

# Shelter after disaster

## Introduction

### Country level

- 1 Coordination
  - 1.1 Participation
  - 1.2 Framework
  - 1.3 Activities
  - 1.4 Information
  - 1.5 Strategy

At national level, central government and humanitarian coordinators agree how the shelter, settlement and reconstruction response will be coordinated, as a service gathering and disseminating information to link each affected area and every sector.

As part of this coordination mechanism, a strategy is developed with the participation of the affected population. The strategy is reviewed and updated continually, as more information becomes available and as the context to the response changes.

### Strategy

- 2.1 Participation
- 2.2 Planning
- 2.3 Template
- 2.4 Inputs
- 2.5 Assessment

### Programme level

- 3 Assessment
  - 3.1 Participation
  - 3.2 Assessment
  - 3.3 Tools
  - 3.4 Teams
  - 3.5 Implementation

At programme level, local government and the humanitarian agencies implementing the response undertake ongoing assessments and monitoring of the affected population, capacities and resources in order to identify gaps and overlaps in response, to inform the strategy and to update progress against meeting the agreed objectives of the response.

### 4 Implementation

- 4.1 Participation
- 4.2 Options
- 4.3 Response
- 4.4 Methods
- 4.5 Coordination

Implementation of the response is described through a series of 6 options for displaced populations and 6 options for non-displaced populations, each supported by a contribution of 18 assistance methods.

### Toolkits

- T1 Coordination
- T2 Strategy
- T3 Assessment
- T4 Implementation

These guidelines offer governments, coordinators and implementer a framework for integrated shelter, settlement and reconstruction following natural disasters.

This framework is intended to be consistent with government structures and humanitarian coordination mechanisms, supporting both in developing and implementing a single strategy, policy or plan for each response.

strategies for transitional  
settlement and reconstruction

Shelter after disaster

strategies for transitional  
settlement and reconstruction

# Shelter after disaster

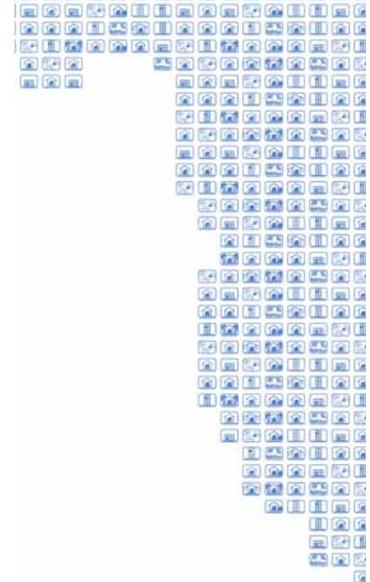
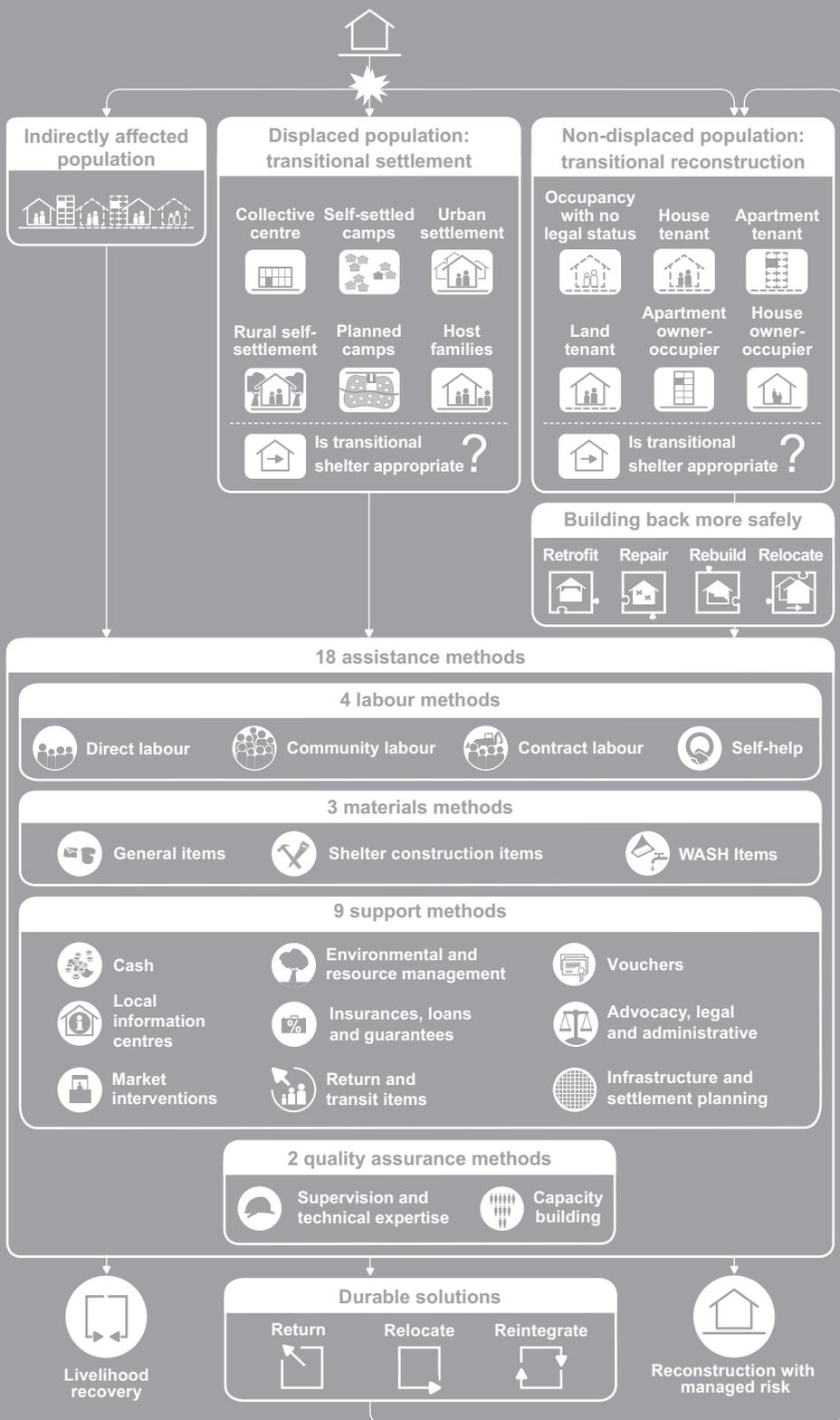
strategies for transitional  
settlement and reconstruction



**DFID** Department for  
International  
Development



shelter centre



# Shelter after disaster

strategies for transitional settlement and reconstruction

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## Note

These guidelines, Shelter After Disaster, are the revision of the key publication Shelter After Disaster: Guidelines for Assistance, published in 1982 by the office of the United Nations Disaster Relief Coordinators (now United Nations / Office for the Coordination of Humanitarian Affairs).

The designations employed and the presentation of the material in this publication do not imply the expression of any opinion whatsoever on the part of UN/OCHA concerning the legal status of any country, territory, city or area, or its authorities, or concerning the delimitation of its frontiers or boundaries.

The opinions, figures and estimates set forth in this document are the responsibility of the authors, and should not necessarily be considered as reflecting the views or carrying the endorsement of the United Nations.

Material in this publication may be freely quoted or reprinted, but acknowledgement is requested, together with a reference to the document number. A copy of the publication containing the quotation or reprint should be sent to Isabelle de Muysers-Boucher [demuysers-boucher@un.org](mailto:demuysers-boucher@un.org) and Shelter Centre ([shelterafterdisaster@sheltercentre.org](mailto:shelterafterdisaster@sheltercentre.org)).

This revision is based on the following documents (in chronological order):



'Shelter After Disaster', published by UNDRO, 1982: guidelines that presented the consensus on good practice in humanitarian shelter response at the time (available for free download at [www.sheltercentre.org](http://www.sheltercentre.org)).



'Exploring key changes and developments in post-disaster settlement, shelter and housing, 1982 - 2006', facilitated by Shelter Centre and published by UN/OCHA, May 2006: scoping study to inform the revision of '*Shelter After Disaster*' (available for free download at <http://ochaonline.un.org> and [www.sheltercentre.org](http://www.sheltercentre.org) or in hardcopy from [lsu@un.org](mailto:lsu@un.org)).



'Transitional settlement and reconstruction after natural disasters, Field Edition', facilitated by Shelter Centre and published by UN/OCHA, 2008: substantially revised guidelines produced through extensive consultation with a dedicated peer review group (available for free download at [www.sheltercentre.org](http://www.sheltercentre.org)).

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## Acknowledgements

Isabelle de Muysers-Boucher, Chief of the Logistics Support Unit (LSU), Emergency Services Branch (ESB), acted as project manager and coordinating editor on behalf of UN/OCHA, with support from Florence Secula, Assistant Humanitarian Affairs Officer.

The executive editors and lead authors of the revised guidelines were Shelter Centre Executive-Director Tom Corsellis and Co-Director Antonella Vitale.

The revision was managed by the Shelter Centre Programme Manager Carlo Gherardi. Lead contributors were Brenda Coughlan and Victoria Lee. The production team comprised Benoit Arnold, Samia Chaudhry, Harry Crofton, Daniel McJacobson, Laurent Deiana, Caroline Dewast, Maria Evaggeliou, Monica Fernandez, Pablo Javier Garmón, Stéphanie Gómez de la Torre, Elaine Griffith, Thomas Harwood-Stevenson, Shernelle Howell, Greta Köhler, Alexandra Lamb, Eleanor French, Federica Lisa, Ciaran Malik, Sanjay Mukherjee, Julie Schneider, Kristina von Petersdoff, Amelia Rule, Nigel Vaz, Valérie Verougstraete and Polina Ulendeeva.

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Under the auspices of the Martin Centre for Architectural and Urban Studies of the Department of Architecture of the University of Cambridge, the following consultants contributed to the 'Transitional settlement and reconstruction after natural disaster': Yasemin Aysan, Cynthia Burton, Ian Davis, Daniel Fitzpatrick, Mark Pelling and Krishna Vatsa.

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## Peer review

The revision was drafted and reviewed over the period 2007-2010 at the Shelter Meetings, a biannual forum organised by Shelter Centre which is attended by the key NGO, IO, UN and government stakeholders in the sector, including the following.

### Inter-Agency Standing Committee (IASC) Clusters

Camp Coordinator and Camp Management  
Early Recovery  
Emergency Shelter  
Logistics Water Sanitation and Hygiene  
Protection

### Humanitarian bi-lateral and multi-lateral donors

DFID CHAD-OT  
ECHO  
JICA  
SDC/HA  
Swiss Solidarity  
USAID/OFDA  
World Bank

### United Nations bodies

UNDP  
UN-Habitat  
UNHCR  
UNICEF  
UN/ISDR  
UNITAR/UNOSAT  
UN/OCHA  
UNRWA

### International organisations

IOM

### Red Cross / Red Crescent Movement

ICRC  
IFRC  
Red Cross National Societies  
(American, British, German, Jamaican, Netherlands)

### Non-governmental organisations

ASF  
Bioforce  
CAFOD  
CARE International  
Caritas (Austria, Switzerland)  
CartONG  
CHF  
COHRE  
Cordaid  
CRS  
EWB UK  
FinnChurchAid  
Habitat for Humanity International  
Handicap International  
Islamic Relief  
Medair International  
MSF (International, Belgium, Netherlands, Switzerland)  
Muslim Aid  
NRC  
Oxfam GB  
Practical Action  
Première Urgence  
ProAct Network  
RedR  
Save the Children Fund UK  
The Sphere Project  
Terre des Hommes Lausanne  
World Vision

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## Review of Shelter after disaster

Recent reviews of the humanitarian reform process highlighted the need for inter-cluster or inter-sector collaboration, including the area of shelter, settlement and reconstruction. Recognition of this guidance by IASC clusters is important specifically because it does intend to support the mandates of more than one cluster. Although the revision of the guidance began before the clusters started themselves to develop guidance, a number of agencies participating in the different clusters have very kindly followed this process through the broad consultations carried out over the past four years. The contents of the revision reflect and include much of their approaches, messages and direct comments.

It is also to be noted that the central messages of the guidelines, developed and agreed through exhaustive consultation, are reflected in cluster guidance and training, as well as the World Bank publication 'Safer Homes, Stronger Communities: a Handbook for Reconstructing After Natural Disasters' (2010). The messages will also appear in the forthcoming revision of the Sphere Project 'Humanitarian Charter and Minimum Standards in Disaster Response', as well as the 'Urban shelter guidelines: Assistance in urban areas to populations affected by humanitarian crises' (NRC and Shelter Centre, 2010).

**Agencies participating in the following clusters of the Inter Agency Standing Committee have contributed to the revision of these guidelines and find their contents valuable.**

**Camp Coordinator and Camp Management  
Early Recovery  
IFRC  
IOM  
UNDP**

A complete list will be presented in the forthcoming printing of these guidelines by the United Nations.

A full list of humanitarian agencies which participated in the revision and review of these guidelines may be found on the preceding page.

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## Funding

This revision of the 1982 UNDRO guidelines is part of a Shelter Centre programme for sector support funded by the Department for International Development (DFID) of the Government of the United Kingdom.

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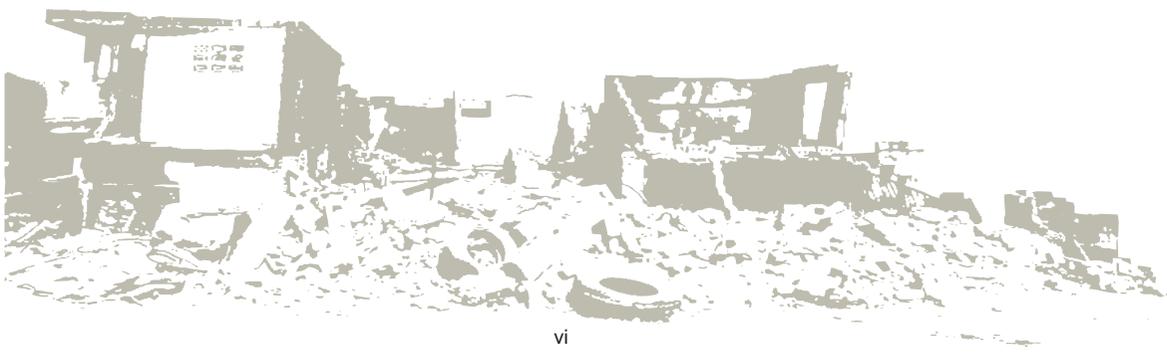
## Forward by Valerie Ann Amos

The forward will be presented in the forthcoming printing of these guidelines by the United Nations.

# Table of contents

Acknowledgements	iii
Foreword by Valerie Ann Amos	v
List of diagrams, tables and checklists	viii
<b>Introduction</b>	<b>xiii</b>
Emergency to recovery	xiii
Guiding principles for shelter after disaster	xvi
Note to stakeholders	xviii
Hazards and natural disasters	xx
The shelter sector, humanitarian reform and clusters	xxv

<b>Part A</b>	<b>Response</b>		<b>Part B</b>	<b>Programme</b>	
<b>Chapter 1</b>	<b>Coordination</b>	<b>1</b>	<b>Chapter 3</b>	<b>Assessment</b>	<b>65</b>
<b>1.1 Participation</b>	ensure all stakeholders are involved and represented	3	<b>3.1 Participation</b>	identify capacity of displaced and non-displaced populations	68
<b>1.2 Framework</b>	agree a structure for coordination	8	<b>3.2 Assessment</b>	undertake different assessments to inform the development of the strategy, supporting programme and project plans	73
<b>1.3 Activities</b>	establish and operate the shelter sector coordination body	13	<b>3.3 Tools</b>	identify and design tools required to implement assessments	84
<b>1.4 Information</b>	manage information to assist response monitoring and support decision making	22	<b>3.4 Teams</b>	establish assessment teams required to implement assessments	85
<b>1.5 Strategy</b>	synthesise information to facilitate strategic planning	25	<b>3.5 Implementation</b>	carry out assessments, monitoring and evaluation to inform strategic, programme and project implementation	88
<b>Chapter 2</b>	<b>Strategy</b>	<b>31</b>	<b>Chapter 4</b>	<b>Implementation</b>	<b>97</b>
<b>2.1 Participation</b>	achieve agreement on stakeholder involvement	34	<b>4.1 Participation</b>	engage affected populations and coordinate with other sector	101
<b>2.2 Planning</b>	coordinate planning among strategic, programme and project plans	42	<b>4.2 Options</b>	support rapid assessment to find out who, what, where	103
<b>2.3 Template</b>	use a consistent planning template to optimise the response	45	<b>4.3 Response</b>	establish which settlement or reconstruction options are safe and appropriate to implement	110
<b>2.4 Inputs</b>	incorporate relevant issues to inform the strategy	56	<b>4.4 Methods</b>	manage assistance packages for affected populations	113
<b>2.5 Assessment</b>	maintain the strategy as a live document	60	<b>4.5 Coordination</b>	manage activities and inform strategic planning process	124
			<b>Toolkits</b>		
			<i>T1</i>	<b>Coordination tools</b>	133
			<i>T2</i>	<b>Strategy tools</b>	169
			<i>T3</i>	<b>Assessment tools</b>	201
			<i>T4</i>	<b>Implementation tools</b>	249
			<b>Resources</b>	Glossary of terms	305
				Acronyms	325
				Annotated Bibliography	329
				Key references	334
				Internet Resources	342
				Index	345



## List of diagrams

### Introduction

<i>i</i>	The return and recovery of the displaced and non-displaced	xiv
<i>ii</i>	Distribution of natural disaster by type between 1991-2005	xx
<i>iii</i>	Proportion of people killed between 1991-2005 by disaster	xx
<i>iv</i>	Cluster Organisation	xxix

### Chapter 1

1.1	Stakeholders involved in a disaster response coordination activity	3
1.2	Framework for combining, amending and integrating any existing mechanisms	9
1.3	Coordination framework for integrated collaboration	9
1.4	Extending coordination support throughout the affected area	14
1.5	Strategic advisory group: structure and activities	17
1.6	Technical working groups: structure and activities	18
1.7	Information management group: structure and activities	19
1.8	Coordination meetings: structure and activities	20

### Chapter 2

2.1	Suggested planning activities in disaster response	33
2.2	Levels in the strategic planning process	34
2.3	Steps in the strategy planning process	35
2.4	Consultations and the subsequent development of the versions of the sector strategy	38
2.5	Typical post-disaster funding cycles	40
2.6	Resources available to the affected population	48
2.7	Uses of, and issues related to, coordinated planning	53
2.8	Land right and securing tenure in Haiti	58
2.9	Integration of DRR in handover	59

### Chapter 3

3.1	Illustrates the four stages of assessment	67
3.2	The four stages of assessment	71
3.3	Interaction between the assessment stages and assessment subjects	80
3.4	Implementing a parallel process	89

### Chapter 4

4.1	Post-disaster response strategy	98
4.2	Example of response following disaster	100
4.3	The transitional settlement option: dispersed and grouped	105
4.4	The six transitional reconstruction options	107
4.5	How the decision to build back more safely may be reached	111
4.6	Assistance methods	114

### Toolkit 1

T1.1	Example 1: fire safety	164
T1.2	Example 2: construction techniques	165
T1.3	Example 3: communicating strategy	166

### Toolkit 2

T2.1	Filling the gaps in international and national laws	172
T2.2	Gantt chart example	194
T2.3	Work breakdown example	194

### Toolkit 3

T3.1	Baseline market map	208
T3.2	Beans market system two months post-earthquake	209
T3.3	Community Rapid Environmental Assessment (REA) process	212

### Toolkit 4

T4.1	Example of response following disaster	250
T4.2	Transitional settlement options	268
T4.3	Transitional reconstruction options	269
T4.4	The four transitional shelter types	270

## List of tables

### Introduction

<i>i</i>	Eleven Global Clusters and Global Cluster Lead Agencies	xxvii
<i>ii</i>	Four cross-cutting issues and focal points	xxviii

### Chapter 2

2.1	Document template headings	44
-----	----------------------------	----

### Toolkit 1

T1.1	Areas of responsibility of national government	134
T1.2	Priority to-do list for sector coordinator	142
T1.3	Coordination Timeline	144
T1.4	Considerations of how the disaster may have affected the population	161

### Toolkit 2

T2.1	Legal tools which may be considered during a reconstruction phase	175
T2.2	Issues surrounding housing design	176
T2.3	Indicator qualities	189
T2.4	Examples of key indicators, adapted from the Sphere Standards	190
T2.5	Comparison of Sphere standards and UNHCR standards	192
T2.6	UNHCR Handbook for Emergencies Standards for communal facilities	193
T2.7	Logical framework template	193
T2.8	Timeline of response operation and associated relevant land issues	196

### Toolkit 3

T3.1	Situation analysis	204
T3.2	Issues to consider when conducting participatory assessment	205
T3.3	Steps to assist the assessment team	206
T3.4	Some environment-related consequences of common and recurrent natural disasters	213
T3.5	Creating hazard map method 1	217
T3.6	Creating hazard map method 2	217
T3.7	Seven steps to do a VCA	219
T3.8	Building damage categories reference sheet	223
T3.9	Initial shelter damage assessment sheet	225
T3.10	Back of the template form for initial shelter damage assessment sheet	227
T3.11	Site selection assessment form	229
T3.12	Back of the template form for site selection assessment sheet	231
T3.13	Household level building damage assessment template	234

### Toolkit 4

T4.1	Displaced populations: host families	253
T4.2	Displaced populations: urban self-settlement	254
T4.3	Displaced populations: rural self-settlement	255
T4.4	Displaced populations: collective centres	256
T4.5	Displaced populations: self-settled camps	258
T4.6	Displaced populations: planned camps	259
T4.7	Non-displaced populations: occupancy with no legal status	261
T4.8	Non-displaced populations: house tenant	262
T4.9	Non-displaced populations: apartment tenant	263
T4.10	Non-displaced populations: land tenant	264
T4.11	Non-displaced populations: apartment owner-occupier	265
T4.12	Non-displaced populations: house owner-occupier	266
T4.13	NFI considerations for cold climates	278
T4.14	NFI considerations for warm, humid climates	279
T4.15	NFI considerations for hot, dry climates	280
T4.16	NFI priorities for cold climates	281
T4.17	NFI priorities for warm, humid considerations	282
T4.18	NFI priorities for hot, dry climates	283
T4.19	Advantages and disadvantages of packages	285
T4.20	DFID shelter kit, parts 1 and 2	286
T4.21	House construction funds request form	288
T4.22	ODHR activities in relation to programme development, participatory process, technical assistance and financial assistance	289
T4.23	Community development funds application	291
T4.24	Community contract progress payment certificate	292

### List of checklists

#### Toolkit 1

T1.1	Checklist for general terms of reference	137
T1.2	Checklist for sector coordinator of reference	138
T1.3	Checklist for technical working group terms of reference	139
T1.4	Information management working group terms of reference	139
T1.5	Strategic advisory group terms of reference	140
T1.6	Best practice for the coordination meeting	148
T1.7	Best practice for the chairperson of the coordination meetings	149
T1.8	Best practice before meeting to-do list	150
T1.9	Best practice during meeting to-do list	152
T1.10	After meeting to-do list	153

#### Toolkit 2

T2.1	Assessment checklist	181
T2.2	Options for transitional settlements and reconstruction checklist	182
T2.3	Resources checklist	182
T2.4	Objectives checklist	183
T2.5	Scenarios checklist	184
T2.6	Opportunities and challenges checklist	184
T2.7	Legal framework checklist	185
T2.8	Schedule for implementation checklist	186
T2.9	Coordination checklist	187
T2.10	Participation checklist	187
T2.11	Handover checklist	188
T2.12	Checklist for land use, planning and tenure	197
T2.13	Checklist for the incorporation of land issues into strategic planning	198
T2.14	Checklist for the incorporation of special protection and reassurance measures	198
T2.15	Checklist for incorporation of rapid mechanisms	198
T2.16	Checklist for securing inheritance	199
T2.17	Checklist for incorporation of land issues	199

#### Toolkit 3

T3.1	What to consider when compiling a shelter needs assessment checklist	210
------	--	-----

#### Toolkit 4

T4.1	Beneficiary identification	251
T4.2	Planning a responsible exit	303

Settlement,  
reconstruction  
and shelter

Holistic  
guidance

Largest sector  
per capita  
expenditure

## Emergency to recovery

1. These guidelines introduce the approaches of transitional settlement, reconstruction and shelter. Transitional housing, shelter, settlement, and reconstruction should not be considered as an additional 'phase', but rather as an incremental sheltering of affected populations over the period of their displacement and of reconstruction, which often lasts many years. The term 'transitional' may be used in response to two questions:

1. For those displaced, where do they live over the years reconstruction usually takes?

2. For those not displaced or who have returned, how can reconstruction be supported when it is needed, from the initial response, as some families may need roof tiles not a tent?

2. This approach of parallel support is presented in the following guidance; published or awaiting publication. All this guidance includes the same series of 6 options facing displaced populations and 6 options facing non-displaced populations agreed by the shelter community, facilitated by Shelter Centre.



Transitional settlement: displaced populations (Corsellis and Vitale, Oxfam 2005)  
<http://www.sheltercentre.org/library/transitional+settlement+displaced+populations>



Safer Homes, Stronger Communities (World Bank, 2010) [www.housingreconstruction.org/housing/](http://www.housingreconstruction.org/housing/)



Humanitarian Charter and Minimum Standards in Disaster Response (Sphere Project, forthcoming 2011), [www.sphereproject.org/](http://www.sphereproject.org/)



Assistance in urban areas to populations affected by humanitarian crises (NRC and Shelter Centre, forthcoming 2010), <http://www.sheltercentre.org/>

## Survival and recovery

3. Settlement, reconstruction and shelter are all critical to both survival and recovery following natural disasters. In a growing number of responses they constitute together the largest sector, in terms of expenditure per capita, over the duration of international intervention.

### Introduction

#### Country level

1

#### Coordination

Participation 1.1

Framework 1.2

Activities 1.3

Information 1.4

Strategy 1.5

2

#### Strategy

Participation 2.1

Planning 2.2

Template 2.3

Inputs 2.4

Assessment 2.5

#### Programme level

3

#### Assessment

Participation 3.1

Assessment 3.2

Tools 3.3

Teams 3.4

Implementation 3.5

4

#### Implementation

Participation 4.1

Options 4.2

Response 4.3

Methods 4.4

Coordination 4.5

#### Toolkits

Coordination T1

Strategy T2

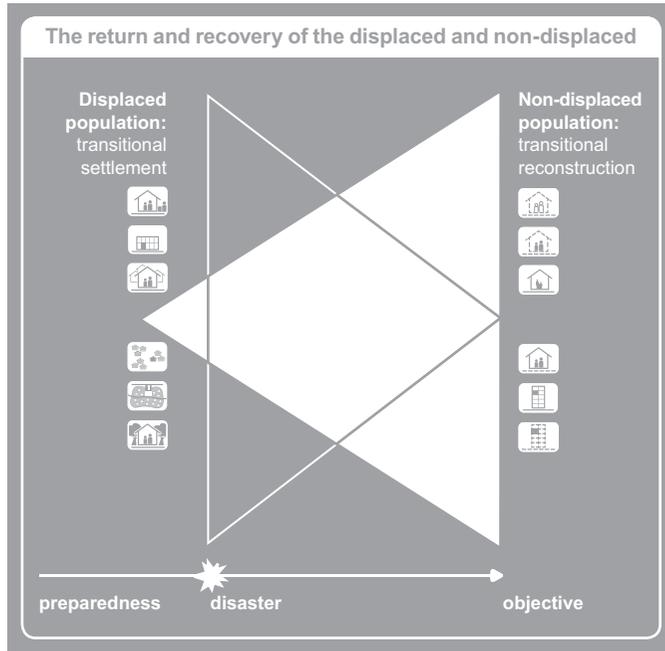
Assessment T3

Implementation T4

Largest sector per capita expenditure

Diagram i  
The return and recovery of the displaced and non-displaced

4. The following diagram demonstrates the return and recovery of the displaced and non-displaced population, showing that this does not happen in three distinct phases but rather in parallel from the day after the disaster strikes.



### Parallel settlement and reconstruction

5. Governments, humanitarian organisations and donors share the tendency to consider the support they offer to affected populations in phases, corresponding to internal mandates and responsibilities. However, support to both displaced and non-displaced must occur in parallel. Reconstruction begins immediately after a disaster, for those who do not move, and these efforts may have similar priority in saving lives and reducing suffering as support to those displaced. This is particularly true in responses to urban disasters.

### Urban vulnerability

6. Rapid urbanisation, particularly in developing countries, has resulted in half of the population of the world living in urban areas. Most of these densely populated and poorly developed urban areas are vulnerable to hazards. For example, 40 of the 50 fastest-growing cities are in earthquake zones »4.2.2.

Reconstruction begins on day one

Half of the world population lives in urban areas

Supporting the displaced population

Supporting the non-displaced population

Transitional shelter as a way to support the settlement and reconstruction options

Labour, materials, support and quality assurance

### Six options plus one for displaced populations

7. For those who have been displaced by a disaster, 'transitional settlement' describes where they find shelter during their movement, categorised into six options »4.2.2 with the addition of using transitional shelter to support the six. The period of their displacement may be days or years. For example, a family may initially self-settle on a roadside, moving to stay with a host family before returning to their original homes. Displacement often continues long after the risk that caused displacement is no longer acute, when people remain displaced for economic, political or legal reasons, such as when land tenure has not been resolved to allow reconstruction to begin.

### Six options plus one for non-displaced populations

8. For those who have not been displaced by the disaster, or for those returning from displacement, 'transitional reconstruction' describes how families regain durable solutions to accommodation, also categorised into six options »4.2.3, with the addition of using transitional shelter to support the six. Transitional reconstruction describes support to both tenants and owners, as the majority of the population affected may be tenants and not owners, especially in urban areas. For example, a family, living without legal tenure on their housing and land, may find a legal solution to their housing needs, such as renting an apartment, following a disaster.

### The transitional shelter approach

9. The six settlement and six reconstruction options, categorised for those who have been displaced and those who have not been displaced, may not offer sufficient shelter over the duration of recovery to durable solutions. For example, reconstruction may take a number of years, however, the shelter support offered to the displaced in camps may not be sufficiently durable to last until reconstruction is complete. In response, the transitional shelter approach has been developed, where shelter is supported incrementally within each option »4.2. Transitional shelters can be relocated and present four alternatives: they can be upgraded; reused; the materials used may be resold; or the materials may be recycled.

### 18 assistance methods

10. Support offered to options for both displaced and non-displaced has also been categorised into 18 assistance methods »4.4. These assistance methods are grouped around the key decisions in the process; selecting labour, materials, support and quality assurance.

<b>Introduction</b>	
Country level	1
<b>Coordination</b>	
Participation 1.1	
Framework 1.2	
Activities 1.3	
Information 1.4	
Strategy 1.5	
<b>2</b>	
<b>Strategy</b>	
Participation 2.1	
Planning 2.2	
Template 2.3	
Inputs 2.4	
Assessment 2.5	
<b>Programme level</b>	
<b>3</b>	
<b>Assessment</b>	
Participation 3.1	
Assessment 3.2	
Tools 3.3	
Teams 3.4	
Implementation 3.5	
<b>4</b>	
<b>Implementation</b>	
Participation 4.1	
Options 4.2	
Response 4.3	
Methods 4.4	
Coordination 4.5	
<b>Toolkits</b>	
Coordination T1	
Strategy T2	
Assessment T3	
Implementation T4	

## 10 Guiding principles for shelter after disaster

The following ten guiding principles for shelter, settlement and reconstruction after disaster are adapted from and are intended to be consistent with those published by the World Bank Global Facility for Disaster Reduction and Recovery (GFDRR) in 'Safer Homes, Stronger Communities: A Handbook for Reconstructing after Natural Disasters' (2010).

### “Every reconstruction project is unique

The nature and magnitude of the disaster, the country and institutional context, the level of urbanisation, and the culture's values will all influence decisions about how to manage reconstruction. How government uses available resources, how it weighs the concerns of speed versus quality, and what it considers the proper institutional set-up and division of labour will also vary.”



#1  
Strategy

### Engage and support communities

The joint strategy of government and the humanitarian agencies should involve and support the entire population affected by the disaster, fairly and equitably, responding to the different needs of different groups and with special attention given to those who are most vulnerable. The strategy and its implementation must be accountable and include ways of redressing grievances.



#2  
Reconstruction

### Reconstruction begins the day of the disaster

Safe reconstruction for those not displaced is just as important to emergency lifesaving as shelter and settlement is for the displaced. Immediate investment in safe reconstruction is often the best possible stimulus for recovery. Support to reconstruction must begin immediately and not be postponed to a later phase. Home owners are sometimes a minority in affected communities and are often not the most vulnerable, so appropriate assistance must be offered to both tenants and occupants without legal tenure.



#3  
Community

### The community should be partners in developing the strategy and leaders of local implementation

Invariably, the greatest effort in a response is made by those affected. They are also most aware of the most appropriate, sustainable and rapid routes to recovery. The greater the involvement of the community in implementation, the more effective and cost-efficient the response will be.



#4  
DRR

### Strategies should be realistic in scale and invest in disaster risk reduction

The standard humanitarian objective in a strategy is to return the affected population to their state before the disaster, whilst managing their vulnerability to future hazards. The resources and capacities available usually mean that damaged buildings cannot be replaced like-for-like, so the strategy is used to agree prioritisation, manage the expectations of the affected population and reduce risk, to ensure that vulnerability to future disasters is not rebuilt.



#5  
Coordination

### Coordinating mechanisms must support national institutions in order to optimise response

Government and humanitarian coordination mechanisms must also be coordinated or integrated, to ensure that all stakeholders participate appropriately in the response, and to ensure that a single strategy is agreed and implemented across the affected area. Standards specific to the response and joint assessments should be agreed as part of that strategy. All contributions to the response are tracked, from remittances to re-structured loans, so that support is targeted appropriately and accountably, minimising opportunities for fraud.



#6  
Development

### Responses should contribute to sustainable development and to preparedness for future disasters

Responses to major disasters should take years and not months and so transitional support should be offered to the affected population over this period, whilst reconstruction is completed. Aspects of responses, such as land rights, take time to be resolved and proceeding too rapidly may result in inequality, poor sustainability and greater vulnerability. The cultural priorities of the affected population must be considered along with damage and loss.



#7  
Relocation

### Relocating communities is costly and rarely successful, so it should be minimised

The few examples that exist of successful relocation involved considerable consultation and participation throughout the process, as well as a very high level of funding per capital, when compared with other options. Unsuccessful examples did not take into sufficient consideration livelihoods, support to communal service infrastructure and environmental impacts.



#8  
Stakeholders

### The response involves different groups with different roles, capacities and priorities

The single coordination mechanism and the up-to-date strategy facilitate the roles, capacities and priorities of stakeholders in reaching the humanitarian objective agreed, accountably. In addition to the affected population, government and humanitarian stakeholders, it is critical to achieve a productive collaboration with the private sector where the humanitarian objectives can be maintained.



#9  
Assessment

### Assessment and monitoring must be continuous, coordinated, integrated and disseminated

Assessment and monitoring ensure that the strategy is updated continually to reflect diverse needs and capacities of the affected population, hazards, gaps and overlaps in response, possible future scenarios, damage and resources available.



#10  
Sustainability

### Community livelihoods are the basis of recovery

Shelter, settlement and reconstruction as well as all other aspects of recovery depend upon the livelihoods of communities, involving institutions, markets and the environment. The response must be informed constantly by monitoring the recovery of communities, in order to optimise the efficiency and sustainability of support offered to them.

#### Introduction

#### Country level

1

#### Coordination

Participation 1.1

Framework 1.2

Activities 1.3

Information 1.4

Strategy 1.5

2

#### Strategy

Participation 2.1

Planning 2.2

Template 2.3

Inputs 2.4

Assessment 2.5

#### Programme level

3

#### Assessment

Participation 3.1

Assessment 3.2

Tools 3.3

Teams 3.4

Implementation 3.5

4

#### Implementation

Participation 4.1

Options 4.2

Response 4.3

Methods 4.4

Coordination 4.5

#### Toolkits

Coordination T1

Strategy T2

Assessment T3

Implementation T4

## Note to stakeholders: Roles and responsibilities

These guidelines are intended to support the roles and responsibilities of everyone involved in shelter after disaster, including the affected population and especially governments.

Participation and representation of all stakeholders in both planning and implementation are essential to ensuring appropriate, equitable, timely and efficient responses. Participation is discussed at the beginning of each chapter and is also summarised at the end of each chapter, from the perspective of each of these groups.

The approach taken in these guidelines that is intended for use by all stakeholders is for 'transitional settlement' for displaced populations and 'transitional reconstruction' for non-displaced and returned populations, building upon previous humanitarian guidance from the United Nations, World Bank and humanitarian non-governmental agencies.

The term 'transitional' is not used to create an additional phase, between emergency and recovery, but instead to reflect that response is best considered as a single, incremental phase. This is important as reconstruction may be misunderstood as a later, recovery activity, whereas limited reconstruction to achieve shelter is an immediate lifesaving priority for those affected but not displaced.



### Affected populations

The guidelines offer numerous ways in which populations can contribute both to planning and implementing responses to the disasters that affect them, recognising that they usually undertake the majority of work and have the best understanding of what assistance they require.

The first and third of the '10 guiding principles for shelter after disaster' presented on page xvi reinforce this approach. Appropriate responses may be agreed only if they meet priorities identified with and by the affected population, requiring affected populations to be involved in decision-making.



### Government

Sovereign governments offer the sustainable framework to support their citizens in achieving shelter, settlement and reconstruction, as well as to recovering their livelihoods. When humanitarian agencies are invited by governments to assist in this process, governments may expect humanitarian agencies to offer their assistance predictably and consistently. Humanitarian agencies and coordination structures may be valuable as interlocutors between parties in complex emergencies.

These guidelines present to governments good practice in shelter after disaster gained by a wide range of humanitarian agencies over many decades, in the hope that they will be useful both to inform the response of governments and to help governments making best use of humanitarian assistance.



### Coordinating agencies

Whether a humanitarian agency is coordinating shelter after disaster or a sector of response impacted by shelter after disaster, these guidelines are offered to support inter-sector coordination and integrated programming to a common humanitarian action plan or strategy. Timely responses may be achieved only if coordinating agencies support all stakeholders to collaborate in contributing their capacities and resources.



### Implementing agencies

Humanitarian and developmental agencies implementing programmes for shelter after disaster have responsibilities to governments and to participate actively in coordination, so as to avoid gaps or overlaps in roles and response. Implementing agencies also must agree with coordinating agencies the coordination functions and services that implementers most value and how they should be managed.



### Donors and International Financial Institutions

Reconstruction begins the day after the disaster, as noted in both the '10 guiding principles for shelter after disaster' presented on page xvi and 'Safer Homes, Stronger Communities: A Handbook for Reconstructing after Natural Disasters'  World Bank, 2010. Consequently, donors and IFIs collaborate extremely close to support integrated programme implementation to a common strategy. These guidelines are intended to support this collaboration and be consistent with the World Bank Handbook. Key conclusions of these guidelines are included in the Handbook in chapter 1.



### Private sector

The private sector and particularly the national, regional and international construction industries are integral to all responses. These guidelines offer the private sector entry points in engaging with humanitarian agencies, so that private sector contractors may contribute appropriately to achieving the humanitarian objective agreed and not be perceived as driving response.



### National security forces and International peacekeepers

National security forces, under the direction of their governments, as well as international peacekeeping forces may value the descriptions presented in these guidelines of humanitarian coordination structures and planning processes. The use of military and civil defence assets to support humanitarian objectives is set out in the 'Oslo Guidelines'  UN/OCHA, 2006d.



### Academia

National and international academia may offer capacity and specialist skills to almost every activity within the response, from damage assessment to sustainable disaster risk reduction. These guidelines support this potential engagement, as well as presenting a comprehensive terminology for shelter after disaster, to inform later research and analysis.

<b>Introduction</b>	
Country level	
	<b>1</b>
<b>Coordination</b>	
Participation 1.1	
Framework 1.2	
Activities 1.3	
Information 1.4	
Strategy 1.5	
	<b>2</b>
<b>Strategy</b>	
Participation 2.1	
Planning 2.2	
Template 2.3	
Inputs 2.4	
Assessment 2.5	
Programme level	
	<b>3</b>
<b>Assessment</b>	
Participation 3.1	
Assessment 3.2	
Tools 3.3	
Teams 3.4	
Implementation 3.5	
	<b>4</b>
<b>Implementation</b>	
Participation 4.1	
Options 4.2	
Response 4.3	
Methods 4.4	
Coordination 4.5	
<b>Toolkits</b>	
Coordination T1	
Strategy T2	
Assessment T3	
Implementation T4	

## Hazards and natural disasters

**Risk management** 11. This section presents an overview of different types of hazards, outlining their general characteristics and how each hazard may affect both current response and future risk. Both disaster events and future risks are often caused by a combination of hazards. As a result, approaches to risk reduction must integrate measures designed for the variety of hazards faced by a community.

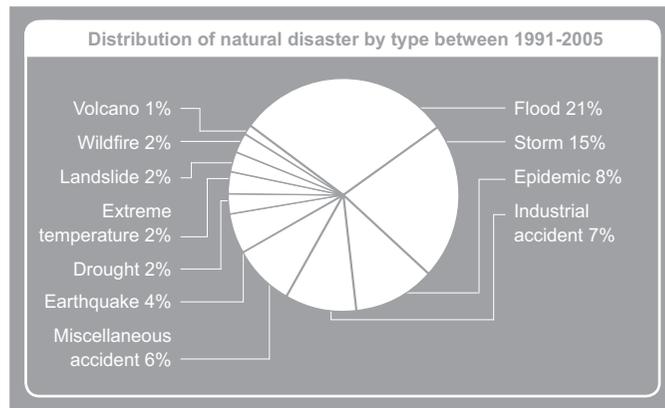
**Risk reduction** 12. Hazards impact complex social and environmental systems. Monitoring and impact evaluation provide critical feedback about the effectiveness of risk reduction measures for these systems, help to guide learning and improve efforts toward the construction of safer communities.

**Risk mitigation** 13. Strategies for transitional settlement and reconstruction must integrate risk mitigation and management to maximise the safety of populations affected by natural disaster. This includes prevention and preparedness measures which help manage risk in future recurrent hazards.

**Risk prevention, preparedness and transfer** 14. Effective risk mitigation and risk management include elements of prevention, preparedness and risk transfer. For example, assessments of building integrity in disaster prone areas may lead to retrofitting; or all information regarding land use and ownership may be backed up and held in different locations to avoid loss following a disaster.

**Frequency of natural disasters** 15. This section presents an overview of different types of hazards as they are presented in the diagram below according to their relative occurrence worldwide. Their general characteristics are outlined and the possible effect of each hazard on shelter after disaster is described »3.2.2; Table T3.8.

Diagram ii  
Distribution of natural disaster by type between 1991-2005

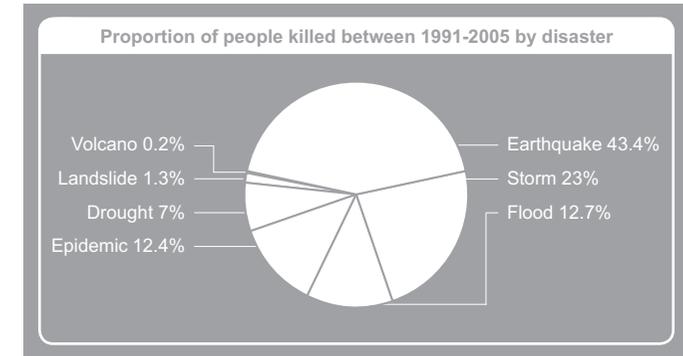


Source: EM-DAT: The OFDA/CRED International Disaster Database

## Types of hazard

16. The following diagram demonstrates that there is no direct link between the percentage of a certain type of disaster over a given time frame and the number of deaths it causes. Earthquakes accounted for only 4% of total disasters between 1991 and 2005, but killed 43.4% of total dead from natural disasters over the same period.

Diagram iii  
Proportion of people killed between 1991-2005 by disaster



Source: EM-DAT: The OFDA/CRED International Disaster Database

Earthquakes 4%



Disproportionate number of deaths

Secondary hazards

Building damage

Infrastructure damage

Aftershocks

17. Earthquakes are tremors of the earth's surface typically triggered by the release of stress along underground fault lines.

18. While earthquakes may only account for just four percent of the hazards in a given period, building failure in earthquakes accounts for approximately ninety-five percent of deaths, unlike all other hazards.

19. As well as damage from ground movements, earthquakes can cause a number of secondary hazards including follow-on fires, landslides, avalanches and tsunamis.

20. Earthquakes may also cause liquefaction or subsidence of the ground, undermining the foundations of structures or infrastructure. This occurs typically in sandy soils where the water in the soil separates and pools, reducing the stability of the soil.

21. Earthquakes can have significant impacts on transportation and communications infrastructure, limiting access, aid delivery, and impeding needs and damage assessment. Earthquakes are often preceded or followed by a series of smaller tremors, or aftershocks, that may last for years.

22. Aftershocks may cause additional damage to structures and can create fear in the community. Even those people whose houses are not damaged often refuse to return to them, significantly increasing the number of people with transitional settlement needs.

### Introduction

#### Country level

#### 1

#### Coordination

##### Participation 1.1

##### Framework 1.2

##### Activities 1.3

##### Information 1.4

##### Strategy 1.5

#### 2

#### Strategy

##### Participation 2.1

##### Planning 2.2

##### Template 2.3

##### Inputs 2.4

##### Assessment 2.5

#### Programme level

#### 3

#### Assessment

##### Participation 3.1

##### Assessment 3.2

##### Tools 3.3

##### Teams 3.4

##### Implementation 3.5

#### 4

#### Implementation

##### Participation 4.1

##### Options 4.2

##### Response 4.3

##### Methods 4.4

##### Coordination 4.5

#### Toolkits

##### Coordination T1

##### Strategy T2

##### Assessment T3

##### Implementation T4

Building codes and standards	23. Building codes and standards for transitional settlement and reconstruction need to be agreed with all stakeholders as early as possible to ensure they can be enforced throughout the response.
Building back safer	24. Transitional reconstruction programmes need to incorporate safe-building methods, for example by strengthening lateral supports and cross-bracing and strong attachment of all load bearing walls to the foundations (UN/ISDR, 2007).
Floods 21% 	25. Floods develop from a range of slow-onset and rapid-onset events that can occur in river basins, along coasts or in urban areas, often as a result of torrential rainfall, storms and high tides.
Long duration and rapid onset	26. Long duration floods can remain in place for weeks or months causing continual disruption and problems such as disease. Whilst rapid-onset flooding lasts for a shorter period of time, it can cause more damage because there is less time for people to take preventative action, especially in the absence of an early warning system. Floods, especially with high-velocity river flows can destroy land by erosion very quickly.
Urban floods	27. With the increase in urbanisation, urban floods are becoming more common in areas with large areas of hard, impermeable surfaces and often poorly maintained waterways and drainage schemes.
Damage to infrastructure	28. Flood waters often disrupt roads and rail lines, making land access difficult or impossible, delaying assessment and increasing the costs of logistics. They also reduce the access of people in the affected communities to aid, health and education services, local markets and work sites. Long-standing flood waters can cause rot in wood components and weakening of walls in structures, even though structures may look intact.
Flood mitigation	29. Flooding may reoccur during the ongoing response as meteorological conditions change. It is therefore crucial that mitigation measures are included immediately into strategic, programme and project plans.
Storms 15% 	30. Windstorms result from the rapid circulation of air masses between areas of different air pressure. Cyclones are particularly large storms in which the air circulates about a low-pressure centre.
High speed winds	31. The high winds from cyclones and windstorms can pick up loose materials, such as roofing and cars, turning them into projectiles which often cause the major damage to structures. Rain water is blown at high speeds and can penetrate structures from unanticipated angles.
Different hazards caused by cyclones	32. Cyclones can produce different types of hazards including: severe wind storms, storm surges, flooding, tornadoes and torrential rainfall, once the cyclone makes landfall.

Damage to communication	33. The high winds from cyclones and windstorms often cause damage to communication links. Flooding caused by cyclones and windstorms may reduce transport access for assessment and logistic support.
Appropriate considerations for shelter	34. Careful attention to the siting and orientation of shelters can help to reduce exposure to wind as well as the rain, sand, dust or ash it may carry. Measures to reduce wind damage, such as roof tie-down straps, as well as certain roof shapes and angles, should be taken.
Landslides 2% 	35. Landslides are downward ground movements, often resulting from rock falls or the failure of steep or unstable slopes.
Connection to other hazards	36. Landslides often occur in connection with other natural hazards such as earthquakes, volcanoes and floods. Landslides tend to occur on steep slopes or in places where slopes are undercut by roads, other excavation or water sources such as river beds or coastlines.
Vast damage areas	37. Landslides or debris flow may also sweep down on settlements from higher ground. High volumes of mud or debris can travel a considerable distance and cover settlements in metres of debris. This is especially likely in periods of high rainfall when water saturation levels in the soil increase and water runoff helps to build the momentum of the slide.
Long term risk	38. Water in saturated soil often dissipates slowly, so the threat of landslides may increase over several days or weeks, even if rainfall is not continuous.
Man made factors	39. Changes to geography, such as those caused by deforestation and road cuts, can reduce the stability of slopes and increase the likelihood of landslides.
Appropriate response	40. The careful siting of settlement areas can reduce the exposure to landslides. The appropriate drainage of settlement areas will prevent soil saturation and, along with the planting of vegetation, can help to maintain the stability of slopes.
Fires 2% 	41. Fires are the rapid combustion of elements of the natural or built environment. They may be caused naturally or by people, either accidentally or intentionally.
Commonplace across the globe	42. Wildfires are common in many places in the world, particularly in climates where there is sufficient rainfall to allow the growth of brush and trees, but where there are dry periods when leaves and branches dry out and become highly flammable. Wildfires tend to be severe during years of drought and days when there are strong winds.
Urban fires	43. Urban fires often break out as the result of stoves placed indoors to generate heat. In densely packed urban environments fires can spread rapidly between structures.

<b>Introduction</b>	
Country level	1
Coordination	1
Participation 1.1	
Framework 1.2	
Activities 1.3	
Information 1.4	
Strategy 1.5	
<b>2</b>	
Strategy	2
Participation 2.1	
Planning 2.2	
Template 2.3	
Inputs 2.4	
Assessment 2.5	
Programme level	3
Assessment	3
Participation 3.1	
Assessment 3.2	
Tools 3.3	
Teams 3.4	
Implementation 3.5	
<b>4</b>	
Implementation	4
Participation 4.1	
Options 4.2	
Response 4.3	
Methods 4.4	
Coordination 4.5	
<b>Toolkits</b>	
Coordination T1	
Strategy T2	
Assessment T3	
Implementation T4	

Where the population has self-settled, be it in an urban, rural or camp option, there is likely to be less access to fire-protection lines.

Secondary hazards caused by other disasters

44. Fires are often caused by other hazards, such as earthquakes, lightning strikes during storms and ash following volcanic eruptions. Each cause often creates different patterns of fire and damage. In hazard-prone areas, local fire departments will often be able to advise on such patterns, as well as effective prevention and mitigation measures.

Fire risk in response

45. Transitional settlements such as self-settled camps often create a significant fire risk if adequate distances are not maintained between shelters to provide firebreaks. The use of fire retardant materials will help to slow the spread of fires, however, their impact may be marginal given the variety of materials usually present and the fire intensity.

Volcanoes 1%



46. Volcanoes are vents in the ground surface through which molten, liquid rock and associated gases and ash erupt, often leading to the formation of a conical mountain around the vent.

Pyroclastic flows

47. In addition to lava flows, significant damage from volcanic eruptions can be caused by pyroclastic flows of molten ash or lahars. Lahars are mud flows, often caused by rain and flooding, that pick up ash and other debris.

Secondary risks

48. The gas and ash released by volcanoes can also threaten people, animals, agriculture and property as the chemical compounds, which they contain can cause respiratory irritation, acid rain and injuries to animals that graze on vegetation coated with volcanic ash.

Damage to infrastructure

49. Volcanic ash can affect not only health but also motors and engines, especially for aircraft, interfering with assessments, the provision of critical services and the delivery of humanitarian assistance.

Protecting buildings

50. Buildings can be protected by ensuring that roofs can handle ash loads, such as through slopes or bracing, and by the placement of doorways away from the direction of likely wind and ash flows, to ensure evacuation routes are accessible.

Evacuation

51. Evacuation routes should be planned in advance and practised regularly through exercises.

Tsunamis 1%



52. Tsunamis are large waves caused by the displacement of undersea water by earthquakes, volcanic eruptions or coastal landslides.

Enormous force

53. The force of a tsunami can be tremendous, carrying boulders, trees, buildings and vehicles in its wake.

Warning systems

54. Tsunami warning systems have been developed, but are most effective in warning populations living in coastal areas some distance from where the tsunami originates; allowing

time for a warning to be issued and evacuation to take place.

Safe ground

55. Community shelters and critical infrastructure should be sited on areas of higher elevation or far enough inland not to be threatened by the tsunami, which can be up to 1.5 km inland, depending on the topography.

Evacuation

56. Evacuation routes should be planned in advance and practised regularly through community drills.

## Other hazards

Droughts and man made hazards

57. Other hazards include natural hazards, such as drought, as well as man-made hazards such as industrial hazards and conflict, which can often be combined with natural hazards.

- ▶ Droughts develop as a result of extended periods of dry weather and reduced availability of water. They can often result in large population displacements, particularly when assistance is being provided in centralised locations. Decentralised response strategies often have the best chance of supporting existing livelihoods and enabling quick recovery.
- ▶ The release or spill of hazardous materials into the environment may occur as the result of an emergency incident at a facility producing or storing them or as a secondary hazard resulting from damage to such facilities during a natural disaster.
- ▶ Situations of conflict and violence can serve to compound the risks from natural hazards and industrial or technological hazards and intensify the complexity of response efforts. In certain situations, however facing the challenges of responding to recent disasters or impending hazards can have a unifying effect on divided communities.

## The shelter sector, humanitarian reform and clusters

The shelter sector

58. These guidelines refer to the collective term the 'shelter sector', describing the activities of stakeholders in humanitarian shelter, settlement and reconstruction response after both small and large scale disasters.

Supporting coordination

59. In support of coordination after large scale disasters, a humanitarian reform process was implemented through the Inter-Agency Standing Committee (IASC). The reform process structures humanitarian response to large disasters in eleven 'clusters'.

Complex emergencies

60. In complex emergencies different coordination structures may already exist, but at the same time no coordination

### Introduction

#### Country level

1

#### Coordination

Participation 1.1

Framework 1.2

Activities 1.3

Information 1.4

Strategy 1.5

2

#### Strategy

Participation 2.1

Planning 2.2

Template 2.3

Inputs 2.4

Assessment 2.5

#### Programme level

3

#### Assessment

Participation 3.1

Assessment 3.2

Tools 3.3

Teams 3.4

Implementation 3.5

4

#### Implementation

Participation 4.1

Options 4.2

Response 4.3

Methods 4.4

Coordination 4.5

#### Toolkits

Coordination T1

Strategy T2

Assessment T3

Implementation T4

structure may exist, for example where a disaster has occurred where there is on-going conflict. Decision makers in complex emergencies should take into account that further challenges may exist when responding to a natural disaster, for example deciding how to engage government.

The core shelter sector clusters

61. The main clusters that support shelter, settlement and reconstruction activities are the:

- ▶ Emergency or Global Shelter Cluster
- ▶ Early Recovery Cluster(ERC)
- ▶ Camp Coordination and Camp Management (CCCM) Cluster

Other clusters that support shelter settlement and reconstruction activities include:

- ▶ Water Sanitation and Hygiene (WASH) Cluster
- ▶ Logistics Cluster
- ▶ Protection Cluster

Why these guidelines use shelter sector

62. The use of the collective term the 'shelter sector' in these guidelines enables support to:

- ▶ responses to the more numerous smaller disasters and some larger disasters where IASC clusters are not activated; and
- ▶ inter-cluster coordination, planning and implementation, which is a key recommendation in all reviews of the humanitarian reform process.

### The humanitarian reform process

Humanitarian response review

63. The humanitarian reform process was initiated in response to the IASC Humanitarian Response Review (2005). The review highlighted a number of shortfalls in humanitarian response and proposed that a more comprehensive, timely and needs based response could be achieved by targeting:

- ▶ predictability: in financing and leadership;
- ▶ accountability: at global level and national level to the affected population; and
- ▶ partnership: between UN, non-UN actors and the government.

The pillars of reform

64. The humanitarian reform process is implemented through:

- ▶ supporting the Humanitarian Coordinator (HC), responsible for effective leadership and coordination in humanitarian emergencies;
- ▶ supporting humanitarian financing so as to offer

adequate, timely and flexible mechanisms to secure funding; and

- ▶ initiating the 'cluster approach', to increase response capacity, sectoral accountability and predictability in leadership.

## Introduction

### Country level

1

### Coordination

Participation 1.1

Framework 1.2

Activities 1.3

Information 1.4

Strategy 1.5

2

### Strategy

Participation 2.1

Planning 2.2

Template 2.3

Inputs 2.4

Assessment 2.5

### Programme level

3

### Assessment

Participation 3.1

Assessment 3.2

Tools 3.3

Teams 3.4

Implementation 3.5

4

### Implementation

Participation 4.1

Options 4.2

Response 4.3

Methods 4.4

Coordination 4.5

### Toolkits

Coordination T1

Strategy T2

Assessment T3

Implementation T4

## The cluster approach

Implementing humanitarian reform

65. The cluster approach was adopted by the IASC in 2005 as one of the pillars of the humanitarian reform process, developed to strengthen humanitarian response by improving accountability, cooperation and capacity across all sectors in order to minimise the suffering of disaster affected populations.

What is a cluster?

66. A cluster refers to a group of stakeholders, with a common focus on a sector or service provided during a humanitarian crisis »1.1.

Global Cluster Lead Agency

67. The cluster approach improves on the past humanitarian response methods by encouraging the pooling of resources, and the sharing of expertise between organisations. Individual organisations are able to build on existing capacities and to provide more effective support to the government. Table i lists the current eleven clusters, each of which is led by a designated agency, referred to as the Global Cluster Lead Agency (GCLA).

Table i  
Eleven Global Clusters and Global Cluster Lead Agencies

Cross cutting issue	Global Cluster Lead agency
Agriculture	FAO
Camp Coordination/ Management	
▶ IDPs (from conflict)	
▶ Disaster situations	
Early recovery	UNDP
Education	UNICEF Save the Children
Emergency shelter	UNHCR IFRC (convener)
▶ IDPs (from conflict)	
▶ Disaster situations	
Emergency Telecommunications	OCHA/WFP
Health	WHO
Logistics	WFP
Nutrition	UNICEF
Protection	UNICEF
▶ IDPs (from conflict)	
▶ Disaster (civilians affected by conflict (other than IDPs)	
Water, sanitation and hygiene	UNICEF

Cluster approach benefits

68. The cluster approach offers:

- ▶ a forum in which all partners can participate with an equal voice and contribute to the formation of a single strategic plan;
- ▶ coordinated distribution of responsibilities, by consensus, reflecting capacities;
- ▶ predictability in response;
- ▶ transparent leadership and mutual accountability of partners;
- ▶ a system for synthesised information sharing amongst all partners; and
- ▶ joint assessment and prioritisation of needs, facilitating efficient resource allocation, effective project monitoring and continuing evaluation.

Cross cutting issues

69. In addition, there are four cross-cutting focal points. These consider topics relevant to multiple clusters and are led by pre-allocated Global Strategy Lead Agencies, as presented in the table ii. Additional cross-cutting topics requiring a focal point may be identified as necessary.

Table ii. Four cross-cutting issues and focal points

Cross-cutting issue	Global strategy lead agency
Age	Help Age International
Environment	UNEP
Gender	UNFPA WHO
HIV/AIDS	UNAIDS

Humanitarian coordinators.

70. HC are, at the request of the government, responsible for activation and coordination of a response. They are responsible for ensuring a principled, timely, effective and efficient response by leading and coordinating relevant organisations including the UN country team, NGOs and civil society organisations. The HC report to, and serve as representative in country of the ERC.

Emergency relief coordinator

71. The ERC is the chair of the IASC. It is responsible for the global coordination of humanitarian assistance and for the allocation of responsibilities between humanitarian agencies.

Choosing a framework for coordination

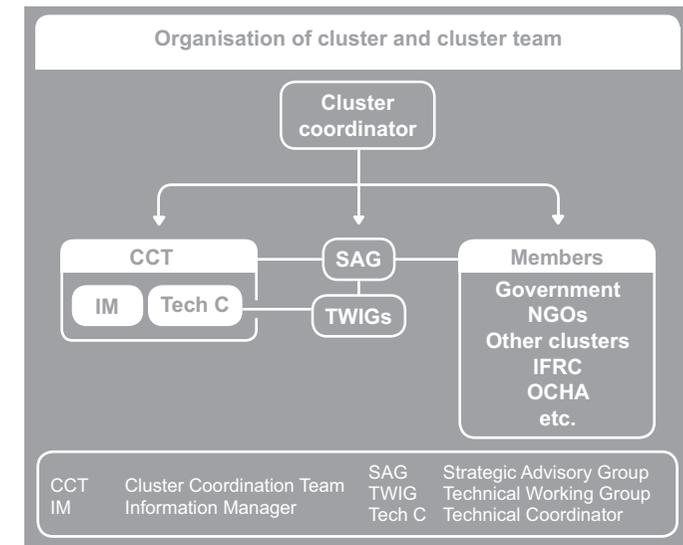
72. A specific framework for coordination must be agreed on for each country and situation. At the response level, the Cluster Lead Agency (CLA) is selected by the HC with approval by the ERC, and may differ from the Global Lead Agencies. The CLA is appointed based on an assessment of existing in country capacity and is responsible for bringing together all stakeholders in their cluster and for agreeing on a cluster strategy.

Inter-sector coordination

73. Each cluster must agree on a way of coordinating with the other clusters and with the wider response. This is achieved through the formation of a cluster coordination body, which meets regularly with the coordination bodies of other clusters to inform the wider, cross sector, coordination framework.

74. The diagram below illustrates the organisation of a cluster that enables an integration into the wider coordination framework. This is achieved through the formation of a cluster coordination body, which meets regularly with the coordination bodies of other clusters to inform the wider, cross sector, coordination framework »1.2.1.

Diagram iv Cluster Organisation



75. The primary responsibility of the cluster coordinating body is to organise and facilitate coordination meetings. These meetings are used as a forum in which to agree on the roles and responsibilities of each stakeholder and on methods of sharing and gathering information.

76. The cluster coordination body will often form and use coordination tools such as technical working groups, an information management group and a strategic advisory group to advise on specific topics »1.3.3.

77. Using these tools, the cluster coordination body must coordinate assessment, planning, mobilisation, support, liaison, monitoring, reporting and training activities »1.3.4.

78. Continuous execution of these activities will assist the identification of emerging needs and priorities, and facilitate

Introduction

Country level

1

Coordination

- Participation 1.1
- Framework 1.2
- Activities 1.3
- Information 1.4
- Strategy 1.5

2

Strategy

- Participation 2.1
- Planning 2.2
- Template 2.3
- Inputs 2.4
- Assessment 2.5

Programme level

3

Assessment

- Participation 3.1
- Assessment 3.2
- Tools 3.3
- Teams 3.4
- Implementation 3.5

4

Implementation

- Participation 4.1
- Options 4.2
- Response 4.3
- Methods 4.4
- Coordination 4.5

Toolkits

- Coordination T1
- Strategy T2
- Assessment T3
- Implementation T4

discussions for the development of consistent cluster strategies within the wider framework for coordination of emerging needs and priorities and facilitate discussions for the development of a shelter strategy within the wider framework for coordination.

### Why these guidelines use ‘sector’ and not ‘cluster’

79. These guidelines describe universal principals of humanitarian response for transitional settlement and reconstruction. They are intended for use in response to small and large scale disasters where the Cluster Approach is in place.

80. There are currently a number of countries where the Cluster Approach is not implemented, either due to the lack of a Humanitarian Country Team or because the government already has other coordination structures in place to respond to disasters.

81. These guidelines therefore use the term ‘sector’ as opposed to ‘cluster’ to imply a wider use, inclusive of, and extending beyond scenarios in which the Cluster Approach is used.

## Introduction

### Country level

#### 1

#### Coordination

Participation 1.1

Framework 1.2

Activities 1.3

Information 1.4

Strategy 1.5

#### 2

#### Strategy

Participation 2.1

Planning 2.2

Template 2.3

Inputs 2.4

Assessment 2.5

### Programme level

#### 3

#### Assessment

Participation 3.1

Assessment 3.2

Tools 3.3

Teams 3.4

Implementation 3.5

#### 4

#### Implementation

Participation 4.1

Options 4.2

Response 4.3

Methods 4.4

Coordination 4.5

#### Toolkits

Coordination T1

Strategy T2

Assessment T3

Implementation T4



# Coordination

# 1

Introduction

Country level

Coordination

Participation 1.1

Framework 1.2

Activities 1.3

Information 1.4

Strategy 1.5

2

Strategy

Participation 2.1

Planning 2.2

Template 2.3

Inputs 2.4

Assessment 2.5

Programme level

3

Assessment

Participation 3.1

Assessment 3.2

Tools 3.3

Teams 3.4

Implementation 3.5

4

Implementation

Participation 4.1

Options 4.2

Response 4.3

Methods 4.4

Coordination 4.5

Toolkits

Coordination T1

Strategy T2

Assessment T3

Implementation T4

82. Coordination is an activity which continues throughout the response to a disaster so that common decisions can be made and implemented to best serve the needs of the affected population. By coordinating efforts in response, gaps and overlaps can be avoided as can duplication of efforts. It is also a way of ensuring that the affected population can play a key role in decision making.

83. The purpose of coordination is to develop a single sector strategy for responding to the settlement and reconstruction needs of the affected population. These needs will change throughout the response and the mechanism established for coordination therefore needs to be flexible and adapt in order to offer appropriate support and assistance.



84. The structure of the chapter is as follows.

- 1.1 **Participation:** ensure that all stakeholders are involved and represented.
- 1.2 **Framework:** agreeing a structure for coordination.
- 1.3 **Activities:** establish and operate the shelter sector coordination body.
- 1.4 **Information:** manage information to assist response monitoring and to support decision making.
- 1.5 **Strategy:** synthesise information to facilitate strategic planning.

## Summary of why coordination is needed



Government

Governments are responsible for coordinating the response to a natural disaster in their territory and should:

- ▶ identify a national coordinator and establish a coordination structure;
- ▶ write terms of reference for the coordination groups to clarify participation; and
- ▶ identify focal persons to lead coordination groups at different levels.

The following points explain the value of coordination and how it benefits each group involved in the response.



Coordination is a service which brings together different stakeholders to make sure they are all assisting the affected population in the most efficient and appropriate way.

- ▶ Participate actively at community level.
- ▶ Provide information on needs, capacities and vulnerabilities.
- ▶ Identify representatives to talk to coordinating agency members and implementing partners.



The coordinating agency guides the strategy as it coordinates the discussions and agreements reached between the government, affected populations, humanitarian agencies and donors.

- ▶ Co-lead or support coordination meetings of the shelter strategy or policy.
- ▶ Maximise inclusion, representation, accountability, and the sharing and management of information.



The strategy steers implementing agencies as they develop programme and project plans to achieve the objectives defined in the strategy.

- ▶ Participate in coordination and the development and implementation of a common shelter strategy.
- ▶ Pro actively share information concerning the affected population and programme and project activities with coordinators.



- ▶ Participate in coordination meetings.
- ▶ Coordinate capacities to ensure resources are available throughout the response in an appropriate manner.
- ▶ Offer consistent support to the entire affected population.



- ▶ International peacekeeping forces, in accordance with the Oslo Guidelines, ensure that military operations are in line with government and humanitarian sector.
- ▶ When engaged by Government, the national military attends coordination meetings that could be used to resolve logistical issues or add capacity to the emergency response.



- ▶ Support emergency response with resources, skills and expertise.
- ▶ Attend coordination meetings to gain an understanding of gaps in assistance through the partnership with the humanitarian sector.

- Participation 1.1
- Framework 1.2
- Activities 1.3
- Information 1.4
- Strategy 1.5
- 2
- Strategy
- Participation 2.1
- Planning 2.2
- Template 2.3
- Inputs 2.4
- Assessment 2.5

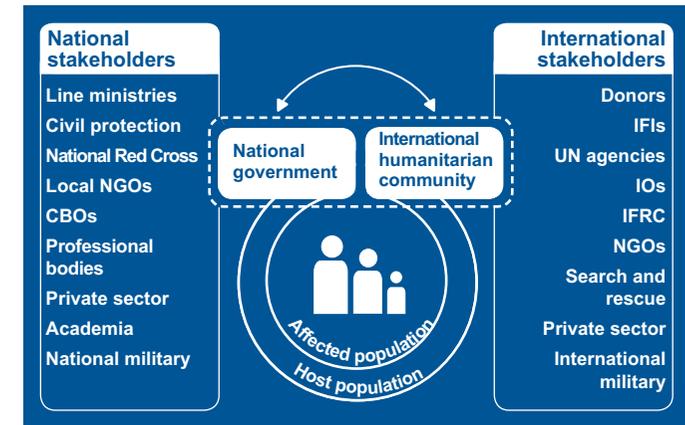
- 3
- Assessment
- Participation 3.1
- Assessment 3.2
- Tools 3.3
- Teams 3.4
- Implementation 3.5

- Participation 4.1
- Options 4.2
- Response 4.3
- Methods 4.4
- Coordination 4.5

- Coordination T1
- Strategy T2
- Assessment T3
- Implementation T4

85. Diagram 1.1 illustrates the different stakeholders that can be involved in a disaster response coordination activity. The sector coordination body is led by or co-chaired with national government, whenever possible »1.1.1.

Diagram 1.1 Stakeholders involved in a disaster response coordination activity



## 1.1 Participation

Participation

Navigation

Guidance

## Participation: ensure all stakeholders are involved and represented

86. This section offers guidance on which stakeholders participate in coordination in the shelter sector, what their roles and responsibilities are, why coordination is important to them and why it is essential to engage them.

87. Working together ensures that the affected population, government and all other stakeholders are included in the decision making process. Active and potentially active partners should be identified so that an appropriate shelter strategy, plan of action or policy can be developed »2.1.

### 1.1.1

Coordination mechanism

### Who participates in coordination?

88. Government is responsible for coordinating the response to a natural disaster and may make participating in the coordination mechanism a condition of participating in the response, for example by refusing to waive taxes on imports for organisations who attempt to work outside the coordination mechanism.

89. When no single stakeholder can have a significant life-saving impact, working together means that the needs of the affected population can be best met. Coordination makes it easier for international partners to participate in the response, recognises national capabilities and channels all the necessary resources for transitional settlement and reconstruction, so as

to achieve the agreed humanitarian objective. The final aim of coordination is to map and plan around available capacities and resources to be used to respond to the needs of the affected population and to facilitate their recovery.

90. Working together as partners is voluntary for humanitarian agencies and therefore participants must benefit from their involvement. Coordination must be inclusive, accountable and transparent in order to establish a credible background for the development of a response strategy. In responding to a large disaster, the following stakeholders should be invited to participate in the coordination mechanism:

- ▶ the affected population;
- ▶ the national and sub-national governments, including planning authorities, housing authorities, public works departments, any existing national emergency management authority and civil defence forces;
- ▶ international humanitarian and development organisations, such as the United Nations (UN) and Red Cross Movement;
- ▶ national and international non-governmental organisations (NGOs);
- ▶ international financial institutions (IFIs), such as the World Bank and regional development banks;
- ▶ governmental bilateral and multilateral donor agencies;
- ▶ international military and peacekeeping forces;
- ▶ private sector; and
- ▶ academia.



Strategy

Guiding principle 1, 'Strategy', describes coordination, which corresponds to a system on an equity-based approach and a clear focus on the vulnerable group. It is necessary for the reconstruction strategy to be inclusive, providing diverse solutions.

91. Following smaller disasters, fewer stakeholders may be present. Nonetheless the principles of coordination remain identical and all stakeholders responding to a disaster, however large or small, should be invited to participate in coordination in appropriate ways. In complex emergencies, different challenges may exist such as coordinating a disaster response in a conflict zone. Again, the principles of coordination remain the same however they may be difficult to implement, for example when there is no clear government structure in a civil war zone.



Stakeholders

Guiding principle 8, 'Stakeholders', states that "The contributions of non-governmental organizations (NGOs), civil society organizations (CSOs) and the private sector to reconstruction are critical. Besides managing core programs,

these entities provide technical assistance, advocacy, and financial resources of enormous value...".

### 1.1.2

Achieving agreement

Affected population



Community

National and sub-national government



Coordination

## What are stakeholder roles and responsibilities in coordination?

92. The responsibilities of the coordinating partners must be agreed upon, including how they are represented in decision making, how they participate in assessments, share information and develop a shelter strategy. These are summarised below.

93. Given that the aim of the response is to support the populations affected by the disaster, the capacities, needs and priorities of these populations should be represented centrally and the response should be accountable to them. Care must be taken not to politicise the process and initially participation may be achieved more practically at sub-national and community levels. Supporting representative roles and engaging responsibilities requires significant resources. Attention must be given to ensure that vulnerable groups are represented » T1.1.

Guiding principle 3, 'Community', describes the matter as one related to the empowering of an affected population by inviting members of the community to get directly involved in the reconstruction process.

94. Government is ultimately responsible for the management of the emergency within its territory. Many governments already have contingency plans and a national emergency management authority in place for responding to disasters. Where this is not the case, and depending on the scale of the disaster, government may establish a dedicated task force/s for response. Task forces created in post-disaster contexts should have a defined terms of reference which includes handing responsibilities back to line ministries when appropriate.

95. While the government has the mandate to lead the coordination of the response after a natural disaster, a coordinating agency may be appointed to lead the response when appropriate or required. When there is a non-governmental coordination body established following a disaster, the government should still be invited to chair or co-chair the mechanism » 1.2.1.

Guiding principle 5, 'Coordination', states that "...A lead agency should coordinate housing policy decisions and ensure that those decisions are communicated to the public. It should also establish mechanisms for coordinating the actions and funding of local, national, and international organisations...".

International humanitarian organisations

96. International humanitarian organisations, such as the UN, the International Red Cross and Red Crescent Movement and the International Organization for Migration (IOM) often lead the process through which participating stakeholders mobilise their resources, in order to respond to the immediate needs of the affected population, including transitional settlement and reconstruction programmes.

Non-governmental organisations

97. The national regulation of NGOs is often developed and supported by government and the international community in order to maintain accountability and an understanding of capacities. Such regulation is part of the coordination framework and promotes the participation of NGOs in coordinated response. The majority of NGOs active in countries following disasters are used to working on development projects and not humanitarian responses to natural disasters. However, the local knowledge of areas and populations, which they have, can be invaluable.

International financial institutions

98. The national government may approach IFIs, such as the World Bank, to negotiate reconstruction grants or loans or the restructuring of existing loans. These transactions involve borrowing and repayment between the government and the IFIs with no other external agency involved. However, other international agencies can join the IFIs as co-financers. IFIs should be involved in the coordination of the response as early as possible to ensure that no gaps are created between the shorter term provision of relief and the longer term process leading to recovery.

Donor agencies

99. Bilateral and multilateral donors commit resources for humanitarian needs as well as long-term recovery and reconstruction, in keeping with their own strategic priorities. An international donors' conference may be organised as soon as possible by the in-country coordination structure or at the international level, preferably within the first three months following a large-scale disaster or complex emergency.

National military

100. The government may decide to use the national military in post-disaster response. Maintaining large stockpiles of goods and having the capacity to deliver material even when roads are impassable, military forces may be able to carry out initial rebuilding of essential infrastructure much faster than other government units. Additionally, military presence might add a certain sense of security and stability to post-disaster situations.

International military and peacekeeping forces

101. International military and peacekeeping forces may be called upon to assist in response. These resources and expertise should be linked to the coordination framework. It should be made clear however, that any international military support requested is undertaken only in support of, and not

Summary stakeholder role in coordination:

parallel to, the primary humanitarian coordination mechanism »1.3; T1.3.1.

To summarise, all stakeholders engaged in coordination:

- ▶ participate in government/international coordination meetings;
- ▶ participate in and coordinate needs and damage assessments;
- ▶ develop and implement a coordinated strategy with other stakeholders;
- ▶ provide technical assistance and support capacity building, such as by agreeing upon appropriate standards, codes and zoning for building and spatial planning; and
- ▶ participate in and coordinate monitoring and evaluation of the response.

### 1.1.3

Working together in a rapidly changing context

Implications of poor coordination

Participation gaps

### Why is it important to participate in coordination?

102. In the aftermath of a natural disaster, decisions are made in a rapidly changing environment when staff turnover is high and the handover of responsibilities is common. In this rapidly changing context where it is more difficult to apply or reinforce legal frameworks, coordination ensures that any decisions made are commonly agreed and recorded. More importantly, working together ensures that these decisions are continually updated to keep the shelter strategy a live document.

103. To coordinate leads to gaps and bottlenecks, duplicated efforts, inefficient use of resources, out-of-date strategies, stakeholder frustrations, unrealistic expectations and impediments to the overall response that may result in inefficient or even failed implementation programmes.

104. Involving all stakeholders at every point in the response and at every level creates continual challenges. Participation gaps may widen and narrow due to external factors such as a rainy season, or through changing stakeholders, such as by the 'phases' created by the different mandates of responding international institutions. Planning should take these factors into account and prepare accordingly by factoring the effect into the shelter strategy.

105. An often overlooked gap in disaster response lies in the affected population's capacity to be itself involved in relief efforts. Although shock and stress tend to limit their involvement initially, considering the complete response period, the affected population usually contributes the largest part to the reconstruction.

**Planning gaps** 106. Participating stakeholders should avoid strategies phased around institutional mandates as they rarely coincide with the priorities of affected populations or governments. Poor or uncoordinated strategic planning may lead to unnecessarily high costs. Strategies should be consistent and integrated, from emergency to recovery. Rather than developing two or more plans, one continuous plan should be developed for an integrated response »2.2.2.

**Funding gaps** 107. Participating stakeholders should coordinate funding to avoid interruptions during the implementation of transitional settlement and reconstruction programmes. Plans should bring together and harmonise contributions from the humanitarian community and the IFIs, such as the World Bank, to ensure continuity »T1.3.5.a.

**#4 DRR** Guiding principle 4, 'DRR', states that "...Planning conservatively will help ensure that funds are sufficient to complete reconstruction and that timeframes are reasonable...".

**Implementation gaps** 108. Capacity and resources should be shared during implementation. Effectively managing these leads to a successful handover of implementation activities »1.2.2; S4.1.

**#9 Assessment** Guiding principle 9, 'Assessment', states that "Continuous assessment and monitoring can improve reconstruction outcomes. Assessment and monitoring improve current (and future) reconstruction...".

## 1.2 Framework: agreeing a structure for coordination

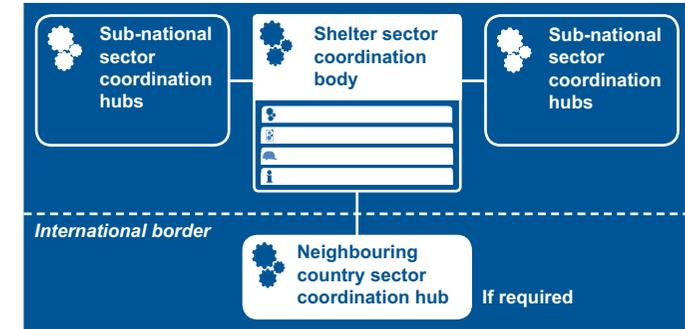
**Navigation** 109. This section offers guidance on existing coordination mechanisms and provides advice on how these mechanisms can be used to arrive at a single comprehensive and accountable framework.

**Guidance** 110. A coordination framework is a structure for collaboration that integrates and supports participation using a variety of methods, including committees, meetings, technical working groups and information management support. The coordination framework should take account of national as well as sub-national levels throughout the affected area, in order to facilitate decision-making processes and information sharing.

111. Governmental and humanitarian coordination structures often already exist. However, if these are absent or insufficient it will be necessary for the government and the humanitarian community to establish a single framework that combines, amends and integrates any existing mechanisms.

112. The diagram 1.2 below illustrates how this may be structured.

Diagram 1.2 Framework for combining, amending and integrating any existing mechanisms



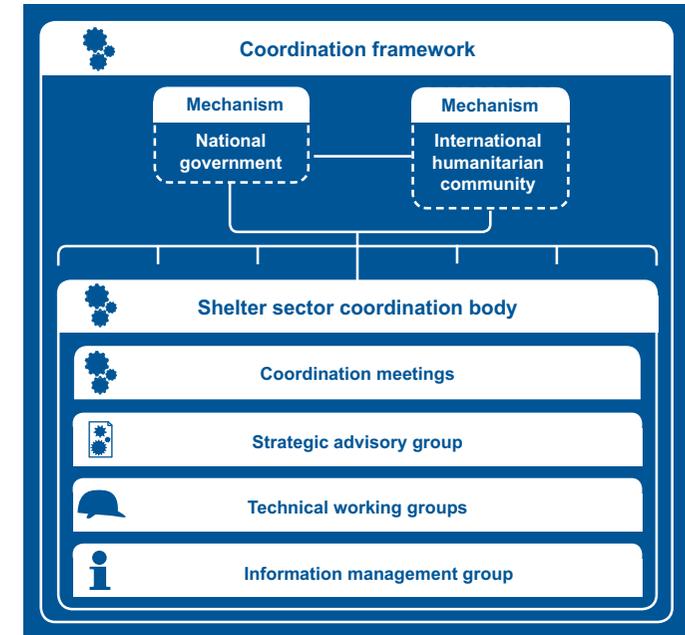
### 1.2.1

Frameworks for coordination

### How does the shelter sector coordinate with the wider response?

A framework should be agreed specifically for each country and situation. Within it, the shelter sector will need to agree on a way to coordinate with other sectors and the wider response by forming a shelter sector coordination body »1.1. An example framework for coordination including the shelter sector coordination body is presented in diagram 1.3.

Diagram 1.3 Coordination framework for integrated collaboration



## 1.2.2 What coordination mechanisms exist?

Coordination mechanisms

113. The participating stakeholders, as described previously »1.1, may have existing structures for post-disaster decision making. If such mechanisms exist, they should be integrated into the wider framework for coordination. The following summaries are offered of governmental and humanitarian mechanisms.

National emergency management authority

114. Government structures will vary considerably from one country to another. As previously highlighted, governments may create a task force to coordinate the humanitarian response in the aftermath of a natural disaster. The management authority may have an emergency or contingency plan in place and it may be able to anticipate specific problems associated with the natural disaster to expedite the overall response. It is also likely to have the most up-to-date information on the national capacity to respond to the emergency.

Local authorities

115. The political, administrative and legal systems in a country will determine the range and levels of local authorities, such as district, municipal, commune, etc. Each of these different levels of authority may have different technical, operational, financial or legal capacities in disaster management. Local authorities may play a significant role in promoting governance, wellbeing and the safety of the people, by developing plans, building community capacity and disaster risk management policies and initiatives. Effective coordination therefore relies on strong linkages and communication between national and sub-national levels of governments.

