houses may happen prior to a crisis as a preventative measure. ! Lack of adequate technical support can put people at further risks.	▫ Cash for construction materials ▫ Cash for host/hosted ▫ Market based intervention ✓ Restriction on construction materials ✓ Combine → Technical Support ✘ Materials on the market are low quality or insufficient to respond to the demand, combine/substitute with → Material Support.	▫ Construction materials ✓ Combine with → Technical Support ✘ Market can provide quality and quantity of materials, this modality combine/substitute with → Financial Support.	▫ Community labour ▫ Contracted labour ▫ Direct labour ▫ Self-help ! Combine with → Technical Support
8. Repairs, Retrofitting & Rehabilitation of Communal Facilities * (schools, cyclone shelters, public administrative buildings)	▫ Construction and planning expertise ▫ Guidance & standards ▫ Capacity building & training ! In natural disaster and conflict context, repairs and upgrade of communal facilities, used as displacement sites, may happen prior to a crisis as a preventative measure. ! Lack of adequate technical support can put people at further risks.	▫ Cash for construction materials ▫ Cash for host/hosted ▫ Market based intervention ✓ Restriction on construction materials ✓ Combine → Technical Support ✘ Materials on the market are low quality or insufficient to respond to the demand, combine/substitute with → Material Support.	▫ Shelter NFIs ▫ Construction materials ✓ Combine with → Technical Support ✘ Market can provide quality and quantity of materials, this modality combine/substitute with → Financial Support.	▫ Community labour ▫ Contracted labour ▫ Direct labour ! Combine with → Technical Support

2) Emergency Response Phase

This phase includes all immediate life-saving activities in response to a conflict, during a protracted crisis or after a natural disaster.

When displacement is on-going, support should be considered for the transit of displaced populations from a border or front line to a safer location. Transit should be supported to:

- increase the chances of survival of the displaced population
- form an understanding of the nature and scale of displacement
- gain some control over the type and location chosen by displaced populations for their sheltering, in order to maximise protection and security and when possible prevent further relocation

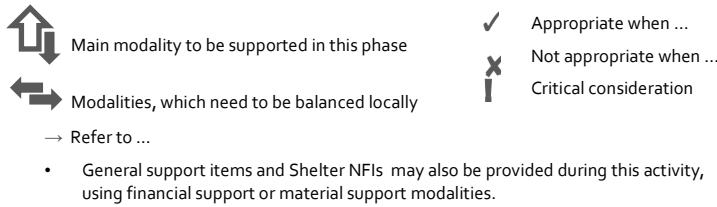
The following table presents frequent activities and modalities, which may take place during the emergency response:

- emergency shelter (tents, shelter kits, construction materials distribution together with ToT on appropriate set up/use of distributed items)
- winterisation / summerisation (materials distribution, ToT on their appropriate use)
- rubble removal and material recycling (technical expertise on planning of rubble disposal, reuse, and recycling)
- settlement planning (technical support provided by physical planners at a very early stage)
- temporary / transitional shelter camps (technical support provided by physical planners at a very early stage to ensure safety -including fire-and protection)
- repairs, rehabilitation and retrofitting of houses (materials distribution direct supervision, and ToT on appropriate local techniques)
- repairs, rehabilitation and retrofitting of communal facilities (materials distribution direct supervision, and ToT on appropriate local techniques)

Technical support remains the central modality to every activity. Recovery activities should start immediately after the crisis and longer-term activities such as repairs and reconstruction should be prioritized whenever possible. A thorough context analysis, needs assessment and market analysis should take place as soon as possible with the support of relevant technical experts. Aid actors should work towards a harmonized approach agreeing on minimum standards to ensure a safe and adequate S&S response. Weak technical support may jeopardize S&S interventions.

Assessment and context analysis is essential to establish the appropriate balance between financial support and material support. MPCT may be set-up to respond to emergency shelter needs, but when it comes to transitional shelter, repairs rehabilitation and retrofitting of houses, restrictions become essential to ensure building back safer. Adequate materials should be provided in-kind instead of through CTP if they are not available on the market; when material quality on the market is below standards; if the cash transfer options are inadequate; if inflation may cause negative impact; and if affected population do not have sufficient access to the markets.

Different types of contracted works may need to be implemented in parallel based on local capacity assessment. In order to support the most vulnerable and achieve wide and safer sheltering coverage, direct labour and contracted labour will run, always under agency supervision, next to smaller size - in the emergency response phase- community labour and self-help programmes.



EMERGENCY RESPONSE PHASE

	Technical Support	Financial Support	Material Support	Contracted Works
1. Emergency Shelter NFIs (prepositioning, procurement and distribution)	▫ Construction and planning expertise ▫ Guidance & standards ▫ Capacity building & training ! Lack of market assessment expertise can lead to weak response. ! Lack of agreed standards may increase risk.	▫ Cash for general support items (MPCT) ▫ Cash for Shelter NFIs ▫ Cash for Rent & utilities ▫ Cash for Host/hosted & Market intervention ✓ Markets are function, accessible, quicker than distributions. ✗ Results need to be measured → **cash restrictions** → Material Support	▫ General support items ▫ Shelter NFIs ✓ Markets are not accessible, disrupted or cannot assure quality of items (Shelter NFIs) ✗ Market are functioning → Financial Support	▫ Contracted labour ▫ Direct labour ▫ Self-help ! Ensure beneficiaries are aware of where to purchase and how to use items.
2. Winterisation / Summerisation of shelter solutions in camps or out of camp settings	▫ Construction and planning expertise ▫ Guidance & standards ▫ Capacity building & training ! Lack of market assessment expertise can lead to weak response. ! Lack of agreed standards may increase harm.	▫ Cash for general support items (MPCT) ▫ Cash for Shelter NFIs ▫ Cash for Construction materials ▫ Market based intervention ✓ Markets are functional, accessible, quicker than distributions. ✗ Results need to be measured → **cash restrictions** → Material Support	▫ General support items ▫ Shelter NFIs ▫ Construction materials ✓ Markets are not accessible, disrupted or cannot assure quality of items (Shelter NFIs) ✗ Market are functional consider → Financial Support	▫ Community labour ▫ Contracted labour ▫ Direct labour ▫ Self-help ! Combine with → Technical Support ! Ensure beneficiaries are aware of where to purchase and how to use items.
3. Rubble Removal & Material Recycling	▫ Construction and planning expertise ▫ Guidance & standards ▫ Capacity building & training	▫ Cash for general support items ▫ Cash for Construction materials ▫ Cash for Work	▫ General support items ▫ Construction materials	▫ Community labour ▫ Contracted labour ▫ Direct labour ▫ Self-help
4. Settlement Planning (camps and urban planning, infrastructure and services)	▫ Construction and planning expertise ▫ Guidance & standards ▫ Capacity building & training ! Lack of planning expertise can lead to weak response.	→ refer to Financial Support when using 1.Emergency Shelter and/or 5.Temporary / Transitional Shelter.	→ refer to Material Support when using 1.Emergency Shelter and/or 5.Temporary / Transitional Shelter.	▫ Community labour ▫ Contracted labour ▫ Direct labour ! For setting-up camps, avoid Community labour.
5. Temporary / Transitional Shelter (including host family support and rent)	▫ Construction and planning expertise ▫ Guidance & standards ▫ Capacity building & training ! Lack of adequate technical support can put people at further risks.	▫ Cash for Construction materials ▫ Cash for host/hosted ▫ Cash for Rent & utilities ▫ Cash for work ▫ Market based intervention → **Restriction on construction materials.** ✓ Combine with → Technical Support ✗ Materials on the market are low quality or insufficient to respond to the demand, combine/substitute with → Material Support	▫ Construction materials ✓ Combine with → Technical Support ✗ Market can provide quality and quantity of materials, this modality combine/substitute with → Financial Support.	▫ Community labour ▫ Contracted labour ▫ Direct labour ▫ Self-help ! Combine with → Technical Support ! For setting-up camps, avoid Community labour & Self-help.
6. Repairs, Retrofitting & Rehabilitation of Houses *	▫ Construction and planning expertise ▫ Guidance & standards ▫ Capacity building & training ! Recovery starts immediately after the crisis and repairs may take place early on. ! Lack of adequate technical support can put people at further risks.	▫ Cash for Shelter NFIs ▫ Cash for construction materials ▫ Cash for host/hosted ▫ Market based intervention ▫ [Cash for general support items] → **Restriction on construction materials.** ✓ Combine → Technical Support ✗ Materials on the market are low quality or insufficient to respond to the demand, combine/substitute with → Material Support.	▫ Construction materials ✓ Combine with → Technical Support ✗ Market can provide quality and quantity of materials, this modality combine/substitute with → Financial Support.	▫ Community labour ▫ Contracted labour ▫ Direct labour ▫ Self-help ! Combine with → Technical Support

3) Early Recovery Phase

Early recovery interventions consist of transitional activities and modalities, which bridge the gap between the emergency life-saving phase and recovery and reconstruction. Depending on the context and nature of the crisis, early recovery activities may start immediately after the crisis up to 12-18 months after the crisis, and in protracted crisis the early recovery phase may last several years.

