

2nd Edition

**LEARNER'S  
GUIDE**



**TECHNICAL COMPETENCY UNIT**



**ADM.TEC  
031.2**

Analyse Shelter and  
Settlement Needs



**ASCEND**

ASEAN Standards and Certification  
for Experts in Disaster Management

## ASEAN Standards and Certification for Experts in Disaster Management

# ANALYSE SHELTER AND SETTLEMENT NEEDS

ADM.TEC.031.2

## Learner's Guide



ONE **ASEAN** ONE **RESPONSE**

The Association of Southeast Asian Nations (ASEAN) was established on 8 August 1967. The Member States are Brunei Darussalam, Cambodia, Indonesia, Lao PDR, Malaysia, Myanmar, Philippines, Singapore, Thailand, and Viet Nam. The ASEAN Secretariat is based in Jakarta, Indonesia.

The "ASEAN Standards and Certification for Experts in Disaster Management (ASCEND)" is under Priority Programme 5: Global Leadership of the ASEAN Agreement on Disaster Management and Emergency Response (AADMER) Work Programme 2021-2025 that envisions ASEAN as a global leader in disaster management.

The publication of this document is part of the "ASEAN Standards and Certification for Experts in Disaster Management (ASCEND) Toolboxes Development for Five (5) Professions" project.

General information on ASEAN appears online at the ASEAN Website: [www.asean.org](http://www.asean.org)  
Copyright of the Association of Southeast Asian Nations (ASEAN) 2021. All rights reserved.

For inquiries, please contact:

### The AHA Centre

Graha BNPB, 13th floor Jl. Raya Pramuka Kav. 38 East Jakarta 13120 Indonesia  
Phone: +62 21 21012278 Fax: +62 21 21012287 Email: [info@ahacentre.org](mailto:info@ahacentre.org)

The information provided in this publication is for informational purposes only. The publisher and authors of this document do not guarantee any results from using its contents. You should assess your individual needs, conduct your research, and seek professional advice before relying on the content contained in this document. The publishers and authors are not responsible for any injury, damage, or loss resulting from the use of this publication.

Images appearing in this resource are the property of the AHA Centre and used under their permission or sourced from CC Search and Flickr under the Creative Commons license:

<http://creativecommons.org/licenses/by/2.0/deed.en>

# Table of Contents

ASCEND PROGRAMME AND TOOLBOX: INTRODUCTION	1
LEARNER GUIDE INTRODUCTION FOR CANDIDATES	6
ASCEND COMPETENCY STANDARDS AND UNIT DESCRIPTOR	9
GLOSSARY OF TERMS AND LIST OF ABBREVIATIONS	14
UNIT READINGS AND ACTIVITIES	21
SELF-ASSESSMENT CHECKLIST	70
ORAL INTERVIEW AND WRITTEN TEST GUIDE	72
RECOMMENDED READINGS	75



ASCEND Programme and  
Toolbox:  
**Introduction**



**ASCEND**

**1.1**

## The ASCEND Programme

Southeast Asian governments, through the ASEAN Committee on Disaster Management (ACDM), continue to invest in strengthening disaster management systems for a more secure and resilient region. However, the compounding risks and increasing uncertainty of disasters in our new climate reality threaten to set back the socioeconomic development gains of ASEAN societies. Widespread and recurring disaster damages and losses can overwhelm national capacities and worsen regional transboundary effects.

The Declaration on One ASEAN One Response (OAOR) at the 2016 ASEAN Summit in Vientiane, Lao PDR, reaffirms ASEAN's vision to move towards faster and more integrated collective responses to disasters inside and outside the region. However, ASEAN's past experiences responding to large-scale disasters showed that realising the OAOR can be challenging. Various responders from different countries, institutions, organisations, and companies seek to contribute to the overall response. Their goodwill is appreciated, and several provide much-needed assistance. But ASEAN and affected Member States sometimes found it challenging to determine what knowledge and skills responders have and how they can effectively contribute to national and regional efforts.

Learnings from past experiences and shared commitment to realising the OAOR vision increased the need to develop regionally recognised Competency Standards and a certification process for disaster management professionals. The increased support led to initiatives that eventually created the ASEAN Standards and Certification for Experts in Disaster Management (ASCEND) Programme. ASCEND is now part of Priority 5: Global Leadership of the ASEAN Agreement on Disaster Management and Emergency Response (AADMER) Work Programme 2021-2025, a programme that envisions ASEAN as a global leader in disaster management.