#6 Development

Guiding principle 6, 'Development', states that "Reconstruction is an opportunity to plan for the future and to conserve the past... Use planning and stakeholder input to set local economic and social development goals and to identify cultural assets for conservation...".

The international humanitarian community

116. The objective of humanitarian assistance is to alleviate human suffering and protect the lives, livelihoods and dignity of populations in need. After a natural disaster, the government may request the assistance of the international humanitarian community. In this case, a designated humanitarian coordination mechanism would be identified to support any existing national emergency management authority. This designated coordination mechanism could be an existing disaster management team or the Inter-Agency Standing Committee sector/cluster approach.

Disaster management team

117. A humanitarian disaster management team may exist in disaster-prone countries or be formed after a natural disaster, involving government. While country circumstances determine the structure of the disaster management team, it may include UN agencies and donor representatives, such as the

NGO coordination councils

IOM, major NGOs and the International Red Cross and Red Crescent Movement.

118. The collective needs and activities of the NGO community may be organised by coordination councils, groups, committees or bodies which are formed on an ad hoc basis. The shelter sector coordinator should encourage NGO bodies to participate in all meetings. Where NGOs are not brought together by specific councils or bodies, they may be coordinated by government and the international humanitarian community »1.1.2.

Donor coordination body

119. During the onset of a natural disaster it may be difficult for individual donors to access reliable information in a timely manner. In such circumstances it is likely that a donor council, or similar structure, will be formed to facilitate the flow of information between donors. Depending on the severity of the disaster, this coordination body may be sustained from emergency through to recovery. Donors should be encouraged to participate in all coordination meetings.

## 1.2.3

Achieving an integrated framework

## How can existing coordination mechanisms be combined into a framework?

120. Achieving common objectives agreed by a variety of partners is only possible through a single agreed coordination mechanism. The coordination mechanisms mentioned in the previous section need to be combined and integrated into a single unique framework that is representative of the particular disaster situation. This facilitates participation, impartiality, transparency and practicality for all involved »1.2.2. This framework should be flexible and responsive, recognising and reflecting changes in the participants' priorities and activities over the duration of the response.

Existing frameworks

121. Existing frameworks, or mandated frameworks, are based upon previously agreed relations among stakeholders, such as the government, the International Red Cross and Red Crescent Movement, or the UN »1.2.2. These frameworks may be suitable for the wider response.

Ad hoc frameworks

122. If, however, the coordination mechanisms cannot be brought together within an existing framework or the existing frameworks are not suitable for practical or political reasons, then as mentioned above, an ad hoc framework should be established. These often involve the same members as when there are existing frameworks but in a manner more suited to the unique nature of the response. Whether existing or ad hoc, all participants will need to agree on the framework for coordination and continually evaluate it.

### 1.2.4

Support displaced and non-displaced populations



Relocation

Coordinate between government, humanitarian community and IFIs

Coordinate appeals and fundraising

Avoid phased coordination and strategies

## How can the framework for coordination help achieve an integrated response?

123. The coordination framework supports both displaced and non-displaced affected populations in parallel and it should therefore be adapted to, and support the choice of location and of settlement and reconstruction solutions made by the affected population. This should be reflected in the assistance methods chosen and how they can be applied to the different settlement and reconstruction options and the movement between them as people optimise their recovery »T4.2.

Guiding principle 7, 'Relocation', states "Avoid resettlement unless it is the only feasible approach to disaster risk management. If unavoidable, keep to a minimum, involve the affected community in site selection, and provide sufficient budget support to mitigate social and economic impacts for a sufficient period of time ".

124. Consensus should be found for both a single primary coordination framework and a single primary strategic planning process. This agreement should recognise that despite governments, humanitarian stakeholders, such as the International Red Cross and Red Crescent Movement and the UN, and IFIs, such as the World Bank, having different methods for developing their own plans of action and coordinating implementation, it is important for them to be consistent with a single primary coordination framework and a single shelter strategy.

125. Coordination frameworks are linked to appeals processes and fundraising. Emergency funds are essential to expedite the initial response. These funds must not, however, result in the creation of artificial planning horizons that reflect funding deadlines instead of the changing needs of the affected population »T3.2.b. Care should be taken to identify and mitigate conflicts of interest between coordination, planning and fundraising processes. Strategies should be based upon an agreed common goal to support the entire affected population and are not reduced to annual lists of budgets for programmes »T1.3.5.

126. While acknowledging that organisations work under institutional constraints, mistaking response as a series of consecutive phases can fragment activities that should occur in parallel, compound institutional differences between government and the humanitarian community and complicate consistent support to the affected population. Donors should attempt to minimise the creation of phases as a consequence of their internal funding mechanisms, for example funding only for 'emergency' or 'reconstruction', leaving recovery undefined. Coordination with donors to avoid the creation of artificial phases should occur as early as possible to ensure consistent and timely funding.

### 1.3

Activities

## Activities: establish and operate the shelter sector coordination body

Navigation

127. This section provides information on the shelter sector coordination body within the wider response; the composition of the team; the main tools in terms of a strategic group, technical group and information management group »1.3.3; the main activities to undertake »1.3.4; and the role of financial planning in sector coordination »1.3.5.

Guidance

128. The shelter sector coordination body is usually hosted by a single appointed sector lead agency, which may have committed additionally to act as a provider of last resort, offering support when other sector partners are unable to do so. It is responsible for bringing together shelter sector stakeholders and agreeing and implementing a common shelter strategy, integrated within a wider coordination framework »1.2.

### 1.3.1

12 steps for establishing the coordination body

## Why and how is the sector coordination body established?

129. A single shelter sector coordination body should engage and support a common framework for response. Every humanitarian response should link its efforts firmly with local capacities and ensure the involvement of national and local authorities, state institutions, local civil societies and other relevant stakeholders, such as the private sector and peacekeeping forces. It is for the sector coordination body to determine these capacities, needs and priorities throughout the response. A lack of understanding of the value of coordination, sometimes combined with competing demands upon resources, may result in the coordination body not having the capacity it needs, which can have profound impacts on the speed, appropriateness and efficiency of the response.

130. Establishing the shelter sector coordination body must involve broad consultation, as the body must be representative and must reflect the unique nature of each response. The following twelve steps have been identified for establishing coordination bodies »T1.3:

1. describe the relationship between government and humanitarian coordination mechanisms and strategic planning process »2.1.1;
2. organise a series of meetings to enable all stakeholders to communicate information and to identify gaps and overlaps;
3. establish a strategic advisory group »1.3.3;
4. establish appropriate technical working groups »1.3.3;

Introduction

Country level

Coordination

Participation 1.1  
Framework 1.2  
Activities 1.3  
Information 1.4  
Strategy 1.5

2

Strategy

Participation 2.1  
Planning 2.2  
Template 2.3  
Inputs 2.4  
Assessment 2.5

Programme level

3

Assessment

Participation 3.1  
Assessment 3.2  
Tools 3.3  
Teams 3.4  
Implementation 3.5

4

Implementation

Participation 4.1  
Options 4.2  
Response 4.3  
Methods 4.4  
Coordination 4.5

Toolkits

Coordination T1

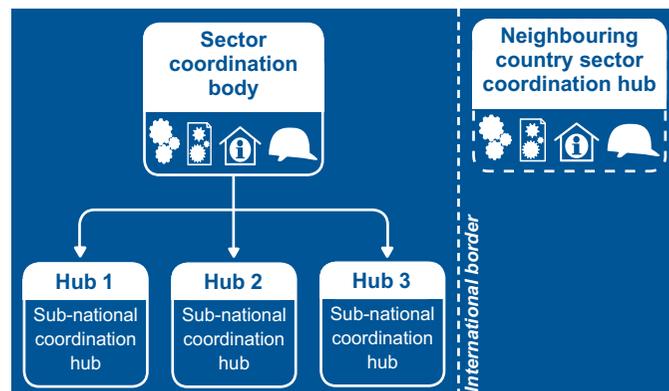
Strategy T2  
Assessment T3  
Implementation T4

5. agree on the information management requirements and develop appropriate services and tools to meet those requirements » 1.3.3;
6. ensure that the sector coordination body reflects changes in the capacities of stakeholders and the engagement of development partners;
7. secure commitments to respond to needs and to fill in gaps from the participating stakeholders; also ensure an appropriate distribution of responsibilities within the shelter sector coordination body by clearly defining focal points for specific issues where necessary;
8. list participating stakeholders in the shelter sector coordination body and describe and allocate main roles for each of them;
9. agree on the public information approach to link with other sectors to offer timely consultation and advice;
10. approach other sectoral coordination bodies within the coordination mechanism;
11. agree on a budget for developing and maintaining the plan; discuss how the budget will be met and the degree of accountability required; ensure donors are involved and informed of funding needs; and
12. monitor, evaluate and report on changing needs within the response and adapt shelter sector coordination meetings accordingly.

131. The diagram 1.4 presents a structure that allows for extended support in an area. The sector body is usually based either in the national or sub-national capital or as close as possible to the affected area. Additional units or hubs should be established throughout the affected area, for example in proportion to the extension of the affected area, the density of damage or to the density of displaced persons. Such support should strengthen national and sub-national government capacities and existing coordination structures and partners.

Extending support throughout the affected area

Diagram 1.4  
Extending coordination support throughout the affected area



### 1.3.2

## What team is required in the sector coordination body?

Developing teams

132. The sector coordination body requires a dedicated team, ideally including representatives from government as well as humanitarian specialists. The size of this team may vary, depending upon the scale of the response. One person could take multiple roles in a small emergency while for a large response, further teams may be required for sub-national units, reporting to the central body.

Team responsibilities

133. The coordination team seeks to offer and support:

- ▶ leadership in preparedness, response and recovery;
- ▶ partnership with other sectors to prevent and reduce shelter related morbidity and mortality and to support recovery;
- ▶ evidence based actions, filling gaps in capacity and sound coordination; and
- ▶ accountability, predictability and the effectiveness of transitional settlement and reconstruction solutions.

Team roles

134. The terms of reference of each member of the team will be specific to each response. However, there are three common roles: the sector coordinator, technical specialist and information manager.

Sector coordinator

135. The coordinator co-chairs together with his governmental counterpart, whenever possible, meetings, co-leads the development of a shelter strategy and manages the coordination team, including the information management tools requested by members. The coordinator must ensure all possible efforts and initiatives have been undertaken in filling gaps and agreeing priority needs. He ensures the efficiency and impartiality of any meetings and should call on local and international partners for additional donor commitment where necessary. When organising a series of meetings, the coordinator should ensure they are efficient, chaired impartially and that best use of participants' time is made following an agreed agenda » T1.3.2.d.

Technical specialist

136. The technical specialist, also referred to as the technical advisor or technical coordinator, ensures the establishment and the proper working of technical working groups, including sub-working groups at the national level, as requested by the coordinator » T1.3.3.

- Participation 1.1
- Framework 1.2
- Activities 1.3
- Information 1.4
- Strategy 1.5
- 2
- Strategy
- Participation 2.1
- Planning 2.2
- Template 2.3
- Inputs 2.4
- Assessment 2.5

- 3
- Assessment
- Participation 3.1
- Assessment 3.2
- Tools 3.3
- Teams 3.4
- Implementation 3.5
- 4
- Implementation
- Participation 4.1
- Options 4.2
- Response 4.3
- Methods 4.4
- Coordination 4.5

- Coordination T1
- Strategy T2
- Assessment T3
- Implementation T4

Information manager

137. The information managers should facilitate inter-stakeholder and inter-sector linkages, including collating risk mapping and identifying gaps to assist stakeholders with the development of strategic planning and progress in decision making. A communication strategy should be developed with the government for disseminating information to the affected population. In addition, the use of appropriate information technology should be promoted, such as Geographic Information Systems (GIS) and website tools among stakeholders, at central and local levels, and information disseminated in the official language of the country as soon as possible »1.4.

### 1.3.3 What tools can the sector coordination body use?

Coordination tools

138. The shelter sector coordination body often uses three main tools to coordinate, which are summarised here and explained in detail below:

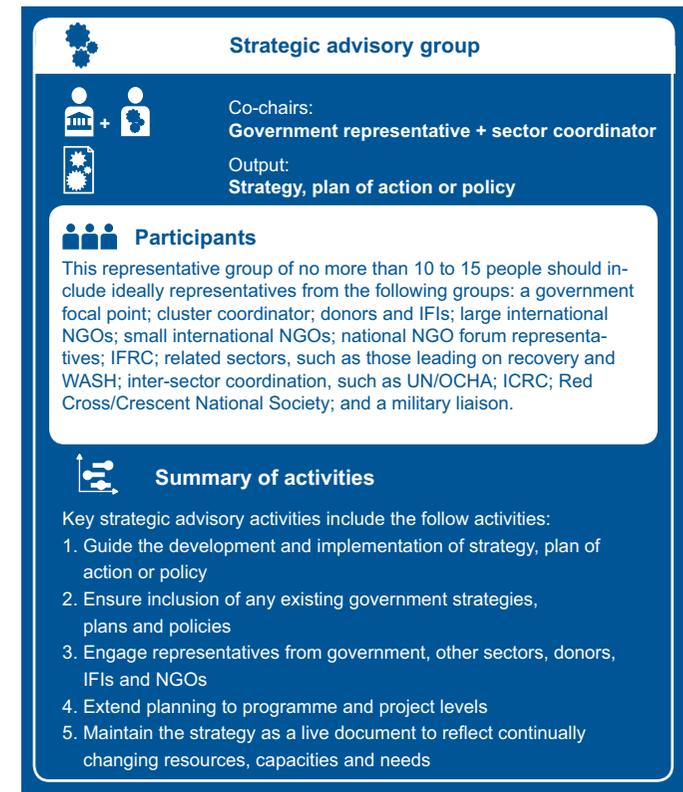
- ▶ a strategic advisory group, which helps developing and keeps the shelter strategy up-to-date;
- ▶ technical working groups, which present proposals for standards, transitional building codes and information management activities to the coordination meetings and government; and
- ▶ an information management group, which ensures timely sharing of reliable and relevant evidence through joint information systems.

Strategic advisory group

139. The role of a strategic advisory group is to support government on the development, maintenance and implementation of a shelter strategy. This participatory process will confer ownership, legitimacy and applicability to the activities of the group, while maximising participation within the constraints of the rapidly changing context to the response. »T1.3.1.c.

Diagram 1.5 Strategic advisory group: structure and activities

140. The diagram 1.5 summarises the structure and activities of a strategic advisory group. The group should, whenever possible, be co-chaired by a government representative and the coordinator of the sector body. This representative group of no more than ten to fifteen people should include ideally representatives from the following groups: a government focal point; sector coordinator; donors and IFIs; large international NGOs; small international NGOs; national NGO forum representatives; related sectors, such as those leading on recovery and Water, Sanitation and Hygiene (WASH); inter-sector coordination, such as UN/OCHA; International Red Cross and Red Crescent Movement; and a military liaison »2.1.2; T1.3.1.c.



Technical working groups

141. Working groups are often formed to support the consideration of specific or technical aspects of coordination, such as the development of appropriate building standards and codes. A number of working groups may be formed, often chaired by the technical specialist, responding to needs as they are identified within the coordination meetings »T2.2.

- Participation 1.1
- Framework 1.2
- Activities 1.3
- Information 1.4
- Strategy 1.5
- 2
- Strategy
- Participation 2.1
- Planning 2.2
- Template 2.3
- Inputs 2.4
- Assessment 2.5

- 3
- Assessment
- Participation 3.1
- Assessment 3.2
- Tools 3.3
- Teams 3.4
- Implementation 3.5
- 4

- Participation 4.1
- Options 4.2
- Response 4.3
- Methods 4.4
- Coordination 4.5

- Strategy T2
- Assessment T3
- Implementation T4

142. The diagram 1.6 summarises the structure and common activities of a technical working group. Technical working groups should comprise government and humanitarian representatives, appropriate to the function of each group, ensuring that the beneficiaries of the technical specialisation are included as well as the specialists, for example for: GIS, risk mapping, urban planning, registration, damage assessment, structural engineering, environmental impact, WASH, gender and age.

Diagram 1.6  
Technical working groups: structure and activities



Information management group

143. Information management requires a dedicated team to ensure timely acquisition and the sharing of reliable and relevant data to all relevant stakeholders »1.4. The affected population and government both need information, in addition to the humanitarian community and donors, and care is required in order to avoid undermining relations, prevent misunderstandings and manage expectations. Information management improves inclusion and accountability. Both donors and the media require accurate and up-to-date information on progress, which can also be used to highlight the successes of individual partners within the sector. Information on the affected population, continuing hazards and damage levels need to be monitored constantly. The primary source

of this information will be government and the sector partners themselves.

144. The diagram 1.7 summarises the structure and activities of an information management group. As depicted, the group usually comprises an information manager, at least one data manager and at least one GIS manager. The group should also comprise government and humanitarian representatives to ensure that the beneficiaries of the technical specialisation are included as well as the specialists, whose expertise may be in databases, statistical analysis, website content management, registration, migration, damage assessment and hazard mapping. Consideration must be given from the outset to sustainability and handing over to government both the information and information management system, which often requires capacity building.

Diagram 1.7  
Information management group: structure and activities



### 1.3.4

Key activities

### What team is required in the sector coordination body?

145. A number of activities should be undertaken to achieve an integrated shelter strategy. The first step towards a coordinated response is to attend, or in the case of the sector coordinator, organise and facilitate, coordination meetings, at both national and sub-national levels.

Sector coordination meetings

146. The diagram 1.8 summarises the structure and activities of a coordination meeting. Inclusion and attendance will depend on the quality of the meetings and the support services they offer. Meetings can be the most important way of engaging with participants and achieving consensus. They should take place throughout the response, usually more than once a week during the first month.

Diagram 1.8  
Coordination meetings: structure and activities



Other activities

147. Those coordinating and those coordinated should agree roles and responsibilities and methods of gathering and sharing information in meetings. Participants should be supported through a process which starts by mapping and sharing useful information and then continues to stimulate and support cooperation within and between stakeholders in order to add detail and complete the mapping of the needs. Meetings assist in identifying gaps left and that the integrated shelter response strategy must finally fill. Considerable preparation by the sector coordination team is required, especially by the information managers, for example compiling statistics on the affected population and damage »1.4.2; T3.2.

### 1.3.5

#### How does financial planning affect transitional settlement and reconstruction strategies?

Assessing requirements

148. Affected by a large-scale disaster, the national government of a country seeks to mobilise resources for recovery and reconstruction. The damage and loss assessment »3.2; T3.7.a

Introduction

Country level

Coordination

- Participation 1.1
- Framework 1.2
- Activities 1.3
- Information 1.4
- Strategy 1.5

2

Strategy

- Participation 2.1
- Planning 2.2
- Template 2.3
- Inputs 2.4
- Assessment 2.5

Programme level

3

Assessment

- Participation 3.1
- Assessment 3.2
- Tools 3.3
- Teams 3.4
- Implementation 3.5

4

Implementation

- Participation 4.1
- Options 4.2
- Response 4.3
- Methods 4.4
- Coordination 4.5

Toolkits

Coordination T1

- Strategy T2
- Assessment T3
- Implementation T4

Responsibility of government

conducted after the disaster provides a basis for estimating resource requirements. These requirements are met through international assistance as well as national resources.

149. Governments seek to meet the cost of transitional settlement and reconstruction through several international funding mechanisms as well as national sources. This process must be coordinated »1.2.4, based on assessment, and international appeals launched as quickly as possible »T1.3.5.a.

Affordable assistance

150. The cost of transitional settlement and reconstruction programmes is often added to the national debt burden. Careful planning is therefore required to raise resources following a major disaster. Many financial tools and mechanisms are required to undertake transitional settlement and reconstruction in a feasible and affordable way »T1.3.5.

International assistance

151. Disaster-affected countries seek international assistance with financial resources »T1.3.5.a as well as technical expertise. Stakeholders involved may comprise UN agencies, IFIs, multilateral and bilateral donors and international NGOs. The flow of assistance to these countries is guided by assessment of loss and damage, and appraisal of transitional settlement and reconstruction needs »4.2; T3.2. The flow of resources is more timely and accountable when national authorities and international agencies coordinate their efforts for response, while developing consensus on the use of knowledge and expertise »1.2.2.

Activities and mechanisms

152. National governments may request IFIs to provide emergency lending assistance. International NGOs raise their own resources and contribute to the programme through their national and local counterparts. The Consolidated Appeal Process (CAP), donors' conferences, and multi-donor trust funds (MDTFs) have emerged as important mechanisms through which international agencies and national authorities coordinate for financial resource planning »T1.3.5.a.

Monitoring assistance

153. Implementing and coordinating agencies have different systems for monitoring resources and tracking where funds are being implemented. In order to monitor the financial progress of international resources, financial tracking systems (FTS) are often used, such as the FTS developed and managed by UN/OCHA. Donors and implementing agencies can use the FTS system to understand and follow where and how resources are being deployed »T1.3.5.d.

Limited insurance coverage

154. The insurance coverage for disaster losses is often inadequate in developing countries, and in some developed countries, especially for members of the affected population who do not own property. The limited coverage of insurance companies often places the burden of responsibility on

government to provide financial assistance for populations affected »T1.3.5.b.

Family resources

155. Families also need to find their own resources, to rebuild their homes and assets, and to revive their livelihoods. The assistance they receive from the implementation of the strategy may not be adequate. Families may pool available resources, including their savings, remittances from relatives or friends living abroad and loans. In only a small number of cases, families benefit from insurance pay-outs »T1.3.5.c. Families' access to finance is thus an important indicator »T3.3.a of their resilience when faced with a disaster »T3.2; T3.8.b.

A partnership with NGOs and the private sector

156. The private sector and NGOs may establish partnerships with the government for implementing the strategy. They may raise resources on an ad-hoc basis, which they commit either independently or in partnership with government. These may be supported by contributions from private citizens, the private sector and humanitarian donors »1.1.1; 1.2.2.

## 1.4 Information: manage information to assist response monitoring and to support making

Navigation

157. This section offers guidance on information management and the importance of using continually updated and demanded information to inform the affected population, government and other stakeholders when planning and implementing a response.

Guidance

158. The management of information carried out in support of coordination processes ensures that everyone is working with the same or complementary information and baseline data, such as who in the population is affected and where they are »3.1. Properly collected and managed information underpins the shelter strategy and furthermore benefits the emergency response, recovery, development and disaster preparedness activities. The coordination team collates, disseminates and monitors much of the basic information that will inform both the affected population and the decision makers planning and implementing the response.

### 1.4.1 How to communicate with the affected population?

Importance of communication

159. In post-disaster situations, the challenge of constantly changing needs can make communication with the affected population challenging. Two-way information flow facilitates the response and limits the potential for setbacks and misunderstandings. Good communication ensures understanding and participation from the affected population, government and other stakeholders. Communication is the

Information for responding stakeholders

basis of coordination, which should be maintained across the entire area of response to assess coordination services required, disseminate and review the strategy and build sustainable coordination capacity.

160. Responding stakeholders also require the management of information, such as:

- ▶ the changing location of the affected populations;
- ▶ the location and levels of damage to buildings and infrastructure;
- ▶ risk mapping;
- ▶ security and access, including transport infrastructure and goods handling capacities;
- ▶ the nature and size of capacities and resources, such as that of markets and the construction industry;
- ▶ appropriate law, such as building codes;
- ▶ land use, cadastre and mapping; and
- ▶ developments in strategic, programme and project planning.

Information for the affected population

161. Much of the information for the affected populations will be offered through government and responding stakeholders, rather than central information management, which often focuses more on eliciting and collating information. Information packs may be offered through local authorities. Posters and leaflets may also be used to communicate key messages. In addition, committees, workshops and trainings can offer methods to gather and disseminate information. Dedicated information centres may also be set up to support specific activities such as registration or assessment »T1.4.

162. The affected population and host communities should be provided with the following information:

- ▶ risks from ongoing and new hazards, including which areas are safer, what actions can be taken to mitigate risk and any early warning and evacuation measures available;
- ▶ special provisions for vulnerable groups and individuals;
- ▶ how to participate in the planning and implementation of the response, such as through committees;
- ▶ how to represent themselves to government and other responding stakeholders and the accountability of those stakeholders;
- ▶ how to find out what the shelter strategy or policy means for them and how to gain access to the assistance offered;
- ▶ the other services offered by government and

stakeholders, such as advice on how to claim legal aid in security land rights;

- ▶ good practice, such as risk reduction in reconstruction or in environmental resource management; and
- ▶ economic opportunities, working directly or for the construction industry.

Public information campaigns and outreach programmes

163. As reconstruction usually takes months or years, the opportunity should be taken to develop a public outreach programme to support realistic expectations, risk reduction, preparedness and early warning. More importantly, public information and outreach programmes engage the affected populations in community-based reviews to drive their own planning processes. External decision making is only acceptable when extreme speed is required to save lives. Public information campaigns and outreach programmes should be developed and brought together to form a communication strategy.

164. The communication strategy should be implemented using all media available, such as radio and television stations, newspapers, trainings, and workshops where participating stakeholders, especially the affected and host populations, are brought together. Information packs may be offered through local authorities. Posters and leaflets may also be used to communicate key messages. Dedicated information centres may also be set up to support specific activities such as registration or assessment » T1.4.

Local groups

165. Local groups at sub-national or community levels are often formed to facilitate the two-way flow of information. They help to extend coordination and planning to all affected populations, across the entire affected area, and to include vulnerable groups. Communication also supports representation mechanisms, through local groups, to allow access to decision-making structures and to support accountability, systems of redress, complaint and arbitration, and rights and protections of the vulnerable groups. Managing the expectations of the affected populations can be achieved through the development of a public information strategy.

## 1.4.2 How to manage information?

Managing information

166. Information may be managed in four stages: agreeing what information is needed; collecting the information; collating and analysing the information; and disseminating information to those who need it » T1.4. Effective information management services must be linked to the coordination mechanisms and include both national and sub-national levels. As a service, information management requires the participation of all response partners, access to sufficient resources and the

means necessary to reach all affected populations and areas » 2.1.3.

Identify who is doing what and where

167. The identification of needs and access to the affected populations is facilitated in the coordination meetings. Information products such as the location and condition of the affected populations should also be developed and implemented. A number of tools exist to assist this identification, such as the Rapid Village Assessment (RVA) tool and the “Who is doing what and where?” tool. These can assist the development of maps to inform decision making within the coordination framework » 3.2.

IM technologies

168. The selection of technologies should be made in order to maximise both the number and range of stakeholders and to ensure that information and knowledge from the response can be captured, retained and used for reducing future risks by affected populations, after the coordination framework has been dismantled. If sufficient outreach is not ensured, the information sharing and management technology should be changed and made appropriate to the specific situation. For a successful response all stakeholders must have access to all information and technological discrimination must be prevented and avoided.

1.5 Strategy



## Strategy: synthesise information to facilitate strategic planning

Navigation

169. This section offers guidance on using coordination to support the development and maintenance of a strategy including information on the planning team. Chapter 2 explains how to develop a shelter strategy » 2.3.

Guidance

170. The role of coordination is to provide a service to stakeholders which allows them to draw on common analysis of the disaster situation in order to draft a single, coherent shelter strategy that will be continually updated to reflect the changing needs, capacities and resources of the affected populations and stakeholders. Coordination not only provides the framework within which a shelter strategy is developed but also the tools and services required to maintain, monitor, evaluate and implement the strategy.

1.5.1

Coordination and strategic planning

## How does coordination facilitate strategic planning?

171. Coordination facilitates strategic planning by ensuring participation and engagement of all stakeholders including the ability to share gathered information which is then brought together to facilitate decision making and achieve consensus over a common goal.

Synthesise information

172. Synthesising information contributes to an integrated response and provides a higher level of clarity among strategic, programme and project plans. The ability to share knowledge, particularly regarding technical issues, such as building codes and disaster risk reduction, assists the implementation of activities in a sustainable manner »T1.

Importance of coordination and strategic planning

173. A comprehensive and predictable response is dependent on thorough strategic planning. It draws upon the different mandates, operational capacities and expertise of all stakeholders, pooling their efforts to ensure a smooth implementation of all relief efforts. Coordination and strategic planning should happen simultaneously, and should establish the baseline needs of the required shelter response. As the disaster situation changes daily and requires constant review of baseline needs, information management systems should reflect these changes to enable all responding stakeholders to adapt their response efforts appropriately.

Planning team members

174. Some members of the shelter sector coordination body »1.3.1 will participate in the strategic planning process. Planning at strategic, programme and project levels will require a certain degree of expertise. In order to engage this expertise, plans should be developed through a strategic advisory group, a technical working group and information management team »1.3.3.

- Participation 1.1
- Framework 1.2
- Activities 1.3
- Information 1.4
- Strategy 1.5

- Participation 2.1
- Planning 2.2
- Template 2.3
- Inputs 2.4
- Assessment 2.5

- Participation 3.1
- Assessment 3.2
- Tools 3.3
- Teams 3.4
- Implementation 3.5

- Participation 4.1
- Options 4.2
- Response 4.3
- Methods 4.4
- Coordination 4.5

- Strategy T2
- Assessment T3
- Implementation T4

## Case study: Mozambique Floods 2000

In 2000, a series of tropical storms caused six major river systems in Mozambique to flood. Around 4.5 million people were affected and 650,000 were displaced. A major flood occurred again the following year, affecting 500,000 and displacing 223,000 people.

Good practice

**As numerous humanitarian organisations arrived to assist in 2000, the government of Mozambique coordinated the response by holding daily meetings. Effective coordination initially impacted the health sector, limiting the spread of cholera and malaria. The later floods in 2001 were farther north, where the resources of the government disaster management agency were less strong, but as humanitarian organisations had developed and maintained contacts in the country, the overall response was still of a good standard.**

Challenges

**The provision of housing during the recovery period was successful, although there were gaps even with a well-coordinated response at international level. The National Institute for Disaster Management (INGC) coordinated the reception and distribution of assistance, however, some organisations at local level did not participate in this coordination, instead, deciding themselves which communities were in need. Whilst the quality of housing provided during recovery was generally of a higher standard than prior to the floods, no standard plan for house construction meant that standards varied considerably, and some agencies failed to provide sanitation facilities.**

**The floods aggravated poor land management practices that had been in place before the disaster, resulting in insecure land and housing tenure and a lack of adequate technical and legal backing (Paraphrased from the World Bank).**

- ▶ Cooperation between humanitarian organisations and the government disaster management agency led to generally coherent strategic planning and a more efficient and equitable distribution of resources.
- ▶ Cross-sector coordination and activities prevented gaps and ensured capacity within the process to reduce shelter-related morbidity and mortality.
- ▶ Funds were mobilised and channelled to provide technical support for a common objective, which offered a direction in preparedness, response and recovery.

- ▶ Even though the provision of housing during recovery was successful, gaps were detected in the coordinated response between national and local levels.
- ▶ Challenges in the engagement of expertise and the correct definition of building codes for housing construction led to failures in consistency and in some cases an absence of parallel support to water and sanitation.
- ▶ Challenges in the development of a legal framework and relevant standards led to land disputes in the allocation of housing and development of new settlement.

### Cross-cutting issues and other sectors



Gender

- ▶ Coordination should be used to address the gender dimension of humanitarian responses and ensure effective gender-targeted programming, the exchange of information and collaboration among stakeholders.
- ▶ The relevant international and national bodies specialising in dealing with gender issues should be consulted during coordination in the aftermath of a natural disaster. These organisations are most aware of the critical gender issues, local conventions and how to incorporate them in the coordination strategy.



Age

- ▶ Standardised data collection systems facilitate effective coordination and to ensure appropriate allocation of resources. For example, the needs and capabilities of a 6-year old are often starkly different to those of a 60-year old.
- ▶ Programme coordinators need to ensure that younger field workers are sufficiently sensitised to all the issues surrounding older people so that their work does not further alienate or marginalise the senior members of the affected populations.
- ▶ Patience and respect are crucial to working successfully with older members of the affected populations and representative stakeholders.



Communicable diseases

- ▶ Issues concerning communicable diseases can be addressed in coordination by raising the awareness and motivation in decision makers.
- ▶ Capacity of stakeholders working with people living with communicable diseases should be strengthened, for example HIV/AIDS or malaria, by vector control, disseminating relevant information and facilitating provision of technical assistance.



Environment

- ▶ Failure to address environmental issues in coordination can deteriorate natural resources and cause irreversible damage to public health and the economy.
- ▶ Coordinating activities around environmental policy and initiatives can help develop a common and informed understanding of the environmental consequences of the response to a natural disaster.



Inter-sector linkage

- ▶ An integrated response can only be achieved through inter-sector linkages. The coordination framework plays an important role in this regard. The shelter sector coordinator should share information with other sectors to ensure roles and responsibilities are clearly defined and gaps and overlaps avoided.

- Participation 1.1
  - Framework 1.2
  - Activities 1.3
  - Information 1.4
  - Strategy 1.5
- 2
- Strategy
- Participation 2.1
  - Planning 2.2
  - Template 2.3
  - Inputs 2.4
  - Assessment 2.5

- Assessment
- Participation 3.1
  - Assessment 3.2
  - Tools 3.3
  - Teams 3.4
  - Implementation 3.5

- Participation 4.1
- Options 4.2
- Response 4.3
- Methods 4.4
- Coordination 4.5

- Strategy T2
- Assessment T3
- Implementation T4



# Strategy

175. Strategies help everyone responding to a disaster to work together. Strategies are practical, simple tools that can be developed very quickly. The initial strategy should be prepared in the first days after a disaster. The strategy should be reviewed and changed regularly throughout the response, as more information becomes available.

176. This chapter supports the development of a single strategy. Government and all other agencies should agree the plan and not have different policies. Where possible, government should lead the development of the strategy, supported by humanitarian agencies and donors. The strategy should describe the response to the shelter needs of those impacted by disasters. The strategy should include response to immediate shelter needs but also to longer-term reconstruction, supporting the entire population affected.



177. Five sections are considered in this chapter:

- 2.1 **Participation:** engage stakeholders to develop a strategy.
- 2.2 **Planning:** coordinate sector strategy, programme and project plans.
- 2.3 **Template:** base the structure of the strategy upon a document template.
- 2.4 **Inputs:** incorporate inter-sectoral considerations into the strategic planning process.
- 2.5 **Assessment:** update and maintain the strategy as a live document.

## Summary of why a strategy is needed



The following points explain the value of a strategy and how it benefits each group involved in the response.

- ▶ Ensure that programme and project plans lock into the sector strategy, plan of action or policy.
- ▶ Engage in regional consultations and provide high quality input information to aid the planning process.
- ▶ Discuss contributions for capacity with donors.

# 2

Introduction

## Country level

1

### Coordination

Participation 1.1

Framework 1.2

Activities 1.3

Information 1.4

Strategy 1.5

## Strategy

Participation 2.1

Planning 2.2

Template 2.3

Inputs 2.4

Assessment 2.5

## Programme level

3

### Assessment

Participation 3.1

Assessment 3.2

Tools 3.3

Teams 3.4

Implementation 3.5

4

### Implementation

Participation 4.1

Options 4.2

Response 4.3

Methods 4.4

Coordination 4.5

## Toolkits

Coordination T1

**Strategy T2**

Assessment T3

Implementation T4

The following points explain the value of a strategy and how it benefits each group involved in the response.



The strategy is a public document that describes the agreement between the affected population, government, humanitarian agencies and donors in the support that will be offered to the affected population

- ▶ Identify representatives to discuss suitable consultation mechanisms for reviewing the strategy, plan of action or policy.
- ▶ Identify possible vulnerable groups.
- ▶ Identify representatives to talk to coordinating agency members and to provide baseline information.



- ▶ Ensure that the strategy, plan of action or policy gets governmental approval.
- ▶ Review existing information, determine extent of need for further assessment and coordination with other stakeholders.
- ▶ Ensure that task force, line ministry, and local government decision makers are present at coordination meetings.



- ▶ Provide resources that will be needed to ensure that the strategy, plan of action or policy can be initiated and will cover the entire response from emergency to recovery and reconstruction.
- ▶ Consider resources needed and recommendations made from previous and ongoing assessments and their integration in the strategic planning process.



- ▶ National: When engaged by government, the national military should accepted and recognised the strategy project plan.
- ▶ International: Engage with International peacekeeping forces, in accordance with the Oslo Guidelines, when possible for the development of the sector strategy.



- ▶ Establish a system for an effective collaboration with the private sector.
- ▶ Engage with national and international private sector.
- ▶ Establish knowledge of the available capacities from the private, to assist the implementation the sector strategy.

Diagram 2.1 Suggested planning activities in disaster response



The aim of a sector strategy

175. A 'strategy' may be referred to as a 'plan of action' by the humanitarian community, or a 'policy' by government or international financial institutions. It should be a single document that details a single coordinated approach to developing and implementing the contribution of the sector, agreed by all stakeholders and usually maintained at national level by, or in partnership with the government.

176. This chapter offers guidance on the development and maintenance of a common sector strategy, to support transitional settlement and reconstruction of affected populations.

177. The diagram below illustrates suggested planning activities used by all stakeholders in disaster response »2.3.1.

178. The aim of a sector strategy is for all stakeholders to offer comprehensive and consistent support to the affected populations from the emergency until the completion of recovery, by optimising the appropriateness, timeliness and effectiveness of their contributions.

## 2.1

### Participation

## Participation: engage stakeholders to develop a strategy

#### Navigation

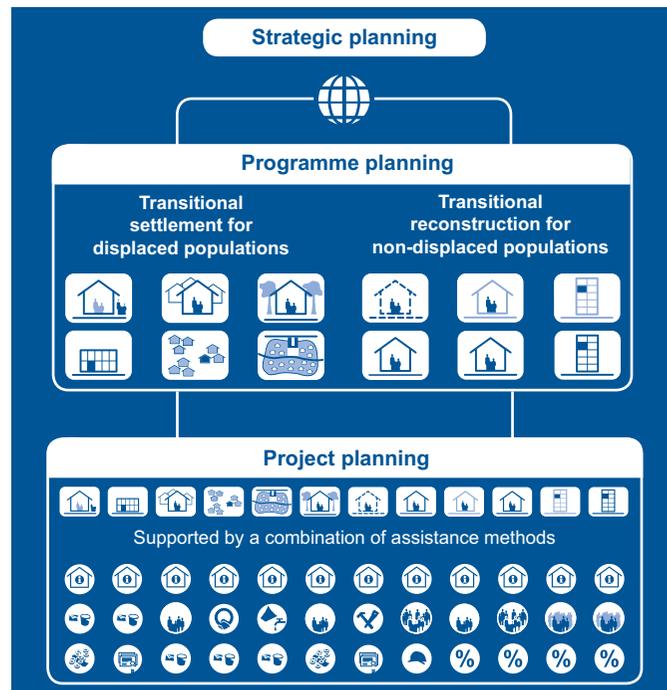
178. This section offers guidance on how stakeholders participate in the strategic planning process, how they coordinate at all levels, what their roles and responsibilities are and why it is essential to engage them.

#### Guidance

179. Participation in the first few days of a response may be limited, yet an initial strategy, plan of action or policy should be formed, using any available capacity. This will initiate the development of the strategic planning process, led by the strategic advisory group within the shelter sector coordination body »1.3.

180. Once this system is established, effort should be made to ensure all other stakeholders are involved and the strategy is kept up-to-date. This planning process facilitates the participation of different stakeholders and the inclusion of plans/ planning processes through a system of analysis, consultation and feedback. It encourages participation of other stakeholders and integration of their planning processes and aims to deliver a comprehensive and coherent strategy for the implementation of transitional settlement and reconstruction activities. The following diagram illustrates the different levels of the strategic planning process.

Diagram 2.2. Levels in the strategic planning process



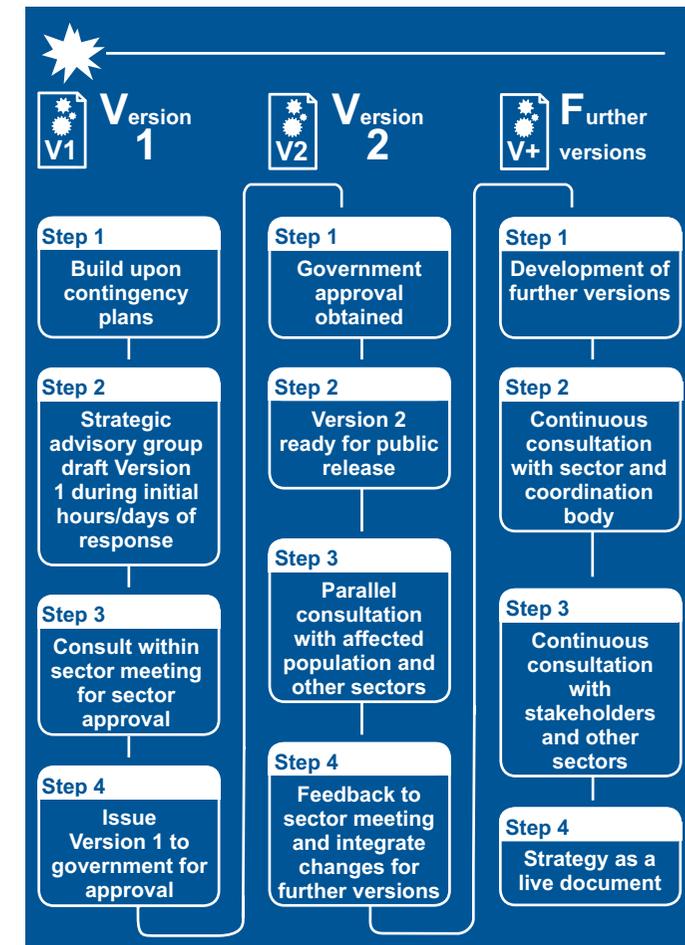
## 2.1.1

### The strategic planning process

## What is the process for developing and maintaining a sector strategy?

181. The strategic planning process is a system of consultation, feedback and drafting. It is coordinated within the sector. This process should be continuous and the strategy should remain an accurate reflection of consensus achieved within the sector coordination body »1.5. A number of versions should be drafted throughout the process. These should be agreed, disseminated and regularly updated to reflect the quantified details of the affected population, the level of damage and resources and the corresponding implementation targets and performance indicators »T2.3. The strategic planning process is outlined in its individual steps, from the first draft to the development of a live document, in the diagram below.

Diagram 2.3 Steps in the strategy planning process



Strategy versions as a result of consultation and feedback

182. To achieve a coordinated response following a disaster, the first version of the sector strategy should be agreed among stakeholders within the sector coordination body. This first version should also be presented to the government as early as possible. Further versions of this strategy can be developed and disseminated for consultation and feedback, once government approval is obtained. This process is illustrated in the previous diagram.

Initiating the development of the first strategy

183. Before the first coordination meeting is held, a series of activities should take place to improve the likelihood of agreeing an appropriate strategy in the first few days of the response. These include:

- ▶ ensuring that as many stakeholders as possible have been identified and invited to the meeting;
- ▶ encouraging bilateral consultation to understand stakeholders' positions and areas of concern;
- ▶ drafting a proposed strategy for the first meeting, which can be used as the basis for discussion and achieving agreement;
- ▶ ensuring government co-chairs the meeting; and
- ▶ ensuring all stakeholders understand the importance of communicating the agreed strategy to the affected population as soon as possible.

First coordination meeting

184. The first version of the sector strategy should involve as many stakeholders as possible. It is likely that different partners will use a series of different planning tools. One central series of activities should however be agreed upon to engage and coordinate all participating stakeholders. A template for common planning is offered in the following section and this can be used as the basis for the strategy »2.3.1, in order to offer a single document to the sector, to other sectors, and most importantly, to the government.

Contingency plans

185. The sector strategy should be developed jointly with the government, integrating existing contingency plans or national policies. It describes the role of the humanitarian community to support government response. Any sector strategy will need to be approved by government before it is implemented. If suitable contingency plans exist, they should be consulted, updated and used at this stage to form the basis of the response strategy, plan of action or policy. One outcome of the strategic planning process should be the development of a contingency plan for future emergencies.

Version 1 of the sector strategy

186. The first version of the strategy should describe the objectives and a common approach to the response. The first version will enable and support the following activities:

- ▶ the coordinated implementation of emergency response;
- ▶ the involvement of all stakeholders in discussion and consultation;
- ▶ linkages between national and sub-national levels of response; and
- ▶ the collection of baseline data, such as population movements and damage levels, to inform later assessments »3.2.5.

Version 2 of the sector strategy

187. Once government approval has been obtained and the strategy has been updated to reflect any changes in the response, it should be released to the public for consultation and review. This offers an opportunity for further engagement and consultation with the affected population and other stakeholders in the disaster response. A series of exchanges may take place between sectors or between smaller groups, such as the strategic advisory group »1.4. These enable the integration of inter-sector issues and contribute to the development of a more coherent shelter sector strategy.

Further versions of the sector strategy

188. Once the approved strategy has been released, a continuous process of consultation should occur with government, the affected populations and responding stakeholders. This consultation and review process will test the appropriateness of the strategic objectives »T2.3.b.2, and inform further development of the plan. Linkages to assessment, such as the damage and loss assessment and the post-disaster needs assessment, should be maintained throughout the strategic planning process »3.2.

189. Participation ensures that the strategy remains a live document that is continually revised through a process of consultation and feedback. The following table outlines the consultations that may take place and the subsequent development of the first, second and further versions of the sector strategy.

Diagram 2.4  
Consultations and the subsequent development of the versions of the sector strategy

	Version 1	Version 2	Further versions
<b>Stakeholders involved in consultation</b>	Strategic advisory group Shelter coordination meeting participants Other sectors	Government Shelter sector Other sectors	Government Shelter sector Affected populations Other sectors
<b>Key points</b>	Use existing contingency plans Link with search and rescue teams and early recovery Link with initial damage and needs assessments Developed in the first hours/days with limited resources, capacities and participation Ensure shelter sector approval is obtained within the coordination meeting Release to government for approval	Ensure government approval is obtained Modify the strategy to reflect changed in the response Obtain advice from technical information working group and insure a flow of up-to-date information from the information management group Monitor damage and needs assessments and adapt the strategy accordingly Release the strategy to affected populations and other sectors for testing, detailed consultation and feedback	Build upon linkages with early recovery and assessments such as damage & loss Assessment and post-disaster needs assessment Ensure consultation feedback is reflected in the strategy Continue to get advice from the technical working group and the information management group Ensure changing circumstances are reflected in the strategy

In summary



Comprehensive and inclusive consultations

Linkages with search and rescue teams

Linkages with assessment and funding appeal processes

190. The planning process should include all regions of the affected area and respond to the different contexts, such as urban and rural. The strategy will work differently in different regions and it is therefore essential that regional consultations are organised. Initially, the strategy versions should be released to the regional offices for review and feedback, followed by more detailed consultation to determine what actions should be carried out. The first consultation with the affected population should aim to initiate a long term relationship and a system for consultation.

Guiding principle 1, 'Strategy', states, "A good reconstruction strategy reactivates communities and empowers people to rebuild their housing, their lives and their livelihoods..."

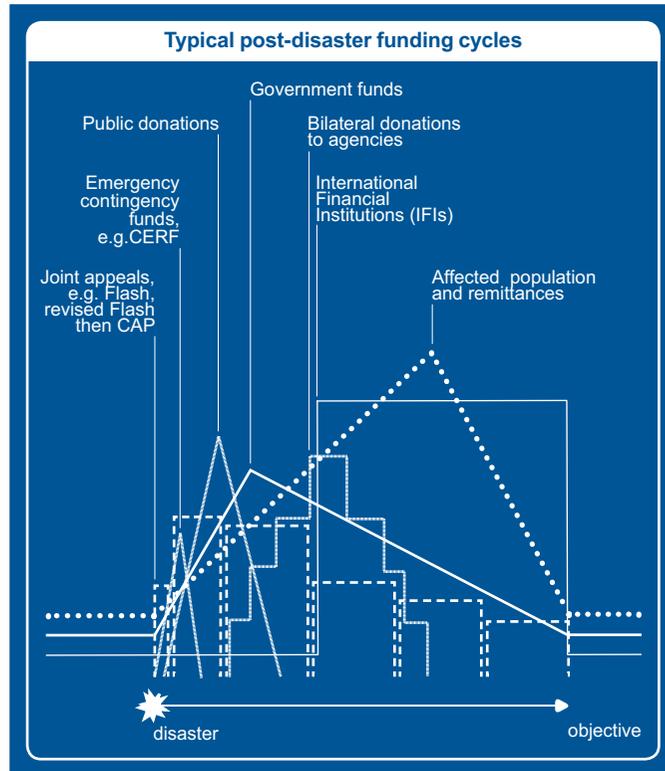
191. If it is impractical for the affected population, and any host population, to be represented in initial coordination meetings, alternative methods, such as charettes or committees, should be agreed with them as soon as possible »T1.1. The strategic planning process should take into consideration the capacity and resources of the affected population, such as remittances, and recognise that the affected population often has a greater impact on the response than the humanitarian community itself.

192. Handover from search and rescue and emergency disaster assessment and coordination teams should take place as early as possible in the strategic planning process. Linkages with search and rescue teams will complement any existing contingency plans and inform the development of base line objectives and information for the sector strategy »2.3.1.

193. The sector strategy should be developed and aligned with funding appeals and information gathered from damage and needs assessments »1.3.5. As the response goes on, more detailed damage and needs data will become available and the strategy should be regularly updated to reflect current information. Different funding sources and mechanisms are available at different times throughout the response, and again the strategy should be updated and aligned to these »T2.3.a.

194. The following diagram plots the availability of funding after disasters, showing the timing of funding appeals and the scale of response to each.

Diagram 2.5  
Typical post-disaster funding cycles



## 2.1.2 What stakeholder consultations take place throughout the planning process?

Stakeholder consultations and feedback

195. Stakeholder consultations take place as soon as possible within the sector coordination body and extend to the wider coordination framework »1.1. The coordination body has the responsibility to initiate the strategic planning process by drafting the first version of the sector strategy. As the number of stakeholders increases, the strategy will develop and the consultations outlined below will occur continuously by way of meetings, committees, trainings, workshops and focus groups »T1.1.

Consultation with government

196. Government should be represented and consulted within the strategic advisory group. If this representation is not possible, effort should be made to organise a series of consultation meetings with relevant government representatives.

Consultation with the affected population

197. The affected population should be consulted in the development and maintenance of the shelter strategy to ensure that it supports their recovery and return to a sustainable livelihood. Full consultations would require full registration and may therefore not be practical when developing the first version of the sector strategy in the first days following a disaster »2.1.1. Instead, a profile should be developed and based on these profiles, representations of the affected populations should be identified and consulted. More members of the affected population will be included and consulted as the shelter strategy is updated to respond to any new data and information collected.

#3  
Community

Guiding principle 3, 'Community', states, "Community members should be partners in policy making and leaders of local implementation...Real representation of the affected communities in the policy-making body and in all aspects of recovery from assessment to monitoring should be sustained in an effective way".

Communication to the affected population

198. Once an initial strategy has been agreed, it should be communicated to all members of the affected population immediately through any available channels, for example radio stations, posters or community representatives if they have already been identified. Communicating the shelter strategy ensures that the affected population:

- ▶ is made aware that plans for transitional settlement and reconstruction are active;
- ▶ understands what these plans are;
- ▶ is made aware of their rights and accountability;
- ▶ participates in the continual development and maintenance of the strategy; and
- ▶ appoints community representatives to be part of the coordination body and to participate in future coordination meetings, trainings, distribution of supplies, such as for transitional shelters and workshops.

Consultation with vulnerable groups

199. Representatives of marginalised and vulnerable groups, such as ethnic minorities, disabled persons or people living with HIV/AIDS, should be identified immediately and engaged in planning consultations. Assessments should be carried out to identify further risks these groups may face, such as protection and/or security concerns in grouped settlement options and to ensure they receive the most appropriate assistance. This information should inform the development of the sector strategy.

Consultation with other sectors

200. The shelter strategy should be consistent with the national response plan that may be in place, such as the Common Humanitarian Action Plan (CHAP) »T2.2.a. An adequate sector response should link effectively with other sectors in order to support comprehensive programming. In addition, inter-sector linkages assist the development of indicators, for example the prevalence of acute respiratory infections from the health sector, that inform monitoring.

Methods for consultation

201. Methods for involving all stakeholders, including vulnerable groups, for consultation are elaborated in »T1.3. They include:

- ▶ identifying existing social groups and networks;
- ▶ holding focus group meetings;
- ▶ holding meetings in a variety of locations; and
- ▶ holding meetings at different times of the day.

2.2  Planning

## Planning: coordinate sector strategy, programme and project plans

Navigation

202. This section explains the different planning levels used for the purposes of these guidelines: strategy, programme and project. It also offers guidance on how to coordinate planning at these different levels.

Guidance

203. These guidelines describe planning happening at three levels: strategic, programme and project. Whilst strategic planning is led by a coordination body, programme and project plans are often developed by individual agencies. While the objectives of each plan may differ depending on the level at which it is created, all plans at all levels should feed into one another in order to ensure a coordinated response and avoid overlaps or gaps appearing. Plans should be constantly revised, both through monitoring processes and through integration at the different planning levels »Diagram 2.2.

### 2.2.1

#### What are sector strategy, programme and project plans?

Sector strategy

204. The sector strategy should be a complete and up-to-date record of needs, objectives, indicators, sectoral monitoring, roles and responsibilities. This record should be consistent with national laws, such as building and zoning codes, as well as international laws or agreements, including any standards and principles agreed among stakeholders through the coordination body. The strategy should be linked to, or be compatible with, national planning mechanisms and programmes for sustainable development. It should also be part of a common humanitarian response plan, covering the entire response by

Programme plans

linking and integrating all sector strategies, such as those for health, protection and logistics.

205. The sector strategy comprises a series of programme plans, for example plans supporting all host family support. Although not defined formally, for the purpose of these guidelines, this term describes a series or combination of plans agreed by all stakeholders that is consistent with the sector strategy and that integrates project plans in order to describe programmes that respond to transitional settlement and reconstruction needs.

Project plans

206. Each programme plan comprises a series of project plans that are usually very specific to the locality, for example plans supporting host families in different areas.

### 2.2.2

#### How are sector strategy, programme and project plans coordinated?

Importance of coordinated planning

207. Planning should be well coordinated between levels to ensure that any project activity is in line with the objectives defined in the sector strategy. This depends on stakeholders agreeing on a sector strategy and implementing it together. The sector strategy will assist geographic and functional coordination by recording and documenting changing needs, priorities and capacities throughout the response.

 #8 Stakeholders

Guiding principle 8, 'Stakeholders', describes that an effective coordination process needs to encompass the contributions of all actors involved in the reconstruction process. An effective system of collaboration of non-governmental organisations (NGOs), civil society organisations (CSOs) and the private sector should be put in place.

Using a document template to coordinate plans

208. As there are different planning levels, different plans used by different organisations and different methods for planning, coordination is not always carried out effectively in response to natural disasters. To increase clarity and accountability among stakeholders, a series of common planning headings are suggested in the next section »2.3. The following diagram illustrates the relationship between the strategic, programme and project planning.

Table 2.1  
Document  
template  
headings



**2.3** Template

**Template: base the structure of the strategy upon a document template**

Navigation

209. This section offers a document template to develop and maintain a consistent strategy to support sector, programme and project plans from national to sub-national levels.

Guidance

210. All strategies contain similar information and structuring this information consistently assists in coordination, for example because:

- ▶ it avoids gaps and overlaps;
- ▶ it offers predictability;
- ▶ it offers consistency between planning at strategic, programme and project levels; and
- ▶ it aids inter-sectoral coordination and consistency between different stakeholders.

**2.3.1**

**How can a document template be used to develop sector strategy, programme and project plans?**

Overview of the five headings in the document template

211. The following table offers an overview of the document template with five headings. Different organisations have different planning templates; the following headings are suggestions of common headings used by stakeholders in response to disasters. The following headings are also consistent with terminology required for funding mechanisms. The actual sector strategy may have more or fewer headings than the five suggested in the template below, depending on the context »2, Case study. The rest of this section elaborates on these activities by providing information for each heading, specifically on:

- ▶ involving all stakeholders;
- ▶ purpose of the activity; and
- ▶ key components of the activity.

Activities within the five headings

212. The template below offers a series of activities under each heading. These activities are common planning activities used by all stakeholders, albeit sometimes using different terminology. Again, using consistent terminology for the headings improves coordination, consistency and clarity.



**Heading 1: Needs analysis**

213. A needs analysis organises and presents information on humanitarian shelter needs following a natural disaster in a coherent and consistent manner. Information gathered from assessments should identify needs for both displaced and non-displaced populations. The six plus one transitional

Introduction

**Country level**

1

**Coordination**

Participation 1.1

Framework 1.2

Activities 1.3

Information 1.4

Strategy 1.5

**Strategy**

Participation 2.1

Planning 2.2

**Template 2.3**

Inputs 2.4

Assessment 2.5

**Programme level**

3

**Assessment**

Participation 3.1

Assessment 3.2

Tools 3.3

Teams 3.4

Implementation 3.5

4

**Implementation**

Participation 4.1

Options 4.2

Response 4.3

Methods 4.4

Coordination 4.5

**Toolkits**

Coordination T1

**Strategy T2**

Assessment T3

Implementation T4

settlement and six plus one transitional reconstruction options should be used »4.2.2, with existing information to assist in the identification of the affected population. When this has taken place, the resources available for implementing the strategy should be considered. In so doing, it is possible to develop realistic, effective, appropriate and equitable objectives. As part of a needs analysis, three activities will be undertaken: assessment, options and resources, as presented below »T2.3.b.

### >>Assessment

**214.** The assessment process, part of the needs analysis, requires the involvement of as many stakeholders as possible. It makes reference to existing plans and local profiles, takes into account people's livelihoods and identifies their capacities and available resources. Assessment teams should include women and men who are able to collect information in a culturally acceptable manner from all groups in the affected population and possess the necessary language skills 📖 Sphere Project, 2010. The advantage of diverse and culturally aware assessment teams is that women or minority groups can be consulted separately where it is required by local cultural practices 📖 Roche, 1999.

**215.** Assessment leads to an understanding of the immediate priorities of the affected populations, and accurate updating of the strategic and operational plans »3.1. Assessments should be carried out regularly and linked to ongoing monitoring and evaluation activities. The purpose of assessment is to ensure the response is appropriate to needs and circumstances, and that it is consistent with the agreed strategic planning objectives by mapping the dynamic context. Scenarios may change throughout a crisis; for example the threat of violence may be ongoing, whereas a Tsunami warning after an earthquake or subsequent aftershocks may only last for a defined period.

### >>Options

**216.** The transitional settlement and reconstruction options are core to the shelter strategy that describes whether, for example, host families should be supported, camps should be discouraged or closed, reconstruction be prohibited in zones at risk, whether transitional shelters are to be used and how support should be offered to tenants as well as home owners. Stakeholders should agree on the appropriate level of support for each of the transitional settlement and reconstruction programmes, defined through agreed principles and standards. Appropriate level of support means the size and nature of assistance offered, and the quantity and value of materials or assistance offered. These options need to be integrated and described in strategic, programme and project plans. The plans should also describe how beneficiaries are selected, how the



Involving all stakeholders

Purpose of assessment



Involving all stakeholders

Purpose of determining options



Key components of determining options



#6 Development

Purpose of determining and obtaining resources

support should be offered and over what period »4.2.

**217.** Determining the transitional settlement and reconstruction options for the affected population will help clarify the technical sector activities required for both the displaced and non-displaced affected populations. Knowing which option is the most suitable and when will also help all stakeholders to agree on the national and international laws, principles and standards to support the desired end state outlined in the agreed strategic, programme and project planning objectives.

### >>Resources

**218.** The needs analysis developed for a shelter strategy requires an accurate assessment of what resources are needed, what resources are available and what commitments donors have made regarding future resources. Resources are required for shared communal infrastructure, such as educational, medical, utility and transport facilities, as well as for housing for the affected population »T2.3.b.

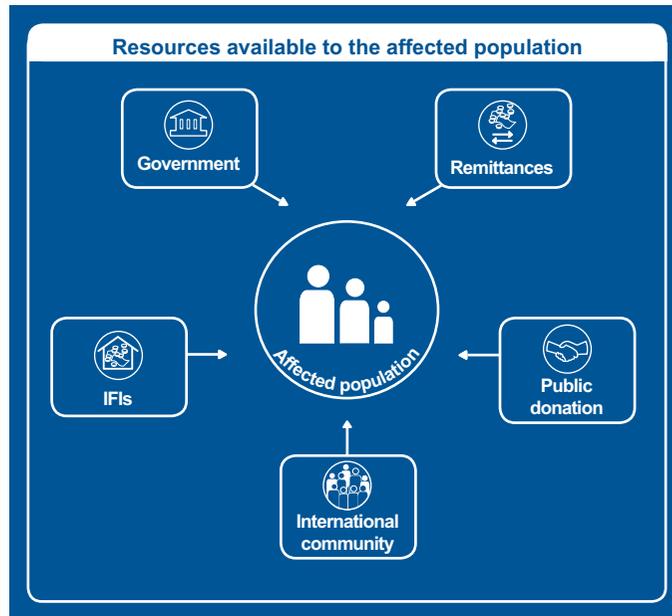
Guiding principle 6, 'Development', suggests to "...Use planning and stakeholder input to set local economic and social development goals and to identify cultural assets for conservation...Establish reconstruction guidelines that preserve what is valued while encouraging more sustainable post-disaster settlements...".

**219.** Responding stakeholders, such as the government and the shelter sector, should ensure required funding, materials and capacity are available at the right time. Donor's participation in developing the first version of the strategy is also essential to ensure that commitments made are in line with resources available.

**220.** The strategic planning process should take all resources into consideration. This includes funding, such as loans, vouchers, remittances, bilateral and public donations; stockpiles, for example of transitional shelters or WASH items; and technical expertise and services, such as GIS, damage mapping and assessments. By determining the funding, materials and capacity required to achieve the planning objectives, where these resources are, and how they will be obtained, stored and distributed, the shelter sector strategy can be better implemented »1.3.5.

221. The following diagram shows the national and international sources from which the affected population may draw resources during a disaster response.

Diagram 2.6  
Resources available to the affected population



## Heading 2: Objectives

222. Once information from the needs analysis is gathered, a series of objectives should be established. The objectives should be specific, measurable, attainable, relevant and time-bound (SMART). They should consider both short-term emergency needs and longer term recovery priorities and how these form one continuous response process. The main activity to this heading is to identify and agree all objectives for a shelter strategy »T2.3.b.

### >>Objectives

223. Agreeing the objectives requires discussion with all relevant stakeholders, particularly the affected populations. While it may be impractical to involve representatives from all stakeholder groups in all levels of planning, they should nevertheless be consulted through informal committees »2.1.1. Achieving consensus over a single desired end state can ensure that the opinions, priorities, needs and capacities of all stakeholders, particularly the marginalised and vulnerable groups, are reflected without bias or prejudice.

Purpose of agreeing on the response objectives



224. The response objectives should express what the affected population wants and expects of the assistance offered. The sector response can be consistently implemented at all levels by ensuring the objectives of each project support the objectives of each programme, which then in turn support the overall planning objectives of the strategy.

## Heading 3: Indicators

225. The effectiveness and progress of the sector strategy is measured against key indicators and scenarios agreed upon in the coordination body »1.3.4. The information management function of the coordination mechanism should be tasked with using both key, and more detailed indicators, to guide the data and information gathering processes. As part of the indicators heading, three activities should be considered; identifying scenarios, working with opportunities/challenges and understanding the legal framework »T2.3.b. Processes relating to indicators include:

- ▶ targeting criteria, such as vulnerable groups and other priority beneficiaries, that are developed and implemented;
- ▶ ensuring reliable, accurate and regular sharing of data between all stakeholders »1.3.3;
- ▶ reviewing progress and usefulness of currently defined indicators regularly; and
- ▶ ensuring common standards of measurement and reporting are agreed and complied with.

### >>Scenarios

226. As part of identifying indicators, scenario planning builds on the assessment process »T2.3.b; 2 and therefore involves broad input. It takes into account factors, such as population needs, risks, environment, economic context, relations between the affected and host populations, security concerns and the seasonal weather patterns. Existing scenarios developed by the national government or other coordinating mechanisms should be integrated into the sector strategy being developed.

227. Scenario planning assists in the selection of transitional settlement and reconstruction options »T2.3.b; 1.2 by outlining the likely course of events and their indicators. The purpose of scenario planning is to develop a strategy based on any existing contingency plans and assumptions about future events to maximise the accuracy of strategic planning and to identify potential paths towards the planning objectives.

Guiding principle 9, 'Assessment', states, "Continuous assessment and monitoring can improve reconstruction outcomes. Assessment and monitoring improve current (and future) reconstruction..."



Involving all stakeholders

Purpose of scenario planning



Assessment



Involving all stakeholders

## >>Opportunities/challenges

228. As part of the indicators heading, opportunities and challenges to a response should be identified. Stakeholders may have identified their own opportunities and challenges. However, the same understanding among international, national and sub-national stakeholders of opportunities and challenges to the sector response should be ensured Oxfam, 2005; >>2.1.1.

Purpose of identifying opportunities/challenges

229. There are usually a few key factors, unique to a particular disaster, that determine the success or failure of the sector response >>T2.3.b. These may be positive, such as good community relations or an existing land register; or negative, such as poor access to the affected areas, an ongoing conflict or the scarcity of construction material. Identifying these and integrating the required measures into the strategy will help achieve the agreed planning objectives and facilitate a better sector response.



Involving all stakeholders

## >>Legal

230. Legal issues are considered as part of the indicators framework heading. The primacy of national governments should be recognised by humanitarian organisations. Gaps and/or inconsistencies, identified in the national legal framework, should be drawn to the attention of the public authorities who should then be encouraged to fill these gaps with international law as well as locally and internationally accepted principles and standards >>T2.2.a. In return, the legal framework should support the affected population and vulnerable groups in obtaining housing rights and securing tenure. All stakeholders should be made aware of the legal framework as a basis for their actions. Unresolved or ignored legal issues can halt the entire response.

Purpose of understanding and incorporating legal frameworks

231. The purpose of understanding and incorporating legal frameworks and standards during the planning process is to ensure that transitional settlement and reconstruction operations, which aim at protecting the affected population and their hosts, are taking place in line with the existing and relevant laws and principles. Applicable International humanitarian and human rights law provides the normative framework and should ideally be translated into national legislation. Principles and standards act as practical expressions of national law and international humanitarian and human rights law. These include Guiding Principles on Internal Displacement UNOCHA, 1998, the Pinheiro Principles COHRE, 2005, and those found in Handbook for Emergencies UNHCR, 2007, and Humanitarian Charter and Minimum Standards in Disaster Response Sphere Project, 2010.



Involving all stakeholders



Purpose of developing a schedule for implementation

## Heading 4: Sectoral monitoring plan

232. The indicators developed in the previous heading should be used to develop a schedule of works for implementation of the shelter strategy. Indicators or triggers for success and failure should be incorporated into the schedule of works so that stakeholders can continually monitor progress towards achieving the defined objectives of an effective shelter strategy.

### >>Schedule

233. All stakeholders should understand who is doing what and when, in order to ensure efficiency, equity and to maximise the opportunity for diversity, culturally appropriate design and construction of sustainable, low-maintenance facilities.

234. The purpose of developing a schedule for implementation, within the sectoral monitoring plan is to ensure that all stakeholders understand when and what major activities must be undertaken during the response. The schedule for implementation includes the activities required to take advantage of the opportunities and overcome the barriers identified in opportunities and challenges >>T2.1.b; 3.2, such as the onset of winter or the monsoon season or the continued presence of floodwaters.

## Heading 5: Roles and responsibilities

235. Stakeholder roles and responsibilities should be defined in the strategy to ensure the most effective implementation of the schedule of works and to avoid overlaps and gaps. The coordination mechanism should be described in terms of structure, membership, modes of operation and links to government and other stakeholders outside those developing the sector strategy. Participation mechanisms should be agreed so the affected population is involved in all transitional settlement and reconstruction activities related to achieving the objectives defined in the strategy. Handover mechanisms should also be established to ensure continuity as different stakeholders enter, leave or change roles and responsibilities throughout a response. Coordination, participation and handover are the key activities in this section.



#5  
Coordination



Involving all stakeholders

Guiding principle 5, 'Coordination', states, "Institutions matter and coordination among them will improve outcomes. Best practice is to pre-design reconstruction policy and the institutional response, which in some situations will be a dedicated lead agency...".

### >>Coordination

236. Coordination is a vital part of defining roles and responsibilities. Agreeing on effective operational coordination mechanisms supports all stakeholders in communicating with

each other. This includes the formal and informal coordination mechanisms of communities, government and humanitarian organisation. Coordination meetings among stakeholders should include discussions that enable humanitarian stakeholders to understand the government's contribution to the response, its capacity and its processes. The objective of humanitarian aid agencies is to complement government and civil society efforts in achieving the strategic planning objectives. Details of the participating stakeholders can be found in Chapter 1 »1.1.

Purpose of coordination



Involving all stakeholders

237. Coordination ensures that agreement is reached for each stakeholder on identifying and supporting each of their responsibilities. It also ensures that the opinions, priorities, needs and capacities of all stakeholders are reflected without bias or prejudice in the planning and implementation of response. A timely and responsive information service can also be achieved with coordination.

### >>Participation

238. Undertaking participation as a role and responsibility should involve not only the affected population but as many stakeholders through as many channels and methods as possible to support representation and engagement within and between affected communities and other stakeholder groups. Participation mechanisms »T1.1, should be based upon existing mechanisms wherever possible and care should be taken to insure their original functions are not disrupted. Stakeholder groups and existing mechanisms may include:

- ▶ national and sub-national government;
- ▶ civil defence bodies;
- ▶ community based organisations (CBO);
- ▶ formal and informal conflict resolution systems;
- ▶ workshops;
- ▶ formal and informal community committees;
- ▶ assessment, monitoring and evaluation processes; and
- ▶ public media.

Purpose of participation

239. The purpose of participation includes:

- ▶ determining how affected and host populations will be engaged;
- ▶ identifying marginalised or vulnerable groups; and
- ▶ involving them in decision making, developing strategic plans, identifying communication channels, training, workshops and implementation.



Involving all stakeholders

Purpose of handover

### >>Handover

240. Handover is a constant process under the roles and responsibilities heading. It is the responsibility of every individual to maintain documentation to enable immediate handover, recognising the dynamic nature of a humanitarian response. Handover also occurs between individuals within organisations as staff members change, and the same handover principles apply in this case as to handover between organisations »T2.3.b.

241. Handover ensures that each sector, programme and project responsibility, such as community and family case files, is passed along completely and in time throughout the response. Handover also ensures that any additional responsibilities are identified, as these can change significantly throughout the response.

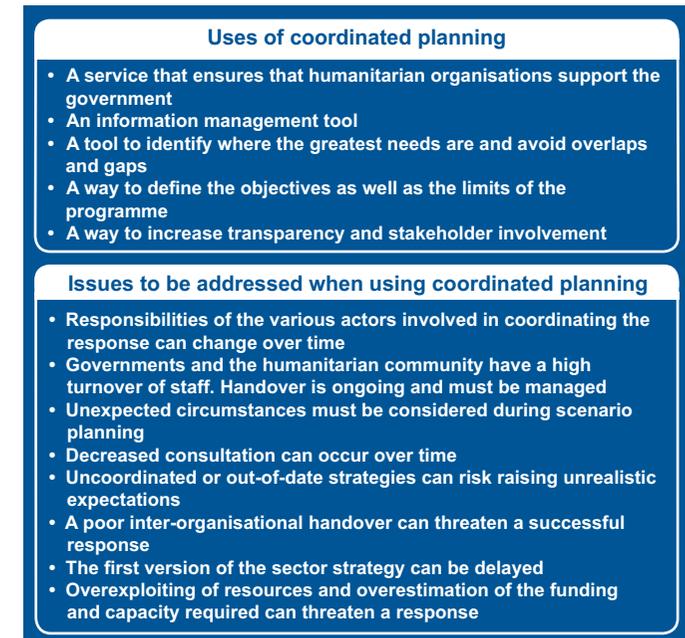
### 2.3.2

Lessons learned in strategic planning

Diagram 2.7 Uses of, and issues related to, coordinated planning

### What lessons have been learned in strategic planning?

242. Previous response operations may have identified some practical information and lessons learned that can be consolidated to inform the development of the current sector strategy. For the purpose of clarity, these lessons learned are presented using the structure of a strengths, weaknesses opportunities and threats (SWOT) analysis, identified in the strategic planning process. An overview of these is presented in the following diagram.



## Uses of coordinated planning

**Strategic planning process as a service**

243. Developing and updating the sector strategy and supporting programme and project plans is a way of ensuring the plans developed by humanitarian organisations support those of government and they are able to contribute to the overall response. Together they should form a coordinated, appropriate and sustainable response to the needs of the entire affected population. Planning is not a way of promoting centralised control over stakeholders but rather a service to them, by reflecting their various contributions, capacities, needs and priorities.

**As an information management tool**

244. The strategic plan is a tool for information management as it forms part of the process of obtaining and communicating information, such as data on pre-disaster demographics, the construction industry, national law and post-disaster demographics and access »1.4.2; T1.3.1.d.

**Strategic planning process identifies needs and capacities**

245. A regularly updated sector strategy that has been developed with the affected population and other stakeholders through coordination allows decision makers to identify where the greatest needs are, where resources are being directed and where capacity is being deployed. Determining the needs and the capacity, that can fulfil those needs, help avoid overlaps and gaps »T2.3.1.b.

**Stakeholder consultation and defining the humanitarian objectives**

246. The initial humanitarian objectives, communicated in the first version of the sector strategy, will not be specific because detailed end states cannot be defined at this early stage »T2.3.b; 3.2. Returning people to the situation they were in before the disaster struck minus the risk is often defined as the role of the humanitarian sector. Defining and stating the objective in the first version of the sector strategy offers the opportunity to:

- ▶ ensure that the affected populations are aware that planning is long term and linked to recovery and not just short term/emergency planning; and
- ▶ define the limits of humanitarian intervention while making it clear that long term reconstruction and recovery of livelihoods and risk reduction to an agreed level are part of the humanitarian community's mission.

**Strategic planning process**

247. The development of a sector strategy offers an opportunity for increased transparency and accountability in the disaster response. It is important that the sector strategy is agreed within the coordination framework as this ensures that as many stakeholders as possible are involved and stakeholders and the strategy itself can be held to account throughout the whole response.

## Issues to be addressed when using coordinated planning

**Changing nature of responsibilities**

248. Responsibilities, initially defined at the beginning of a disaster, may evolve over time as turnover of the stakeholder group members occurs and the needs and situation of the affected populations changes. Some governmental responsibilities may have been undertaken by the humanitarian community immediately following the disaster but these responsibilities should then be returned to the government as soon as possible. Successful strategic planning therefore requires careful mapping of roles and responsibilities and informing all stakeholders of any changes that take place.

**#2 Reconstruction**

Guiding principle 2, 'Reconstruction', states, "...Adequate transitional shelter solutions can reduce time pressure and should be considered in any reconstruction strategy..."

**Handover amid high turnover of staff**

249. Governments and the humanitarian community are likely to have a high turnover of staff. Implementing handover activities, such as the handover of documents, information, decisions and plans, will help to ensure that:

- ▶ the planning, implementation and management of the strategy, programme or project is coordinated and maintained throughout all phases from emergency to recovery;
- ▶ information is well recorded and nothing is lost between versions of the strategy; and
- ▶ conflict/tension does not develop due to alteration of original decisions and intentions.

**Unexpected circumstances**

250. Unexpected circumstances, such as complex emergencies or the weather, can negatively impact the strategic planning process. These unexpected situations should be considered during scenario planning »T2.3.b; 3.1.

**Decreased consultation**

251. Decreased consultation and participation will delay the strategic planning process. Planning teams, such as the strategic advisory group, may not have the opportunity to consult with all stakeholders, especially the affected population and their hosts. This is particularly likely to occur after the first version of the strategy is released when teams may assume that their obligation for consultation is over: both consultation and participation should be ongoing to inform the development and implementation of plans.

**Failure to meet expectations and political pressures**

252. Uncoordinated or out-of-date strategies can risk raising unrealistic expectations among the affected population towards not only the government but also the humanitarian community. Care should be taken to ensure regular, consistent and timely updating of these plans and the communication of any changes

to the affected population in order to minimise any public or institutional pressure to make unrealistic commitments.

Lack of handover when capacity is limited

253. A significant obstacle to successful planning is the lack of clarity in defining roles and responsibilities and how they will be handed over from one responsible group to another. Government, for example, may have suffered losses and damages to capacity, such as the ministries who were previously responsible for activities needed in a post-disaster context. Failure to identify who is responsible for what and who should handover to whom early in the planning process will lead to a lack of coordination and threaten a successful response » T2.3.b; 5.3.

Delayed first version of the sector strategy

254. The first version of the sector strategy cannot be delayed in order to resolve all difficulties and disagreements between stakeholders. The first version of the sector strategy is a draft, which will be refined throughout the response. The need to inform the affected population of an initial transitional settlement and reconstruction strategy is greater than the need to present a comprehensive plan where all disagreements have been resolved. The first version of sector strategy should therefore focus on where agreement exists and use this as a basis for future discussion. In some cases the first version of the sector strategy may be delayed due to:

- ▶ a lack of information;
- ▶ a lack of money;
- ▶ disagreement between stakeholders;
- ▶ different planning processes; or
- ▶ a lack of coordination and agreement regarding the need for specific programmes and projects.

Over exploitation of resources

255. Agreeing on how to obtain the required resources avoids some of the most common threats to an effective response, which are the over exploitation of resources and underestimation of the funding and capacity required to achieve the strategic planning objective » 1.3.5.

## 2.4 Inputs

### Inputs: incorporate inter-sectoral considerations into the strategic planning process

Navigation

256. This section offers guidance on common areas across sectors of response, land use, planning and tenures issues and disaster risk reduction » 2.4.4; 3.2.6.

Guidance

257. The development of a sector strategy involves some inter-sectoral areas of work, which often require further considerations and expertise. These areas include land use,

planning and tenure, environment and disaster risk reduction issues. Their impacts on the strategic planning process are described below and further information can be found in the toolkit. By considering all possible relevant issues, the strategic planning process will be better informed and more suited to the disaster response.

### 2.4.1

Land acquisition

### How can land use, planning and tenure issues inform the planning process?

258. Land will be required for resettlement and infrastructure development after most natural disasters. The acquisition of land by governments has the potential to cause conflict and delay recovery and this should be considered in the strategic planning process. Early action is required to identify suitable sites and affected landholders as well as to facilitate due process and participation mechanisms for the land acquisition process » World Bank, 2010.

Land use and planning

259. While strategic planning can commence within hours of rapid-onset disaster, the initial incorporation of land issues will take at least a few weeks » T2.4; T3.2. The following activities may be undertaken within the strategic planning process and should be coordinated by the sector coordination body:

- ▶ appoint technical specialists;
- ▶ form an ad hoc working group on land issues;
- ▶ agree on basic land use, planning and tenure objectives;
- ▶ agree on basic steps to achieve objectives;
- ▶ establish consultation mechanisms in relation to planned land programmes; and
- ▶ continuously update, modify and evaluate strategic planning on land issues.

Integrating land use and planning from emergency to reconstruction

260. Land issues should be incorporated into every stage of the response from emergency to recovery. The following are examples of how a good appreciation of land issues can benefit the development of a strategy:

- ▶ understanding of damage to the land administration system, including lost records, staff and equipment;
- ▶ awareness of potential protection gaps relating to housing, land and property rights;
- ▶ measures to increase institutional capacity relating to land use, planning and tenure;
- ▶ responses to incentive structures that may create institutional or landowner resistance to policy measures;
- ▶ alliances with suitable civil society organisations for local advocacy and information-sharing measures;

- ▶ planning for the key land issues of tenure security, DRR and protecting the vulnerable; and
- ▶ responses to tenure security risks and groups at risk of losing access to land.

Tenure

261. The pre-disaster tenure situation and the likely impact of a disaster on this system should be included in any strategy. Pre-existing challenges for tenure security such as widespread poverty or extensive informality in the housing system may be exacerbated in the aftermath of a disaster, especially when a large number of housing units need to be reconstructed World Bank, 2010; » T2.4; T3.2.

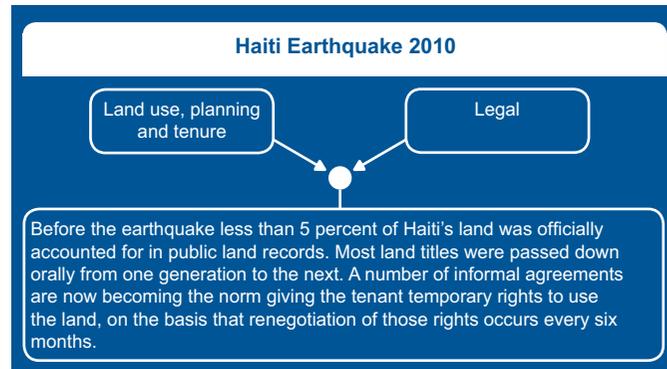
Tenure and assessment

262. Assessments of tenure issues should be carried out in parallel with other assessments within the first few weeks after the disaster. The aim is to analyse the capacity of the government and its institutional system for addressing land tenure issues and the impact of the disaster on the planning process World Bank, 2010.

Integrating tenure issues in the strategy, plan of action or policy

263. Information gathered from assessments can contribute to the development of the strategy by understanding strengths and limitations that are likely to influence the recovery process World Bank, 2010. One example can be seen in the diagram below, which illustrates the development of land use and tenure issues on a legal basis after the earthquake in Haiti in 2010.

Diagram 2.8 Land right and securing tenure in Haiti



## 2.4.2 How can disaster risk reduction and risk management issues inform the planning process?

Understanding disaster risk reduction and risk management

264. A “window of opportunity” for risk reduction usually becomes available after a disaster. Decision makers should take advantage of this window; when the affected population and the responding stakeholders have to make decisions about recovery, when the disaster may have forced negative changes, and when technical expertise and resources become

Building back better

available. Disaster risk reduction and risk management can ensure risks are not rebuilt during recovery from the impact of disasters so future threats are reduced.

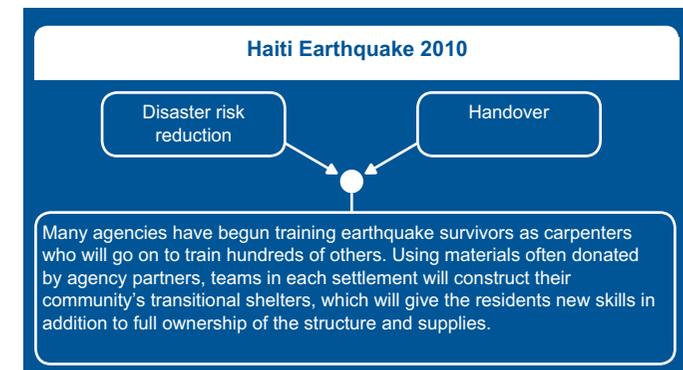
265. Post-disaster housing and settlement planning should address safety issues very early on. Communities should be trained or informed of the principles of hazard-resistant design, safe construction, maintenance techniques and other basic guidelines on how to build back more safely very early on, while government legislates and enforces building codes and land use and international actors promote and support disaster risk reduction as part of the wider recovery process. Specific disaster risk reduction activities that impact upon building back better include risk identification, risk reduction and risk transfer. These issues are discussed in detail in » T4.3.