The table below presents frequent activities and modalities which may take place during the early recovery phase, whether conflict, protracted crisis or disaster:

- winterisation / summerisation (materials distribution, ToT on their appropriate use)
- rubble removal and material recycling (technical expertise on planning of rubble disposal, reuse, and recycling)
- settlement planning (technical support by physical planners for new, and relocation hazard and risk free site selection and planning)
- temporary / transitional shelter camps (technical support provided by physical planners on site upgrade, phased density reduction, services provision)
- repairs, rehabilitation and retrofitting of houses (materials distribution direct supervision, and ToT on appropriate local techniques)
- one safe room / core shelter (materials distribution, technical supervision, and ToT on their appropriate use and appropriate construction techniques)
- repairs, rehabilitation and retrofitting of communal facilities (technical expertise and supervision)

Technical support remains the central modality to every activity, and recovery activities should start whenever possible immediately after the crisis and be linked to the on-going emergency response and to livelihoods recovery. Longer-term activities such as repairs and construction should be prioritized whenever possible. A thorough context analysis, needs assessment and market analysis should take place as soon as possible with the support of relevant technical experts. Clusters and major aid organisations recognise the importance of coordinating between emergency and early recovery interventions. Aid actors should work towards a harmonized approach agreeing on minimum standards and beneficiary selection criteria for early recovery in coordination with the emergency responders to ensure safe and equitable S&S responses. Weak technical support may jeopardize S&S interventions.

As for the emergency phase, assessment and context analysis is essential to establish the appropriate balance between financial support and material support. It is unlikely that MPCT will be used during recovery activities, given investment levels per household and since restrictions remain essential to ensure building back safer. Adequate materials should be provided in-kind instead of through CTP if they can nor be provided through the market; when material quality on the market is below standards; if there are insecure bank transfer system; if inflation may cause negative impact; and if the affected populations do not have access to the markets.

Community labour and self-help are easier to implement in this phase than the emergency phase due to the time required to establish them. Care must be taken that quality assurance can be guaranteed through household based technical support to avoid the transfer of risks back to beneficiaries, households and communities, who are not able or have not been made aware of how to build back safer. Major infrastructure works are better implemented through technically supervised contracted labour, smaller ones may be implemented through technically supervised direct labour.

Main modality to be supported in this phase

Modalities, which need to be balanced locally

Appropriate when …

Not appropriate when …

Critical consideration

→ Refer to …

- General support items and Shelter NFIs may also be provided during this activity, using financial support or material support modalities.

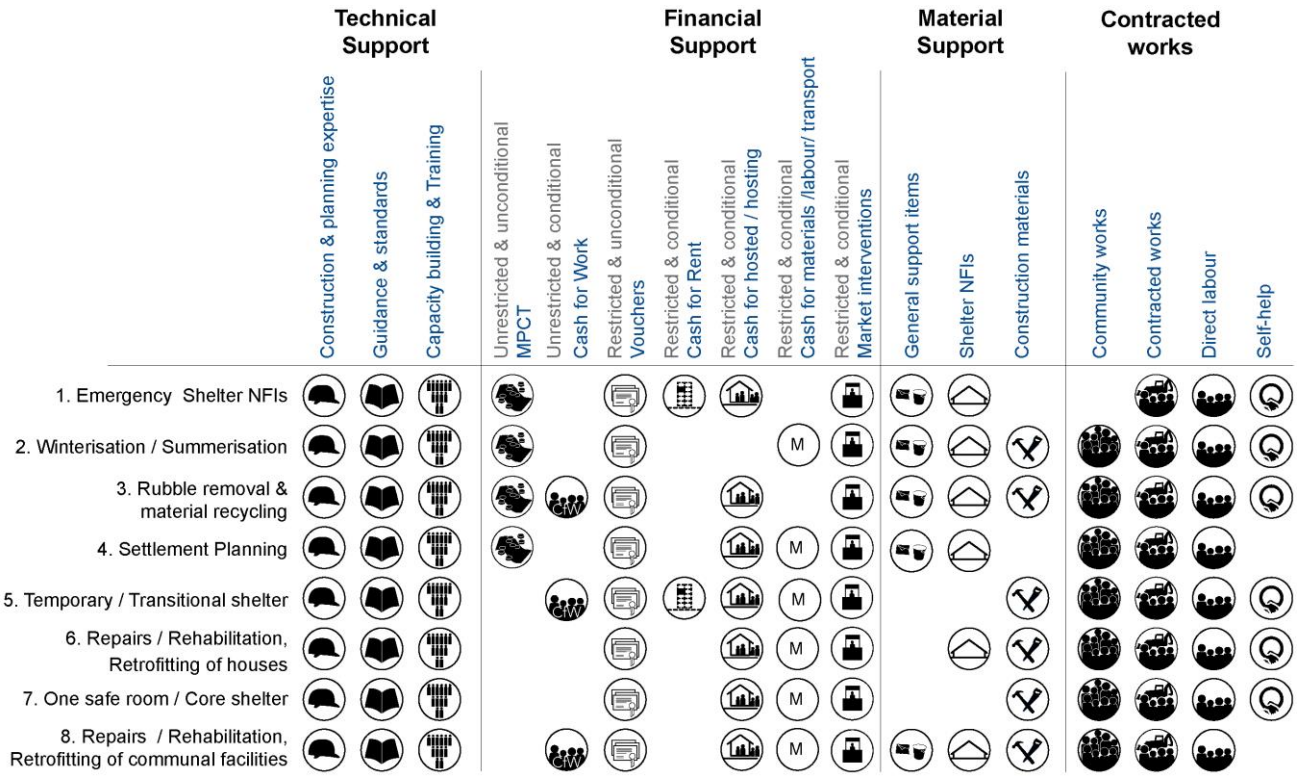
EARLY RECOVERY PHASE

	Technical Support	Financial Support	Material Support	Contracted Works
2. Winterisation / Summerisation	→ Emergency Phase	→ Emergency Phase	→ Emergency Phase	→ Emergency Phase
3. Rubble Removal & Material Recycling	→ Emergency Phase	→ Emergency Phase	→ Emergency Phase	→ Emergency Phase
4. Settlement Planning	→ Emergency Phase	→ Emergency Phase	→ Emergency Phase	→ Emergency Phase
5. Temporary / Transitional Shelter (including host family support and rent)	▫ Construction and planning expertise ▫ Guidance & standards ▫ Capacity building & training ! Whenever possible prioritise longer-term activities such as repairs and construction. ! In certain contexts long-term activities may not be possible or relevant in this phase, so temporary housing may be considered adequate and appropriate. ! Lack of adequate technical support can put people at further risks.	▫ Cash for Shelter NFIs ▫ Cash for Construction materials ▫ Cash for host/hosted ▫ Cash for Rent & utilities ▫ Cash for work ▫ Market based intervention → Restriction on construction materials. ✓ Combine with → Technical Support ✘ Materials on the market are low quality or insufficient to respond to the demand, combine/substitute with → Material Support	▫ Shelter NFIs ▫ Construction materials ✓ Combine with → Technical Support ✘ Market can provide quality and quantity of materials, this modality combine/substitute with → Financial Support.	▫ Community labour ▫ Contracted labour ▫ Direct labour ▫ Self-help ! Combine with → Technical Support ! For setting-up camps, avoid Community labour & Self-help.
6. Repairs, Retrofitting & Rehabilitation of Houses *	▫ Construction and planning expertise ▫ Guidance & standards ▫ Capacity building & training ! Recovery starts immediately after the crisis however in some cases repairs may only start in the early recovery phase. ! Lack of adequate technical support can put people at further risks.	▫ Cash for construction materials ▫ Cash for host/hosted ▫ Market based intervention → Restriction on construction materials. ✓ Combine → Technical Support ✘ Materials on the market are low quality or insufficient to respond to the demand, combine/substitute with → Material Support.	▫ Construction materials ✓ Combine with → Technical Support ✘ Market can provide quality and quantity of materials, this modality combine/substitute with → Financial Support.	▫ Community labour ▫ Contracted labour ▫ Direct labour ▫ Self-help ! Combine with → Technical Support
7. One Safe room / Core Shelter / House *	▫ Construction and planning expertise ▫ Guidance & standards ▫ Capacity building & training ! Recovery starts immediately after the crisis however the construction of core shelters often only start in the early recovery phase. ! Lack of adequate technical support can put people at further risks.	▫ Cash for construction materials ▫ Cash for host/hosted ▫ Market based intervention → Restriction on construction materials. ✓ Combine → Technical Support ✘ Materials on the market are low quality or insufficient to respond to the demand, combine/substitute with → Material Support.	▫ Construction materials ✓ Combine with → Technical Support ✘ Market can provide quality and quantity of materials, this modality combine/substitute with → Financial Support.	▫ Community labour ▫ Contracted labour ▫ Direct labour ▫ Self-help ! Combine with → Technical Support
8. Repairs, Retrofitting & Rehabilitation of Communal Facilities * (schools, cyclone shelters, public administrative buildings)	▫ Construction and planning expertise ▫ Guidance & standards ▫ Capacity building & training ! Recovery starts immediately after the crisis however in some cases repairs may only start in the early recovery phase. ! Lack of adequate technical support can put people at further risks.	▫ Cash for construction materials ▫ Cash for host/hosted ▫ Market based intervention ✓ Restriction on construction materials ✓ Combine → Technical Support ✘ Materials on the market are low quality or insufficient to respond to the demand, combine/substitute with → Material Support.	▫ Shelter NFIs ▫ Construction materials ✓ Combine with → Technical Support ✘ Market can provide quality and quantity of materials, this modality combine/substitute with → Financial Support	▫ Community labour ▫ Contracted labour ▫ Direct labour ! Combine with → Technical Support

3. COMPARING AND COMBINING MODALITIES WITH ACTIVITIES

Regardless of the chosen mix of provision modalities (financial or material) and support modalities (technical and contracted works) modalities, technical support is required for each of the eight activities listed in the left column of the figure below. Such technical support is additional to, and differs from that to be provided by contractors. **Given the liabilities and responsibilities under humanitarian principles, technical supervision should be mandatory, in order to ensure the respect of agreed standards and the assurance of quality. Donors and implementing partners need to have access to appropriate technical expertise, in order to supervise and monitor programme progress**. Linked to the response phase tables of the previous section, the figure below highlights that when undertaking S&S programme design, technical support is always required, and needs to be planned for, as well as some form of contracted works. A balance between modalities, based on assessment, monitoring and evaluation, needs to be found between financial support and material support provision.