**1.2**

## The Objectives of ASCEND

- To ensure disasters across the region are met with competent disaster management professionals in order to reduce the loss of life, respond effectively, recover more quickly, and decrease risks throughout the ASEAN region wherever possible. Note: In cases of extraordinary, diminished capacities, non-certified persons may be utilised at the discretion of the AMS in compliance with local governance/rules/laws.

- To establish a guide for certification of disaster management professionals across ASEAN Member States. The disaster management professionals will be certified in a competency-based assessment to perform tasks across all strategic components of AADMER, i.e. risk assessment and awareness, prevention and mitigation, preparedness and response, and recovery.
- To ensure disaster management professionals can work interchangeably and cooperatively both in their home country and in all AMS.

## 1.3

# Advantages and Benefits of an ASCEND Certification

### For ASEAN

The ASCEND certification enables ASEAN Member States to efficiently manage emergencies and disasters by fostering a regional network of competent professionals. It equips ASEAN countries to recognise the expertise of incoming assisting teams if needed. Simultaneously, it streamlines resource mobilisation for assisting countries while upholding the ASEAN Standards.

### For the AHA Centre

With ASEAN's rapid development and vulnerability to natural hazards, it requires a skilled workforce of disaster management professionals. The ASCEND certification can bridge the existing knowledge and skills gaps, promoting stronger cooperation and interoperability among disaster managers in the region.

### For disaster management professionals

The ASCEND certification serves as a valuable credential for disaster management professionals, providing evidence of their expertise and qualifications. It also helps organisations to determine the capabilities of certificate holders in performing critical job functions of specific occupations in the disaster management sector.

**1.4**

## The ASCEND Toolbox

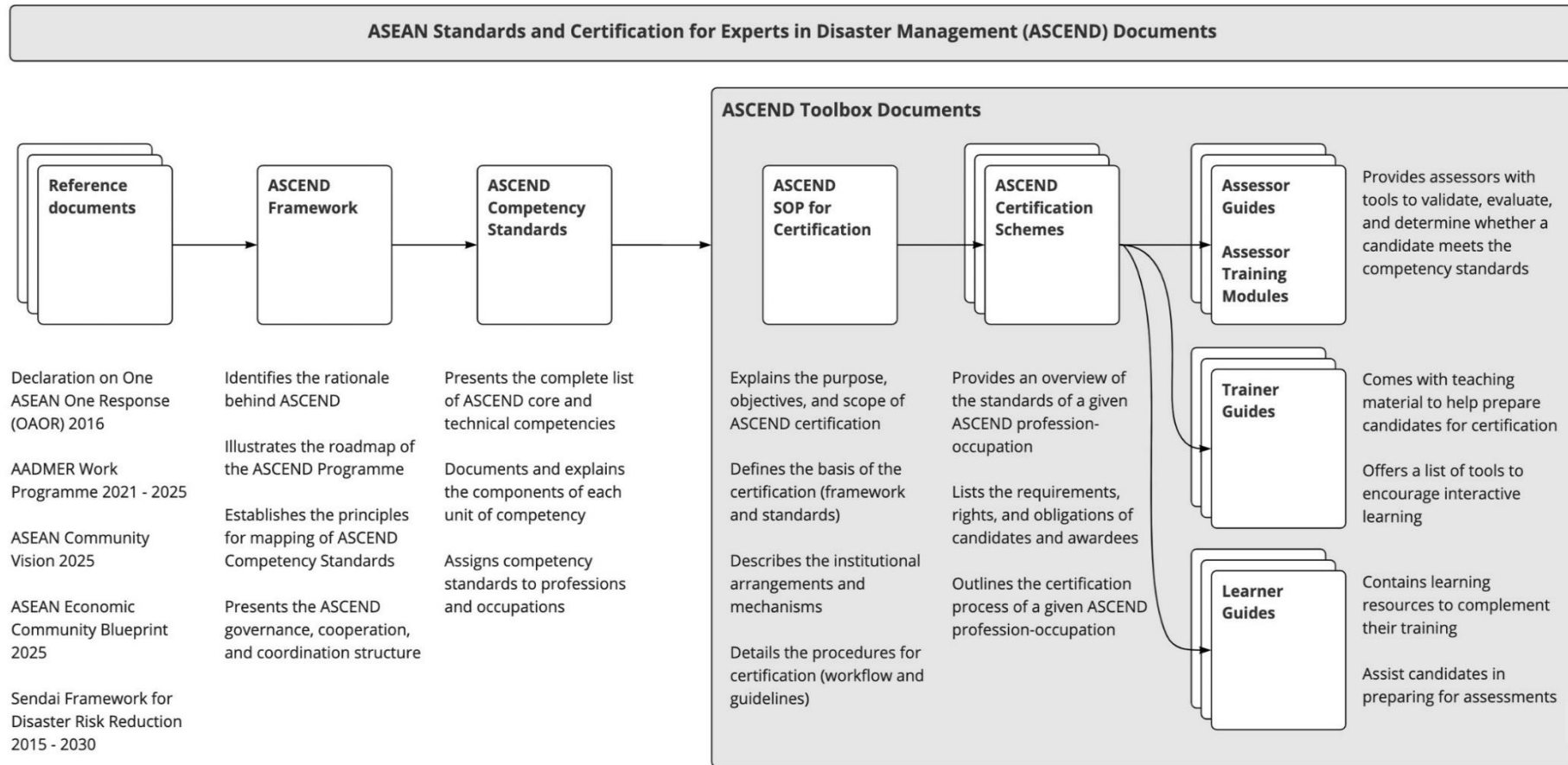
A set of technical requirements must exist before it is possible to implement the ASCEND programme in participating ASEAN Member States. The first requirement is the ASCEND Competency Standards, containing forty-three (43) regionally recognised core and technical competencies in selected disaster management professions. The Competency Standards outline the work elements and performance criteria that guide for certification of disaster management professionals across the region.