Incorporating disaster risk reduction in strategic planning

266. Disaster risk reduction measures should be incorporated into the overall strategic plan and ideally implemented as soon as any reconstruction begins. They should also be promoted continuously throughout the entire reconstruction process and be implemented by all those involved in rebuilding, including governments, humanitarian agencies, the private sector, such as construction companies, local builders and individual homeowners. Because progress of the various risk reduction and management activities, such as assessment of needs, capacities and vulnerability, may happen at different pace, good coordination among stakeholders is needed for disaster risk reduction to be effective.

267. The following diagram illustrates a possible way of integrating such measures into the disaster risk reduction process » T4.3.

Diagram 2.9 Integration of DRR in handover





**2.5**   
Assessment

**Assessment: update and maintain the strategy as a live document**

- Navigation** 268. This section provides information on the importance of coordinating assessment and planning processes and maintaining a strategy as a live document that reflects changing circumstances throughout the response. It also outlines the importance of coordinating emergency, recovery and reconstruction activities to inform the strategic planning process.
  
- Guidance** 269. As well as bringing people together, the strategy is a tool for collating and analysing information from various activities, such as damage and needs assessments. Undertaking these assessment activities, strategic and programme plans will be better informed and more suited to the response. It is also important to collaborate with other organisations in undertaking assessments and to share data to ensure an equitable, comprehensive and integrated response. The next chapter provides guidance on the assessment process »3.1.

**2.5.1 How does assessment facilitate the planning process?**

- Coordinating assessments** 270. A strategy for transitional settlement and reconstruction evolves as the response progresses and participation from the affected community increases. Through the sector coordination body »1.3, regular meetings, involving as many stakeholders as possible, offer a platform where the strategy can continually be adapted to respond to new information gathered from assessments »3.5.
  
- Repeating assessments to inform the strategy** 271. When a change is identified, another assessment may be undertaken to determine the nature of the need or circumstances. In some cases, this may lead to a shift in the planning processes. Managers will be able to identify emerging issues, react to trends and control the effect of their responses through regular monitoring. The shelter response can be monitored »73.5 against the shelter strategy to determine whether programme or project activities are going according to plan and to test the appropriateness of initial planning assumptions. “In the absence of adequate assessment and monitoring, there is a tendency for planners and coordinators to defend initial planning that does not adequately recognise change”  Oxfam, 2005.
  
- Acting on assessment findings and recommendations** 272. The most important outcome of investing the time and effort into conducting good needs assessment is to act on findings and recommendations. The results of the needs assessments should be used to inform and adjust ongoing strategic planning processes, particularly resettlement or reconstruction planning and implementation »2.3.

**Case study**

On 12 January 2010, Haiti was hit by an earthquake measuring 7.3 on the Richter scale. The epicentre was 17 km southwest of the capital city of Port-au-Prince. At least 200,000 people were killed and 1.3 million displaced. The areas around Port-au-Prince were significantly affected. Approximately 190,000 buildings were destroyed or seriously damaged, leaving 1.5 million people in need of shelter assistance.

**The IASC cluster system was activated from day one of the disaster response in coordination with the Haitian government. Within one week a strategic advisory group and several technical working groups were created with regular meetings to coordinate joint efforts and to limit gaps and overlaps. By the second week, the first version of the shelter sector strategy, known as the Shelter Sector Response Plan, was drafted. Elaboration of this strategy took place in the inter-sectoral coordination meetings, co-chaired by the Haitian government in the following weeks. The aim was to achieve an effective coordination mechanism and an inclusive participation of all stakeholders, including government, the humanitarian community, civil defence, military, peace keeping and recovery actors.**

**The humanitarian objective of the Shelter Sector Response Plan was to support and assist the Haitian government to meet emergency and transitional settlement needs of all Haitians affected by the earthquake. This sector strategy was catered to the Haitian context and divided the response into two phases: the first addressing emergency relief in the weeks prior to the hurricane season; and the second addressing recovery and reconstruction in the period from the onset of the hurricane season until durable and sustainable solutions have been achieved. This second period was estimated to take at least five years**  Shelter Sector Response Plan, 2010.

**The 19 million cubic meters (or 25 million cubic yards) of debris created by the earthquake caused significant issues regarding logistics, land tenure and rubble removal. The lack of available and secure land due to rubble not being removed and difficulties in establishing land ownership and tenure has delayed the process of reconstruction.**

- 1**
- Coordination**
- Participation 1.1
- Framework 1.2
- Activities 1.3
- Information 1.4
- Strategy 1.5

- Participation 2.1
- Planning 2.2
- Template 2.3
- Inputs 2.4
- Assessment 2.5

- 3**
- Assessment**
- Participation 3.1
- Assessment 3.2
- Tools 3.3
- Teams 3.4
- Implementation 3.5

- Implementation**
- Participation 4.1
- Options 4.2
- Response 4.3
- Methods 4.4
- Coordination 4.5

- Coordination T1
- Strategy T2**
- Assessment T3
- Implementation T4

- Good practice**
- ▶ The Shelter Sector Response Plan was elaborated and developed in consensus with many stakeholders. It also clearly communicates the sector strategy and its objective to help stakeholders reach agreements.
  - ▶ Inter-sectoral coordination meetings were co-chaired by the Haitian government with a continuous presence of other sectors, such as early recovery and water and sanitation, leading to one of the fastest shelter-relief operations in recent years. Nearly “90 percent of the 1.3 million displaced population received emergency shelter supplies” in the first three months 📖 American Red Cross, 2010.
  - ▶ Disaster risk reduction was well integrated into the Shelter Sector Response Plan, specifically in anticipation of the hurricane season. The strategy included warning systems, evacuation routes, community training for basic first aid response and adapting drainage and adequate latrine systems.
- Challenges**
- ▶ While the government co-chaired the coordination meetings, its capacity was significantly limited by the aftermath of the earthquake. As a result, the two phases of the Shelter Sector Response plan were not effectively coordinated and communicated to all stakeholders, including the affected population. This led to tensions and frustrations, as people were not aware of their rights and entitlements and were unaware that plans were being made for both the long and short term.
  - ▶ Although the strategy was developed, updated and elaborated in the weeks following the earthquake, activities on the ground were not always reflected in the strategy in a timely manner.
  - ▶ Inter-sectoral activities, such as rubble removal, logistics and land property and tenure, were not effectively coordinated. This led to overlaps and gaps in the implementation of the Shelter Sector Response Plan.

**Country level**

1

**Coordination**

Participation 1.1

Framework 1.2

Activities 1.3

Information 1.4

Strategy 1.5

**Strategy**

Participation 2.1

Planning 2.2

Template 2.3

Inputs 2.4

Assessment 2.5

**Programme level**

3

**Assessment**

Participation 3.1

Assessment 3.2

Tools 3.3

Teams 3.4

Implementation 3.5

4

**Implementation**

Participation 4.1

Options 4.2

Response 4.3

Methods 4.4

Coordination 4.5

**Toolkits**

Coordination T1

**Strategy T2**

Assessment T3

Implementation T4



# Assessment

273. This chapter supports the coordination of the existing assessments of sector stakeholders by structuring assessment contributions for transitional settlement and reconstruction into four stages: preliminary assessment, rapid assessment, joint assessment, and monitoring and evaluation.

274. This chapter supports the coordination of the existing assessments by categorising the four assessment subjects into four types: who within the affected population has selected what options for settlement and reconstruction and where, the hazards and risks that threaten the affected population, the livelihood capitals that the affected population may draw upon including human, social and political, natural, physical and financial, and the extent of the damage to buildings and infrastructure.

275. The structure of the chapter is as follows.

- 3.1  **Participation:** involve all stakeholders to carry out assessment, monitoring and evaluation.
- 3.2  **Assessment:** understand different stages and types of assessment subjects.
- 3.3  **Tools:** identify and design tools required to implement assessments.
- 3.4  **Teams:** establish assessment teams required to implement assessments.
- 3.5  **Implementation:** decisions to inform strategic, programme and project implementation.

## Summary of why assessment is needed



- ▶ Liaise with the government to collect baseline data on who is affected and where, and to decide on how the authorities may participate in and be represented in assessments.
- ▶ Collaborate with the government to use national surveys and maps to understand the pre-disaster context for comparison.
- ▶ Contact national, regional and local offices and line ministries to gather, review and disseminate assessment information.

# 3

Introduction

Country level

1

Coordination

Participation 1.1

Framework 1.2

Activities 1.3

Information 1.4

Strategy 1.5

2

Strategy

Participation 2.1

Planning 2.2

Template 2.3

Inputs 2.4

Assessment 2.5

Programme level

Assessment

Participation 3.1

Assessment 3.2

Tools 3.3

Teams 3.4

Implementation 3.5

4

Implementation

Participation 4.1

Options 4.2

Response 4.3

Methods 4.4

Coordination 4.5

Toolkits

Coordination T1

Strategy T2

Assessment T3

Implementation T4

The following points explain the value of a strategy and how it benefits each group involved in the response.



- ▶ Liaise with the affected population to find community representatives who will assist humanitarian stakeholders with assessment activities.
- ▶ Build networks and relationships with communities to facilitate assessment.
- ▶ Identify vulnerable groups and discuss with the affected population, government, implementing agencies and donors criteria for vulnerability.
- ▶ Assess capacities and priorities within the affected population, both for initial response and reconstruction.



- ▶ Liaise with the affected population, government, implementing agencies and donors to agree on a coordination structure.
- ▶ Coordinate with stakeholders to establish information management capacities to use and manage assessment data.
- ▶ Use recognized templates, standards, indicators and tools for assessment and planning to assist communication with stakeholders and to develop joint assessment mechanisms for ongoing monitoring and evaluation.
- ▶ Develop and agree with the affected population and government a sector strategy that is revised regularly with updated assessment information and analysis.



- ▶ Collate information about capacities, resources, damages and local knowledge, then transfer that information regularly to the coordinating agency.
- ▶ Offer capacity for technical and joint assessment.



- ▶ Consider the resources needed in order to implement recommendations made from previous and ongoing assessment, monitoring and evaluations.



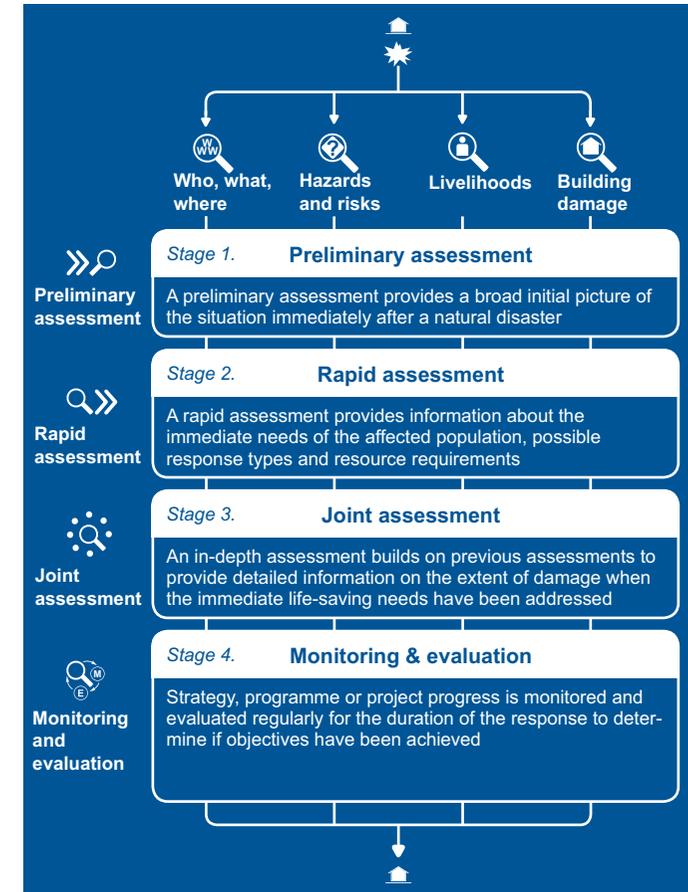
- ▶ Consider liaising with the military to facilitate assessment. Logistical support and security services can assist assessment teams, especially in dangerous situations.



- ▶ Consider the resources and funding available in the immediate post-disaster response period, and develop the necessary contacts with the private sector to facilitate the response activities.

276. The following diagram illustrates the four stages of the assessment process.

Diagram 3.1  
Illustrates the four stages of assessment



The aim of assessment

277. The aim of assessment is to understand the needs of the affected population including location, livelihood and the damage level to buildings and infrastructure. By informing the planning and coordinating process, assessment ensures that any transitional settlement and reconstruction response is appropriate to needs and that the overall response is adapted to the changing circumstances.

278. A response can only be mobilised once the scope of the disaster has been assessed. Together with coordinated information collection, the four different assessment types: who, what, where; hazard and risks; livelihoods; and building damage, should be implemented and built upon over a period of four assessment stages: preliminary assessment, rapid

assessment, joint assessment, and monitoring and evaluation, as illustrated in diagram 3.1. Conducting a combination of different assessment types at different stages enables a better understanding of the needs of the affected population and how the situation on the ground and priorities of the response change.

### 3.1

Participation

## Participation: involve all stakeholders to carry out assessment, monitoring and evaluation

Navigation

279. The stakeholders involved in the assessment, monitoring and evaluation process usually have their own practices and procedures. This chapter supports the coordination of these existing assessments by structuring the assessment process into four stages: preliminary assessment »3.2.1, rapid assessment »3.2.2, in-depth/joint assessment »3.2.3 and monitoring and evaluation »3.2.4.

Guidance

280. Efficient assessment, monitoring and evaluation involve a wide variety of stakeholders, including additional expertise. This process should refer to existing plans and local profiles, take into account people’s livelihoods and identify their capacities and available resources. Undertaking a well represented assessment will facilitate the wider operational response by better informing those involved and by creating reasonable expectations from both the government and those being assessed. Assessments should therefore constitute a continuous dialogue between those assessing and those being assessed by inviting feedback and adapting to new information and circumstances.

### 3.1.1

## Who is involved in the four stages of assessment?

Who is assessing and who is being assessed?

281. Although members of the affected population are the primary respondents in the assessment operations, the entire assessment, monitoring and evaluation process should be as inclusive as possible. This is especially helpful when reviewing existing information, for example, government statistics on land ownership, and identifying the need for further operations. In order to coordinate with the other stakeholders, such as other sectors, it is not only important to identify who is being assessed, but also who is conducting the assessment »3.1. A multi-disciplinary team including people of different ethnicity, ages and genders should be formed to undertake the assessment, monitoring and evaluation processes.

Local knowledge and outside capacities

282. The assessment, monitoring and evaluation process should involve local expertise as well as capacities from different disciplines. Local knowledge and previous experience of disaster in the country or region are equally important. Understanding what local and external capacities are available will allow these resources to be used more effectively.

Involving minority groups

283. Local cultural practices may require that women or minority groups be consulted separately. It is therefore especially valuable to involve both men and women who can collect information from all groups among the affected population in a culturally acceptable manner and who can speak the language of the affected region in the assessment process. In particular, hazard and risk mapping should involve community representatives, who can work with social and technical specialists to assess the suitability of potential sites for settlement and reconstruction »Table T3.11.

 #1  
Strategy

The four stages of assessment

Guiding principle 1, ‘Strategy’, states that “...Diverse groups need diverse solutions and biases will creep in, so a system to redress grievances is a must”.

284. The different stages of assessment are described in diagram 3.2 below.

- ▶ A period of preliminary »3.2.1 and rapid assessments »3.2.2, to obtain information about the immediate needs and resources required.
- ▶ A joint assessment »3.2.3 will follow a rapid assessment, providing information with greater breadth and reliability.
- ▶ Monitoring and evaluation »3.2.4 occur regularly throughout the entire assessment process to continually update the collected information, which is expected to become progressively refined and increasingly thorough throughout the assessment process. Generally, preliminary and rapid assessments are broad in scope and should determine the overall patterns and trends.
- ▶ Detailed information can be collected later during joint assessments.

Introduction

Country level

1

Coordination

Participation 1.1

Framework 1.2

Activities 1.3

Information 1.4

Strategy 1.5

2

Strategy

Participation 2.1

Planning 2.2

Template 2.3

Inputs 2.4

Assessment 2.5

Programme level

Assessment

Participation 3.1

Assessment 3.2

Tools 3.3

Teams 3.4

Implementation 3.5

4

Implementation

Participation 4.1

Options 4.2

Response 4.3

Methods 4.4

Coordination 4.5

Toolkits

Coordination T1

Strategy T2

Assessment T3

Implementation T4

Who is involved in preliminary assessments?

285. A preliminary assessment is an assessment conducted immediately following a disaster »3.2.1. Maximising the number of people available to assess is often a challenge for preliminary and rapid assessments, as what little assessment capacity exists is often committed by individual organisations to their own assessment processes. To maximise the capacity available, it is often effective to design a very simple, non-specialist assessment that requires no technical knowledge »3.3.

#3  
Community

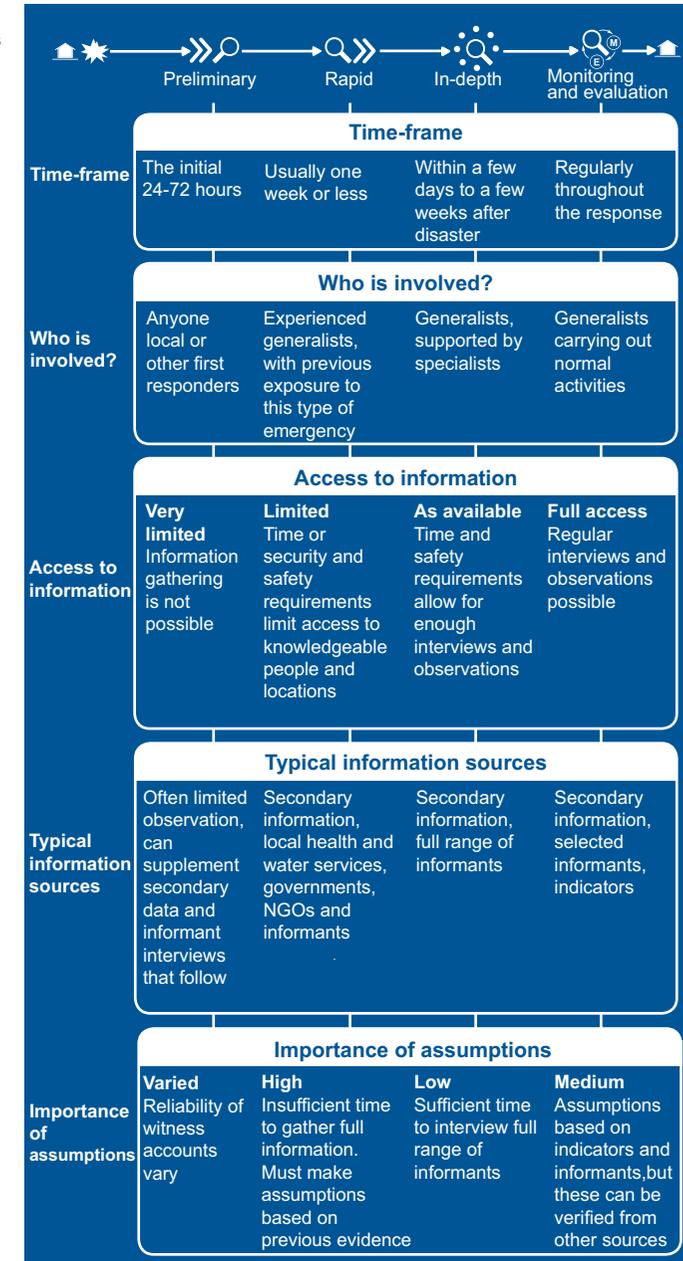
Guiding principle 3, 'Community', states that "People affected by a disaster are not victims; they are the first responders during an emergency and the most critical partners in reconstruction...".

Capacity and process of preliminary assessments

286. Well-designed and straightforward assessments can prevent assessors from asking unnecessary questions and bring together different assessment capacities in preparation for joint assessment at a later time. Capacity for preliminary assessment may comprise of all the stakeholder groups, including the national government, humanitarian organisations and the affected population, where conflicts of interest can be avoided. Members of the search and rescue teams, who are the first to arrive after a natural disaster and who have good understandings of the hazards, displacement and damage pattern in the affected areas, can be particularly helpful in preliminary assessments »3.4.1.

287. The following diagram illustrates the four stages of assessment as discussed in this section.

Diagram 3.2  
The four stages of assessment



Who is involved in rapid assessments?

288. A rapid assessment »3.2.2 is an assessment conducted soon after a disaster, usually within the first two weeks following a natural disaster. It may or may not be preceded by a preliminary assessment »3.2.1. Rapid assessments are often based on a combination of observations and semi-structured interviews to create a profile of those affected rather than assessing each family »T3.5.1.

Who is involved in in-depth assessments?

289. In-depth or detailed assessments follow rapid assessments and are often undertaken as joint assessments with other agencies or sectors »3.2.3. They are conducted after the immediate life-saving needs have been addressed. Ideally, every affected family is assessed when conducting in-depth assessments. Experts and specialists are required to support gaps in capacity, for example, in testing building structures, defining risks and damage levels, and assisting with issues regarding housing, land and property rights »3.4.1. Best results are found when the assessment teams are made up of multiple generalists with excellent listening skills and varied backgrounds.

 #9  
Assessment

Guiding principle 9, 'DRR', states that "Continuous assessment and monitoring can improve reconstruction outcomes. Assessment and monitoring improve current (and future) reconstruction...".

Building and risk assessment

290. Building damage assessment involves physical surveys of private housing, commercial and industrial buildings, as well as, public buildings and infrastructure by engineers, architects, or other experts with specialised technical knowledge. Risk assessment can involve professional teams comprising of experts such as engineers, hydrologists and seismologists using advanced methodologies and tools such as GIS »T3.4.1.

Who is involved in monitoring and evaluation?

291. Assessments should be accompanied by regular monitoring and evaluation throughout the entire information collection process »3.2.4. Strong stakeholder participation is needed for this process. Humanitarian and development organisations should coordinate closely from the outset of a disaster response to gather and share information so that the analysis and planning for emergency and transitional shelter can be directly linked to the analysis and planning for permanent housing and settlements. Evaluation donor aid organisations can use the evaluations to assess their contribution effectiveness and to inform future contribution practices.

## 3.2 Assessment

### Assessment: understand different stages and types of assessment subjects

Navigation

292. This section offers further information on the four stages of the assessment, monitoring and evaluation process, including the timeframe, available access, likely sources and quality of the information. This section also offers information on the four types of assessment subjects: who, what, where; hazard and risks; livelihoods; and building damage, as well as guidance on market analysis and environmental planning.

Guidance

293. An assessment is a snapshot of the emergency situation at a single point in time. The situation and needs after a disaster will change from day to day, therefore the specific timeframe and methods used to carry out assessment, monitoring and evaluation operations following a rapid-onset natural disaster will vary. The details of each operation will be subject to contextual factors, such as the security situation, physical access to the affected area, and/or the financial and human resources available. Consideration should be given to the design of the assessments regarding what data to collect and how best to inform decisions. A carefully designed assessment should build upon the previous one to avoid collecting unnecessary or overlapping data and to maintain assessment, monitoring and evaluation as a continuous process »3.2.4; T3.4.1.

#### 3.2.1

#### What is a preliminary assessment?

Overview of preliminary assessments

294. Even in the midst of an emergency, it is still possible to begin the process of collecting key data. Preliminary assessments are designed to provide as broad an initial picture as possible. While the response will be updated and adjusted as more assessments are undertaken and as more information emerges, the information collected in the preliminary assessments, when verified and expanded, can serve as the basis for determining the type and amount of relief needed during the immediate response after a disaster.

 #2  
Reconstruction

Guiding principle 2, 'Reconstruction', states that "Reconstruction begins the day of the disaster. If traditional construction methods need to change to improve building safety, governments must be prepared to act quickly to establish norms and provide training...".

Purpose of preliminary assessments

295. Specifically, preliminary assessments are conducted to gain a general understanding of the following:

- ▶ who within the entire affected population has selected what option for transitional settlement and reconstruction, and where;

Introduction

Country level

1

Coordination

Participation 1.1

Framework 1.2

Activities 1.3

Information 1.4

Strategy 1.5

2

Strategy

Participation 2.1

Planning 2.2

Template 2.3

Inputs 2.4

Assessment 2.5

Programme level

Assessment

Participation 3.1

Assessment 3.2

Tools 3.3

Teams 3.4

Implementation 3.5

4

Implementation

Participation 4.1

Options 4.2

Response 4.3

Methods 4.4

Coordination 4.5

Toolkits

Coordination T1

Strategy T2

Assessment T3

Implementation T4

- ▶ whether the options selected are at risk from immediate hazards »Table T3.11;
- ▶ how all the human, social and political, natural, physical and financial capitals may initially contribute to the recovery of the affected population »T3.2.6; and
- ▶ where the damaged buildings are concentrated within the affected area »T3.2.7.

Timeframe of preliminary assessments

296. Preliminary assessments are carried out during the initial 24–72 hours after a natural disaster. These assessments are usually very limited in scope and duration.

Access and typical information sources

297. Access to information in preliminary assessments is also very limited and may comprise only observations and witness accounts. These records, however, if systematically gathered using simple pre-designed standard forms »T3.5.2, can be an invaluable source of information for planning both ongoing emergency settlement and reconstruction programmes. This information can be combined with secondary data and some key informant interviews in subsequent assessments following the disaster.

Quality of information in preliminary assessments

298. The quality of the information collected from preliminary assessments will vary significantly. This is especially the case because virtually anyone, trained or untrained, can conduct a preliminary assessment either during or immediately following an emergency.

### 3.2.2 What is a rapid assessment?

Overview of rapid assessments

299. Rapid assessments are conducted to provide information about immediate needs, possible response types and resource requirements and the extent of damage to housing and shelter. It should form the preliminary basis of establishing baseline information, confirming or adjusting strategic objectives and identifying desired programming outcomes »2.3.1. These assessments also identify which in-depth or joint assessments will need to be conducted to collect further information »3.2.3.

Purpose of rapid assessments

300. Specifically, rapid assessments are conducted to gain a general understanding of:

- ▶ the profiles of the groups involved (for example whether they are urban or rural, tenants or owners), what proportion of the affected population has selected what option for transitional settlement or reconstruction and where;
- ▶ what hazards can threaten each family as identified by the community and what possible risk mitigation strategies are available »3.2.6;
- ▶ what human, social and political, natural, physical and

financial capitals are critical to the response based on the profiles of families and communities »T3.2.6; and

- ▶ the level of damage to each building type as classified by size and material, for example reinforced concrete apartments or masonry houses »T3.2.7.

Timeframe of rapid assessments

301. A rapid assessment builds on any preliminary assessment that has been undertaken »3.2.1. It is conducted usually within the first week following a disaster but should be carried out as soon as possible while any life-threatening or critical need is being addressed. The duration of the assessment process normally takes one week or less.

Access and typical information sources

302. In rapid assessment, there may not be enough time to collect all the necessary information. Whatever first-hand information can be gathered must be supplemented by secondary information and local services. It is important to choose the sites of rapid assessment carefully because often it is not possible to visit all sites. Similarly, it is important to consult as diverse a group of people as possible because it is not always possible to conduct many interviews within tight time deadlines.

Quality of information in in-depth assessment

303. Assumptions must often be made based on previous evidence when conducting rapid assessments because there is insufficient time to gather full information »3.2.4. It is possible, however, to collect information on patterns and indicators of potential problems as well as identify vulnerable populations when conducting a rapid assessment. The information collected may be inter-sectoral or sector specific. Those involved in rapid assessment will need to make an early decision about the relative desirability of qualitative and quantitative data. This will depend on the purposes for which the assessment is being conducted and who will be using the collected information. If the users have identified exactly what information is needed and in what form it should be represented, then the assessment tools and methods should be designed to meet these specifications »T3.3.1.

### 3.2.3 What is a joint assessment?

Overview of in-depth assessments

304. Joint assessments, are formally coordinated assessments that build on preliminary »3.2.1, and rapid assessments »3.2.2, to fill in gaps in addition to acquiring new information. Joint assessments are undertaken with other agencies or sectors whenever possible. Joint assessments enable efficient use of resources, allow sharing of information and decisions, and reduce assessment fatigue.

Purpose of in-depth assessments

305. Specifically, joint assessments are conducted to gain a general understanding of the following:

- ▶ which family has selected what option for transitional settlement or reconstruction and where, and which further options they may be moving to;
- ▶ what additional or alternative strategies are available to mitigate the hazards identified »T3.2.6;
- ▶ what human, social and political, natural, physical and financial capitals are critical to each family based on market analysis »T3.2.6; and
- ▶ the nature of the damage to individual buildings and which responses may be the most appropriate »T3.2.7.c.

Timeframe of in-depth assessments

306. Generally it is possible to conduct a more detailed sector-specific assessment after the first month of the disaster, but an in-depth assessment can be undertaken from within a few days to a few weeks after the disaster as long as the immediate life-saving needs have been addressed. A typical joint assessment takes approximately to complete depending on scope and resources. It is possible to select a wider range and number of places to visit when conducting an in-depth or joint assessment »3.2.3.

Quality of information in in-depth assessments

307. In addition to focusing on the area and population directly affected by the disaster, in-depth assessments can collect information from areas and populations that are indirectly affected, such as the neighbouring communities or the host population. Information from unaffected areas and populations are also useful for establishing baseline data in housing and human settlement patterns. This information can inform planning and avoid tensions between or within communities. It is also possible to negotiate agreements with the stakeholders on selection criteria and methods by which the objectives of the assistance will be achieved »2.3.1; 4.4. Attention and spot-checking are required to ensure that damage categorisations are used consistently. It should be noted that the data from the first in-depth assessment may not be definite and more information may be found during implementation. Any new data will modify the total figures for damage buildings and damage level categorisations »3.2.7.c.

### 3.2.4 What are monitoring and evaluation?

Overview of monitoring and evaluation

308. Systematic and continuous assessment is required in order to obtain an accurate and up-to-date understanding of the situation of the affected population and how that situation has changed over time. While monitoring enables systematic information collection and analysis as programmes and projects progress, evaluation compares the actual programme and project impacts against the agreed sector strategy, plan of action or policy, as well as its indicators and scenarios »2.5.1. Both direct and indirect results of the implemented programme

Purpose of monitoring and evaluation

should be assessed, with consideration given to social, technical, environmental, economic and institutional effects 🗨️ IFRC 2010.

309. Specifically, monitoring and evaluation are conducted to maintain an understanding of:

- ▶ who has selected what option for transitional settlement and reconstruction and where as well as how this information changes over time as members of the affected population move between options;
- ▶ how the implemented hazard mitigation procedures manage the risk and also how the response may have changed the risk to hazards »T3.2.6;
- ▶ how the response has impacted the livelihoods of the affected population; and
- ▶ how the response has retrofitted, repaired or rebuilt damaged buildings, as well as any further damage from any subsequent disaster »T3.2.7.c.

Timeframe of monitoring and evaluation

310. Once a joint assessment »3.2.3 has been carried out, information should be continuously collected, updated and analysed to ensure that programmes remain relevant and effective. Monitoring and evaluation procedures, however, should be in place from the beginning of the response and occur throughout the assessment process.

Access and typical information sources

311. Analysing the information collected from assessment operations, monitoring and evaluation procedures can be used to identify if the strategy, programme or project is meeting plan objectives as defined during the assessment and planning process »2.5.1. Monitoring and evaluation include soliciting feedback from the affected communities and reporting to them on the progress as checked against these indicators and other issues they raise »2.5.1; T 1.5.

312. The focus of the monitoring and evaluation is to build on the knowledge base, not just to confirm the correctness of collected information. Assumptions and uncertainties frequently occur and must be documented by the team »3.2.4. Assumptions made in the previous stages of assessments should also be verified. Monitoring and evaluation can inform the development and updating of scenarios as well as provide information on whether predicted or new scenarios are emerging. Strategy and programmes can then be updated accordingly »2.3.1; 2.5.1.

### 3.2.5 What are the four types of assessment subjects?

Overview of the four types of assessment subjects



Purpose of rapid assessments

313. After disasters, the coordination body and planners will need to make decisions based on where people are, what condition they are in, what their needs are, what services are still available and what resources have survived »2.1. This overall picture requires information on what has happened as a result of the disaster and what needs to be done.

Guiding principle 4, 'DRR', describes assessment as a planning process, which corresponds to an effective agenda for a financially realistic reconstruction policy.

314. Specifically, preliminary, rapid and in-depth/joint assessments, monitoring and evaluation are conducted to find out the following four subjects:

- ▶ who within the affected population has selected what options for transitional settlement and reconstruction and where;
- ▶ the hazards and risks that the affected population faces »T3.2.4;
- ▶ the livelihood capitals-including human, social and political, natural, physical and financial-that the affected population may draw upon »T3.2.6; and
- ▶ level of building damage, initially with respect to different building types and later with respect to individual buildings »T3.2.7.

Assessing who, what and where

315. After a natural disaster, it will not be immediately clear what and where the problems are. Information about the affected areas should be obtained as soon as possible, including the number of people requiring immediate assistance, the levels of damage to infrastructure and lifelines, the level of continuing or emerging threats and the possibility of providing help. This information should be compared with the data available from other sectors and together with the government made available to the public »1.4; 2.1.

Assessing hazard and risks

316. Hazard and risk assessments should be undertaken as the priority assessment operations as the safety of the affected population is paramount. These assessments should then be combined with damage, needs and capacity assessments »T3.2. One of the main purposes of post-disaster risk assessment is to identify any secondary hazard and risks that require urgent actions, such as evacuating vulnerable communities in order to save lives and to protect properties and the environment. Another purpose of hazard and risk assessments is to gain an understanding of the causes and

Assessing livelihoods

patterns of damage, particularly what makes buildings and settlements vulnerable. This knowledge will help inform the disaster risk reduction activities and the strategies, programmes and plans »2.2; 4.5; T3.3.

317. Assessment is undertaken to help the government, local authorities and the humanitarian community to identify the most appropriate livelihood assistance in order for the affected population to upgrade incrementally from emergency to durable solutions as soon as possible. Assessments also allow the affected communities to identify and implement their own solutions to the fullest extent possible in a coordinated manner, specifically by identifying the resources and opportunities available from the following »4.4:

- ▶ human capital, including available skills and labour that are important to the development of livelihoods;
- ▶ social and political capital, such as legal and technical expertise as well as training and capacity building;
- ▶ natural capital, including any environmental resources and the opportunities and constraints presented by the immediate surroundings;
- ▶ physical capital, such as housing, infrastructure, and communal building; and
- ▶ financial capital, such as market interventions, insurance and guarantees.

Introduction

Country level

1

Coordination

Participation 1.1

Framework 1.2

Activities 1.3

Information 1.4

Strategy 1.5

2

Strategy

Participation 2.1

Planning 2.2

Template 2.3

Inputs 2.4

Assessment 2.5

Programme level

Assessment

Participation 3.1

Assessment 3.2

Tools 3.3

Teams 3.4

Implementation 3.5

4

Implementation

Participation 4.1

Options 4.2

Response 4.3

Methods 4.4

Coordination 4.5

Toolkits

Coordination T1

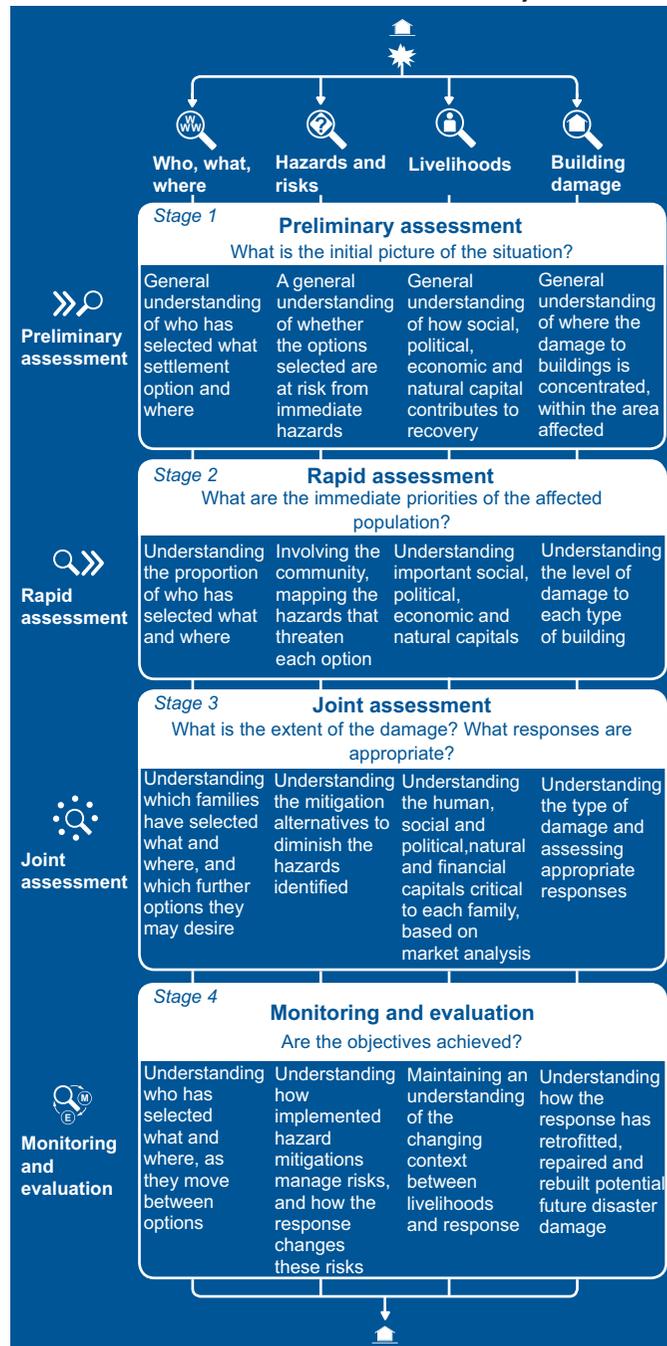
Strategy T2

Assessment T3

Implementation T4

318. The following diagram illustrates the four stages of the assessment in relation with the assessment subjects.

Diagram 3.3 Interaction between the assessment stages and assessment subjects



Assessing building damage

319. Damage and loss assessment (DaLa) seeks to provide an estimate of the physical damage caused by the disaster and the cost to replace the damaged structures. A housing damage assessment collects information needed to support decisions about providing shelter assistance, training, and technical assistance for transitional settlement reconstruction » T3.2.7. Housing damage assessments serve these purposes:

- ▶ public safety: identifying whether houses can be occupied during reconstruction (a housing safety inspection process may be required);
- ▶ planning: to quantify the funds, time, and other resources required for recovery;
- ▶ technical: to provide information of the types of damage and the technical skills required in reconstruction; and
- ▶ economic and social: to provide data on the impacts of the disaster at the household level.

#6 Development

Guiding principle 6, 'Development', states that "Even a modest amount of time spent designing or updating physical plans can improve the overall result of reconstruction. Establish reconstruction guidelines that preserve what is valued while encouraging more sustainable post-disaster settlements..."

### 3.2.6

#### How can understanding the livelihoods of the entire affected population better inform the planning process?

Understanding livelihoods

320. Support to both displaced and non-displaced populations should be guided by an understanding of the different assets upon which they draw to build their livelihoods. Pre-disaster economic activities and the opportunities within the post-disaster context should be central to planning how the sector contributes to the recovery of the affected population. This understanding should include agricultural land capacity; marketplace proximity and access; availability of local services relevant to economic development. Vulnerable groups and host communities may have differing social and economic requirements and must be assessed accordingly Sphere Project, forthcoming 2011.

Understanding markets and the economy

321. Understanding the most critical market-systems in an emergency situation enables the government and the humanitarian community to consider a broader range of responses. Both long-term and short-term markets play a vital role in supplying resources, such as construction materials, and services, such as labour, that are important to supporting survival and recovery. In recent years, the international humanitarian community has been adapting responses to include cash-based initiatives and local procurements

supplementing or replacing conventional relief distributions of food and non-food items. A good understanding of the critical market systems will help make the most of the response to restore livelihoods, jobs and businesses allowing long-term security to develop »T3.2 ; IFRC 2010.

Using market analysis to inform the development of the sector strategy

322. Understanding how markets function and how they are disrupted after a disaster allows analysis of vulnerability and livelihood. Information on the markets can also inform the decision of appropriate assistance methods and approaches »4.4.3; T3.2 such as conventional in-kind distributions and cash-based interventions. These assistance methods can include local procurement as well as innovative forms of market-system support that enable humanitarian programs to make better use of existing market capabilities »T3.2.

### 3.2.7 How can environmental planning and management issues inform the planning process?

Understanding environmental impacts

323. Every natural disaster impacts the environment, for example, by damaging ecosystems or producing waste. While disaster response can create additional stress on the environment, it can also be an opportunity to address these impacts if environmental issues are considered and incorporated, from the beginning, into planning process at all levels. Understanding the relationship between the built and the natural environments specific to the affected areas will inform issues such as environmental recovery, impact mitigation of shelter response, and sustainable development World Bank, 2010. By integrating these issues in the plans, actions can be taken to mitigate and minimise negative environmental impact from the disaster during assessment and implementation »4.4; 3.2.

Environmental planning and reconstruction

324. Reconstruction deals with two main environmental concerns. One is to restore the environment from the damage caused by the disaster, the other is to minimise the environmental impact of the reconstruction process itself. These issues should be addressed particularly in site planning, construction methods, construction materials and disaster debris management. Site planning in new settlements should be governed by ecological concerns and both the construction methods and choice of materials should be based on sustainable local practices. While rubble and debris can be a valuable source of construction material, especially when using transitional shelters, some can be harmful to the workers or the environment, including asbestos. Care should be taken to manage disaster debris reuse during reconstruction »T3.2.

Using environmental management to inform the development of the sector strategy

325. Human settlements rely on limited natural resources. In the aftermath of a natural disaster where the natural environment is already damaged, additional demands on the environment during emergency, recovery and reconstruction are often necessary. This consideration should be integrated during the development of the strategy, plan of action or policy to inform decision-making. For example, the affected population should be dispersed into small settlements in environments with sufficient natural resources in order to minimise damage of human habitation. Whenever possible, assistance methods should be offered and approached in ways that produce the least impact on the environment, such as considering existing land and wooded areas when distributing timber for construction or using transitional shelters which can be upgraded over the longer term, reducing immediate impact on the environment.

### 3.2.8 How to maintain assessment, monitoring and evaluation as a continuous process?

Build on previous work

326. Even though assessments begin immediately following a disaster, they are part of a continuous process, along with monitoring and evaluations. This continuous process involves many iterations across the response effort allowing indicators to be monitored and conclusions to be verified. This is particularly important when the situation is unstable or evolving rapidly, such as when a natural disaster occurs in a conflict-affected area. In the first few days preliminary and rapid assessments are conducted by the government, usually with the assistance of the humanitarian community. As more and more stakeholders become involved in a response, existing assessments should be used and built on. Planning at all levels can only be as accurate as the assessments that inform them »2.5.

Avoid one-off assessments

327. Many responding agencies base strategy and/or assistance planning and programming decisions on a one-off assessment carried out a few days or weeks after the disaster. In this case, avoidable mistakes may only be discovered during evaluation after the programmes have been completed. Instead, the assessment, monitoring and evaluation process must be ongoing and the operations should be designed to contribute to broader sectoral and inter-sectoral processes.

Harmonised and optimised approach

328. Choosing exactly what information is most important to collect, given time and resource limitations, can be challenging. The choices made will depend on the specific context, the nature and scale of the disaster and the mandate of the organisation. Good cross-sectoral cooperation, coordination and information sharing ensures key sectors are linked to and influence each other »1.3.

Sector coordination and assessment

329. General or sectoral procedures can serve as a basis for designing transitional shelter assessment activities. This will allow the results to be compared with other sectors' assessments and monitoring and evaluation activities »3.2.

### 3.3

Tools

## Tools: identify and design tools required to implement assessments

Navigation

330. Assessment tools are required to carry out and document the assessment, monitoring and evaluation processes as described in the previous section »3.2. This section offers guidance on how to design these tools and what considerations should be taken into account. The next section »3.4, describes how to establish assessment and monitoring teams and Section 3.5 »3.5 provides information on combining teams and tools to implement assessment, monitoring and evaluation.

Designing tools for implementing assessment, monitoring and evaluation processes

331. Assessment, monitoring and evaluation are undertaken to identify what is needed and what capacity is available to meet that need. The tools for assessment, therefore, should be designed to facilitate this process. The design of appropriate tools is best undertaken in a team discussion while consulting or involving as many stakeholders as is practical. Some tools require specific training, special access or information, so an analysis should be made of the supporting resources available and the likely constraints before using the tools in the field »1.4. The following list outlines a series of activities to design assessment, monitoring and evaluation operations. These activities are explained in details in the toolkit »T3.3.

- ▶ Activity 1: determine the profile of the affected community
- ▶ Activity 2: decide what information to collect
- ▶ Activity 3: select areas to visit (geographical)
- ▶ Activity 4: design tools and methods to be used
- ▶ Activity 5: create a database to analyse information
- ▶ Activity 6: test the assessment tool

### 3.4

Teams

## Teams: establish assessment teams required to implement assessments

Navigation

332. This section explains how to establish appropriate team structures for assessment, monitoring and evaluation processes. This should be read in conjunction with the previous section on designing assessment tools »3.3, and with the toolkit »T3.4. Refer to section 3.1 for other stakeholders involved in the assessment, monitoring and evaluation process »3.1.

Guidance

333. Assessment teams should comprise of appropriate expertise and representation, including the affected communities. Team members should receive briefings or training on using assessment tools and be familiar with what is entailed in their operation and the specifics of the assessment environment  World Bank, 2010. Establishing the appropriate team structure should be based on the circumstances surrounding each assessment. The following activities outline how to identify these key issues. These are presented in greater detail in the toolkit »T3.4.



Stakeholders

Guiding principle 8, 'Stakeholders', states that "Civil society and the private sector are important parts of the solution. The contributions of non-governmental organisations (NGOs), civil society organisations (CSOs), and the private sector to reconstruction are critical...".

- ▶ Activity 1: coordinate with others and identify stakeholders
- ▶ Activity 2: identify possible vulnerable groups
- ▶ Activity 3: create assessment, monitoring or evaluation teams
- ▶ Activity 4: define objectives of assessment and terms of reference
- ▶ Activity 5: coordinate how resources and capacities will be shared
- ▶ Activity 6: review existing information
- ▶ Activity 7: carry out team training and preparations

334. Assessment team structure should be chosen to meet the requirements for each assessment. The following considerations should be taken when establishing the team.

- ▶ Each team member who does not speak the local language(s) should have an interpreter
- ▶ The team should include both men and women
- ▶ Include representatives of the affected population in the team if possible and appropriate

Introduction

Country level

1

Coordination

Participation 1.1

Framework 1.2

Activities 1.3

Information 1.4

Strategy 1.5

2

Strategy

Participation 2.1

Planning 2.2

Template 2.3

Inputs 2.4

Assessment 2.5

Programme level

Assessment

Participation 3.1

Assessment 3.2

Tools 3.3

Teams 3.4

Implementation 3.5

4

Implementation

Participation 4.1

Options 4.2

Response 4.3

Methods 4.4

Coordination 4.5

Toolkits

Coordination T1

Strategy T2

Assessment T3

Implementation T4

- ▶ Care should be taken to select a team with varied backgrounds to balance any biases of individual team members. 📖 IFRC, 2005

### 3.4.1 What types of assessment teams may exist?

Assessment team structure

335. Assessment team structures should be adjusted to reflect the context and needs specific to the situation. The teams, however, will generally take one of the following forms 📖 IFRC, 2005:

- ▶ generalist team comprise one or more people with experience but no specific technical background;
- ▶ specialist team comprise one or more people chosen because of their specific experience and skills; or
- ▶ multi- disciplinary teams comprising of a group of specialists representing all aspects of the response work, including engineers, health workers and other specialists.

General assessment team

336. Having generalists as part of the assessment team has the following advantages and disadvantages.

Advantages

- ▶ Quick assembly of teams is possible because specialists do not need to be located
- ▶ Generalists provide overall coverage and analysis of the situation
- ▶ Continual assessment is possible as any staff member can perform the assessment
- ▶ Technical problems will need follow-up assessments
- ▶ Technical problems may be overlooked
- ▶ Extreme situations may require the generalist team to assist in areas where they are not prepared or trained 📖 IFRC, 2005

Specialist/expert assessment teams

337. Having specialists and experts as part of the assessment team has the following advantages and disadvantages.

Advantages

- ▶ They can quickly identify problems in their area of expertise

Disadvantages

- ▶ They may focus too much on their own specialised areas and miss the wider context 📖 IFRC, 2005

Multi-disciplinary assessment team

338. Having multi- disciplinary personnel as part of the assessment team has the following advantages and disadvantages.

Advantages

- ▶ Technical problems can be investigated in detail, thus avoiding need for immediate follow-up

Disadvantages

- ▶ Diverse experiences provide broad basis for analysis
- ▶ It may be difficult to assemble the full range of professions to conduct assessment operations frequently
- ▶ Not all of the technical specialities may be needed
- ▶ It may be difficult to coordinate team members due to incompatible methodologies or complicated logistics
- ▶ Large teams can present a security threat and can be intimidating to small communities 📖 IFRC, 2005

Need for experts in assessment

339. Following preliminary and rapid assessments, experts are required to support gaps in capacity, for example in the structural testing of buildings, defining damage levels, and assisting with housing, land and property issues. When conducting an assessment, capacities from different disciplines as well as local expertise should be used. Local knowledge and previous experience of disaster in the country or region are equally critical. Understanding both local and outside capacities will help in using them more effectively 📖 IFRC, 2005.

340. The inclusion of vulnerable groups in the assessment is not required unless specific efforts are planned to ensure their involvement »3.1. This is not just a quantitative issue, but a qualitative one, since addressing the post-disaster needs of these groups may require that special measures be taken in reconstruction 📖 World Bank, 2010. Good practices include:

- ▶ involving members of vulnerable groups in assessment and in all stages of decision making;
- ▶ obtaining information about the needs of the affected group from both men and women;
- ▶ collecting data desegregated by sex, age, health status, economic class, etc., and then using the desegregated data in both program planning and monitoring;
- ▶ paying special attention to groups that experience social exclusion, such as the handicapped, widows, and female heads of household; and
- ▶ assessing disaster impact on the informal social protection systems that vulnerable groups depend on, not just the “bricks and mortar” impacts 📖 World Bank, 2010.

Risk assessment teams

341. Risk assessment can involve professional teams comprising of experts such as engineers, hydrologists and seismologists using advanced risk assessment methodologies such as GIS. At the other end of the scale it is possible to de-professionalise the entire assessment by using members of the affected population. The value of this lies in their gradual “buy-in” to the process of understanding risks that can then naturally lead them to play a key role in promoting risk reduction

measures. Community representatives can also assist the team in hazard and risk mapping. Together with social and technical experts, the original site can be assessed for rehabilitation and vulnerability reduction.

Search and rescue teams

342. Search and rescue teams are not generally used for conducting assessments, however their members may often be able to provide crucial baseline information collected during the course of their duties, for example an initial analysis of needs. Information obtained by search and rescue teams is often general as opposed to detailed, but nonetheless has the potential to speed up the process of later assessment missions.

Needs assessment teams

343. Governments may lack the capacity to conduct household assessments in the aftermath of natural disasters. Damage assessment teams therefore often work together with search and rescue teams to avoid creating gaps in assessment and to minimise duplication and overlap.

Cooperation between teams

344. Duplication of assessment can be avoided through coordination and cooperation between different assessment teams. For example, damage assessment teams should combine and share information with demolition, rubble removal, and waste management teams in order to avoid overwhelming the local population with assessments and assessors, and to hasten the information collection process.

### 3.5 Implementation: decisions to inform strategic, programme and project implementation

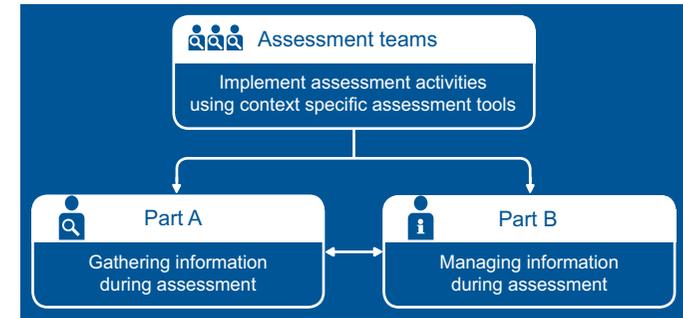
Navigation

345. This section offers guidance on how established teams undertake assessment processes using the tools described above [» 3.3](#). Assessment should be implemented through a parallel process of gathering information and managing information as illustrated in diagram 3.4 [» T3.5.1; T3.5.2](#). *The toolkit provides additional information on tasks that help ensure best practices are followed during the assessment, monitoring and evaluation process* [» T3.5](#).

Guidance

346. By undertaking the activities listed below, the sector strategy and supporting programme and project plans [» 2.2](#), will be better informed and better suited to the response.

Diagram 3.4  
Implementing a parallel process



Part A:  
gathering information during assessment [» 3.5.1](#)

348. The following activities outline how teams should gather information during assessment. Information is managed and organised as it is gathered and information collection and management should feed into each other continuously. Further guidance is provided for each activity in T3 [» T3.5.1; 3.5.2](#).

- ▶ Activity A1: make appointments with local authorities or representatives.
- ▶ Activity A2: inform affected populations and participating stakeholders of the assessment schedule. Local authorities should also be informed, especially if the response plan is country-wide. Agencies must announce themselves before arrival and inform local authorities of their planned activities.
- ▶ Activity A3: collect information.
- ▶ Activity A4: ensure affected populations and participating stakeholders are aware of how information will be used.
- ▶ Activity A5: build and maintain relationships for future assessment, monitoring and evaluation.

Part B:  
managing information gathered during assessment

349. The following activities outline how assessment teams should manage information and coordinate with other assessment teams. It is worth emphasising again that information is collected and managed simultaneously and both processes should feed into each other continuously [» 3.5.1](#). Further guidance is provided for each activity in Toolkit 3 [» T3.5.2](#).

- ▶ Activity B1: analyse the information.
- ▶ Activity B2: consolidate and validate findings.
- ▶ Activity B3: conclude and make recommendations.

- ▶ Activity B4: maintain linkages with coordination, strategic development and implementation by undertaking continuous monitoring and evaluation.
- ▶ Activity B5: provide feedback to participating stakeholders to maintain relationships and to assist the overall response.



### 3.5.1 How to ensure assessment, monitoring and evaluation best practice?

Navigation/  
Guidance

350. Coordination among different stakeholders is essential to the success of assessment, monitoring and evaluation systems. By carrying out effective monitoring and evaluation activities, support is given to government ministries and agencies, aiding the management of activities and evidence-based policy-making. The implementation and outcome of these processes will also enhance transparency, support accountability and facilitate inter-sector relationships. The following list of ten activities is adapted from Guidelines for Emergency Assessment and summarises best practice for the implementation of assessment processes (IFRC, 2005).

- ▶ Activity C1: consult the affected population.
- ▶ Activity C2: consider the particular needs of different groups and individuals.
- ▶ Activity C3: consider the reliability of information.
- ▶ Activity C4: consider biases.
- ▶ Activity C5: ensure the marginalised groups are considered.
- ▶ Activity C6: look for changes and trends that may affect society.
- ▶ Activity C7: look out for the unexpected.
- ▶ Activity C8: consider the impact of inter-sectoral and/or cross-cutting issues.
- ▶ Activity C9: consider how the information will be used.
- ▶ Activity C10: time field visits carefully.

### Case study

The Indian Ocean tsunami was the result of a major earthquake that occurred on the 26th of December 2004, which devastated the coastal areas of India, Indonesia, Sri Lanka and Thailand, as well as several countries in East Africa. The greatest destruction was in Aceh Province at the northern end of the Indonesian island of Sumatra, where 167,000 people were reported dead or missing, 117,000 houses were damaged or destroyed and over 800 km of coastline was devastated. Approximately half of the total funds for the response was spent on transitional settlement for those who were displaced and on reconstruction for those who were not displaced or who returned. For many agencies, this proportion was over twice of what was spent on any other single sector of the response.

**The response was the first to adopt the new approach of transitional shelter (ALNAP, 2010). This approach was developed as part of the concurrent responses in Sri Lanka and in Indonesia and was a direct result of the assessments conducted in the affected regions for a previous response. These assessments focused on material availability and land use. The development of the first sector strategies was informed by the results of these assessments.**

The assessments and the strategies clearly identified that reconstruction was likely to take a number of years. During this period, tents – the typical international shelter response – would not suffice. It was only through assessment and subsequent analysis that the innovative use of transitional shelter was identified. In Sri Lanka alone, the vast majority of the displaced population was accommodated in transitional shelter settlements over the years of their displacement, which contributed significantly to their recovery.

The most successful reconstruction in this response was also based upon sound assessments involving the affected communities. Subsequent evaluations found that many of the less successful programmes had not been supported by sufficient assessment, particularly of building sites and the availability of appropriate materials. Ultimately, insufficient information prevented effective and efficient programme implementation (ALNAP, 2010). The monitoring process was also criticised, especially in the area of quality assurance during the building process. This led to some construction that was ill-suited to areas at-risk of earthquakes and flooding.

**In a number of the affected countries, it was also difficult to reach consensus on the assessment processes for joint assessment. The lack of agreement led to delays in forming comprehensive overviews of the context and in developing integrated sector strategies.**

- Good practice**
  - ▶ In some of the affected countries, rapid assessment was undertaken soon after the disaster by the government with the support of the humanitarian community. As a result, the needs of the affected population and priorities for appropriate support were effectively and efficiently determined.
  - ▶ Some successful land assessment was carried out by agencies with affected communities through a participatory system of land mapping. Volunteers were trained to identify landmarks and produce drawings and maps by agreeing with families on parcel boundaries.
  - ▶ Agencies which led a comprehensive and well developed assessment programme in the aftermath of the disaster obtained qualitative results for housing reconstruction.
- Challenges**
  - ▶ Even though some agencies adopted participatory approaches to assessment, these were not always followed through with standardised assessments of land losses, needs, damage and capacities to ensure sustainable sites used for reconstruction.
  - ▶ In more than one instance, poor assessments led to communities being encouraged to return to hazardous and unsuitable sites for settlement and reconstruction, such as on land where the earthquake had caused topographical changes.
  - ▶ Limited assessments of the construction industry, especially regarding the supply and availability of materials, led to considerable delays in implementation and significant concerns over environmental impacts.

### Cross-cutting issues and other sectors

- Navigation**

351. This section provides a series of key points relevant to shelter stakeholders. The response effort as a whole therefore needs to present a holistic understanding of the disaster situation by addressing these issues in an integrated manner, communicating continually with other sectors.
- Guidance**

352. These topics were elaborated in this chapter. These bullet points are presented to summarise the key issues.



Gender

- ▶ Participatory assessment with the community will identify and address the capacities, concerns and needs of women, girls, boys and men.
- ▶ Plans are developed and implemented to respond to gender inequalities and ensure access and safety for all of the affected population. This includes hiring both men and women for the assessment teams.
- ▶ Data, disaggregated by sex and age, should be monitored and evaluated and the results should be regularly reported in order to adjust programmes accordingly.



Age

- ▶ Inclusion and participation of the elderly population is an important part of the assessment process for achieving an integrated response.
- ▶ Staff members working with elderly people need to be sensitive to cultural mores and values, particularly when trying to engage older people in activities such as interviews, participatory discussions and community planning.
- ▶ Non-traditional explanations and beliefs should be respectfully received, in particular with the elderly.
- ▶ Monitoring and evaluation should be in place to protect older people from abuse; this includes taking into account their reduced mobility and ensuring that their basic needs are being met and that they have access to essential services.



Communicable diseases

- ▶ Staff should undertake needs assessments of risk groups such as those with HIV/AIDS and malaria. Local institutions and beneficiaries need to be involved in the assessment process.
- ▶ In the case of HIV/AIDS, special attention needs to be given to vulnerable groups like female-headed households, children and adolescents, each being assessed separately.
- ▶ Ongoing monitoring and analysis should be undertaken to understand the current needs of those with communicable diseases and the capacity of the stakeholders to deal effectively with them. Monitoring indicators and tools should be developed to see how these needs are being met in the overall strategy.



Environment

- ▶ Hazard assessments should be carried out to help produce hazard maps and thus inform the sector strategy.
- ▶ Potential for future environmental hazards, such as floods, landslides and volcanoes, should also be assessed.

- ▶ Monitoring and evaluation need to be undertaken to understand the effect of a programme on the environment, for example on the unsustainable use of resources, damage to water sources and its impact on the fertility of farming land.
- ▶ Environmental degradation resulting from a programme may include contamination of land by chemicals and hazardous waste. This also affects shelter programmes as loss of forests result in reduced access to fuel wood and building materials.
- ▶ An integrated assessment can only be achieved within and among sectors by identifying the capacities and available resources from all sectors in the different disciplines, as well as identifying locally acquired knowledge and previous disaster experiences in the affected country or region.
- ▶ Inter-sectoral assessment should take into account economic, social and environmental considerations together; and continuously update information on all stakeholders across the sectors.



Country level

**1**

**Coordination**

Participation 1.1

Framework 1.2

Activities 1.3

Information 1.4

Strategy 1.5

**2**

**Strategy**

Participation 2.1

Planning 2.2

Template 2.3

Inputs 2.4

Assessment 2.5

**Programme level**

**Assessment**

Participation 3.1

Assessment 3.2

Tools 3.3

Teams 3.4

Implementation 3.5

**4**

**Implementation**

Participation 4.1

Options 4.2

Response 4.3

Methods 4.4

Coordination 4.5

**Toolkits**

Coordination T1

Strategy T2

**Assessment T3**

Implementation T4



# Implementation

# 4

Introduction

Country level

1

Coordination

Participation 1.1

Framework 1.2

Activities 1.3

Information 1.4

Strategy 1.5

2

Strategy

Participation 2.1

Planning 2.2

Template 2.3

Inputs 2.4

Assessment 2.5

Programme level

3

Assessment

Participation 3.1

Assessment 3.2

Tools 3.3

Teams 3.4

Implementation 3.5

Implementation

Participation 4.1

Options 4.2

Response 4.3

Methods 4.4

Coordination 4.5

Toolkits

Coordination T1

Strategy T2

Assessment T3

Implementation T4

351. Implementation is the act of delivering the humanitarian objectives laid out in the strategy by developing and putting into practice programme and project plans.

352. The purpose of implementation is to ensure that the affected population receives the most appropriate, needs based transitional settlement and reconstruction assistance. Implementation is not a fixed activity but should change and adapt in line with the needs of the affected populations as they move between options for settlement and reconstruction.



353. The structure of the chapter is as follows:

- 4.1 **Participation:** ensure the affected populations and governments are involved in all implementation activities;
- 4.2 **Options:** support rapid assessment to find out who, what where;
- 4.3 **Response:** establish which settlement or reconstruction options are safe and appropriate to implement;
- 4.4 **Methods:** decide what combination of labour, material, support and quality assurance is most appropriate;
- 4.5 **Coordination:** manage implementation activities and inform strategic planning process;

## Summary of why implementation is needed

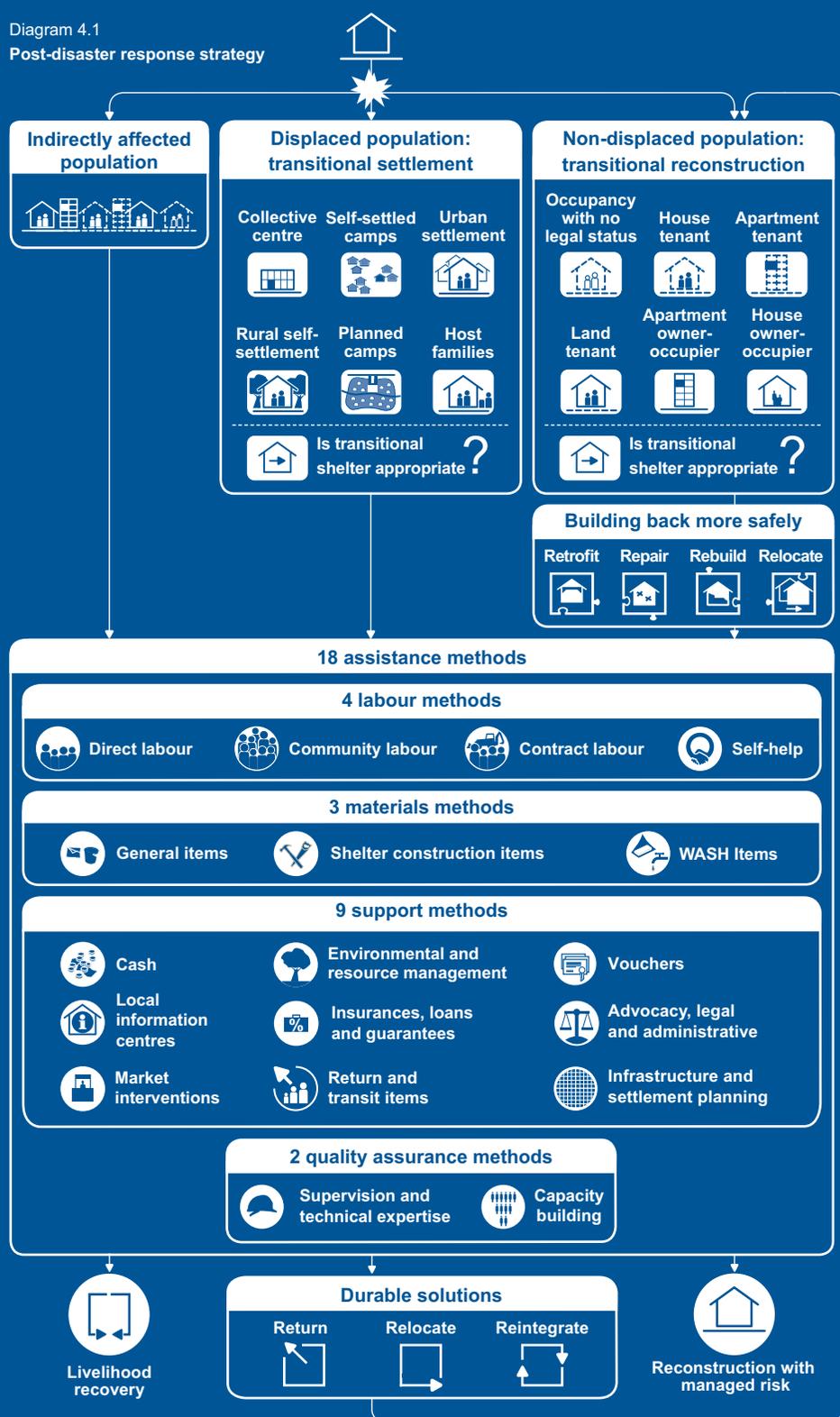


Government

354. Discuss the programme and project planning processes within coordination meetings and ensure that results of implementation are fed back into the strategic planning.

- ▶ Aim at reasonable and diverse participation of stakeholders;
- ▶ Obtain local input that is consistent and appropriate with sustainable result;
- ▶ Follow through immediate with suggestions and lessons learned so as to maximize effectiveness of the response.

Diagram 4.1  
Post-disaster response strategy



The following points explain the value of a strategy and how it benefits each group involved in the response.



- ▶ Identify representatives to discuss suitable implementation decisions for supporting options, labour, materials, support and quality assurance;
- ▶ Identify possible vulnerable groups;
- ▶ Identify actual and potential community leaders for takeover of programmes during handover and exit;
- ▶ Ensure that the development of any programme and project handover processes are considered in the strategic planning process. Ensure participation of the government during the decisions necessary for designing programme and project plans;
- ▶ Government should define its role in the implementation of transitional settlement reconstruction programmes and projects;
- ▶ List required participants and describe relationship between government and humanitarian programme and project planning processes;



- ▶ Ensure that programme and project plans lock into the sector strategy;
- ▶ Engage in community or sub-national consultations and provide high quality input information to aid the programme and project planning process;
- ▶ Discuss contributions of capacity building with donors;



- ▶ Provide resources that will be needed to ensure that programme and project plans are initiated and will cover the entire programme or project cycle;
- ▶ Consider resources needed and recommendations made from previous and ongoing assessments and their integration in the programme and project planning process;

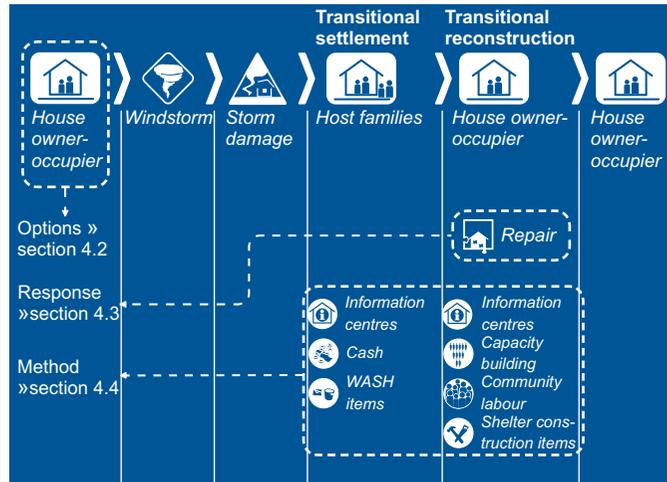


- ▶ International peacekeeping forces, in accordance with the 'Oslo Guidelines', should assist where necessary to ensure the safe implementation of programme and project plans;
- ▶ When engaged by government, the national military may assist implementation tasks such as building bridges or rubble removal or sub-contract such tasks.

Designing programme and project plans

Diagram 4.2  
Example of response following disaster

355. The following diagram describes the process of implementation for settlement and reconstruction programmes and projects and the decisions that should be considered when designing programme and project plans.



The aim of implementation

356. The aim of implementation is to ensure that the affected population receives timely and appropriate support to their settlement and reconstruction needs, through successfully and efficiently achieving the transitional settlement and reconstruction strategic, programme and project planning objectives » 1; 2.

Guidance

357. These guidelines differentiate between three planning levels; strategic, programme and project. Whilst strategic planning is covered in chapter two, this chapter focuses on programme and project implementation. Programme level, for the purposes of these guidelines, is implementation of plans at sub-national level; for example, all host families in the affected population. Project level is understood to be planning and implementation at local or community level; for example, all host families in one locality or community.

Five decisions for implementation

358. Implementing a transitional settlement or reconstruction programme may be understood as involving five fundamental decisions.

Ensure participation

359. The first decision ensures participation in remaining four decisions, especially involving the affected population and government, but also of other coordination groups and the private sector. Participation informs the other four decisions described in this chapter, to ensure that the humanitarian community fulfils its role of supporting the choices of the affected population where it is safe and legal to do so.

Who, what, where?

360. Once participation is assured, the second decision concerns the location of the affected population and the corresponding percentage; for example, what percentage are tenants.

Which options to support and how?

361. The third decision is in two parts. Firstly, when the affected population has been identified, decisions need to be taken about which transitional settlement or reconstruction options are safe and appropriate to support. Once the right option has been chosen, a further decision on whether to repair, rebuild, retrofit or relocate should be taken.

Choose appropriate assistance

362. The fourth decision relates to the combination of assistance methods required to ensure that implementation is effective and appropriate. Decisions need to be taken on what type of labour, materials, support and quality assurance should be combined to achieve the objectives of the programme or project.

Coordinate implementation

363. Finally, the fifth decision is how to coordinate and monitor the process of implementation, both to ensure efficient programme and project management and also to ensure that programme and project progress is being integrated with planning at the strategic level.

## 4.1 Participation

## Participation: ensure all stakeholders are involved in all implementation activities

Navigation

364. This section offers guidance on engaging all stakeholders in the collective decision-making process necessary to implement programme and project plans. For each decision, a series of supporting tools are presented in the toolkit » T4.1.

Guidance

365. For the purposes of these guidelines, participation in the implementation of programme and project plans is described in four key areas in post-disaster response. These key areas will remain the same whether the planning objective is reconstructing a multi-store apartment block or preparing a distribution programme of transitional shelters. The activities are:

- ▶ identifying the affected population » 4.2; 4.3; T4;
- ▶ deciding which response is most appropriate » 4.3;
- ▶ agreeing on what combination of methods is most appropriate » 4.4; and
- ▶ managing implementation activities and informing stakeholders at all levels » 4.5.

366. Ensuring that all stakeholders participate in programme and project level implementation guarantees that the response

is holistic; for example, making sure that water and sanitation, education and health factors are all considered in transitional settlement and reconstruction programme and project plans.

367. Participation in these four areas may be considered at all planning levels, although the circumstances in which this participation occurs may change. At programme level, for example, it may be necessary to identify representatives from all collective centres to be involved, whereas at project level, it may be one or two representatives from within one collective centre. At all levels, the principles of participation remain the same.

#### 4.1.1 Who is in which settlement and reconstruction option and where?

368. The aim of participating in assessment is to develop relationships between different actors so that efforts to map who is doing what and where are as effective as possible, such as in beneficiary identification programmes »T4.1a.

369. Identifying the displaced and non-displaced population and what percentage are in which settlement and reconstruction option ensures that informed decisions guide the response and that subsequent decisions on response and methods are equitable and appropriate.

#### 4.1.2 Which option should be supported and how?

370. Once options have been identified through mapping and assessment, decisions should be taken about the options to be supported.

371. Decisions made by the affected population should be supported where it is safe, legal and appropriate to do so.

#### 4.1.3 Which combination of labour, material, support, and quality assurance are required to implement programme and project plans?

372. The combination of labour, materials, support and quality assurance to implement programme and project plans should be based on an understanding of the livelihoods of the affected population »3.2.5. Local capacity and available labour may, for example, be different during the harvest season.

373. Implementing agencies should work with the affected population and the relevant government authorities to agree on combinations of assistance methods. Criteria for vulnerability should be agreed on and priorities for assistance established and stakeholders must guarantee that minorities and vulnerable groups are adequately represented.



Guiding principle 1, 'Strategy', states that "A good reconstruction strategy reactivates communities and empowers people to rebuild their housing, their lives, and their livelihoods. The reconstruction strategy must be inclusive, equity-based, and focused on the vulnerable..."

#### 4.1.4 How is implementation of the work schedule, monitoring and evaluation and coordination between planning levels ensured?

374. Participation in coordination ensures that the affected population, government and implementing agencies have clear structures for organising and holding meetings, interacting during programmes and projects and reporting on programme and project monitoring and evaluation.

375. Information from monitoring and evaluation should be integrated into the coordination framework so that all plans at all levels can be adapted to reflect the most relevant and up-to-date information.

376. When participation mechanisms have been considered for the key areas of implementation, programme and project managers may conduct assessments to identify which transitional settlement and reconstruction options have been chosen »3.1.1.

#### 4.2 Options

Options

Navigation

Guidance

#### Options: support rapid assessment to find out who, what where

377. This section introduces the six options plus one for displaced and six options plus one for non-displaced populations which will assist project and programme managers in identifying who in the affected population is doing what and where. In addition, the transitional shelter approach is described, which can be used in combination with other forms of transitional shelter response.

378. By the end of this work stage, assessment and analysis of the affected population should be complete and programme and project managers will have a better understanding of who in the affected population is in which transitional settlement and reconstruction option and where. For example, 60% of the population may have been displaced; of which 40% may be living with host families. For the 40% non-displaced, 12% may be tenants.

379. The six settlement and six reconstruction options, categorised for those who have been displaced and those who have not been displaced, may not however offer sufficient shelter with durable solutions over the duration of recovery. In response, the 'transitional shelter' approach has been

developed, where shelter is supported incrementally within each option »4.2.4. This approach is referred to as 'plus one' in the following guidance.

### 4.2.1 Why is assessment the first step of implementation?

380. Understanding where the affected population is in order to make planning decisions should happen at all levels of planning; sector, programme and project. For example, it is necessary to understand general population movements following a disaster in order to define strategic planning objectives. It is equally important to understand movement by a community when defining project level objectives »3.5.

381. The affected population are trusted to make the best choices they can for their recovery, and if necessary, return. The role of the humanitarian community is to support government to support their decisions, as long as it is safe, legal and appropriate to do so.

Indirectly affected populations

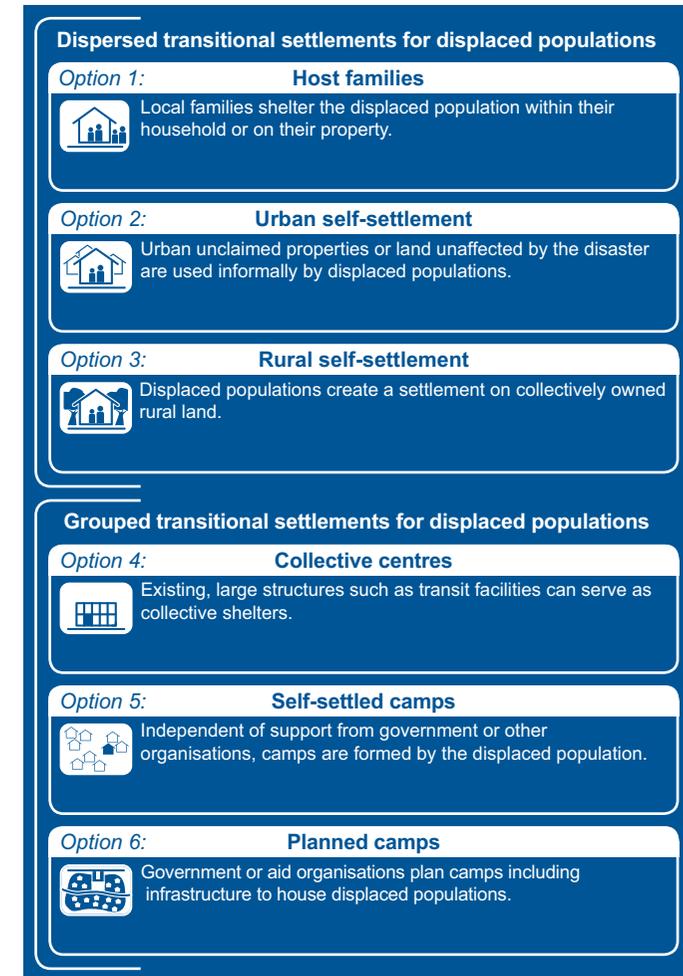
382. Following a disaster there will be displaced and non-displaced affected populations and also the indirectly affected ones. The indirectly affected are pre-existing populations now competing with new arrivals for jobs, services, infrastructure and resources. Targeted livelihood support based on vulnerabilities and capacities should be considered for indirectly affected populations. While their needs may be different from displaced and non-displaced populations, the same 18 assistance methods can be used to do this. For example, indirectly affected land owners may become host families and be supported with cash to compensate for the extra costs of hosting affected populations.

### 4.2.2 What are the six options plus one for displaced populations?

383. There is a finite number of alternatives for settlement facing those displaced by disasters. These alternatives have been categorised into six options (Corsellis, T. and Vitale A., 2005; World Bank 2010; Sphere Project, forthcoming 2011). Displaced populations usually move between more than one option over the duration of their displacement, as they seek to optimise their path to sustainable recovery. For the same reason, one family may split up temporarily, occupying more than one option. The following diagram provides definitions for each of the six options for displaced populations. The 'plus one' transitional shelter approach should be considered within each of the options. Examples of this are given in »T4.2.c.

384. The following diagram presents the six options for displaced populations, either as grouped or dispersed.

Diagram 4.3  
The transitional settlement option:  
dispersed and grouped



Transitional shelter

385. Transitional shelter should be considered within the above options for displaced populations in line with the guidance provided in »4.2.4; T4.2. For example, in a situation where the people are staying with host families, transitional shelter may offer further support by being placed on the host family's land to increase available space.

Durable solutions

386. Displaced populations should be assisted until they have reached one of three situations:

- ▶ Sustainable reintegration at the place of origin (hereinafter referred to as “return”);
- ▶ Sustainable local integration in areas where internally displaced persons take refuge (local integration);
- ▶ Sustainable integration in another part of the country (settlement elsewhere in the country).

OHCHR, 2003

387. These ‘durable solutions’ are defined as when displaced populations “no longer have specific assistance and protection needs that are linked to their displacement and such persons can enjoy their human rights without discrimination resulting from their displacement” IASC framework IDPs.

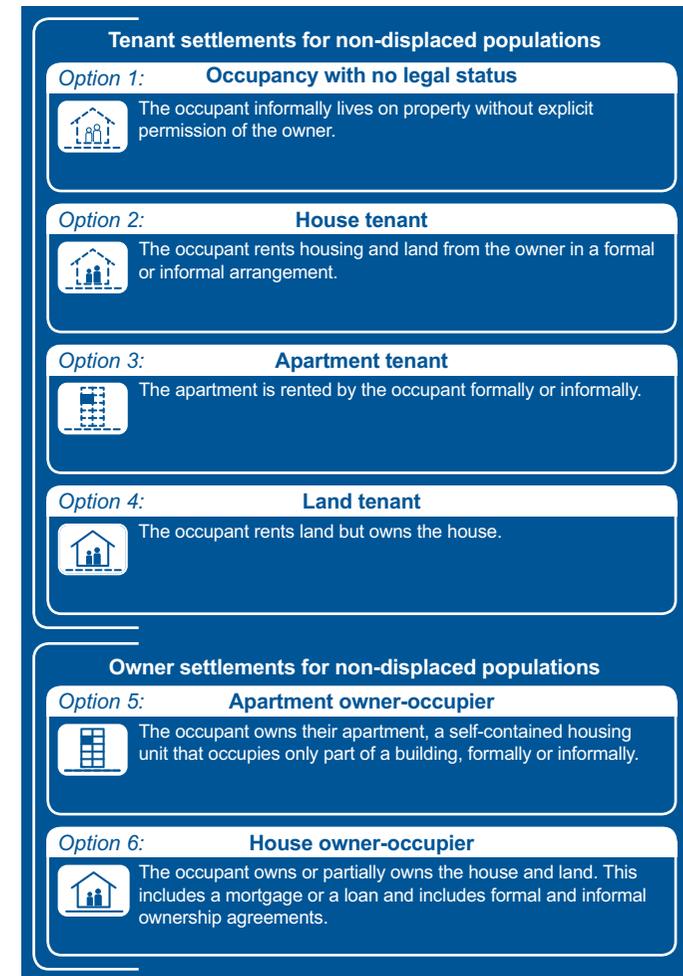
### 4.2.3

#### What are the six options plus one for non-displaced populations?

388. There is also a finite number of alternatives for those affected by disasters but not displaced, or those who have returned from displacement. As with displaced populations, non-displaced families will move between options in search of the best livelihood opportunities. Returned families may not return to the same option that they were displaced from; for example an apartment owner occupier may decide to move to a house. The ‘plus one’ transitional shelter approach should be considered within each of the options. Examples of how this approach can be used within each option are given in »T4.2.c.

Diagram 4.4  
The six transitional reconstruction options

389. The following diagram presents the six options for displaced populations, separated as either grouped or dispersed.



Transitional shelter

390. Transitional shelter should be considered within the above options for non-displaced populations in line with the guidance provided in »4.2.4; T4.2. For example, where rebuilding a house for an owner-occupier may take a number of months or even years, the transitional shelter approach can be considered as an approach to support the owner occupier until the house is rebuilt.