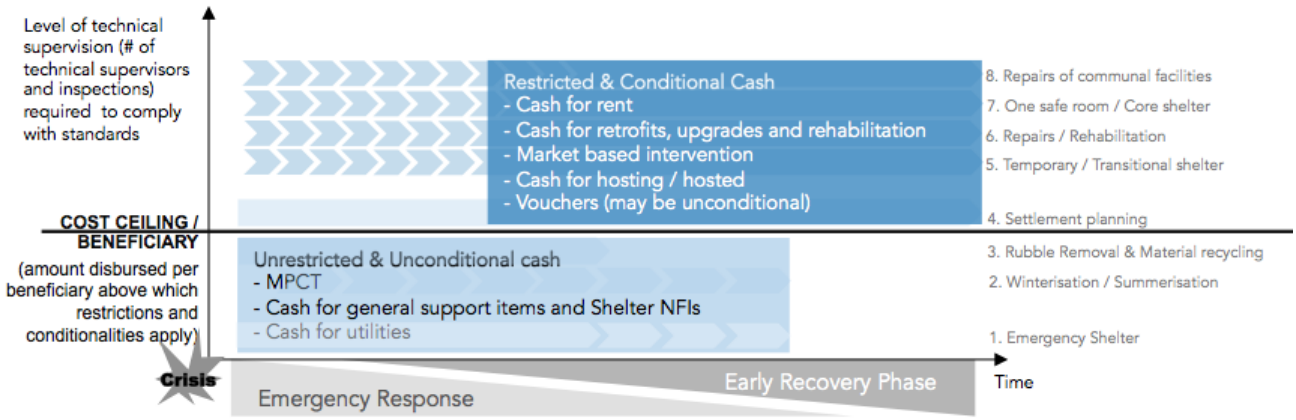
Combination of modalities for S&S interventions:



The success of S&S programmes is strongly influenced by the level and timeliness of technical support and quality assurance provided during the implementation process. Especially in large responses, and where self-help and community labour might be supported, the implementing agency should ensure appropriate technical surge capacity to promote and implement adequate and safer sheltering solutions.

The next figure presents the relation between the eight S&S activities (see 'Sub/sectors and Activities' section above), and the process of the response from emergency to early recovery. S&S activities will take place simultaneously to respond to the various and changing needs of the affected population to ensure a wider reach, and a targeted response. While recovery starts immediately after the crisis, some activities may require more time to establish and a longer mobilisation period, however, others may be implemented immediately. Thus, appropriate technical expertise should be available and deployed immediately after the crisis to ensure appropriate programming and successful S&S response.

Relation between S&S activities, Level of technical supervision required and response phases:



Combining modalities requires an understanding of the evolving context and clarity on which S&S activities fulfil the objectives, while also recognising the advantages and limitations of each modality. DG ECHO aims to balance its assistance from provision to support during an intervention. It is thus crucial to ensure that an adequate assessment, monitoring and evaluation programme informs the selection of appropriate activities and modalities in order to respond to the affected population's needs – together with measurable coverage and target objectives.

1) Technical support and Contracted works

Both *technical support* and *contracted works* are essential support modalities to each and every S&S intervention (see table under Sub/sectors and activities). Different forms of technical support will be required depending on the selected activities, context and phase of the response. For example, experts in construction or planning, guidance and minimum quality standards, or capacity building and training. Similarly, various contracted works may be selected, sometimes simultaneously depending on the activities envisaged, the context and the local capacity.

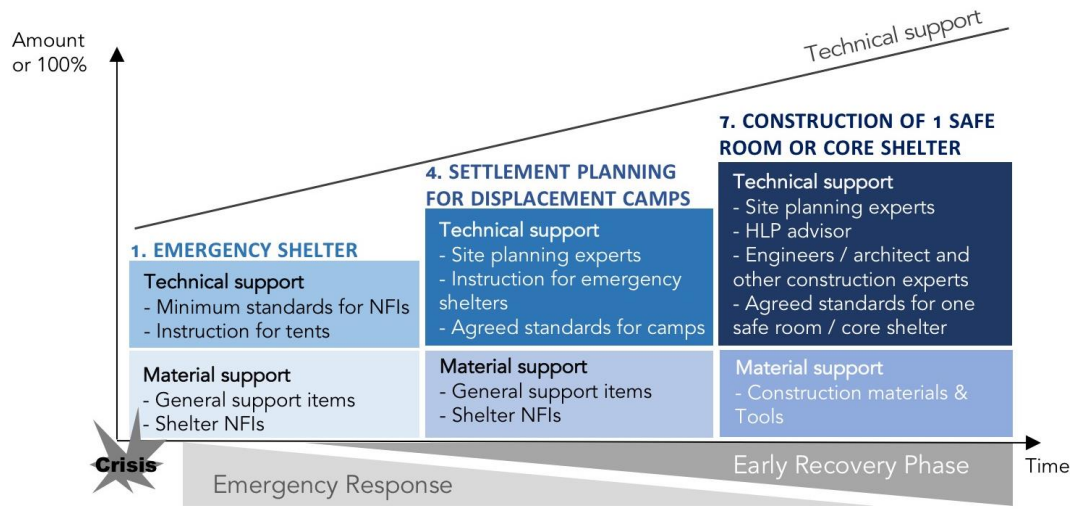
The next figure illustrates the changing and often increasing needs for technical support in relation to the range of activities, especially when material support is the main modality of intervention.

When an emergency shelter activity is implemented through the distribution of *general household support items* and *Shelter NFIs*, then beneficiaries will need minimal technical support, as the items provided do not require technical expertise. Technical support will be required to establish local minimum quality standards of NFIs, to identify procurement systems, and to develop guidance for certain items such as tents and tarpaulins. Beneficiaries will not however require technical support on how to use a kitchen sets or blankets.

During a settlement planning activity, increased specific technical support will be necessary. For example to undertake site selection, set-up a camp, ensure the appropriate distance between shelters for fire safety and for drainage systems for sanitation purposes.

When humanitarian actors undertake construction works from site planning, or repairs to the construction of temporary or core shelters, it is essential to involve S&S experts such as engineers and architects - in coordination with urban planners or HLP advisors, as required - to ensure that settling and building back safer is actually achieved.

Relation between technical support and material support in relation to 3 S&S activities



2) Material support and financial support

Both material support and financial support modalities remain central to all S&S interventions. To achieve a balance in the support of both modalities is critical to achieving a successful response. While seeking the best cost-efficiency, for effectiveness such balance should also be established following a thorough context analysis including:

- understanding living habits;
- construction codes and practices; and
- market analysis and monitoring of goods (including supply chain and market disruptions), commodities, services, labour, land and rent

Material support should be considered when:

- required materials are not available on the market
- material quality on the market is below standards
- bank transfer systems are insecure and other systems (mobile money for instance) cannot be put in place
- inflation may cause negative impact, and
- affected population do not have sufficient access to the markets

When the scale of housing destruction exceeds the average number of houses built per year in the area or country, markets are often unable to respond to the unprecedented need for construction materials and skilled labour. An exclusive cash response may cause inflation. Market interventions, through price control or the injection of cash to suppliers may reduce inflation levels and allow for markets to adjust to the demand. In many cases, aid actors will choose to combine material support and financial support modalities by providing cash for standard compliant items available on the market, while providing materials in-kind when availability through the market is limited.

Case Study 1: Shelter delivery in post-disaster response to Typhoon Haiyan in the Philippines

Typhoon Haiyan was one of the strongest tropical cyclones ever recorded in the Philippines, killing over 6,000 people and affecting 1.1 million houses (rendered partially damaged or totally destroyed).

The Shelter Cluster[107] [108] with the support of DG ECHO, established a sectoral response strategy promoting various activities through different modalities[109] – technical support, distribution of material in-kind and financial support through cash or vouchers. The Shelter Cluster provided technical guidance on Building Back Safer (BBS) and quality standards for the most commonly used construction materials, suggesting the use of in-kind assistance, cash or vouchers depending on geographical areas, and promoting technical assistance at all stages.

One of the Shelter Cluster partners, the Catholic Relief Services (CRS) developed two modality options for the construction of core shelters:

Combination of modalities for Core Shelter response:

ACTIVITY Core Shelter Construction	**MODALITIES** Technical support	Material Support	Financial Support	Contracted Works
Option 1 - Self-help / Cash assistance	- BBS standard - BBS training - Engineer and site supervisors	- 20x Corrugated iron sheet (CGI) - Plain iron - Toilet bowl	Conditional cash: - in tranches - in exchange of attendance to BBS training; and - proof of residency.	Self-help
Option 2 - Direct build	- BBS standard - Engineer/ site supervisors - Skilled labour	All materials to build a core shelter and Wash facilities		Direct labour

CRS developed a tool to support decision-making (see below)[110] on which option to select depending on a list of influencing factors. Option 1 used cash as the central modality but provided in-kind CGI due to the poor quality available on the market. This option was developed for families who might have the capacity to contribute to construction works, hire labour and supervise works with CRS Engineers' support. Option 2 was designed for very vulnerable families who did not have the means to do so, these included female- headed households, people with disabilities, the elderly or families with very young children.