Mapping options

391. Mapping of the options selected by displaced and non-displaced population through preliminary assessment must be reviewed through subsequent assessments to ensure that movements between options and combinations of options are accurately recorded. Doing so allows the programme and project objectives to be reviewed if necessary. For example, immediately following an earthquake a large number of people may be displaced for a short time due to the fear of aftershocks; however, they may soon return to begin reconstruction and this movement needs to be mapped by programme and project managers.

392. When information has been gathered about which options the affected communities or community have taken, programme and project managers should, with the participation of the affected communities or community, decide which of the options should be supported and how to support them.

#### 4.2.4 What is the transitional shelter approach?

393. Transitional shelter provides a habitable, covered living space and a secure, healthy living environment, with privacy and dignity to those within it during the period between a conflict or natural disaster and the achievement of a durable shelter solution  Corsellis, T. and Vitale A., 2005. A key characteristic of transitional shelters is that they may be relocated, whilst offering four alternatives: they may be upgraded; reused for another purpose; the materials used for the shelter may be resold by the occupants; or the materials may be recycled for use in reconstruction **» T4.2.d.**

394. Potential advantages in using transitional shelter include:

- ▶ maximising operational response through involving humanitarian organisations without significant capacity in transitional settlement or reconstruction, if they are able to engage sufficient consultant technical specialists and inspectors, as they build their capacity necessary for full reconstruction;
- ▶ costing a similar amount, on site, to tented accommodation over the same reconstruction period;
- ▶ most of the financial resources for assistance entering and circulating in the local economy, and specifically to construction materials production and supply, rather than to the manufacturing country if shelter or materials are imported;
- ▶ introducing and incorporating hazard-resistant construction principles and techniques, supported by technical supervision and inspection, that may inform reconstruction;

Strengths of transitional shelter programmes

Characteristics shared with semi-permanent shelter

Advantages of transitional shelter programmes

- ▶ developing with the affected population codes and standards that support significant differences in individual transitional shelters, depending upon factors such as family size, location, culture and the availability of materials; and
- ▶ supporting sustainable improvements in hazard-resistant construction methods, skills and capacities, and therefore a sustainable reduction in risk **» T4.3.**

395. Transitional shelter shares many characteristics with semi-permanent shelter, including:

- ▶ using a design and materials of sufficient durability to last until the completion of reconstruction, which may take a number of months or even years;
- ▶ the opportunity to either upgrade the shelter, as part of permanent reconstruction, or re-use the majority of materials in the shelter for permanent reconstruction;
- ▶ offering assistance on the site where the affected household has land rights or tenure, supporting participation and the priorities of the affected household to stay near their home;
- ▶ using rapid construction methods, simple tools and unskilled labour;
- ▶ using local materials and construction techniques that may vary but that may, through the use of agreed codes and standards, offer consistent standards of shelter and safety;
- ▶ integrating the phased development of water, sanitation and hook-up to other available utilities, such as water supply and storage, latrines and sewage, and power;
- ▶ integrating the phased development of site works, such as surface water drainage and erosion control measures; and
- ▶ the materials for a shelter may be prepared and distributed as kits, which may be convenient for logistics chains, but also for affected families who need to transport them **» T4.4.b.**

396. One difference with semi-permanent shelter is that transitional shelter is designed so that it may be disassembled and relocated. The potential advantages of this approach include opportunities to:

- ▶ delay the resolution of the formal land rights or tenure of the household and the site of the transitional shelter until sufficient capacity in government is available to consider the case;

- ▶ offer a consistent and therefore equitable assistance method for both displaced and non-displaced households in some options of transitional settlement and transitional reconstruction, including all three dispersed options for self-settled displacement; and
- ▶ relocate the transitional shelter from a transitional settlement site to a transitional reconstruction site, as a continuous method of assistance, or if government judges the occupancy of a particular household of a particular site to be either unsafe or unlawful »T4.2.c.

Weaknesses of transitional shelter programmes

397. The transitional shelter method of assistance involves the following risks:

- ▶ rights to land use or tenure never being resolved, possibly with government using assistance through transitional shelter as justification, and affected families living indefinitely as occupants of land with no legal status;
- ▶ no support being offered beyond transitional shelter, either because other methods of assistance were prioritised for resources, or because of lack of resources;
- ▶ poor or unsafe siting and construction resulting from implementation by humanitarian agencies with insufficient technical capacity or experience; and
- ▶ demand for key materials being greater than supply, either pushing up prices, or resulting in sub-standard shelter »T3.2.a.

4.3 Response

**Response: establish which settlement or reconstruction options are safe and appropriate to implement**

Navigation

398. This section offers guidance on how to build more safely once a decision has been made on which transitional settlement or reconstruction option or options to support.

Guidance

399. Programme and project managers will need to make two decisions once the options, which the population have chosen, are identified. Firstly, establishing which option, or combination of options, will be supported by the programme or project and whether transitional shelter should be implemented within the options. The following factors should be considered when making this decision:

- ▶ safety from hazard and risks;
- ▶ livelihoods, environment, and resources; and
- ▶ the level and nature of building damage.

400. Secondly, once the options to support have been chosen, the decision should be taken as to how to build back more safely. When homes have been damaged or destroyed or are at risk from future hazards, the four alternatives for communities to recover with reduced risk are to repair, rebuild, retrofit or relocate. The aim of these four alternatives is to adapt local building traditions only enough to improve risk management sustainably. Again, this decision should be made taking into account:

- ▶ safety from hazards and risks;
- ▶ livelihoods, environment, and resources; and
- ▶ the level and nature of building damage.

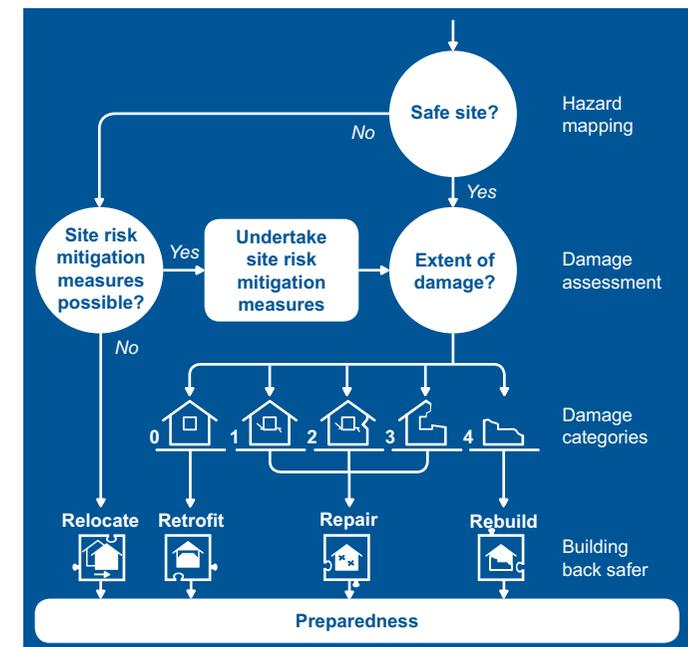
401. Before the implementation of a project or programme, affected population should be made aware of their resulting rights, entitlements and obligations. Equally, the rights and duties of project staff working with the population should be communicated IFRC, 2010.

4.3.1

**What are the issues to consider for building back more safely; repair, rebuild, retrofit, relocate?**

402. This section describes the four options available for building back more safely. The following diagram demonstrates how the decision to build back more safely may be reached.

Diagram 4.5 How the decision to build back more safely may be reached





Definition

### Retrofit

403. Retrofitting of existing buildings requires engineering knowledge and experience of construction materials, building structures and local hazards such as earthquakes and hurricanes. Retrofitting a building may require significant changes to the structure such as energy absorbing dampers or base isolation systems [UNISDR, 2005](#).

When?

404. Unprotected buildings in risk areas need to be retrofitted against future hazards by having safety features installed. Buildings that have been damaged by the disaster may also need to be retrofitted, in addition to being repaired. To be successful, retrofitting programmes should be accompanied by public outreach programmes that provide clear technical guidance and incentives to make these changes [1.4.1](#).

Example

405. For displaced populations, it may be necessary to retrofit the house of a host family if that house is at risk from a hazard. For non-displaced populations, retrofitting may be necessary for an apartment building that has suffered only minimal damage, but is at risk from future hazards [T4.3.a](#).



Definition

### Repair

406. Repair indicates restoring a building from damage or decay to a sound working condition and meeting the required standards and specifications [UN Habitat](#).

When?

407. Buildings and other infrastructure may sustain only minor damage depending on the type of disaster and its proximity to the building. This damage may be possible to repair without a more major retrofit.

Example

408. For displaced populations it may be necessary to repair a collective centre, upgrading a pre-existing building such as a school to be used for mass shelter. A non-displaced house owner and occupier may need repair if the damage sustained is not major [T4.3.a](#).



Definition

### Rebuild

409. Structures that cannot be repaired need to be demolished and rebuilt.

When?

410. Rebuilding should take place following assessments which confirm that the building cannot be repaired [3.2](#). The reasons for building failure should be identified and solutions incorporated into reconstruction.

Example

411. For displaced populations, it may be necessary to demolish and rebuild housing being used for urban self-settlement. For non-displaced populations, rebuilding an apartment building may be necessary, if it is sufficiently damaged structurally [T4.3.a](#).



Definition

### Relocate

412. Relocation is a process whereby housing, assets and public infrastructure of a family or a community, are rebuilt in another location.

When?

413. Relocation should only be considered as a last resort and even then, only following comprehensive assessments and feasibility studies. Support should be planned for long after the physical relocation, given the inevitable challenges faced in re-establishing livelihoods and community mechanisms. Although most populations are at risk from hazards, some areas will be too hazardous, and future settlement should be restricted. Relocation or resettlement to areas of reduced risk may in these cases be necessary.



Relocation #7

Guiding principle 7, 'Relocation', states that "Relocation of affected communities should be avoided unless it is the only feasible approach to disaster risk management. If relocation is unavoidable, it should be kept to a minimum, affected communities should be involved in site selection, and sufficient budget support should be provided over a sufficient period of time to mitigate all social and economic impacts."

Example

414. For displaced populations, a self-settled camp may have to be relocated if the land that has been used for settlement becomes imminently at risk of hazards. For non-displaced populations, apartments may need to be rebuilt elsewhere if the area is at risk from further hazards [T4.3.a](#).

## 4.4

Methods

**Methods: decide what combination of labour, material, support and quality assurance is most appropriate**

Navigation

415. This section offers summary information on the 18 common assistance methods in which support is offered to affected populations, and how these methods should be combined in order to design and implement appropriate, consistent and equitable programme and projects. More detailed information describing these 18 assistance and methods can be found in the [T4.4](#).

Guidance

416. Community projects are generally most appropriate when the community has a culture and history of building along with a flexible schedule. Additionally, the shelter design must be simple in the context of the communities' capabilities and labour must be available. Resources may be transferred directly to the community, families, or managed with them, for example by an NGO.

# 4

Introduction

Country level

1

Coordination

Participation 1.1

Framework 1.2

Activities 1.3

Information 1.4

Strategy 1.5

2

Strategy

Participation 2.1

Planning 2.2

Template 2.3

Inputs 2.4

Assessment 2.5

Programme level

3

Assessment

Participation 3.1

Assessment 3.2

Tools 3.3

Teams 3.4

Implementation 3.5

Implementation

Participation 4.1

Options 4.2

Response 4.3

**Methods 4.4**

Coordination 4.5

Toolkits

Coordination T1

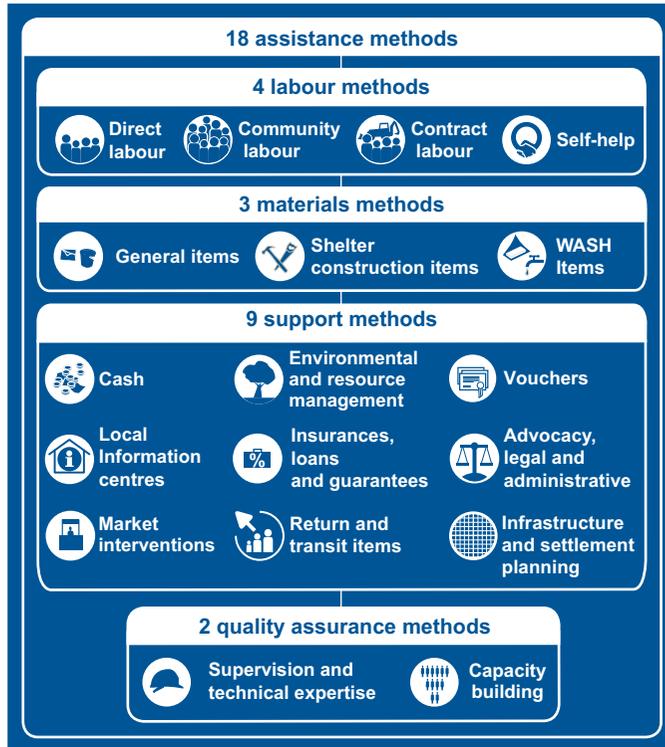
Strategy T2

Assessment T3

**Implementation T4**

417. A combination of the following 18 assistance methods, displayed in the diagram below, categorised into labour, materials, support and quality assurance, will be necessary and the decision about what assistance to provide should be taken with the participation of the affected community or communities and government.

Diagram 4.6 Assistance methods



418. The context of the disaster will inform many of the decisions that need to be taken. For example it will not be possible to build back more safely by using self-help labour to rebuild complex multi-story apartment buildings in urban settings, given engineering and equipment requirements. Equally, it may not be appropriate for large contractors to repair vernacular structures in a rural setting, as populations may be able to construct their houses using familiar techniques and materials that optimise sustainability and retain resources within the community.

#### 4.4.1

### What labour should be selected?

419. At this stage of implementation, the options chosen by the affected population have been mapped and a decision has been taken on which of the six plus one options for settlement and six plus one options for reconstruction to support. In most responses, a combination of direct, community, contract and self-help labour will be necessary to implement transitional settlement and reconstruction programme and project plans.

420. Different terminology exists to describe different labour types; for example, owner-driven, contractor-driven, or agency-driven in-situ. Programme and project managers should note that involving owners, contractors and communities may all be appropriate in the same response. Good programme design and implementation with the affected population should prevent any group from overwhelming the primary objective of involving the affected population centrally in agreeing, planning and implementing the support offered to them.

421. Hiring labour for transitional settlement and reconstruction programmes and projects 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 and not just participation. The mapping of labour and support capacities and resources should be considered as part of contingency and preparedness, ideally not only in a plan but also in practiced capacity involving regular stakeholder collaborations. »4.1.

#### Direct labour

422. Humanitarian organisations may hire and manage labour directly »T4.4.a.

423. Direct labour may be appropriate to undertake a project, such as small scale rubble clearance soon after the disaster has occurred and when rapid response is essential. Questions to consider are:

- ▶ Is there adequate technical capacity for supervision, training and management of labour, including for managing health and safety concerns?
- ▶ Has labour from all social political and economic groups been involved?
- ▶ Are community leaders being involved in all public or official negotiations?
- ▶ Has a phased schedule of works been agreed and recorded in the documentation?

Participation



Definition

When?

Factors to consider before implementing

- ▶ Are contracts with individual workers necessary for specific skills or tools?
- ▶ Is distribution of remuneration, incentives or NFIs being phased to reinforce the monitoring of project activities?



Definition

### Community labour

424. Community labour may be described as the mobilisation of a community to undertake reconstruction together. Materials are provided for the community as a whole, rather than for individual families » T4.4.a; Barakat, 2003.

When?

425. Community projects are generally most appropriate when labour is available, the housing or transitional shelter design is relatively simple, communities have a tradition of self-building and there are no strict time pressures. Reconstruction work can be organised on a family basis or as a joint community reconstruction programme. Resources may be transferred directly to the community or managed with them, for example by an NGO.



Community

Guiding principle 3, 'Community', states that "Community members should be partners in policy making and leaders of local implementation. People affected by a disaster are not victims; they are the first responders during an emergency and the most critical partners in reconstruction..."

Factors to consider before implementing

426. Factors to consider before implementing:

- ▶ Has the availability of skilled and unskilled labour in local and displaced communities been assessed?
- ▶ Have displaced communities been included in the planning process?
- ▶ Have suitable individuals been identified to manage or lead projects?
- ▶ Has a phased schedule of works been agreed and recorded in the documentation?
- ▶ Has support for community labour, such as remuneration and special consideration for the most vulnerable, been planned?
- ▶ Are policies for engaging local labour in place and have these plans been approved by the communities and implementing agencies?
- ▶ Have tools and equipment requirements been assessed?
- ▶ Have health and safety standards been put in place to safeguard workers?
- ▶ Have potential issues arising from social, financial and gender differences within the community been considered? » T4.4.a



Definition

When?

Factors to consider before implementing



Definition

When?

### Contracted labour

427. Contracted labour is the hiring of professional companies to provide technical expertise and resources » T4.4.a.

428. Contracted labour is often used for construction projects after the emergency phase, for instance for large or complex projects, such as apartment blocks, larger community infrastructure projects, implementing specific hazard-resistant measures or constructing elements within projects that require specialist skills, assisting vulnerable families in communities, and providing additional capacity, especially where damage or mortality levels are high, and when communities have no tradition of self-building. Consider the following factors:

- ▶ Have different types of contracted labour been considered to establish the most appropriate type?
- ▶ Have programme and project plans been developed with beneficiaries to ensure high levels of participation?
- ▶ Has technical expertise been identified to engage and manage contractors?
- ▶ If site management is required, have technical specialists been identified?
- ▶ Is tendering necessary for engaging contractors? If so what is the most appropriate tendering method to use?
- ▶ Have building codes been defined and included at all planning levels?

### Self help

429. Supporting affected families or communities with an appropriate combination of assistance in order to allow them to implement transitional reconstruction and settlement programmes and projects themselves » T4.4.a.

430. Self-help, sometimes defined as self-build or Owner Driven Reconstruction (ODR) World Bank, 2010; IFRC, 2010 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. Considerable care should be taken if self help is employed in hazardous areas to ensure that vulnerabilities are not rebuilt, while ensuring also that traditional risk mitigation techniques are understood and supported. Beneficiaries may decide to employ family labour, local constructors, labourers, or a combination of the above. 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 for settlement and reconstruction programmes. When correctly monitored,

implemented, and assessed by stakeholders and beneficiaries, self help ensures the greatest direct participation of the affected community in the rebuilding of their livelihoods following a natural disaster. Resources may be transferred directly to the families, or managed with them, for example by an NGO. Consider the following factors:

Factors to consider before implementing

- ▶ Are stakeholders and implementing agencies in a position to offer continued support and quality assurance for self-help projects?
- ▶ Are training programmes and projects in place to develop skilled capacity where necessary?
- ▶ Is technical assistance and construction supervision available to ensure that standards and quality assurance are being met?
- ▶ Have building codes and construction guidelines been updated?
- ▶ Are mechanisms in place to regulate prices and facilitate access to building materials?
- ▶ Have seasonal weather patterns and other risks to beneficiaries been planned for?
- ▶ Is assistance in place for the most vulnerable and those who cannot undertake necessary work themselves?
- ▶ Have the objectives and activities for self-help projects been agreed publicly or officially?
- ▶ Has all necessary documentation been agreed?
- ▶ Are plans in place for phasing remuneration and NFIs to improve achievement and monitoring of project objectives?

#### 4.4.2 What material should be selected?

431. Once appropriate labour types for implementing support to the affected community or communities have been agreed upon, decisions need to be taken as to which combination of materials to use for implementation. The following items may be used and distributed at the household or community level 📖 Emergency Shelter Cluster, 2008c.

432. Factors to consider when selecting materials or items:

##### General items

433. General items may be defined as items that can be distributed without additional instruction, promotion or education, such as cooking sets, blankets, jerrycans, buckets, etc. » T4.4.b.



Definition

When?



Definition

When?



Definition

When?

434. General support items are usually distributed in both the emergency and recovery phase. A standardised package may be decided upon based on the ongoing needs of the affected population, climatic conditions, availability and price of items in accessible markets.

##### Shelter construction items

435. Shelter construction items may be defined as items that need additional instruction, promotion, or awareness-raising, such as toolkits, transitional shelters or construction materials.

436. Shelter construction items are distributed immediately after the disaster, once the decision to retrofit, repair, or rebuild has been made, and subsequently throughout the response until objectives have been achieved. The distribution of shelter items may be phased, so as to provide an opportunity for review and to inform progress

##### WASH items

437. Water, Sanitation and Hygiene (WASH) items to be distributed following a disaster are usually items that need additional instruction, promotion and education; for example, mosquito nets and household water treatment » T4.4.b.

438. WASH items are usually distributed immediately following a disaster and subsequently throughout the response. A standardised package may be chosen based on the ongoing needs of affected population, climatic conditions, availability and price of items in accessible markets.

#### 4.4.3 What support should be selected?

439. The appropriate type of support should be decided according to the transitional settlement and reconstruction options chosen by the affected population, providing that the options they choose are safe and appropriate to support.

440. Factors to consider when selecting support:

##### Cash

441. Cash disbursements are made directly to beneficiaries

442. Cash disbursements may be considered when sufficient security exists, financial controls are in place, and adequate supply for intended purposes is available » T4.4.c; 3.2.a.

##### Vouchers

443. Vouchers or tokens are an alternative to cash payments. They are given set values and can then be exchanged for specified materials and services, using local suppliers



Definition

When?



Definition

participating in the scheme, or at a local depot organised for that purpose.

When?

444. Vouchers are often used if there are security concerns surrounding cash disbursements, if there is a lack of banking facilities, and as a way of controlling the inflation that providing cash might cause.



Definition

### Insurance, loans and guarantees

445. Insurance, loans, and guarantees may be provided by the government, humanitarian stakeholders, donors and banks in contexts where recovery is constrained by unaffordable but credible financial risk mitigation or lack of access to credit » T4.4.c.

When?

446. Insurance, loans and guarantees may be considered when:

- ▶ financial and hazard risks are well understood;
- ▶ risk management and quality assurance can be achieved;
- ▶ there are appropriate mechanisms for disbursement;
- ▶ later repayment and collection are feasible; and
- ▶ access exists to relatively stable supplies of materials and services.



Definition

### Advocacy, legal and administrative

447. Advocacy, legal and administrative assistance can be defined as the establishment of structures which the affected population is able to access free of charge or at a reduced cost. These structures may, for example, provide assistance in the resolution of disputes over land rights » T4.4.c.

When?

448. Legal assistance is likely to be needed in the majority of responses to ensure that the affected community or communities, and especially the most vulnerable groups, are constantly aware of their rights and able to receive any administrative support they need.

449. Advocacy should be undertaken on behalf of the affected population at all times throughout the response. Where the affected population has strong representation.



Definition

### Local information centres

450. Local information centres offer advice and guidance on what assistance is available and how it may be accessed, with opportunities and support for consultation and participation. Information may include support that clarifies rights to assistance, rights to land, access to and managing compensation offered, technical advice, return and relocation,

and accountability and redress, including arbitration and legal aid. Information centres should be established and integrated into capacity building programmes in order to offer a constant presence and service within affected communities over the duration of the response.

When?

451. There are very few responses where information centres should not be established, or existing similar services supported. Local information centres should be established as soon as possible after a disaster, as part of the consultation process in developing programmes and projects with affected populations. They should continue to operate throughout the response, period until durable solutions have been agreed on.



Development

Guiding principle 6, 'Development', states that "Reconstruction is an opportunity to plan for the future and to conserve the past...Establish reconstruction guidelines that preserve what is valued while encouraging more sustainable post-disaster settlements...".



Definition

### Market intervention

452. Market intervention is the continuous and comprehensive assessment and involvement of the construction industry, from material resources to contractors and professional bodies. It identifies and responds to capacities, opportunities, linkages and interruptions, and ensures that the private sector better serves the affected population, for example in supporting existing suppliers by providing thatch for roofing.

When?

453. Market mapping and analysis should be undertaken as early as possible and then continually and more comprehensively in order to provide better understanding of capacities, bottlenecks and gaps in the market and discrepancies between supply and demand. Interventions should only be as a result of mapping and analysis, and they should be combined with robust and integrated continuous monitoring mechanisms » T3.2a; T4.4.c.



Definition

### Environmental and resource management

454. The management of natural resources following a disaster minimises and mitigates environmental damage when implementing transitional settlement and reconstruction programmes and projects.

When?

455. Rapid environmental assessments should be undertaken as soon as possible in all post-disaster contexts to identify environmental challenges and opportunities for improvement during the response. Monitoring and evaluation, and subsequent detailed environmental assessments, should be budgeted for transitional settlement and reconstruction programmes and projects, even if they occur some time after programmes or projects are initiated » T3.2.c; T4.4.c.



Sustainability #10

Guiding principle 10, 'Sustainability', states that "To contribute to long-term development, reconstruction must be sustainable. Environmental sustainability requires addressing the impact of the disaster and the reconstruction process itself on the local environment. Don't allow the desire for speed to override environmental law or to short-circuit the coordination needed to address environmental issues..."



Definition

### Return and transit support items

456. Packages of items distributed to support the affected population who chose to return to their place of origin or relocate to a new location. Items may include a wide range of services, such as providing transport, transport fares or vouchers, or items such as tools, materials, and seed stocks »T4.4.c.

When?

457. Return and transit support packages may be distributed only when the locations people wish to return or relocate to are safe and appropriate. All effort should be made to secure, housing and land agreements prior to the affected populations return or relocation, although this may not always be possible. Distributions may only be made as part of a complete plan to support the affected population who chose to return and relocate and not as a way to move informal settlements.



Definition

### Infrastructure and settlement planning support

458. Infrastructure and settlement planning support is used to improve the services of a community and support the planning of sustainable transitional settlement and reconstruction solutions. Infrastructure and settlement planning support may be divided into two categories; those that are coordinated primarily by the shelter sector and those that are primarily coordinated by other sectors »T4.4.c.

When?

459. Infrastructure and settlement planning support may be needed at any time during the response to ensure the safety of the affected population, support their livelihoods and speed up the recovery process. For example, the clearing of drainage systems will be important immediately if the rainy season is approaching; the repair of ports can support the affected populations' own support mechanisms; and the removal of rubble can help provide access to dense urban environments.

#### 4.4.4 What quality assurance should be selected?

460. Successful completion of transitional settlement and reconstruction programmes and project can only be guaranteed if appropriate quality assurance takes place throughout implementation; whereby technical expertise monitors the construction process, uses indicators and integrate enforcement



Coordination #5

mechanism. Appropriate supervision is essential for building back more safely and should be supported by appropriate and sustainable capacity building with construction industries and institutions »T4.4.d.



Definition

Guiding principle 5, 'Coordination', states that "Institutions matter and coordination among them will improve outcomes. Best practice is to pre-design reconstruction policy and the institutional response, which in some situations will be a dedicated lead agency...A lead agency should coordinate housing policy decisions and ensure that those decisions are communicated to the public..."

461. Factors to consider for quality assurance:

### Supervision and technical expertise

462. Technical expertise, for example provided by humanitarian organisations or engaged nationally from the private sector, may be made available to support assistance methods for transitional settlement and reconstruction options »T4.4.d.

When?

463. Supervision and technical expertise should be considered from the onset in all post-disaster programme and project planning schedules to ensure that agreed standards and codes are being applied.



Definition

### Capacity building

464. Capacity building activities offer opportunities for stakeholders to increase their ability to respond, individually and collectively, but also to interact and consider together common challenges and tools, such as developing and implementing building standards and codes. An integrated capacity building programme should be included wherever possible and deemed necessary, involving workshops, training, skills development, secondments and resource and information services »T4.4.d.

When?

465. Capacity building should be continuous and should extend throughout the affected area. It should be considered whenever assessments indicate that the affected population does not itself have the capacity to implement transitional settlement or reconstruction programmes and projects. For example, to identify and disseminate good practice in risk management.

Introduction

Country level

1

Coordination

Participation 1.1

Framework 1.2

Activities 1.3

Information 1.4

Strategy 1.5

2

Strategy

Participation 2.1

Planning 2.2

Template 2.3

Inputs 2.4

Assessment 2.5

Programme level

3

Assessment

Participation 3.1

Assessment 3.2

Tools 3.3

Teams 3.4

Implementation 3.5

Implementation

Participation 4.1

Options 4.2

Response 4.3

Methods 4.4

Coordination 4.5

Toolkits

Coordination T1

Strategy T2

Assessment T3

Implementation T4

4.5

Coordination

Coordination: manage implementation activities and inform strategic planning process

Navigation

466. This section offers guidance on ensuring that implementation continues to include the participation of stakeholders, especially the affected population and government, once the decisions on building back more safely, labour, materials and methods have been taken. It also includes information on handover activities between implementing agencies and the importance of coordinating between strategic, programme and project levels during implementation.

Guidance

467. Coordination is necessary to ensure that all the decisions planned and implemented in the strategy supported by this chapter are undertaken in a timely, appropriate, legal, and safe manner and managed correctly throughout the response.

4.5.1

What tools can be used to assist coordination of programme and project plans?

468. The assistance methods chosen by programme and project managers should be monitored and revised constantly based on the changing realities on the ground. This can be done by using the following tools which are described in more detail in Chapter 2.

Schedule

469. All major construction programme and projects require detailed schedules for implementation. These are often summarised visually on Gantt charts »T2.3.2.e. The schedule for implementation should ensure that the capacity available can respond in time to trends identified in the movement, return and recovery of both displaced and non-displaced populations. This requires the emergency provision and phased upgrading through retrofit, repair, rebuilding and relocation of settlement and/or shelter and full reconstruction, as well as maintenance and handover. Schedules are not fixed commitments but a method of implementing the integration of capacities and resources. As such, they must be monitored and updated as regularly as possible »T3.5.

Scenarios

470. Best and worst case scenarios and indicators should be agreed specific to the response as part of the strategy. For each group within the displaced and non-displaced population the factors that affect movement between scenarios should be considered, such as gender based violence affecting those displaced in urban areas »T2.3.C.

Handover

471. The handover of responsibilities and roles between stakeholders, institutions, teams and individuals is a continuous process throughout implementation. The continual

revisions of the strategy and programme and project plans are intended to record both these handovers and the agreements made between stakeholders between handovers. To ensure consistent management and implementation between different stakeholders, handover and exit strategies should be continually monitored and updated as implementation progresses.

472. Factors to consider for handover

- ▶ What is the role of the community in the programme?
- ▶ What is the role of the national and local government or authorities, including any task forces established?
- ▶ How is the programme implementation monitored?
- ▶ Which assets need to be retained and which ones can be handed over?
- ▶ Do stakeholders need any capacity building for handover?
- ▶ What opportunities are there for sustainable capacity building within national or local populations and institutions?

4.5.2

Coordinating between levels

Why is it important for implementing stakeholders to work between strategic, programme and project planning levels?

473. Implementation by stakeholders affects all levels of a response. For example, a host family programme supporting one affected area may impact the return process for affected populations in other neighbouring areas. Stakeholders must work within the coordination framework to ensure integrated implementation at all planning levels, ensuring that the coordinating body and neighbouring implementers are continually made aware of changing circumstances. Progress made on achieving programme and project level objectives feeds back into the coordination framework. In so doing, progress made in achieving the objectives defined in the sector strategy can be monitored and adapted if necessary to the developing needs on the ground »3.5.c.

Assessment

474. As described in detail in chapter 3 »3.2, agencies must ensure that they have the resources and capacity to assess, monitor and evaluate the progress and development of their project and programme plans. Any agency may participate in joint assessments throughout implementation. This information should be submitted using agreed templates into the coordination framework, so that the body coordinating the sector and the body coordinating the entire response can identify how progress is being made towards achieving sector objectives, and what common challenges are encountered.



Responding to challenges

475. No project or programme will be implemented, however well planned, without challenges which may lead to delays or reprioritisation, for example the threat of a new or ongoing hazard. Coordination between levels ensures that planning at sector, programme and project levels can be adapted to new challenges whilst remaining coordinated.

Information management

476. Implementing stakeholders will only be able to receive a comprehensive and up-to-date picture of the response from the information management capacities of the government and the coordinating body if they continue to offer comprehensive and up-to-date information to them. Particularly important is information concerning activities initiated in a particular programme or project that may have broader relevance to other stakeholders, for example a combinations of methods of assistance that have proven to be particularly successful in supporting specific groups within the affected population. Information management is the primary tool for the response as a whole as it enables stakeholders to learn from the successes and challenges of the response during the course of implementation »1.4; T3.5.b.

#8 Stakeholders

Guiding principle 8, 'Stakeholders', states that "Civil society and the private sector are important parts of the solution... Beside managing core programmes, these entities provide technical assistance, advocacy, and financial resources of enormous value...".

## Case Study

**Yogyakarta earthquake:** On 26th May 2006, a magnitude 6.4 earthquake south of Mt. Merapi volcano destroyed 303,000 houses and seriously damaged 240,000 houses, mostly in rural or peri-urban communities.

**In response to the earthquake, communities were encouraged to form self-help groups. In this particular case, the Javanese self-help culture of 'working bees', or as they are called locally 'gotong royong', was discussed in participation and incorporated into the plan for implementation. In consultation with the groups, it was agreed that priority would be given to the most vulnerable. Appropriate support to the affected population was ensured through continuous monitoring and revision of programme implementation.**

**A community-built transitional shelter programme was created, drawing upon lessons learnt following the South Asian tsunami (ref case study), but with a very different use of the approach. A large number of volunteers were involved as community trainers, for capacity building. Extensive institutional and promotional material was developed and delivered, including short training manuals, videos and radio advertisements. Community groups provided volunteers with training to construct their own shelters, manage financing, and team-building exercises.**

**The organisations involved developed and implemented transitional shelter designs based on local traditional culture, materials, construction techniques and community needs.**

**Institutional support was given to aid affected communities through small cash grants. Each beneficiary of the cash grant signed contracts with the community, and then phased funding was transferred into a bank account in the name of the community group, for the purchase of tools and materials to build transitional shelters. Poor management of some cash grants resulted in delays, however, which in turn delayed the implementation of the programme.**

**About 12,250 transitional shelters were built in the transitional shelter programme, using more than 1.2 million culms of bamboo. Deforestation was not taken into account in the shelter programme, which omitted to consider purchasing control mechanisms that could have secured quality control, environmental impact, procurement methods and treatment of the bamboo.**

# 4

Introduction

Country level

1

Coordination

Participation 1.1

Framework 1.2

Activities 1.3

Information 1.4

Strategy 1.5

2

Strategy

Participation 2.1

Planning 2.2

Template 2.3

Inputs 2.4

Assessment 2.5

Programme level

3

Assessment

Participation 3.1

Assessment 3.2

Tools 3.3

Teams 3.4

Implementation 3.5

Implementation

Participation 4.1

Options 4.2

Response 4.3

Methods 4.4

Coordination 4.5

Toolkits

Coordination T1

Strategy T2

Assessment T3

Implementation T4

- Good practice**
- ▶ Special attention was given to community participation, which resulted in community empowerment in the reconstruction process, community engagement and ownership of the programme.
  - ▶ In the implementation process volunteers lived within the community, allowing for effective knowledge transfer and building upon the Javanese self-help culture of gotong royong or 'working bees'. This aided in the progress of the transitional shelter building process.
  - ▶ By giving cash grants to the community, a sense of responsibility and engagement with the programme was achieved. The material obtained with the cash grants were of local production, successfully keeping funds within the local economy.
- Practice to avoid**
- ▶ Slow institutional support for cash grants resulted in the delay of the project start-up. Faster implementation could have reduced the problems of overlapping with permanent reconstruction and assistance could have reached more beneficiaries.
  - ▶ Although there was a system for funding and contracts were, issues of transparency and accountability affected the final section of funding, and contracts finally proved not to be robust, as they were difficult to enforce.
  - ▶ Even though an effort to use local material, bamboo, was made to benefit the local economy, there were environmental concerns over the impact upon Java's bamboo forests. Few alternative materials, construction methods or sources were discussed. Detailed environmental impact assessments were not undertaken and subsequent harvesting was not accompanied by monitoring or forest management measures.

### Cross-cutting issues and other sectors



Gender

- ▶ The implementation of programmes and activities should take into account the gender dimension of humanitarian response. The distribution of shelter and the allocation of families and households should be made in a non-discriminatory manner.
- ▶ Single male and female heads of households should have the same access to housing and shelter supplies.
- ▶ Obstacles to gender issues and equal access to activities are promptly addressed, supported by the relevant international and national bodies specialising in dealing with gender issues.



Age

- ▶ Agencies should consult with, and actively engage, all age groups in decision making and programme planning and delivery.
- ▶ A further targeted inclusion of the elderly and the youth in all aspects of programme planning and implementation is needed to ensure programmes are inclusive and accessible by the entire affected population.
- ▶ When programmes and projects are implemented patience and respect are crucial to working successfully with older members of the affected populations and representative stakeholders.



Communicable diseases

- ▶ Cultural sensitivities and issues around communicable diseases such as HIV/AIDS and malaria should be considered when planning a shelter programme or project.
- ▶ The programme or project should consider all communicable diseases using vector control, disseminating relevant information and facilitating provision of technical assistance.
- ▶ Inappropriate services are more likely to cause negative effects from the community rather than achieve the desired impact. For example, in planning in water and sanitation provision to prevent the spread of malaria.



Environment

- ▶ Environmental assessments should be undertaken to understand challenges to the environment that implementation of programmes or projects may cause.
- ▶ Policies and initiatives around environmental protection should be considered; they may enable a wider understanding on environmental issues.
- ▶ There is a need for a strategic and sustainable supply of shelter construction materials and fuel for most shelter responses. Understanding among the population and adequate actions around potential deforestation, soil erosion and waste disposal needs to be addressed.



Inter-sector linkage

- ▶ To build a coherent humanitarian response inter-sector linkage is essential. Ensure that coordination between sectors is part of the participation process when taking decisions for programme and project planning.
- ▶ Programme and project planning and implementation should be undertaken in close collaboration with WASH planning and implementation, ensuring specifically that no settlement or reconstruction support is offered without appropriate and integrated water, sanitation and hygiene support.

- ▶ Integrated implementation should be maintained by keeping an overview of cross-sectoral activities and continuous linkages. Facilitate and ensure cross-sectoral planning and assessment processes.
- ▶ Guarantee linkages through the use of sector representatives with the goal of maintaining strategies for preparedness, early warning, emergency response and long term recovery.

# 4

Introduction

---

## Country level

**1**

### Coordination

Participation 1.1

Framework 1.2

Activities 1.3

Information 1.4

Strategy 1.5

**2**

### Strategy

Participation 2.1

Planning 2.2

Template 2.3

Inputs 2.4

Assessment 2.5

---

## Programme level

**3**

### Assessment

Participation 3.1

Assessment 3.2

Tools 3.3

Teams 3.4

Implementation 3.5

---

## Implementation

Participation 4.1

Options 4.2

Response 4.3

Methods 4.4

Coordination 4.5

---

### Toolkits

Coordination T1

Strategy T2

Assessment T3

**Implementation T4**



# Coordination toolkit

# T1

477. This toolkit supports the shelter sector coordination activities by offering a set of resources and tools, which complement the guidance offered in »Chapter 1: Coordination.



478. The toolkit is divided into the following sections:

- T1.1  **Participation:** considerations for coordination with governments in emergency situations;
- T1.2  **Coordination Framework:** Information on the coordination framework can be found in »Section 1.2: Framework;
- T1.3  **Coordination Activities:** including tools for coordinators, tools for operating the sector coordination body and tools for coordinated financial planning;
- T1.4  **Information Management:** tools provided include an overview of ways in which population may have been affected, examples of print media uses for communication and an overview of grievances redress mechanisms;
- T1.5  **Strategy:** Strategy tools are provided in »*Toolkit 2: Strategy*.

479. Toolkits from other sections can provide additional information in the coordination of the shelter response.

480. This toolkit informs and assists the effective coordination of the shelter sector response. Each tool complements the guidance provided in »Chapter 1: Coordination and delivers further assistance when coordinating, assessing, planning, funding, implementing and monitoring activities in support of an ongoing sector response. The tools offered below are not exhaustive but rather provide examples of the type of tool that may be used.

Introduction

Country level

1

**Coordination**

Participation 1.1

Framework 1.2

Activities 1.3

Information 1.4

Strategy 1.5

2

**Strategy**

Participation 2.1

Planning 2.2

Template 2.3

Inputs 2.4

Assessment 2.5

Programme level

3

**Assessment**

Participation 3.1

Assessment 3.2

Tools 3.3

Teams 3.4

Implementation 3.5

4

**Implementation**

Participation 4.1

Options 4.2

Response 4.3

Methods 4.4

Coordination 4.5

**Toolkits**

**Coordination T1**

Strategy T2

Assessment T3

Implementation T4

**T1.1**  
Participation

**Toolkit for Participation**

Navigation

478. This section of the Coordination Toolkit contains resources, which may be used when undertaking tasks outlined in »1.1.

479. Table 1.1: Areas of responsibility of national government emphasises the importance of the role of the government in an emergency response. It may be used by all stakeholders as a tool to understand what may be expected of a government in an ideal situation, and what tasks may need to be reallocated if the government is unable to fulfil all of its responsibilities.

480. More information on alternative methods and techniques which can be used to involve the affected community in a response can be found in Save the Children, 2003, and in Shelter Project, 2004.

Guidance

481. The twelve points outlined in the following table are adapted from the Global Cluster Working Group, 2007, and suggest areas related to protection and assistance to displaced persons that are likely to require the attention of government and public institutions. Example activities which may be undertaken to work towards the achievement of each point are provided.

Table T1.1  
Areas of responsibility of national government

Areas of responsibility of national government	
<b>Prevent forced displacement and reduce its impact when occurring</b>	<p>Ensure that all stakeholders are aware of the basic guarantees and conditions that are to be met in situations of displacement.</p> <p>Support the development of early warning mechanisms which alert the population to imminent risk</p>
<b>Raise awareness on the needs and right of displaced persons</b>	<p>Support the efforts of community representatives who, and community mobilisation activities which, aim to advocate for the rights of the affected population</p> <p>Facilitate the dissemination of information about the protection concerns of affected communities</p>
<b>Collect and share information on the needs of affected population</b>	<p>Provide technical support for efforts to obtain and analyse data, including advocating for the disaggregation of data by age, sex and other essential indicators</p> <p>Assist in the management of data such that the privacy, confidentiality and safety of individuals and communities is ensured</p>

Continued on next page ►

**Areas of responsibility of national government** ► Continued

<b>Provide training on the rights of the affected population to relevant stakeholders</b>	<p>Support training on the rights of the affected community, and advocate for the training of trainers, to maximise a multiplier effect</p> <p>Provide training for both government and non-government stakeholders at a country, regional and local level</p> <p>Promote contact among government officials, civil society and all other stakeholders to exchange knowledge and information on best practices and lessons learned</p>
<b>Adopt or adapt the national legal framework for upholding the rights of the affected population</b>	<p>Encourage and support efforts by the government and civil society, such as lawyers' associations, to review the compatibility of national legislation with the Guiding Principles on Internal Displacement and with international human rights and international humanitarian law</p> <p>Support the assessment of the affected population's ability to access its rights and subsequent efforts to promote the adoption of legal and procedural safeguards or amendments to overcome any legal barriers</p>
<b>Encourage adherence to construction laws and policies</b>	<p>Where reasonable, advocate for adherence to pre-disaster laws and policies</p> <p>When pre-disaster laws and policies are insufficient, work towards the rapid production of or updating of building codes and laws which are relevant to the post disaster situation</p>
<b>Adopt national policies and plan of action to provide assistance and protection to affected communities</b>	<p>Facilitate open and constructive consultations between affected communities and the authorities to define the actions that need to be taken through a national policy or plan of action</p> <p>Advocate for international support for the implementation of a national policy and plans of action that would enhance the protection of the affected population</p>
<b>Strengthen protection capacities of national human rights</b>	<p>Encourage national human rights institutions to integrate protection issues relating to internal displacement into their programme</p> <p>Provide technical and material support, as appropriate, to these institutions to monitor, report and follow-up on rights violations in their work</p>
<b>Ensure adequate participation of the affected population in decision-making process</b>	<p>Encourage and support the formation of associations for the affected population. Strengthen population's own efforts to address their concerns and advocate for their rights</p> <p>Foster humanitarian space for dialogue among the authorities, the affected population and civil society organisations</p>

Continued on next page ►

**T1**

Introduction

Country level

1

Coordination

Participation 1.1

Framework 1.2

Activities 1.3

Information 1.4

Strategy 1.5

2

Strategy

Participation 2.1

Planning 2.2

Template 2.3

Inputs 2.4

Assessment 2.5

Programme level

3

Assessment

Participation 3.1

Assessment 3.2

Tools 3.3

Teams 3.4

Implementation 3.5

4

Implementation

Participation 4.1

Options 4.2

Response 4.3

Methods 4.4

Coordination 4.5

Toolkits

Coordination T1

Strategy T2

Assessment T3

Implementation T4

**Areas of responsibility of national government** ▶ *Continued*

<b>Support the recovery process and promote durable solutions</b>	<p>Raise awareness among state institutions on the need to promote the self-reliance of the affected population as early as possible</p> <p>Avoid creating parallel assistance or support structures. Ensure, instead, that humanitarian efforts are, or subsequently can be, integrated into national assistance programmes</p> <p>Advocate and offer technical assistance, as needed, for the establishment of mechanisms for property restitution, compensation or other forms of reparation</p>
<b>Mobilise adequate resources</b>	<p>Share inter-agency assessments and planning documents, to the extent possible, to assist with national planning and budgeting</p>
<b>Request international support when national capacity is insufficient</b>	<p>Offer support to the authorities to address gaps in the response. Such support can come in the form of technical assistance (such as deployment of specialised construction staff), material support (such as additional building material) or financial grants</p> <p>Assist the authorities in assessing national capacity to protect the affected population through sharing of baseline data, identified trends and other relevant information</p>

📖 Global Cluster Working Group, 2007

**T1.2** Framework

**Toolkit for Framework**

Information on the coordination framework can be found in ▶ Section 1.2: Framework.

**T1.3** Activities

**Toolkit for Activities**

Navigation

482. This section of the Coordination Toolkit contains resources which may be used when undertaking tasks outlined in ▶ 1.3. It includes:

- ▶ 1.3.1 Tools for writing terms of reference for members of the sector coordination body
- ▶ 1.3.2 Tools for operating the sector coordination body
- ▶ 1.3.3 Tools for coordinated financial planning

Guidance

483. The sector coordination body requires a dedicated team, ideally including representatives from government as well as humanitarian specialists ▶ 1.3.3. Checklists for terms of reference summarize the most important aspects to consider when assembling this team ▶ 1.3.4. To achieve an integrated shelter strategy, the members of the coordination body should agree on their roles, responsibilities and priorities as well as priorities for sharing information and conduct financial planning ▶ 1.3.5.

**T1.3.1**

**Tools for writing terms of reference for members of the sector coordination body**

Guidance

484. The checklists in this section suggest points for inclusion in the terms of reference for various members of the sector coordination body. These checklists are to be viewed as guides only, and additional points will need to be added depending on the situation. The content of these checklists has been adapted from 📖 [www.clustercoordinaton.org](http://www.clustercoordinaton.org). Additional and alternative suggestions for Terms of reference contents can be found in 📖 Global Cluster Working Group, 2007; ▶ 1.3:

- ▶ T1.3.1.a Checklist for general terms of reference
- ▶ T1.3.1.b Checklist for sector coordinator terms of reference
- ▶ T1.3.1.c Checklist for technical working group terms of reference
- ▶ T1.3.1.d Checklist for information management working group Terms of reference
- ▶ T1.3.1.e Checklist for Strategic Advisory Group terms of reference

**T1.3.1.a**

**Checklist for general terms of reference**

Checklist T1.1  
Checklist for general terms of reference

*Checklist for General terms of reference* ✓

1. Establishment and maintenance of appropriate humanitarian coordination mechanisms that include all stakeholders, national authorities and other local actors
2. Coordination with national/local authorities and civil society
3. Participatory and community-based approaches
4. Attention to priority cross-cutting issues
5. Needs assessment and analysis including gap identification
6. Contingency planning and emergency preparedness

Continued on next page ▶

**T1**

Introduction

Country level

1

Coordination

Participation 1.1

Framework 1.2

Activities 1.3

Information 1.4

Strategy 1.5

2

Strategy

Participation 2.1

Planning 2.2

Template 2.3

Inputs 2.4

Assessment 2.5

Programme level

3

Assessment

Participation 3.1

Assessment 3.2

Tools 3.3

Teams 3.4

Implementation 3.5

4

Implementation

Participation 4.1

Options 4.2

Response 4.3

Methods 4.4

Coordination 4.5

Toolkits

**Coordination T1**

Strategy T2

Assessment T3

Implementation T4

*Checklist for General terms of reference* ▶ *Continued*

- 7. Planning and strategy development
- 8. Application of standards
- 9. Monitoring and reporting

Adapted from [www.clustercoordination.org](http://www.clustercoordination.org)

### T1.3.1.b Checklist for sector coordinator terms of reference

Checklist T1.2  
Checklist for sector coordinator of reference

*Checklist for Sector coordinator terms of reference* ✓

- 1. Identify and make contact with sector stakeholders and existing coordination mechanism including national building and infrastructure authorities, national and international organisations and civil society
- 2. Hold regular meetings with the country shelter sector partners, forming plans and strategies which, when possible, build on existing frameworks
- 3. Assess and monitor the availability of construction, infrastructure and other related services in the affected area
- 4. Ensure shelter needs are identified by leading initial rapid assessments, followed by more in depth assessments as required
- 5. Lead the sector analysis of sector information and data, allowing the identification of gaps in the sector response, and agreement on sector priorities and response strategy
- 6. Ensure all contributors partake in monitoring and evaluation assessments, and that the information collated and disseminated among stakeholders
- 7. Represent the sector in inter-sector coordination mechanisms at a country and field level, and contribute to the identification of issues which require the action of multiple sectors
- 8. Promote adherence to best practice standards at all stages of the response, accounting for the necessity of local adaption, and promotion of these standards
- 9. Identify urgent training needs
- 10. Ensure where possible, plans and actions can be incorporated into long-term government policies, incorporating the concept 'build back better'
- 11. Ensure that the outputs from Strategy Advisory Group meetings are brought to the attention of the relevant authorities and reflected in situation reports

### T1.3.1.c Checklist for technical working group terms of reference

Guidance

485. Terms of reference for technical working groups will vary depending on the area of specialisation but ideally should include the responsibilities outlined in the tables below.

Checklist T1.3  
Technical working group terms of reference

*Checklist for Technical working group terms of reference* ✓

- 1. Ensure relevant technical standards are formulated and agreed within the terms of reference and deadline set by the Strategic Advisory Group. This will include a review of existing materials and may culminate in an endorsement of existing guidelines, an addendum to existing guidelines, or production of completely new material
- 2. Recommend the quantity, quality, and price of materials to be produced, if applicable; support the sector coordinator in promoting such standards within the context of the sector strategy
- 3. Advise Strategic Advisory Group on compliance issues connected with appliance of the agreed technical standards
- 4. Update the sector on status of work-in-progress and present final outputs/recommendations of the technical working groups to sector stakeholders in oral and written form for feedback and comment
- 5. Ensure that the technical working group membership is representative of the wider sector stakeholder groups, and ensure that relevant technical skill-sets are appropriate and available (advise the sector coordinator if this is not the case)
- 6. Set up sub-working groups as required; ensure all sector stakeholders have the opportunity to feedback into the work of the technical working groups prior to presentation to the sector in plenary, and to the strategic advisory group for ratification

Adapted from [www.clustercoordination.org](http://www.clustercoordination.org)

### T1.3.1.d Checklist for information management working group terms of reference

Checklist T1.4  
Information management working group terms of reference

*Checklist for Information management working group Terms of reference* ✓

- 1. Establish an Information Management Working Group (IMWiG) which ensures timely sharing of reliable operational information through joint information systems
- 2. Use the IMWiG to track trends in coverage and access over time, against key performance indicators

Continued on next page ▶

Introduction

Country level

1

Coordination

Participation 1.1

Framework 1.2

Activities 1.3

Information 1.4

Strategy 1.5

2

Strategy

Participation 2.1

Planning 2.2

Template 2.3

Inputs 2.4

Assessment 2.5

Programme level

3

Assessment

Participation 3.1

Assessment 3.2

Tools 3.3

Teams 3.4

Implementation 3.5

4

Implementation

Participation 4.1

Options 4.2

Response 4.3

Methods 4.4

Coordination 4.5

Toolkits

Coordination T1

Strategy T2

Assessment T3

Implementation T4

*Checklist for Information management working group Terms of reference* ▶ *Continued*

3. Use the IMWiG to identify and keep track of those most in need
4. Promote the use of appropriate information technology such as Geographic Information Systems and website tools amongst stakeholders
5. Facilitate inter-stakeholder and inter-sector linkages
6. Develop a communication strategy for disseminating information to the affected population

Adapted from [www.clustercoordination.org](http://www.clustercoordination.org)

**T1.3.1.e Checklist for Strategic Advisory Group terms of reference**

Checklist T1.5 Strategic advisory group terms of reference

*Checklist for Strategic Advisory Group terms of reference* ✓

1. Collectively agree a strategic operational framework that outlines the overall approach while allowing for diversity in programme orientation
2. Formulate and agree advocacy positions on behalf of the sector partners, take 'formal' responsibility for representing the collective cluster position and advocate to government, other sectors and donors for change
3. Provide strategic planning oversight for effective and efficient allocation of resources by sector partners
4. Agree the composition of the group and the way of working, including terms of reference
5. Formulate and agree the sector strategy, ensure formal ratification by government, ensure complementarity with government policies and plans at local level, update regularly according to evolving needs, and hold partners to account against this framework
6. Formulate and agree the sector work plan and provide strategic oversight of its application by sector partners
7. Establish Technical Working Groups (TWIGs) as required and hold such groups accountable to Terms of reference agreed by the SAG; ensure proper representation within such groups; ensure timely output; ensure transparent reporting and close such groups
8. Provide strategic oversight on integration of cross-sector planning and inclusion of cross-cutting issues
9. Agree performance indicators and method by which these will be measured
10. Ensure appropriate technical standards are agreed and consistently applied

Continued on next page ▶

*Checklist for Strategic Advisory Group terms of reference* ▶ *Continued*

11. Support the sector lead coordinator in setting up dedicated mechanisms and systems for transparent and equitable allocation and monitoring of 'pooled' funds available to the sector
12. Oversee technical, financial and functional capacities of sector partners
13. Oversee quality assurance, market price fluctuations and quantities available from local and/or national markets
14. Ensure coherence of information disseminated to the affected population
15. Ensure the sector lead upholds its responsibilities by applying both sector and sector partner terms of reference

Adapted from [www.clustercoordination.org](http://www.clustercoordination.org)

**T1.3.2 Tools for operating the sector coordination body**

Guidance

488. The resources in this section may be used by sector coordinators and project managers for guidance when planning, chairing and managing coordination meetings and when planning strategies » 1.3:

- ▶ T1.3.2.a Priority to-do list for sector coordinator
- ▶ T1.3.2.b Coordination timeline
- ▶ T1.3.2.c Best practice checklist for managing and chairing coordination meetings
- ▶ T1.3.2.d Best practice checklist for the chairperson of the coordination meeting
- ▶ T1.3.2.e Best practice checklist for activities before coordination meeting
- ▶ T1.3.2.f Best practice checklist for during coordination meeting
- ▶ T1.3.2.g Best practice checklist for activities after coordination meeting

**T1.3.2.a Priority to-do list for sector coordinator**

Guidance

489. The table below proposes a 'to do' list for use by sector coordinators. This list should be viewed as a guideline only and priority tasks will be strongly dependent on the particular emergency. This table is adapted from [Clusterwise, 2008](#), and more general information on the role of the cluster coordinators can be found in [Global Cluster Working Group, 2007](#).

Table T1.2  
Priority to-do list for sector coordinator

Priority to-do list for sector coordinator	
To do item	Notes/considerations
<b>Contact key informants</b>	Stakeholder groups include: <ul style="list-style-type: none"> <li>▶ Affected population</li> <li>▶ National and sub-national authorities</li> <li>▶ International organisations (UN, NGOs)</li> <li>▶ Local NGOs and civil society organisations</li> <li>▶ Red Cross/ Red Crescent Movement</li> <li>▶ International financial institutions (IFIs)</li> <li>▶ Donor agencies</li> <li>▶ International military peacekeeping forces</li> </ul>
<b>Meet and establish a relationship with your government counterpart</b>	It may be necessary to involve the head of agency and/or the resident/humanitarian coordinator in identifying the single person within government responsible for the sector  Be prepared to brief your government counterpart on a daily basis, and even consider drafting his or her presentations
<b>Meet resident/humanitarian coordinator and his/her coordination team</b>	Ensure that both parties understand what to expect of the other  Clarify who will carry out inter-sector coordination
<b>Attend security briefing</b>	Mandatory for United Nations staff and advisable for others
<b>Attend general coordination meeting</b>	Be prepared to give a brief summary of what the sector is doing and what coordination mechanisms are being put in place  Put a poster on the wall in the resident/humanitarian coordinator's office informing visitors how to contact you
<b>Familiarise with the sector emergency preparedness plan and any available latest contingency plan</b>	If not yet in-country, obtain these prior to departure
<b>Contact and meet other sector coordinators</b>	Note that this is often best done informally
<b>Plan immediate priority actions</b>	In accordance with the outline strategy

Continued on next page ▶

Priority to-do list for sector coordinator <span style="float: right;">▶ Continued</span>	
To do item	Notes/considerations
<b>Identify information manager</b>	Likely to be national staff in the first instance with no prior training in information management  Put him or her in contact with the global sector lead and information management focal point  Ensure he or she coordinates with the inter-sectoral coordination group and/or information management working group
<b>Agree an initial outline strategy</b>	This needs not be detailed but should at least orient sector partners to national policies, goals and objective
<b>Visit the affected area</b>	If more than a 24 hour mission, make sure a deputy has been appointed to cover for your absence
<b>Make sure any rapid needs assessment is being collated</b>	Don't wait too long for joint assessment protocols and questionnaires to be developed, if necessary, go it alone
<b>Ensure the inclusion of national and international NGOs inputs into the flash appeal (or equivalent)</b>	Write the strategy yourself as this will reflect the strategy already agreed by the sector  Be prepared to distil proposals into the format yourself and even write them yourself on behalf of a national non-governmental organisation who has briefed you by phone

# T1

Introduction

Country level

1

Coordination

Participation 1.1

Framework 1.2

Activities 1.3

Information 1.4

Strategy 1.5

2

Strategy

Participation 2.1

Planning 2.2

Template 2.3

Inputs 2.4

Assessment 2.5

Programme level

3

Assessment

Participation 3.1

Assessment 3.2

Tools 3.3

Teams 3.4

Implementation 3.5

4

Implementation

Participation 4.1

Options 4.2

Response 4.3

Methods 4.4

Coordination 4.5

Toolkits

Coordination T1

Strategy T2

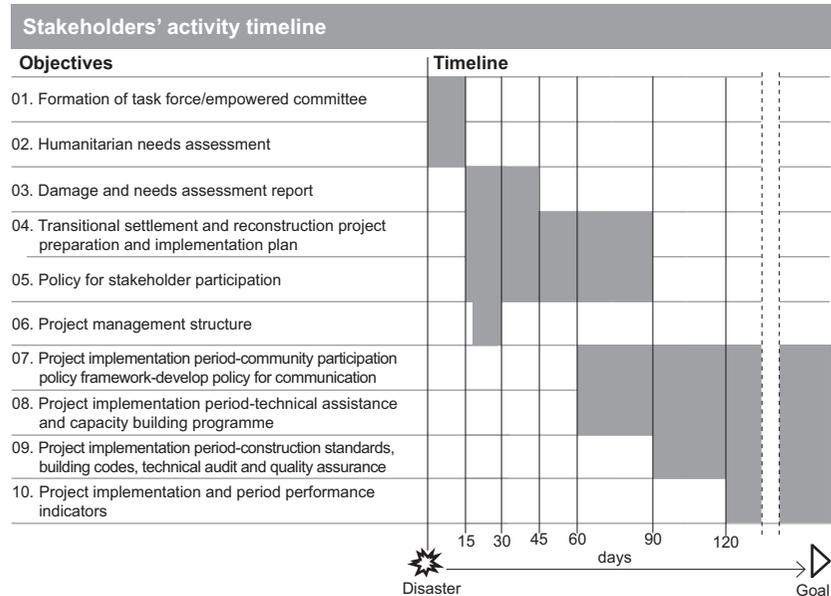
Assessment T3

Implementation T4

### T1.3.2.b Coordination timeline

Guidance 490. The following table suggests objectives and activities involved in coordination from the onset of the disaster. It provides a timeline detailing stakeholders' activities at key periods of the response. This tool will help identify potential objectives and activities at each stage of a response, for the major stakeholder groups.

Table T1.3  
Coordination  
Timeline



Continued on next page ▶

### Stakeholders' activity timeline ▶ Continued

- Government: ministries/agencies/ local authorities
- National stakeholders: NGOs/corporate sector/civil society groups
- International agencies: UN, NGOs, RC/RC Movement/IFIs/donors

1-15 days

#### 01. Formation of task force/empowered committee » 1.1.2

Set up a task force/empowered committee for coordination and strategic planning of recovery and shelter and infrastructure reconstruction

Participate in task force/empowered committee/UN coordination meetings.

Provide information and offer contribution and support

Convene humanitarian coordination meetings

Participate in tasks force/ empowered committee/ UN coordination meetings

Deploy coordination staff

1-15 days

#### 02. Humanitarian needs assessment » 3.2.2

Conduct rapid assessment of humanitarian needs in consultation/ partnership with NGOs and international agencies

Organise relief and essential supplies including those of transit and temporary shelter

Assist the government with rapid assessment. Provide essential supplies to meet the needs of affected population, including provision of transit and temporary shelter

Facilitate international assistance for emergency relief and provision of transit and temporary shelter

15-45 days

#### 03. Damage and needs assessment » 3.5.2

Produce damage and needs assessment report: focus on shelter losses, social, infrastructure and economic sectors. Three kinds of losses need to be described: asset losses/direct damage (loss of stocks and wealth); output losses/indirect damage (losses of flows of goods and services); and fiscal costs/secondary effects

Continued on next page ▶

# T1

Introduction

Country level

1

Coordination

Participation 1.1

Framework 1.2

Activities 1.3

Information 1.4

Strategy 1.5

2

Strategy

Participation 2.1

Planning 2.2

Template 2.3

Inputs 2.4

Assessment 2.5

Programme level

3

Assessment

Participation 3.1

Assessment 3.2

Tools 3.3

Teams 3.4

Implementation 3.5

4

Implementation

Participation 4.1

Options 4.2

Response 4.3

Methods 4.4

Coordination 4.5

Toolkits

Coordination T1

Strategy T2

Assessment T3

Implementation T4

**Stakeholders' activity timeline** ▶ Continued

 Assist the government with the estimation of direct and indirect losses, particularly economic losses in trade, industries and service sectors.

Find out insurance protection for properties damaged during the disaster.

 Set up an inter-agency assessment team to conduct damage and loss assessment

Sources of information are: government, rapid reconnaissance, press coverage, cartography, interviews with key stakeholders, secondary data, aerial photography, remote sensing images, etc.

**04. Transitional settlement and reconstruction project preparation »4**

15-90 days



 Undertake project preparation and implementation plan for transitional settlement and reconstruction programmes

Develop timeline, budget and mode of implementation for all the components included in the plan

 Conduct an assessment of own resources and capacities

Develop a strategy and action plan for participating in the transitional settlement and reconstruction programme

Take necessary steps for capacity development in this area

 Provide international expertise, policy support, and technical assistance for project development

Set up pilot/demonstration programmes so that the national strategy can include its lessons in transitional settlement and reconstruction programmes

**05. Policy for stakeholder participation »2.1.2**

15-90 days



 Lay down the policy for participation of donors, international agencies, corporate sector and NGOs in transitional settlement and reconstruction

 Develop a shared understanding of the transitional settlement and reconstruction policy

 Facilitate the participation of international agencies through UN coordination bodies

Contribute to the development of policy through international best practices

**06. Project management structure »1.2.1**

20-30 days



 Develop a project management structure, supported by professionals drawn from different sectors: government, private sector, NGOs, etc.

*Continued on next page* ▶

**Stakeholders activity timeline** ▶ Continued

 A project management consultancy, engaged through the private sector resources, could provide valuable support to project management

 Provide financial support for management and technical consultants

**07. Project implementation period-community participation policy framework-develop policy for communication »1.2.2**

60 days



 Set up institutional mechanisms for community participation: a coordination committee of citizens or community leaders

Appoint agencies to facilitate community participation at different levels

 Associate with consultative committees

Women's groups to participate actively in these initiatives

Organise forums for empowering community through dissemination of the information and knowledge

 Support mechanisms dedicated to community participation

International assistance/ participation to be channelled through these community-led mechanisms

**08. Project implementation period-technical assistance and capacity building programme »4.4.1**

60 days



 Organise technical assistance and capacity-building programme

Hire experts and consultants to develop capacity among officials

Emphasise information management and reporting. Develop a web-based reporting system

 Assist the government with experts, consultants and technical assistance

Organise interaction with academia, NGOs and civil society. Support through workshops, and training and orientation programmes

 Provide financial assistance and expertise for capacity-building

Extend adequate computer and communications support to the project

**09. Project implementation period-construction standards, building codes, technical audit and quality assurance »4.4.4**

90 days



 Set construction standards and building code specifications

Set up a quality assurance mechanism

Appoint an external technical auditor who provides independent feedback on the quality of construction

*Continued on next page* ▶

**Stakeholders' activity timeline** ▶ Continued

 All participants/stakeholders need to abide by these standards and specifications. Jurisdiction of technical audit and quality assurance mechanism to extend to their projects as well

Independent technical feedback to be made available to all

 Provide international standards and building codes for references

Support the reconstruction programme with expertise in reconstruction

Provide financial assistance for technical audit and quality assurance experts and consultants

**10. Project implementation and period performance indicators »3.5.3**

120 days



 List performance indicators

Develop performance indicators at two levels: programme objectives (rehabilitation, livelihood, etc.) and project objectives (procurement of contracts, progress in construction and disbursement)

 Assist in the development of performance indicators

Submit information related to performance indicators

Participate in the review of performance indicators

 Link the performance indicators to the disbursement/reimbursement and assistance

Request that the review of performance indicators should be an open process

**T1.3.2.c Best practice checklist for managing and chairing coordination meetings**

Guidance **493.** Considerations for the management of coordination meetings are listed in the below table. This list is by no means exhaustive. Further information and suggestions may be found in the  UNHCR, 2007.

Checklist T1.6  
Best practice for the coordination meeting

**Best practice checklist for Coordination meeting** ✓

1. Rationalise meetings and limiting the proliferation of sub-groups, unless there is a clear need for them
2. Use meetings to emphasise strategic issues and decision-making rather than information-sharing
3. Avoid an overly procedural approach
4. When appropriate use conference calls instead of meetings

Continued on next page ▶

Introduction

Country level

**1**

**Coordination**

Participation 1.1

Framework 1.2

Activities 1.3

Information 1.4

Strategy 1.5

**2**

**Strategy**

Participation 2.1

Planning 2.2

Template 2.3

Inputs 2.4

Assessment 2.5

Programme level

**3**

**Assessment**

Participation 3.1

Assessment 3.2

Tools 3.3

Teams 3.4

Implementation 3.5

**4**

**Implementation**

Participation 4.1

Options 4.2

Response 4.3

Methods 4.4

Coordination 4.5

**Toolkits**

**Coordination T1**

Strategy T2

Assessment T3

Implementation T4

**Best practice checklist for Coordination meeting** ▶ Continued

5. Allow everyone to have equal voice and expect participation from everyone
6. Encourage brainstorming and explore various options or potential solutions – separate idea generation from idea evaluation
7. Do not criticise statements by individuals when brainstorming
8. Allow only one individual to speak at a time; do not interrupt
9. Make all decisions by consensus
10. In meetings, re-state major points and summarise differing perspectives – and note any areas of agreement
11. Listen for common ground to identify and build on areas of agreement.
12. Summarise: organize and integrate key points of dialogue
13. Listen and uncover interests, rather than positions
14. Where possible, encourage a government member to co-chair
15. Avoid a 'top table' impression as this may appear too authoritarian

 UNHCR, 2007

**T1.3.2.d Best practice checklist for the chairperson of the coordination meeting**

Guidance **494.** Considerations for the coordination meeting chairperson are listed below. This list is adapted from  [www.humanitarianreform.org](http://www.humanitarianreform.org).

Checklist T1.7  
Best practice for the chairperson of the coordination meetings

**Best practice checklist for The chairperson of the coordination meetings** ✓

1. Start with a statement that sets the tone and style of the meeting
2. Set the ground rules for the meeting
3. State the purpose of the coordination meeting, desired objectives and whose agreement for what objectives is needed
4. Stick to the agenda and keep discussions focused on key issues, interrupt if necessary
5. Encourage wide participation; ask for information and opinions, especially from the representatives of the affected populations and small NGOs and donors. Ask open-ended questions.
6. Clarify and elaborate when requested or when needed
7. Test continually for consensus (“Do you all agree?”)

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*Best practice checklist for Coordination meeting* ▶ Continued

8. Summarise, re-formulate and record key points; identify a volunteer to record salient points as they arise; this helps the group stay focused, avoids repetition, and helps reach consensus
9. Obtain agreement from those present on specific proposals and allocate responsibilities there and then (it helps to write the proposal on a Flip-chart, if available)
10. Anticipate problems and prevent or mitigate them by defusing clashes and being seen to deal calmly with difficult participants

www.humanitarianreform.org.

### T1.3.2.e Best practice checklist for activities before coordination meeting

Guidance 495. The following table suggests activities which should be undertaken to facilitate coordination meetings. The table is adapted from www.humanitarianreform.org.

Checklist T1.8  
Best practice before meeting to-do list

Before coordination meeting	
To do	Comments
<b>Room booking</b>	Identify a location which is convenient to majority of the participants and which has most of the key facilities under the circumstances  Ensure that the layout of the place is the one that encourages best rapport among the participants.
<b>Coordinate timing with key parties; know who is attending (and who isn't)</b>	Ensure that the timing of the meeting is convenient to key participants/those whose agreement is required to achieve the objectives of the meeting  If possible, have previous bilateral consultation with key stakeholders to define objectives  To add to the legitimacy of the meeting it is important to ensure a large turnout; Make sure the timing of the meeting is culturally acceptable
<b>Put together agenda and set strict time limits per agenda item (90 minutes max.)</b>	

Continued on next page ▶

**Before meeting to-do list** ▶ Continued

<b>Disseminate invitation and agenda to all stakeholders</b>	Ensure the invitation and draft agenda are disseminated throughout the coordination mechanism and in the most appropriate manner  Request input from the partners  Make sure the agenda is realistic, does not have too many items on it, and that an estimated time for each item is indicated  Put major and/or difficult items first; Indicate if the participants need to bring anything to the meeting; Also indicate the frequency of meetings  Coordinate and confirm with the government if their representative will chair the meeting or not.
<b>Ensure documents and speeches are translated for local NGOs and government representatives</b>	Arrange for translators to facilitate communication
<b>Sign at the entrance to building and on door</b>	Sector Coordination Meeting
<b>Information on how to join/ contact</b>	Put a poster on wall indicating contact details and other relevant information
<b>Equipment</b>	Request the presence of an IT sector/office technician, if any, in-room;  Use audio/visual equipment and simultaneous interpretation equipment set up, if circumstances allow. Alternatively, consider having two translators sitting near those who need the translation and translating/ summarising the course of the meeting  Put large map facing audience

www.humanitarianreform.org

# T1

Introduction

Country level

1

Coordination

Participation 1.1

Framework 1.2

Activities 1.3

Information 1.4

Strategy 1.5

2

Strategy

Participation 2.1

Planning 2.2

Template 2.3

Inputs 2.4

Assessment 2.5

Programme level

3

Assessment

Participation 3.1

Assessment 3.2

Tools 3.3

Teams 3.4

Implementation 3.5

4

Implementation

Participation 4.1

Options 4.2

Response 4.3

Methods 4.4

Coordination 4.5

Toolkits

**Coordination T1**

Strategy T2

Assessment T3

Implementation T4

### T1.3.2.f Best practice checklist for during coordination meeting

Guidance 496. The following table suggests activities which should be undertaken during coordination meetings. The table is adapted from [www.humanitarianreform.org](http://www.humanitarianreform.org).

Checklist T1.9  
Best practice during meeting to-do list

During coordination meeting	
To do	Comments
<b>Call meeting to order</b>	Respect meeting start/end times and stick to the meeting agenda
<b>Introduce chair and co-chair</b>	If a government representative is present (s) he must speak first and hand-over to the sector coordinator only if (s)he wants
<b>Set the ground rules for the meeting</b>	Outline how the meeting will be conducted; highlight any security issues if needed
<b>Appoint minutes/note taker</b>	Advise him/her that the meeting notes should be action oriented
<b>Introduce new comers and notify the presence of the media in the room</b>	Do not ask everyone to introduce themselves; only those who are attending for the first time. Instead all participants will sign the attendance sheet and indicate their function, agency and contact details  If press is present, inform the room that everything that follows is "off the record" and subject to 'Chatham House Rules' i.e the affiliation of the speaker is not mentioned unless expressly requested  Speakers should still mention their name, function, and agency when intervening though
<b>Ask if the agenda needs amending</b>	Normally any matters arising can be handled under 'Any Other Business'. Accept minor changes if there is consensus. Large items will be included in the next agenda
<b>Provide updates on progress made on items not covered by the agenda</b>	Update partners on action points arising from the meeting notes of the previous meeting that have not been covered during the meeting
<b>Conclusions</b>	Summarise conclusions, reiterate the objectives mentioned at the beginning of the meeting, indicate whose agreement was reached, and follow up issues. At the end of the meeting solicit any suggestions aimed at the improving of the manner in which meetings are held. This Encourages participation and ownership of the process
<b>Announce action points and next steps</b>	Announce the next meeting and/or other events or steps to be taken

### T1.3.2.g Best practice checklist for activities after coordination meeting

Guidance 497. The following table suggests activities which should be undertaken after coordination meetings. The table is adapted from [www.humanitarianreform.org](http://www.humanitarianreform.org).

Checklist T1.10  
After meeting to-do list

After coordination meeting ✓	
To do	Comments
<b>Collect attendance sheets</b>	Ensure attendance is tracked according to type of participant (donor, large/small INGO, NGO, other sectors, government, academic institution); update the list of contacts
<b>Meet local stakeholders, NGOs, donors</b>	Offer the latest data in the most convenient form
<b>Circulate meeting notes/ minutes within 24 hrs</b>	Capture only key issues discussed and actions/ responsibilities/deadlines delegated. Principal concerns are captured in the situation report

### T1.3.3 Tools for coordinated financial planning

Navigation

498. This section of the Coordination Toolkit contains information on financial planning tools which may be used by various stakeholders on the international, national and community level in the context of a coordinated response to disaster:

- ▶ T1.3.3.a International funding mechanisms
- ▶ T1.3.3.b National funding mechanisms
- ▶ T1.3.3.c Families' and Communities' access to funding
- ▶ T1.3.3.d Financial tracking systems

Guidance

499. The resources in this section may be used by sector coordinators and project managers for financial planning of transitional settlement and reconstruction. None of the financial mechanisms discussed below are adequate for meeting large-scale transitional settlement and reconstruction needs. A combination of these mechanisms needs to be used in a post-

disaster situation. The selection of specific mechanisms would vary from country to country, based on economic situation and socio-economic profiles of the communities. While international assistance and national funding continue to be important, families and communities need other sources of finance as well. Public-funded insurance programmes and market-based financial services would therefore become increasingly important in the context of resource constraints for settlement and reconstruction. Equally important for the efficacy of resource planning and allocation is the introduction of monitoring tools. Coordination among all stakeholders is important to ensure a timely, implementation-oriented response that uses available resources efficiently »1.2; 1.3.5.

### T1.3.3.a International funding mechanisms

Guidance

500. This section of the toolkit for coordinated financial planning contains information on international funding mechanisms, including:

- ▶ International Appeals
- ▶ International Donors' Conferences
- ▶ Assistance from international financial institutions
- ▶ Global funding mechanisms

501. Launching appeals allows regional, national, and international relief systems to mobilise and respond to large-scale disasters that require a system-wide response to humanitarian crises. The best known international appeals are those of the UN system including 'Flash Appeals' and the Consolidated Appeals Process (CPA) as well as the International Federation of Red Cross and Red Crescent Societies (IFRC), the International Organization for Migration (IOM), NGOs, bilateral donors and national and regional structures. The attention of the international humanitarian community is most responsive when the appeal is launched immediately following the event. Examples may be found at [www.reliefweb.int](http://www.reliefweb.int).

502. The initial request for assistance in the case of a disaster must come from the government of the affected country. The appeal is used to generate resources as well as personnel on a short-term or long-term basis as identified by the in-country coordination structure. On certain occasions, the UN system in a country, working through the IASC Country Team, can launch an international appeal for mobilising funds for transitional settlement and reconstruction [www.humanitarianinfo.org](http://www.humanitarianinfo.org).

International Donors' Conferences

503. An international donors' conference may be organised as soon as possible by the in-country coordination structure or at international level, preferably within the first three months following a large-scale disaster or complex emergency. The

UN system, IFIs and international NGOs may organise an international donors' conference, either individually or together. Donors commit resources for humanitarian needs as well as long-term recovery and reconstruction in keeping with their own strategic priorities.

504. The negotiations over international assistance require an assistance and implementation strategy »2.3.1. It is thus necessary that adequate preparations precede the donors' conference. The damage and loss assessment »T3.7.a, followed by a detailed transitional settlement and reconstruction plan »2.3, may be presented at the donors' conference. The information related to institutional set up for implementation, the national and local capacities, budget and the timeframe for implementation »2.3; 4.2 are discussed in detail. The success of donors' conferences is measured in terms of the financial commitments made by the donors.

Assistance from international financial institutions

505. International financial institutions (IFIs), such as the World Bank and regional development banks (including the Inter-American Development Bank and the Asian Development Bank), have been increasingly engaged in providing lending and non-lending services to developing countries for post-disaster transitional settlement and reconstruction. These banks provide emergency financial assistance in response to the request of their borrower countries. The financial assistance, generally provided through their soft loan windows and special facilities, is used to rebuild physical assets including private housing. In a few cases, the IFIs have used their grants facility for supporting emergency response »3.1. Non-lending assistance from IFIs includes damage and loss assessments, acting in an advisory role and other forms of technical assistance.

506. IFIs have demonstrated their ability to deliver assistance while working with donors in a shared response and to ensure that the needs of recipients and borrowers are met without overlapping or duplication. An important mechanism for engaging other donors is the practice of joint assessments that ensure organisation responses do not overlap while meeting borrower needs »1.1.2. In almost all major disasters in the recent past, IFIs have been one of the most important sources of financial assistance for transitional settlement and reconstruction.

Global funding mechanisms

507. New global funding mechanisms are supporting transitional settlement and reconstruction. Though these funds only provide small grants, they offer valuable assistance for transitional settlement and reconstruction. Disaster-affected countries are able to seek assistance from the global funding mechanisms listed below.

# T1

Introduction

Country level

1

Coordination

Participation 1.1

Framework 1.2

Activities 1.3

Information 1.4

Strategy 1.5

2

Strategy

Participation 2.1

Planning 2.2

Template 2.3

Inputs 2.4

Assessment 2.5

Programme level

3

Assessment

Participation 3.1

Assessment 3.2

Tools 3.3

Teams 3.4

Implementation 3.5

4

Implementation

Participation 4.1

Options 4.2

Response 4.3

Methods 4.4

Coordination 4.5

Toolkits

Coordination T1

Strategy T2

Assessment T3

Implementation T4

The Central Emergency Response Fund (CERF)

508. The Central Emergency Response Fund (CERF) is a global facility created by the UN to provide predictable and equitable funding to those affected by natural disasters and other humanitarian emergencies. Though it is provided to meet life-saving needs, CERF funds can be used for the construction of transitional shelter. The CERF is funded by voluntary contributions from the Member States of the UN, in addition to private businesses, foundations and individuals. It is administered by the Emergency Relief Coordinator, Head of the Office for the Coordination of Humanitarian Affairs (UN/OCHA) [www.ochaonline.un.org/cerf](http://www.ochaonline.un.org/cerf).

Global Facility for Disaster Reduction and Recovery (GFDRR)

509. In June 2006, the World Bank, in partnership with the United Nations International Strategy for Disaster Reduction (UNISDR) established a Global Facility for Disaster Reduction and Recovery (GFDRR). The GFDRR helps 'developing countries fund development projects and programmes that enhance local capacities for disaster prevention and emergency preparedness'. The GFDRR pursues its global, regional and country level objectives both before and after disasters occur through its three tracks of financing. Track III supports primarily low-income countries to accelerate recovery operations and is deployed to strengthen mobilisation of international assistance for disaster recovery [www.gfdr.org](http://www.gfdr.org).

Multi-Donor Trust Funds (MDTFs)

510. In many countries affected by large-scale disasters, Multi-Donor Trust Funds (MDTFs) have been set up to channel donor resources in a coordinated way and in accordance with national priorities. The MDTF offers a way of pooling resources, there by establishing a way of avoiding setting up a multiplicity of bank accounts and programmes.

511. Governments initiate, plan and implement expenditures from the MDTFs. A steering committee with government, donor and civil society membership endorses the allocation of funds. Funds have a trustee who ensures that the monies are disbursed, and spent in accordance with the transparent procedures and measurable objectives. The trust fund earns interest as it awaits disbursement. The World Bank has been asked to serve as the trustee for most multi-donor funds for reconstruction situations around the world.

### T1.3.3.b National funding mechanisms

Guidance

512. This section of the toolkit for coordinated financial planning contains information on national funding mechanisms, such as:

- ▶ Calamity funds
- ▶ Reconstruction funds and bonds

513. Governments provide resources for transitional settlement and reconstruction through reallocation of their budget.

Calamity fund

Such a reallocation upsets their regular development plans. Governments have therefore developed special mechanisms such as calamity funds or reconstruction funds for this purpose. These mechanisms have evolved recently, and they are at best a partial solution to the resource needs. They still leave a huge gap which governments seek to address through international assistance [» T1.3.3.a](#). The funding, legal structure and operating principles of these funds are derived from their intended objectives. These objectives inform the design of the legal structure and operating principles and safeguards against misuse, autonomy of operations and sustainability must be in place [» T1.3.3.d](#).

514. The objective of a calamity fund is to provide funds immediately for meeting the emergency needs following a disaster. Governments set up these funds as a separate entity, with a special account. It could be funded through budgetary sources or contributions from donor organisations. The objective of a calamity fund is to provide funds immediately for meeting the emergency needs following a disaster. Governments set up these funds as a separate entity, with a special account. It could be funded through budgetary sources or contributions from donor organisations. This type of fund allows post-disaster transitional settlement and reconstruction needs to be addressed without first seeking funding part way through the fiscal year. Additionally, the calamity fund could also support risk reduction investment.

515. Calamity funds are usually used mainly for meeting emergency relief needs. They provide limited funds for recovery and reconstruction.