In 2016, CRS carried out a review of their S&S response[111], which focused on "the efficiency (time, cost, quantity/scale), effectiveness (quality, beneficiary satisfaction) and appropriateness (vulnerability, dignity) of a cash-based approach to delivering shelter/WASH solutions, compared to in-kind/direct-build construction". The study found that the relative effectiveness of different modalities depended heavily on contextual factors such as the functioning of markets, availability of trained labour, capacity of the organisation, emergency phase versus recovery phase, and availability of secure in-country money transfer systems. For more information, see the CRS decision making tool on *"Direct build through materials in-kind and contracted labour vs. Cash transfer with some material assistance through a self-help approach"* (p. 76)

[107] Shelter Cluster Analysis of Shelter Recovery, retrieved from:
https://www.sheltercluster.org/sites/default/files/docs/Final%20Analysis%20of%20Shelter%20Recovery.pdf
108 Shelter Cluster. Shelter Recovery Outcome Assessment, May 2016
https://www.sheltercluster.org/sites/default/files/docs/shelter_recovery_outcome_assessment_may_2016.pdf
109 Shelter Cluster Technical Guidelines; and Recovery Shelter Guidelines, Shelter Cluster Philippines
https://www.sheltercluster.org/sites/default/files/docs/sheltercluster_technicalguidelines_140216.pdf
https://www.sheltercluster.org/sites/default/files/docs/Recovery%20Shelter%20Guidelines.pdf
[110] Pintakasi, A review of shelter/Wash delivery methods in Post-disaster recovery interventions, CRS, p.3
http://www.crs.org/sites/default/files/tools-research/pintakasi_0.pdf
[111] idem

Recommendations on which approach to use

Context for choosing direct build	Influencing factors to consider when deciding delivery modality	Context for choosing cash transfer
• If beneficiaries need shelter immediately; Shelter can be built within one week, ready for beneficiary to move in • If beneficiaries do not own land • If beneficiaries cannot contribute their own money • If beneficiaries cannot manage carpenters or budget: single working mothers, the elderly, people with disabilities	Vulnerability of the targeted household/ population	• If beneficiaries can contribute or easily find free or reduced-price labor (sweat equity) • If beneficiaries have money to contribute
• If beneficiaries may not use money for intended purposes – money instead spent on livelihoods, food, appliances, travel and other basic needs	Probability of misuse of funds	• If cash transfers are provided to materials suppliers who in turn provide vouchers for materials to beneficiaries
• If there is a need to provide shelters quickly, then transitional houses can be built directly in one week.	Transitional versus permanent	• If concrete or semi-concrete houses are to be built • If repairs are to be done on permanent homes
• If the local economy is weak post-disaster and there is not a ready supply of skilled labor and materials	Local market conditions	• If there are adequate supplies, skilled labor and functioning markets after a disaster. This approach results in an infusion of cash into the local market and revitalizes local economy
• If beneficiaries are tenants on someone else's land with a legal right to build and live there for a limited time	Land tenure	• If beneficiaries own their own land or have a long-term lease agreement
• If warehouse space is available • If transport is available to take materials to site • If contracts can be drawn up for short-term laborers	Logistics	• If long-term staff (engineers, foremen, social mobilizers) are available for frequent monitoring and training
• Takes 5 days to complete one shelter or toilet	Scalability	• Takes 1 to 3 months to complete one shelter or toilet • Can reach more people at one time over large geographic area • Needs secure cash-transfer mechanism in order to deliver cash to hundreds of beneficiaries per week
• If using transitional design that can be built quickly and easily dismantled and moved to another location • If building toilets for complex environments – high water table, flood-prone, dense urban environment	Adaptability of the design to local site conditions/ preferences	• Enables beneficiaries to choose their own design/style • Easy to add extension to the house later
• Preferred by beneficiaries who do not have enough money to top up the cash transfer or do not have the time or capacity to manage a budget, labor, transport materials, and supervise construction of their home	Beneficiary preference	Preferred by beneficiaries because they: • Learn to budget and save • Learn to buy materials • Can buy preferred materials for less • Build relationships with neighbors • Learn "build back safer" techniques • Learn how to manage carpenters
• If control of materials and construction quality is required – particularly important for toilets, which are technically challenging in some environments (little land available, flood-prone, high water table) • Bulk material procurement makes it harder to control quality and requires proper storage techniques so that quality does not suffer over time. • Less involvement in construction means less sense of ownership, fewer learning opportunities and less maintenance of the house	Quality of construction	• Less control over construction quality because beneficiaries use less skilled labor and fewer salvaged materials • Better maintenance of home because of increased feeling of ownership • Hard to control for shelters/toilets in flood-prone areas

Providing financial assistance may prove to be an advantage in allowing a maximum degree of choice to beneficiaries in the initial phase of emergency response, while implementers prepare early recovery shelter programmes. Further work to build up the evidence base for this is required, and should be encouraged.

Most financial support for S&S programmes would be restricted and/or conditional, except for some interventions provided in the very early phase of the response through MPCT or cash for work. The **introduction of restrictions and conditionality decreases the level of choice of beneficiaries, but does so in exchange for quality assurance** of materials and services, and compliance with S&S objectives and technical standards.

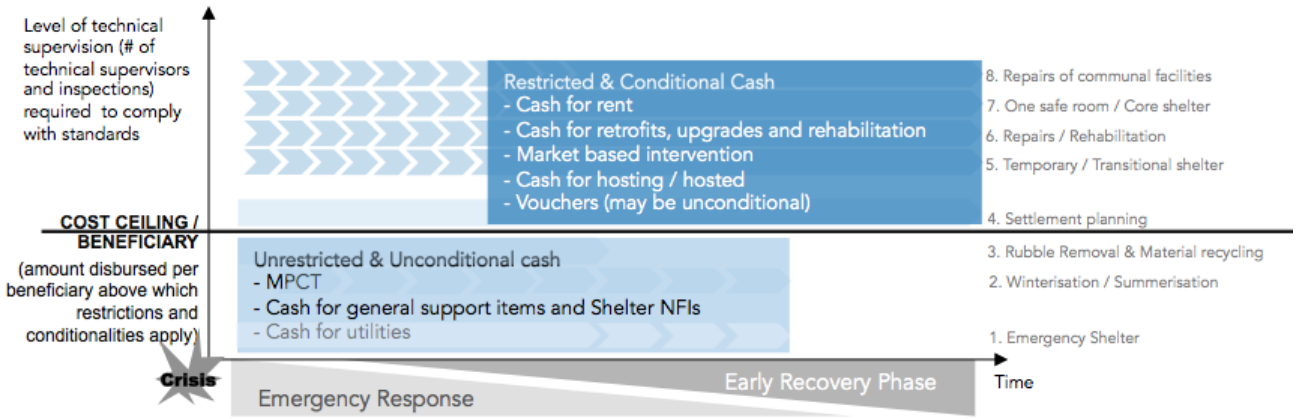
The diagram below illustrates the relation between quality assurance, cost, restrictions and conditionalities applied to financial support modalities. In the initial stage of a response, when the needs are varied, MPCT may be adequate. But as soon as the costs per beneficiary increases and/or a minimum level of quality assurance is required, compliance needs to be assured by technical experts, and the application of restrictions and conditionalities to cash assistance become necessary.

When planning for S&S interventions decision makers should consider setting a contextualised cost ceiling, based upon operational objectives, to unrestricted and unconditional cash. Cash disbursement above this cost ceiling should be applied with restrictions and conditionalities as the programme cycle evolves from immediate emergency response towards early recovery and recovery. Exceptions might include specific operational contexts, such as cash transfers for remote emergency programming, where access to affected areas is highly constrained.

Similarly, once programmes evolve beyond an emergency shelter and NFIs response, restrictions and conditionalities should be considered specifically for shelter activities including heavy repairs and reconstruction.

Although restrictions will add costs and may increase delivery times, they allow for better technical and programme monitoring. Especially when trainings and capacity building are included in programme design, they ensure that S&S interventions provide beneficiaries with structures, which are more resilient and safer from hazards, hence reducing people's exposure to risks, consequently reducing their vulnerability.

<u>The balance between Cost, Technical supervision, conditions and restrictions</u>



Case Study 2 : Financial and technical assistance for a market based intervention

Completing unfinished housing units to increase housing stock and host vulnerable refugees in Lebanon.

Lebanon has been accommodating internally displaced Lebanese as well as people coming from the occupied Palestinian territory, Iraq and Syria. In 2016, OCHA estimated that 1,5 million refugees were hosted in Lebanon: about one third of the total population.

In 2012, with DG ECHO funding, NRC started to developed a shelter programme focusing on the completion of partially-finished buildings. The programme aimed at increasing the number of housing units on the market, by providing cash to property owners to upgrade and complete their unfinished property, in exchange owners were asked to shelter an NRC-identified beneficiary refugee family for a one-year period.

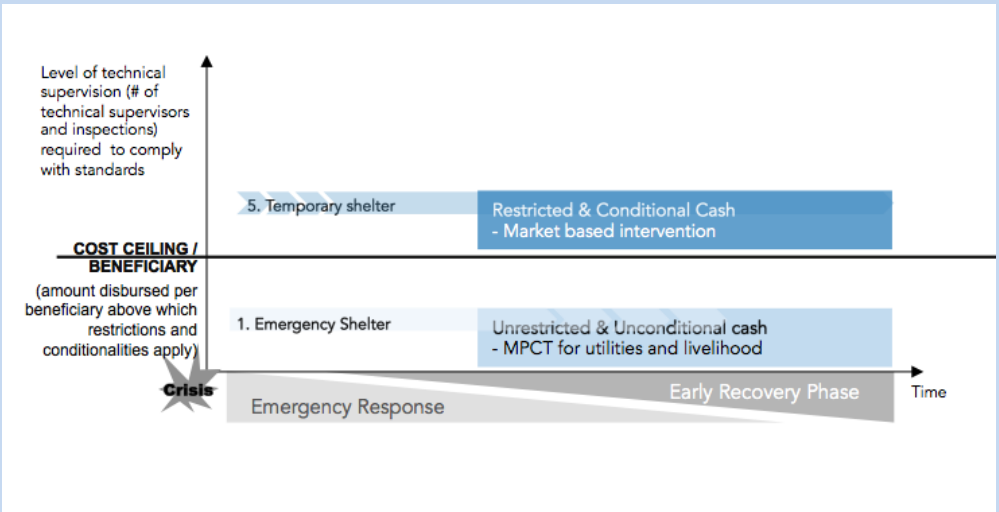
The housing units had to be completed and or upgraded to agreed minimum shelter standard, which required construction work based on a NRC specified Bill of Quantities (BoQ) to achieve the shelter sector's agreed standards. No rent was paid to the property owner for that period of time while the refugee family often had to contribute to utilities such as water and electricity.

An evaluation of this market based intervention carried out early 2014, found that the project had undoubtedly had a positive impact on the population benefiting from NRC's intervention: increasing the number of housing units, and improving household capacity to allocate their scarce income to basic expenditures. With the crisis now protracted after 5 years of conflict, the evaluation found that this programme, although still relevant, was no longer sufficient as a stand-alone intervention to respond to the sheltering and protection needs, as well as living costs, of refugee families –who are still waiting for their official status.

The evaluation identified that NRC had in most cases identified the appropriate modality with the right levels of conditions and restrictions. The report also suggested that in some cases, MPCT should be provided as potentially complementary assistance for very vulnerable families to pay utilities, or create livelihood opportunities.

The figure below illustrates NRC selection of modalities through a temporary shelter assistance activity. Restricted and conditional cash assistance was used to carry out a market based intervention to increase housing units for selected vulnerable refugee families. Cash was provided to landlords' conditional to a housing unit upgrade and restricted to a list of materials provided through a detailed BoQ. The restrictions and conditions were established due to the cost per beneficiary spent and the requirements on quality assurance for the construction works. MPCT was recommended as a complementary assistance for very vulnerable families to pay for the utility bills.

Cost, technical supervision and restriction and conditionality for NRC shelter programme in Lebanon



FOR FURTHER READING ON MODALITIES

1 Technical support

Technical guidance:

Alnap, A quick guide to Monitoring, Evaluation, Accountability and Learning in fragile contexts, Oxfam.
Caimi A., Assessing Local Building Cultures for Resilience and Development, Villefontaines, CRAterre, IFRC, Caritas, 2015
Corsellis T., Vitale A., Shelter after Disaster: strategies for transitional settlement and reconstruction, , 2010.
Corsellis T., Vitale A., Transitional settlement and displaced populations, University of Cambridge, Shelter Project, Oxfam, 2005
IASC, Operational Guidance for Coordinated Assessments in Humanitarian Crises, 2012
IFRC, Vulnerability and capacity assessment guidelines, IFRC
IFRC, Owner-driven housing reconstruction guidelines, 2010
IFRC, Relief ERU field manual, IFRC 2008
IFRC, PASSA Participatory Approach for Safe Shelter Awareness, IFRC, 2011
D'Urzo S., Vitale A., Assisting host families and communities after crises and natural disaster, A step-by step guide, IFRC, 2012
Kelly C., Guidelines for Rapid Environmental Assessment in Disasters, CARE international and Benfield Hazard Research Centre, 2005
Kelly C., Checklist-Based Guide to Identifying Critical Environmental Considerations in Emergency Shelter Site Selection, Construction, Management and Decommissioning, 2005
http://www.preventionweb.net/publications/view/8267
IOM, NRC, UNHCR, Camp Management toolkit, 2015
MSB, UNEP, UNOCHA, Disaster Waste Management Guidelines, UNOCHA, 2011
MSF, Shelter Centre, Camp planning guidelines, 2015
Parker E., Maynard V., Humanitarian Response to Urban Crises: a Review of Area Based Approaches, IIED DFID Urban Crises Learning Fund, 2015
Suvatne M., Crawford K., Urban Shelter Guidelines: Assistance in urban areas to populations affected by humanitarian crises, Shelter Centre, 2010
Shelter Centre, Literature Review for Shelter After Disaster, 2010
UNDP, Guidance note on debris management, 2013
Emergency Shelter Cluster, CARE International, ProAct, Quick Guide Post-Disaster Debris Management.
UNEP, UNOCHA, Environment and Humanitarian Action, Increasing effectiveness sustainability and accountability, 2014
UNEP, Cluster Working group on Early Recovery, Environmental Needs Assessment in Post-Disaster Situations, 2008
UNHCR, Community based approach in UNHCR operations, 2008
UNOCHA, Tents - A guide to the use and logistics of family tents in humanitarian relief, 2004
World Bank, Safer Homes, Stronger Communities, A handbook for Reconstructing after Natural Disaster, 2010
World Bank, Handbook for Estimating the Socio-Economic Impact and Environmental Effects of Disasters, 2003

***Minimum quality standards*:**

Sphere Project, The Sphere Handbook, 2011.
UNHCR, Camp planning standards (planned settlements), 4th Edition of UNHCR Emergency Handbook, 2016.
For existing NFI standards refer to 2.3 Material support section (p.14)

Training (please note that trainings listed are public, but many remain internal to agencies):

Building Research Establishment (BRE) offers 2 day courses on the QSAND tool to promote sustainable shelter and settlement activities in the aftermath of natural disasters.
Disaster Ready offers online training
IFRC and UNHCR offer a 6-week training on Humanitarian Shelter Coordination (SCT).
IFRC offers an internal Shelter Technical Training (STT) for natural disaster
IFRC offers in emergency and preparedness phases a PASSA training on Participatory approach for safe shelter awareness, which is based on the PASSA manual
Global Shelter Cluster, Housing Land and Property (HLP) training
RedR and InterWorks, offer tailor made word-wide trainings on shelter and disaster risk reduction
Sphere Project e-learning course, average duration 7 hours
USAID/OFDA offers a one-day online training

2 Financial support

Adams L., and Harvey P., Issue Paper 4, Learning from cash responses to the tsunami: Cash and Shelter. Humanitarian Policy Group Commissioned Report, Overseas Development Institute, 2006
Albu M., Emergency Market Mapping and Analysis (EMMA), Practical action, 2010
Aspin M., Inter-Agency Impact Assessment of the Cash Transfer Programs in West Sumatra, CRS. Mercy Corps, Oxfam GB, Save the Children, 2010
Aysan Y., Aheeyar M., Harvey P., Satchithanandam S., External evaluation report on the Cash for Repair and Reconstruction Project Sri Lanka 2005-08, commissioned by the Consortium of Swiss Organisations (Swiss Solidarity, Swiss Red Cross, HEKS and SDC), 2007
Battistin F., Impact Evaluation of the Multipurpose Cash Assistance Programme, Lebanon Cash Consortium (LCC), 2016
CaLP, Cash Transfer programming in Emergency, ODI, June 2011
CaLP, Market Analysis and Outcome/Impact Measurement in Cash Transfer Programming in the WASH and Shelter Sectors in Sudden Onset Disasters, 2016
Connolly S., Cash-for-shelter pilot findings in CRS's Typhoon Haiyan Response, CRS, 2015
Créac'h Y., Sloane E., Evaluating cash for rent subsidies, Global Shelter Cluster
Crisp J., et al, Banking on solutions: A real-time evaluation of UNHCR's shelter grant programme for returning displaced people in northern Sri Lanka, UNHCR, 2010
Davies A., IDPs in Host Families and Host Communities: Assistance for hosting arrangements, UNHCR, 2012
Di Pretoro S., Cash for shelter Programme Hurricane Richard 2010, Beneficiary Satisfaction and impact evaluation, Belize Red Cross, 2011
Garcia O., Gammoh I., Evaluation Report, Evaluation of NRC's Lebanon Host Community Shelter Programmes "Increasing the availability of host community housing stock and improving living conditions for the provisions of refugee shelter", Jan.2013 – Dec. 2014, NRC, 2015
Global Shelter Cluster, Position Paper – Cash and markets in the shelter sector, GSC, 2016
ECHO, DG ECHO Technical Policy Document no 3 Cash and Vouchers, 2013
ECHO, Ten common principles for multi-purpose cash-based assistance to respond to humanitarian needs, 2015
IFRC, Rapid Assessment for markets: Guidelines, 2014
IFRC, Cash in Emergencies (CiE) toolkit, 2015
Juillard H., Pre-Crisis Market Analysis (PCMA), IRC, 2016
Lehmann, C., & and Masterson, D. T. R., Emergency economies: The impact of cash assistance in Lebanon. an impact evaluation of the 2013-2014 winter cash assistance program for Syrian refugees in Lebanon. (Evaluation). Beirut, Lebanon: International Rescue Committee, 2014
Mercy corps, Guide to Cash-for-Work Programming, 2007
Truelove S., Labour Market Analysis in humanitarian context, IRC, Mercy corps, SC, 2016
Turnbull M., (2014). Evaluation of Oxfam GB's Cash-For-Rent Project in Lebanon, DEC / Oxfam.
UNHCR, CaLP, DRC, OCHA, Oxfam, Safe the Children, WFP Operational Guidance and toolkit for Multipurpose Cash Grants, 2015
USAID, Audit of USAID's Cash for work activities in Haiti, 2010
World Bank Rental support Cash Grant Programs: Operational Manual, 2014
Żaczek J., PCPM's Cash for Shelter Program in Akkar Governorate, Lebanon: Evaluation and Lessons Learned: July

'12 – December '14, PCPM, 2015

3) Material support Modality

General household support items :

IASC, Shelter Centre, Selecting NFIs for Shelter, 2008.
Ferrer C., Serra I., Ashmore J., IFRC shelter kit guidelines, 2009.
IFRC, ICRC, Emergency items catalogue.
MSF, Shelter Centre, Shade nets: use, deployment and procurement of shade net in humanitarian relief environments, 2006.
WHO, Guidelines for laboratory and field-testing of long-lasting insecticidal nets, 2013.