Reconstruction funds and bonds

516. Governments can set up special funds for transitional settlement and reconstruction with their own resources. Such a fund can be set up through levy of a tax surcharge. In Germany, for example, a special disaster relief and reconstruction fund, Sonderfonds Aufbauhilfe, was set up after the Elbe floods of 2002. It was created by means of tax rises regulated by a special flood help solidarity law. Another way in which the national government can raise resources is by floating reconstruction bonds. The Japanese Government floated reconstruction bonds and provided subsidies and assistance for recovery to private house-owners, following the Kobe earthquake in 1994.

### T1.3.3.c Families' and communities' access to funding

517. A number of financial mechanisms derived from market-based and social interventions have emerged, which families or communities can access for transitional settlement and reconstruction assistance. Though these mechanisms could be used for several purposes, they have become relevant as sources of assistance to disaster-affected families and

# T1

Introduction

Country level

1

Coordination

Participation 1.1

Framework 1.2

Activities 1.3

Information 1.4

Strategy 1.5

2

Strategy

Participation 2.1

Planning 2.2

Template 2.3

Inputs 2.4

Assessment 2.5

Programme level

3

Assessment

Participation 3.1

Assessment 3.2

Tools 3.3

Teams 3.4

Implementation 3.5

4

Implementation

Participation 4.1

Options 4.2

Response 4.3

Methods 4.4

Coordination 4.5

Toolkits

Coordination T1

Strategy T2

Assessment T3

Implementation T4

communities »4.4.3. These mechanisms are described below:

- ▶ Private insurance
- ▶ Public-funded insurance programmes
- ▶ Social funds
- ▶ Microfinance

**Private insurance** 518. In wealthy countries, such as the United Kingdom and the United States, assistance is provided to individual house-owners for reconstructing and repairing private houses. It is the responsibility of the individual house-owners to repair these houses with their own resources or insurance pay-off. The government encourages house-owners to insure their houses and support their own reconstruction, with public funds being made available for repairs and reconstruction of infrastructure.

**Public-funded insurance programmes** 519. In a few other countries, governments have launched mandatory insurance for houses, and the annual premium is collected in a central pool. In case of a disaster, funds from the central pool are made available to individual house-owners for reconstructing and repairing. Such central pools can be managed by the government itself (e.g. France) or by a private company (e.g. Turkey).

520. In developing countries, the catastrophic risk insurance coverage is limited in supply and demand. On the supply side, the risk pool is often too small to make insurance economically viable, while on the demand side, the major obstacle is that governments commonly bail out uninsured parties for legal and political reasons. For instance, in Mexico City, which is highly prone to earthquakes, insuring a house may represent around 3 per cent of the annual income of the average Mexican, which is unrealistically high for households that have to spend most of their income on basic necessities.

521. In keeping with global trends, occurrences of large-scale disasters have increased in developed countries, with losses mounting during a number of recent disasters. As a result, catastrophic risk insurance has become expensive in these countries. For these reasons, natural disaster insurance is frequently characterised by some form of intervention by the public sector. In France, New Zealand and Spain, insurance for catastrophic risks is provisioned by public sector-owned insurance companies.

**Combination of public and private sector** 522. Private sector insurance trends in developing countries show that catastrophic risk insurance may only provide partial disaster solution. A more comprehensive solution can be found when involving both public and private sector resources where the risks can be shared by a large pool of insurers. This could be a more feasible solution to the risk financing needs at the level of families and communities.

Social funds

523. Social funds have established themselves as important instruments for social protection in many parts of the developing world, though their application in disaster risk management is very recent. Social funds or similar entities are now utilized in many countries, particularly in Latin America and Sub-Saharan Africa. The funds are known for their investments in social infrastructure including health, education, water supply and sanitation. In some cases, the funds have been used for disaster response, including Hurricane Mitch in Central America and drought in Zambia.

Examples: Honduras and Nicaragua

524. Following Hurricane Mitch, Honduras and Nicaragua used social funds to help communities to cope and rebuild. The Honduran Social Investment Fund (SIF) deployed senior staff as a decentralised emergency response. Through close community and municipality collaboration, immediate shelter, water, sanitation and transportation needs were assessed. Nicaragua followed a similar approach by setting up decentralised, regional offices. Specialist teams including architects and engineers assisted in the development of refugee camps with water, sanitation systems and roads.

525. Social funds are generally steered by a set of guiding objectives. The broad scope of risk reduction measures may not be comprehensively covered by the funds objectives. Additional viability and sustainability considerations included the dependence of the fund on public sector resource.

Microfinance

526. Microfinance services are a form of credit made available to poor households that are typically excluded from the formal banking sector. These services have been successfully developed in Bangladesh with the creation of the Grameen Bank. The services have expanded to a number of countries and now include savings and insurance services in addition to credit. While microfinance has been in use for poverty alleviation for over ten years, the potential for disaster response and recovery is a more recent development.

527. Microfinance institutions (MFIs) can provide both financial and institutional support to their client households in helping them rebuild their houses by providing temporary loans to undertake repairs or housing loans for reconstruction. They can also provide assistance to encourage their clients to move to safer areas and to invest in more durable housing. A number of microinsurance products have been developed, which can be used for insuring private houses. Housing portfolios are being developed by MFIs, as part of their credit services, though this is an area requiring considerable innovation in terms of services and products.

### T1.3.3.d Financial tracking systems

**Guidance** 528. This section presents the two main tools used to monitor financial planning, i.e. the Financial Tracking Service (FTS), managed which purpose is to record all reported international humanitarian funds provided to humanitarian organisations; and audit systems.

- ▶ Web-based FTSs
- ▶ Audit systems

**Web-based FTSs** 529. A web-based FTS can be launched within the government or the office of the UN Resident/Humanitarian Coordinator. It provides information on the total aid received from different sources, expenditures incurred by different agencies, and sectoral physical and financial progress. An FTS is a well-recognised tool for monitoring humanitarian aid, and it can be used for monitoring the financial progress of the transitional settlement and reconstruction programme as well. It does not, however, include the information on the IFIs' loan assistance. The disbursement and use of IFI loans would be monitored through a separate financial system suggested under the credit agreement.

**Audit systems** 530. All the expenditures incurred on the transitional settlement and reconstruction programme are subject to annual audit. It is necessary to institute an audit system, internal or external, for the programme. Audit reports need to be in the public domain. A monitoring and evaluation system aided by annual audit would improve accountability and transparency in the programme implementation.

## T1.4 Toolkit for Information: Tools for stakeholder communication and IM

**Navigation** 531. This section of the Coordination Toolkit contains resources which may be used when undertaking tasks outlined in »Section 1.4: Information:

- ▶ T1.4.1 Considerations of how the disaster may have affected the population
- ▶ T1.4.2 Communicating with the affected population
- ▶ T1.4.3 Using Information Communication Technologies to communicate with stakeholders
- ▶ T1.4.4 Grievances redress mechanisms

**Guidance** 532. This section contains a series of tools for use by all stakeholders who are required to communicate directly with the affected population. Tools provided include an overview of ways in which the population may have been affected, examples of

print media used to communicate with the affected population, and an overview of a grievance redress mechanism.

### T1.4.1 Considerations of how the disaster may have affected the population

**Guidance** 533. The existing social and cultural specificities in the affected area, and how people have been affected by the disaster should be understood. Misunderstanding the social or cultural context may lead to unintended consequences of, or difficulties in, the implementation of shelter projects. The following table outlines a number of potential factors to be taken into account and that may require communication with affected communities.

Table T1.4  
Considerations of how the disaster may have affected the population

Considerations of how the disaster may have affected the population	
Contextual factors	Examples of how they may affect communications
<b>Peculiarities of the disaster effect, for example:</b>	
Disproportionate loss of certain social groups	If many heads of household are lost in the disaster, non-traditional approaches to reconstruction may need to be promoted
Affect of disaster on materials availability	If common local building materials are damaged, use of alternative materials will have to be explained and promoted
Changes in labour market due to migration	Repeated disasters may make the population reticent to rebuild, so motivational messages may need to be needed
Disaster history in the region	
<b>Institutional/governance context, for example:</b>	
Relations between the national and the local authorities	Tensions between local and national authorities could produce contradictory messages that confuse the public
Degree of sectorial and fiscal decentralisation	Local governments may be suspected of corruption, so accountability measures may need to be improved to give assurance to the population
Roles and responsibilities of governmental entities, levels of government	
Maturity of community organisations	Newer community-based organisations may not have the sufficient credibility in the community to deliver certain information
Trust in government and perceptions of corruption	

Continued on next page ▶

**Considerations of how the disaster may have affected the population** ▶ *Continued*

Contextual factors	Examples of how they may affect communications
<b>Political context, for example:</b>	
History of ongoing violence	Concerns about violence may discourage community involvement
Role of political parties	Opposition parties may politicise the disaster and affect the acceptance of messages delivered by humanitarian organisations
Level of social organisation or activism	Well-organised community organisations may move faster than government and perceive later government involvement as “interference”
<b>Sociological context, for example:</b>	
Demographic factors	In societies where ethnicities, religious groups or social status are polarised, communication may need to be tailored to specific groups
Relationships among religious groups	Members of religious group may prefer that messages come from their religious representatives, rather than from government
Ethnicity, social status, religions of those affected	Men may keep away their wives from participating in projects that strongly promote gender equality
Gender relationships	
Perception of rights of disabled	
<b>Cultural factors, for example:</b>	
Cultural practices and values, such as perceptions of time	Cultural differences in the perception of time will affect planning efforts
Aesthetic value systems, such as Feng Shui	Relationship to money and beliefs about accepting gifts differ enormously from one culture to another
Place of money in cultural life	
Beliefs / traditions	Individuals may have beliefs about the orientation of houses, position of doorways, etc that affect their interest in new houses
Language barriers	
Perceptions about social change	Resident satisfaction surveys may not reveal families' real opinions
	Social judgements about who deserves assistance may be based on intangibles, such as a family's history in the community

Continued on next page ▶

**Considerations of how the disaster may have affected the population** ▶ *Continued*

Contextual factors	Examples of how they may affect communications
<b>Economic context, for example:</b>	
Wealth distribution in disaster area	Cultural perceptions about gift-giving may affect rates of participation in assistance programmes
Effect of disaster on economic base	
Importance of homestead for livelihood	Women may be financial decision makers of household, but not be exposed to communications media that are used
Migration and other working/living patterns	
Role of remittances in local economy	The inability for women to reach markets or to go to markets alone may affect use of assistance strategies, such as vouchers
Market culture	
<b>Territorial/land use issues, for example:</b>	
Specifics of disaster location (urban/rural)	Expectations about the standard of housing may be quite different in urban and rural communities, even in the same country
Access into/out of disaster location	
Ecological context	Messages about land and tenancy need to be fine-tuned to local land-ownership practices
Legal status of land occupancy of affected population	Perceptions about the natural environment vary between cultures, and affect environmental messages
<b>Housing/community culture, for example:</b>	
Household decision maker on housing issues	Where women don't attend community gatherings, opinions expressed in meetings may not represent the entire household
Adequacy of housing situation before the disaster	Perspectives about suitable housing assistance schemes will vary from one location to another
Role of communal spaces within and around the settlement	Localities where income segregation in housing is the norm may not be persuaded to relocate in “mixed income” communities
Relationship of housing styles and settlement layout to culture or climate	The disaster may change people's perceptions of the value of vernacular housing, in favour or against

Adapted from  World Bank, 2010.

### T1.4.2 Communicating with the affected population

534. The communication of the proposed shelter strategy to the affected population is vital to ensure transparency and fairness, and to encourage acceptance of the scheme, following sufficient feedback and adjustment.

535. Where it is necessary to introduce the affected population to new techniques and ideas, it is important to produce information and training materials which can be understood by the local population. Examples of new information may include the conveyance of new construction techniques, or safety issues relating to new building materials.

Guidance

536. This section offers three examples of public media, used to convey new ideas to affected populations, for the purpose of fire safety, building techniques and long-term strategy respectively:

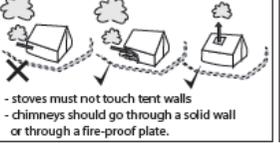
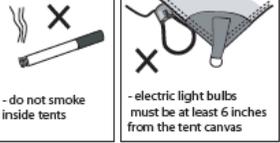
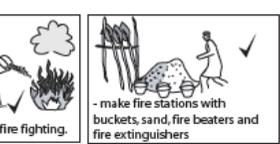
- ▶ Diagram T1.1: Fire safety
- ▶ Diagram T1.2: Construction techniques
- ▶ Diagram T1.3: Communicating strategy

537. An example of public media used to convey the safe use of fire and flames.

Diagram T1.1  
Example 1: Fire safety

**Fire safety**

**PREVENTION**

 <p>- NO open fires or bare flames inside tents</p>	 <p>- candles must be placed in lamps or in jars</p>
 <p>- never leave a candle lit while sleeping or when leaving the tent</p>	 <p>- tents walls must be a minimum of 16ft. apart.</p>
 <p>- stoves must not touch tent walls - chimneys should go through a solid wall or through a fire-proof plate.</p>	 <p>- do not smoke inside tents</p>
 <p>- electric light bulbs must be at least 6 inches from the tent canvas</p>	 <p>- make fire stations with buckets, sand, fire beaters and fire extinguishers</p>

**PREPAREDNESS**

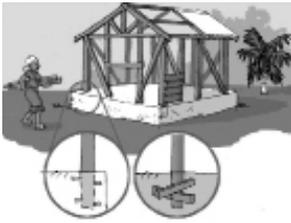
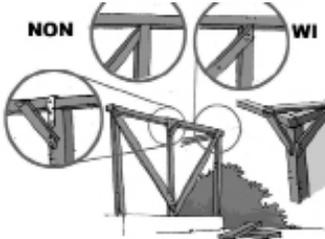

 set up community fire committees, for training and fire fighting.

www.humanitarianreform.org

538. An example of public media used to inform individuals and communities on earthquake resistant techniques, in this case bracing is used.

Diagram T1.2  
Example 2:  
Construction techniques

**Construction techniques**

 <p>ASIRE W KE TOUT LOT KOTE KAY LA MARE YO SOLID TANKOU FONDASYON AK POTO</p>	 <p>NON WI RANFÒSE TRIANG KAY LA</p>
 <p>FÒK PANT TÈT KAY LA MEZIRE 30 RIVE 45 DEGRE</p>	 <p>SEPARÈ TÈT KAY LA AK TÈT GALERI A</p>
 <p>FENET YO DWE MENM GWOSE POT YO DWE MENM GWOSE</p>	 <p>PÒT AK FENÈT JALOUZI PI REZISTANZ</p>

www.shelterhaiti.org

# T1

Introduction

Country level

1

Coordination

Participation 1.1

Framework 1.2

Activities 1.3

Information 1.4

Strategy 1.5

2

Strategy

Participation 2.1

Planning 2.2

Template 2.3

Inputs 2.4

Assessment 2.5

Programme level

3

Assessment

Participation 3.1

Assessment 3.2

Tools 3.3

Teams 3.4

Implementation 3.5

4

Implementation

Participation 4.1

Options 4.2

Response 4.3

Methods 4.4

Coordination 4.5

Toolkits

**Coordination T1**

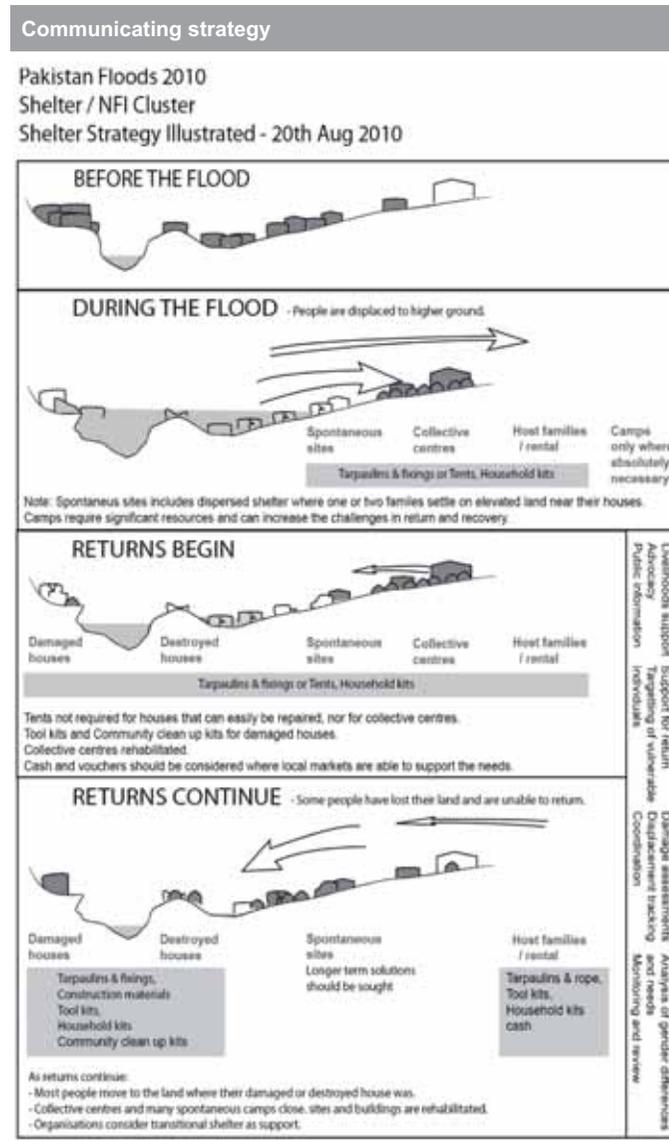
Strategy T2

Assessment T3

Implementation T4

539. An example of (public) media used to communicate strategy as drafted by the strategic advisory group for the shelter sector for 2010 Pakistan floods.

Diagram T1.3  
Example 3:  
Communicating  
strategy



① <https://sites.google.com/site/shelterpak2010/>

## T1.4.4 Grievance redress mechanisms

Guidance

540. A well organised grievance redress mechanism forms a vital part of community-implementor communications. The population should be well informed about the response at all stages, and transparency of the response should be ensured. Programmes which are well understood by communities are likely to be better accepted and lead to fewer complaints.

541. Grievance redress mechanisms are outlined in detail in the World Bank 2010. This section offers a brief overview of the vital elements of a grievance redress system.

Addressing grievance through redresses mechanism

542. Grievance address mechanisms offer the community a voice with which to respond to any perceived unfairness in an emergency response. A good grievance redress mechanism can reduce the risk of error, wrongdoing or manipulation in assistance programmes. The likelihood of the population feeling disaffected will also be reduced.

Elements of a well designed grievance redress system

543. Well designed grievance redress systems should predict the majority of complaints before they arise and factor them in to the complaints mechanism from the beginning. The following characteristics should be included in any grievance redress mechanism:

- ▶ Well understood by all staff and beneficiaries.
- ▶ Procedures is well documented and set up at the start of the project.
- ▶ Is quick to respond, in order to avoid the building of s timely in responding, so grievances don't build.
- ▶ Transparent, confidential and impartial processing of complaints.
- ▶ Decisions are based on good information and validated locally wherever possible.
- ▶ Agency is able to provide redress for issues it is taking complaints for and to guarantee safety of staff involved.
- ▶ Consideration should be given to how corruption in the complaints mechanism itself may be reported.

Feedback

544. Feedback should be provided at each level where accountability is required: a minimum of agency, staff and programme level feedback should be provided.

T1.5  
Strategy

## Toolkit for Strategy

545. Strategy tools are provided in » Toolkit 2: Strategy.

Introduction

Country level

1

Coordination

Participation 1.1

Framework 1.2

Activities 1.3

Information 1.4

Strategy 1.5

2

Strategy

Participation 2.1

Planning 2.2

Template 2.3

Inputs 2.4

Assessment 2.5

Programme level

3

Assessment

Participation 3.1

Assessment 3.2

Tools 3.3

Teams 3.4

Implementation 3.5

4

Implementation

Participation 4.1

Options 4.2

Response 4.3

Methods 4.4

Coordination 4.5

Toolkits

Coordination T1

Strategy T2

Assessment T3

Implementation T4



# Strategy Toolkit

546. This toolkit supports the shelter strategy development by offering a set of resources and tools, which complement the guidance offered in Chapter 2: Strategy.



- T2.1 **Participation:** activities to encourage increased organisational engagement in sector strategy;
- T2.2 **Planning:** principles and legal frameworks for coordinating sector strategy, programme and project plans;
- T2.3 **Template:** indicators, standards and activities; and
- T2.4 **Inputs:** land and tenure issues – incorporating inter-sectoral considerations into the strategic planning process.
- T2.5 **Assessment:** » T3.

547. The toolkit is divided into the following sections:

548. Toolkits from other sections can provide additional information in the development of a shelter response strategy.

549. The toolkit for strategy provides a set of tools, which inform and assist the development of an effective shelter strategy. Each tool complements the guidance provided in Chapter 2: Strategy and delivers further assistance when coordinating, assessing, planning, funding, implementing and monitoring activities in support of an ongoing sector strategy. The tools offered below are not exhaustive but rather provide examples of the type of tool that may be used when making decisions for implementing transitional settlement and reconstruction programmes and projects.

# T2

Introduction

## Country level

1

### Coordination

- Participation 1.1
- Framework 1.2
- Activities 1.3
- Information 1.4
- Strategy 1.5

2

### Strategy

- Participation 2.1
- Planning 2.2
- Template 2.3
- Inputs 2.4
- Assessment 2.5

## Programme level

3

### Assessment

- Participation 3.1
- Assessment 3.2
- Tools 3.3
- Teams 3.4
- Implementation 3.5

4

### Implementation

- Participation 4.1
- Options 4.2
- Response 4.3
- Methods 4.4
- Coordination 4.5

## Toolkits

Coordination T1

**Strategy T2**

Assessment T3

Implementation T4

**T2.1**  
Participation

**Toolkit for Participation**

Navigation

550. Participation is a core activity to all shelter responses. Further information on participation when developing a sector strategy can be found in the Chapter 2 »2.1. The tools for participation are elaborated in the toolkits for coordination and implementation »1.1;4.1, and provide a coherent understanding of the need for participation when developing a shelter strategy. Toolkit 3 »T3.1 also offers additional information on participation in assessments.

**T2.2**  
Planning

**Toolkit for Planning**

Navigation

551. The planning toolkit for the sector strategy development offers a set of standards and laws, which should be considered when planning the shelter strategy »2.2.2; T2.3.1.

552. This section is structured as follows:

- ▶ T2.2.1 National and international laws and standards
- ▶ T2.2.2 Agreeing principles and standards for response
- ▶ T2.2.3 International Disaster Response Laws (IDRL)
- ▶ T2.2.4 Hyogo Framework for Action
- ▶ T2.2.5 Why are legal frameworks relevant?
- ▶ T2.2.6 Legal processes to be considered during the recovery and reconstruction process
- ▶ T2.2.7 Technical issues and recommendations for housing design and reconstruction

Guidance

553. The planning section supports the development process of a sector strategy, programme and project plan by providing further information on standards, existing national and international laws and core principles used in humanitarian actions. The aim is to understand and incorporate them to a shelter strategy.

**T2.2.1 National and international laws and standards**

Guidance

554. The tools in this section provide assistance in understanding the national and international standards and laws which can be used as resources to support, promote or defend shelter sector strategy. Advice is included on how to function within each legal framework, and how to draw on principles from different bodies of law according to the needs of each disaster response.

Gaps in national laws

555. An emergency needs assessment is one of the first activities to be conducted following a natural disaster. Based on the result of this assessment, the considerable gaps within the national laws of the affected country may be identified. For the response to function appropriately and accountably, these gaps need to be addressed. In this case, it is likely that a specialist in legal guidance will be required to advise on how international laws and standards are agreed upon and how international human rights and humanitarian laws may be used to fill these gaps.

Legal response and contracting

556. The reconstruction of temporary, transitional and more permanent structures for the affected populations are governed by national laws. National contract laws and regulations of humanitarian organisations should be followed when engaging specialist services, skilled labour and specialised equipment, for example through competitive tender. Failure to take into account these laws may delay the resolution of disputes, cause additional disputes or result in legal proceedings. Humanitarian organisations often have little experience with contract management in construction, especially at a large scale; technical specialists should therefore be consulted.

Recognising sovereignty and custom

557. The sovereignty of the national government, their legal framework and its use must be understood and respected. The legal framework consists of national laws, including religious and customary laws as well as relevant international laws. The legal framework and its particular norms will directly affect operations, such as in the use of land for settlements.

Identifying gaps in national laws

558. National laws may be insufficient for the exceptional requirements of the response. If gaps in the national legal framework are identified, legal specialist guidance on how to fill them with appropriate international human rights and humanitarian laws should be sought.

Filling gaps in national laws

559. Gaps and/or inconsistencies identified in national legal frameworks should be brought to the attention of the authorities. The latter should be encouraged to fill the gaps in line with international laws and national and international accepted principles and standards. International humanitarian and human rights laws provide the normative framework and should ideally be translated into national legislation. In principle, the norm providing the greatest degree of protection to the affected populations should be applied.

**T2**

Introduction

Country level

1

Coordination

Participation 1.1

Framework 1.2

Activities 1.3

Information 1.4

Strategy 1.5

2

Strategy

Participation 2.1

Planning 2.2

Template 2.3

Inputs 2.4

Assessment 2.5

Programme level

3

Assessment

Participation 3.1

Assessment 3.2

Tools 3.3

Teams 3.4

Implementation 3.5

4

Implementation

Participation 4.1

Options 4.2

Response 4.3

Methods 4.4

Coordination 4.5

Toolkits

Coordination T1

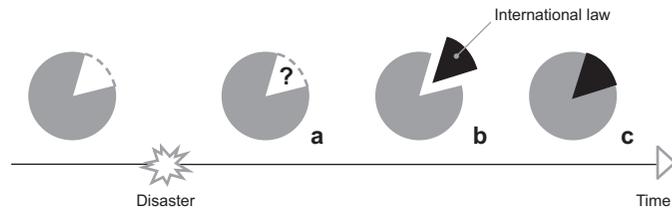
**Strategy T2**

Assessment T3

Implementation T4

560. The following diagram illustrates how applicable international human rights and humanitarian law may be used to fill potential gaps in national law.

Diagram T2.1  
Filling the gaps in international and national laws



## T2.2.2 Agreeing principles and standards for response

**Guidance** 561. This section outlines existing international principles and their use in assisting the affected populations. It informs the reader of existing international guiding principles, which may be referred to when planning a shelter response. Further details can also be found in [UN/OCHA, 2008b](#).

**Use of principles** 562. Principles provide practical general or normative guidance on ways to assist the affected population: a single page of principles can be disseminated more easily than a strategy. Principles communicate an approach, recognising that no strategy can be fully comprehensive or predict every eventuality. Principles underpinning the response should therefore be agreed among stakeholders as early as possible.

**Guiding Principles on Internal Displacement** 563. Guiding Principles on Internal Displacement [UN/OCHA, 2004](#), also referred to as Deng's Principles, identify the rights of the internally displaced from all stages of their displacement, up to the stage of their safe return or resettlement. The guides also outline the prevention of displacement. Although not legally binding, the principles are based on binding laws and provide useful, methodical guidance for governments, authorities, intergovernmental organisations and NGOs in their commitment with the internally displaced. The principles do not contain specific guidance on implementing shelter.

**The Pinheiro Principles** 564. The Pinheiro Principles [COHRE, 2005](#), are designed to provide a practical guidance to states, UN bodies and the broader international community on how best to respond to the complex legal and technical issues surrounding housing, land and property restitution. They are grounded in existing international human rights and humanitarian laws and, therefore, provide a consolidated and common approach to effectively address outstanding housing and property restitution claims. Interventions can be constructed on the provided normative grounds, however implementation of the shelter strategies is beyond the scope of the document.

## T2.2.3 International Disaster Response Laws (IDRL)

**Guidance** 565. International Disaster Response Laws can be used as a general tool for use in planning a shelter response. More general information on IDRL can be found on the IFRC website at [www.ifrc.org](http://www.ifrc.org).

**What are IDRL?** 566. IDRL provide guidance for international disaster relief and early recovery assistance guidelines on domestic and livelihood facilitation, standards and regulations. The IDRL are meant to support governments in being better prepared when facing common legal issues in humanitarian responses. The IDRL assist national governments and local authorities to avoid needless delays when disseminating humanitarian relief, as well as ensuring more coherent coordination and effective assistance.

## T2.2.4 Hyogo Framework for Action

**Guidance** 567. The Hyogo Framework for action offers guidance on implementing disaster risk reduction. More details can be found on the International Strategy for Disaster Reduction website at [www.unisdr.org](http://www.unisdr.org).

**What is the Hyogo Framework for Action?** 568. The overriding aim of the Hyogo Framework for Action is to enable the construction of resilient communities to disasters. In the context of sustainable development, the Hyogo Framework Action offers five different areas of priorities for guiding principles and practical purposes for achieving disaster preparedness for vulnerable communities. The five 'priorities for engagements' are:

- ▶ make disaster risk reduction a priority;
- ▶ know the risks and take action;
- ▶ build understanding and awareness;
- ▶ reduce risk; and
- ▶ be prepared and ready to act.

## T2.2.5 Why are legal frameworks relevant?

**Guidance** 569. The legal framework defines the boundaries of permissible activities in a disaster response, and contributes to the context within which the shelter strategy can be developed. Further details can also be found in [UN/OCHA, 2008b](#).

**Importance of a legal basis for the response** 570. A sound legal basis in national and international laws for the response and sector strategy is essential for a number of reasons:

- ▶ the entire response can be halted or undermined by legal issues, for example, it is common for reconstruction to be delayed when proof of tenure cannot be established for affected families. However, if the legal basis for the response is understood and established correctly early on, there should be far fewer obstacles to progress;
- ▶ a sound legal basis helps the government and local authorities of the affected country or countries to ensure that all involved in the response have a clear idea of their rights and duties and of who is being supported in the recovery process;
- ▶ the legal basis contributes to making the response accountable and sustainable, for example in officially documenting land tenure or rights;
- ▶ basing the legal framework on existing national laws supports the role of national governments and improves opportunities for laws to be sustainable and enforced;
- ▶ national disaster laws determines the entitlements of the affected population, such as criteria of eligibility for housing and expropriation of land; and
- ▶ a sound legal basis for the response contributes to risk reduction by contributing to risk management and laying the foundation for the response to any future emergency, such as through appropriate and enforced building codes.

Principles and standards as normative guidance

571. Principles developed from good practice, learnt through countless responses, should be complementary to the legal framework: they offer practical normative guidance as to how similar problems have been approached in the past. Similarly, international standards for response provide benchmarks, often quantitative, against which the response can be measured and which link national and international laws to operational good practice. Principles and standards can also be agreed or adapted locally. Translation into local languages is fundamental.

Laws, principles and standards as coordinator tools

572. The legal framework, principles and standards support coordination through: providing guidance to stakeholders on the rights of the affected population and how they should be assisted; presenting a structure that should achieve equitable support, taking account of ethnicity, gender, age and all factors in vulnerability; and facilitating communication and consensus between stakeholders using a clear and coherent approach that involves all levels and regions of operation and based upon the best use of resources and capacity.

## T2.2.6 Legal processes to be considered during the recovery and reconstruction process

Guidance

573. Legal tools in the recovery and reconstruction process are provided below. It outlines the legal tools, which should be considered when planning the reconstruction stage of a shelter programme, with particular focus on planning a zoned response, as opposed to individual building projects. It might be necessary to adapt building standards, international and national laws and land planning and tenure issues to implement a good sector strategy on reconstruction »2.2.1.

Table T2.1  
Legal tools which may be considered during a reconstruction phase

Legal tools which may be considered during a reconstruction phase		
Recovery and reconstruction stage	Corresponding legal tool	
1. Revisit risk assessment and monitoring	3.4.1	Using national standards with international standards
2. Re-define levels of acceptable risk	3.4.2	Examples of specific standards applied to shelter and reconstruction
3. Revise building codes and land-use planning controls	3.4.3	Technical issues and recommendations for housing design and reconstruction
4. Implement	3.4.4	Building back safer
5. Monitor	3.4.5	Case study: Mozambique Floods 2000 - 2001

## T2.2.7 Technical issues and recommendations for housing design and reconstruction

Guidance

574. It may sometimes be necessary to revise building codes and land-use planning controls, including revisions to enforcement provision. The following is adapted from information provided in  World Bank, 2010.

Existing building codes

575. If building codes already exist, they must be the primary public policy documents, which detail the choices regarding housing design and reconstruction. Countries that have modern and recent building codes may have included current policy aims, for example energy efficiency, sustainability and the environmental impact of construction technologies.

Updating building codes before reconstruction

576. If building codes have not already been formulated or are not adequate, it is possible to have them updated ahead of reconstruction. However, it is noted that the time needed to redesign, consult with the public, gain approval and redevelop regulations for implementation into building codes can easily hold up reconstruction programmes.

Introduction

Country level

1

Coordination

Participation 1.1

Framework 1.2

Activities 1.3

Information 1.4

Strategy 1.5

2

Strategy

Participation 2.1

Planning 2.2

Template 2.3

Inputs 2.4

Assessment 2.5

Programme level

3

Assessment

Participation 3.1

Assessment 3.2

Tools 3.3

Teams 3.4

Implementation 3.5

4

Implementation

Participation 4.1

Options 4.2

Response 4.3

Methods 4.4

Coordination 4.5

Toolkits

Coordination T1

Strategy T2

Assessment T3

Implementation T4

Updating building codes during reconstruction  
Housing design and developing codes

577. A more achievable objective may be to agree standards and guidelines for safety, comfort and environmental impact for use during the reconstruction programme, to alter them as work proceeds, and to use them to develop or update building codes once reconstruction has been completed. It is critical to involve building industry professionals in this process.

578. Housing design confirms the form, dimensions, orientation, natural lighting, ventilation and spatial organisation of dwellings. There are no pre-existing solutions for housing design in reconstruction. It is imperative, however, to ensure that integration of many issues concerning the affected community are taken into consideration to ensure that the future inhabitants are satisfied.

579. The table below is adapted from World Bank, 2010. It contains several of the issues involved in housing design, how the issue is relevant and recommendations for designing the most suitable option.

Table T2.2  
Issues surrounding housing design

Issues surrounding housing design		
Issue	Relevance	Recommendations
<b>Town, settlement, territory, land, planning</b>	Planning criteria determine position, size, function, form, and materials of the house and the relation between buildings and infrastructure.	Modify, improve, or obtain an exemption for elements of the proposed plan that hinder implementation of sustainable housing solutions.
<b>Policies, guidelines, building codes, standards, strategies</b>	Existing documentation may not provide appropriate instructions.	Identify and suggest possible improvements (hazards, environmental impact, socio-cultural aspects, flexibility, etc.). Propose guidelines and standards for new alternative technologies that provide more appropriate solutions, not only for use in the reconstruction period, but covering the needs of further long-term housing development.
<b>Infrastructure and community services</b>	Water supply, drainage, treatment, sanitation, access roads, energy supply, communication systems, and community services directly influence housing design.	Ensure housing design is consistent with infrastructure plan so that all necessary services are provided (either in the community or in the individual house) and are not redundant. Examples: sanitation systems provide for local and/or community treatment of sewage; kitchen design accommodates available energy source for cooking.

Continued on next page ►

Issues surrounding housing design

► Continued

<b>Beneficiaries' needs, social structure, culture, livelihoods, aspirations</b>	Social structure determines spatial organisation and size; culture affects forms, function, and aesthetics; livelihoods dictate spatial organisation, morphology, size, land use; community's aspirations determine the "housing standard."	Ensure intense community participation in the design and decision making process (house size, morphology, spatial organisation, functions, form, position on the plot). Example: houses without verandas or shading areas in hot climates affect the social structure by not providing a key gathering place for social interaction.
<b>Climatic conditions</b>	Indoor conditions must be within the human comfort zone, which varies according to population's culture, apparel, and activities. The main function of a house with respect to climate is to protect against and take advantage of the climatic conditions.	Design the house and landscape to take advantage of the climate and reduce the demand for operating energy: sun/shadow exposure, solar shading, thermal insulation, passive solar energy, solar hot water, photovoltaic electricity, rain water collection, wind ventilation system, etc. Consider biodiversity enhancement as a tool for improving the local climatic conditions. Example: trees are essential for improving indoor and outdoor conditions in hot climates and can help reduce the impact of wind, soil erosion and solar radiation.
<b>Need for flexibility, modular design, expandability and incremental housing</b>	As a family grows, the needs of space and functions change; a house needs to adapt to these changes. Housing and public buildings should be accessible to all (see box, above, on universal design).	Incorporating flexibility, modular design and expandability in the housing design and concept will make those operations easier and cheaper to carry out when necessary. Incremental housing provides a basic house structure, allowing the users to complete it according to their will and means. Universal design principles reduce the barriers to use and movement by the handicapped and elderly.

Continued on next page ►

# T2

Introduction

Country level

1

Coordination

Participation 1.1

Framework 1.2

Activities 1.3

Information 1.4

Strategy 1.5

2

Strategy

Participation 2.1

Planning 2.2

Template 2.3

Inputs 2.4

Assessment 2.5

Programme level

3

Assessment

Participation 3.1

Assessment 3.2

Tools 3.3

Teams 3.4

Implementation 3.5

4

Implementation

Participation 4.1

Options 4.2

Response 4.3

Methods 4.4

Coordination 4.5

Toolkits

Coordination T1

**Strategy T2**

Assessment T3

Implementation T4

**Issues surrounding housing design** ▶ *Continued*

<b>Environmental impact</b>	Worldwide, the housing sector has a huge environmental impact, contributing substantially to the deterioration of the local environment and natural resources.	Study vernacular architecture and tradition; they are the best reference for developing new designs that lessen environmental impact. Assess environmental impact over the entire life span of a house. Employ basic rules for low environmental impact design: land use that respects and safeguards the soil and biodiversity; simple and reasonable design and size limits that minimise the quantity of building materials and the house's energy requirements; and use of building materials with low environmental impact. In regions under water stress, incorporate rainwater-harvesting systems.
<b>Cost</b>	The entire life span of the house, not just the construction phase, determines the true cost of a design option; higher initial construction cost may lower the life span cost.	Consider the cost of upkeep as well as initial investment. Include materials transport cost. Use an appropriate factor to discount future costs. Design a house that facilitates future expansion (or reduction); it will reduce modification costs. Limit the needs of operating energy through the design; heating and cooling costs may force inhabitants to forego comfort.
<b>Exposure to risks and hazards</b>	Improving a house's physical resistance to hazards is an essential element of risk reduction and disaster preparedness.	Limit a house's vulnerability to hazards through its design elements, especially form, dimension, morphology and detailing. Identification and analysis of a house's vulnerability should be observed so that improved structures can be designed. Consider not only the risk of the particular disaster but the risks from other possible hazards.

*Continued on next page* ▶

**Issues surrounding housing design** ▶ *Continued*

<b>Available construction technologies and building materials</b>	Housing design may be influenced by the construction technology and materials and vice versa. Demonstration buildings can be used at an exhibition site to show locally appropriate construction technologies and materials.	When possible and appropriate, use traditional technologies. They often provide the most appropriate solutions by integrating costs, climate, culture and technical capacity. When possible and appropriate, adapt traditional solutions by integrating modern technologies. Assess and factor into the design the availability of local material and manpower, especially after a large-scale disaster. In many cases, reuse and recycling of debris can be an alternative material source; however, measures may be needed to store, sort and reprocess rubble.
<b>Relation with the built heritage</b>	A house's form, size and construction material has a visual impact on the environment, and its relation with nearby historical and vernacular elements affects an area's overall architectural quality.	Observe and carefully consider the existing built environment in designing new dwellings; incorporate its context into the design.

**T2.3**   
Template

**Toolkit for Template**

Navigation

580. This section of the strategy toolkit contains resources, which read in conjunction with »2.3.1:

- ▶ T2.3.1 Tools for early strategic development
- ▶ T2.3.2 Checklist of activities for planning
- ▶ T2.3.3 Developing scenarios and indicators
- ▶ T2.3.4 Indicators and standards for shelter, settlement, site selection and planning
- ▶ T2.3.5 Logical frameworks, bar and Gantt charts

Guidance

581. This section provides a number of tools used to support the shelter strategic development process in planning, implementing and evaluating the different activities.

# T2

Introduction

Country level

1

Coordination

Participation 1.1

Framework 1.2

Activities 1.3

Information 1.4

Strategy 1.5

2

Strategy

Participation 2.1

Planning 2.2

Template 2.3

Inputs 2.4

Assessment 2.5

Programme level

3

Assessment

Participation 3.1

Assessment 3.2

Tools 3.3

Teams 3.4

Implementation 3.5

4

Implementation

Participation 4.1

Options 4.2

Response 4.3

Methods 4.4

Coordination 4.5

Toolkits

Coordination T1

**Strategy T2**

Assessment T3

Implementation T4

## T2.3.1 Tools for early strategic development

**Guidance** 582. The three core tools for coordinated early strategic development are the Strategic Operational Framework (SOF), the Consolidated Appeals Process (CAP) and the Common Humanitarian Action Plan (CHAP). These tools may not be sufficient, or may be inappropriate for a given response, in which case supplementary or alternative tools should be considered.

**Strategic Operational Framework (SOF)** 583. The SOF is a framework document used by the inter-sectoral community to achieve common goals that would not be achieved by individual approaches. Using a common framework, this tool allows all partners involved to develop their own strategies according to their mandates, capacities and capabilities, while at the same time providing a coherent system for the development of a shelter strategy.

**Consolidated Appeals Process (CAP)** 584. The CAP is an advocacy tool in which governments, aid agencies and UN agencies, the International Red Cross and Red Crescent Movement and NGOs approach donors collectively. The process is used to promote more strategic, appropriate and effective responses to emergencies.

585. The CAP's purpose is to:

- ▶ act as a catalyst for a coordinated response by all stakeholders involved in meeting emergency needs in the aftermath of a disaster; and
- ▶ offer a way in which resources can be mobilised to meet the requirements of all people affected by emergencies in a way that shows clearly the entire range of needs and their relationship with plans and appeals of the actors involved.

586. The CAP consists of the following six steps, which occur in a cycle:

- ▶ strategic planning leading to a CHAP;
- ▶ resource mobilisation leading to a consolidated appeal or a flash appeal;
- ▶ coordinated programme implementation;
- ▶ joint monitoring and evaluation;
- ▶ revision, if necessary; and
- ▶ reporting on results and handover.

587. Further details on the CAP can be found online at [www.ochaonline.un.org](http://www.ochaonline.un.org).

**The Common Humanitarian Action Plan (CHAP)** 588. The CHAP is a strategic plan for humanitarian response in a given country or region. The aim of the CHAP is to develop a consolidated appeal, or alternatively a flash appeal, in the aftermath of a disaster.

589. A CHAP should provide:

- ▶ a joint analysis of the context in which the humanitarian action will take place;
- ▶ a needs assessment;
- ▶ assessments of the best-case, worst-case and most likely scenario;
- ▶ analysis of the roles of all stakeholders;
- ▶ a clear statement of longer-term objectives and goals;
- ▶ prioritised response plans; and
- ▶ a framework for monitoring the proposed strategy and revising it if necessary.

590. The CHAP is developed by the humanitarian community at national level under the leadership of the humanitarian coordinator. It is implemented by the inter-sectoral community at national level and must involve all stakeholders: government, local authorities, international and national organisations as well as affected populations [www.ochaonline.un.org](http://www.ochaonline.un.org).

## T2.3.2 Checklist of activities for planning

**Guidance** 591. This section provides suggested checklists of steps for each of the eleven activities listed and discussed under the five headings for planning. These checklists assist the process of developing a shelter strategy as discussed in [»2.3.1](#).

### T2.3.2.a Needs analysis

**Guidance** 592. A needs analysis [»2.3.1](#), can be used to identify, organise and present information on the needs of the affected populations for the humanitarian shelter response following a natural disaster and should be used when implementing the shelter strategy. The following checklist suggests different steps that can be used as template guidance to be carried out in connection with the assessment process.

Checklist T2.1  
Assessment  
checklist

#### Checklist for Assessment



1. List required assessments.
2. List main activities to be carried out.
3. Describe and allocate roles.
4. Establish mechanisms for achieving the assessments.
5. Draw up a schedule for achieving assessments.
6. Budget for achieving the assessments.
7. Agree further checklist points within strategic planning group.

Guidance 593. These steps, outlined in the following checklist, can be used to assist the selection of options for transitional settlement and reconstruction.

Checklist T2.2  
Options for transitional settlements and reconstruction checklist

*Checklist for*  
**Options for transitional settlements and reconstruction** ✓

1. Agree criteria for vulnerability relevant specifically to the sector.
2. For displaced populations, decide which of the six transitional settlement options will be supported, where, how and to what level.
3. For non-displaced populations, decide how each of the six transitional reconstruction options will be supported and to what level.
4. Decide on the appropriate roles in response for local, government, humanitarian and commercial stakeholders.
5. Agree further checklist points within strategic planning group.

Guidance 594. The steps, outlined in the following checklist, can be used to assist the process of determining means of obtaining the required resources.

Checklist T2.3  
Resources checklist

*Checklist for*  
**Resources** ✓

1. Assess emergency shelter Non-Food-Items (NFI) available in stockpiles.
2. Assess local capacity to produce building material.
3. Assess and map damage and needs.
4. Identify gaps in resources and how to fill them.
5. Draw up a schedule for meeting major resource needs.
6. List funding requirements.
7. Identify relevant donors and processes to obtain funding.
8. Submit appeals to the relevant donors.
9. Agree further checklist points within strategic planning group.

### T2.3.2.b Objectives

Guidance 595. Following the needs analysis, a series of objectives »2.3.1, should be established. They should be specific, measurable, attainable, relevant, time-bound and consider both short-term and long-term emergency and recovery needs. Objectives should be used to achieve consensus over the desired end state of the response. The following checklist provides a number of steps used to assist the process of defining suitable programme objectives.

Checklist T2.4  
Objectives checklist

*Checklist for*  
**Objectives** ✓

1. In the shelter strategy, agree and list the strategic planning objectives.
2. Agree and list the programme and project planning objectives under the shelter strategy, and communicate them back to the strategic advisory group drafting shelter strategy.
3. List the main stakeholders, who should participate in agreeing and reviewing the objectives, at each level.
4. Describe the process of agreeing and reviewing the objectives.
5. Describe the key links between the objectives and the other ten activities in the shelter strategy.
6. List the indicators for achieving the objectives and how and when the indicators will be monitored.
7. Agree further checklist points within strategic advisory group.

### T2.3.2.c Indicators

Guidance 596. The effectiveness and progress of the shelter strategy is measured against key indicators and scenarios agreed upon by the coordination body. When developing these indicators »2.3.1, the shelter strategy should take into account the international and national legal framework.

# T2

Introduction

Country level

1

Coordination

Participation 1.1

Framework 1.2

Activities 1.3

Information 1.4

Strategy 1.5

2

Strategy

Participation 2.1

Planning 2.2

Template 2.3

Inputs 2.4

Assessment 2.5

Programme level

3

Assessment

Participation 3.1

Assessment 3.2

Tools 3.3

Teams 3.4

Implementation 3.5

4

Implementation

Participation 4.1

Options 4.2

Response 4.3

Methods 4.4

Coordination 4.5

Toolkits

Coordination T1

**Strategy T2**

Assessment T3

Implementation T4

597. The following checklist presents a number of steps that can be used to assist the development of possible scenarios.

Checklist T2.5  
Scenarios  
checklist

Checklist for Scenarios ✓	
1.	Map best-case scenario, i.e. achievement of the strategic planning objectives.
2.	Map worst-case scenario, including existing and potential hazards.
3.	Map most likely scenario.
4.	Map indicators, including how they will be revised.
5.	As variables in the scenarios, consider hazards, climate, security and funding.
6.	Agree further checklist points within strategic planning group.

Guidance

598. The following checklist offers a number of steps used to assist in the definition of potential opportunities and challenges.

Checklist T2.6  
Opportunities  
and challenges  
checklist

Checklist for Opportunities and challenges ✓	
1.	List the main predicted opportunities for and barriers to achieving the strategic objectives.
2.	List the implications for each opportunity and barrier, describing predicted impacts on the response.
3.	Describe what can be done regarding each opportunity and barrier.
4.	Draw up a plan and schedule for follow-up action on each opportunity and barrier.
5.	Agree further checklist points within strategic planning group.

Guidance

599. The following checklist suggest a number of steps, which can be used to assist in ensuring that transitional settlement and reconstruction operations, which aim at protecting the affected populations and their hosts, are taking place in line with the existing and relevant legal framework.

Checklist T2.7  
Legal  
framework  
checklist

Checklist for Legal framework ✓	
1.	Recognise the sovereignty of national governments, and list any major legal issues likely to confront the response (checking against the scenarios).
2.	Identify the international legal instruments the government has signed on to and any associated case law.
3.	Determine the degree to which national law and enforcement mechanisms are likely to support the response.
4.	Engage legal experts to identify gaps in national law and which international human rights or humanitarian law might be used to fill the gaps.
5.	Propose measures to government, on this basis, for filling any gaps in national law.
6.	Work with government to achieve a sound and enforceable legal framework to support the strategy.
7.	Disseminate the legal framework in the required languages and ensure that all stakeholders are aware of it as a basis for their actions. The framework needs to be understood and adequately supported at national and local levels.
8.	Agree further checklist points within strategic planning group.

# T2

Introduction

Country level

1

Coordination

Participation 1.1

Framework 1.2

Activities 1.3

Information 1.4

Strategy 1.5

2

Strategy

Participation 2.1

Planning 2.2

Template 2.3

Inputs 2.4

Assessment 2.5

Programme level

3

Assessment

Participation 3.1

Assessment 3.2

Tools 3.3

Teams 3.4

Implementation 3.5

4

Implementation

Participation 4.1

Options 4.2

Response 4.3

Methods 4.4

Coordination 4.5

Toolkits

Coordination T1

Strategy T2

Assessment T3

Implementation T4

### T2.3.2.d Sectoral monitoring plan

Guidance

600. The scenarios and indicators activities developed in the previous section can be used to develop a schedule of works for implementation of the shelter strategy. This will allow all stakeholders to continually monitor progress towards achieving the defined objectives and may assist in identifying potential bottlenecks in implementation »2.3.1. The following checklist elaborates on a number of steps, which can be used to assist the production of a schedule for implementation.

Checklist T2.8  
Schedule for implementation checklist

Checklist for Schedule for implementation ✓	
1.	Draw up a timeline or Gantt chart.
2.	Map critical paths in implementation.
3.	Map milestones in each of the other activities of the plan.
4.	List major events, such as monsoon season or winter.
5.	Map scenarios and indicators.
6.	Identify who does what, where.
7.	Map coverage.
8.	Agree further checklist points within strategic planning group.

### T2.3.2.e Roles and responsibilities

Guidance

601. Stakeholder roles and responsibilities should be defined in the strategy to ensure the most effective implementation of the schedule of works and to avoid gaps and overlaps »2.3.1. The following checklist presents a number of steps, which may be considered in the process of defining the coordination strategy.

Checklist T2.9  
Coordination checklist

Checklist for Coordination ✓	
1.	List required participants in coordination bodies.
2.	Secure commitments from stakeholders to respond to needs, fill gaps and ensure an appropriate distribution of responsibilities within the coordination body, with clearly defined focal points for specific issues where necessary.
3.	Ensure that sectoral coordination mechanisms are adapted over time to reflect the capacities of local actors and the engagement of development partners.
4.	Describe and allocate main roles.
5.	Describe the relationship between government and humanitarian coordination mechanisms and strategic planning.
6.	Agree the information management requirements and develop appropriate services and mechanisms.
7.	Agree the public information approach for how to link with other sectors to offer timely consultation and advice.
8.	Agree the budget for developing and maintaining the coordination plan, how the budget will be met and the degree of accountability required.
9.	Agree further checklist points within strategic planning group.

Guidance

602. The following checklist suggests a number of steps, which may be used in the planning method for involving all stakeholders in a response.

Checklist T2.10  
Participation checklist

Checklist for Participation ✓	
1.	List required participants.
2.	List activities making up the participation plan.
3.	Describe and allocate roles.
4.	List the mechanisms required to achieve the participation plan
5.	Draw up a schedule for achieving the participation plan.
6.	Agree further checklist points within strategic planning group.

# T2

Introduction

Country level

1

Coordination

Participation 1.1

Framework 1.2

Activities 1.3

Information 1.4

Strategy 1.5

2

Strategy

Participation 2.1

Planning 2.2

Template 2.3

Inputs 2.4

Assessment 2.5

Programme level

3

Assessment

Participation 3.1

Assessment 3.2

Tools 3.3

Teams 3.4

Implementation 3.5

4

Implementation

Participation 4.1

Options 4.2

Response 4.3

Methods 4.4

Coordination 4.5

Toolkits

Coordination T1

Strategy T2

Assessment T3

Implementation T4

Guidance **603.** The following checklist offers a number of possible steps used to assist in the formation of a complete and feasible handover procedure.

Checklist T2.11  
Handover checklist

Checklist for Handover 	
1.	List the main handovers required between stakeholders throughout the process.
2.	List capacity, handover materials and information required for each handover.
3.	Hand over risk analysis and carry out risk management.
4.	Ensure that handover plans are fed into the assessment process.
5.	Draw up exit strategies, based on completion of the strategic planning objectives.
6.	Agree further checklist points within strategic planning group.

### T2.3.3 Developing scenarios and indicators

Guidance **604.** Developing indicators is an essential step in developing the shelter strategy. Assessment must be carried out to enable, support and inform the development of these indicators. This tool should be read in conjunction with the activities checklists and Chapter 3: Assessment »T2.1.b; 3.2.2.

Qualitative **605.** Qualitative indicators relate distinctions; examples include written descriptions of living conditions. They can be used to analyse features, which cannot be calculated or quantified, such as security and corruption »3.2.3.

Quantitative **606.** Quantitative indicators relate features, which can be measured and calculated. One example could be the number of families rendered homeless following flooding. Quantitative indicators have the benefit of being easy to incorporate into more advanced statistical analysis. The following table can be used to assist the development indicators for monitoring transitional settlement and reconstruction programmes using the standardised monitoring and assessment of relief and transitions (SMART) method  [www.smartindicators.org](http://www.smartindicators.org).

Guidance **607.** The following table provides a number of criteria to ensure the indicators' quality, such as objectivity, adequacy and practicality.

Table T2.3  
Indicator qualities

Indicator qualities	
Indicator quality	Description
<b>Specific</b>	Is the objective clear, what and who will be changed?
<b>Measurable</b>	Do the objective and indicators provide a target, which can be measured?
<b>Achievable</b>	Is the objective challenging but realistic?
<b>Relevant</b>	Is the objective addressing an important area/ group of beneficiaries of concern?
<b>Time-bound</b>	Do the objective and indicators establish a time period for achieving results?

Key indicators **608.** Key indicators are defined as 'signals', which highlight whether or not basic standards are achieved throughout the programme implementation. They enable measurement and communication and evaluation of the implemented programmes, processes and methods. Key indicators may be qualitative or quantitative. More information about key indicators can be found in the Sphere Standards  Sphere Project, forthcoming 2011.

Guidance **609.** Examples of key indicators, adapted from the Sphere Standards, are shown in the table below.

Table T2.4  
Examples of key indicators, adapted from the Sphere Standards

Examples of key indicators, adapted from the Sphere Standards	
<b>Strategic planning</b>	Coordination, risk vulnerability and hazard assessment, beneficiary identification, assistance, vulnerable groups, access to basic services
<b>Settlement planning</b>	Existing planning processes, access to basic services, community participation, code, standards and guidelines, existing settlement patterns, vector risks
<b>Covered living area</b>	Technical specifications, climate and context, cultural practices, household and livelihood activities, participation
<b>Construction</b>	Procurement and market analysis, participation, DRR, standards codes and guidelines. Construction management
<b>Environmental impact</b>	Sustainability, environmental resource management, impact mitigation, procurement

 Sphere Project, forthcoming 2011.

Introduction

Country level

1  
Coordination

Participation 1.1

Framework 1.2

Activities 1.3

Information 1.4

Strategy 1.5

2  
Strategy

Participation 2.1

Planning 2.2

Template 2.3

Inputs 2.4

Assessment 2.5

Programme level

3

Assessment

Participation 3.1

Assessment 3.2

Tools 3.3

Teams 3.4

Implementation 3.5

4  
Implementation

Participation 4.1

Options 4.2

Response 4.3

Methods 4.4

Coordination 4.5

Toolkits

Coordination T1

Strategy T2

Assessment T3

Implementation T4

### T2.3.4 Indicators and standards for shelter, settlement, site selection and planning

**Guidance** 610. The following information should be used to follow internationally accepted standards in the early stages of a transitional settlement or reconstruction programme »2.3.1.

**Humanitarian Charter and Minimum Standards** 611. Humanitarian Charter and Minimum Standards in Disaster Response Sphere Project, forthcoming 2011, gives a comprehensive overview of minimum standards to be worked towards when implementing a disaster response.

**Handbook for Emergencies** 612. Handbook for Emergencies UNHCR, 2007, provides guidance for the provision of protection to those covered by the mandate of UNHCR, including the shelter-related and settlement-related needs of persons who are of concern to UNHCR. There is an emphasis on planned camps and collective centres and practical guidance notes and checklists.

**Guidance** 613. The following table shows a comparison of Sphere indicators for shelter and settlement and UNHCR standards for site selection, planning and shelter.

Table T2.5  
Comparison of Sphere standards and UNHCR standards

Comparison of Sphere standards and UNHCR standards		
	The Sphere Project 2010 indicators	UNHCR 2007 standards
<b>Minimum surface area of camp per person</b>	45 m <sup>2</sup> including infrastructure	45 m <sup>2</sup> per person recommended (including garden); should not be less than 30 m <sup>2</sup> per person (p. 210)
<b>Minimum covered floor area per person</b>	At least 3.5 m <sup>2</sup> except in extreme circumstances (pp. 219–220)	3.5 m <sup>2</sup> in warm climate or urban situations, including kitchen and bathing facilities (p. 221)
<b>Firebreak</b>		
<b>Minimum distance between buildings</b>	Planning guidance of 45 m <sup>2</sup> per person including firebreaks (p. 217)	Minimum twice structure height, three to four times structure height if highly flammable (p. 219)
<b>Minimum distance between blocks of clusters of dwellings</b>	15 m	30 m per built-up 300 m (p. 219)

Continued on next page ►

### Comparison of Sphere standards and UNHCR standards ► Continued

	The Sphere Project 2010 indicators	UNHCR 2007 standards
<b>Water supply</b>		
<b>Minimum quantity of water (litres per person per day)</b>	15 (p. 63)	15–20 (p. 549)
<b>People per tap-stand</b>	Maximum 250 (p. 65)	1 tap per 200 people not further than 100 m (p. 549)
<b>Distance from dwellings to taps</b>	Maximum 500 m (p. 63)	Maximum 100 m or a few minutes' walk (p. 219)
<b>Sanitation</b>		
<b>Maximum people per latrine</b>	20 people (if sex segregated public toilets) (pp. 71–72)	In order of preference: (1) family (5–10 people) (2) 20 people (p. 549)
<b>Distance from dwelling to toilet</b>	Maximum 50 m (p. 71)	6–50 m (p. 549)
<b>Minimum distance between latrines and soakaways and ground-water source</b>	30 m (p. 74)	30 m (p. 269)
<b>Distance from bottom of pit to water table</b>	Minimum 1.5 m (p. 74)	Minimum 1.5 m (p. 269)
<b>Refuse</b>		
<b>Distance from dwellings to refuse disposal</b>	Less than 100 m to communal pit (p. 83)	
<b>People per 100-litre refuse container</b>		50 (p. 549)
<b>People per 2m x 5m x 2m communal refuse pit</b>	Maximum 10 families (p. 83)	500 (p. 549)

Guidance

614. The table below offers an example of use of the standards for communal facilities as outlined in the Handbook for Emergencies  UNHCR, 2007.

Table T2.6  
UNHCR  
Handbook for  
Emergencies  
Standards for  
communal  
facilities

UNHCR Handbook for Emergencies Standards for communal facilities		
Communal facilities (UNHCR)		
Facilities required	Per number of sites	Estimated population
1 hospital	10	200,000
1 health centre	1.5	30,000 (1 bed per 2000 - 5000)
1 health post or clinic	(per sector)	Approximately 5000 (1 community health workers per 1000 and 1 traditional birth attendant per 3000)
4 commodity distribution sites	1	20,000
1 market	1	20,000
1 school	(per sector)	5,000

### T2.3.5 Logical frameworks, bar and Gantt Charts

Guidance

615. This section offers guidance on essential tools, which assist the planning and management of a shelter strategy »2.3.1.

Logical  
framework  
analysis

Table T2.7  
Logical  
framework  
template

616. The logical framework is a design matrix, which summarises the key elements of an operation, programme or project. It can be particularly useful as a team-planning tool, which supports effective assessment and design processes. The standard logical framework is a 16-box matrix, organised as follows.

Logical framework template			
Hierarchy of objectives	Performance indicators	Means of verification for monitoring and coordination	Assumptions and risks
<b>GOAL:</b> a statement of the overall goal the operation/project is contributing to achieving	Quantitative ways of measuring or qualitative ways of judging progress towards/ or achievement of the overall goal	Description of the means for gathering data on and assessing performance against indicators	External factors, conditions, events, which are necessary in order for the goal to be met
<b>OBJECTIVE:</b> a statement of the specific objective in terms of change or benefit to be achieved by the project	Quantitative ways of measuring or qualitative ways of judging progress towards/ or achievement of the objective	Description of the means for gathering data on and assessing performance against indicators	External factors, conditions, events, which are necessary for the objective to be met
<b>OUTPUT:</b> the specific deliverables/ results expected from the project	Quantitative ways of measuring or qualitative ways of judging progress towards/ or achievement of the outputs	Description of the means for gathering data on and assessing performance against indicators	External factors, conditions, events, which are necessary for the outputs to be achieved
<b>ACTIVITIES:</b> the activities that must be carried out in order to produce the outputs	<b>INPUTS:</b> a description of the resources required to produce the outputs	A description of cash flow requirements over the duration of the project	External factors, conditions, events, which are necessary in order for the activities to be carried out

# T2

Introduction

Country level

1

Coordination

Participation 1.1

Framework 1.2

Activities 1.3

Information 1.4

Strategy 1.5

2

Strategy

Participation 2.1

Planning 2.2

Template 2.3

Inputs 2.4

Assessment 2.5

Programme level

3

Assessment

Participation 3.1

Assessment 3.2

Tools 3.3

Teams 3.4

Implementation 3.5

4

Implementation

Participation 4.1

Options 4.2

Response 4.3

Methods 4.4

Coordination 4.5

Toolkits

Coordination T1

Strategy T2

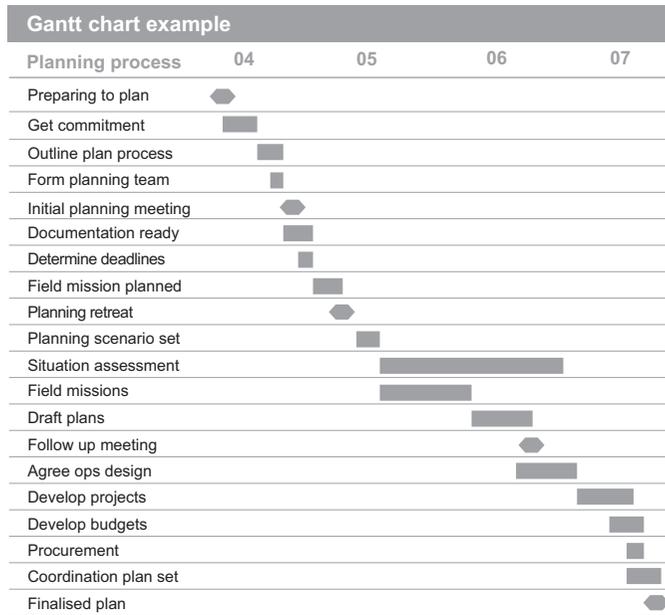
Assessment T3

Implementation T4

Guidance

617. The Gantt chart is one of the most common and useful techniques used in planning and scheduling. The following diagram illustrates an example »T2.1.b.

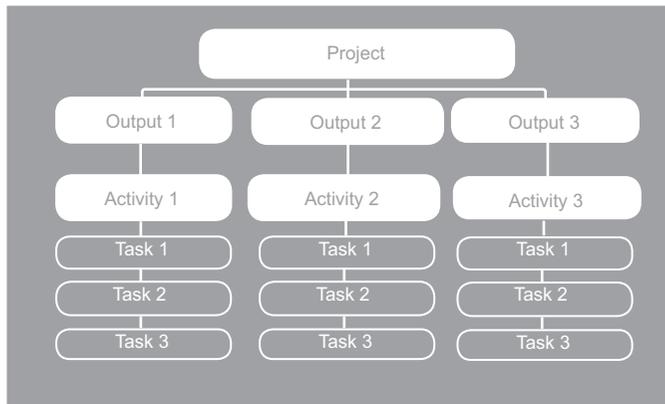
Diagram T2.2  
Gantt chart example



Work breakdown

618. A work breakdown is a useful planning technique for identifying the key parts of any complex task and for showing the relationships that exist between tasks. An example of a work breakdown is shown below. The process of “breaking down the work” involves analysing the key sub-tasks that have to be carried out in a systematic manner.

Diagram T2.3  
Work breakdown example



T2.4  
Inputs

Toolkit for Inputs

T2

Navigation

619. This section of the Strategy Toolkit contains resources which may be used when undertaking tasks outlined in »2.4:

- ▶ 2.4.1 timeline of response operation and associated relevant land issues; and
- ▶ 2.4.2 land and tenure issues in the strategic planning process.

Guidance

620. This section includes tools, which may be used to consider the external inputs that need to be accounted for when developing an effective integration strategy. These are listed in »4.2.4, as: livelihoods, land use, planning and tenure, environment and disaster risk reduction issues.

T2.4.1

Timeline of response operation and associated relevant land issues

Guidance

621. This tool outlines the timeline for response operations and the relevant land issues at each stage.

Introduction

Country level

1

Coordination

Participation 1.1

Framework 1.2

Activities 1.3

Information 1.4

Strategy 1.5

2

Strategy

Participation 2.1

Planning 2.2

Template 2.3

Inputs 2.4

Assessment 2.5

Programme level

3

Assessment

Participation 3.1

Assessment 3.2

Tools 3.3

Teams 3.4

Implementation 3.5

4

Implementation

Participation 4.1

Options 4.2

Response 4.3

Methods 4.4

Coordination 4.5

Toolkits

Coordination T1

Strategy T2

Assessment T3

Implementation T4

Guidance

622. It is essential that land issues are incorporated into every stage of emergency response throughout the recovery. The commencement period for necessary activities are summarised below.

Table T2.8  
Timeline of response operation and associated relevant land issues

Timeline of response operation and associated relevant land issues	
Timeline	Phases of operation
<b>In the first few weeks</b>	Appoint technical specialists
	Undertake assessments
	Identify key actors
	Provide protection and reassurance on housing, land and property rights
<b>In the first 3 months</b>	Commence strategic planning and programme development
	Adopt interim tenure security measures
	Commence hazard mapping and micro-planning
	Undertake census survey of renters and informal or illegal land occupiers
<b>Between 3 and 12 months</b>	Identify gaps in the protection of widows and orphans
	Revise land use and spatial plans
	Commence land acquisition for infrastructure and resettlement
	Commence access to justice programmes
<b>In the second year</b>	Establish monitoring, grievance and information gathering sessions
	Complete land acquisition
	Integrate settlement planning with land use and spatial plans
	Integrate interim tenure security measures into formal land law and administration
<b>Durable solutions</b>	Upgrade the land rights of victims in illegal, informal and customs settlements
	For all victims to have security of land tenure
	For all settlements to comply with land use plans that reduce future disaster risks
	For all vulnerable groups to have adequate access to land and housing

Emergency response: the first few weeks

623. The timeline indicates commencement points for land use, planning and tenure activities. Many of these activities should be undertaken on an ongoing basis through the early recovery period until durable solutions are reached.

624. Key steps in the first few weeks after a disaster include:

- ▶ appoint international and national technical land specialists;
- ▶ include land issues in rapid needs and damage assessments;
- ▶ reassure victims of disaster, their housing, land and property rights will be respected;
- ▶ assess land use, planning and tenure institutions; and
- ▶ identify key land policy actors in government and civil society, and form a specialised working group on land issues.

## T2.4.2

### Land and tenure issues in the strategic planning process

Guidance

625. This tool provides a checklist of items, relating to land use, rights and issues, which must be taken into consideration when strategically planning a shelter programme.

Checklist T2.12  
Checklist for land use, planning and tenure

#### Checklist for Land use, planning and tenure

1. Incorporate land issues into strategic planning and needs and damage assessments.
2. Advocate and support property rights and measures to secure tenure and promote land administration as well as legal identity and inheritance rights.
3. Incorporate land use and planning issues into risk and vulnerability assessments.
4. Support micro and macro land-use plans to mitigate future hazard risks.
5. Support access to land for informal, insecure or illegal tenants.

# T2

Introduction

Country level

1

Coordination

Participation 1.1

Framework 1.2

Activities 1.3

Information 1.4

Strategy 1.5

2

Strategy

Participation 2.1

Planning 2.2

Template 2.3

Inputs 2.4

Assessment 2.5

Programme level

3

Assessment

Participation 3.1

Assessment 3.2

Tools 3.3

Teams 3.4

Implementation 3.5

4

Implementation

Participation 4.1

Options 4.2

Response 4.3

Methods 4.4

Coordination 4.5

Toolkits

Coordination T1

Strategy T2

Assessment T3

Implementation T4

Checklist T2.13  
Checklist for the incorporation of land issues into strategic planning

Checklist for The incorporation of land issues into strategic planning ✓	
1.	Appoint technical specialists.
2.	Form an ad hoc working group on land issues.
3.	Agree on basic land use, planning and tenure objectives.
4.	Agree on basic steps to achieve objectives.
5.	Establish consultation mechanisms in relation to planned land programmes.
6.	Continuously update, modify and evaluate strategic planning on land issues.

Checklist T2.14  
Checklist for the incorporation of special protection and reassurance measures

Checklist for The incorporation of special protection and reassurance measures ✓	
1.	Ensure transport is available to all displaced persons to monitor their vacant housing, land and property.
2.	Establish media monitoring and advocacy programmes to publish cases of land-grabbing.
3.	Encourage relevant government officials to issue public statements reassuring displaced and non-displaced victims that their house, land and property rights will be respected.
4.	Identify gaps in government programming, and conduct land policy advocacy, information awareness and research programmes.

Checklist T2.15  
Checklist for incorporation of rapid mechanisms

Checklist for Incorporation of rapid mechanisms ✓	
1.	Initiate community-based mechanisms for confirming land rights and boundaries prior to reconstruction.
2.	Incorporate safeguards in community-based tenure documentation relating to absent landowners and women's participation.
3.	Advocate regulatory mechanisms to support community-based tenure documentation.
4.	Cross-check community-based tenure documentation with local government officials and existing legal records (if any).
5.	Where necessary, request survey of boundaries by the government land administration agency.
6.	Advocate integration of verified community-based tenure documentation into formal land titling.

Checklist T2.16  
Checklist for securing inheritance

Checklist for Securing inheritance ✓	
1.	Establish and support programmes aimed at improving access to justice and including legal aid.
2.	Support advocacy and information campaigns directed at women and children.
3.	Integrate family-based inheritance agreements with mechanisms to restore tenure security prior to reconstruction.
4.	Support mobile courts to verify and legalise family-based agreements and resolve disputes.
5.	Support information campaigns on the rights of widows and children.

Checklist T2.17  
Checklist for incorporation of land issues

Checklist for Incorporation of land issues ✓	
1.	Support mapping of hazardous areas using satellite and aerial photography technology.
2.	Back up satellite results with participatory mechanisms and expert assessments.

T2.5  
Assessment

Navigation

Toolkit for Assessment

626. Assessment is a core activity to all shelter responses. The tools for assessment are elaborated in the toolkit for Assessment » T3, and provide a coherent understanding of the need for assessment when developing a shelter strategy.

# T2

Introduction

Country level

1

Coordination

Participation 1.1

Framework 1.2

Activities 1.3

Information 1.4

Strategy 1.5

2

Strategy

Participation 2.1

Planning 2.2

Template 2.3

Inputs 2.4

Assessment 2.5

Programme level

3

Assessment

Participation 3.1

Assessment 3.2

Tools 3.3

Teams 3.4

Implementation 3.5

4

Implementation

Participation 4.1

Options 4.2

Response 4.3

Methods 4.4

Coordination 4.5

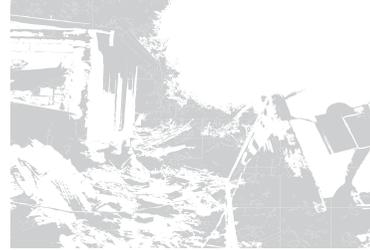
Toolkits

Coordination T1

Strategy T2

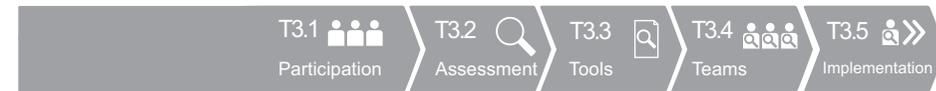
Assessment T3

Implementation T4



# Assessment toolkit

627. The assessment chapter supports the coordination of the assessments of sector stakeholders by structuring the assessment process into four stages: preliminary »3.2.1, rapid »3.2.2, in-depth »3.2.3, and monitoring and evaluation »3.2.4. This toolkit on assessment offers additional support to guide the implementation of assessment activities.



- T3.1  **Participation:** issues to consider and tools to use to guide the participation of the affected population in assessment;
- T3.2  **Assessment:** tools for assessing livelihoods and needs around markets, the environment, hazards and vulnerabilities;
- T3.3  **Tools:** activities that guide the design of assessment tools which identify what is needed and what capacity is available to meet these needs;
- T3.4  **Teams:** activities that guide the establishment of assessment teams; and
- T3.5  **Implementation:** guidance and activities for collecting and managing information.

628. This toolkit is organised around these four subjects. Various other tools that may be appropriate for each of the four stages of the assessment monitoring and evaluation process are presented, such as tools for assessing damage and loss, and hazards and risks.

629. Many agencies conduct damage assessments that include quantified estimates of physical damage resulting from disaster. Some agencies use a mixture of damage and need assessment to convey a more comprehensive account. Some tools presented here may be suitable for more than one assessment subject (i.e. needs and damage). The purpose of these tools is to guide different types of assessment procedures to facilitate the response and include all relevant stakeholders, including the affected population and vulnerable groups.

630. The tools offered below are not exhaustive but rather provide examples of the type of tool that may be used to guide assessments of transitional settlement and reconstruction programmes and projects.

# T3

- Introduction
- Country level
  - 1 **Coordination**
    - Participation 1.1
    - Framework 1.2
    - Activities 1.3
    - Information 1.4
    - Strategy 1.5
  - 2 **Strategy**
    - Participation 2.1
    - Planning 2.2
    - Template 2.3
    - Inputs 2.4
    - Assessment 2.5
- Programme level
  - 3 **Assessment**
    - Participation 3.1
    - Assessment 3.2
      - Tools 3.3
      - Teams 3.4
    - Implementation 3.5
  - 4 **Implementation**
    - Participation 4.1
    - Options 4.2
    - Response 4.3
    - Methods 4.4
    - Coordination 4.5
- Toolkits
  - Coordination T1
  - Strategy T2
  - Assessment T3**
  - Implementation T4

## Toolkit for Participation

631. This section introduces a tool used by UNHCR, the Tool for Participatory Assessment in Operations, which offers guidance on how to build relationships with the affected population, involving them in the assessments through structured dialogue  UNHCR, 2006.

632. For more information on identifying and registering the affected population during assessment to support participation of all stakeholders go to **»T4.1**.

633. Dynamic assessment, monitoring and evaluation involve a wide variety of stakeholders, including additional expertise as well as the affected population. Undertaking a well-represented assessment will facilitate the wider response by better informing those involved of the needs of the population and their opinions and perspectives on the response efforts, as well as the objectives and long-term vision of the response strategy **»3.1**.

634. The entire assessment process should be as inclusive as possible. Key points to consider are:

- ▶ multidisciplinary teams should conduct the assessments, including people of different ages, genders and ethnicity;
- ▶ assessment teams should include local expertise, including local knowledge and/or previous experience of a disaster in the country or region;
- ▶ local customs may require women or other minority groups to be assessed separately; and
- ▶ community representatives from different minority groups may be considered useful for working with different groups and mediating between the humanitarian stakeholders.

635. UNHCR has developed participatory assessment as a tool that defines a process of building relationships with the affected population, of all ages, genders and groups, by promoting participation through structured discussions. Participatory assessment is part of a community-based approach which mobilizes and empowers minority and vulnerable groups as equal participants in the response activities. This tool has been expanded and adapted here to suit shelter needs in disaster response situations. While adapted, the tool retains its core objective of strengthening relationships between the affected

population and humanitarian stakeholders, in gathering baseline data and in developing the most appropriate response strategies  UNHCR, 2006.

636. Participatory assessment includes:

- ▶ holding separate discussion with women, girls, boys and men to gather information on particular needs they have or challenges they face
- ▶ analysing jointly with them what their needs are
- ▶ helping communities mobilise themselves to take collective action to express and meet their own needs

637. It is important to maintain a relationship with the affected population throughout the response and to continuously update the assessment in order to adjust the response strategy to the changing needs of the population. Ways to do this may include working through existing community structures, such as religious groups, youth groups, health facilities, community-based organisations and local NGOs. These groups facilitate access to the wider community.

638. Assessment teams comprising local people and people with local expertise can reach a wider community through their own personal connections.

639. Participatory assessment forms one part of a more comprehensive situation analysis. This wider analysis consists of three interlinked phases. The first phase involves collecting all available information on a situation from various sources. The second phase involves structured discussions with the affected population to identify vulnerabilities and capacities. The third phase invites participants in the assessments to review and analyse the collected information and to develop the objectives of the response plan. The outcome of the situation analysis is a community-based response strategy.

Important issues to consider for participatory assessment.

The UNHCR Tool for Participatory Assessment in Operations

640. The following table illustrates in more detail the phases of a situation analysis, one phase of which is a participatory assessment (adapted from  UNHCR, 2006).

Table T3.1  
Situation  
analysis

Situation analysis	
<b>Phase 1: Analysis of existing information</b>	
<b>Phase 1</b>	<ul style="list-style-type: none"> <li>▶ Socio-economic, political and legal context;</li> <li>▶ Population profile – demographics and diversity;</li> <li>▶ Standards and indicators reports;</li> <li>▶ Country reports</li> <li>▶ Annual protection reports</li> <li>▶ Other agency partner reports</li> </ul>
<b>Phase 2: Participatory assessment</b>	
<b>Phase 2</b>	Structured dialogue with affected population to: <ul style="list-style-type: none"> <li>▶ Identify challenges they face and their shelter and livelihood needs</li> <li>▶ Identify community capacity and resources</li> <li>▶ Discuss solutions and priorities</li> </ul>
<b>Phase 3: Participatory planning</b>	
<b>Phase 3</b>	Government, implementing and coordinating agencies and representatives from the affected population to: <ul style="list-style-type: none"> <li>▶ Review and analyse information gathered</li> <li>▶ Define protection strategies</li> <li>▶ Design programmes with:                             <ul style="list-style-type: none"> <li>- shelter-focused objectives</li> <li>- community-based activities</li> <li>- age, gender and diversity indicators</li> </ul> </li> </ul>
<b>Outputs</b>	
	<ul style="list-style-type: none"> <li>▶ Shelter strategy</li> <li>▶ Community-based approach</li> </ul>

 UNHCR, 2006

641. When conducting participatory assessment, it is important to consider that members of the affected population be approached in a way that is culturally sensitive and understanding of the the personal experiences they have gone through, as well as the wider situation. The following table is adapted from UNHCR, 2006.

Table T3.2  
Issues to  
consider when  
conducting a  
participatory  
assessment

Considerations for members of affected population when conducting participatory assessment
<b>Considerations</b>
Members of the affected population do not have to participate in the assessment if they prefer not to
They should not be prompted to give information in public which embarrasses them, makes them feel uncomfortable or makes them relive traumatic experiences
They must be told the purpose and process of the assessment and be informed of its limitations, so that false expectations are not raised
They should be aware of any potential risks or inconveniences associated with participation in the assessment (e.g. time away from family or job, reminders of traumatic experiences)
They must be reassured that confidentiality of information sources will be respected
They must be permitted to express themselves freely without interruption and without having the information they provide “challenged” negatively. Empathy should guide all interactions with persons of concern
They should be given the names of contact staff or implementing agencies with whom they can follow up in case they have personal questions
They must be kept informed of how the information they provide is being used and of any follow-up actions taken; they should remain involved in the process throughout

 UNHCR, 2006

642. UNHCR’s tool is composed of 10 steps to assist the assessment team in preparing, conducting and following up on participatory assessment (adapted from UNHCR)

Table T3.3  
Steps to assist the assessment team

Steps for assisting the assessment team in preparing, conducting and following up in participatory assessment	
Steps	Considerations
<b>Step 1</b>	▶ Reviewing existing information - compile all relevant information and existing documentation on the affected population.
<b>Step 2</b>	▶ Mapping diversity - assessment teams should seek to include as many diverse groups as possible from the affected population, mapping groups according to age, sex, ethnicity, caste/clan, religion, legal status, etc.
<b>Step 3</b>	▶ Methods of enquiry - different methods of enquiry are appropriate to different contexts; assessment teams should decide on a method to use, such as observation, semi-structured discussions, or focus group discussions.
<b>Step 4</b>	▶ Selecting themes - teams can decide what themes to discuss with the affected population, for example livelihoods or security in relation to shelter.
<b>Step 5</b>	▶ Facilitating discussions - teams should consider the number of people to include in each discussion group, and which members of the community to include.
<b>Step 6</b>	▶ Systematizing the information gathered - teams should meet after the assessment to review and discuss the data gathered.
<b>Step 7</b>	▶ Follow-up actions - following up keeps channels of communication open between the affected population and the assessment teams, which keeps the information flowing and enables a more trusting relationship to build between population and humanitarian stakeholders.
<b>Step 8</b>	▶ Comprehensive analysis and priority - team members analyse the information collected, triangulate and prioritise the most urgent tasks or priorities.
<b>Step 9</b>	▶ Recording meetings - recording who participates in these assessments helps validate the information collected and supports planning tools for future assessments.
<b>Step 10</b>	▶ Participatory planning workshop - information gathered, analysed and systematized during the assessment process should be shared and discussed at the workshop.

UNHCR, 2006

**T3.2**   
Assessment

**Tools for assessing livelihoods and needs and environmental assessment**

**T3**

Navigation

643. This section details useful tools for assessing livelihoods and needs. It includes market analysis tools that help shape the response effort around local economic structures and pressures, and basic needs assessment tools for the local government or donors. Additionally it provides tools for conducting environmental assessments, damage and loss assessments and vulnerability and capacity assessments. **»3.2.**

644. This section is structured as follows:

- ▶ T3.2.1 The emergency market mapping and analysis tool
- ▶ T3.2.2 Needs assessment templates
- ▶ T3.2.3 Rapid environmental assessment
- ▶ T3.2.4 Assessing hazards and risks
- ▶ T3.2.5 Hazard assessment and hazard mapping
- ▶ T3.2.6 Vulnerability and capacity assessment
- ▶ T3.2.7 Assessing damage and loss

Guidance

645. Understanding the basic needs, livelihoods, vulnerabilities and capacities of the affected population is essential to a successful design for the reconstruction and resettlement plan, and key to optimising local participation in the response effort. Understanding these structures and conditions as well as the basic needs that shape these help the national government, donors and stakeholders organise their activities around these and respond in a timely, efficient and sustainable manner.

**T3.2.1**

**The emergency market mapping and analysis tool**

Guidance

646. This section introduces the emergency market mapping and analysis tool (EMMA) that informs stakeholders of local market structures and conditions. It is an essential tool for planning the response in a way that involves the affected community and is sensitive to the way the response effort influences local markets and livelihoods.

647. The role of local markets is important to understand before initiating shelter recovery. Emergency market mapping and analysis (EMMA) is an assessment tool that can be used in shelter recovery to inform early decisions about the possibility of using cash (versus in-kind assistance for example), to help identify opportunities and actions needed to restore or rehabilitate critical market systems, and to track the impact of a crisis and response on critical markets. EMMA involves firstly

Introduction

Country level

1

Coordination

Participation 1.1

Framework 1.2

Activities 1.3

Information 1.4

Strategy 1.5

2

Strategy

Participation 2.1

Planning 2.2

Template 2.3

Inputs 2.4

Assessment 2.5

Programme level

3

Assessment

Participation 3.1

Assessment 3.2

Tools 3.3

Teams 3.4

Implementation 3.5

4

Implementation

Participation 4.1

Options 4.2

Response 4.3

Methods 4.4

Coordination 4.5

Toolkits

Coordination T1

Strategy T2

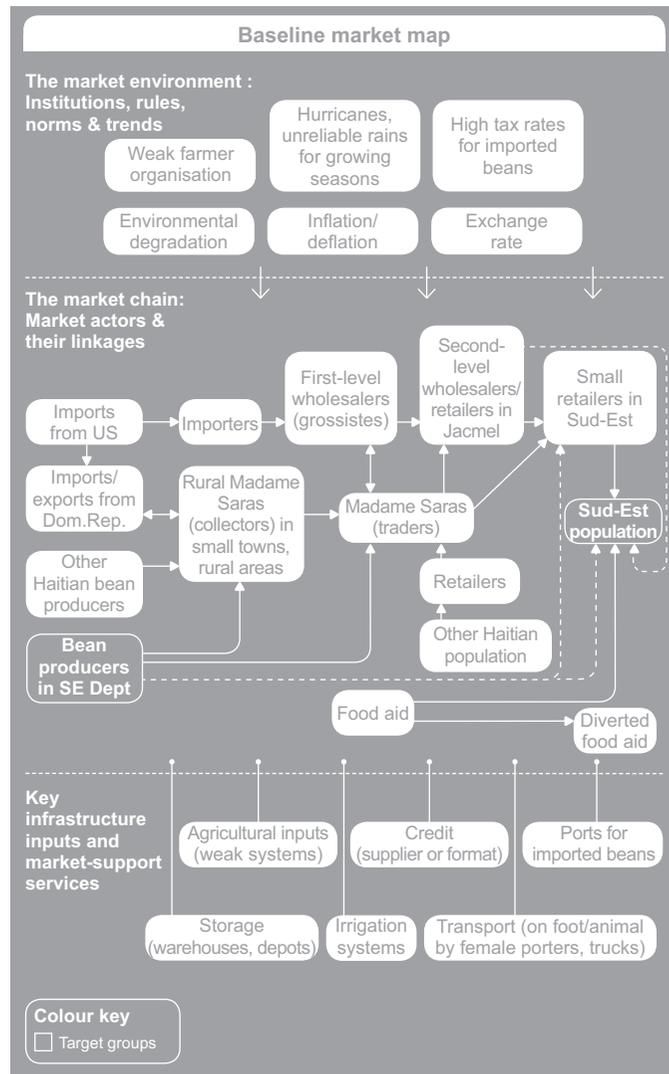
**Assessment T3**

Implementation T4

identifying critical markets for assessment, then estimating the needs of the affected population over time, and finally analysing the market systems before and after the disaster in local and regional markets. Details of using the emergency market mapping and analysis tool are available in the Annotated Bibliography » T3.8; Oxfam, 2008.

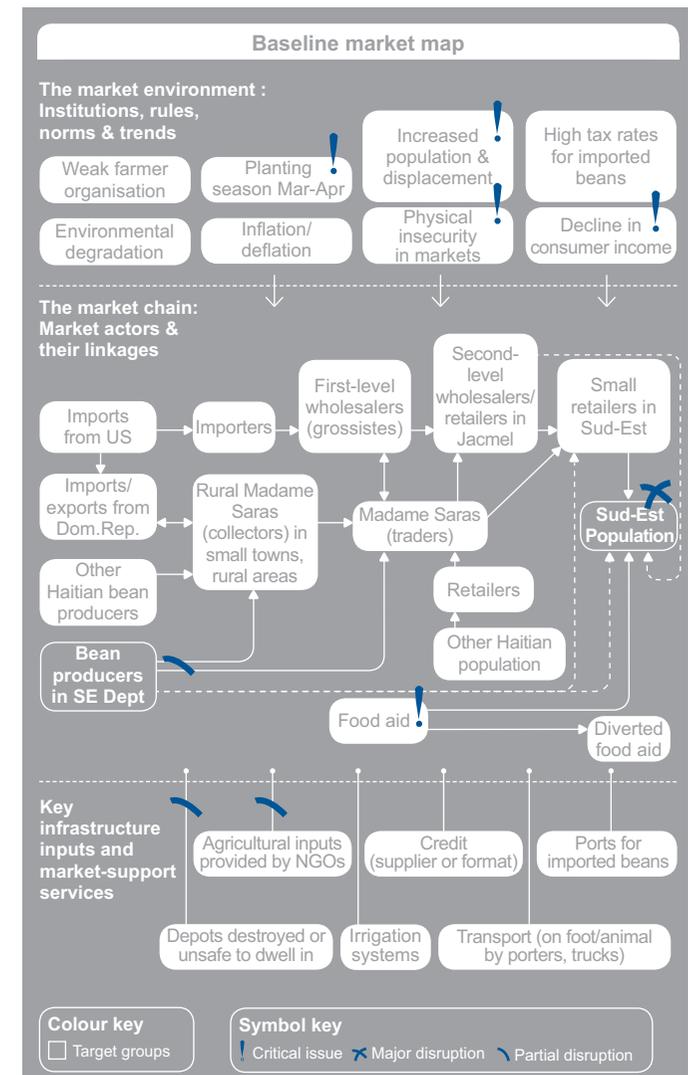
648. The following diagram illustrates the dynamics of the bean market in Haiti after the earthquake and the fluctuations in this market that may impede the population's access to beans. Beans are an important food item and source of income in Haiti (adapted from USAID).

Diagram T3.1  
Baseline market map



649. The following diagram illustrates the dynamics of the bean market and the major issues that existed at the time of the assessment (March-April 2010), not including the immediate disruptions the earthquake caused this market system (such as damage to the Port-au-Prince port) (adapted from USAID).

Diagram T3.2  
Beans market system two months post-earthquake



## T3.2.2 Needs assessment templates

### Guidance

650. This section provides an example checklist of basic shelter needs to assist non-shelter professionals with the provision of these essential items. A disaster needs assessment helps inform the national government of its own response priorities and supports its appeal for outside assistance. Like other assessments, needs assessments will have to be conducted and updated regularly as more information becomes available and as the situation changes throughout the response  IFRC, 2005.

651. This checklist is intended to be used with a preliminary needs assessment, to be adapted and expanded in subsequent rapid and in-depth assessments. Questions on the items available are intended to stimulate thought on what shelter items best fit the context of the disaster situation and the needs of the affected population (adapted from the IFRC).

### Checklist T3.1 What to consider when compiling a shelter needs assessment checklist

Checklist for Shelter needs assessment 	
1.	If using tents, calculate one tent for 4-6 people, ideally of the same family.
2.	Decide whether you need summer or winter tents: <ul style="list-style-type: none"> <li>▶ Do they have to be water proofed or coated?</li> <li>▶ Can locally-made emergency shelter be used instead?</li> <li>▶ Is an extra roof for protection against heat or rain needed?</li> <li>▶ Should a canvas floor be included?</li> <li>▶ Are plastic sheets needed for roofing?</li> </ul>
3.	If using public buildings, calculate 3.5 m <sup>2</sup> of floor space for every person.
4.	Is shelter heating planned? <ul style="list-style-type: none"> <li>▶ If yes, with kerosene or diesel stoves?</li> </ul>

 IFRC, 2005.

## T3.2.3 Rapid environmental assessment

### Guidance

652. Rapid environmental impact assessments (REAs) are tools used to identify and evaluate the real and potential environmental impacts of disasters and response efforts. They ensure that environmental concerns are addressed explicitly, incorporated into the whole response process and included in the decision-making. Their objective is to protect the productivity and capacity of natural systems and the ecological processes that maintain their functions. They are intended to anticipate and offset significant adverse biophysical and social effects of the response effort, promoting sustainable development and sound resource use and management  UNEP, 2007.

653. Governments, international aid agencies, NGOs, and communities use REAs as a starting point for their post-disaster response. An REA needs to be conducted within 120 days of the event. It is relatively quick and simple to use, and does not require expert knowledge if guided by someone with previous experience of environmental assessment and disaster situations.

654. The REA does not replace a formal environmental impact assessment (EIA), rather it fills a gap until the more thorough EIA can be carried out in a safe and consistent manner. Rapid environmental assessment does not fully resolve environmental problems, but it should provide information to assist stakeholders to find practical solutions to the environmental problems identified during the disaster response. More detailed environmental studies may also be required to analyse the particular issues of environmental impact. For instance, groundwater contamination may need to be evaluated for the entire watershed, or the availability of local natural resources used in housing construction may need to be evaluated at the national or regional level. At the end of the housing reconstruction process, an integrated environmental assessment should be part of the project evaluation  Benfield Research Centre, 2005.

### The Environmental Needs Assessment tool.

655. There are standard manuals and guidelines for REA on organisation level assessments, community-level assessments, consolidations, and analyses. During the early recovery phase, UNEP recommends the use of the Environmental Needs Assessment (ENA) methodology, another rapid assessment procedure, designed to fully intergrate environmental needs within early recovery programming. ENA is designed to give quick initial results to counter threats to human welfare and the recovery process as a whole  UNEP, 2008.

# T3

## Introduction

### Country level

#### 1

### Coordination

#### Participation 1.1

#### Framework 1.2

#### Activities 1.3

#### Information 1.4

#### Strategy 1.5

#### 2

### Strategy

#### Participation 2.1

#### Planning 2.2

#### Template 2.3

#### Inputs 2.4

#### Assessment 2.5

### Programme level

#### 3

### Assessment

#### Participation 3.1

#### Assessment 3.2

#### Tools 3.3

#### Teams 3.4

#### Implementation 3.5

#### 4

### Implementation

#### Participation 4.1

#### Options 4.2

#### Response 4.3

#### Methods 4.4

#### Coordination 4.5

### Toolkits

#### Coordination T1

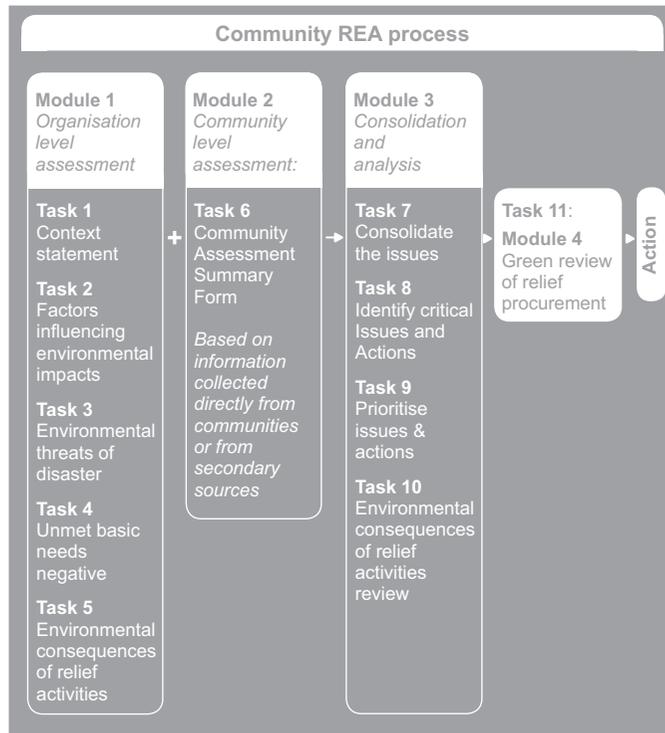
#### Strategy T2

#### Assessment T3

#### Implementation T4

656. The following diagram illustrates the REA process and the tasks within each phase involved.

Diagram T3.3  
Community  
Rapid  
Environmental  
process



Benfield Hazard Research Centre, 2005.

657. The following table highlights some common environmental consequences that result from different natural disasters  
UNEP, 2008.

Table T3.4  
Some environment related consequences of common and recurrent natural disasters

Some environment related consequences of common and recurrent natural disasters	
<b>Hurricane / cyclone / typhoon</b>	
▶	Loss of vegetation cover and wildlife habitat
▶	Inland flooding
▶	Mud slides and soil erosion
▶	Saltwater intrusion into underground freshwater reservoirs
▶	Soil contamination from saline water
▶	Damage to offshore coral reefs and natural coastal defence mechanisms
▶	Waste (some of which may be hazardous) and debris accumulation
▶	Secondary impacts by temporarily displaced people
▶	Problems associated with demolition, reconstruction and repair to damaged infrastructure (e.g., deforestation, quarrying, waste pollution)
<b>Tsunami</b>	
▶	Groundwater pollution through sewage overflow
▶	Saline incursion and sewage contamination of groundwater reservoirs
▶	Loss of productive fisheries and coastal forest or plantations
▶	Destruction of coral reefs and natural coastal defence mechanisms
▶	Coastal erosion or deposition of sediment on beaches or small islands
▶	Marine pollution from back flow of wave surge
▶	Soil contamination from saline water
▶	Loss of crops and seed banks
▶	Waste accumulation from obstruction of waste removal services and sites
▶	Secondary impacts by temporarily displaced people associated with demolition, reconstruction and repair to damaged infrastructure (e.g., deforestation, quarrying, waste pollution)
<b>Earthquake</b>	
▶	Loss of productive systems (e.g., agriculture)
▶	Damage to natural landscapes and vegetation
▶	Possible mass flooding if dam infrastructure is weakened or destroyed
▶	Waste accumulation from obstruction of waste removal services and sites
▶	Secondary impacts by temporarily displaced people
▶	Problems associated with demolition, reconstruction and repair to damaged infrastructure (e.g., deforestation, quarrying, waste pollution)
▶	Damaged infrastructure as a possible secondary environmental threat (e.g., leakage from fuel storage facilities)
▶	Release of hazardous materials from industries, medical facilities, and nuclear plants

Continued on next page ▶

*Some environment-related consequences of common and recurrent natural disaster* ▶ *Continued*

Flood

- ▶ Groundwater pollution through sewage overflow
- ▶ Loss of crops, trees, livestock, and livelihood security
- ▶ Excessive siltation that may affect certain fish stocks
- ▶ River bank damage from erosion
- ▶ Water and soil contamination from fertilizers and/or industrial chemicals
- ▶ Secondary impacts by temporarily displaced people
- ▶ Sedimentation in floodplains or close to river banks

Volcanic eruption

- ▶ Loss of productive landscape and crops buried by ash and pumice
- ▶ Forest fires as a result of molten lava
- ▶ Secondary impacts by temporarily displaced people
- ▶ Loss of wildlife following gas release
- ▶ Secondary flooding should rivers or valleys be blocked by lava flow
- ▶ Damaged infrastructure as a possible secondary environmental threat (e.g., leakage from fuel storage facilities)
- ▶ Problems associated with demolition, reconstruction, and repair to damaged infrastructure (e.g., deforestation, quarrying, waste pollution)

Landslide

- ▶ Damaged infrastructure as a possible secondary environmental threat (e.g., leakage from fuel storage facilities)
- ▶ Secondary impacts by temporarily displaced people
- ▶ Problems associated with demolition, reconstruction, and repair to damaged infrastructure (e.g., deforestation, quarrying, waste pollution)

UNEP, 2008; GFDRR.

### T3.2.4 Assessing hazards and risks

Guidance

658. This section first outlines how stakeholders can evaluate hazards from natural disasters using various methods to create hazard maps. Different types of hazard maps are provided, and different elements are suggested for inclusion in these maps. Following this, the second part of this section provides information on vulnerability and capacity assessment (VCA) as a method of identifying people’s vulnerability to hazards, including their capacity to cope and recover. It introduces a method developed by the IFRC ▶▶3.2.5; IFRC, 2007.

Risk, hazard and vulnerability

659. Risk is defined as the likelihood of damage or suffering following a hazard. Risk is considered to be the combined product of hazard and vulnerability. For example, an extreme hazard that hits a very resilient community will not present as great a risk as a smaller hazard that hits an unprepared community. Hazard and vulnerability assessment are therefore intended together to identify the risks faced by the affected

population. The tools presented in this section help stakeholders, including the affected population, map the identified hazards and understand and explore alternative disaster mitigation plans during rapid and in-depth assessments. During the monitoring and evaluation procedures, these tools can help update information on how successful the implemented risk mitigation measures have been, and how these risks have changed throughout the response. During preliminary assessments, these tools should also help stakeholders better assess whether the settlement and reconstructions options selected are threatened by any immediate hazards.

### T3.2.5 Hazard assessment and hazard mapping

Guidance

660. Hazard maps provide stakeholders, including the affected population, with information on the forecast, location, range and severity of hazards.

661. Generally, hazard mapping records a hazard using base criteria such as time, location and severity. Maps may include:

- ▶ the type of natural and/or man-made hazards that threaten the population, for example volcanic, seismic, water, temperature, or wind hazards;
- ▶ where the hazards occur, including contours that indicate high, medium and low risk areas;
- ▶ the definition of “extreme” for the particular hazard;
- ▶ the frequency of extreme hazard events;
- ▶ the duration of the hazard: for example, how long flood waters are likely to remain, the length of a volcanic eruption, the duration of seismic aftershocks, the duration of a drought, or existence of remaining flood waters;
- ▶ the hazard’s specific location and the area affected;
- ▶ the hazard’s severity as measured in agreed scales, such as the Modified Mercalli scale for earthquakes, or the probability of a certain flood depth; and
- ▶ the particular characteristics of the hazard and the impact the hazard had on people, livelihoods, property and the natural environment.

Types of hazard map

662. There are two types of hazard maps:

- ▶ The resident-educating map has as its main objective to inform the residents living within the damage-forecast area of the risk of danger they face. This map provides the residents with information on danger areas or places of safety, as well as basic knowledge on disaster prevention. It is essential that this information

# T3

Introduction

Country level

1

Coordination

Participation 1.1

Framework 1.2

Activities 1.3

Information 1.4

Strategy 1.5

2

Strategy

Participation 2.1

Planning 2.2

Template 2.3

Inputs 2.4

Assessment 2.5

Programme level

3

Assessment

Participation 3.1

Assessment 3.2

Tools 3.3

Teams 3.4

Implementation 3.5

4

Implementation

Participation 4.1

Options 4.2

Response 4.3

Methods 4.4

Coordination 4.5

Toolkits

Coordination T1

Strategy T2

**Assessment T3**

Implementation T4

is represented in a form that the general population can understand.

- ▶ The administrative information map is used by administrative agencies to provide disaster prevention services. These maps can be used to establish a warning system and an evacuation plan. They also provide evidence for land-use regulations and may be used in preventive works.

Consider a combination of hazards with multi-hazard risk maps

663. Hazard assessment must consider individual hazards, but also combinations of hazards.

- ▶ Multiple hazards can occur simultaneously and in sequence.
- ▶ Simultaneous hazards occur when two separate events, such as a volcanic eruption and a cyclone, occur in the same place at the same time.
- ▶ Sequential hazards occur when two separate events occur in the same place in sequence, or when one hazard event leads to another, such as an earthquake causing landslides, which block roads and change drainage patterns leading to flooding in unexpected areas.

664. Common sequences include:

- ▶ earthquakes lead to fires, floods, landslides and volcanic activities.
- ▶ Volcanic activity can lead to fires, floods, landslides and earthquakes.
- ▶ Tropical cyclones leading to coastal flooding, followed by inland flooding.
- ▶ Floods can redistribute mines and unexploded ordnance.

Table T3.5. Creating hazard map method 1

Creating hazard map method 1	
Steps	Considerations
<b>Step 1</b>	Gather the following with geographical reference of the area of interest: <ul style="list-style-type: none"> <li>▶ historical records of disasters occurred in the area</li> <li>▶ measured data such as rainfall</li> <li>▶ other results from field-based topographic and geologic studies</li> </ul>
<b>Step 2</b>	Combine these data in the form of a map; the resultant map is a disaster record map.
<b>Step 3</b>	Gather landform map of the area of interest; this map should include flood plains, alluvial fans, mountains and valleys that are formed through past floods, earthquakes and volcanic activities; landform maps can be produced using aerial photos or satellite images even in the absence of topographic maps.

Table T3.6. Creating hazard map method 2

Creating hazard map method 2	
Steps	Considerations
<b>Step 1</b>	Forecast a range of disasters to define the subject phenomenon and its scale, and forecast the range of the disaster using the digital simulation technology.
<b>Step 2</b>	Collect the disaster-related information to be inserted in the hazard map and represent the information in the hazard map.
<b>Step 3</b>	Publish the maps by distributing directly to people via the internet or by any other means.

»Table T3.6 adapted from [www.unpan1.un.org](http://www.unpan1.un.org)

What to consider when creating a hazard map:

666. What to consider when creating a hazard map:

- ▶ A topographic map of the area is required for a hazard map. Topographic models and photographic maps may be acquired from satellites.
- ▶ Data used to forecast hazards must be based on sound scientific methods.
- ▶ As the objective of a hazard map is to inform residents of a potential disaster, the map should be created using contents and representations that the general population and non-professionals can understand.
- ▶ The digital analysis should be supported by complete data, so there is a considerable cost in carrying out the calculations.

- ▶ No matter how high the data accuracy is, the digital computation is a forecast. If any event and its scale are different from the forecasted ones, the range of the disaster will also be different. Such cases will occur and there is no case in which a disaster occurs as shown in a hazard map. Thus, it is necessary to recognise the limitation of these hazard maps.

Elements of a hazard map

667. The contents of a hazard map may vary depending on the event and purpose of the map. Suggested elements include:

- ▶ A base map is required. It may use a topographic or photographic map (orthophotos). The topographic map provides more useful information for a hazard map than orthophotos, as orthophotos contain too much information to interpret.
- ▶ Disaster prevention information is the most important information that should be provided to residents. Primarily, the forecast area of the disaster should be included and the past disaster records may be included as needed. Alternatively, the map can be divided to indicate both separately.
- ▶ Evacuation-related information is disseminated to residents. The location of refuges and evacuation routes to be used in case of a disaster are shown in this map. In addition, the map describes the system and instructions in place to warn of an impending disaster and appropriate evacuation procedures, such as a forecasting or warning siren for example.
- ▶ The behaviour of disaster phenomena and the basic knowledge on natural phenomena may also be described in the hazard map.

Hazard maps and GIS

668. Hazard maps are very compatible with the GIS. It is a useful tool for managing the high volume of data necessary to produce a hazard map, additionally providing three-dimensional representations and digital cartography. It can also be used to analyse places of refuge.

### T3.2.6 Vulnerability and capacity assessment

Guidance

669. Vulnerability assessment is the identification of who or what is at risk from the hazards identified by hazard mapping, and what capacities exist to create resilient communities. This assessment identifies where sufficient capital or assets exist that enable the community to improve their resilience to hazards.

What is VCA

670. Vulnerability and capacity assessment (VCA) is a method of identifying the hazards that people face in their local areas, their vulnerability to these hazards, and their capacity to cope and recover. The IFRC developed this technique to enable their national societies to help communities understand the hazards that affect them and take appropriate measures to minimise their potential impact.  IFRC, 2007.

Benefits of VCA

671. VCA improves communities' awareness of risks and helps them plan activities for reducing their vulnerability by preparing for disaster. The VCA method also allows participants to assess their own preparation activities. As new knowledge is acquired, participants can examine how changes at one level produce changes at other levels. New knowledge, including different perspectives, invites improvements in disaster preparedness, and reduces community vulnerability.

Six issues involved in VCA

672. This method is based on a model that involves six different issues: behaviours, environment, capabilities, beliefs and values, goals, and identities. The six points represent different perceptual positions from which the participants can view events.

673. The following provides a summary of the seven key steps to undertake a VCA, as adapted from 'How to do a VCA' prepared by the IFRC. Refer to this publication for further details as noted in the annotated bibliography.

Table T3.7  
Seven steps to do a VCA

Seven steps of a VCA	
Steps	Considerations
<b>Step 1 Consensus</b>	The community needs to reach a consensus on the priority problems/issues/hazards from all those identified through the VCA process. This can be done by a ranking process based on the most urgent, critical or immediate problems, and on the issues most often voiced by community members.
<b>Step 2 Identifying vulnerabilities</b>	Once the priority problems/issues/hazards have been established, the community needs to look at: <ul style="list-style-type: none"> <li>▶ How each of the problems/issues/hazards affects the community;</li> <li>▶ Why they do so;</li> <li>▶ What types of vulnerabilities exist in relation to each of the problems/issues/hazards.</li> </ul>
<b>Step 3 Defining action: capacities</b>	Based on the information generated through Step 2 invite the participant to list the vulnerabilities associated with each of the problems/issues/hazards and then to identify a minimum of three concrete actions that would transform these vulnerabilities into capacities.

Continued on next page ▶

# T3

Introduction

Country level

1

Coordination

Participation 1.1

Framework 1.2

Activities 1.3

Information 1.4

Strategy 1.5

2

Strategy

Participation 2.1

Planning 2.2

Template 2.3

Inputs 2.4

Assessment 2.5

Programme level

3

Assessment

Participation 3.1

Assessment 3.2

Tools 3.3

Teams 3.4

Implementation 3.5

4

Implementation

Participation 4.1

Options 4.2

Response 4.3

Methods 4.4

Coordination 4.5

Toolkits

Coordination T1

Strategy T2

**Assessment T3**

Implementation T4

Seven steps to do a VCA <span style="float: right;">▶ <i>Continued</i></span>	
Steps	Considerations
<b>Step 4 Reality check: towards implementation</b>	<p>Refine the actions outlined in Step 3 to assess, in detail, how realistic each action is and what is needed to implement each one of them.</p> <p>Explain to the participants that they are going to analyse their capacity to undertake the suggested actions. Ask them to assess each action identified in the previous exercise, according to the following CIT (change, influence, transformation) criteria:</p> <ul style="list-style-type: none"> <li>▶ Can the action be implemented by those at risk for immediate change?</li> <li>▶ If the action is beyond the capacity of those at risk, could they influence change with the support of others over the medium term?</li> <li>▶ Is the action linked to more fundamental social and/or structural transformation requiring a long-term strategy to be looked at in the future?</li> </ul>
<b>Step 5 Plan of action: implementation</b>	<p>Participants are now ready to define realistic solutions and develop implementation plans ready to be turned into projects. For each action, the participants need to ask the following questions:</p> <ul style="list-style-type: none"> <li>▶ Can this be undertaken immediately?</li> <li>▶ Does it require resources?</li> <li>▶ Can we find the necessary resources ourselves? If yes, how?</li> <li>▶ Does it require technical support? If so, from where?</li> </ul>
<b>Step 6: Project plan of action</b>	<p>Whatever the project, a clear and precise plan of action then needs to be developed and agreed upon. This should include all steps to be carried out, the resources needed and who is responsible for ensuring that the tasks are completed. The task is also to systematise this information into a format that is clear and easy to understand, for example, management timelines and Gantt charts.</p>
<b>Step 7: Networking</b>	<p>The VCA process can help connect wider issues, and acts as a tool for an integrated approach to community work.</p> <p>The community and any implementing agency will need to share the VCA results with government and other relevant organisations. To do this, it is essential to involve other partners as early as possible – such as during the planning stages. The community may not have sufficient resources to build structures, such as retention walls. Outside support will be required – in this case, taking the form of advocacy, so that government authorities respond to the need.</p>

## T3.2.7 Assessing damage and loss

Guidance

674. This section offers a series of tools, both ready-to-use templates and references to external tools, to assess, monitor and evaluate building damage throughout the response. It provides an introduction to the Damage and Loss Assessment Methodology (DaLA) »3.2.5.

675. The damage assessment forms, used during preliminary assessment, help establish a general understanding of where the building damage is concentrated. Tools referenced in this section can be used during rapid and in-depth assessments to build on information collected during the preliminary assessments with additional information on the level of damage to each building type, the nature of the damage, and possible mitigation strategies. Together the tools presented in this section help stakeholders gather up-to-date information on how the response efforts have repaired, retrofitted and rebuilt damaged buildings, as well as any further damage from subsequent disaster.

### T3.2.7.a Damage and loss assessment (DaLA)

Guidance

676. The Damage and Loss Assessment Methodology (DaLA) used for evaluating building damage and loss caused by natural disasters has been adapted from the Global Facility for Disaster Risk Reduction website  GFDRR and ADB, 2009.

677. DaLA is a flexible tool that can be adapted to different disaster types. It is an assessment that is intended to be applied rapidly, usually two to three weeks after the disaster. The purpose of the DaLA methodology is to provide a preliminary assessment of damage, loss and needs after a disaster in order to determine the economic and financial effects and subsequent recovery needs. It provides estimates of the destruction caused, the changes in economic flows and market dynamics, including household income, trade and employment. DaLa uses government accounts and statistics as a baseline to evaluate damage and loss. It is an essential tool for estimating the resources needed to implement a recovery plan. It includes disaster risk management strategies in the recovery plan, including estimated costs of recovering damaged public infrastructure with disaster-resilient designs.

678. DaLA is designed to;

- ▶ Quantitatively define financial needs for economic recovery and reconstruction after disasters;
- ▶ Define priorities in geographical areas, sectors and special groups in recovery and reconstruction programmes;

- ▶ Ascertain the capacity of the national government to conduct post-disaster programmes on its own, and/or to define international cooperation needs;
  - ▶ Provide a basis for monitoring progress of post-disaster programme execution; and
  - ▶ Provide a quantitative basis for the ex-ante disaster risk management schemes.
- ▶ A DaLA includes the following:
  - ▶ Damage as the replacement value of totally or partially destroyed physical assets;
  - ▶ Losses in the flows of the economy that arise from the temporary absence of the damaged assets;
  - ▶ The resultant impact on post-disaster macroeconomic performance, with special reference to economic growth/ GDP, the balance of payments and fiscal situation of the government.

### T3.2.7.b Preliminary damage assessment template

**Guidance** 679. This section provides templates that can be used to assess damage during the preliminary and rapid stages of the assessment process. The following five forms are designed to present clear symbols and diagrams so that they can be used by non-professionals and members of the general population. They are intended to be simple and so be used quickly to determine the shelter needs of the affected population, whether in towns or villages, following a disaster.

**Building damage categories** 680. Categories of disaster refer to the damage that has been sustained, rather than the quantified measure of the force of the event (adapted from  GFDRR).

Table T3.8  
Building damage categories reference sheet

Building damage categories reference sheet		natural disasters: earthquakes, floods, storms	
	<b>Earthquakes</b>	» European macro seismic scale 1998 EMS-98	
<b>Category 0</b>	<b>Negligible to slight damage</b>		
	Hair-line cracks in very few walls. Fall of small pieces of plaster only.		
	Fall of loose stones from upper parts of buildings in very few cases.		
<b>Category 1</b>	<b>Moderate damage</b>		
	Cracks in many walls. Fall of fairly large pieces of plaster. Partial collapse of chimneys.		
<b>Category 2</b>	<b>Substantial to heavy damage</b>		
	Large and extensive cracks in most walls.		
	Roof tiles detach. Chimneys fracture at the roof line; failure of individual non-structural elements (partitions, gable walls).		
<b>Category 3</b>	<b>Very heavy damage</b>		
	Serious failure of walls; partial structure failure of roofs and floors.		
<b>Category 4</b>	<b>Destruction</b>		
	Total or near collapse.		
	<b>Floods</b>	» Fema US	
<b>Category 0</b>	<b>Negligible to slight damage</b>		
	No water inundation.		
<b>Category 1</b>	<b>Moderate damage</b>		
	Shallow water inundation.		
	Some damage to the structure and contents, but still habitable.		
<b>Category 2</b>	<b>Substantial to heavy damage</b>		
	Large and extensive cracks in most walls. Fall of fairly large pieces of plaster. Home is damaged and uninhabitable.		
<b>Category 3</b>	<b>Very heavy damage</b>		
	Substantial failure to structural elements of residence -walls, floors, foundation.		

Continued on next page ▶

**Building damage categories reference sheet** ▶ *Continued*  
**Natural disasters: Earthquakes, floods, storms**

<b>Category 4</b>	<b>Destruction</b>	
4 	Total loss of structure, structure is not economically feasible to repair, or complete failure to major structural components (e.g. collapse of basement walls/foundation, walls or roofs).	
	<b>Storms</b>	» Fujita Scale for tornados (and SSS for Hurricanes)
<b>Category 0</b>	<b>Negligible to slight damage</b>	
0 	Branches broken off trees: shallow-rooted trees pushed over, sign boards damaged.	
<b>Category 1</b>	<b>Moderate damage</b>	
1 	Some damage to chimneys; tears surface off roofs; mobile homes pushed off foundations or overturned: attached buildings may be destroyed.	
<b>Category 2</b>	<b>Substantial to heavy damage</b>	
2 	Roofs torn off frame houses; mobile homes demolished; large trees snapped or uprooted; high-rise windows broken and blown in.	
<b>Category 3</b>	<b>Very heavy damage</b>	
3 	Roofs and some walls torn off well-constructed houses; skyscrapers twisted and deformed with massive destruction of exteriors.	
<b>Category 4</b>	<b>Destruction</b>	
4 	Well constructed houses levelled; structures with weak foundations blown away some distance; skyscrapers and high-rises toppled and destroyed.	



Initial shelter damage assessment

Table T3.9  
Initial shelter damage assessment sheet

681. The following template provides two sides of a sheet that may be used to evaluate building and infrastructure damage following a natural disaster, the number of people displaced, and the type of shelter options available.

Initial shelter damage assessment					
<b>Earthquakes</b>					
<b>Assessment details</b>					
Storm/event:		Storm/event:			
Name of assessor:		Name of assessor:			
Provide name and contact details of local contacts that could be used to gather further information/further assistance:					
<b>Assessment address</b>					
District:		Town/Village:		GPS coordinates:	
Surrounding terrain (rural, urban, suburban, open, lake/coast)					
<b>Access:</b>			<b>Accessible until:</b>		
Dirt track		Dirt road		Asphalt road	
Car	<input type="checkbox"/> 4WD	<input type="checkbox"/> Light truck	<input type="checkbox"/> Heavy truck	<input type="checkbox"/> Animal	<input type="checkbox"/>
Comments:					
<b>Population data</b>					
Population prior to disaster			Population after disaster		
Total persons			Total persons		
<b>Displaced populations breakdown</b>					
<b>Displaced populations</b>					
 Host families	 Urban self settlement	 Rural self settlement	 Collective centres	 Self-settled camps	 Planned camps
Estimated percentage of population:					
<b>Non-displaced populations</b>					
 Occupancy with no legal status	 House tenant	 Apartment tenant	 Land tenant	 Apartment owner occupier	 House owner occupier
Estimated percentage of population:					

Continued on next page ▶ **Implementation T4**

# T3

Introduction

Country level

1

**Coordination**

Participation 1.1

Framework 1.2

Activities 1.3

Information 1.4

Strategy 1.5

2

**Strategy**

Participation 2.1

Planning 2.2

Template 2.3

Inputs 2.4

Assessment 2.5

Programme level

3

**Assessment**

Participation 3.1

Assessment 3.2

Tools 3.3

Teams 3.4

Implementation 3.5

4

**Implementation**

Participation 4.1

Options 4.2

Response 4.3

Methods 4.4

Coordination 4.5

**Toolkits**

Coordination T1

Strategy T2

**Assessment T3**

Implementation T4

Initial shelter damage assessment <span style="float: right;">▶ Continued</span>					
<b>Vulnerable persons</b>					
Unaccompanied elders	Unaccompanied minors	Severe disability	Chronically ill	Female headed households	
Total:					
<b>Damage assessment</b>					
<div style="display: flex; justify-content: space-around; align-items: center;"> <div style="text-align: center;">0 </div> <div style="text-align: center;">1 </div> <div style="text-align: center;">2 </div> <div style="text-align: center;">3 </div> <div style="text-align: center;">4 </div> </div>					
Housing					
Hospitals					
Schools					
Government					
Total:					
<b>Infrastructure</b>					
	GPS coordinates	Intact Y / N	Needs repair Y / N	Destroyed Y / N	
Roads		<input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/>	
Bridges		<input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/>	
Telecommunications		<input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/>	
<b>Utilities:</b>					
	GPS coordinates	Intact Y / N	Needs repair Y / N	Destroyed Y / N	
Sewage		<input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/>	
Water		<input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/>	
Electricity		<input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/>	
<b>Potential new hazards</b>					
Floods	Landslides	Fires	Wave	Windstorm	Earthquake
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Other comments					
<b>Other major considerations / comments / trends</b>					

Table T3.10  
Back of the template form for initial shelter damage assessment sheet

**Damage assessment: Assessment form - guidelines for users**

**Assessment details:**

- Please provide information on the organisation that has carried out the survey of a particular location, the name of the surveyor and the date at which the assessment was conducted.
- Please provide information on any local representatives that may be contacted for further assistance or to gather further information.

**Assessment address**

- Please provide the names and codes of the province and district, as well as town/village/settlement covered by the assessment including GPS data if available.
- Please provide details of surrounding terrain.

**Access**

- Please provide details of road access including availability of access throughout seasons, e.g. is the road still accessible during the rainy season?
- Please provide details on type of road and type of vehicle used to access settlement.

**Population data**

- Please provide details of the population prior and post disaster in numbers according to total number of people and total number of families.

**Displaced populations**

- Please identify, in numbers, the current location of displaced people using the criteria described below:
  - The total figure should equal the total number of persons and families identified above.
  - Host families: the displaced are sheltered within the households of local families, or on land or in properties owned by them.
  - Urban self-settlement: the displaced settle in an urban area, occupying available public or private property or land.
  - Rural self-settlement: the displaced settle in a rural area, occupying available public or private property or land.
  - Collective centres: the displaced shelter in collective centres, or mass shelters, often transitory facilities housed in pre-existing structures.
  - Self-centered camps: the displaced settle independently in camps, often without services and infrastructure.
  - Planned camps: the displaced settle in purposely-built sites, where services and infrastructure are offered by government or the humanitarian community.

**Non-displaced populations:**

- Please identify, in numbers, the current location of displaced people using the criteria described below.
  - The total figure should equal the total number of persons and families identified above.
  - House owner-occupant: the occupant owns his/her house and land, or is part-owner, such as when repaying a mortgage or a loan. Ownership may be formal or informal.

**Damage assessment:**  
**Assessment form - Guidelines for users** ▶ *Continued*

Non-displaced populations

---

19. House tenant: the occupant rents the house and land, formally or informally.

---

20. Apartment owner-occupant: the occupant owns his/her apartment. Ownership may be formal or informal.

---

21. Apartment tenant: the occupant rents the apartment, formally or informally.

---

22. Land tenant: the occupant owns the house, and rents the land, formally or informally.

---

23. No legal status: the occupant occupies land or property without the explicit permission of the owner. Also called informal settlers.

---

**Vulnerable persons**

24. Please provide figures, in numbers, of any vulnerable persons following the vulnerability criteria described below:

---

25. UE- Unaccompanied Elderly: elderly persons above 60 who are living alone, and do not have any support from their relatives and/or community.

---

26. UM- Unaccompanied Minor: children under 18 years of age who have been separated from both parents and for whose care no person can be found who by law or by custom has primary responsibility.

---

27. SD- Severe Disability: persons who have physical and /or mental disability either by birth or acquired during their life. It covers all physical disabilities.

---

28. CI- Chronically Ill: persons living with chronic illnesses such as HIV/ Aids.

---

29. HHF - Female Head of Household: divorced , separated or widowed, single female with minor children.

---

**Damage assessment**

30. Please indicate the level of damage caused to a particular building using the assessment criteria identified for that particular disaster. Please record, in figures, and provide a total for each damage category.

---

**Infrastructure & utilities**

31. Please provide GPS coordinates for community infrastructure and utilities and indicate, if possible, the level of damage sustained according to: intact, needs, repair, destroyed.

---

**Potential new hazards**

32. Please provide detail of any known potential hazards, including onset of rainy/hurricane season, likelihood of floods, vulnerability of settlement/site. Local knowledge will be critical for understanding any potential threats including toxic/hazardous pollution.

---

**Any other considerations**

33. All relevant information and additional details that cannot be entered into the form should be added as comments and/or summary reports here.

---

34. How many houses have been destroyed or damaged? Is it safe to rebuild in the same location? Are there multi-dwelling buildings(apartments)? Are there tenancy, land rights, or titling issues? What is the housing need in different categories?

Table T3.11  
**Site selection  
 assessment  
 form**

682. The following template provides two sides of a form that may be used to assess the location chosen for reconstruction and/or resettlement. It refers to the site's accessibility, the presence of essential infrastructure and services, water and agricultural land, as well land ownership, and potential hazard threats.

Rapid assessment				
<b>Site selection</b>				
<b>Assessment details</b>				
Disaster/event		Date		
Name of assessor		Name of organisation		
Provide name and contact details of local contacts that could be used to gather further information / further assistance.				
<b>Assessment address:</b>				
District	Town/Village	GPS coordinates		
Surrounding terrain (rural, urban, suburban, open, lake/coast)				
<b>Access:</b>		<b>Accessible until:</b>		
Dirt track		Dirt road		Asphalt road
Car <input type="checkbox"/>	4WD <input type="checkbox"/>	Light truck <input type="checkbox"/>	Heavy truck <input type="checkbox"/>	Animal <input type="checkbox"/>
				
Comments				
<b>Site size and ownership details</b>				
Is there water available?	Y / N	Is there potable water available	Y / N	
Land ownership details	Private <input type="checkbox"/>	Public <input type="checkbox"/>	Unknown <input type="checkbox"/>	
<b>Water and sanitation</b>				
 Is there water available?	Y / N	 Is there potable water available?	Y / N	
Status (more than one if necessary)	Working	Damaged	Contaminated	Destroyed
Wells	<input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/>
Springs	<input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/>
Piped distribution	<input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/>
Electric pump	<input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/>

*Continued on next page* ▶

<b>Rapid assessment</b> <span style="float: right;">▶ <i>Continued</i></span>			
<b>Electricity:</b>			
Is there electricity available?	Y / N	Is it working?	Y / N / intermittent
Comment:			
<b>Location / distances</b>			
Distance to nearest settlement?	Km	Miles	Mins / hrs
Nearest settlement is?	Village	Town	City
How far is the nearest school?	Km	Miles	Mins / hrs
How far is the nearest health centre?	Km	Miles	Mins / hrs
<b>Local resources, host population and other relevant issues (livelihoods etc.)</b>			
	Y / N	Details:	
Is there agricultural land near the site?	<input type="checkbox"/> <input type="checkbox"/>		
Is there grazing land near the site?	<input type="checkbox"/> <input type="checkbox"/>		
Are there other available sites?	<input type="checkbox"/> <input type="checkbox"/>		
Is there a protected area near the site?	<input type="checkbox"/> <input type="checkbox"/>		
Are there any other considerations?	Religious <input type="checkbox"/>	Cultural <input type="checkbox"/>	Political <input type="checkbox"/>
Other?			
<b>Potential new hazards</b>			
Floods <input type="checkbox"/>	Landslides <input type="checkbox"/>	Fires <input type="checkbox"/>	Wave <input type="checkbox"/>
Windstorm <input type="checkbox"/>	Earthquake <input type="checkbox"/>		
     			
Other comments			
<b>Other major considerations / comments / trends</b>			

Table T3.12  
Back of the template form for site selection assessment sheet

<b>Site selection: Assessment form - Guidelines for users</b>	
<b>Assessment details</b>	
1.	Please provide information on the disaster/event, the date at which the assessment was conducted, the name of the assessor and the name of the organisation that is carrying out the survey of a particular location.
2.	Please provide information on any contacts that may provide further assistance or information.
<b>Assessment address</b>	
3.	Please provide the name of the place and GPS data for the site if and when available.
4.	Please provide details of surrounding terrain. It is important that the site is far enough from hazards, any potential causes of diseases such as mosquito-infested areas, and from protected areas.
<b>Access</b>	
5.	Please provide details on the type of road access including availability of access throughout seasons, e.g. is the road still accessible during the raining season?
6.	Please provide details about the type of vehicle used to access settlement.
<b>Site size and ownership details</b>	
7.	Please provide dimensions for the proposed site, verified by GPS if possible.
8.	Please consider the terms under which the land will be used should be negotiated and approved with the government/owner(s) to avoid problems at a later stage.
<b>Water and sanitation</b>	
9.	Please provide details on the availability of water and sanitation facilities.
10.	Please provide the status of facilities according to working, damaged, contaminated and destroyed.
<b>Electricity:</b>	
11.	Determine if electricity is available and working.
12.	If an electricity grid does not run through the site itself, please pay attention to the distance between the nearest, undamaged one, and would it be possible to connect to it within reasonable time.
<b>Location/distances:</b>	
13.	Please provide details on site location and distance from nearest places that can be source of supply, job market access etc.
14.	The site should be situated near local infrastructure such as schools, hospitals, shops to the extent possible, while ensuring the sustainability of the infrastructure and local capacities.

Continued on next page ▶

- Introduction
- Country level
- 1
- Coordination
- Participation 1.1
- Framework 1.2
- Activities 1.3
- Information 1.4
- Strategy 1.5
- 2
- Strategy
- Participation 2.1
- Planning 2.2
- Template 2.3
- Inputs 2.4
- Assessment 2.5
- Programme level
- 3
- Assessment
- Participation 3.1
- Assessment 3.2
- Tools 3.3
- Teams 3.4
- Implementation 3.5
- 4
- Implementation
- Participation 4.1
- Options 4.2
- Response 4.3
- Methods 4.4
- Coordination 4.5
- Toolkits
- Coordination T1
- Strategy T2
- Assessment T3**
- Implementation T4

**Site assessment:**  
**Assessment form - Guidelines for users** ▶ *Continued*

**Host population and local resources**

- 15. Please determine if there is agricultural and grazing land near the site and provide any supporting details available.
- 16. Please consider alternative sites to the proposed one in case the new settlement needs to be expanded?
- 17. In view if the future decommissioning of the site, it is important that the site is at a reasonable distance from any protected areas such as shrines, natural parks, wildlife protected areas and the like.
- 18. Please provide details of host community and any other relevant considerations or security concerns.

**Potential new hazards and topography**

- 19. Please provide details of any known potential hazards, including onset of rainy/hurricane season, likelihood of floods, vulnerability of settlement/site. Local knowledge is important for assessing any potential threats including from hazardous pollution.
- 20. Please provide the details about the water table and the type of soil.

**Any other considerations**

- 21. All relevant information and additional details that cannot be entered into the form should be added as comments and/or summary reports here. Please provide as many details as possible.

### T3.2.7.c The community damage assessment and demand analysis

Guidance

683. This section introduces the Community Damage Assessment and Demand Analysis process and provides a template survey that helps categorise each structure in the affected area depending on the extent of the damage. Two formats are proposed for this survey  IADMI, 2005.

684. The Community Damage Assessment and Demand Analysis consists of a simple series of activities to be conducted in phases. It is a process that should involve all stakeholders at all levels, including specialist knowledge, and especially the affected population, local community-based organisations and the national government. This specific assessment tool can be adapted to suit both sudden and slow onset disasters.

685. The Community Damage Assessment and Demand Analysis involves close communication with the affected population to ensure that local demands are being met. This includes incorporating different members of the affected communities into the assessment teams. The process is designed to adapt flexibly to different disaster situations and changing contexts within the response. It emphasises close

contact and joint assessments with local community-based and grassroots organisations as a way of enhancing coordination among stakeholders and smoothing the transition between relief, recovery and reconstruction phases, especially as international humanitarian workers often do not remain long in the affected area.

Household level building damage assessment template

686. Building damage assessments are conducted in a standardised manner. Tools are used to structure assessments so that anyone participating in the assessments can contribute in a consistent manner, even when they come from different backgrounds and with different skills. The following two template databases, adapted from the Asian Disaster Preparedness Centre (ADPC), offer some tools for supporting uniformity across building damage assessments.

Template database list on damage categories and reconstruction materials

687. The first example template database demonstrates how a basic list on damage categories and construction materials may be built.

- ▶ Name of occupant
- ▶ Unique identification number
- ▶ Minor repairs required
- ▶ Major repairs required
- ▶ Reconstruction needed (repair not possible)
- ▶ Vulnerability category of home owner
- ▶ Present status (where the occupants are now living)
- ▶ Type of ownership of land
- ▶ Materials needed for walls and/or roof
- ▶ Details of government support available

688. The second template is a more detailed database that identifies various kinds of damage that may have occurred in different parts of the home. This template is intended to be used for identifying technical solutions for disaster safety in the local context.

# T3

Introduction

Country level

1

Coordination

Participation 1.1

Framework 1.2

Activities 1.3

Information 1.4

Strategy 1.5

2

Strategy

Participation 2.1

Planning 2.2

Template 2.3

Inputs 2.4

Assessment 2.5

Programme level

3

Assessment

Participation 3.1

Assessment 3.2

Tools 3.3

Teams 3.4

Implementation 3.5

4

Implementation

Participation 4.1

Options 4.2

Response 4.3

Methods 4.4

Coordination 4.5

Toolkits

Coordination T1

Strategy T2

**Assessment T3**

Implementation T4

Table T3.13  
Household level building damage assessment template

Household level building damage assessment template				
House :	Name:	Address:		
Building component	Type of damage	Potentially repairable	Irreparable	No. of places damages have occurred
<b>Foundation and plinth</b>	1.1	Cracks		
	1.2	Partial destruction		
	1.3	Scouring		
	1.4	Settlements		
<b>Wall, columns and openings</b>	2.1	Vertical cracks		
	2.2	Tilting of wall		
	2.3	Corner separation		
	2.4	Partial collapse		
	2.5	Bulging and delamination		
	2.6	Diagonal cracks near openings		
	2.7	Cracks at beam-column junction		
	2.8	Buckling of columns		
<b>Roof</b>	3.1	Cracks		
	3.2	Partial destruction		
	3.3	Total destruction		
	3.4	Cracks near the junctions of cantilevered elements		
	3.5	Cracks on separation of roof with the wall		

## T3.3

Tools

## Tools for implementing assessments

Navigation

689. This section elaborates on Chapter 3 »3.3. Further information may also be found in Toolkit 1 »T1.3. It provides detailed information on the activities that guide the design of assessment tools.

Guidance

690. As explained in Chapter 3 »3.3, assessment tools are required to conduct and document the assessment, monitoring and evaluation processes »3.2. These tools are intended to identify what is needed and what capacity is available to meet these needs

### T3.3.1 How are assessment tools designed?

Activity 1:  
Determine the profile of the affected community

691. Obtaining a general overview of the geographical, social, cultural, political and economic environment »3.1, that existed in the affected area before the disaster and identifying any changes as a result of the disaster is fundamental to the assessment, monitoring and evaluation process. Information on the age, gender and diversity of the affected population allows for more accurate targeting of assistance to ensure that it is equitable and reaches the most vulnerable and marginalised. It is equally important to identify existing power relations in order to profile different vulnerabilities. This includes understanding who has access to and control over resources and decision-making within a community and who does not.

Activity 2:  
Decide what information to collect

692. For all stages of assessment, it is important to focus on the changes between the situation before the disaster and the situation after the disaster, and to obtain regular updates. When deciding what information to collect stakeholders should be aware that economic, social and cultural specificities can vary between villages, neighbourhoods and even families. To understand the situation from the perspective of the affected families or communities, a holistic approach to assessment, monitoring or evaluation is required. Such an approach may include the following:

- ▶ socio-political and cultural context;
- ▶ the impact of the disaster on affected people's livelihoods;
- ▶ health, the environment and key infrastructure;
- ▶ the capacities of the affected population to recover; and
- ▶ their vulnerabilities to present and future hazards »T3.7.

# T3

Introduction

Country level

1

Coordination

Participation 1.1

Framework 1.2

Activities 1.3

Information 1.4

Strategy 1.5

2

Strategy

Participation 2.1

Planning 2.2

Template 2.3

Inputs 2.4

Assessment 2.5

Programme level

3

Assessment

Participation 3.1

Assessment 3.2

Tools 3.3

Teams 3.4

Implementation 3.5

4

Implementation

Participation 4.1

Options 4.2

Response 4.3

Methods 4.4

Coordination 4.5

Toolkits

Coordination T1

Strategy T2

Assessment T3

Implementation T4

693. In rapid-onset emergencies, particularly in conflict-affected areas, collecting information can sometimes be difficult or dangerous, so secondary information is also a practical alternative where access is limited » T3.4.a, Activity 6.

Activity 3: Select areas to visit (geographical)

694. It may be decided at this stage that a field assessment is not possible due to access issues or is not needed as existing information is adequate or other agencies are already gathering the data required. It is difficult and therefore rarely possible to visit the entire region affected by an emergency. Statistical methods may not be feasible when conducting an initial rapid assessment because of time and access constraints. A few places from the most affected areas should therefore be selected for field visits IFRC, 2005. These areas can be determined using secondary information and key informants, who are individuals knowledgeable about the affected population.

Activity 4: Design tools and methods to be used

695. There are three broad methods for collecting information » 3.5.1, and the assessment, monitoring and evaluation tools, such as survey forms, need to be properly designed so data can be easily and clearly recorded for systematic analysis at a later time:

- ▶ researching, involving studying agency and government reports, maps, books, newspapers and websites;
- ▶ talking to people, involving formal or informal interviews with individuals or groups including community meetings and focus groups; and
- ▶ observation, involving quantitative measurement or qualitative assessments based on personal observation.

696. The teams carrying out the assessment operations will always need to be briefed on how to use the tools properly. This is especially the case for the teams conducting damage and needs assessments. In the case of large-scale assessment operation, training of trainers is also important in order to quickly brief a large number of assessors to record information in ways that can be documented and analysed efficiently. Well-designed assessment tools should be easily adapted to be used in a different geographical location or context, reducing the time to redesign the tools.

Activity 5: Create a database to analyse information

697. It is important to ensure that the information collected can be triangulated (collected through three or more different sources and compared to check for accuracy). If several different sources provide the same information, it is more likely to be correct. Information from all the different sources will need to be synthesised in order to answer the following » 3.2:

- ▶ what are the main problems;
- ▶ who is affected by these problems;
- ▶ how well can the affected population cope with these problems;
- ▶ is other assistance currently available to the affected population;
- ▶ what are the gaps; and
- ▶ is there a need to provide assistance; if so, what type of assistance is required.

Activity 6: Testing assessment tools

698. Assessment, monitoring and evaluation data collection systems should be structured carefully to assist future procedures and longer term planning » 2.2.

699. Especially important in a large-scale assessment operation, the assessment operation must be trialled before use and/or monitored before the whole assessment has been completed. They can be tested by inviting feedback from other stakeholders involved in the assessment, or those being assessed. Different opinions resolve problems and ambiguities in the assessment procedures.

700. Tools can be tested by other assessors within the assessment team, by organisations using a panel of evaluators, or by using a checklist with key criteria that assessors should consider when evaluating the tools, such as:

- ▶ Is the assessment conducted in a friendly enough manner?
- ▶ Are the instructions or questions clear?
- ▶ What is the literacy and numeracy level of the assessors and those being assessed? Are they able to give accurate assessments?
- ▶ Is the time allocated to each assessment or person suitable?

701. It is also important that the tools be assessed for their adaptability to different situations – that they have the capacity to be adjusted according to variations in the context and needs of those being assessed.

**T3.4** 

**Tools for establishing assessment teams**

Teams

**Navigation** 702. This section elaborates on Chapter 3 »3.4. It provides detailed information on the activities that guide the establishment of assessment teams.

**Guidance** 703. As explained in Chapter 3 »3.4, the following activities outline how to identify and include appropriate expertise and representation in the teams. It is important to reiterate that the team structure should mirror the particularities of each assessment context.

**T3.4.1 How are assessment teams established?**

**Activity 1:** Coordinate with other stakeholders and identify vulnerable groups  
704. Humanitarian and development organisations should coordinate closely from the outset of a disaster response to gather and share information, so that the analysis and planning for transitional settlement can be directly linked to the analysis and planning for transitional reconstruction »1.2. Stakeholder consultation, both with those directly and indirectly affected by the disaster, provides a clear understanding of the factors that may positively or negatively affect the implementation of settlement and reconstruction programmes.

**Activity 2:** Identify possible vulnerable groups  
705. Identification of possible vulnerable groups with special needs, such as single parents, orphans or landless tenants, should be carried out through discussions with key informants. It is also desirable to develop and maintain an ongoing relationship between stakeholders »1.2. Whenever possible, assessments should be undertaken jointly with other agencies. Joint assessment works best when the participating agencies share common values and operational principles and use the same or compatible assessment methodologies. Without a common format, it becomes difficult if not impossible to compare assessments, monitoring and evaluation results. Formal agreements should also be established whenever possible to specify the roles and responsibilities of each agency when carrying out joint assessments. If a joint assessment is not feasible, it is still essential to know who else is making assessments »3.2.

**Activity 3:** Create assessment, monitoring or evaluation team  
706. The scale and the speed with which the assessment operation needs to be carried out will determine how many people to hire and what kind of transportation means will be required. Regardless of the size of the assessment, the composition of the team should be multi-disciplinary, including expertise in areas such as: settlement and reconstruction, water and sanitation, livelihoods and community participation »1.1; 3.1. Local knowledge and previous experience of disasters in

the country or region are equally critical. Assessment teams should include local expertise and be gender balanced (as women will often talk more freely with other women about certain issues »Annex: Cross cutting issues). There exist several different types of assessment teams, such as the United Nations Disaster and Coordination (UNDAC) teams and Field Assessment and Coordination (FACT) Team and search and rescue. The different teams from different agencies require coordination »1.2, to ensure efficiency and reduce assessment fatigue, and these need to be included in the strategy »2.2.

**Activity 4:** Define objectives of assessment and terms of reference  
707. In addition to selecting team member participation »3.1, planning the assessment involves setting the objectives and establishing a schedule or terms of reference. The objectives, the expected outputs, the questions that must be answered and the activities that will be carried out should be defined as precisely as possible. The schedule or terms of reference should explain why the assessment is being done and what is expected to be achieved.

**Activity 5:** Coordinate how resources and capacities will be shared  
708. The plan and budget for the assessment should identify the number of local people needed to support the team to conduct the needs assessment. As a general rule, the more limited the time available and/or difficult the terrain, the greater the number of surveyors needed. Resources and constraints to carrying out the assessment should be identified, such as skills available, condition of roads, list or map of accessible roads, time available, security or seasonal factors. If possible, inform the local community and local authorities well before the assessment takes place »1.4.1.

**Activity 6:** Review existing information  
709. A considerable amount of time and money can be saved by reviewing what secondary information is already available. In rapid-onset emergencies, particularly in conflict-affected areas, collecting information can sometimes be difficult or dangerous, so secondary information is also a practical alternative where access is limited. The source of the information needs to be considered; different sources will have different perceptions. Care needs to be given to identifying these different perceptions and then consolidating them into one set of issues and actions. If coordination or information dissemination mechanisms have been activated in the country, these will be key resources for maps (e.g. damage, loss), shelter coverage information and operational standards and protocols »1.4. By considering local factors, social organisation, and hierarchies of power, useful sources of information can be identified.

**Activity 7:** Carry out team training and preparations  
710. No matter how good or simple the tools or methodologies used, the people carrying out damage and needs assessment will almost always need appropriate training. Therefore, in addition to hiring assessors, it is also important to hire trainers as well as appropriate personnel to conduct training of trainers. At a

**T3**

Introduction

Country level

1

Coordination

Participation 1.1

Framework 1.2

Activities 1.3

Information 1.4

Strategy 1.5

2

Strategy

Participation 2.1

Planning 2.2

Template 2.3

Inputs 2.4

Assessment 2.5

Programme level

3

Assessment

Participation 3.1

Assessment 3.2

Tools 3.3

Teams 3.4

Implementation 3.5

4

Implementation

Participation 4.1

Options 4.2

Response 4.3

Methods 4.4

Coordination 4.5

Toolkits

Coordination T1

Strategy T2

**Assessment T3**

Implementation T4

minimum, team members must be briefed to ensure a common understanding of the terms of reference, survey methodology information being sought and responsibilities. If interpreters are being used, then special attention must be given to ensure that they understand the concepts and terminology being used in the assessment and do not accidentally introduce their own views or opinions into the interpretation. The main purpose of training is to ensure consistency throughout the response and across sectors. It is important that the four different stages of the assessment process are coordinated and that one stage builds upon the previous stage to avoid gaps »3.2. Good coordination mechanisms »1.3, in information management must be in place in order to achieve this »1.4.

## T3.5 » Tools for conducting assessments, monitoring and evaluation

Implementation

Navigation

711. This section offers guidance for teams undertaking assessment. It complements information identifying and designing tools to implement assessments »3.3. Assessment should be implemented through a parallel process of gathering information and managing information as illustrated in diagram 3.5.1 in Chapter 3 »Diagram 3.5.1, and described in section 3.5 in Chapter 3. For additional information on the composition of the assessment teams, see also »3.1.1.

712. This section is structured as follows:

- ▶ T3.5.1 How is information gathered during assessment?
- ▶ T3.5.2 How is assessment information managed?
- ▶ T3.5.3 How to ensure assessment, monitoring and evaluation best practice?
- ▶ T3.5.4 Ensuring information consistency

Guidance

713. The activities listed below on collecting and managing information support programme and project plans and work to improve the response. When undertaking assessment, monitoring and evaluation activities, it is important to coordinate with other organisations to share data for an equitable, comprehensive and integrated response »1.2; 1.4.

### T3.5.1 How is information gathered during assessment?

Navigation

714. This section complements Chapter 3 »3.5; 3.5, Part A. It elaborates on the activities listed in the chapter.

Guidance

715. The following activities outline how teams should gather information during assessment. Information is managed and organised as it is gathered and the procedures for information

collection and management should feed into each other continuously.

Activity A1:  
Make appointments with local authorities or representatives

716. Talk to the local authorities upon arrival in a location. Explain the reason for the visit. This can include providing a pre-prepared sheet that describes the organisation(s) and gives contact details. This is a good way of increasing transparency and accountability and building relationships with the affected population »T3.5.a; Activity 5.

Activity A2:  
Inform all stakeholders of the assessment schedule

717. Affected populations and participating stakeholders should also be made aware of the intended assessment, monitoring or evaluation timeframe. This will help to build and maintain relationships for future processes »T3.5.a; Activity 5.

718. When going into the field to collect information, there are a number of basic steps that the teams should follow:

- ▶ Get a map (if available), GPS and camera »3.3;
- ▶ Prepare for each day of work;
- ▶ Take an informal walk around the area accompanied by local people to gain an initial impression of the community and to identify groups or individuals to talk to in order to gather the required information; and
- ▶ Arrange to meet with all members of the assessment team at given times during the day to share ideas and resolve any problems. This should be done by the team leader. He/she should also liaise with other team leaders. »3.1.

Activity A3:  
Collect information

719. Any coordination mechanisms activated in country will be key resources for secondary information, such as maps and situation reports. Coordination among stakeholders within these mechanisms can provide an in-depth understanding of vulnerabilities and capacities as well as documented lessons learned from previous practice »1.4.

Activity A4:  
Ensure affected populations and participating stakeholders are aware of how information will be used

720. Information should be continuously collected and analysed by programme personnel »3.5, to ensure that programmes remain relevant and effective. This includes inviting feedback from the affected population, liaising with the government and reporting to them on progress against indicators »T2.3 and about the issues they raise.

721. The creation of a formal complaints mechanism is an effective way of finding out whether programmes are actually working well and meeting the needs of affected people. Care should be taken when using media channel, which is a direct way of reaching the affected population so that they are aware of how to apply for help - the most vulnerable group is the one uninformed. Governments sometimes lack the capacity to

# T3

Introduction

Country level

1

Coordination

Participation 1.1

Framework 1.2

Activities 1.3

Information 1.4

Strategy 1.5

2

Strategy

Participation 2.1

Planning 2.2

Template 2.3

Inputs 2.4

Assessment 2.5

Programme level

3

Assessment

Participation 3.1

Assessment 3.2

Tools 3.3

Teams 3.4

Implementation 3.5

4

Implementation

Participation 4.1

Options 4.2

Response 4.3

Methods 4.4

Coordination 4.5

Toolkits

Coordination T1

Strategy T2

Assessment T3

Implementation T4

keep the population informed and so may require additional assistance »1.4.

Activity A5:  
Build and maintain relationships for future assessment, monitoring and evaluation

722. Assessors should constantly maintain contact with the affected communities and local population in general. The affected population should be represented and this representation should be supported and maintained. Communication should also be maintained with government officials and personnel from other humanitarian organisations. Constant communication and strong relationships with these stakeholders allow the assessment teams to deepen their understanding of the wider context that surrounds the post-disaster response and adapt better to changes in people's lives and livelihoods.

723. As humanitarian workers often only remain on site for a short period of time, it is important that a structure be in place to facilitate the handover of activities to other personnel in a smooth and timely manner. While people may move, the organisation can maintain a solid channel of communication with the other stakeholders 📖 IFRC, 2005.

724. Representation of the affected communities should be well maintained. Relationships should be sustained throughout the response and assessors should remain constantly in touch with the local population, government officials and the staff of other humanitarian organisations. Building and maintaining these relationships allow the assessment teams to strengthen their understanding of the context and to look out for changes in the lives of the population .

### T3.5.2 How is assessment information managed?

Navigation

725. The following activities outline how assessment teams should manage information and coordinate with other assessment teams. It is worth emphasising again that information is collected and managed simultaneously and both processes should feed into each other continuously »3.5.

Activity B1:  
Analyse the information

726. Stakeholders performing analyses of any information gathered should be trained to understand the information, and trained to identify indicators of problematic issues and changing trends. Analysis conducted by trained stakeholders should inform specific changes to the sector strategy »1.4.2; 2.1. The analysis of the information gathered should improve understanding of:

- ▶ the interactions between the shelter sector and the other key sectors;

- ▶ the special needs of particular groups or communities, such as minorities »3.4;
- ▶ affected communities' own assessment of their key needs and highest priorities;
- ▶ the broader context around the affected communities. Stakeholders should understand the affected people's capacities and their ability to cope with recovery and contribute to the response efforts »3.1;
- ▶ the capacity of the government to contribute to the response efforts;
- ▶ any stakeholders, policies or processes that may affect response efforts, either positively or negatively; and
- ▶ what activities other organisations and agencies have conducted, so that programmes or activities are not duplicated »3.1; 2.1.

Activity B2:  
Consolidate and validate findings

727. During and after completion of the assessment, monitoring or evaluation operations, the team should agree on how to inform the stakeholders, particularly the affected communities, of the findings. This should include outlining the limitations of the assessment methods used and any planned follow-ups. Care should be taken to identify community structures that will allow the information to reach those who may be excluded from formal decision-making arenas »T3.5.a; Activity A1. Data can be cross checked and verified in a variety of ways, such as through presentations and discussions in workshops. A workshop that involves selected representatives of the government, civil society, the affected population and the private sector will provide another opportunity for feedback, while creating more ownership for any assessment, monitoring or evaluation processes and their results.

Activity B3:  
Conclude and make recommendations

728. The most important outcome of investing the time and effort into conducting assessment, monitoring or evaluation is to act on findings and recommendations. The results should be used to inform and adjust the ongoing strategic planning process and supporting programme and project plans »2.2. This can be achieved by presenting essential information in a structured format so that the main patterns and trends are clear »3.2; 3.5. Wherever possible all findings should be documented to inform future assessments, monitoring and evaluations. Documentation, including lessons learnt, should be made available within each organisation and preferably published or made available online.

Activity B4: Maintain linkages with coordination, strategic development and implementation by undertaking continuous monitoring and evaluation

729. Regular monitoring allows managers to identify emerging problems, follow trends and determine the effect of their responses. When a change is identified, another needs assessment may be undertaken to determine the nature of the need or circumstances. In some cases, this may lead to a shift in strategy or programming. Implementation cannot be postponed until a thorough assessment is carried out. Assessment and implementation must run in parallel. A profile of those affected should be started as early as possible during the emergency response. It is important, though, that this profile is added to and updated as responding agencies find out more about the situation and its impact on people over time »4.2; 3.2.

Activity B5: Feedback to participating stakeholders to maintain relationships and assist overall response

730. It is essential that a consistent format is agreed between affected populations and participating stakeholders for reporting each activity within programmes of assessment, monitoring, and evaluation. Failure to agree on a format will complicate and weaken the comparison of assessments, and of assessments against monitoring activities and later evaluations. Appropriate ways of documenting monitoring and evaluation results should be developed for each activity. Different types of assessment reports and report formats can be found in the toolkit »3.2; 3.5. It is important to meet with representatives of the community at the end of the field assessment whenever possible. Assessment teams should explain what they have done and any conclusions they have drawn without making commitments or promises regarding assistance 📖 IFRC, 2005.

### T3.5.3 How to ensure assessment, monitoring and evaluation best practice?

Guidance

731. The following list of ten activities is adapted from Guidelines for Emergency Assessment and summarises best practice for the implementation of assessment processes 📖 IFRC, 2005. See also Chapter 3 »3.5; 3.2.6. Coordination among different stakeholders is essential to the success of assessment, monitoring and evaluation systems. By carrying out effective monitoring and evaluation activities, support is given to government ministries and agencies, aiding the management of activities and evidence-based policy-making. The implementation and outcome of these processes will also enhance transparency, support accountability and facilitate inter-sector relationships.

Activity C1: Consult the population

732. Encourage members of the affected population to explain how they view the situation. Even in rapid-onset emergencies it is possible to seek the opinions of the local people.

Activity C2: Consider the needs of different people

733. People will be affected differently by the emergency and their needs will also differ. Care should be taken to cover the particular needs of different groups and individuals, including women, elderly, children and other vulnerable groups.

Activity C3: Consider the reliability of information

734. Information may be categorised as “fact” if it is objective, statistical or quantifiable; “opinion” if it is subject to the individual biases; or “rumour” if it is based on unverified information. Each piece of information should be clearly noted if it falls into any of these three categories or anywhere in between.

Activity C4: Consider biases

735. No opinion can ever be objective; everyone is biased in one way or another. The perspective, culture and beliefs of the informants, respondents and those carrying out the assessment should be taken into account in order to better understand these opinions.

Activity C5: Ensure marginalised groups are considered

736. Assessments should take into account who has power and whose voice is not heard. Marginalisation may be based on gender, ethnicity, social status and/or many other characteristics. Care should be taken to ensure the interests of marginalised groups are covered.

Activity C6: Look for changes and trends that may affect society

737. While analysing collected information, particular attention should be paid to discover changes and trends that may have broader and long-term implications, such as population migration. It is also important to consider what is causing these changes.

Activity C7: Look out for the unexpected

738. The assessment teams should be prepared to have their assumptions challenged. When collecting information the team members should be alert and try to find out what issues are the most important to the informants or respondents they are interviewing, which may differ from the team’s original expectations. Any unexpected information should be recorded so the proper channel can be informed »2.5.

Activity C8: Consider the impact of cross-cutting issues

739. Many issues are not limited to one sector. For example HIV/AIDS is not only a health issue, but also a problem that has caused devastating social and economic impacts in many parts of the world.

Activity C9: Consider how information is used

740. The assessment team should understand how the information will be used prior to the collection process. This will ensure that only the necessary information is collected.

Activity C10: Time field visits carefully

741. Care should be taken to avoid conducting assessment when the informants or respondents are particularly busy or when there is a holiday or celebration. Some members of the affected population or other respondents may be absent during particular seasons. Activities and vulnerabilities may also vary from season to season. In addition, the time it takes to reach assessment locations should be taken into consideration when designing the assessment, as seasonal activities can also delay travel time or affect the operation in other unexpected ways »3.3. Assessment, monitoring and evaluation operations should take these factors into consideration.

## T3.5.4 Ensuring information consistency

### Guidance

742. This section provides a brief overview of how to manage assessment information by highlighting a key point – that information collected remain consistent. Further information can be found in Toolkit 1 » T1.5; T1.6; 3.5.

743. As different organisations and assessment teams collect data at different times and with different scales, they risk duplicating their efforts and impeding a smooth transition between the relief, recovery and reconstruction phases of the response. This has been known to cause ‘assessment fatigue’ among the affected population and also compromise the accuracy and reliability of the information collected.

744. While assessment teams assess the level of damage and reconstruction needed, standard guidelines and tools should be available to ensure that this assessment is conducted in a consistent manner. This information is adapted from the World Bank handbook  World Bank, 2010.

745. Some useful tools for ensuring consistent assessment information:

- ▶ templates can structure and regularise the collection of damage data;
- ▶ training for assessment teams helps them understand common information collection methods and use common templates. Such training may include practising on damaged houses and comparing results;
- ▶ common rates and benchmarks can be used to maintain common estimates across teams and agencies.

# T3

## Introduction

### Country level

#### 1

#### Coordination

Participation 1.1

Framework 1.2

Activities 1.3

Information 1.4

Strategy 1.5

#### 2

#### Strategy

Participation 2.1

Planning 2.2

Template 2.3

Inputs 2.4

Assessment 2.5

### Programme level

#### 3

#### Assessment

Participation 3.1

Assessment 3.2

Tools 3.3

Teams 3.4

Implementation 3.5

#### 4

#### Implementation

Participation 4.1

Options 4.2

Response 4.3

Methods 4.4

Coordination 4.5

### Toolkits

Coordination T1

Strategy T2

**Assessment T3**

Implementation T4



# Implementation toolkit

# T4

746. The implementation chapter of these guidelines provides guidance on implementing programme and project plans for transitional settlement and reconstruction.



747. The chapter offers five collective decisions or work stages for consideration.

- T4.1  **Participation:** offers tools for beneficiary identification;
- T4.2  **Options:** offers tools for identifying and evaluating different transitional settlement and reconstruction options;
- T4.3  **Response:** provides a guiding tool for building back more safely;
- T4.4  **Methods:** provides information to assist decisions on labour, material, support and quality for building back more safely
- T4.5  **Coordination:** »T1

Navigation 748. This toolkit is structured around these five collective decisions, and offers support to decision makers by providing a selection of tools relevant to each decision.

Guidance 749. Programme and project managers should consider the five decisions described in Chapter 4 of these guidelines in order to develop an appropriate programme and project plan. The tools offered below are not exhaustive but rather provide examples of the type of tool that may be used when making decisions for implementing transitional settlement and reconstruction programmes and projects.

Introduction

Country level

1

Coordination

Participation 1.1

Framework 1.2

Activities 1.3

Information 1.4

Strategy 1.5

2

Strategy

Participation 2.1

Planning 2.2

Template 2.3

Inputs 2.4

Assessment 2.5

Programme level

3

Assessment

Participation 3.1

Assessment 3.2

Tools 3.3

Teams 3.4

Implementation 3.5

4

Implementation

Participation 4.1

Options 4.2

Response 4.3

Methods 4.4

Coordination 4.5

Toolkits

Coordination T1

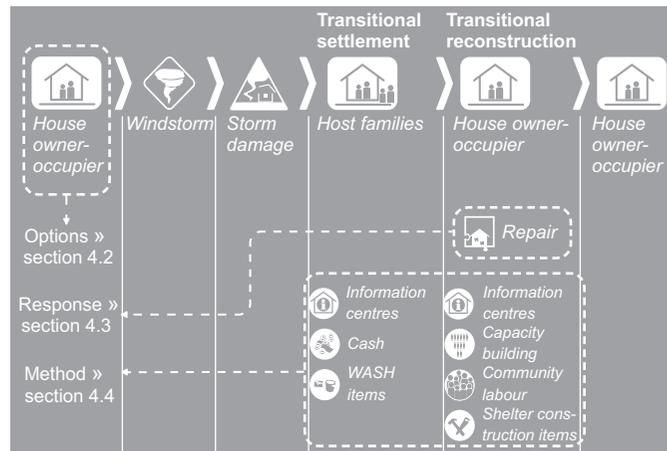
Strategy T2

Assessment T3

Implementation T4

750. The following diagram gives an example of response following disaster, demonstrating that it will be necessary to combine decisions made into a holistic transitional settlement or reconstruction programme or project.

Diagram T4.1  
Example of response following disaster



Checklist T4.1  
Beneficiary identification

- ▶ how they have been affected, to determine the priorities of response;
- ▶ their needs and vulnerability, to determine the nature of response; and
- ▶ their legal rights, such as land tenure, to determine how they may be assisted.

755. The following checklist of ten activities may inform the process of beneficiary identification: IFRC, 2010.

Checklist for Beneficiary identification	
1.	Agree a strategy for beneficiary identification
2.	Agree criteria for beneficiary identification
3.	Agree criteria for group and individual vulnerability
4.	Communicate strategy and criteria to the population
5.	Interview the affected population
6.	Announce preliminary beneficiary list
7.	Over an agreed period, support a complaints procedure
8.	Select beneficiaries
9.	Publish the beneficiary list
10.	Review and repeat

## T4.1 Tools for supporting participation

Participation

Navigation

751. This section contains resources which may be used when undertaking tasks outlined in Chapter 4.1: Participation »4.1.a.

Guidance

752. Participation refers to four areas in the post-disaster response: identifying the affected population, deciding on an appropriate response, deciding what combination of methods is most appropriate and managing implementation activities. Participation by all stakeholders in each of these areas is important to achieve a holistic response to the disaster.

### T 4.1.1 Identifying and registering the affected population

Agree criteria for beneficiary selection

753. For beneficiary identification »4.1.1, governments and humanitarian organisations need a defined and agreed acceptance criteria based on need and vulnerability.

Determine who has been affected and how

754. The purpose of beneficiary identification is to determine the type and level of transitional settlement and reconstruction support required by understanding:

- ▶ who has been affected, to determine the scale of response;

## T4.2 Toolkit for supporting options

Options

Navigation

756. This section contains resources which may be used when making decisions about which transitional settlement and reconstruction options to support »4.2.

757. This section contains the following tools:

- ▶ T4.2.1 Displaced populations: supporting each transitional settlement option
- ▶ T4.2.2 Non-displaced populations: supporting each transitional reconstruction option
- ▶ T4.2.3 The transitional shelter approach
- ▶ T4.2.4 Transitional shelter types

Guidance

758. The second work stage involves analysis of who in the affected population is in which of the six settlement plus one or six reconstruction plus one options, and where. Consideration should be given to the 'plus one' transitional shelter response, to support the six options »4.2.4.

**T4.2.1**

**Displaced populations: supporting each transitional settlement option**

Navigation	759. The six options for displaced populations are presented in the following section. Potential strengths, weaknesses, opportunities and threats (SWOT) of each option are presented.
Guidance	760. As part of the planning process, each of the six transitional settlement options should be assessed in relation to: <ul style="list-style-type: none"> <li>▶ its suitability for particular groups of the affected population;</li> <li>▶ the number of displaced persons that it might accommodate appropriately so that strategic, programme and project assistance may support the entire displaced population;</li> <li>▶ the speed at which it can be accessed by the affected population and how they can support durable solutions to displacement and the beginning of transitional reconstruction;</li> <li>▶ any limits on the duration of its use and opportunities for their further use during reconstruction; and</li> <li>▶ its capacity for expansion.</li> </ul>
Transitional shelter	761. Within each option the 'plus one' transitional shelter approach should be considered to further support programme and project planning where appropriate »4.2.4; T4.2.d.
SWOT of the transitional settlement options for displaced populations	762. The following tables offer advantages and disadvantages that the affected population may experience when choosing one of the six transitional settlement options. The following guidance should not be considered exhaustive but instead common advantages and disadvantages are offered for programme and project managers to consider when developing transitional settlement and reconstruction programme and project plans.

Table T4.1  
Displaced populations: host families



**Host families**

This settlement option involves sheltering the displaced population within the households of local families, or on land or in properties owned by them.