Shelter NFIs :

Oxfam, IFRC, Plastic Sheeting - A guide to the specification and use of plastic sheeting in humanitarian relief, 2007.
UN/OCHA, Tents: A guide to the use and logistics of family tents in humanitarian relief , 2004
IFRC, Shelter kit guidelines, 2010
IFRC, family tent.
UNHCR, Family tent for hot climate.
IASC, Selecting NFIs for Shelter, 2008
DFID, IOM, Shelter Centre, Transitional Shelter Guidelines, 2011

Construction materials and related items :

IFRC, UNOCHA, CARE International, Timber: A guide to the planning, use, procurement and logistics of timber as a construction material in humanitarian relief, 2009.
IOM, Lime Stabilized Construction, 2015
NRC, Internal Guidelines – Timber Procurement and Specifications, 2006
Shelter Centre, ProAct, A brief Guide to Asbestos in Emergencies, 2009
Shelter Cluster Nepal, Corrugated Galvanised Iron (CGI) Specification for Roofing, 2015.
Killmann W., Fink D., Coconut Palm Stem Processing Technical Handbook, 1996.
Howe C., Humberg S., Coconut Lumber Technical Working Group, Early Recovery and Livelihood Cluster and Shelter Cluster, 2014.
Humanitarian Bamboo, A manual on the humanitarian use of bamboo in Indonesia, 2009.

4) Contracted works or product modality

Contracted works :

ILO (2007) Somalia Program – Community contracting approach
Train4Dev, ODI, ITAD, Labour-based approaches to infrastructure building and maintenance
ILO (1998), Employment – Intensive Infrastructure Programmes: Labour policies and practices
UN-Habitat, Community Contracts

Annex C: Frequently Asked Questions (FAQ)

1 What are DG ECHO's comparative advantages for S&S interventions?

DG ECHO's worldwide network of field offices and international experts can provide technical expertise and proximity to the context. This allows up-to-date analysis of existing and forecasted needs in a given country or region, contributing to the development of appropriate intervention strategies and policies. The network can also provide technical support to DG ECHO-funded operations, ensure adequate monitoring, and facilitate donor coordination at field level.

DG ECHO's needs-based approach allows it to respond quickly to different demands in diverse humanitarian contexts, be it rapid-onset, protracted or forgotten crises. The flexibility in its approach and funding allows DG ECHO to respond with a wide range of interventions in the S&S sector aiming at the highest possible impact, as well as with interventions that address multiple cross-sector needs and vulnerabilities.

DG ECHO's respect for humanitarian principles guarantees that the S&S needs of the most vulnerable groups can be addressed in the most appropriate manner. Its clear mandate and independence from other foreign policy tools enables a close collaboration with partners, including in conflict situations. Its principles of neutrality and impartiality ensure assistance for those most in need.

Finally, DG ECHO's scale as a donor, with 180m euros per year allocated for S&S assistance, is a major comparative advantage, as well as its ability to coordinate Civil Protection assistance from 33 European States. This can complement humanitarian agencies' capacities through in-kind assistance and expertise in crisis response.

2 Will DG ECHO fund debris management?

DG ECHO will consider funding debris management if:

- it is a pre-condition for rapid implementation of other life-saving activities (such as health, food assistance or protection) within the area where targeted beneficiaries are located and plan to rebuild their homes and livelihoods. This may be the case, for instance, in urban settings after a natural disaster where access to basic services cannot be restored until roads are cleared of rubble; and
- if all other means and resources to mobilise better equipped and more competent actors (including the army) have failed despite reasonable attempts. In such cases, DG ECHO's activity would focus on the safe debris removal that is essential to restore life-saving services rather than funding comprehensive debris management, which should be handled by other actors according to Sphere standards[112]

3 These guidelines are clear that S&S assistance should go beyond the provision of tents and tarpaulins. But in what circumstances would DG ECHO support such provisions?

[112] See guidance note 8 at: http://www.spherehandbook.org/en/shelter-and-settlement-standard-1-strategic-planning/

Usually after a sudden onset disaster (natural or conflict related) when urgent shelter solutions are grossly insufficient or non-existent. This may include a situation of mass displacement into planned or spontaneous camps, or existing settlements whose spare hosting capacity is inadequate to accommodate the influx; or a non-displacement situation where a large proportion of the housing infrastructure of the intended beneficiaries has been severely damaged (i.e. with structural integrity undermined) or destroyed, and where reconstruction efforts are likely to take time to implement. In all cases, these products are a first line response and need to be: adapted to the local context, environment and climate; provided using the appropriate (mix of) modalities (such as cash, vouchers or in-kind assistance); and rapidly replaced or upgraded with more sustainable housing solutions.

4 Does DG ECHO support transitional shelter actions?

In line with commonly accepted transitional shelter principles[113], DG ECHO may choose to support transitional shelter actions if the answer to most of the following questions below is yes[114]:

- Assessments: have assessments been undertaken at a household level to ascertain whether the transitional shelter approach is appropriate?
- Community: is it possible to involve the affected population throughout the planning and implementation of the transitional shelter programme?
- Strategy: would a transitional shelter programme contribute to an inter-sectoral strategy?
- Vulnerability: would a transitional shelter programme reduce the vulnerability of the target population?
- Standards: can appropriate standards and design parameters be developed to meet the needs of each beneficiary group?
- Maximising choice: would a transitional shelter programme support the shelter and settlement choices made by the affected population throughout the transition to a permanent solution?
- Time: is it possible to commence sustainable reconstruction rapidly?
- Incremental process: can transitional shelter begin with the distribution of relief items and be developed incrementally until durable solutions are reached?
- Site planning: would the site selection and planning of the transitional shelter programme support the recovery of the target communities?
- Reconstruction: would the shelters themselves contribute to the permanent reconstruction programme?

113 https://www.iom.int/files/live/sites/iom/files/What-We-Do/docs/Transitional-Shelter-Guidelines.pdf
114 For more on transitional shelter, see Sphere guidance note 6 at http://www.spherehandbook.org/en/shelter-and-settlement-standard-1-strategic-planning/

5 Should DG ECHO's S&S interventions integrate minimal WASH services when these are not otherwise available or planned in the foreseeable future?

Shelters and settlements can only be considered safe if their environments are free of faeces, solid waste, disease vectors or stagnant water. S&S actions need to be closely coordinated with basic WASH actions, for example to ensure acceptable distances between shelters and latrines (50 metres maximum) or water collection points (500 metres maximum). Where WASH interventions are necessary but not foreseen through other actors, critical WASH activities should be included as part of S&S interventions to ensure that S&S solutions are viable. This viability will be informed by an analysis of the associated risks, local context and the response phase. For example, in responding to an acute crisis, the construction of latrines may be required next to shelter units. In low lying areas, the excavation and/or curing of a drainage system may be a critical factor to avoid the regular flooding of shelters and settlements.

6 What is the likely health impact on a crisis-affected population of thermal stress and changes in atmospheric conditions as a result of inadequate shelter?

Thermal stress can be created by a range of external factors including: Air temperature, air movement, humidity and radiation exchange, all of which should be considered before providing humanitarian shelter solutions. Air temperature is the most important environmental factor. It will determine the convective heat dissipation, together with any air movement. In the presence of air movement the surface resistance of the body (or clothing) is much reduced. Air movement also affects the evaporation of moisture from the skin, thus the evaporative cooling effect. Humidity of the air also affects evaporation rate. Radiation exchange will depend on the mean temperature of the shelter surrounding surfaces or on the presence of solar radiation.