**Helpful to achieving the objective**

<b>Strengths of host families</b>	<p>The most readily available solution to immediate settlement needs, before any others options can be supported. Uses existing infrastructure, allowing for fast implementation of the programme</p> <p>Increased opportunity for integration with the local population, when not already part of the same community, in the case of micro-displacement</p> <p>Facilitating a wider social support network</p> <p>Supporting existing coping strategies, especially for vulnerable individuals, by keeping families together and within a stable household environment</p>
<b>Host families offer opportunities to</b>	<p>Support existing infrastructure, and hence development. The infrastructure should be improved and supported to ensure that it is able to cope with the additional needs of the displaced population</p> <p>Develop integrated and equitable systems of support for host and hosted populations</p> <p>Promote and support methods of livelihood provision for both groups</p> <p>Increase awareness of the rights of both populations; and keep financial resources within the community, especially if cash is distributed in support of the affected community</p>

**Harmful to achieving the objective**

<b>Weaknesses of host families</b>	<p>Constraints to assistance by government and humanitarian organisations, as dispersal stretches their capacity to access and support affected populations and vulnerable groups especially</p> <p>Limited access to over-stretched local and aid-supported communal services, such as health care, especially for vulnerable groups</p> <p>Difficult access to assistance such as food in distant distribution centres, which affects vulnerable groups especially</p>
<b>Threats to operations involving host families</b>	<p>There is an increased risk of physical, sexual and financial exploitation, either by the host or the hosted populations</p> <p>Social complications may arise from close proximity of populations and pressure on local services, especially after long durations of stay</p> <p>Opportunities for both host and hosted families to undertake domestic work, maintain hygiene and engage in home based enterprises may be constrained by lack of space in host-family houses and land</p> <p>Resentment may result from disparities in assistance or lack of environmental resources</p> <p>Host families may become overburdened and impoverished over long periods of hosting, especially if the proportion of host to hosted population is unsustainable</p> <p>Existing infrastructure can become overwhelmed unless it is supported adequately and effectively</p>

**T4**

Introduction

**Country level**

1

**Coordination**

Participation 1.1

Framework 1.2

Activities 1.3

Information 1.4

Strategy 1.5

2

**Strategy**

Participation 2.1

Planning 2.2

Template 2.3

Inputs 2.4

Assessment 2.5

**Programme level**

3

**Assessment**

Participation 3.1

Assessment 3.2

Tools 3.3

Teams 3.4

Implementation 3.5

4

**Implementation**

Participation 4.1

Options 4.2

Response 4.3

Methods 4.4

Coordination 4.5

**Toolkits**

Coordination T1

Strategy T2

Assessment T3

**Implementation T4**

Table T4.2  
Displaced populations: urban self-settlement

 <b>Urban self-settlement</b> Displaced populations may decide to settle in an urban settlement, or in parts of it unaffected by the disaster, occupying unclaimed properties or land, or settling informally.	
<b>Helpful to achieving the objective</b>	
<b>Strengths of urban self-settlement</b>	Enables urban populations to remain in urban environments similar to those to which they are accustomed
	Enables diversity of livelihood opportunities and increased opportunities for self-sufficiency including access or potential to rebuild original livelihoods
	Promotes contacts and encourages integration and social support from the local population
<b>Urban self-settlement offers opportunities to</b>	Have a greater self-determination of where and how to live Reduce burdens on the authorities and humanitarian organisations Support the upgrading of existing services infrastructure to meet the needs of both the displaced and host populations Support established livelihoods for both groups Reduce the vulnerability of the displaced population through creating interdependence and communication with the local population
<b>Harmful to achieving the objective</b>	
<b>Weaknesses of urban self-settlement</b>	Lack of formal ownership rights for land or property for the affected population
	Dispersal stretches the capacity of aid organisations and local authorities to assess and support displaced populations
	Leads to competition over work, resources and facilities with the host population
	It is difficult to identify the affected population and upgrade settlements to meet minimum standards
<b>Threats to operations involving urban self-settlement</b>	Displaced populations often increase the size of existing informal settlement areas on the periphery of cities, living on land that they do not own. It is also likely that the existence of such settlements will be politically sensitive Care should be taken to ensure that any support offered takes into account or integrates any existing inhabitants and their neighbours

Table T4.3  
Displaced populations: rural self-settlement

 <b>Rural self-settlement</b> Rural self-settlement takes place when displaced families settle on rural land that is owned collectively, rather than privately.	
<b>Helpful to achieving the objective</b>	
<b>Strengths of rural self-settlement</b>	Promotes integration with the local population
	Facilitates a wider social support network, with benefits for the displaced population
	Close proximity to the local population enables trade of goods and services
<b>Rural self-settlement offers opportunities to</b>	Identify and respond to the needs of both the host and displaced population
	Develop self-sufficiency, if agriculture or animal husbandry are possible
	Upgrade infrastructure, such as transport, health care, water and sanitation, schools, power supplies, food production and food security
	Support livelihoods, for example by involving both communities in all construction activities
	Provide a durable solution, if families are allowed to settle permanently on or near the land that they have been occupying. In this case, developmental assistance programmes designed to sustain and develop livelihoods may follow on from this transitional settlement option
<b>Harmful to achieving the objective</b>	
<b>Weaknesses of rural self-settlement</b>	Dispersal in rural self-settlement stretches the capacity of aid organisations and local authorities to access and support displaced populations. Constraints on access and limits on logistics capacity mean that reaching one family takes longer in a dispersed settlement than it would in a more concentrated settlement
	Livelihood patterns, land-use patterns and natural resource management of the host population may be disrupted. For example, overuse of land by the displaced population may lead to soil becoming compacted and unusable. Land needs to be rehabilitated at regular intervals as well as prior to its return to its previous use
	Access to local and aid-supported communal services, such as health care, is difficult, especially for vulnerable groups
	Access to distributed aid such as food is difficult, especially for vulnerable groups
<b>Threats to operations involving rural self-settlement</b>	There is a risk of physical, sexual or financial exploitation of the displaced population by the local population, or vice versa
	If the displaced community outnumbers the local community, rural self-settlement is unlikely to be acceptable to the local population and authorities for any length of time, for social, economic and resource management reasons. Any competition for resources may lead to local populations or authorities refusing to allow rural self settlement, and people may have to move further away from their homes

Introduction

---

**Country level**

1  
**Coordination**  
Participation 1.1  
Framework 1.2  
Activities 1.3  
Information 1.4  
Strategy 1.5

**2  
Strategy**  
Participation 2.1  
Planning 2.2  
Template 2.3  
Inputs 2.4  
Assessment 2.5

---

**Programme level**

**3  
Assessment**  
Participation 3.1  
Assessment 3.2  
Tools 3.3  
Teams 3.4  
Implementation 3.5

**4  
Implementation**  
Participation 4.1  
Options 4.2  
Response 4.3  
Methods 4.4  
Coordination 4.5

---

**Toolkits**

Coordination T1  
Strategy T2  
Assessment T3  
**Implementation T4**

Table T4.4  
Displaced populations: collective centres

 <b>Collective centres</b> Collective centres, also referred to as mass shelters, are usually transit facilities located in pre-existing structures.	
<b>Helpful to achieving the objective</b>	
<b>Strengths of collective centres</b>	They are built or identified to offer shelter that is safe and appropriate, protecting the displaced against assessed hazards  It is relatively easy to identify and assess beneficiaries  Food, water and other supplies are easy to distribute  Access to services is straightforward, where a health team is able, for example, to visit a centre and identify problems more easily than when a population is dispersed and the identification of vulnerable groups and individuals is relatively easy
<b>Collective centres offer opportunities to</b>	Raise awareness of risks that the population is facing and practice preparedness plans  Improve the morale of the residents and support them, for example by ensuring good maintenance of the centre  Provide work and an income for some, and increase the confidence of the local population in the support programme. Maintenance is the most cost-effective way of ensuring that the centre will eventually be handed back to the owners in an appropriate state  Support and improve infrastructure and the facilities of existing structures to meet the needs of the host and displaced population  Consider methods of compensation for those who have had livelihoods disrupted by the occupation of the building  Begin to form community structures if the affected population is subsequently to be relocated together rather than return to transitional reconstruction
<b>Harmful to achieving the objective</b>	
<b>Weaknesses of collective centres</b>	For the reasons outlined below, collective centres must have a short operational life  Collective centres have very high running costs which supporting government agencies or humanitarian organisations may not have the resources »2.2.5 to support over the period required  Existing structures usually require additional communal services, such as for sanitation, washing, laundry and security, including fire alarms and fire escapes  Social and psychological problems, including dependency, often result from the lack of privacy, livelihoods and recreational opportunities  The social structure of the affected population may not be compatible with the communal living required and, in such cases, may further undermine social structures and create resistance to supporting and achieving durable solutions to displacement

Continued on next page ►

 <b>Collective centres</b> <span style="float: right;">► Continued</span>	
Collective centres, also referred to as mass shelters, are usually transit facilities located in pre-existing structures.	
<b>Harmful to achieving the objective</b>	
<b>Threats to operations involving collective centres</b>	The presence of a collective centre, as any other grouped settlement, may increase vulnerability to attack; it may become a focus for hostilities in complex emergencies  Fire may be a risk, if cooking or heating, and especially for vulnerable individuals and existing structures where evacuation is difficult  If the centre is normally used for another function, such as a school, its delayed return may create problems for the education of the local population  If the centre had a prior use, there is a threat of disruption to the livelihood of the building owner, and compensation should be considered for the other livelihoods that will have been affected by the occupation of the collective centre  In many cases, no responsibility is taken for maintenance, and management of the structure and definition of roles needs to start at the very beginning of the use of the centre, even if it is only to be used for a few weeks, as degradation of the centre begins extremely quickly  The spread of communicable disease is more likely in densely occupied living areas with communal services, such as sanitation and cooking, and so the risks should be discussed with the appropriate health professionals  Although collective centres should be the first transitional settlement option to be discontinued, they are often the last, as they usually contain the most vulnerable for whom durable solutions to displacement are the most difficult

# T4

Introduction
<b>Country level</b>
1
<b>Coordination</b>
Participation 1.1
Framework 1.2
Activities 1.3
Information 1.4
Strategy 1.5
<b>2</b>
<b>Strategy</b>
Participation 2.1
Planning 2.2
Template 2.3
Inputs 2.4
Assessment 2.5
<b>Programme level</b>
<b>3</b>
<b>Assessment</b>
Participation 3.1
Assessment 3.2
Tools 3.3
Teams 3.4
Implementation 3.5
<b>4</b>
<b>Implementation</b>
Participation 4.1
Options 4.2
Response 4.3
Methods 4.4
Coordination 4.5
<b>Toolkits</b>
Coordination T1
Strategy T2
Assessment T3
<b>Implementation T4</b>

Table T4.5  
Displaced populations: self-settled camps

 <b>Self-settled camps</b> A displaced community or displaced groups may settle in camps, independently of assistance from local government or the aid community.	
<b>Helpful to achieving the objective</b>	
<b>Strengths of self-settled camps</b>	Ensure increased opportunities for self-sufficiency and self-determination  Allow for the maintenance of existing methods of livelihood support and social structures  Keep families and communities together, thereby supporting social cohesion
<b>Self-settled camps offer opportunities to</b>	Assist vulnerable groups within the affected communities by supporting other settlement options, such as accommodation with host families. There may be, for example, an abundant supply of natural resources with good access »2.2.5, and only a small local population. In such circumstances, it may be feasible to assume that the displaced population can undertake settlement, while intervention by international organisations concentrates on assisting vulnerable groups  Develop the camp, with the displaced community and government, to meet national and international standards  Support and improve existing infrastructure and facilities to meet the needs of the host and affected population  Consider methods of compensation for those who have had livelihoods disrupted by the occupation of the site
<b>Harmful to achieving the objective</b>	
<b>Weaknesses of self-settled camps</b>	Occupation of the site will disrupt methods of livelihood support and resource provision previously associated with the land. It may therefore cause disruption to the livelihoods of the host population  There is a risk of physical, sexual or financial exploitation by the site owner  Environmental damage often results  Disaster risk may continue when camps are located close to affected areas  Occupation of communal or state land results in constant threat of eviction
<b>Threats to operations involving self-settled camps</b>	Increased vulnerability to both external and internal security threats may result from the existence of self-settlement in camps  The presence of the displaced population will have an impact on the wider local community. Care must be taken to prevent tensions and to ensure that local services can be maintained. As well as supporting family accommodation, some upgrading of infrastructure might be considered

Table T4.6  
Displaced populations: planned camps

 <b>Planned camps</b> Planned camps are places where displaced populations find accommodation on purpose-built sites and a full services infrastructure is provided.	
<b>Helpful to achieving the objective</b>	
<b>Strengths of planned camps</b>	Facilitate distribution of relief supplies  Facilitate identification of vulnerable groups and individuals  Can be planned to meet the needs of the affected population  Land use can be negotiated with governments without rent or purchase
<b>Planned camps offer opportunities to</b>	Understand the needs of the displaced population and plan the camp appropriately  Develop a natural resource management plan  Involve both displaced and local populations in construction activities and by facilitating access to local markets  Give support to public meetings involving local and displaced populations. Both groups should be offered activities such as training courses or social events. This will help open channels of communication and prevent misunderstandings  Upgrade infrastructure, such as transport, health care, water and sanitation, schools, power generation and transmission, food production and security, police stations, prisons and courts
<b>Harmful to achieving the objective</b>	
<b>Weaknesses of planned camps</b>	Increase vulnerability to internal and external security threats  Limit access to income-generating activities  Lead to competition over resources  Environmental damage and disruption to established methods of natural resource management result  Often cause disruption to the livelihoods of the host population
<b>Threats to operations involving planned camps</b>	Camps may increase the vulnerability of displaced persons to security threats  Both external and internal planned camps centralise resource extraction, leading to environmental degradation (such as deforestation, overgrazing and erosion). Efforts should be taken to counteract these effects, and monitoring will then be required to keep track of environmental rehabilitation programmes  Camps become difficult to dismantle and risk becoming permanent, especially in urban areas where there is a shortage of accommodation

## T4.2.2 Non-displaced populations: supporting each transitional reconstruction option

**Navigation** 763. The six options for non-displaced populations are presented in the following section. Potential strengths and weakness of each option are offered.

**Guidance** 764. As part of the planning process, and as with the transitional settlement options for displaced populations, each of the six transitional reconstruction options should be assessed in relation to:

- ▶ its suitability for particular groups of the affected population;
- ▶ the number of non-displaced persons that it might accommodate appropriately, so that strategic, programme and project assistance may support the entire non-displaced population;
- ▶ the speed at which it can be accessed by the affected population and how they can support durable solutions to reconstruction;
- ▶ any limits on the duration of its use and opportunities for their further use during reconstruction; and
- ▶ its capacity for expansion.

765. Within each option the ‘plus one’ transitional shelter approach should be considered to further support programme and project planning where appropriate »4.2.3; T4.2.c.

766. The following tables offer advantages and disadvantages that the affected population may experience within the six transitional reconstruction options. The following guidance should not be considered exhaustive but instead common advantages and disadvantages are offered for programme and project managers to consider when developing transitional settlement and reconstruction programme and project plans.

Table T4.7  
Non-displaced populations: occupancy with no legal status

 <b>Occupancy with no legal status</b> The occupant occupies land or property without the explicit permission of the owner.	
<b>Helpful to achieving the objective</b>	
<b>Work with displaced community and local governments to formalise their status</b>	Identify and support existing local initiatives and mechanisms supporting the upgrading of settlements, whether initiated by communities, government or development organisations
	Advocate for inhabitants to remain close to their livelihoods through preventing eviction and obtaining secure tenure
	Advocate for the rights of occupants during evacuation and displacement, if it is required for safety reasons, so that the evacuation takes place in accordance with the rights of the displaced
<b>Securing land rights is often not possible or safe</b>	It is important for governments to confer legal status on those who are not being protected against eviction, which includes all persons notwithstanding their type of tenure, in consultation with the affected population  COHRE, 2005
	When permanent relocation is necessary, it is important for governments to allocate appropriate housing elsewhere, in more secure areas where livelihoods can be recovered, and for humanitarian and developmental organisations to support this process with capacity and advocacy
	Government, supported by humanitarian and developmental organisations, should recognise and secure the rights of displaced occupiers on their return, including them in restitution programmes in a similar manner to those possessing formal ownership
<b>Harmful to achieving the objective</b>	
<b>Following a disaster, illegal occupiers may be removed forcibly from their homes</b>	Settlements without legal status or illegal settlements are often located on vulnerable sites
	Settlements without legal status or illegal settlements usually require upgrading through a master plan, which introduces better access roads, public services and risk mitigation measures, such as fire breaks

# T4

Introduction

Country level

1

Coordination

Participation 1.1

Framework 1.2

Activities 1.3

Information 1.4

Strategy 1.5

2

Strategy

Participation 2.1

Planning 2.2

Template 2.3

Inputs 2.4

Assessment 2.5

Programme level

3

Assessment

Participation 3.1

Assessment 3.2

Tools 3.3

Teams 3.4

Implementation 3.5

4

Implementation

Participation 4.1

Options 4.2

Response 4.3

Methods 4.4

Coordination 4.5

Toolkits

Coordination T1

Strategy T2

Assessment T3

Implementation T4

Table T4.8  
Non-displaced  
populations:  
house tenant

 <b>House tenant</b> The house and land are rented by the occupant formally or informally.	
<b>Helpful to achieving the objective</b>	
<b>Tenants are able to choose where to live</b>	<p>It is relatively easy for the affected family to relocate, if they choose</p> <p>If the landlord agrees and the site is safe, transitional shelter may be supported on the existing site, keeping the affected family close to their livelihood</p>
<b>Methods of assisting tenants</b>	<p>Advocate on behalf of tenants to ensure that their rights are respected</p> <p>Provide periods of rent-free settlement; develop mechanisms against forced eviction</p> <p>Carry out financial disbursement; and assist tenants to become property owners</p>
<b>Harmful to achieving the objective</b>	
<b>Few established methods to support tenants</b>	<p>There are very few established methods of supporting transitional reconstruction for tenants</p> <p>Governments and humanitarian organisations have limited experience of supporting tenants</p> <p>The landlord may not wish to rebuild</p>
<b>Difficulties with ownership</b>	<p>It is often difficult to negotiate satisfactorily both an agreement for lease of the land that the house will be rebuilt on, and the ownership of the house itself. Ideally, the former tenant should become the owner of the rebuilt house. Negotiations may be complicated by the death of the owner and resultant complications over ownership</p> <p>It is often difficult to assess the needs of both tenants and owner(s). The owner(s) livelihood may be tied up with the rent obtained from the building</p>

Table T4.9  
Non-displaced  
populations:  
apartment  
tenant

 <b>Apartment tenant</b> The apartment is rented by the occupant formally or informally.	
<b>Helpful to achieving the objective</b>	
<b>Apartments may only be partially damaged</b>	<p>Flooding may have less effect on apartment buildings than on individual houses</p> <p>If only some apartments are damaged and buildings are otherwise safe, affected families may be able to find transitional settlement in other apartments nearby</p>
<b>Ways humanitarian agencies can support apartment tenants</b>	<p>Support the rebuilding or repair of apartment blocks, which may be undertaken by government with the support of humanitarian or developmental organisations and donors</p> <p>Agree programmes for rebuilding or repair that spread responsibilities, capacities and costs, for example in insurance, compensation payments, tax deductions to owners and contractors, the supply of some materials, technical advice, pre-paid or guaranteed rents, and credit extensions. Such measures may be required for a number of years before the building can be returned to commercial arrangements between tenants and owners</p> <p>Arrange periods of rent-free settlement</p> <p>Develop mechanisms against forced eviction</p> <p>Carry out financial disbursement</p>
<b>Harmful to achieving the objective</b>	
<b>Apartments create complex problems</b>	<p>If the entire building needs to be rebuilt, transitional settlement for the affected families will need to be provided off-site, distancing people from their livelihoods</p> <p>Unless consensus is reached between all stakeholders, including every tenant, it can be very difficult to identify a support option</p> <p>Apartment buildings are often susceptible to more complex damage by earthquakes and fire than standalone houses</p> <p>Apartment blocks are difficult and expensive to rebuild, the owner may not want to do so, and government and humanitarian organisations may not have the resources or capacity to do so. In this case, the affected population will be displaced, and will need to be supported in achieving a durable solution to their displacement</p>
<b>Rebuilding requires consensus</b>	<p>If an apartment building has been damaged it may be difficult to assess the needs of both occupiers, who may be a mixture of tenants and owners, and the building owner(s), whose livelihood will involve the building</p> <p>The owner may not want to rebuild or repair, for example knowing that credit or insurance may become unaffordable</p>

# T4

- Introduction
- Country level
- 1
- Coordination
- Participation 1.1
- Framework 1.2
- Activities 1.3
- Information 1.4
- Strategy 1.5
- 2
- Strategy
- Participation 2.1
- Planning 2.2
- Template 2.3
- Inputs 2.4
- Assessment 2.5
- Programme level
- 3
- Assessment
- Participation 3.1
- Assessment 3.2
- Tools 3.3
- Teams 3.4
- Implementation 3.5
- 4
- Implementation
- Participation 4.1
- Options 4.2
- Response 4.3
- Methods 4.4
- Coordination 4.5
- Toolkits
- Coordination T1
- Strategy T2
- Assessment T3
- Implementation T4**

Table T4.10  
Non-displaced  
populations:  
land tenant

 <b>Land tenant</b> The house is owned, but the land is rented.	
<b>Helpful to achieving the objective</b>	
<b>Established support options</b>	If the relationship with the land owner is formalised there are established support options for house reconstruction or repair
<b>Ways humanitarian agencies can support land tenants</b>	Support not only the rebuilding of houses, but also, depending on needs, supporting payment of rent. This support helps in turn landowners recover their livelihoods. In some circumstances, it may be appropriate to negotiate with the landowner for a lease to allow the tenant time for livelihood recovery  Support security of tenancy and develop mechanisms against forced eviction  Arrange periods of rent-free settlement
<b>Harmful to achieving the objective</b>	
<b>Difficulties in supporting land tenants</b>	Land use rights are often not formally recorded and, if land ownership cannot be formalised, this option may be difficult to support  Land tenants are not common and may not be recognised well within support services offered by government or humanitarian organisations
<b>Land owners may evict land tenants</b>	Land owners may take advantage of the disruption caused by the disaster to evict land tenants and recover land for other purposes  COHRE, 2005, as there may be considerable demand upon safe land following a disaster

Table T4.11  
Non-displaced  
populations:  
apartment  
owner-occupier

 <b>Apartment owner-occupier</b> The apartment is owned, but the land is rented.	
<b>Helpful to achieving the objective</b>	
<b>Affected people may be able to continue living on site</b>	Hazards sometimes result in damage that still allows safe habitation of some apartments, or parts of apartments  Families in undamaged apartments are sometimes able to offer transitional settlement to displaced families, keeping the affected population near their livelihoods  Providing that secure tenure can be established for those with insecurity of tenure, the affected population may be able to occur on site, keeping them near their livelihoods
<b>Ways humanitarian agencies can support apartment owner-occupier</b>	Work with both the affected community and local governments to identify pre-disaster land ownership and housing rights  Involve the affected population in strategic planning <b>»»2.2</b> , and construction  Advocate for the rights of the displaced during evacuation if it is required for safety reasons, so that it takes place in accordance with the rights of the displaced  Provide affected communities with information  Advice on how to claim restitution, in cooperation with government
<b>Harmful to achieving the objective</b>	
<b>Reconstruction can be difficult</b>	It is more difficult than in single dwellings to identify methods of support, as consensus must be reached amongst all occupiers whose situations, needs, and resources vary, and who may be a mixture of owners and tenants, and including the landlords of the tenants, whose livelihoods will involve the building  The repair of individual apartments may be difficult without impinging on the layouts or space of some apartment units  Significant investment, skilled labour and contractors are required in reconstruction
<b>Consensus may be difficult to achieve</b>	Structural damage might be difficult to see and, as a result, owners unwilling to leave  Reconstruction of the entire apartment block may require the off-site transitional settlement of all apartment occupiers, potentially moving them away from their livelihoods  Consensus must be reached amongst all occupiers

# T4

- Introduction
- Country level
- 1
- Coordination
- Participation 1.1
- Framework 1.2
- Activities 1.3
- Information 1.4
- Strategy 1.5
- 2
- Strategy
- Participation 2.1
- Planning 2.2
- Template 2.3
- Inputs 2.4
- Assessment 2.5
- Programme level
- 3
- Assessment
- Participation 3.1
- Assessment 3.2
- Tools 3.3
- Teams 3.4
- Implementation 3.5
- 4
- Implementation
- Participation 4.1
- Options 4.2
- Response 4.3
- Methods 4.4
- Coordination 4.5
- Toolkits
- Coordination T1
- Strategy T2
- Assessment T3
- Implementation T4**

Table T4.12  
Non-displaced  
populations:  
house owner-  
occupier

 <b>House owner-occupier</b> The occupier owns their house and land or is in part-ownership, such as when repaying a mortgage or loan. Ownership may be formal or informal.	
<b>Helpful to achieving the objective</b>	
<b>It can be easy to identify and support house owner-occupiers</b>	Providing that secure tenure can be established, there are recognised assistance methods for support
	Providing that secure tenure can be established, any transitional shelter may be able to occur on site, keeping the affected population near their livelihoods
	Some hazards may result in damage that still allows safe habitation of some houses, or parts of houses
	There is an established legal framework of support in the case of formal owner-occupiers
	There are established methods of funding and support including phased materials drops and financial disbursement
	There is usually a high level of beneficiary involvement and control
	The needs of each family are relatively easy to identify and quantify
<b>Ways humanitarian agencies can support house owner-occupier</b>	It is relatively easy to quantify the appropriate level of restitution in the case of formal owner-occupiers
	Involve the affected population in strategic planning and construction
	Offer training to the affected population
	Work with the affected community and local governments to identify pre-disaster land ownership and housing rights
	Support affected communities with information and advice on how to claim restitution
	Support house owners to manage risks better and maintain and protect their houses
	Support the establishment or salvaging of government cadastral or other appropriate systems for the registration of housing, land and property rights, depending on the individual case

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 <b>House owner-occupier</b> <span style="float: right;">► Continued</span> The occupier owns their house and land or is in part-ownership, such as when repaying a mortgage or loan. Ownership may be formal or informal.	
<b>Harmful to achieving the objective</b>	
<b>Damage or loss of the house may not be the only threat to the affected owner-occupier</b>	The house will form a significant financial asset which may not be reimbursed in full by reconstruction
	Loss is likely to include personal items, such as furniture, that may not be replaced following the disaster
	Lack of mobility from site for affected population has impacts on livelihoods
<b>Informal Ownership</b>	Continuation of pre-existing mortgages or debts related to the property or land may have severe financial repercussions
	There are likely to be impacts on home-based enterprises, such as farms or shops
<b>Formal Ownership</b>	In situations where the government or local authorities do not recognise the legal status of informal owner-occupiers, they may be forcibly removed from their homes following the disaster
	Ultimately the local government needs to maintain effective settlement planning, with robust options for vulnerable populations otherwise informal settlements will still continue to develop in other potential hazardous areas in the future
<b>Formal Ownership</b>	If the house is located in a hazardous area, it may become necessary for the inhabitants to be displaced (Principle 4). In this case, complications may arise from their unwillingness to leave, and from the need for them to be found alternatives sites. Usually they will receive compensation from the government and/or support from the international community. Negotiations may be required between humanitarian aid agencies and governments on the allocation of new land to inhabitants. It is unusual for humanitarian aid agencies to buy land, and they may instead fund governments to buy land
	Loss of cadastral may have occurred, which complicates establishment of ownership rights. In such cases, humanitarian aid agencies can support the creation of documentation

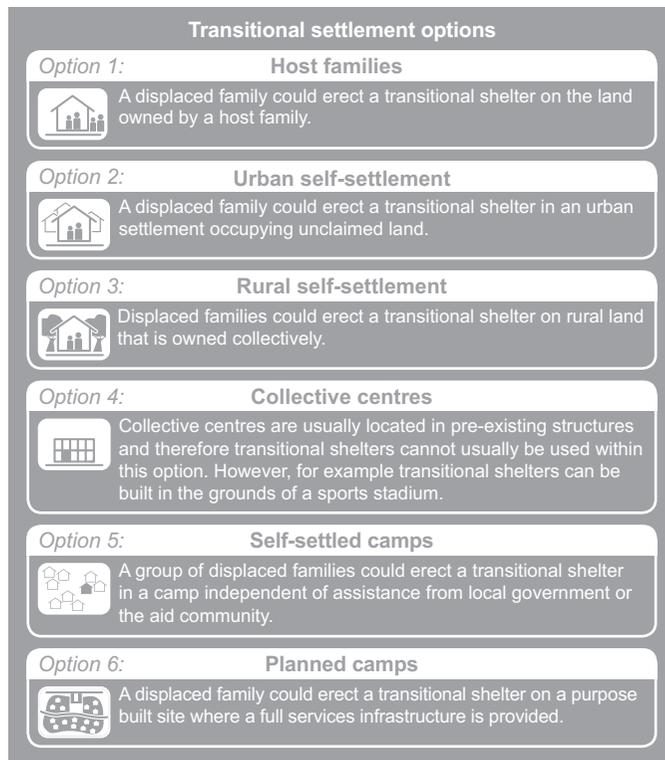
### T4.2.3 The transitional shelter approach

**Navigation** 767. Transitional shelter is presented in the following section and examples are provided of how the approach can support each of the six transitional settlement and reconstruction options.

**Guidance** 768. The six settlement and six reconstruction options may not offer sufficient shelter over the duration of the recovery to a durable solution. The transitional shelter approach supports these options in four alternative ways: the transitional shelter may be upgraded, reused for another purpose, sold for the materials, or recycled for use in reconstruction.

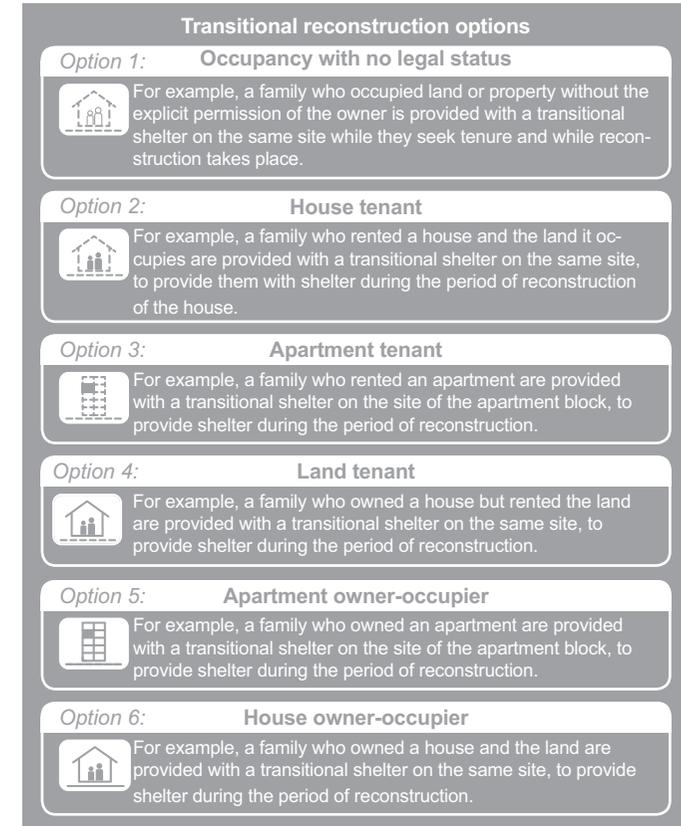
769. The following diagram offers examples of how the transitional shelter approach may be implemented within the six options for transitional settlement.

Diagram T4.2  
Transitional settlement options



770. The following diagram offers examples of how the transitional shelter approach may be implemented within the six options for transitional reconstruction.

Diagram T4.3  
Transitional reconstruction options



# T4

Introduction

Country level

1

Coordination

Participation 1.1

Framework 1.2

Activities 1.3

Information 1.4

Strategy 1.5

2

Strategy

Participation 2.1

Planning 2.2

Template 2.3

Inputs 2.4

Assessment 2.5

Programme level

3

Assessment

Participation 3.1

Assessment 3.2

Tools 3.3

Teams 3.4

Implementation 3.5

4

Implementation

Participation 4.1

Options 4.2

Response 4.3

Methods 4.4

Coordination 4.5

Toolkits

Coordination T1

Strategy T2

Assessment T3

**Implementation T4**

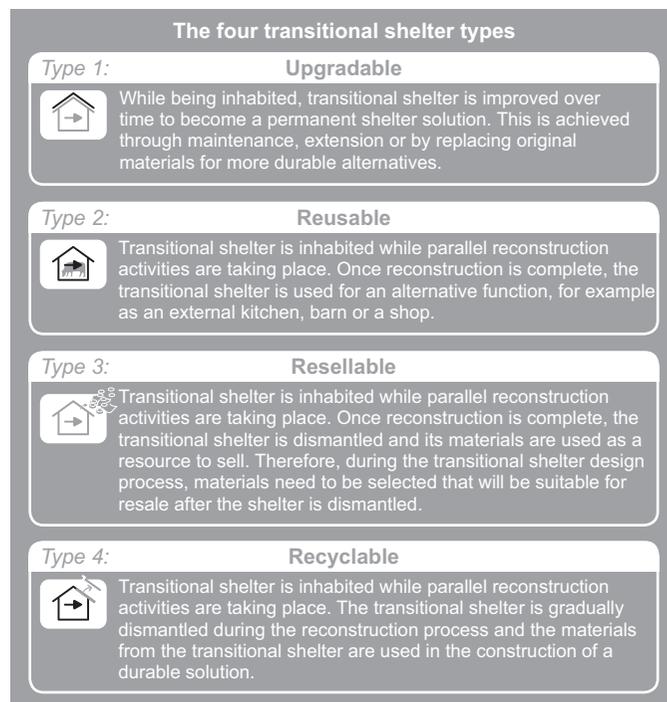
## T4.2.4 Transitional shelter types

**Navigation** 771. The following section further explains how the transitional shelter approach may be adapted by the affected population and introduces the four transitional shelter types.

**Guidance** 772. Transitional shelter is not intended to replace emergency shelter or permanent housing but rather may offer support to the affected population incrementally in response to a natural disaster. The approach should be considered by programme and project managers once the decision has been taken about which transitional settlement and reconstruction options should be supported.

**The four transitional shelter types** 773. Transitional shelters can be categorised into the four transitional shelter types, upgradable, reusable, resellable and recyclable, as demonstrated below.

Diagram T4.4  
The four transitional shelter types



**Combination of transitional shelter types** 774. A transitional shelter programme can consist of a combination of different transitional shelter types in order to best support the affected population and the above types should be considered in parallel.

## T4.3 >> Toolkit for supporting the response

Response

**Navigation** 775. This section provides further information on building back more safely, as discussed in Chapter 4 >>4.3 and introduces tools to guide retrofitting, repairing, rebuilding and relocating. Programme and project managers should use the following information to inform the transitional settlement and reconstruction plan.

**Guidance** 776. The third collective decision or work stage involves two stages. The first stage is to identify which of the options chosen by the affected population the programme or project will support, including whether or not to include transitional shelter options. The second stage is to determine how to build back more safely, considering the four possible alternatives: to repair, rebuild, retrofit or relocate >>4.3

### T4.3.1 Retrofit, repair, rebuild or relocate?

**Navigation** 777. This section provides an overview for each of the options for building back safer.

**Guidance** 778. This tool details each option of retrofitting, repairing, rebuilding and relocating shelters in order to assist decision makers in deciding which option or options may be the most suitable



#### T4.3.1.a Retrofit

**Protect against future hazards** 779. Unprotected buildings in risk areas need to be retrofitted against future hazards by having safety features installed. Buildings that have been damaged by the disaster may also need to be retrofitted, in addition to being repaired. Successful retrofitting programmes will require outreach to promote public awareness, clear technical guidance and incentives.

**Different areas of risk** 780. Appropriate retrofit techniques are often similar to those used in repairing damaged buildings, such as adding cross bracing in areas exposed to high winds. In earthquake-prone areas, the epicentre is likely to change with each event, so retrofitting must be undertaken across the entire area at risk, rather than solely to areas close to the previous event.



#### T4.3.1.b Repair

**Possibility of repair** 781. Depending on the location and severity of the disaster, and the underlying vulnerability of the built environment, buildings and infrastructure facilities may sustain only minor to moderate damage which may be possible to repair.

Need for technical surveys	782. Critical to selecting appropriate assistance methods is providing the affected communities with accurate and timely professional technical surveys of key communal infrastructure and housing.
Need for structural assessment	783. It is fundamental that early damage assessments, often carried out by non-specialists, are followed up with professional structural assessment, to ascertain what is repairable and what needs to be demolished. The affected population may underestimate their risk and start repairs on structures that are not safe.
Repair techniques	784. Repair techniques to reduce vulnerability include introducing appropriate elements to structures, such as ring beams and cross bracing.
Risks of repairing and retrofitting	785. The risks involved in the repair and retrofit options must be included in the assessment of suitability of these options. Risks may arise from the difficulty in assessing structural soundness, increased vulnerability of housing to further disasters or incremental damage, such as cracks. In addition, repairs may not conform to standards. It is important for technically trained personnel to assess and monitor the constructions over a period of time.



### T4.3.1.c Rebuild

Assessment of need for demolition	Structures that cannot be repaired need to be demolished and rebuilt. The assessment of the need for demolition should include a plan for recovering reusable construction materials from the debris.
Heavy machinery	786. Heavy machinery, such as bulldozers, should be used, initially to clear emergency access only, and not for the indiscriminate removal of rubble and debris.
Assisting affected population	787. The affected population should be assisted both with tools and technical expertise when recovering materials. Recovered materials should only be used for certain rebuilding activities, for example steel reinforcement bars that have deformed should not be used again for reinforcement.
Identifying reasons for failure	788. Assessment must identify the reasons for the failure of those buildings that were destroyed or severely damaged: identify reasons for failure and incorporate solutions into the reconstruction. For example, a building can be made more resistant to wind by designing it to resist the force as an entire structure, not as unconnected components. Specialist technical expertise with an understanding of local construction and hazards must be engaged in order to determine the most appropriate solution in each case. 📖 IFRC, 2010.



### T4.3.1.d Relocate

Necessary relocation	789. Although most populations live in risk from hazards, some areas will be too hazardous and future settlement should be restricted. Relocation or resettlement to areas of reduced risk may be necessary.
Avoiding relocation when possible	790. The relocation of entire communities to new settlements in areas a long way from their original hazardous areas should be avoided, wherever possible, because: <ul style="list-style-type: none"> <li>▶ populations will be some distance from their original livelihoods and, if their new location may not support alternatives, people will tend to migrate back to their original hazardous areas;</li> <li>▶ communal services, such as hospitals and schools, and common infrastructure, such as roads and utilities, are likely to be inadequate or missing;</li> <li>▶ in a recovering economy, the high cost of building or extending existing communal services and infrastructure to new settlements either diverts resources from other essential measures, or is not undertaken adequately; and</li> <li>▶ when government capacity is overstretched, building and serving new settlements requires additional local government capacity at municipal level, which either diverts capacity from other essential activities, or is not undertaken adequately.</li> </ul>
Need for hazard maps	791. Hazard maps will be required to avoid a situation in which people relocate to areas exposed to different hazards with which they are unfamiliar »T3.7.a.
Considerations for a relocation site	792. Ideal, but often unattainable, conditions of a relocation site are as follows. <ul style="list-style-type: none"> <li>▶ Located close to their previous place of residence (or within sociocultural boundaries)</li> <li>▶ Appropriate environmental impact of use of allocated lands</li> <li>▶ Free of hazards</li> <li>▶ Access to previous livelihoods or opportunities for new livelihoods</li> <li>▶ Access to roads and transport links</li> <li>▶ On-site services</li> <li>▶ Capacity of physical infrastructure to accommodate new development (water supply, drainage, electricity, roads etc.)</li> </ul>

- ▶ Potential of community infrastructure to accommodate new families (educational facilities, health care, places of worship etc.)
- ▶ Located within a receptive host community where there will be a positive impact from the new development in the host communities. IFRC, 2010.

**T4.4**   
 Methods

**Toolkit for selecting methods**

Navigation

793. This section provides further information to assist programme and project managers in deciding which combination of labour, material, support and quality assurance is appropriate to respond to each option supported on building back more safely, as discussed in Chapter 4 **»4.4**.

794. The following tools are offered in this chapter:

- ▶ T4.4.1 Selecting labour
- ▶ T4.4.2 Selecting material
- ▶ T4.4.3 Selecting support methods
- ▶ T4.4.4 Quality assurance methods

Guidance

795. Once the options to support have been agreed, the fourth decision must establish the most appropriate methods through which to implement the assistance. Programme and project managers should consider the context of each disaster, and the most appropriate combination of resources to achieve an effective response.

**T4.4.1 Selecting labour**

Navigation

796. The following section outlines four types of labour which may be selected in transitional settlement and reconstruction programmes and plans.

Guidance

797. The affected population are the first responders to any disaster and throughout the course of the response will provide the largest source of labour. Decisions regarding options **»4.2**; **T4.2** and response **»4.3**; **T4.3** should be followed by a decision on how labour should be employed to implement transitional settlement and reconstruction programmes and projects. Different types of labour may be considered in parallel and combined to offer the affected population the most appropriate, effective and equitable assistance.



**T4.4.1.a Direct labour**

Direct labour

798. Humanitarian organisations may hire and manage labour directly to undertake a small project, for example in the emergency phase when rapid response is essential.

Need for technical specialists

799. To engage direct labour for transitional settlement or reconstruction projects, the organisation should have technical specialist or consultant and capacity for management. The coordination and management of direct labour often depends on identifying experienced and trusted supervisors. Master craftspeople in various trades should also be identified and supported.

Involving labour from all groups

800. Care should always be taken to involve labour from all groups within displaced and local labour forces, in order both to prevent suspicions of favouritism or bias and to prevent the control of the labour force by a particular group.

Participation in negotiations

801. Leaders of local and displaced communities should be involved in public or official negotiations to agree the objective of each activity within a direct labour project. A contract may be drawn up between the humanitarian organisation, the community leaders and the local authorities.

Managing construction

802. Documentation of phased work schedules should be developed in a consensus with the involved parties. Records should include recruitment, attendance, payroll, warnings and dismissals. An ideal system would involve management by community representatives and monitoring by a humanitarian organisation representative. These practices maximise capacity building within communities Barakat S, 2003.

Contracts with individuals

803. Direct labour sometimes requires contracts to be made with individual workers, such as skilled labourers or those who possess specific tools.

Phasing payments

804. Any remuneration, incentives and NFIs in the form of shelter materials should be distributed in phases. This reinforces the monitoring of the project activities agreed.



**T4.4.1.b Community labour**

Community labour

805. Community labour can be an effective way of engaging affected populations in transitional settlement and reconstruction programmes and projects. It is a useful method when the affected community is sufficiently well organised to participate effectively in decision making.

Improving social cohesion

806. Social cohesion following a disaster can be improved by using community labour by bringing together people from different communities to work together in transitional settlement

**T4**

Introduction

Country level

1

Coordination

Participation 1.1

Framework 1.2

Activities 1.3

Information 1.4

Strategy 1.5

2

Strategy

Participation 2.1

Planning 2.2

Template 2.3

Inputs 2.4

Assessment 2.5

Programme level

3

Assessment

Participation 3.1

Assessment 3.2

Tools 3.3

Teams 3.4

Implementation 3.5

4

Implementation

Participation 4.1

Options 4.2

Response 4.3

Methods 4.4

Coordination 4.5

Toolkits

Coordination T1

Strategy T2

Assessment T3

**Implementation T4**

or reconstruction programmes. Similarly, community labour can be an effective way of reactivating a local economy.

Responding to different needs.

807. When considering a community, account should be made for economic, social and cultural differences of its members and the diversity of needs and preferences within the group. Gender is also an important factor which should be addressed to ensure that the needs of both women and men are represented and met. Ideally, a well adapted programme will understand and address the needs of all groups within the community.

Flexible and accountable

808. When implemented successfully with appropriate support, community labour is a flexible and accountable way of ensuring high levels of participation from the affected population in transitional settlement or reconstruction.

Not always suitable

809. Community labour is not suitable in all instances and should be considered only when the following issues have been addressed:

- ▶ overheads may be high with community labour due to high level of agency involvement; and
- ▶ local contractors may try and use influence in the community decision making structure to benefit from contracts which they may not be best placed to complete.

Possible challenges



810. Participation of the entire community may also be limited if only community leaders are consulted, if the consultation process is subject to undue political influence or if participation is perceived as being laborious, ineffective and time consuming.

### T4.4.1.c Contracted labour

Considerations for disbursing cash

811. Contracted labour is usually used for large or complex projects following a disaster, for example rebuilding a large apartment block. Contracted labour should be considered when local building capacity is not available.

Ensure effective participation

812. Care should be taken to ensure effective participation of the affected population if contracted labour is selected. Methods for ensuring transparency and accountability to the affected population should be considered.

Use local materials and designs

813. Wherever possible, contractors should use local building materials and designs, along with protecting the cultural heritage of the affected population, for example by designing houses that are earthquake resistant but that resemble the design of pre-disaster housing in the community.

Ensure monitoring and evaluation

814. Monitoring and evaluation of contracted labour should be continuous and effective, in order to ensure quality of construction, implementation of agreed standards and codes as well as to avoid potential threats to projects such as corruption.



### T4.4.1.d Self help

815. Self help allows individual households or communities to implement projects themselves by providing them with appropriate support. It can be an effective way of ensuring high levels of participation, which means that the final shelter is well adapted to the occupier's needs, but must be continually monitored to ensure vulnerability is not rebuilt.

816. It is important to assign the appropriate ratio of trained personnel per house to provide training and to continually monitor construction quality and to ensure vulnerability is not rebuilt. Daily supervision at key stages (structural, sanitary, foundation construction) and regular construction meetings will minimize errors. Care should be taken to ensure that the level of support is also adequate for vulnerable groups such as the elderly and for affected populations in remote areas. The most vulnerable families may be better served by other labour options. IFRC, 2010.

817. When self help is selected as a method, implementing agencies should consider measures for preventing inflation in the local economy T3.2.a and ensuring that affected populations have access to good quality materials.

818. Support to affected populations implementing self help projects should be adapted to different needs, for example income, size of the family, and livelihoods. Families interested in the self help option should be fully informed on the roles and responsibilities of all parties involved prior to engaging in the process. Self help projects require a high level of commitment from the family in order to be successful. Families may be encouraged to organise into support groups which could provide a number of benefits including, information sharing, bulk purchasing or collective support of a vulnerable family. IFRC, 2010.

### T4.4.2 Selecting material

Navigation

819. This section presents a series of considerations for 'base' packages of materials which should be used as a starting point for discussing and agreeing which materials to distribute, specific to responses in different climates. The three climate types considered here are cold, warm and humid, and hot and dry, consistent with those defined in Humanitarian Charter and Minimum Standards in Disaster Response Sphere Project, forthcoming 2011.

Guidance

820. Different types of assistance are necessary depending on which transitional settlement or reconstruction option the affected population has chosen. A displaced family staying in a self settled camp will need different assistance to an owner occupier who is beginning reconstruction immediately after the

disaster. Different materials and packages should be decided upon in order to provide the affected population with the most appropriate assistance.

821. The considerations presented in this section do not describe complete packages that should be distributed without adaptation. An appropriate choice of NFIs to distribute will be different for each response. In addition to these climatic considerations, other factors particular to each response must be considered, including cultural norms, relevant hazards and specific security concerns.



### T4.4.2.a General items

Cold climate considerations

Table T4.13  
NFI considerations for cold climates

822. The following table offers examples of materials that may be considered for packages to assist the affected population in cold climates. The following materials are examples only; every response will require different material selection.

Cold climate considerations	
Emergency relief considerations Emergency Shelter Cluster, 2008c.	
<b>Floor mats</b>	A groundsheet under the insulating floor mats may be useful in order to ensure that the floor mat does not become wet and lose its insulating properties
<b>Mattress</b>	Mattresses should be used to prevent conductive heat loss from beneficiaries to the ground
<b>Blankets</b>	Blankets should be used to prevent conductive heat loss
<b>Clothes</b>	To prevent heat loss
<b>Stoves</b>	Since it is cold outside, people will generally cook indoors and the stove will also function as a space heater. This leads to indoor air pollution, which is a major cause of ARIs. Therefore, stoves should be distributed with flues to ventilate the shelter
<b>Cook sets</b>	People will need to heat large volumes of water to wash in and so maintain personal hygiene. A large vessel for boiling water should be distributed for this
<b>Lighting</b>	A higher priority in cold climates than others since more time is spent indoors and there are fewer hours of daylight

### NFI considerations for cold climates



Considerations for General items

- Protection from cold e.g. warm clothing
- Insulation from ground e.g. mattress
- Food preparation & hygiene e.g. cook sets and utensils
- Heating and cooking e.g. stove and fuel



Considerations for Shelter construction items

- Structures must take the snow load
- Shelter must also consider hot summers
- Protection from wind & snow e.g. sufficient structure from snow and cold
- Insulation from ground e.g. raised floor
- Allow for temperature control e.g. create sealed warm room
- Strengthening against future hazards e.g. earthquake resistant structure



Warm, humid climate considerations

Table T4.14  
NFI considerations for warm, humid climates

823. The following table and subsequent diagram offers examples of materials that may be considered for packages to assist the affected population in warm and humid climates. The following materials are examples only; every response will require different material selection.

Warm, humid climate considerations	
1. Emergency relief considerations Emergency Shelter Cluster, 2008c.	
<b>Floor mats</b>	Consider distributing waterproof groundsheets to protect floor mats
<b>Blankets</b>	Only light blankets will be needed
<b>Clothes</b>	Loose clothes which allow ventilation
2. Recovery considerations	
<b>Stoves</b>	Cooking inside is a major cause of ARIs. Stoves should be distributed with flues to ventilate the shelter.

### NFI considerations for warm, humid climates

**Considerations for General items**

- Protection from rain & sun e.g. loose fitting clothing
- Insulation from ground e.g. ground sheet and mats
- Food preparation and hygiene e.g. cook sets and utensils
- Facilitate outdoor activities e.g. covered cooking area

**Considerations for Shelter support items**

- Protection from rain & sun e.g. plastic sheeting
- Mitigate solar gain e.g. ventilation and light walls
- Mitigate water damage e.g. raised shelter and surface water drainage
- Strengthening against future hazards e.g. flood resistant structure

**Considerations for WASH items**

- Protection from vectors e.g. mosquito nets

Hot, dry climate considerations

824. The following table and subsequent diagram offers examples of materials that may be considered for packages to assist the affected population in hot and dry climates. The following materials are examples only; every response will require different material selection.

Table T4.15  
NFI considerations for hot, dry climates

Hot, dry climate considerations	
<b>1. Emergency relief considerations</b> 📖 Emergency Shelter Cluster, 2008c.	
<b>Floor mats</b>	Nights can be cold in hot, dry climates; floor mats reduce conductive heat loss from the shelter
<b>Blankets</b>	Consider distributing extra blankets
<b>Clothes</b>	As above
<b>Cook sets</b>	Including lids for cooking pots will improve the efficiency of cooking which may be important due to fuel scarcity
<b>Jerry cans or buckets</b>	Include a lid to stop entry of dust
<b>2. Recovery considerations</b>	
<b>Lighting</b>	Consider fuel scarcity when distributing lighting
<b>Shade netting</b>	For creating shaded outdoor areas
<b>Stoves</b>	Fuel efficiency is likely to be the most important consideration due to fuel scarcity. Consider distributing materials for shaded cooking areas
<b>Forms &amp; shovels</b>	For mud bricks
<b>Replacement roofing</b>	Consider thatch or CGI

### NFI considerations for hot, dry climates

**Considerations for General items**

- Protection from rain & sun e.g. loose fitting clothing
- Insulation from ground e.g. mat or mattress
- Food preparation and hygiene e.g. cook sets and utensils
- Facilitate outdoor activities e.g. covered cooking area

**Considerations for Shelter support items**

- Protection from rain & sun e.g. plastic sheeting
- Mitigate solar gain e.g. adequate ventilation, small openings and thick walls
- Mitigate water damage e.g. surface water drainage
- Strengthening against future hazards e.g. tornado resistant structure

**Considerations for WASH items**

- Protection from vectors e.g. mosquito nets



### T4.4.2.b

Cold climates considerations

Table T4.16  
NFI priorities for cold climates

### Shelter construction items

825. The following table and subsequent diagram offers examples of materials that may be considered for packages to assist the affected population in cold climates. The following materials are examples only; every response will require different material selection.

Cold climate considerations	
<b>1. Emergency relief considerations</b> 📖 Emergency Shelter Cluster, 2008c.	
<b>Plastic sheeting</b>	Translucent plastic can be used in place of windows for partially damaged buildings in urban areas
<b>Partition screens</b>	To minimise the internal volume of the shelter that is heated and to create a cooler vestibule space in the summer
<b>Poles</b>	Consider the structural demands of snow loads and winds
<b>Tents</b>	Where appropriate and supported by implementing agencies
<b>2. Recovery considerations</b>	
<b>Roof insulation</b>	Likely to be the first priority for insulating a shelter since it is usually the most effective.
<b>Wall insulation</b>	Less important than roof insulation.

**NFI priorities for cold climates**



Warm, humid climate considerations

826. The following table and subsequent diagram offers examples of materials that may be considered for packages to assist the affected population in warm and humid climates. The following materials are examples only; every response will require different material selection.

Table T4.17  
NFI priorities for warm, humid considerations

**Warm, humid considerations**

**1. Emergency relief considerations**

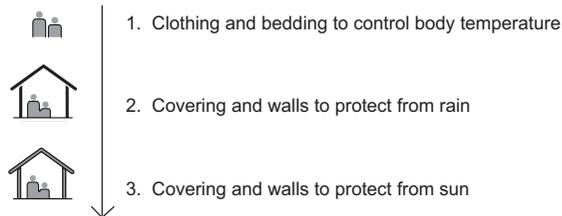
Emergency Shelter Cluster, 2008c.

<b>Plastic sheeting</b>	To protect from the elements and as a first step in transitional shelter
<b>Shade netting</b>	To protect from incident sunlight during the significant periods when it is not raining
<b>Structural poles</b>	Local availability of wood is likely to be higher than in other climates; consider bamboo or dressed timber
<b>Nails</b>	Do not distribute nails with bamboo; use wire instead
<b>Machete</b>	Also known as panga or cutlass
<b>Tents</b>	Used rarely in this climate. May be appropriate if natural resources for poles are scarce

**2. Recovery considerations**

<b>Upgrading roofing</b>	Consider distributing materials to create a ventilated air space in the ceiling, improving thermal performance.
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**NFI priorities for warm, humid climates**



Hot, dry climate considerations

Table T4.18  
NFI priorities for hot, dry climates

827. The following table and subsequent diagram offers examples of materials that may be considered for packages to assist the affected population in hot and dry climates. The following materials are examples only; every response will require different material selection.

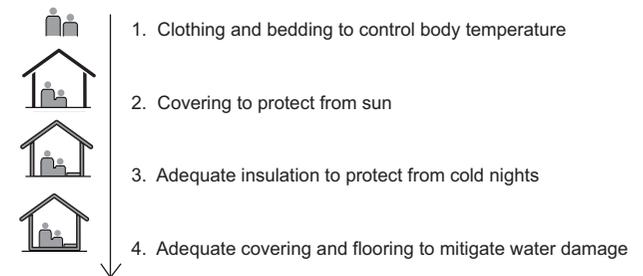
**Hot, dry considerations**

**1. Emergency relief considerations**

Emergency Shelter Cluster, 2008c.

<b>Plastic sheeting</b>	Distribute sufficient plastic sheeting to create a double roof that includes a ventilated roof space
<b>Shade netting</b>	For creating shaded outdoor areas
<b>Structural poles</b>	Local scarcity of structural timber may lead to the importation of poles
<b>Pesticides or treatments</b>	May be required to prevent attack by termites or white ants
<b>2. Recovery considerations</b>	
<b>Forms</b>	For mud bricks
<b>Shovels</b>	To dig for mud bricks
<b>Storage vessels</b>	For water to make mud bricks and concrete
<b>Mixing boards</b>	For mixing concrete
<b>Replacement roofing</b>	Consider thatch or CGI

**NFI priorities for hot, dry climates**



**T4.4.2.c**

WASH items

**WASH items**

828. The minimum standards in water, sanitation and hygiene promotion Sphere Project, forthcoming 2011, are a practical expression of the principles and rights embodied in the Humanitarian Charter. The Humanitarian Charter is concerned with the most basic requirements for sustaining the lives and

Introduction

Country level

1

Coordination

Participation 1.1

Framework 1.2

Activities 1.3

Information 1.4

Strategy 1.5

2

Strategy

Participation 2.1

Planning 2.2

Template 2.3

Inputs 2.4

Assessment 2.5

Programme level

3

Assessment

Participation 3.1

Assessment 3.2

Tools 3.3

Teams 3.4

Implementation 3.5

4

Implementation

Participation 4.1

Options 4.2

Response 4.3

Methods 4.4

Coordination 4.5

Toolkits

Coordination T1

Strategy T2

Assessment T3

Implementation T4

dignity of those affected by calamity or conflict, as reflected in the body of international human rights, humanitarian and refugee law. Cross reference »4.4.2.

Inter-sector cooperation

829. Water, sanitation and hygiene items should be integrated into any transitional settlement or reconstruction programme or project.

Sphere indicators

830. The key indicators for personal hygiene, as laid out in the Sphere guidelines, are as follows.

- ▶ Each person has access to 250g of bathing soap per month.
- ▶ Each person has access to 200g of laundry soap per month.
- ▶ Women and girls have sanitary materials for menstruation.
- ▶ Infants and children up to two years old have 12 washable nappies or diapers where these are typically used.
- ▶ Additional items essential for ensuring personal hygiene, dignity and well-being can be accessed 📖 Sphere Project, forthcoming 2011.

Selecting packages for material distribution

831. Packages with a consistent packed volume, weight and dimensions can simplify distribution and help with speed of supply. However, this should not be at the expense of meeting the needs of the beneficiaries. Package contents should be consistent across all organisations working in a given response 📖 Emergency Shelter Cluster, 2008c.

832. Where there is damage to shelters due to a disaster, there is often damage to water and sanitation systems. The post-disaster WASH situation has a wide-ranging impact from solid waste disposal to vector control. It is therefore important to develop a holistic solution to settlement which addresses the diverse needs of the affected population.

833. Considerations when designing a WASH programme include:

- ▶ the context and customs of the affected families
- ▶ availability of water and electricity
- ▶ the resources and planning required to operation and maintain WASH structures 📖 IFRC, 2010.

834. The following table offers some of the potential advantages and disadvantages of creating packages for distribution.

Table T4.19

Advantages and disadvantages of packages

Advantages and disadvantages of packages	
Advantages	Disadvantages
Fast deployment is possible since packages are often pre-positioned in global, regional or national warehouses	Increased packed volume of materials. As an example, blankets and clothes are best transported compressed into bales, rather than uncompressed in packages
Reduced administration, simplified reporting and reduced paperwork from distribution sites	Use of precious human resources to fabricate packages. Outsourcing package production may be beneficial
More cost effective, in general, than providing tents. Therefore, packages can be the best way to maximise the shelter assistance that can be provided within a given budget	Commonly, a "one size of package fits all" approach is adopted. This may not be the most appropriate way to deal with individual needs of affected people or specific needs of vulnerable individuals. It will also lead to some redundancy with not all the items being used by all of the recipients
Reuse of the materials and long-term use of the tools supplied in packages is possible as recipients move beyond the emergency phase	Delays can be introduced while waiting for specific items to be sourced and due to time spent re-packing items as a package
Help with programmes where there is limited staff capacity	
Easier to monitor the supply chain of individual components, especially high value items	
Flexibility, in some situations, to use packages in conjunction with existing materials such as timber or roof sheets or to repair damaged houses	
Simplified distribution at the point of delivery to the end user	

Introduction

Country level

1

Coordination

Participation 1.1

Framework 1.2

Activities 1.3

Information 1.4

Strategy 1.5

2

Strategy

Participation 2.1

Planning 2.2

Template 2.3

Inputs 2.4

Assessment 2.5

Programme level

3

Assessment

Participation 3.1

Assessment 3.2

Tools 3.3

Teams 3.4

Implementation 3.5

4

Implementation

Participation 4.1

Options 4.2

Response 4.3

Methods 4.4

Coordination 4.5

Toolkits

Coordination T1

Strategy T2

Assessment T3

Implementation T4

Example: DFID

835. The following table shows a standardised shelter package used by DFID, which has also developed standardised marking for packages and items. Part 1 of the kit provides materials for a covering. It is designed so that it can be split in half, meaning twice the number of beneficiaries can receive support. In this case, each half of the kit is sufficient to provide a modest level of shelter protection. Part 2 of the kit provides materials for a structure, in addition to the covering, where materials are not available locally. Parts 1 and 2 of the kit are selected and dispatched from the DFID warehouse in agreement with its implementing partner and/or the Emergency Shelter Cluster.

Table T4.20  
DFID shelter  
kit, parts 1  
and 2

DFID Shelter Kit, Parts 1 and 2	
Part 1 Specification	Quantity
<b>Tarpaulins</b> , woven plastic, width 4m length of 7m. Weight 170g/m <sup>2</sup> +/- 5%, plus 10% for the reinforcement bands under ISO 3801. Welded plastic eyelets, with inner diameter 10mm and outer diameter 30mm, at 1m spacing.	2
<b>Rope</b> , polypropylene, diameter: 6mm, 40m, in roll, colour: black	1
<b>Rope tensioners</b> , 6mm	8
<b>Knife</b> , wooden handle, folding, stainless steel blade sharpened for intended use	1
Part 2 Specification	Quantity
<b>Poles</b> , diam.: 48mm OD galvanized steel, min. wall thickness 1.5mm, length 2m, in two sections	2
<b>Pegs</b> , T-shaped, OD galvanized steel, length of 500mm	4
Part 1 Packing and shipping specification	
1 kit approximate weight (kg): 10.2 kits packed per carton	
Carton dimensions (mm): 570 x 470 x 210	
Volume per carton (m <sup>3</sup> ): 0.056 weight per carton (kg): 20	
Payloads per 40 DC container: 2000 kits (approx.)	

Bill of quantities

836. In addition to items in prepared packages, a bill of quantities should be developed for housing construction where the rebuild option had been selected. It is useful to develop a bill of quantities divided into stages of works with indications of materials and labour required for each house type and their pricing in the current regional market.  IFRC, 2010.

## T4.4.3 Selecting support methods

Navigation

837. The following section offers guidance on the 18 assistance methods, divided into the different decisions for implementing programme and project plans. This tool provides overviews of the use of: cash; vouchers; insurance, loans and guarantees; legal and administrative options; local information centres; market intervention; environmental and resource management; return and transit support items; and infrastructure and settlement planning support.

Guidance

838. Once labour and materials have been selected, further types of assistance should be included into programme and project plans. Assistance to the affected population may take various forms, for examples cash disbursements, vouchers or insurance, loans and guarantees. Decisions should be taken to ensure that the assistance offered to the affected population is appropriate, safe and legal.



### T4.4.3.a Cash

Cash

839. Cash disbursements may be made directly to beneficiaries within the affected population. To ensure that the cash is used for the purpose it was given, disbursement may be undertaken in phases, with meeting project goals as the condition of the next payment. To ensure that project goals are met, it is usual to combine cash disbursement with technical information, such as through building inspectors or damage assessors **»4.4.**

Risks associated with using cash as support method

840. While cash is useful as a flexible resource for beneficiaries, risks include:

- ▶ limited value in the social insecurity of the emergency phase, or when communities remain isolated from materials or services such as by floodwater;
- ▶ inflating prices, in circumstances where materials and services are scarce;
- ▶ beneficiaries being concerned with the social stigma of receiving charity;
- ▶ dependency and a suppression of coping strategies, although this is disputed in many circumstances; and
- ▶ assistance being stopped when project goals are not met as a result of unexpected diversion of cash to higher immediate priorities for those affected, such as critical medical costs.

841. Cash disbursements may be given to beneficiary families for work on housing or to beneficiary communities for communal services. Further detail on disbursing cash to each of these beneficiaries are given below.

Introduction

Country level

1

Coordination

Participation 1.1

Framework 1.2

Activities 1.3

Information 1.4

Strategy 1.5

2

Strategy

Participation 2.1

Planning 2.2

Template 2.3

Inputs 2.4

Assessment 2.5

Programme level

3

Assessment

Participation 3.1

Assessment 3.2

Tools 3.3

Teams 3.4

Implementation 3.5

4

Implementation

Participation 4.1

Options 4.2

Response 4.3

Methods 4.4

Coordination 4.5

Toolkits

Coordination T1

Strategy T2

Assessment T3

**Implementation T4**

842. Bearing in mind the budget constraints of the programme, financial support for shelter construction must be sufficient to construct a fully finished house to agreed specifications, bearing in mind the potential loss of income during the construction period and diversion of funds to meet daily needs.

843. Below is an example of a form developed by the IFRC for a House Construction Funds Request.  IFRC, 2010.

Table T4.21  
House  
construction  
funds request  
form

House construction funds request form	
Name:	ID no:
Address:	Request for payment no:
Community Development Council:	
Membership no:	(optional)
1. Having completed the work for stage.....according to the agreement signed by me, I request the release of the next payment.	
Signature:	Date:
2. Technical officer/ supervisor recommendation	
I have inspected the works completed as per attached progress report.	
Remarks:	
Signature:	Date:
Chairperson: name:	Signature and date:
Secretary: name:	Signature and date:
Recommended by engineer:	
Signature:	Date:
Recommended by community mobilizer (social offer):	
Signature:	Date:
Approved (district steering committee):	
Signature:	Date:
3. Project Management	
Application received (date):	
Authorized (date):	
Contract signed (date):	
National project manager:	

844. The table below draws parallels between technical and financial support activities for a user-driven housing reconstruction programme:

Table T4.22  
ODHR activities  
in relation to  
programme  
development,  
participatory  
process,  
technical  
assistance  
and financial  
assistance

Activities
1. Plan of action for reconstruction
2. Decide on implementation methods at the national level (owner-driven, contractor built, building yard etc.)
3. Preparing MoUs/agreements (national level)
<b>Programme development</b>
<b>Assessments and planning</b>
1. Coordinate with other reconstruction agencies
2. Determine institutional framework/ stakeholder analysis
3. Identify resources (human resources, equipment etc.)
4. Identify local partners
5. Define programme objectives, logical framework
6. Signing of MoUs (local government level)?
7. Determine programme procedures (monitoring, reporting, evaluations, administration, etc.)
8. Determine data management needs, develop database
<b>Implementation</b>
9. Signing of MoUs with beneficiaries
10. Monitor progress and performance
<b>Participatory process</b>
<b>Assessments and planning</b>
1. Identify communities or localities
2. Define selection criteria and selection process
3. Organise community information meeting
4. Identify and train volunteers
5. Conduct socio-economic survey, capacity assessment of families
6. Carry out eligibility checks and verifications
7. Cross-reference beneficiary list with other agencies
8. Finalise and publish selected beneficiaries
9. Appeals process
<b>Implementation</b>
10. Community mobilisation (VCA, DDR, PHAST, KAP etc.), family visits, group and mass meetings
11. Formation of primary groups
12. Beneficiary training programmes (technical, financial management)
13. Community action planning (CAP) defining strategy for livelihoods development and/ or community development

Continued on next page ►

Activities	▶ <i>Continued</i>
14. Continuing support to families during the construction period, especially vulnerable families	
15. Capacity building of community groups- preparation for community infrastructure works	
16. Linking health and education facilities	
17. Livelihood support: training, workshops, asset replacement, grants, liaising with others etc.	
<b>Technical assistance</b>	
<b>Assessments and planning</b>	
1. Determine reconstruction needs at the community level (house damage, infrastructure damage) AND assessments of relocation sites	
2. DRR, VCA/PASSA/PHAST	
3. Determine reconstruction technical requirements, regulations, approvals etc.	
4. Conduct technical surveys per household	
5. Preliminary design of houses (type plans), bill of quantities (BoQs)	
6. Develop technical information packages, safety procedures etc.	
7. Resolution of land issues	
<b>Implementation</b>	
8. Finalise house plans and BoQs with beneficiaries, acquire approvals as needed	
9. Review and approve beneficiaries' own designs, study design options and trade-offs	
10. Technical guidelines, training and workshops on housing construction	
11. Formation of construction groups, preparation of construction schedule	
12. Commencement of works and monitoring of works (payment, quality control, certification etc.)	
13. Completion of works and final certification	
14. Design of community infrastructure (with beneficiaries, local authorities and other stakeholders)	
15. Execution of infrastructure works (through contractors or CBOs)	
<b>Financial assistance</b>	
<b>Assessments and planning</b>	
1. Determine payment schemes (for repairs, retrofitting, reconstruction, top-up grants etc.)	
2. Identify grant distribution methods	
3. Determine financial procedures	
<b>Implementation</b>	
4. Open bank accounts	
5. Where necessary plan for procurement and distribution of materials	
6. Process payments	
7. Monitor market changes	

Table T4.23  
Community development funds application

845. Below are examples of forms developed by the IFRC for community development funds application and community contract progress payment certificate  IFRC, 2010.

Community development funds application(CDC/CBO)
To be used on community infrastructure or livelihoods projects
<b>1.General information</b>
Name of district/division:
Name of settlement/village:
Name of CDC/CBO:
Registration no:
Number of families within the settlement:
Description of the work(attached drawings):
Total cost of the work (attach detail estimate):
Number of families benefiting from this work:
Number of children benefiting from this work:
<b>2. Community development council's banking details</b>
1. Name of bank account:
2. Account no:
3. Name of bank:
4. Branch:
5. Address:
6. Contact telephone nos:

Introduction	
<b>Country level</b>	
1	
<b>Coordination</b>	
Participation 1.1	
Framework 1.2	
Activities 1.3	
Information 1.4	
Strategy 1.5	
<b>2</b>	
<b>Strategy</b>	
Participation 2.1	
Planning 2.2	
Template 2.3	
Inputs 2.4	
Assessment 2.5	
<b>Programme level</b>	
<b>3</b>	
<b>Assessment</b>	
Participation 3.1	
Assessment 3.2	
Tools 3.3	
Teams 3.4	
Implementation 3.5	
<b>4</b>	
<b>Implementation</b>	
Participation 4.1	
Options 4.2	
Response 4.3	
Methods 4.4	
Coordination 4.5	
<b>Toolkits</b>	
Coordination T1	
Strategy T2	
Assessment T3	
<b>Implementation T4</b>	





### T4.4.3.c Insurance, loans and guarantees

Insurance, loans and guarantees

Later, in the recovery phase, larger loans may be used to support housing reconstruction. Asset replacement loans may be offered to help households recover their livelihoods and businesses. The repayment of these loans generally starts after a fixed period and may be offered as a soft loan, with interest rates below the market level.

Guaranteeing loans as an assistance methods

851. Loan guarantees may be made as an assistance method, whereby an additional loan is offered to cover the down payment required by most lenders, which is often around 20 per cent.

Microfinance

852. Microfinance initiatives are able to lend smaller sums than traditional lenders and offer additional services that extend the value of loans to poorer income groups.

Possible disadvantages of using loans

853. Advantages of loans may include:

- ▶ commercial premises and farms may also be supported, whereas most other assistance is offered to housing and communal services and infrastructure only;
- ▶ financial independence for the beneficiary in implementing transitional reconstruction themselves, at their own pace and according to their own priorities;
- ▶ no stigma or problems associated with dependency; and
- ▶ the expansion of the credit sector, which may offer some support to economic development.

854. Disadvantages of loans may include:

- ▶ if the government regulation of lenders is ineffective, severe, unclear or unfair conditions on the loan may place the recipient under a financial burden that they are unable to support, or make the recipient unduly vulnerable to changes in circumstances such as market fluctuations; and
- ▶ the land or property of the recipient may be required by the lender as collateral for the loan, which will increase the vulnerability of the recipient.



### T4.4.3.d Advocacy, legal and administrative

Ensuring a legal basis to response

855. To ensure that transitional settlement and reconstruction operations which aim at protecting the affected population and their hosts are taking place in line with the existing and relevant legal framework.

Framework

856. The legal framework should support:

- ▶ the survival of the affected population;

- ▶ appropriate advocacy mechanisms;
- ▶ emergency coordination;
- ▶ safety of buildings through building codes;
- ▶ land rights and use through rental laws, property restitution, state requisitions, land registers and cadastres; and
- ▶ beneficiary selection, including definitions of vulnerability.

Filling gaps in national laws

857. The sovereignty of national governments must be recognised by humanitarian organisations. Gaps and/or inconsistencies identified in the national legal framework should be drawn to the attention of the public authorities and the latter should be encouraged to fill them in line with international law and locally and internationally accepted principles and standards.

Normative framework

858. International humanitarian and human rights law provides the normative framework and should ideally be translated into national legislation.

Supporting government

859. Government should be supported, where required, to fill the gaps identified in national law. For example, international humanitarian aid agencies can provide the expertise necessary to build a comprehensive land register and compile beneficiary lists. The entire response can be halted by unresolved or ignored legal issues.

Principles and standards

860. Principles and standards act as practical expressions of national law and international humanitarian and human rights law, including:

- ▶ Guiding Principles on Internal Displacement UN/ OCHA, 1998
- ▶ The Pinheiro Principles COHRE, 2005
- ▶ Handbook for Emergencies UNHCR, 2007
- ▶ Humanitarian Charter and Minimum Standards in Disaster Response Sphere Project, forthcoming 2011

Addressing land and property rights and land titling issues

861. In a post-disaster situation, a number of issues related to land and property rights and titling may emerge World Bank, 2010. These include:

- ▶ determining land and property rights that existed before the disaster and the entitlement to land or housing assistance after the disaster;
- ▶ addressing the situation of people with uncertain tenure rights in reconstruction policy making and reconstruction planning; and
- ▶ providing certainty of land title or expanded land rights



in reconstruction to those affected by the disaster, irrespective of their pre-disaster situation.

### T4.4.3.e Local information centres

Definition	862. Local information centres offer advice and guidance on what assistance is available and how it may be accessed, with opportunities and support for consultation and participation. Information may include support that clarifies rights to assistance, rights to land, access to and managing compensation offered, technical advice, return and relocation, and accountability and redress, including arbitration and legal aid. These centres should be established and integrated into capacity building programmes in order to offer a constant presence and service within affected communities over the duration of response.
When	863. There are very few responses where information centres should not be established, or existing similar services supported. Local information centres should be established as soon as possible after a disaster, as part of the consultation process in developing programmes and projects with affected communities. They should continue to operate throughout the response, supporting communities through the recovery process.
Constant presence	864. In addition to the outreach and public information campaigns that are critical to all assistance strategies, programmes and projects, local information centres may be established to offer a constant presence and service in affected communities over the duration of response.
Provide the affected population with guidance	865. Local information centres should offer advice and guidance on what assistance is on offer and how to access it, for example how to set up a bank account, apply for a loan, mechanisms for land tenure dispute arbitration and hazard-resistant construction techniques. A range of media for communication may be used such as information leaflets, radio broadcasts and diagrams to explain construction techniques.
Consultation and participation opportunities	866. In addition, centres should provide opportunities and support for consultation and participation, thereby offering a degree of accountability of assisting organisations to beneficiaries.
Other functions of information centres	867. Centres may also include other functions or services for the community, sometimes on a semi-commercial basis, such as for cash disbursements, money transfers or a central point for engaging construction labour.



### T4.4.3.f Market intervention

Definition	868. Market intervention following a disaster informs planning of transitional settlement and reconstruction programmes and projects by answering the following questions. <ul style="list-style-type: none"> <li>▶ How are affected populations using market systems after the disaster and how is this different to before?</li> <li>▶ What critical market systems, such as bricks or thatch, have been impacted by the disaster, and to what extent?</li> <li>▶ What would be the impact on these market systems if essential services were brought in from outside the market area (i.e. in-kind assistance)?</li> <li>▶ How might key market-systems be quickly assisted to recover or function better so they contribute more effectively to meeting affected population's emergency needs?</li> </ul> <p>869. More information on the emergency market mapping and analysis tool (EMMA) can be found in Toolkit 3 »3.2.a.</p>
Market mapping	870. Visual mapping tools are a valuable way of understanding where the main interruptions and disruptions of a market system have occurred following a disaster »3.2.a.



### T4.4.3.g Environment and resource management

Return and transit support items overview	871. Environmental assessments are used to identify and evaluate the real and potential environmental impacts of disasters and the post-disaster response operation. Environmental assessments are introduced in Toolkit 3 »T3.2.c.
	872. During reconstruction there are two principal environmental concerns: restoring damage to the environment from a disaster and minimizing the environmental impact of transitional settlement and reconstruction.



### T4.4.3.h Return and transit support items

873. Return and transit support items may be distributed to support the affected population who chose to return to their place of origin or relocate to a new location. After a disaster, the affected population may become displaced and lose property important to their livelihoods. The packages distributed will support their return or relocation as well as their own recovery process and may include a wide range of services such as providing transport, transport fares or vouchers, or items such as tools, materials and seed stocks.

**Timeframe for distribution** 874. Return and transit support packages may be distributed only when the locations people wish to return or relocate to are safe and appropriate. All effort should be made to secure housing and land agreements prior to the affected populations return or relocation but this may not always be possible. Distributions may only be made as part of a complete plan to support the affected population who chose to return and relocate and not as a way to move informal settlements.

**Selecting packages** 875. Packages should be selected with the participation of individual families and vulnerable people in order to support their return. The affected population will often need materials which are not necessarily the responsibility of the shelter sector to provide, such as WASH materials. Items should be delivered as a single package following coordination with other sectors. Monitoring should be undertaken to check that the affected population are using the packages to return or relocate, and when this is not the case an assessment should be undertaken to identify why the site or the contents of the package are not meeting their needs.

**Ensure the same value as aid given in-situ** 876. This support method can ease pressure on stressed services being provided by aid organisations and the government, but will only promote return if they have the same value as aid given in-situ.

**Combine with infrastructure projects** 877. Return and transit support packages can be combined effectively with infrastructural quick impact projects, for example visiting sites to return or relocate to with a community leader to decide what infrastructure is needed before they can return or relocate.



### T4.4.3.i Infrastructure and settlement planning support

**Coordination by different sectors** 878. Infrastructure and settlement planning support may be divided into two categories, those that are coordinated primarily by the shelter sector and those that are primarily coordinated by other sectors.

- Shelter sector**
- ▶ Building waste management (the reuse, recycling and disposal of disaster debris after a disaster);
  - ▶ energy and fuel supplies (the generation and distribution of electricity and other fuel choices);
  - ▶ disaster risk reduction (for example building back safer »2.4.2; T3.7, clearing or installing of storm drains, avalanche barriers, fire breaks etc);
  - ▶ community based organisations (implementation, maintenance and advocacy groups for the communities);
  - ▶ community facilities (shared communal spaces for leisure, meetings and religious needs); and

- ▶ transportation systems (the repair or construction of internal and main roads, bridges, ports and affordable public transport).

- Other sectors**
- ▶ WASH (the supply, treatment and distribution of water, sanitation, treatment of grey and black water, solid waste management);
  - ▶ telecommunications (the provision of);
  - ▶ education – (the construction of schools, nurseries and other learning facilities); and
  - ▶ health – (the construction of health clinics and medical facilities).

**Integrate with programme and project planning** 879. Infrastructure and settlement planning support will only be effective if it is integrated into programme and project plans and inter-sector plans. The planning process can be supported with the identification of:

- ▶ whether the options selected by the affected population are safe;
- ▶ where people are, how they are living and what are their livelihoods;
- ▶ existing risk plans and city plans, formal or informal (it is easier to use exiting information and agreements);
- ▶ land registries/cadastres to find out who owns what land; and
- ▶ different zones based on the affected populations livelihoods and different types of capital.

**Infrastructure and settlement planning support for displaced and non displaced populations** 880. Infrastructure and settlement planning support can play an important role in supporting the six options for displaced and six options for non-displaced populations. When communities are displaced, upgrading infrastructure can relieve pressure on the existing services and compensate the host population or landowners through improvement and maintenance of communal infrastructure. This is especially useful for self settled sites which will have received no planning support and will need adjustments in density, water supplies, sanitation, etc. For non-displaced populations, infrastructure support reduces vulnerability to immediate threats, provides improved access to their livelihoods and repairs essential services.

**Planning and budgeting for infrastructure and settlement planning support** 881. This support method requires thorough planning and budgeting, for example in rural areas constructing or maintaining all-weather roads is often the highest single cost in supporting settlements that authorities and agencies often fail to budget for. Incomplete projects won't benefit the affected population, will fall into disrepair and will have to be completely replaced at a later date.

Identifying communities to take responsibility

882. The majority of support methods focus on the priorities of families, while infrastructure and planning support always focuses on the need of the community as a whole. It has a greater success when a community can be identified to take responsibility for the services and are employed to construct or implement them.

#### T4.4.4 Quality assurance methods

883. The following section offers methods for ensuring that quality assurance is guaranteed in transitional settlement and reconstruction programmes and projects through capacity building and providing technical assistance, supervision and training.

884. Transitional settlement and reconstruction programmes and projects can only be implemented successfully if adequate quality assurance is provided. This may take the form of capacity building by training local carpenters or providing external technical expertise by engaging the private sector.



#### T4.4.4.a Capacity building

885. Capacity building should comprise of medium-term support packages that integrate training and the training of trainers with participatory workshops and additional capacity. Clear capacity objectives and indicators should be agreed that define and measure impact upon transitional settlement and reconstruction, rather than upon the number of persons trained.

886. Capacity building for all levels and groups within the affected community may take the form of:

- ▶ training courses on subjects such as hazard-resistant construction techniques and financial and project management;
- ▶ consultation and information-sharing workshops, such as bringing together representatives and expertise from different communities; and
- ▶ additional capacity to support priority community activities or contribute to training and workshops, such as volunteer teams or bringing pneumatic drills from unaffected neighbouring towns.

887. Training and workshops should not be considered as isolated events to impart knowledge, but rather as continuous processes to identify and tackle common challenges and to enable collaborations among participating stakeholders. In larger responses, the programme coordinator should take care to facilitate training and workshops in the affected areas



#### T4.4.4.b Technical expertise

Technical expertise

to better understand local concerns and to better gauge the appropriateness of coordination services and strategies.

888. Technical expertise from humanitarian organisations or, more usually, nationally from the private sector may be made available to support all assistance methods for all transitional settlement and reconstruction options. Expertise may take the form of:

- ▶ damage assessors, for example to determine whether or not a structure must be demolished and, if not, the level and form of repairs required;
- ▶ risk assessors, able to map hazards and advise on mitigation and protection measures;
- ▶ technical inspectors, for example to sign off for the phased delivery of shelter NFIs or cash disbursement;
- ▶ professionals such as surveyors, engineers, planners and architects, able to work, advise and train upon building cadastres, hazard-resistant construction, settlement layout, building codes and project management; and
- ▶ master craftspeople, such as masons and roofers, able to work, advise and train supporting self-help projects. IFRC, 2010.

### T4.5 Coordination

### Toolkit for coordinating implementation

889. This section of the implementation toolkit contains resources which may be used when undertaking tasks outlined in Chapter 4 »4.5.

890. Coordinated implementation is necessary to ensure the ongoing participation of all stakeholders, efficiency of programme and project management and effectiveness of the response. Coordinated implementation requires that these objectives are integrated at the strategic planning level.

#### T4.5.1 Approaches to handover and exit strategies

891. This section offers tools for ensuring successful handover and exit strategies throughout the response.

892. Handovers happen throughout a programme whereby certain amounts of responsibility is passed to partners or local authorities, who then become responsible for running and maintaining that area of the programme.

**Exit strategies for projects** 893. An exit strategy is the formal plan outlined where the projects have come to an end and the responsible organisation ceases to continue operations. Similarly, once durable solutions have been achieved for displaced and non-displaced populations in transitional settlement and reconstruction programmes, there remains the need for exit strategies for the programmes themselves.

**Indications for handovers and exit strategies** 894. Handovers and exit strategies are generally developed around four approaches, these are outlined in the following table and have been compiled by the NGO 'Search for Common Ground'. Although the focus is primarily on conflict situations there is still relevant to the humanitarian sector.

## T4.5.2 Ensuring a responsible exit

**Navigation** 895. This section provides a checklist for ensuring a responsible exit when handing over programme and project responsibilities.

**Guidance** 896. This tool can help ensure that your agency's departure at the end of the project is smooth and transparent. The people who have been involved in your project, including beneficiaries, staff, and local partner agencies and authorities, should know what is happening and why.

### Checklist T4.2 Planing a responsible exit

897. The following five steps advise on possible actions to support a responsible exit. Not all of the actions may be necessary, but the people and organisations who have been involved in the project should know the circumstances and decision making process surrounding the exit, including beneficiaries, staff, and local partner agencies and authorities. Further information may be found in 'Impact measurement and accountability in emergencies: the Good Enough Guide' Oxfam, 2007.

#### Checklist for : Planning a responsible exit

1. Planning for exit should begin from the inception of the project
2. Ensure that assessment, monitoring and evaluation are properly completed because this is how it is determined that the humanitarian objectives in the strategy and the objectives of the specific programme have been met. To be truly accurate this process must include the beneficiaries and the wider community that has been indirectly affected
3. Outlined below are three ways to complete a handover
  - ▶ If the humanitarian objectives of the programme and strategy have been met, handover should be to the local government.
  - ▶ If the humanitarian objectives of the programme and strategy have not been met, then handover must be to the government or another humanitarian agency to ensure that the objectives are met.
  - ▶ If objectives of the programme have been met but other, associated assistance has not been completed, the government and other agencies must be made aware of the contribution of the programme and the other objectives that need to be completed.
4. Notify in good time the community, humanitarian coordinator and host government that that the programme is closing. Inform them the practicalities surrounding the closure of the programme including whether the organisation will still be in the country or region after the programme has finished
5. Ensure that knowledge gained is accessible locally, nationally and internationally, so that it can be used by the population, the government and humanitarian agencies as part of preparedness for future response. Lessons learned may be useful for the institution that conducted the programme but also for other governments or humanitarian organisations worldwide

# T4

Introduction

Country level

1

Coordination

Participation 1.1

Framework 1.2

Activities 1.3

Information 1.4

Strategy 1.5

2

Strategy

Participation 2.1

Planning 2.2

Template 2.3

Inputs 2.4

Assessment 2.5

Programme level

3

Assessment

Participation 3.1

Assessment 3.2

Tools 3.3

Teams 3.4

Implementation 3.5

4

Implementation

Participation 4.1

Options 4.2

Response 4.3

Methods 4.4

Coordination 4.5

Toolkits

Coordination T1

Strategy T2

Assessment T3

Implementation T4

# Glossary of terms

Terms	Definition
<b>Accountability</b>	The state of being accountable; liability to be called on to render an account.
<b>Aftershocks</b>	Earthquakes that follow the largest shock of an earthquake sequence. They are smaller than the main shock and occur within a distance of one to two rupture lengths from the main shock. Aftershocks can continue over a period of weeks, months or years. In general, the larger the main shock, the larger and more numerous the aftershocks, and the longer they will continue (USGS, <a href="http://earthquake.usgs.gov">http://earthquake.usgs.gov</a> ).
 <b>Apartment owner-occupier</b>	For the purposes of these guidelines, this term describes the transitional reconstruction option where the occupant owns their apartment, a self-contained housing unit that occupies only part of a building, formally or informally.
 <b>Apartment tenant</b>	For the purposes of these guidelines, this term describes the transitional reconstruction option where the apartment is rented by the occupant, formally or informally.
 <b>Assessment</b>	The survey of a real or potential disaster to estimate the actual or expected damages and to make recommendations for prevention, preparedness, response, and reconstruction.
<b>Assistance methods</b>	For the purposes of these guidelines, this term describes the variety of material or service contributions that are combined and offered to beneficiaries in implementing a transitional settlement or reconstruction project.
<b>Baseline data</b>	The initial information collected during an assessment, including facts, numbers, and descriptions that permit comparison with the situation that existed before and measurement of the impact of the project implemented.
<b>Basic needs</b>	The items that people need to survive. This can include safe access to essential goods and services such as food, water shelter, clothing, health care, sanitation, and education.
<b>Biological disaster:</b>	Disaster event caused by exposure of living organisms to germs and toxic substances.
<b>Build Back Better</b>	Approach to reconstruction that aims to reduce vulnerability and improve living conditions, while also promoting a more effective reconstruction process.

<b>Building code</b>	A set of ordinances or regulations and associated standards intended to control aspects of the design, construction, materials, alteration, and occupancy of structures necessary to ensure human safety and welfare, including resistance to collapse, damage, and fire.
<b>Building inspection</b>	Inspections necessary to establish whether a damaged structure poses an immediate threat to life, public health, or safety, usually accompanied by a process of tagging.
<b>Capacity development or capacity building</b>	The process by which the capacities of people, organisations, and society are strengthened to achieve social and economic goals, through improvement of knowledge, skills, systems, and institutions.
<b>Capacity</b>	The combination of all physical, institutional, social, and/or economic strengths, attributes, and resources available within a community, society, or organisation that can be used to achieve agreed-upon goals. Also includes collective attributes such as leadership and management.
<b>Cash approach (CA)</b>	Unconditional financial assistance for housing reconstruction without technical support.
<b>Cash transfers</b>	Direct payments or vouchers to provide resources to affected populations to carry out housing reconstruction, in exchange for work on infrastructure projects, or for other purposes.
<b>Civil society organization (CSO)</b>	National and local nongovernmental and not-for-profit organisations that express the interests and values of their members and/or others based on ethical, cultural, political, scientific, religious, or philanthropic considerations.
<b>Climate change</b>	Meteorological changes attributed directly or indirectly to human activity that alter the composition of the global atmosphere or to natural climate variability.
<b>Collective centres</b> 	For the purposes of these guidelines, this term describes a transitional settlement option, consistent with the following definition. Collective centres, also referred to as mass shelters, are usually transit facilities located in pre-existing structures, such as community centres, town halls, gymnasiums, hotels, warehouses, disused factories and unfinished buildings. They are often used when displacement occurs inside a city, or when there are significant flows of displaced people into a city or town (Corsellis and Vitale, 2005).
<b>Community</b>	A group of households that identify themselves in some way as having a common interest, bond, values, resources, or need as well as physical space. A social group of any size whose members reside in a specific locality, share government, and often have a common cultural and historical heritage.

<b>Community participation</b>	A process whereby stakeholders can influence development by contributing to project design, influencing public choices, and holding public institutions accountable for the goods and services they provide; the engagement of affected populations in the project cycle (assessment, design, implementation, monitoring, and evaluation).
<b>Community-based organisations (CBOs)</b>	Organisations whose principal concerns are the welfare and development of a particular community. CBOs may not represent all the households in a particular area.
<b>Community-driven reconstruction (CDR)</b>	Approach to reconstruction that entails varying degrees of organized community involvement in the project cycle, generally complemented by the assistance of the agency that provides construction materials, financial assistance, and/or training.
<b>Complaint mechanisms</b>	Mechanisms that allow corruption to be reported by social actors, including public employees, ideally in a confidential manner.
<b>Complex disasters</b>	Multidimensional events of long duration often spawned by human-generated events, such as war and civil strife.
<b>Complex emergency</b>	A humanitarian crisis in a country, region or society where there is total or considerable breakdown of authority resulting from internal or external conflict and which requires an international response that goes beyond the mandate or capacity of any single agency and/or the ongoing United Nations country programme (IASC, from <a href="http://www.unisdr.org">www.unisdr.org</a> ).
<b>Construction guidelines or standards</b>	A document prepared by recognised standard-setting organisation that prescribes methods and materials for the safe use and consistent performance of specific technologies; sometimes developed by consensus of users.
<b>Contour planning</b>	An approach to the layout and development of settlements, including the planned and self-settled camps of refugees and IDPs, that follows or reflects the topography of the site (Corsellis and Vitale, forthcoming 2008).
<b>Corruption</b>	The misuse of an entrusted position for private gain by employing bribery, extortion, fraud, deception, collusion, and money-laundering, including gains accruing to a person's family members, political party, or institutions in which the person has an interest.
<b>Critical services</b>	Services required to be maintained in the event of a disaster include power, water, sewer and wastewater, communications, education, emergency medical care, and fire protection/emergency services.

<b>Damage assessment</b>	The process utilised to determine the magnitude of damage caused by a disaster or emergency event.
<b>Detailed assessment</b>	<p>Destruction of damaged structures to:</p> <ul style="list-style-type: none"> <li>▶ eliminate an immediate threat to lives, public health, safety, and improved public or private property or</li> <li>▶ ensure the economic recovery of the affected community to the benefit of the overall community.</li> </ul>
<b>Disaster</b>	Any natural or man-made event causing much suffering, distress or loss, e.g. earthquake, drought, flood, fire, hurricane, tornado, tidal wave, explosion, epidemic (UN-Habitat, 1992).
<b>Disaster contingency planning</b>	A process that results in an organised, planned and coordinated course of action to be followed in case of an accident or disaster that threatens society or the environment. Such plans clearly identify the institutional and organisational arrangements that come into play in the event of a disaster that disrupts the usual coping mechanisms of communities and societies (UN/ISDR, forthcoming 2008).
<b>Disaster debris</b>	Waste items such as trees, woody debris, sand, mud, silt, gravel, building components and contents, wreckage, vehicles, and personal property that remain after a disaster.
<b>Disaster response</b>	Process to address the immediate conditions that threaten the lives, economy, and welfare of a community.
<b>Disaster risk</b>	The magnitude of potential disaster losses (in lives, health status, livelihoods, assets and services) in a particular community or group over some time period arising from its exposure to possible hazard events and its vulnerabilities to these hazards.
<b>Disaster risk management</b>	The systematic process of using administrative decisions, organisation, operational skills and capacities to apply strategies, policies and coping capacities of the society and communities to lessen the impacts of natural hazards and related environmental and technological disasters. This comprises all forms of activities, including structural and non-structural measures to avoid (prevention) or to limit (mitigation and preparedness) adverse effects of hazards (UN/ISDR, forthcoming 2008).

<b>Disaster risk reduction (disaster reduction)</b>	<p>A disaster risk reduction framework is composed of the following elements, as described by the International Strategy for Disaster Reduction and the Hyogo Framework for Action:</p> <ul style="list-style-type: none"> <li>▶ policies, institutions and national plans: to ensure that disaster risk reduction is a national and a local priority with a strong institutional basis for implementation;</li> <li>▶ risk identification: to assess, map and monitor disaster risks (hazard and vulnerability/capacity analysis) and enhance early warning, including forecasting, dissemination of warnings, preparedness measures and reaction capacities;</li> <li>▶ risk awareness and knowledge development through education, training, research and information sharing to build a culture of resilience at all levels;</li> <li>▶ reduce the underlying risk factors and apply disaster reduction measures in different related domains, such as environmental management, land-use and urban planning, protection of critical facilities, application of science and technology, various forms of partnership and networking, and the use of financial instruments;</li> <li>▶ and strengthen disaster preparedness to reduce the impact of disaster and ensure effective response at all levels. (UN/ISDR, forthcoming 2008.)</li> </ul>
<b>Dispersed settlement</b>	For the purposes of these guidelines, this term describes the three transitional settlement options of host families, rural self-settlement and urban self-settlement that are available to populations displaced by conflicts or natural disasters. Scattered, isolated groups of houses often in rural areas (UN-Habitat, 1992).
<b>Displaced populations</b>	Persons who, for different reasons or circumstances, have been compelled to leave their homes. They may or may not reside in their country of origin, but are not legally regarded as refugees (UNDHA, 1992).
<b>Durable solutions</b>	Although not defined formally, for the purpose of these guidelines this term describes the point at which permanent settlement and shelter for both displaced and non-displaced populations have been rebuilt and established, sufficient for communities to support their own livelihoods.

<b>Early recovery</b>	A process which seeks to catalyse sustainable development opportunities by generating self-sustaining processes for post-crisis recovery. It encompasses livelihoods, shelter, governance, environment, and social dimensions, including the reintegration of displaced populations, and addresses underlying risks that contributed to the crisis.
<b>Early-warning system</b>	The set of capacities needed to provide timely and meaningful information to enable individuals, communities, and organisations threatened by hazards to prepare and to act appropriately and in sufficient time to reduce loss of life, injury, livelihoods, damage to property and damage to the environment.
 <b>Earthquake</b>	A sudden motion or trembling caused by a release of strain accumulated within or along the edge of earth's tectonic plates.
<b>Economic security</b>	Conditions that allow a household or community to meet its essential economic needs in a sustainable way without resorting to strategies which are damaging to livelihoods, security, and dignity.
<b>Emergency services</b>	The set of specialised agencies that have responsibility to serve and protect people and property in emergency situations.
<b>Emergency phase</b>	Although not defined formally, for the purposes of these guidelines this term describes the period immediately following a disaster during which those members of the affected population who have not been displaced will be living in homes which have damage to varying degrees and who have varying requirements to ensure their survival and wellbeing.
<b>Empowerment</b>	Authority given to an institution or organisation (or individual) to determine policy and make decisions. Inclusion of people who are ordinarily outside of the decision making process.
<b>Environmental degradation</b>	The rules and regulations, both national and local, which provide a supportive environment for a specific activity, such as community participation or DRM, to take place.
<b>Environmental impact assessment</b>	The process by which the environmental consequences of a proposed project or program are evaluated, undertaken as an integral part of planning and decision-making processes with a view to limiting or reducing the adverse impacts of the project or program.
<b>Equity</b>	The quality of being impartial and "fair" in the distribution of development benefits and costs and the provision of access to opportunities for all.

<b>Erosion</b>	The washing away of soil and rocks along streams and hillsides on public and private property. Erosion may cause a threat to health, safety, and the environment.
<b>Exposure</b>	The experience of coming into contact with an environmental condition or social influence that has a harmful or beneficial effect.
<b>Family plot</b>	A small piece of land allocated to an individual family for their own management (Corsellis and Vitale, 2005).
 <b>Flood</b>	A general and temporary condition of partial or complete inundation of normally dry land areas from: <ul style="list-style-type: none"> <li>▶ the overflow of inland or tidal waters,</li> <li>▶ the unusual and rapid accumulation or runoff of surface waters from any source, or</li> <li>▶ mudflows or the sudden collapse of shoreline land.</li> </ul>
<b>Floodplain</b>	A small piece of land allocated to an individual family for their own management (Corsellis and Vitale, 2005).
<b>Geographic Information System (GIS)</b>	A computer system for the input, editing, storage, retrieval, analysis, synthesis, and output of location-based (also called geographic or geo-referenced) information. GIS may refer to hardware and software, include data.
<b>Geological hazard</b>	Geological process or phenomenon that may cause loss of life, injury, and other health impacts, property damage, loss of livelihoods and services, social and economic disruption, or environmental degradation.,
<b>Geo-referenced (or geo-spatial) information</b>	Data, photos, or videos referenced geographically (for or by GIS) relating to earth's physical features and attributes such as latitude, longitude, or locality/jurisdiction. Can be used to assess damage, map hazards, identify natural and materials resources and critical infrastructure at risk, plan restoration, monitor progress, and evaluate results on maps using a GIS.
<b>Grouped settlement</b>	For the purposes of these guidelines, this term describes the three transitional settlement options of collectives centres, self-settled camps and planned camps that are available to populations displaced by conflicts or natural disasters.

<b>Hazard</b>	<p>A potentially damaging physical event, phenomenon or human activity that may cause the loss of life or injury, property damage, social and economic disruption or environmental degradation.</p> <p>Hazards can include latent conditions that may represent future threats and can have different origins: natural (geological, hydro meteorological and biological) or induced by human processes (environmental degradation and technological hazards). Hazards can be single, sequential or combined in their origin and effects. Each hazard is characterised by its location, intensity, frequency and probability (UN/ISDR, forthcoming 2008).</p>
<b>Hazard mapping</b>	The process of establishing geographically where and to what extent particular hazards are likely to pose a threat to people, property, or the environment.
<b>Hazardous materials (HAZMAT)</b>	Any substance or material that, when involved in an accident and released in sufficient quantities, poses a risk to people's health, safety, and/or property. Includes explosives, radioactive materials, flammable liquids or solids, combustible liquids or solids, poisons, oxidises, toxins, and corrosive materials.
<b>Host families</b> 	For the purposes of these guidelines, this term describes a transitional settlement option, consistent with the following definition, 'sheltering the displaced population within the households of local families, or on land or in properties owned by them' (Corsellis and Vitale, 2005).
<b>House owner occupier</b> 	For the purposes of these guidelines, this term describes the transitional reconstruction option where the occupier owns their house and land or is in part-ownership, such as when repaying a mortgage or loan. Ownership may be formal or informal.
<b>House tenant</b> 	For the purposes of these guidelines, this term describes the transitional reconstruction option where the house and land are rented by the occupant formally or informally.
<b>Household</b>	The immediate physical environment, both within and outside of buildings, in which families and households live and which serves as shelter.
<b>Housing</b>	Lodging or shelter for human habitation. The immediate physical environment, both within and outside of buildings, in which families and households live and which serves as shelter. Also, a government project to provide shelter to low-income groups (UN-Habitat, 1992).
<b>Housing standard</b>	Level of quality of a dwelling generally linked with the social level of residents (including size, location, architecture, cost, workmanship quality).

<b>Influx</b>	Although not defined formally, for the purpose of these guidelines this term describes the number of displaced people arriving at a certain point at a given time.
<b>Informal owner occupier</b>	For the purposes of these guidelines, this term describes the transitional reconstruction option where the occupant owns their house, but has no formal land ownership.
<b>Indicator</b> 	Quantitative or qualitative factor or variable that provides a simple and reliable means to measure achievement or to reflect the changes connected to an operation.
<b>Inflation</b>	An increase in the supply of currency or credit relative to the availability of goods and services, resulting in higher prices and a decreased in the purchasing power of money.
<b>Infrastructure</b>	Systems and networks by which public services are delivered, including: water supply and sanitation; energy and other utility networks; and transportation networks for all modes of travel, including roads and other access lines.
<b>Internally displaced persons (IDPs)</b>	Persons displaced from their habitual place of residence by disaster, fear of persecution or fear of physical harm, but remaining within the territorial limits of their country of origin. Like refugees, IDPs have no internationally defined legal status (DFID, 2003).
<b>Land tenant</b> 	For the purposes of these guidelines, this term describes the transitional reconstruction option where the house is owned, but the land is rented.
<b>Land use planning</b>	<p>The process undertaken by public authorities to identify, evaluate, and decide on different options for the use of land areas, including consideration of:</p> <ul style="list-style-type: none"> <li>▶ long-term economic, social and environmental objectives;</li> <li>▶ the implications for different communities and interests groups; and</li> <li>▶ the subsequent formulation and promulgation of plans that describe the permitted or acceptable uses. (See 'physical planning'.)</li> </ul>
<b>Landslide</b>	Downwards movement of a slope and materials under the force of gravity.
<b>Lifelines</b>	Public facilities and systems that provide basic life support services such as water, energy, sanitation, communications, and transportation.
<b>Liquefaction</b>	Process by which water-saturated sediment temporarily loses strength and acts as a fluid. This effect can be caused by earthquake shaking (USGS, <a href="http://earthquake.usgs.gov">http://earthquake.usgs.gov</a> ).

<b>Livelihoods</b>	The ways in which people manage their lives in order to access the resources that they need, individually and communally, such as food, water, clothing and shelter (Corsellis and Vitale, 2005).
<b>Local infrastructure</b>	The facilities of a local or host population to meet their communal needs, such as schools, hospitals, water-distribution systems, electricity grids, market services, roads and bridges (Corsellis and Vitale, 2005).
<b>Logical framework (logframe)</b>	A conceptual tool used to define project, program, or policy objectives, expected causal links in the results chain, including inputs, processes, outputs, outcomes, and impact. It identifies potential risks as well as performance indicators at each stage in the chain.
<b>Loss assessment</b>	Analyses the changes in economic flows that occur after a disaster and over time, valued at current prices.
<b>Management information systems</b>	ITC-base systems used to analyse related past, present, and predictive information in conjunction with operational methods and processes to help post-disaster initiatives run efficiently.
<b>Market analysis</b>	Research undertaken to understand how a market functions, how a crisis has affected it, and the need for and most appropriate form of support. Research can include information on supply and demand of goods and services, price changes, and income/salary data.
<b>Mass shelter</b>	See 'collective centres'.
<b>Metadata</b>	Information about data, such as content, source, vintage, accuracy, condition, projection, responsible party, contact phone number, method of collection, and other characteristics or descriptions.
<b>Meteorological disaster</b>	Disaster event caused by short-lived/small to meso-scale atmospheric processes (in the spectrum for minutes to days)
<b>Microfinance</b>	A broad range of small-scale financial services (such as deposits, loans, payment services, money transfers, and insurance) to poor and low-income households and their micro enterprises.
<b>Mitigation</b>	Any structural measures (such as physical flood defences and reinforcement of infrastructures) or non-structural measures (such policies and regulations in terms of building codes, land use, community knowledge planning and behaviour) undertaken to limit the adverse impact of natural or other hazards, environmental degradation, or potential disaster losses (UN/ISDR, forthcoming 2008).
<b>Morphology</b>	The size, form and structure of an object (such as a house).

<b>National platform for disaster risk reduction</b>	A generic term for national mechanism for coordination and policy guidance on disaster risk reduction that are multifactorial and inter-disciplinary in nature, with public, private and civil society participation involving all concerned entities within a country.
<b>Natural hazards</b>	Natural processes or phenomena occurring in the biosphere that may constitute a damaging event.  Natural hazards can be classified by origin namely: geological, hydrometeorological or biological. Hazardous events can vary in magnitude or intensity, frequency, duration, area of extent, speed of onset, spatial dispersion and temporal spacing (UN/ISDR, forthcoming 2008).
<b>Needs assessment</b>	A process for estimating (usually based on a damage assessment) the financial, technical, and human resources needed to implement the agreed-upon programs of recovery, reconstruction, and risk management. It evaluates and 'nets out' resources available to respond to disaster.
<b>Non-governmental organisation (NGO)</b>	A nonprofit, voluntary, service-oriented, and/or development-oriented organisation, operated either for the benefit of its members or of other members, such as an agency. Also, civil society organisation (CSO).
<b>Non-food item</b>	For the purposes of these guidelines, this term describes the basic goods and supplies required to enable families to meet personal hygiene needs, prepare and eat food, provide thermal comfort and build, maintain or repair shelters (adapted from The Sphere Project, 2004).
<b>Occupancy with no legal status</b>	For the purposes of these guidelines, this term describes the transitional reconstruction option where the occupant occupies property without the explicit permission of the owner. 
<b>Open source</b>	Nonproprietary software code and applications developed by a community of interested developers and made freely available (without a license) for use and further development. For example, Linux and many Google applications.
<b>Owner-driven reconstruction (ODR)</b>	A reconstruction approach in which the homeowner undertakes rebuilding with or without external financial, material and technical assistance.
<b>Participatory assessment</b>	An approach to assessment that combines participatory tools with conventional statistical approaches intended to measure the impact of humanitarian assistance and development projects on people's lives.

<b>Physical planner</b>	The UNHCR term for an aid worker specialising in temporary settlement and shelter, and specifically the layout of camps [supported temporary settlements]; also termed 'site planner' and 'camp planner' (UNHCR, 2002).
<b>Plan</b>	A plan is a report which presents a detailed course of action in response to a profile. It should identify which organisation is to undertake which particular activity, and over what period. Plans must be constantly revised, both through monitoring processes and through integration with other plans at different planning levels (Corsellis and Vitale, 2005).
<b>Planned camps</b> 	For the purposes of these guidelines, this term describes a transitional settlement option, consistent with the following definition. 'Planned camps are places where displaced populations find accommodation on purpose-built sites, and a full services infrastructure is provided' (Corsellis and Vitale, 2005).
<b>Post-disaster needs assessment (PDNA)</b>	Usually a rapid, multi-sectoral assessment that measures the impact of disasters on the society, economy and environment of the disaster-affected area.
<b>Prefabricated shelters</b>	Shelters made in separate parts which need to be assembled on site upon delivery (Corsellis and Vitale, 2005).
<b>Preparedness</b>	Activities and measures taken in advance to reduce or avoid possible damages from potential or impeding threats and to be ready to assist those who have been adversely affected by a disaster and need help beyond their coping mechanisms. This includes the issuance of timely and effective early warnings and the temporary evacuation of people and property from threatened locations (UN/ISDR, forthcoming 2008).
<b>Prevention</b>	Activities to provide outright avoidance of the adverse impact of hazards and means to minimise related environmental, technological and biological disasters.  Depending on social and technical feasibility and cost/benefit considerations, investing in preventive measures is justified in areas frequently affected by disasters. In the context of public awareness and education, related to disaster risk reduction changing attitudes and behaviour contribute to promoting a 'culture of prevention' (UN/ISDR, forthcoming 2008).
<b>Probability</b>	A statistical measure of the likelihood that a hazard event will occur.

<b>Profiles</b>	Understanding the social and physical contexts of a conflict, natural disaster, or complex emergency is essential to developing plans of action to implement responses. This understanding must be developed into a 'profile', or an analysis of current circumstances (Corsellis and Vitale, 2005).
<b>Programme plans</b>	Although not defined formally, for the purpose of these guidelines this term describes a series of plans, agreed by all stakeholders, that is consistent with the strategic plan, and that integrates project plans in order to describe programmes that respond to transitional settlement and reconstruction needs.
<b>Project cycle (also "project life cycle")</b>	The sequence of activities that make up a project and how they relate to one another; generally: identification, preparedness, appraisal, presentation and financing, implementation, monitoring and evaluation.
<b>Project plans</b>	Although not defined formally, for the purpose of these guidelines this term describes a series of plans, agreed by all stakeholders, that is consistent with the strategic plan, and that contributes to programme plans that respond to transitional settlement and reconstruction needs.
<b>Pyroclastic flows</b>	Fast-moving avalanches of hot ash, rock fragments and gas that can move down the sides of a volcano during explosive eruptions or when the steep side of a growing lava dome collapses and breaks apart. These pyroclastic flows can be as hot as 1,500 °F (820 °C) and move at speeds of between 100 miles (160 km) per hour and 150 miles (240 km) per hour. Such flows tend to follow valleys and are capable of knocking down and burning everything in their path (USGS, 2000).
<b>Qualitative data</b>	Information based on observation and discussion that can include perceptions and attitudes.
<b>Quantitative data</b>	Numerical information, such as numbers of intended recipients, payments disbursed, cash transferred, or days worked broken down by gender, age and other variables.
<b>Rapid assessment</b>	An assessment that provides immediate information on needs, possible intervention types, and resource requirements. May be conducted as a multi-sectoral assessment or in a single sector or location.
<b>Reception centre</b>	Although not defined formally, for the purpose of these guidelines this term describes places providing clean water, cooked food, non-food items, full medical screening, full registration, and wider assistance and social services to displaced populations.

<b>Reconstruction</b>	Introduced in these guidelines, this term describes the rebuilding of entire communities, including livelihoods, such that they are able to support themselves and have reduced vulnerability to future natural hazards.
<b>Recovery</b>	Decisions and actions taken after a disaster so that survivors are able to re-build their lives and livelihoods in a manner that reduces further exposure to disaster risks. This necessarily includes the organisation of post-disaster interventions from a risk reduction perspective (UN/ISDR, forthcoming 2008).
<b>Recovery phase</b>	Although not defined formally, for the purpose of these guidelines this term describes the period between the major influx of displaced people and the point when every member of the displaced population has reached a durable solution. For non-displaced populations, and those returning home, it is the period during which reconstruction begins.
<b>Recurrence interval</b>	The time between hazard events of similar size in a given location based on the probability that the given event will be equalled or exceeded in any given year.
<b>Regulatory measures</b>	Legal and other regulatory instruments established by government to prevent, reduce, or prepare for losses, such as those associated with hazard events, such as land use regulations in high-risk zones.
<b>Refugee</b>	Due to the length of the full definition of the term 'refugee', only the key passage is reproduced here. 'For the purposes of the present Convention, the term 'refugee' shall apply to any person who [...] owing to well-founded fear of being persecuted for reasons of race, religion, nationality, membership of a particular social group or political opinion, is outside the country of his nationality and is unable or, owing to such fear, is unwilling to avail himself of the protection of that country; or who, not having a nationality and being outside the country of his former habitual residence as a result of such events, is unable or, owing to such fear, is unwilling to return to it' (UNHCR, 1951/1967).
<b>Relief</b>	The provision of assistance or intervention during or immediately after a disaster to meet the life preserving and basic subsistence needs of those people affected. It can be of immediate, short-term or protracted duration (UN/ISDR, forthcoming 2008).
<b>Relocation</b> 	A process whereby a community's housing, assets and public infrastructure are rebuilt in another location. See 'resettlement'.

<b>Remittances</b>	Payments sent from migrant workers to family members in the country of origin.
<b>Repair</b> 	Restoration to sound condition or working order following decay, damage or partial destruction. Making of additions or alterations as required to restore property to conditions in conformity with standards and specifications (UN-Habitat, 1992).
<b>Resettlement</b>	Actions necessary for the permanent settlement of persons dislocated or otherwise affected by a disaster to an area different from their last place of habitation (UNDHA, 1992).
<b>Residual risk</b>	The risk that remains in unmanaged form, even when effective disaster risk reduction measures are in place and for which emergency response and recovery capacities must be maintained.
<b>Resilience</b>	The ability of a system, community or society potentially exposed to hazards to resist, absorb, adapt to and recover from the stresses of a hazard event, including the preservation and restoration of its essential basic structures and functions.
<b>Response</b>	The provision of emergency services and public assistance during or immediately after a disaster to save lives, reduce health impacts ensure public safety and meet the basic subsistence needs of the affected people. See 'recovery'.
<b>Response, programme and project activities</b>	Although not defined formally, for the purpose of these guidelines this term describes the series of activities that make up response, programme and project strategies.
<b>Retrofitting (or upgrading)</b>	Reinforcement of structures to become more resistant and resilient to the forces of natural hazards.  Retrofitting involves consideration of changes in the mass, stiffness, damping, load path and ductility of materials, as well as radical changes such as the introduction of energy absorbing dampers and base isolation systems. Examples of retrofitting includes the consideration of wind loading to strengthen and minimise the wind force, or in earthquake-prone areas, the strengthening of structures (UN/ISDR, forthcoming 2008).
<b>Return period</b>	The estimated likelihood of a disaster reoccurring in an area; a series of probable events.

<b>Risk</b>	<p>The possibility of harmful consequences, or expected losses (deaths, injuries, damage to livelihoods property, economic activity disrupted or environment damaged) resulting from interactions between natural or human-induced hazards and vulnerable conditions.</p> <p>Beyond expressing a possibility of physical harm, it is crucial to recognise that risks are inherent or can be created or exist within social systems. It is important to consider the social contexts in which risks occur and that people therefore do not necessarily share the same perceptions of risk and their underlying causes.</p> <p>Conventionally risk is expressed by the notation Risk = Hazards x Vulnerability. Some disciplines also include the concept of exposure to refer particularly to the physical aspects of vulnerability (UN/ISDR, forthcoming 2008).</p>
<b>Risk - acceptable</b>	<p>The definition of acceptable risk, also referred to as 'safe collapse', is used to assess structural and non-structural measures undertaken to reduce possible damage at a level which does not harm people and property, according to codes or 'accepted practice' based, among other issues, on a known probability of hazard (UN/ISDR, 2004).</p>
<b>Risk analysis</b>	<p>A determination of the nature and extent of risk by analysing potential hazards and evaluating existing conditions of vulnerability that could pose a potential threat or harm to people, property, livelihoods, and the environment on which they depend.</p>
<b>Risk assessment</b>	<p>A methodology to determine the nature and extent of risk by analysing potential hazards and evaluating existing conditions of vulnerability that together could pose a potential threat or harm to people, property, livelihoods, and the environment on which they depend.</p>
<b>Risk management</b>	<p>The systematic approach and practice of managing uncertainty and potential losses through a process of risk assessment and analysis and the development and implementation of strategies and specific actions to control, reduce and transfer risks.</p>
<b>Risk reduction</b>	<p>See 'disaster risk reduction'.</p>
<b>Rural self settlement</b> 	<p>For the purposes of these guidelines, this term describes a transitional settlement option, consistent with the following definition. 'Rural self-settlement takes place when displaced families settle on rural land that is owned collectively, rather than privately' (Corsellis and Vitale, 2005).</p>
<b>Satellite imagery</b>	<p>Images captured from above the earth using remote sensing technology.</p>

<b>Secondary hazard</b>	<p>A threat whose potential would be realized as the result of a triggering event that itself constitutes an emergency (for example, dam failure can be a secondary hazard associated with earthquakes).</p>
<b>Self-settled camps</b> 	<p>For the purposes of these guidelines, this term describes a transitional settlement option, consistent with the following definition. 'A displaced community or displaced groups may settle in camps, independently of assistance from local government or the aid community' (Corsellis and Vitale, 2005).</p>
<b>Settlement</b>	<p>A community of covered living spaces providing a secure, healthy living environment with privacy and dignity for the groups, families and individuals residing within them (Corsellis and Vitale, 2005).</p>
<b>Shelter</b>	<p>A habitable covered living space, providing a secure, healthy living environment with privacy and dignity for the groups, families and individuals residing within it (Corsellis and Vitale, 2005).</p> <ul style="list-style-type: none"> <li>▶ Shelter is a critical determinant of survival in the initial stage of an emergency. Beyond survival, shelter is necessary to provide security and personal safety, protection from the climate and enhanced resistance to ill health and disease. It is also important for human dignity and to sustain family and community life as far as possible in difficult circumstances. Shelter and associated settlement and non-food item responses should support communal coping strategies, incorporating as much self-sufficiency and self-management into the process as possible (The Sphere Project, 2004).</li> <li>▶ Shelter and housing post-disaster are not understood simply as a multiple of family units, but instead consider the context of settlements, impacting the security, society, economy and environment of communities, and of their neighbours. For example, considerations of shelter and housing do not necessarily cover schools or the siting of entire communities away from hazards (UN/OCHA, 2006).</li> <li>▶ Shelter, adequate: immediate environment for all aspects of family life, providing protection from the elements, secure tenure, personal safety, access to clean water and sanitation, proximity to places of employment and educational and health care facilities (UN-Habitat, 1992).</li> </ul>

<b>Shelter non-food item (NFI)</b>	An item that meets a need related to transitional settlement or shelter but is not structural, such as blankets, mattresses, mosquito nets, stoves and fuels (Corsellis and Vitale, 2005).
<b>Siting</b>	In these guidelines, this term describes how and where something is located, usually the land used for a settlement or structure.
<b>Social protection</b>	Public measures to provide income security to the population. Use of social risk management to reduce the economic vulnerability of households and to help smooth consumption patterns.
<b>Squatter</b>	A person occupying an otherwise abandoned housing unit or land without legal title to that unit or land. For example, persons who take up residence in unused or abandoned dwellings or buildings are squatters (UN-Habitat and OHCHR, 2003).
<b>Stakeholders</b>	All those agencies and individuals who have a direct or indirect interest in a humanitarian intervention or development project, or who can affect or are affected by the implementation and outcome of it.
<b>Storm surge</b>	Rise in the water surface above normal water level on the open coast due to the action of wind stress and atmospheric pressure on the water surface.
<b>Storm surges</b>	Although not defined formally, for the purpose of these guidelines this term describes rises in water elevations caused by strong onshore winds pushing water against the coast as severe storms approach. However, the phenomenon of storm surge is also influenced by a variety of other factors including water depth and wave heights.
<b>Strategic plan</b>	Although not defined formally, for the purpose of these guidelines this term describes a single coordinated approach to developing and implementing the contribution of the sector, agreed by all stakeholders and usually maintained at national level by or in partnership with the government. The strategic plan integrates programme and project plans in order to describe the entire response to sector needs.
<b>Subsidence</b>	Lowering of the ground's surface in a particular area due to the removal of subsurface support. In earthquakes this is typically caused by shifting of the subsurface near fault lines.
<b>Sustainable development</b>	Development that meets the needs of the present without compromising the ability of future generations to meet their own needs.

<b>Targeting</b>	The identification and recruiting of potential assistance recipients by local communities, government, or external agencies.
<b>Tent</b>	Portable shelter with a cover and a structure (UN/OCHA, 2004).
<b>Transit</b>	Transfer of displaced populations from a border area, front line or hazardous area to a safer location (Corsellis and Vitale, 2005).
<b>Transit centre</b>	Transit centres provide short-term accommodation, usually overnight only, as well as clean water, cooked food, basic medical screening and preliminary registration. There is usually a complete day's travel between one transit centre and another, or between a transit centre and a reception centre. They should be set up on the route from a border or area of conflict to a transitional settlement (Corsellis and Vitale, 2005).
<b>Transitional reconstruction</b>	Introduced in these guidelines, this term describes the processes by which populations affected but not displaced by conflict or natural disasters achieve durable solutions to their settlement and shelter needs.
<b>Transitional settlement</b>	In these guidelines, this term describes the processes by which populations affected and displaced by conflict or natural disasters achieve settlement and shelter throughout the period of their displacement, prior to beginning transitional reconstruction. <ul style="list-style-type: none"> <li>▶ Settlement and shelter resulting from conflict and natural disasters, ranging from emergency response to durable solutions (Corsellis and Vitale, 2005).</li> </ul>
<b>Transitional shelter</b>	In these guidelines, this term describes family shelter which provides a habitable covered living space and a secure, healthy living environment, with privacy and dignity, for both displaced or non-displaced occupants over the period between a conflict or natural disaster and the completion of transitional reconstruction, that is intended to be relocated, upgraded, or disassembled for materials, and that may be supported as an assistance method. <ul style="list-style-type: none"> <li>▶ Shelter which 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 (Corsellis and Vitale, 2005).</li> </ul>

<b>Vernacular architecture</b>	The dwellings and other buildings that reflect people's environmental contexts and available resources customarily owned or community built, utilising traditional technologies. Vernacular architecture reflects the specific needs, values, economies and ways of life of the culture that produces them. They may be adapted or developed over time as needs and circumstances change.
<b>Urban self settlement</b> 	For the purposes of these guidelines, this term describes a transitional settlement option, consistent with the following definition. 'Displaced populations may decide to settle in an urban settlement, or in parts of it unaffected by the disaster, occupying unclaimed properties or land, or settling informally' (Corsellis and Vitale, 2005).
<b>Vulnerability</b>	The characteristics of a person or group in terms of their capacity to anticipate, cope with, resist and recover from the impact of a natural or man-made hazard (IFRC, 1999).
<b>Vulnerable groups</b>	Groups or members of groups particularly exposed to the impacts of hazards, such as displaced people, women, the elderly, the disabled, orphans and any group subject to discrimination
<b>Warning systems</b>	Mechanisms used to persuade and enable people and organizations to take actions to increase safety and reduce the impacts of a hazard.

# Acronyms

Acronym	Definition
<b>AC</b>	Alternating Current
<b>ADB</b>	Asian Development Bank
<b>ADPC</b>	Asian Disaster Preparedness Centre
<b>ADRS</b>	Agency-Driven Reconstruction in-Situ
<b>ALNAP</b>	Active Learning Network for Accountability and Performance in Humanitarian Action
<b>AME</b>	Assessment, Monitoring, Evaluation
<b>ATC</b>	Applied Technology Council
<b>BCPR</b>	Bureau for Crisis Prevention and Recovery
<b>BOQ</b>	Bill of Quantities
<b>CA</b>	Cash Approach
<b>CAP</b>	Consolidated Appeals Process
<b>CBA</b>	Communication-Based Assessment
<b>CBO</b>	Community-Based Organization
<b>CCCM</b>	Camp Coordination and Camp Management
<b>CDR</b>	Community-Driven Reconstruction
<b>CEA</b>	California Earthquake Authority
<b>CERF</b>	Central Emergency Response Fund
<b>CESCR</b>	Committee on Economic, Social and Cultural Rights
<b>CGI</b>	Corrugated Galvanised Iron
<b>CHAP</b>	Common Humanitarian Action Plan
<b>CHF</b>	Community Housing Foundation
<b>CI</b>	Corrugated Iron
<b>CIDA</b>	Canadian International Development Agency
<b>CLA</b>	Cluster Lead Agency
<b>COHRE</b>	Centre On Housing Rights and Evictions
<b>CRS</b>	Catholic Relief Services
<b>CSO</b>	Civil Society Organisations
<b>CWGER</b>	Cluster Working Group on Early Recovery
<b>DaLA</b>	Damage and Loss Assessment
<b>DFID</b>	Department for International Development (UK Government)
<b>DFID CHAD-OT</b>	DFID Conflict and Humanitarian Affairs Department Operations Team

<b>DGPS</b>	Differential Global Positioning System
<b>DHA</b>	United Nations Department for Humanitarian Affairs (now UN/OCHA)
<b>DIPECHO</b>	Disaster Preparedness European Community Humanitarian Aid department
<b>DMC</b>	Disaster Management Centre (Wisconsin)
<b>DP</b>	Displaced Person
<b>DRM</b>	Disaster Risk Management
<b>DRR</b>	Disaster Risk Reduction
<b>EC</b>	European Commission
<b>ECHO</b>	European Commission Humanitarian Aid and Civil Protection
<b>ECLAC</b>	Economic Commission for Latin America and the Caribbean
<b>EIA</b>	Environmental Impact Assessment
<b>EMMA</b>	Emergency Market Mapping and Analysis
<b>ENA</b>	Environmental Needs Assessment
<b>ERC</b>	Emergency Relief Coordinator
<b>ESB</b>	Emergency Services Branch
<b>ESC</b>	Emergency Shelter Cluster
<b>FAO</b>	Food and Agriculture Organization
<b>FHH</b>	Female-Headed Household
<b>FI</b>	Food Item
<b>FONDEN</b>	Mexican Fund for Natural Disasters
<b>FTS</b>	Financial Tracking Service
<b>GBV</b>	Gender-Based Violence
<b>GCLA</b>	Global Cluster Lead Agency
<b>GIS</b>	Geographic Information System
<b>HC</b>	Humanitarian Coordinator
<b>HFA</b>	Hyogo Framework for Action 2005–2015
<b>HIC</b>	Humanitarian Information Centre
<b>HIV/AIDS</b>	Human Immunodeficiency Virus/Acquired Immune Deficiency Syndrome
<b>IASC</b>	Inter-Agency Standing Committee
<b>ICRC</b>	International Committee of the Red Cross
<b>ICT</b>	Information and Communication Technologies
<b>ICVA</b>	International Council of Voluntary Agencies
<b>IDP</b>	Internally Displaced Person
<b>IDRL</b>	International Disaster Response Law

<b>IED</b>	Improvised Explosive Device
<b>IFI</b>	International Financial Institution
<b>IFRC</b>	International Federation of Red Cross and Red Crescent Societies
<b>IGO</b>	Inter-Governmental Organisation
<b>IMWiGs</b>	Information Management Working Groups
<b>INGO</b>	International Non-Government Organisation
<b>IO</b>	International Organisation
<b>IOM</b>	International Organization for Migration
<b>IRC</b>	International Rescue Committee
<b>ISDR</b>	International Strategy for Disaster Reduction
<b>ISO</b>	International Organization for Standardization
<b>ITU</b>	International Telecommunications Union
<b>JICA</b>	Japan International Cooperation Agency
<b>LENSS</b>	Local Estimate of Needs for Shelter and Settlement
<b>LFA</b>	Logical Framework Analysis
<b>LNGO</b>	Local Non-Government Organisation
<b>logframe</b>	Logical framework
<b>M&amp;E</b>	Monitoring and Evaluation
<b>MDTFs</b>	Multi-Donor Trust Funds
<b>MFI</b>	Microfinance Institutions
<b>MOU</b>	Memorandum of Understanding
<b>NFI</b>	Non-Food Items
<b>NGO</b>	Non-Governmental Organisation
<b>ODI</b>	Overseas Development Institute
<b>ODR</b>	Owner-Driven Reconstruction
<b>OECD</b>	Organisation for Economic Co-operation and Development
<b>OHCHR</b>	Office of the High Commissioner for Human Rights
<b>PCWG</b>	Protection Cluster Working Group
<b>PDNA</b>	Post Disaster Needs Assessment
<b>PMU</b>	Project Management Unit
<b>REA</b>	Rapid Environmental Assessment
<b>RVA</b>	Rapid Village Assessment
<b>SAG</b>	Strategic Advisory Group
<b>SCHR</b>	Steering Committee for Humanitarian Response
<b>SOF</b>	Strategic Operational Framework

<b>TOR</b>	Terms of Reference
<b>TWiGs</b>	Technical Working Groups
<b>UN</b>	United Nations
<b>UN/ISDR</b>	United Nations International Strategy for Disaster Risk Reduction
<b>UN/OCHA</b>	United Nations Office for the Coordination of Humanitarian Affairs
<b>UNDAC</b>	UN Disaster Assessment and Coordination
<b>UNDP</b>	United Nations Development Programme
<b>UNDP/CPDR</b>	United Nations Development Programme Crisis Prevention and Recovery
<b>UNDRO</b>	United Nations Disaster Relief Organisation
<b>UNEP</b>	United Nations Environment Programme
<b>UNESCO</b>	United Nations Educational, Scientific and Cultural Organization
<b>UN-Habitat</b>	United Nations Human Settlements Programme
<b>UNHCR</b>	United Nations High Commissioner for Refugees
<b>UNHRP</b>	United Nations Housing Rights Programme
<b>UNICEF</b>	United Nations Children's Fund
<b>USAID</b>	United States Agency for International Development
<b>WASH</b>	Water, Sanitation and Hygiene
<b>WEF</b>	World Economic Forum
<b>WFP</b>	World Food Programme
<b>WHO</b>	World Health Organization

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### Owner-Driven Housing Reconstruction Guidelines

[www.ifrc.org](http://www.ifrc.org)

[http://www.sheltercentre.org/sites/default/files/ODHR\\_Guidelines\\_FedNet.pdf](http://www.sheltercentre.org/sites/default/files/ODHR_Guidelines_FedNet.pdf)

<b>Topics</b>	▶ Programme development
	▶ Participatory process
	▶ Technical assistance
	▶ Financial assistance

**Subject** These guidelines were produced with contributions from numerous National Societies and build on the post-disaster reconstruction experience developed within the Movement. These guidelines demonstrate an approach that seeks to increase communities' sense of ownership and self-reliance, and are flexible to, and encourage, a wide variety of cultural and local construction practices. These guidelines are intended to assist programme coordinators and field delegates to support participatory planning and decision-making, including the steps required to ensure quality control, appropriate technical supervision and financial management (adapted from IFRC 2010).

## Gender Handbook in Humanitarian Action



Inter Agency Standing Committee (IASC) (2006)

[www.humanitarianreform.org](http://www.humanitarianreform.org)

<http://www.sheltercentre.org/library/Women+Girls+Boys+and+Men+Different+Needs+Equal+Opportunities>

<b>Topics</b>	<ul style="list-style-type: none"> <li>▶ Crosscutting</li> <li>▶ Gender</li> <li>▶ Gender based violence</li> <li>▶ Needs assessment</li> <li>▶ Monitoring</li> <li>▶ Strategic planning</li> <li>▶ Vulnerable groups</li> </ul>
<b>Subject</b>	<p>This handbook provides guidance on gender analysis, planning, monitoring and implementation to ensure that the needs, contributions and capacities of women, girls, boys and men are considered in all aspects of humanitarian response. It offers checklists to assist in monitoring gender equality programming. The guidelines focus on major cross-cutting issues and areas of work in the early response phase of emergencies. The Handbook is also a useful tool to make sure gender issues are included in needs assessments, contingency planning and monitoring and evaluations. It can be used as a tool to mainstreaming gender as a cross-cutting issue in the sectors/clusters.</p>

#### Guidelines for Emergency Assessment

	<p>Guidelines for Emergency Assessment  <a href="http://www.proventionconsortium.org">www.proventionconsortium.org</a>  <a href="http://www.sheltercentre.org/library/guidelines+emergency+assessment">http://www.sheltercentre.org/library/guidelines+emergency+assessment</a></p>
<b>Topics</b>	<ul style="list-style-type: none"> <li>▶ Assessment planning</li> <li>▶ Coordination</li> <li>▶ Office-based tasks</li> <li>▶ Fieldwork</li> <li>▶ Analysis</li> </ul>
<b>Subject</b>	<p>These guidelines advise the organisation of emergency assessments, comprising planning, fieldwork, analysis and reporting. Rather than describing each assessment task however, these guidelines provide a framework within which an assessment can be organised. This booklet is made to be adaptable to different contexts (adapted from IFRC, 2005).</p>

#### Sphere Project (2004)

	<p>Humanitarian Charter and Minimum Standards in Disaster Response  <a href="http://www.sphere.co.uk">www.sphere.co.uk</a>  <a href="http://www.sheltercentre.org/library/Humanitarian+Charter+and+Minimum+Standards+Disaster+Response">http://www.sheltercentre.org/library/Humanitarian+Charter+and+Minimum+Standards+Disaster+Response</a></p>
<b>Topics</b>	<ul style="list-style-type: none"> <li>▶ AM &amp; E</li> <li>▶ Construction</li> <li>▶ Disasters</li> </ul>
<b>Subject</b>	<p>The Sphere Humanitarian Charter and Minimum Standards in Disaster Response aim to improve the accountability and effectiveness of humanitarian assistance. The Charter incorporates international humanitarian, human rights, and refugee law, with the NGO Code of Conduct. The Standards are supported by technical chapters on water sanitation and hygiene, food security and nutrition, shelter, and health services.</p>

#### United Nations High Commissioner for Refugees (UNHCR) (2006)

	<p>The UNHCR Tool for Participatory Assessment in Operations  <a href="http://www.unhcr.org">www.unhcr.org</a>  <a href="http://www.sheltercentre.org/library/The+UNHCR+Tool+Participatory+Assessment+Operations">http://www.sheltercentre.org/library/The+UNHCR+Tool+Participatory+Assessment+Operations</a></p>
<b>Topics</b>	<ul style="list-style-type: none"> <li>▶ Assessment participation</li> <li>▶ Communication</li> </ul>
<b>Subject</b>	<p>This tool outlines a series of steps to follow for conducting a participatory assessment with refugees or other persons of concern. The tool is designed to allow all people, including those from vulnerable groups, to express their concerns, priorities and solutions, and the tool can be adapted to meet local needs. Its specificity is that it aims to provide a systematic approach to participatory assessment and to assist in systematising the findings to incorporate them into the planning processes (adapted from UNHCR 2006).</p>

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### United Nations High Commissioner for Refugees (UNHCR) (2007)

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Handbook for Emergencies

[www.unhcr.org](http://www.unhcr.org)

<http://www.sheltercentre.org/library/Handbook+Emergencies>

- Topics**
- ▶ UNHCR Principles
  - ▶ Emergency management
  - ▶ Operations
  - ▶ Support to operations

**Subject** The handbook summarises UNHCR's mandate of international protection and the aim and principles of emergency response. It deals with emergency management and problem areas in refugee emergencies, including: health, food, sanitation and water, as well as key field activities underpinning the operations such as logistics, community services and registration. The handbook gives guidance on the support of field operations, primarily administration and staffing; it also includes a toolbox which gathers, in one location, standards and indicators (adapted from UNHCR 2007).

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### UN-Habitat and the Office of the High Commissioner for Human Rights (OHCHR) (2003)

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Monitoring housing rights: Developing a set of indicators to monitor the full and progressive realisation of the human right to adequate housing

[www.unhabitat.org](http://www.unhabitat.org)

<http://www.sheltercentre.org/library/Monitoring+housing+rights+Developing+a+set+indicators+monitor+full+and+progressive+realisati>

- Topics**
- ▶ Housing
  - ▶ Human rights
  - ▶ Law
  - ▶ Monitoring

**Subject** This report addresses the need to disaggregate housing rights data, so as to pay particular attention to the housing conditions of particularly marginalised groups, including women, children, the elderly, refugees, internally displaced persons, indigenous peoples, ethnic and other minorities, and people living in poverty. This report is divided into six chapters, each of which analyses a different aspect of the creation and implementation of a set of housing rights indicators (adapted from OHCHR 2003).

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### World Bank (2010)

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Safer Homes, Stronger Communities: A Handbook for Reconstructing after Natural Disasters

[www.housingreconstruction.org](http://www.housingreconstruction.org)

<http://www.sheltercentre.org/library/Handbook+PostDisaster+Housing+and+Community+Reconstruction>

- Topics**
- ▶ Assessing damage and defining reconstruction policy
  - ▶ Project implementation
  - ▶ Monitoring and Information Management

**Subject** This handbook provides guidance to government, policy makers and humanitarian workers on how to plan and implement reconstruction projects to reduce vulnerability to future disasters. The focus is on community involvement throughout the reconstruction process, to empower the affected population, and secure their participation in disaster risk reduction. The handbook provides technical guidance as well as case studies to illustrate how the guidance can be implemented in a practical context.

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# Internet Resources

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**Active Learning Network for Accountability and Performance in Humanitarian Action (ALNAP)**

[www.alnap.org](http://www.alnap.org)

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**All India Disaster Mitigation Institute (AIDMI)**

[www.southasiadisasters.net](http://www.southasiadisasters.net)

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**Alternatives: Global, Local, Political**

[https://www.rienner.com/title/Alternatives\\_Global\\_Local\\_Political](https://www.rienner.com/title/Alternatives_Global_Local_Political)

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**Asia Disaster Preparedness Centre (ADPC)**

[www.adpc.net](http://www.adpc.net)

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**Asian Disaster Reduction Centre (ADRC)**

[www.adrc.or.jp/top.php](http://www.adrc.or.jp/top.php)

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**Benfield UCL Hazard Research Centre**

[www.benfieldhrc.org](http://www.benfieldhrc.org)

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**Brookings-Bern Project on Internal Displacement**

<http://www.brookings.edu/projects/idp.aspx>

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**Central Emergency Respond Fund (CERF)**

<http://ochaonline.un.org/cerf/>

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**Centre on Housing Rights and Eviction (COHRE)**

[www.cohre.org](http://www.cohre.org)

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**Cluster Coordination**

[www.clustercoordination.org](http://www.clustercoordination.org)

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**Department for International Development**

<http://www.dfid.gov.uk/>

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**Disaster Assessment Portal**

[www.disasterassessment.org](http://www.disasterassessment.org)

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**Economic Commission for Latin America and the Caribbean (ECLAC)**

[www.eclac.org](http://www.eclac.org)

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**The Emergency Events Database (EM-DAT)**

[www.em-dat.net](http://www.em-dat.net)

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**Food and Agriculture Organization (FAO)**

[www.fao.org](http://www.fao.org)

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**GeoHazards International**

[www.geohaz.org](http://www.geohaz.org)

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**German Institute for Disaster Medicine and Emergency Medicine**

<http://www.disaster-medicine.de/>

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**Emergency Shelter Cluster**

<http://www.sheltercluster.org/default.aspx>

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**Global Facility for Disaster Reduction and Recovery**

[www.gfdr.org](http://www.gfdr.org)

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**Good Humanitarian Donorship Initiative (GHD)**

[www.goodhumanitarianandonorship.org](http://www.goodhumanitarianandonorship.org)

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**Groupe Urgence Réhabilitation Développement**

[www.urd.org](http://www.urd.org)

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**Haiti Regeneration Initiative**

<http://haiti.ciesin.columbia.edu/>

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**Help Age International**

<http://www.helpage.org/>

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**Humanitarian Accountability Partnership – International (HAP-I)**

[www.hapinternational.org/en/](http://www.hapinternational.org/en/)

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**Humanitarian Information Centres**

[www.humanitarianinfo.org](http://www.humanitarianinfo.org)

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**Information and Research for Reconstruction**

[www.grif.umontreal.ca/pages/irecpublicns.html](http://www.grif.umontreal.ca/pages/irecpublicns.html)

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**Inter-Agency Standing Committee**

<http://www.humanitarianinfo.org/iasc/>

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**Internal Displacement Monitoring Centre (IDMC)**

[www.internal-displacement.org](http://www.internal-displacement.org)

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**International Federation of Red Cross and Red Crescent Societies (IFRC)**

[www.ifrc.org](http://www.ifrc.org)

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**International Institute for Environment and Development (IIED)**

[www.iied.org](http://www.iied.org)

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**International Recovery Platform (IRP)**

[www.recoveryplatform.org](http://www.recoveryplatform.org)

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**Multidonor Fund**

[www.multidonorfund.org](http://www.multidonorfund.org)

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**National Oceanic and Atmospheric Administration (NOAA), Vulnerability Assessment Techniques and Applications (VATA)**

[www.csc.noaa.gov/vata/](http://www.csc.noaa.gov/vata/)

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**Office of the United Nations High Commissioner for Refugees**

<http://www.unhcr.org>

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**Overseas Development Institute**

[www.odi.org.uk](http://www.odi.org.uk)

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**Pacific Disaster Center**

[www.pdc.org](http://www.pdc.org)

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**Pan American Health Organization (PAHO)**

[www.paho.org](http://www.paho.org)

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**ProVention Consortium**

[www.proventionconsortium.org](http://www.proventionconsortium.org)

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**PreventionWeb**

[www.preventionweb.net](http://www.preventionweb.net)

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**ReliefWeb**

[www.reliefweb.int](http://www.reliefweb.int)

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**Red Cross Red Crescent Climate Centre**

[www.climatecentre.org](http://www.climatecentre.org)

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**Shelter Centre**

[www.sheltercentre.org](http://www.sheltercentre.org); [www.shelterlibrary.org](http://www.shelterlibrary.org)

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**The Sphere Project**

[www.sphereproject.org](http://www.sphereproject.org)

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**United Nations Development Programme (UNDP)**

[www.undp.org](http://www.undp.org)

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**United Nations Educational, Scientific and Cultural Organisation (UNESCO)**

<http://www.unesco.org>

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**United Nations Environmental Programme (UNEP)**

[www.unep.org](http://www.unep.org)

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**UN-Habitat**

[www.unhabitat.org](http://www.unhabitat.org)

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**United Nations Housing Rights Programme (UNHRP)**

[www.unhabitat.org/categories.asp?catid=282](http://www.unhabitat.org/categories.asp?catid=282)

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**United Nations International Strategy for Disaster Risk Reduction (UN/ISDR)**

[www.unisdr.org](http://www.unisdr.org)

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**United Nations Office for the Coordination of Humanitarian Affairs (UN/OCHA)**

<http://ochaonline.un.org>

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**UNNATI – Organisation for Development Education**

<http://www.unnati.org>

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**US Geological Survey (USGS) Earthquake Hazards Program**

<http://earthquake.usgs.gov>

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**US Geological Survey (USGS) Landslide Hazards Program**

<http://landslides.usgs.gov>

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**US Geological Survey (USGS) Volcano Hazards Program**

<http://volcanoes.usgs.gov>

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**World Bank**

<http://www.worldbank.org/>

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**World Health Organisation**

<http://www.who.int>

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**World Housing Encyclopedia**

[www.world-housing.net](http://www.world-housing.net)

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# Index

## Key to the index

Page numbers showing where each term maybe found in the text, are indicated in bold.

## A

accommodation **xv, 258-9**

activities

disaster response coordination **viii, 3**

disaster risk reduction **59, 79**

shelter sector coordination **133**

activity timeline **144-6, 148**

affected population, non-displaced **12, 47, 104**

affected populations livelihoods **299**

aftershocks **xxi, 46, 108**

agencies, international **6, 21, 145-6**

agenda **149-52**

agree criteria **182, 250-1**

analysis tool **207-8, 297**

apartment blocks **117, 263, 265, 269**

apartment buildings **112, 263**

areas

key **101, 103**

protected **230-2**

assessment

continuous **8, 44, 49, 72, 76**

emergency disaster **39**

field **236, 244**

successful land **92**

assessment activities **60, 66, 89, 201**

assessment capacities **70**

assessment checklist **xi, 210**

assessment details **225, 227, 229, 231**

assessment form **227-8, 231-2**

assessment information **240, 242, 246**

assessment monitoring **201**

assessment operations **68, 77, 236-8**

large-scale **236-7**

assessment procedures **201, 237**

assessment schedule **89, 241**

assessment subjects **viii, 65, 73, 78, 80, 201**

Assessment team structures **85-6**

assessment teams

establishing **238**

inter-agency **146**

assessment templates **207, 210**

assessment tools **vii, 75, 84, 89, 201, 207, 232, 237**

designing **85**

using **85**

assessment types **67-8**

assessments

conducting **88, 240, 243, 245**

existing **65, 68, 83**

in-depth/joint **68, 78**

one-off **83**

assistance programmes **163, 167**

## B

bamboo **127-8, 282**

beneficiary identification **189, 250-1**

aest practice checklist **141, 148-50, 152-3**

budget support **12, 113**

building damage **xxi, 67, 73, 78, 110-11, 223**

building damage assessment **72, 233**

building materials **94, 118, 178, 182**

buildings, damaged **xvi, 74, 77, 271, 281**

## C

camps, planned **x, 105, 190, 227, 259, 268**

CAP (Consolidated Appeal Process) **21, 40, 180, 289**

capacities

additional **117, 300**

available **4, 32, 34**

local **13, 102, 155-6, 182, 231**

capacity assessments **78, 207, 214, 218-19, 289**

capacity building programmes **121, 144, 147, 296**  
 capital  
   financial **74-6, 79**  
   natural **79-80**  
 cash **100, 104, 119-20, 250, 253, 287, 293**  
 cash grants **127-8**  
 climates  
   cold **x, 190, 278-9, 281-2**  
   dry **x, 280-1, 283**  
   humid **x, 279-80, 282**  
 cluster approach **xxvii-xxviii, xxx**  
 cluster coordination body **xxix**  
 clusters, core shelter sector **xxvi**  
 combination of transitional shelter types **270**  
 communal facilities **ix, 192**  
 communicating strategy **164, 166**  
 communication strategy **16, 24, 140**  
 communities  
   displaced **116, 258, 275**  
   inter-sectoral **180-1**  
   supporting **296**  
 community damage assessment **232**  
 community Damage Assessment and Demand Analysis **232**  
 community groups **127**  
 community infrastructure **228, 274, 290-1**  
 community labour **98, 100, 116, 250, 275-6**  
 conducting participatory assessment **205**  
 conflict **xxv-xxvii, 50, 70, 108, 284**  
 considerations for General items **279-81**  
 construction industry **23-4, 54, 92, 121, 123**  
 construction materials **50, 81-2, 112, 119, 179, 233**  
 consultants **108, 147-8, 275**  
 context, post-disaster **81, 121**  
 contractors **115, 117, 121, 263, 265, 276, 289-90**  
 cooking **176, 257, 279-80**  
 coordinate sector strategy **31, 42**  
 coordinated planning **viii, 43, 53-4**  
 coordinating agencies **xix, 2, 5, 21, 66, 204**  
 coordinating agencies support **xix**  
 coordinating assessments **60**  
 coordinating sector strategy **169**  
 coordinating shelter **xix**  
 coordination  
   effective **10, 27-8**  
   inter-sector **xxix, 17, 142**  
   inter-sectoral **45**  
   sector **13, 84**  
   standards support **174**  
   supporting **xxv**  
 coordination body  
   sectoral **14**  
   single shelter sector **13**  
 coordination framework **viii, xxix, 6, 8-9, 12, 25, 29, 54, 103, 125, 136**  
 coordination groups **1, 100**  
 coordination mechanisms, inter-sector **138**  
 coordination services **23, 301**  
 coordination strategy **28, 187**  
 coordination structures **xviii, xxv, xxx, 1, 66**  
 coordination team **15, 39, 142**  
 coordination timeline **ix, 141, 144**  
 Coordination Toolkit **133-4, 136, 153, 160**  
 countries, affected **92, 94, 154, 171, 174**  
 cyclones **xxii-xxiii, 213, 216**

**D**

damage  
   environmental **121, 258-9**  
   heavy **223-4**  
   mitigate water **280-1, 283**  
 damage assessment **xix, xxi, 7, 18-19, 197, 226-8**  
   early **272**  
 damage assessment sheet **225**  
 damage assessment teams **88**  
 damage categories **111, 233**  
 damage levels **18, 23, 35, 37, 67, 72, 75, 78, 80, 228, 246**  
 data, gathering **193**  
 debris **xxiii-xxiv, 61, 82, 179, 272**  
 deforestation **xxiii, 127, 213-14, 259**  
 design tools **vii, 84, 236**  
 development process, strategic **179**

DFID Shelter Kit **x, 286**  
 disaster, large-scale **6, 20, 154, 156, 158**  
 disaster-affected countries **21, 155**  
 disaster debris **82, 298**  
 disaster management **10, 27**  
 disaster management team **10**  
 disaster prevention **156, 215**  
 disaster Reduction and Recovery **xvi, 156**  
 disaster response **v, viii, xiii, 4, 7, 33, 37, 48, 54, 57, 61, 72, 82, 159, 170, 190**  
 disaster risk **59, 196, 258**  
 disaster risk management **12, 113, 159**  
 disaster risk reduction **xvi, 26, 56, 58-9, 62, 298**  
 disaster situations **xxvii, 11, 25, 92, 154, 210-11, 232**  
 diseases, communicable **28, 93, 129, 257**  
 displaced people **213-14**  
 drought **xx-xxi, xxiii, xxv, 159, 215**

## E

economy, local **108, 128, 163, 276-7**  
 Emergency Assessment **90, 244**  
 emergency market mapping **207-8, 297**  
 emergency relief considerations **278-83**  
 emergency shelter **iv, xxvii, 210, 270**  
 Emergency Shelter Cluster **278-84, 286**  
 environmental assessments **121, 129, 207, 211, 297**  
 environmental impact assessments **128, 211**  
 evacuation **xxiv-xxv, 257, 261, 265**  
 evacuation routes **xxiv-xxv, 62, 218**  
 evaluation procedures **77, 215**  
 evaluation processes **52, 68-9, 73, 83-5, 88, 201, 243**  
 evaluation teams **85, 238**  
 exit, responsible **xi, 302-3**  
 exit strategies **125, 188, 301-2**

## F

facilities **xxv, 192, 231, 254, 256, 258**  
   fuel storage **213-14**  
 families  
   affected **72, 109-10, 117, 174, 262-3, 284**  
   displaced **255, 265, 268, 277**  
 financial assistance **x, 22, 147-8, 155, 289**  
 financial support **147, 288**  
 fire safety **164**  
 fires **xxi, xxiii-xxiv, 216**  
 flooding **xxii-xxiv, 91, 216, 263**  
 food aid **208-9**  
 foundations **xxi-xxii, 156, 174, 223-4, 234**  
 FTS (financial tracking systems) **21, 153, 160**  
 funding mechanisms, international **21, 153-4**  
 funds, calamity **156-7**

## G

gathering information **xxix, 88-9, 196, 240**  
 GCLA (Global Cluster Lead Agency) **xxvii**  
 GFDRR (Global Facility for Disaster Reduction and Recovery) **xvi, 156, 214, 223-4**  
 Global Cluster Lead Agency (GCLA) **xxvii**  
 Global Cluster Working Group **134, 136-7, 141**  
 government  
   local **125, 161, 207, 258, 261, 266-8, 303**  
   sub-national **4-5, 52**  
 government disaster management agency **27**  
 government ministries **90, 244**  
 government officials **135, 198, 242**  
 government programming **198**  
 government stakeholders **iv, 135**  
 government strategies, existing **17**  
 government support **233**  
 grievance redress mechanisms **161, 167**

groups  
local **24**  
marginalised **90, 245**  
minority **46, 69, 202**  
target **208-9**  
guidance Considerations **148-9**  
guidance Coordinated  
implementation **301**  
guidance Coordination **90**  
guidance Participation **250**  
guidance Stakeholder roles **187**

## H

Haiti **viii, 58, 61, 208**  
hazard assessments **93, 189, 207, 215-16**  
hazard maps **93, 214-15, 217-18**  
hazard risks **120, 197**  
hazards, natural **xxiii, xxv**  
health care **253, 255, 274**  
host populations **24, 39, 49, 52, 76, 230, 232, 254-5, 258, 299**  
house owner **100, 250, 266**  
house-owners, individual **158**  
house tenant **x, 107, 228, 262, 269**  
households, affected **109**  
housing damage assessments **81**  
human rights law **50, 171, 295**  
humanitarian coordination mechanisms **xvii, 13**  
humanitarian coordination structures **xix, 8**  
humanitarian reform process **v, xxv-xxvii**  
humanitarian sector **2, 54, 302**  
humanitarian stakeholders **xvii, 12, 52, 66, 120, 202-3, 206**

## I

IASC (Inter-Agency Standing Committee) **iv, xxv, xxvii-xxviii, 10**  
IDRL (International Disaster Response Laws) **170, 173**  
Implementation  
coordinated **37, 301**  
coordinating **12, 301**  
implementation activities **8, 97, 101, 124**

implementation plans **144, 146, 220**  
implementation strategy **155**  
implementation toolkit **249, 301**  
implementation tools **vii**  
information, managing **24, 88-9, 201, 240**  
information centres **98, 100, 121, 250, 296**  
information management group **viii, xxix, 9, 13, 16, 18-19, 38**  
information management tools **15, 53-4**  
Information Management Working Group (IMWiG) **xi, 137, 139-40**  
information sources, typical **71, 74-5, 77**  
infrastructure, damaged **213-14**  
infrastructure reconstruction **145, 158**  
institutions **40, 123-5, 135, 155, 208-9, 303**  
insulation **279-81, 283**  
inter-sector linkage **16, 29, 42, 94, 129, 140**  
inter-sectoral assessment **94**  
international assistance **21, 145, 147, 154-7**  
International Disaster Response Laws (IDRL) **170, 173**  
international laws **42, 47, 50, 170-2, 174, 295**  
international NGOs **17, 21, 143, 155**  
IOM (International Organization for Migration) **iv-v, 6, 11, 154**  
items  
shelter support **280-1**  
transit support **122, 287, 297**

## K

kits **109, 286**

## L

labour  
direct **115, 275**  
labour types **115**  
land, agricultural **229-30**

land ownership **68, 229, 233**  
pre-disaster **265-6**  
landslides **xx-xxi, xxiii, 93, 214, 216**  
laws **135, 170-1, 174, 196, 228**  
leakage **213-14**  
linkages **37-9, 90, 121, 208-9, 244**  
livelihood support **104, 258, 290**  
livelihoods  
assessing **79, 201, 207**  
recovery of **54, 261, 264**  
local implementation **xvi, 41, 116**  
local information centres **120-1, 287, 296**  
Logistics Support Unit (LSU) **iii**  
loss assessments **20-1, 37, 81, 155, 207**  
LSU (Logistics Support Unit) **iii**

## M

market systems **208-9, 297**  
material selection **278-83**  
materials  
distribution of **284, 290, 293**  
hazardous **xxv, 213**  
MDTFs (multi-donor trust funds) **21, 156**  
mitigation **80, 111, 301**  
mud bricks **280, 283**

## N

NFI considerations **x, 279-81**  
NFI priorities **x, 282-3**

## O

objectives of assessment **85, 239**  
ODR (Owner Driven Reconstruction) **117**  
OFDA/CRED International Disaster Database **xx-xxi**  
Owner Driven Reconstruction (ODR) **117**

## P

packages **277-86, 297-8**  
participation

community **128, 147, 189, 238**  
support **202**  
supporting **109, 250**  
participation Assessment Tools Teams Implementation **201**  
participation mechanisms **51-2, 57, 103**  
participation plan **187**  
participatory assessment **93, 202-6**  
performance **193, 289**  
performance indicators **35, 148**  
planning levels **42-3, 100, 102-3, 117, 125**  
planning objectives, strategic **52, 104, 183**  
planning teams **25, 55**  
planning tools **36, 206**  
plans  
contingency **5, 10, 35-6**  
developing strategic **52**  
population data **225, 227**  
populations, hosted **253**  
post-disaster **87, 155, 157**  
post-disaster programme execution **222**  
post-disaster response **6, 101, 211, 242, 250**  
post-disaster response strategy **viii, 98**  
post-disaster settlement **ii**  
post-disaster situations **6, 22, 295**  
principles of coordination **4**  
programme  
conduct post-disaster **222**  
housing reconstruction **289**  
supporting **vii, 54, 88, 243**  
transitional reconstruction **xxii**  
transitional settlement  
reconstruction **99**  
programme implementation **101, 125, 127-9, 160, 189**  
coordinated **180**  
integrated **xix**  
programme planning **34, 129**  
project goals **287**  
project levels **17-18, 26, 45, 100, 102, 124, 126**  
project management **101, 147, 288, 300-1**  
project planning **23, 34, 43, 129, 252, 260, 299**

project planning processes **97, 99**  
property rights **57, 72, 196-8, 266, 295**

## R

rain **xxiii-xxiv, 210, 280-2**  
rainfall **xxiii, 217**  
rapid assessments, initial **138, 236**  
Rapid environmental assessment **121, 207, 211**  
REA (Rapid Environmental Assessment) **ix, 121, 207, 211**  
reconstruction assistance **97, 157**  
reconstruction funds **156-7**  
reconstruction guidelines **47, 81, 121**  
reconstruction operations **50, 185, 294**  
reconstruction outcomes **8, 49, 72**  
reconstruction planning **60, 295**  
reconstruction policy **78, 146, 295**  
reconstruction process **5, 43, 59, 61, 82, 122, 128, 170, 174, 270**  
reconstruction project preparation **144, 146**  
reconstruction response **xxv, 67**  
reconstruction solutions **12, 15, 122**  
reconstruction strategy **4, 20, 55-6, 103**  
reconstruction support **129, 250**  
recovery considerations **279-83**  
recovery process **58, 122, 174, 211, 296-7**  
remittances **xvii, 22, 39-40, 47-8, 163**  
resettlement **12, 57, 60, 113, 172, 196, 229, 273**  
resources  
  key **239, 241**  
  supporting **84**  
response efforts **xxv, 26, 83, 92, 202, 207, 211, 243**  
response strategy **4, 36, 138, 202-3**  
retrofit **98, 101, 111-12, 119, 124, 271**  
retrofitting **xx, 112, 271-2, 290**  
risk assessment teams **87**  
risk assessments **72, 78, 87**  
risk reduction **xx, 24, 54, 58-9, 87, 174**

roof insulation **281-2**  
RVA (Rapid Village Assessment) **25**

## S

sector coordination team **20**  
sector meeting **35**  
sector partners **13, 19, 140-1**  
sector response **42, 49-50, 138**  
self  
  rural **98, 225, 255**  
  urban **225, 254**  
self help **117-18, 277**  
self-help projects **118**  
self-settlement, rural **x, 105, 227, 255, 268**  
settlement, illegal **261**  
settlement options **182, 253, 257-8**  
settlement planning support **122, 287, 298-9**  
shelter  
  mass **112, 256-7**  
  semi-permanent **109**  
  temporary **145**  
shelter assistance **61, 81, 285**  
shelter construction items **98, 100, 119, 250, 279, 281**  
shelter items **119, 210**  
shelter NFIs **293, 301**  
shelter programme **94, 127, 129, 174, 197**  
shelter response strategy **169**  
shelter responses **60, 82, 170, 172, 199**  
shelter sector coordinate **9**  
shelter sector coordination body **vi, 1, 9, 13-14, 16, 26, 34**  
shelter sector coordinator **11, 29**  
shelter sector stakeholders **13**  
shelter sector strategy **47, 61, 170**  
  coherent **37**  
shelter stakeholders **92**  
shelter strategy  
  appropriate **3**  
  coherent **25**  
  common **2, 13**  
  effective **51, 169**  
  integrated **137**  
  single **12**  
shelter strategy development **169**

site selection **12, 113, 179, 190, 229, 231**  
soil contamination **213-14**  
specialists **18-19, 71-2, 86, 171, 272**  
Sphere Project **iv-v, xiii, 81, 104, 189-91**  
Sphere Standards **ix, 189-91**  
stakeholder consultation **40, 54, 238**  
stakeholder groups **48, 52, 70, 142**  
  wider sector **139**  
stakeholder input **10, 47**  
stakeholders  
  representative **28, 129**  
  sector **65, 138-9, 201**  
standards  
  international **148, 170, 174-5**  
  project implementation period-construction **144, 147**  
storms **xx-xxii, xxiv, 100, 223-4, 250**  
stoves **xxiii, 278-9**  
strategic advisory group terms of reference **xi, 140**  
strategic development **90, 244**  
strategic objectives **37, 184**  
strategic plan **54, 59, 180**  
strategic planning group **181-2, 184-8**  
strategic priorities **6, 155**  
Strategy Advisory Group meetings **138**  
strategy development **18, 138**  
strategy planning process **viii, 35**  
strategy toolkit **169, 179**  
strategy tools **vii, 167**  
structures  
  appropriate team **85**  
  existing **10, 256-7**  
  pre-existing **227, 256-7, 268**  
  project management **144, 146**  
  social **177, 256, 258**  
sub-national coordination hub **14**  
sub-national government capacities **14**  
successful completion of transitional settlement **122**  
support programme **199, 252, 256, 260**  
support services **20, 264**

## T

teams  
  dedicated **15, 18, 137**  
  professional **72, 87**  
  rescue **39, 70, 88**  
tenure issues **58, 169, 175, 197**  
timeline **144, 146, 186, 197**  
transitional shelter approach **xv, 103-4, 106-8, 251, 260, 268-70**  
tsunamis **xxi, xxiv-xxv, 213**  
Typical post-disaster funding cycles **viii, 40**

## U

urban self-settlement **x, 105, 112, 227, 254, 268**

## V

vegetation **xxiii-xxiv, 213**  
ventilation **176, 279-81**  
volcanic eruptions **xxiv, 214-16**  
volcanoes **xxiii-xxiv, 93**  
vouchers **47, 119-20, 122, 163, 287, 293, 297**

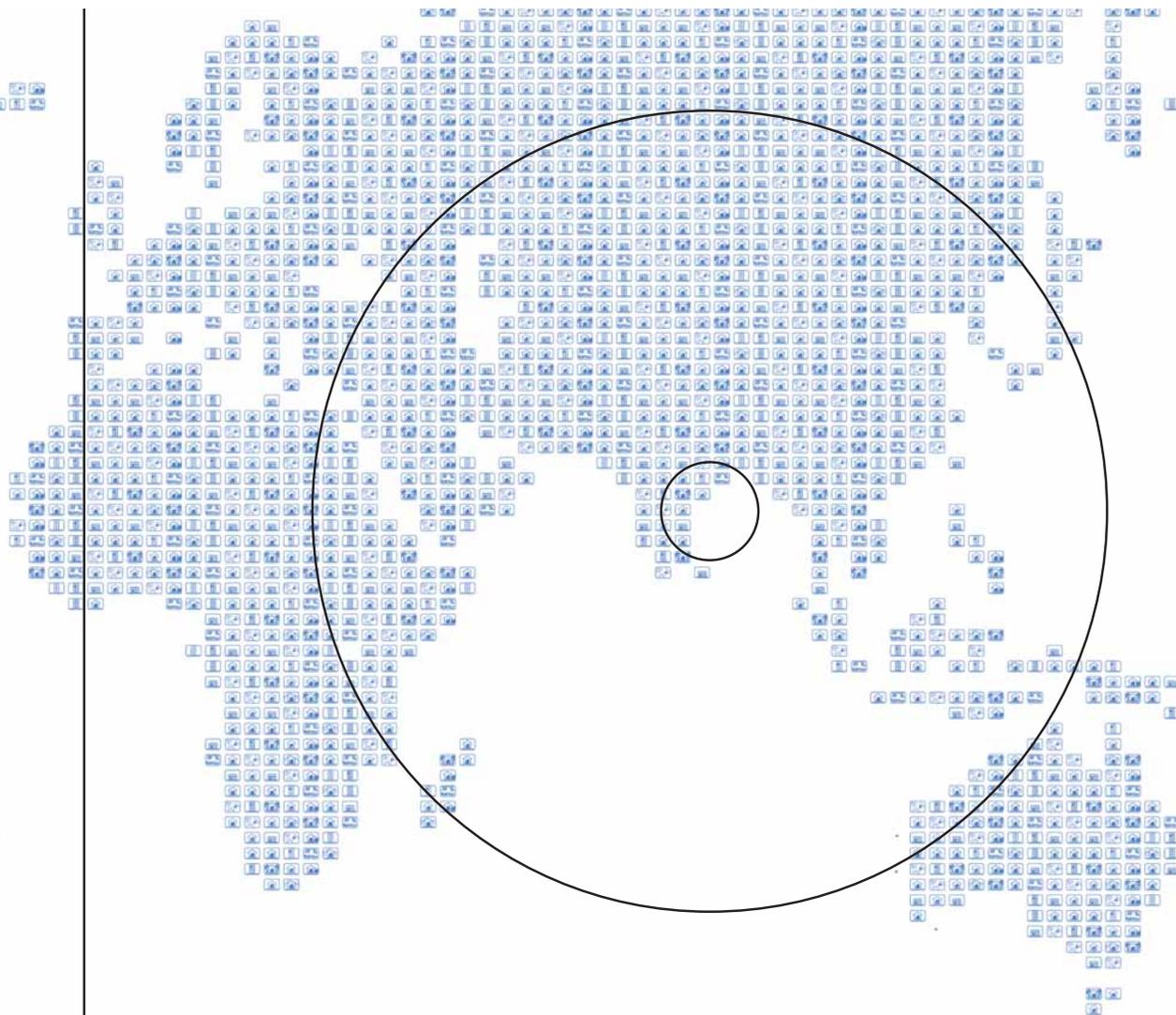
## W

WASH items **47, 98, 100, 119, 250, 280-1, 283**  
windstorms **xxii-xxiii**  
work breakdown **ix, 194**

## 10 Guiding principles for shelter after disaster

The following ten guiding principles for shelter, settlement and reconstruction after disaster are adapted from and are intended to be consistent with those published by the World Bank Global Facility for Disaster Reduction and Recovery (GFDRR) in 'Safer Homes, Stronger Communities: A Handbook for Reconstructing after Natural Disasters' (2010).

-  #1  
Strategy  
The joint strategy of government and the humanitarian agencies should involve and support the entire population affected by the disaster, fairly and equitably, responding to the different needs of different groups and with special attention given to those who are most vulnerable. The strategy and its implementation must be accountable and include ways of redressing grievances.
-  #2  
Reconstruction  
Safe reconstruction for those not displaced is just as important to emergency lifesaving as shelter and settlement is for the displaced. Immediate investment in safe reconstruction is often the best possible stimulus for recovery. Support to reconstruction must begin immediately and not be postponed to a later phase. Home owners are sometimes a minority in affected communities and are often not the most vulnerable, so appropriate assistance must be offered to both tenants and occupants without legal tenure.
-  #3  
Community  
Invariably, the greatest effort in a response is made by those affected. They are also most aware of the most appropriate, sustainable and rapid routes to recovery. The greater the involvement of the community in implementation, therefore, the more effective and cost-efficient the response will be.
-  #4  
DRR  
The standard humanitarian objective in a strategy is to return the affected population to their state before the disaster, whilst managing their vulnerability to future hazards. The resources and capacities available usually mean that damaged buildings cannot be replaced like-for-like, so the strategy is used to agree prioritisation, manage the expectations of the affected population and reduce risk, to ensure that vulnerability to future disasters is not rebuilt.
-  #5  
Coordination  
Government and humanitarian coordination mechanisms must also be coordinated or integrated, to ensure that all stakeholders participate appropriately in the response, and to ensure that a single strategy is agreed and implemented across the affected area. Standards specific to the response and joint assessments should be agreed as part of that strategy. All contributions to the response are tracked, from remittances to re-structured loans, so that support is targeted appropriately and accountably, minimising opportunities for fraud..
-  #6  
Development  
Responses to major disasters should take years and not months and so transitional support should be offered to the affected population over this period, whilst reconstruction is completed. Aspects of responses, such as land rights, take time to be resolved and proceeding too rapidly may result in inequality, poor sustainability and greater vulnerability. The cultural priorities of the affected population must be considered along with damage and loss.
-  #7  
Relocation  
The few examples that exist of successful relocation involved considerable consultation and participation throughout the process, as well as a very high level of funding per capital, when compared with other options. Unsuccessful examples did not take into sufficient consideration livelihoods, support to communal service infrastructure and environmental impacts.
-  #8  
Stakeholders  
The single coordination mechanism and the up-to-date strategy facilitate the roles, capacities and priorities of stakeholders in reaching the humanitarian objective agreed, accountably. In addition to the affected population, government and humanitarian stakeholders, it is critical to achieve a productive collaboration with the private sector where the humanitarian objectives can be maintained.
-  #9  
Assesment  
Assessment and monitoring ensure that the strategy is updated continually to reflect diverse needs and capacities of the affected population, hazards, gaps and overlaps in response, possible future scenarios, damage and resources available.
-  #10  
Sustainability  
Shelter, settlement and reconstruction as well as all other aspects of recovery depend upon the livelihoods of communities, involving institutions, markets and the environment. The response must be informed constantly by monitoring the recovery of communities, in order to optimise the efficiency and sustainability of support offered to them.



The CD ROM contains all of the documents and tools referenced and contained in these guidelines, which may also be found on the Shelter Library, [www.sheltercentre.org/library](http://www.sheltercentre.org/library)