Direct exposure to weather patterns as a result of lack of or poor shelter can cause thermal stress which is damaging to human health, either directly or indirectly, and debilitates capabilities in the resistance to microorganism infection. Seasonal increases in morbidity and mortality may be expected in populations, especially in the elderly, poor and very young, when the stress risk is unexpected and sudden, particularly in the aftermath of a disaster. Amongst the most notable direct effects are the impacts of the passage of mid-latitude low and high pressure “weather phases” and of heat and cold upon the impaired or diseased thermoregulatory systems, which may result in cardio-vascular, cerebrovascular, respiratory, endocrinal, renal, rheumatic and consumptive diseases. Death rates tend to be more elevated in case of thermal extremes. Most affected are those related to the cardiovascular system and particularly notable are the differences in temperature thresholds at which death rates accelerate. These vary according to prevailing warmth of locations, and may be related to particular thermoregulatory thresholds. However, direct causation of ill health, as in the case of morbidity and behavioral effects, is not self-evident. Impacts may result from complex interactions at several levels with complicated feedbacks and controls, any of which may be affected by atmospheric factors with different weightings within individual parameters. To attribute morbidity and mortality to a specific parameter such as thermal

stress would be erroneous, and the phenomena need to be treated as part of complex biological-environmental interactions[115].

7 For reconstruction, is ECHO's general preference for beneficiary-driven reconstruction (ODR) rather than agency-driven reconstruction, in line with its people-centred approach? If so, in what circumstances would ECHO support agency-driven reconstruction?

ODR is potentially more cost- and time-effective and constitutes a viable alternative to agency-driven reconstruction, particularly where there is a strong housing culture and building capacity within the community. Agencies and contractors may not be the most qualified actors to come forward with environmentally sustainable, socially equitable and culturally sensitive solutions, and a number of factors inherent in agency-driven reconstruction may not only fail to meet the target group's housing needs but also reduce people's resilience and wellbeing. However, relying exclusively on ODR as the sole housing recovery framework excludes non-owner groups from housing recovery options, and therefore leaves some intended beneficiaries without much needed support. In addition, the ODR model may incorrectly assume equal capabilities of all households to manage their housing reconstruction, meaning the most vulnerable groups may be left with the least assistance[116]. In such contexts, but also in many displacement contexts where shelter ownership is not relevant (such as in large camps), an agency driven model may have a role to ensure timely shelter solutions are provided to all intended beneficiaries.

8 How should Housing, Land and Property (HLP) support be provided, including to those unable to provide documentation of ownership?

In principle, HLP rights must be integrated as a key component in any humanitarian response to disasters[117]. While attention to HLP is primarily the responsibility of the protection sector, it needs to be informed, supported and promoted by S&S programming. HLP support may be a powerful enabling factor for successful relocation after a natural disaster and therefore a critical tool to support an exit strategy of humanitarian S&S programming[118]. However, tenure issues are clearly structural, complex and can only be resolved over the medium and long term; tenure laws can have profound political, social and economic consequences and are thus difficult to develop and can take years to implement. Still, the primacy of these laws necessitates that they be at a minimum acknowledged and their potential impact mitigated through both Protection and S&S programming. For more information see DG ECHO´s Protection Guidelines.

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[115] See Passive and Low Energy Architecture (PLEA) International: 'Thermal Comfort', 2007 (Andris Auliciems and Steven V. Szokolay): http://www.humanitarianlibrary.org/sites/default/files/2014/02/plea_2007_thermal_comfort.pdf

[116] Hence the importance of reformulating the ODR model to rely on a more nuanced understanding about the complexities of housing recovery, particularly in urban settings.

[117] See Inter-Agency Standing Committee, Human Rights and Natural Disasters. Operational Guidelines and Field Manual on Human Rights Protection in Situations of Natural Disaster, January 2011, p2; Special Rapporteur on Adequate Housing, Report to the Human Rights Council, Sixteenth Session, UN Doc. A/HRC/16/42, 20 December 2010, p3 and Special Rapporteur on the Adequate Housing, Report to the General Assembly, Sixty-Sixth Session, UN Doc. A/66/270, 5 August 2011, p4.

[118] https://www.sheltercluster.org/sites/default/files/docs/Relocation%20%20HLP%20Guidance%20Note%20for%20Shelter%20Partners.pdf

9 In many contexts, pre-disaster housing doesn't comply with local building codes and constructions standards. In such circumstances, are DG ECHO-funded interventions required to comply with such codes? What about in slums, where this would be impractical?

Complying with local building codes and construction standards is generally considered good practice by ECHO particularly from a Building Back Better (BBB) perspective. However respect of these norms is not an aim in itself. Where the humanitarian imperative requires the urgent implementation of temporary shelter solutions that are not strictly compliant with such codes and standards (and which otherwise would be severely delayed), this becomes the overriding priority. However, in such cases, mitigation and awareness measures should be introduced to reduce the associated risks with (relative) non-compliance and to allow future reconstruction initiatives to fully integrate these norms. If in doubt, agencies should seek the advice of the relevant shelter cluster/sector coordination platform on the applicability of these norms to the context.

10 What is a "settlements-informed approach"? To what extent does DG ECHO promote such an approach as part of the shelter actions it funds? How does it differ from supporting an area-based or neighbourhood approach?

Integration of a settlements perspective in humanitarian shelter programming involves due consideration to the settlement environment where shelters are located and how the physical characteristics and functionality of this environment[119] affect shelters. It is not an endorsement for systematic and multi-sectoral area-based or neighbourhood approaches[120] to humanitarian aid, but a sector-specific strategy aimed at improving the effectiveness of humanitarian shelter interventions. It is a recognition that exposure of settlements to hazards (such as tremors, hurricanes, floods, disease vectors and conflicts) has a major influence on the type of shelter solutions that can be supported. Similarly, whether settlements are rural or urban, formal or informal, temporary or permanent will influence how shelters are conceived, built and maintained. This also applies for displaced, relocated, original or host settlements, each of which presents features that will significantly influence the types of shelter that can be envisaged, not least in terms of HLP and shelter occupancy rights (which may differ for owners and renters). In addition, shelters – as with many physical infrastructures – tend to be physically rooted in the land they occupy, meaning they cannot be considered separately from settlement considerations. Whilst this rooting may be more limited in the case of emergency shelter solutions (such as tents or some transitional shelters) it tends to increase as shelters are gradually upgraded and made more permanent over time, and is particularly important when, as advocated in these guidelines, S&S interventions focus on the process of sheltering rather than simply the distribution of shelter products or a cash subsidy.

[119] IFRC: 'Post-disaster Settlement Planning and Guidelines', 2012, p7.
[120] Whilst there is no universally-agreed definition of area-based or neighbourhood approaches to humanitarian aid, they typically define a geographical area (rather than a sector or target group) as the main entry point for intervention, place particular emphasis on community, local government and wider stakeholder engagement, and take a multi-sector approach. See IIED: 'Humanitarian response to urban crises: a review of area-based approaches', 2015.

Annex D: Commonly used S&S indicators[121]

Sub-sector	Indicator
Strategic planning	% of all implemented shelter and settlement solutions are agreed, after analysis of relevant options, and undertaken with the population and relevant authorities in coordination with all the responding agencies.
	% of all implemented shelter and settlement solutions that are safe and adequate, and will remain so until more durable solutions are achieved.
Shelter and settlement planning	% of shelter assisted populations that have been consulted on and agreed to the location of their shelter and access to essential services.
	% of settlement plans demonstrate that risks, including settlement on hazardous and/or disputed land, and other vulnerabilities, have been identified and mitigated.
	% of settlement plans demonstrate that adverse environmental impacts have been minimised / mitigated (standard: settlement plans include natural resources management plan).
	% of camp-type settlements which have been selected respecting criteria for surface water drainage (standard: site gradient between 2-5% - gentle slope).
	% of persons living in camp-type settlements where surface allocation – including areas for household plots and infrastructure – is adequate (standard: minimum 45m2 per person).
	% of camp-type settlements with firebreaks of 30m for every 300m of built-up area included in layout planning and where minimum distance between shelters is more than 2m.
Access to adequate shelter	% of targeted persons who have access to shelter solutions and materials which meet agreed technical and performance standards, including those prescribed by the Cluster, if activated.
	% of targeted persons with sufficient covered floor area per shelter (standard: minimum 3.5m2 per person or 4.5-5.5m2 in cold climates).
	% of targeted persons with access to legal advice on housing, land and property (HLP) issues.
Shelter construction	% of shelters constructed in accordance with local building standard and regulations, and/or specifications developed by the Cluster, if activated.
	% of shelters incorporating hazard mitigation measures according to risk analysis.
	% of shelter solutions implemented using construction processes and sourcing of building materials demonstrating that adverse environmental impacts have been minimised / mitigated.
	% of the targeted persons who are involved in construction activities.
	% of persons engaged in local livelihood opportunities to support construction activities.
	% of highly vulnerable individuals provided with adequate shelter solutions.

[121] For more information on possible S&S indicators, refer to the Global Shelter Cluster (draft) indicator guidelines: https://www.sheltercluster.org/sites/default/files/docs/GSC%20Indicators%20Guidelines%20v2.pdf

Annex E: Acronyms

CCCM	Camp Coordination and Camp Management
CGI	Corrugated Galvanised Iron
CTP	Cash Transfer Programming
DfID	United Kingdom Department for International Development
DG ECHO	European Commission Directorate General for Humanitarian Aid and Civil Protection
DRR	Disaster Risk Reduction
EC	European Commission
EIA	Environmental Impact Assessment
EMMA	Emergency Market Mapping Analysis
EU	European Union
EUCPM	European Union Civil Protection Mechanism
Groupe URD	Groupe Urgence Réhabilitation Développement
GSC	Global Shelter Cluster
HAP	Humanitarian Accountability Partnership
HLP	Housing, Land and Property
IASC	Inter-Agency Standing Committee
IDP	Internally Displaced People
IFRC	International Federation of Red Cross and Red Crescent Societies
LRDD	Linking Relief, Rehabilitation and Development
MIRA	Multi-cluster Initial Rapid Assessment
MCTP	Multipurpose Cash Transfer Programming
NFI	Non-Food Items
PASSA	Participatory Approach to Safe Shelter Awareness
PDNA	Post-Disaster Needs Assessment
Pinheiro	United Nations Principles on Housing and Property Restitution for Refugees and Displaced Persons
REACH	Initiative to facilitate the development of information tools and products that enhance the humanitarian community's decision-making and planning capacity
S&S	Shelter and Settlements
Sphere	Humanitarian Charter and Minimum Standards in Disaster Response
UNHCR	United Nations High Commissioner for Refugees
UNOCHA	Office for the Coordination of Humanitarian Affairs
WASH	Water, Sanitation and Hygiene

Annex F: Glossary

Definitions in this glossary have been compiled from existing glossaries and other reference material publicly available[122]. In some cases definitions have been added or adapted to suit these guidelines.

Buildings and settlements vulnerability: the conditions determined by factors such as siting, quality of construction, structural design, configuration and hazard resistance, that increase the susceptibility of buildings and settlements to the impact of hazards.

Collective centres: existing buildings used as temporary living accommodation for displaced populations. The types of building vary widely, and may include schools, hotels, community centres, hospitals, factories, religious buildings, police posts and even military barracks. They are usually communal buildings but can also be privately owned, and in most cases have been constructed prior to displacement and are not designed for accommodation. Additional infrastructure and rehabilitation may be needed to make them suitable as a collective shelter. Collective centres can be made of small shelter units which are privately-owned empty houses whose construction has been disrupted. By adding some basic elements (such as doors, windows, plumbing, electricity) these houses can accommodate a small number of families depending on family size, and can therefore be considered a small collective shelter. Collective shelters with more than four families should be managed those with four families or fewer are not usually managed. (UNHCR)

Core (or one-room) Shelter: Post disaster household shelters planned and designed as permanent dwellings, to be the part of future permanent housing, allowing and facilitating the future process of extension by the household, following its own means and resources. The aim of a core shelter is to create one or two rooms, providing safe post disaster shelter that reaches permanent housing standards, and facilitates development, but not completing a full permanent house (Post–disaster shelter: Ten designs. IFRC, 2013)

Damage assessment / structural assessment: a process used to determine the magnitude and type of damage caused by a disaster or emergency event. This form of assessment requires high levels of skill and experience, and in the case of damage to buildings or infrastructure it requires well-qualified architects and/or engineers. (GFDRR and Consultants)

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[122] Sources:
Britannica Encyclopaedia: www.britannica.com
Consultants to these Guidelines
ECHO: existing policy guidelines (http://ec.europa.eu/echo/what/humanitarian-aid/policy-guidelines_en) and Annex of the ECHO S&S Issues Paper
GFDRR: Jha, A.K. et al. 2010. Safer Homes, Stronger Communities. A Handbook for Reconstructing after Natural Disasters. Washington DC. The World Bank Glossary pp. 361-366 www.preventionweb.net/files/12229_gfdrr.pdf
IASC Framework: IASC 2010 Framework on Durable Solutions for IDP's Bern: University of Bern and Brookings Institute Project on Internal Displacement www.brookings.edu/idp
OCHA/DFID/Shelter Centre: Transitional settlement and reconstruction after natural disasters, Field Edition, 2008: http://www.humanitarianlibrary.org/sites/default/files/2014/02/TransitionalSettlementandReconstructionAfterNaturalDisasters.pdf
Relief Web's Glossary of Humanitarian Terms: http://www.who.int/hac/about/reliefweb-aug2008.pdf
UNHCR Definitions: UN High Commissioner for Refugees (UNHCR), UNHCR Master Glossary of Terms, 2015, http://www.refworld.org/docid/42ce7d444.html

Damage classification: evaluation and recording of damage to structures, facilities or infrastructure according to three or more categories:

1. severe damage, which precludes further use of the structure, facility, or object for its intended purpose;
2. moderate damage, which precludes further use of the structure, facility, or object for its intended purpose, unless major repairs are made short of complete reconstruction;
3. light damage, such as broken windows, minor damage to roofing and siding, interior partitions blown down, or cracked walls, where the damage is not severe enough to preclude use for its intended purpose. (ReliefWeb)

Durable solution: in the context of displacement, a durable solution is achieved when displaced persons no longer have specific assistance and protection needs that are linked to their displacement and can enjoy their human rights without discrimination resulting from their displacement. A durable solution can be achieved through sustainable reintegration at the place of origin; sustainable local integration in area of refuge; or sustainable integration in another location. (IASC)

Global Shelter Cluster: the global mechanism for coordinating a Shelter response in large-scale or complex emergencies. Clusters are groups of UN and non-UN humanitarian organisations working in the main sectors of humanitarian action. The Shelter Cluster is co-chaired at global level by IFRC and UNHCR. (ECHO)

Insulation: Thermal insulation in buildings is an important factor in ensuring thermal comfort for occupants. Insulation reduces unwanted heat loss or gain and can decrease the energy demands of heating and cooling systems. In a narrow sense insulation can refer simply to the insulation materials employed to slow heat loss.

Habitability (and reparability) assessment: Expert evaluation establishing the degree of compliance of a determined habitat (usually a house or building) against applicable standards of: structure and materials; access, space and security; interior air quality; water supply; sanitary facilities; thermal environment; illumination and electricity; food preparation facilities; and fire safety. Habitability standards may differ for emergency shelters and for permanent housing.

(Settlement) Relocation: a process whereby people are moved, temporarily or permanently, to another location, or whereby a community's housing assets and public infrastructure are rebuilt in another location. (GFDRR)

Rental and utility subsidies: rental support addresses the need for housing between the emergency phase and long-term recovery efforts. Typically, a cash grant equivalent to one year's rent is provided to a family to facilitate their relocation from camps or temporary housing while they secure a permanent housing solution. A utility subsidy is provided to support the costs of vital services such as water and electricity. (Consultants)

Repair: the restoration of a structure to sound condition and working order following damage or partial destruction. (GFDRR)

Retrofitting: refers to the reinforcement or upgrading of a structure to become more resistant and resilient to natural hazards. (GFDRR)

Settlement: a community of covered living spaces providing a secure, healthy living environment with privacy and dignity to the groups, families, and individuals residing with it. (ECHO)

Shelter: a habitable covered living space, providing a secure, healthy living environment with privacy and dignity to the groups, families, and individuals residing with it. (ECHO)

Social housing: social housing, or affordable housing, may be allocated to disaster survivors or displaced families at low rents on the basis of their needs. (Consultants)

Soil Liquefaction (also called earthquake liquefaction): ground failure or loss of strength that causes otherwise solid soil to behave temporarily as a viscous liquid. The phenomenon occurs in water-saturated unconsolidated soils affected by seismic *S* waves (secondary waves), which cause ground vibrations during earthquakes. (Britannica)

Summerisation: a preparation process for summer weather in shelter and settlements, anticipating possible high temperatures, heat waves, high humidity and tropical storms. Typical measures include the selection of specialised tents and sheeting, and cyclone resistant roofing. Particular attention is needed for effective warning dissemination and community preparedness. (Consultants)

Transit centres: centres used as temporary shelters for new arrivals and to provide short-term accommodation for displaced populations pending transfer to a more suitable settlement. They provide a habitable covered living space, a secure and healthy living environment with privacy and dignity to people of concern for a short period (typically 2-5 days) while they wait for new settlements to be constructed or until shelter can be found in other accommodation or host communities. These facilities can be used at the very onset of an emergency or within the context of a repatriation operation as a staging point for return. (UNHCR)

Transitional reconstruction: the processes by which populations affected but not displaced by conflict or natural disasters achieve durable solutions to their settlement and shelter needs (OCHA/DFID/Shelter Centre).

Transitional settlement: the processes by which populations affected and displaced by conflict or natural disasters achieve settlement throughout the period of their displacement, prior to beginning transitional reconstruction (OCHA/DFID/Shelter Centre)

Transitional shelter: shelter that provides a habitable covered living space and a secure, healthy living environment with privacy and dignity for those within it during the period between a conflict or natural disaster and the achievement of a durable shelter solution. (GFDRR)

Transitional S&S assistance: assistance, which may complement emergency S&S interventions, that addresses the short- to medium-term S&S needs (typically up to three years) of disaster-affected households. (ECHO)

Ventilation: intentional introduction of outside air into a space. It is principally used to control indoor air quality by diluting and displacing indoor pollutants, and can also be used for purposes of thermal comfort or dehumidification when the introduction of outside air will help to achieve desired indoor psychrometric conditions. Adequate natural ventilation should be integrated into shelter

design to maintain a healthy internal environment and to limit the risk of transmitting diseases such as tuberculosis spread by droplet infection.

Weather-proofing: devising and selecting resilient shelter and settlements, so that dwellings and associated infrastructure will cope with anticipated climate conditions, including extreme climate hazards such as heat, cold, humidity, wind, rain and flooding. (Consultants)

Winterisation: a preparation process for winter weather in shelter and settlements, anticipating possible cold temperatures, frost and snow, wet conditions and high winds. Typical measures include the selection of specialised tents and sheeting, and provision of insulated shelters, heating stoves, blankets, and raised walkways above muddy access paths. Particular attention is needed for effective warning dissemination, community preparedness, fire safety including the risk of overturning stoves in tents made of inflammable materials, adequate ventilation, and a water and sanitation system that will remain operational in freezing conditions. (Consultants)