Another requirement is the development of an ASCEND Toolbox for five professions. These professions are Rapid Assessment, Humanitarian Logistics, Information Management, Water, Sanitation and Hygiene (WASH), and Shelter Management. The ASCEND Toolbox consists of an SOP, Certification Schemes, Assessor Guides, Trainer Guides, and Learner Guides. The ASCEND Competency Standards, approved by the ASEAN Committee on Disaster Management, are the primary basis of the Toolbox documents.

The SOP defines the basis of ASCEND, describes the institutional arrangements and mechanisms, and details the certification procedures. Certification Schemes present an overview of the standards of each profession-occupation and certification requirements, the rights and obligations of candidates and certificate holders, and general guidelines on the certification process. Assessor Guides provide assessors with tools to validate, evaluate, and determine whether a candidate meets the Competency Standards. Trainer Guides come with PowerPoint slides and presenter notes to help trainers prepare candidates for certification. It also offers a list of tools trainers may use to encourage interactive learning. Learner Guides assist candidates preparing for ASCEND certification in their chosen disaster management profession and occupation. It contains learning resources and complementary readings to help prepare them for the required assessment.

The ASCEND Toolbox documents can assist the ASEAN Member States to identify, build the capacity of, and mobilise competent disaster managers across Southeast Asia to help reduce disaster risks and disaster losses in the region through timely and effective response.

Figure 1: Overview of ASCEND Toolbox Documents





Learner Guide

# Introduction for Candidates



**ASCEND**

Welcome and thank you for your interest in pursuing an ASCEND certification. This Learner Guide is for you to read. It contains learning resources and helps you prepare for the required assessments: oral interviews, written tests, and observation checklists.

## Competency-based Learning and Assessment

**Competency** is the attitude and ability to use or apply one's experience, knowledge, and skills-sets to perform critical job functions in a defined work setting.

*Table 1: Competency areas and descriptions*

Competency area	Description
<b>Experience</b>	Refers to the qualifications of the candidate that make them eligible to pursue certification. It includes the candidate's formal education, work experience, professional training, and job-relevant life experiences.
<b>Knowledge</b>	Refers to what the candidate needs to know to make informed decisions on how to perform the work effectively.
<b>Skills</b>	Refers to the ability of the candidate to apply knowledge to complete occupational tasks and produce work outcomes or results at the standard required.
<b>Attitudes</b>	Refers to associated beliefs, feelings, motivations, and values that influence a candidate to make decisions and act according to occupational standards and the professional work setting.

There is one Learner Guide for each unit of competency. The Competency Standards and Unit Descriptor section of this document outlines the content you will be studying – broken down into elements and performance criteria that will be covered during training and assessed using competency-based methods. This guide contains a glossary of terms, a list of abbreviations, readings and activities, a self-assessment checklist, and information about the oral interviews and written tests.

**Competency-based methods** help ensure that the ASCEND certification process is relevant, valid, acceptable, flexible, and traceable – in alignment with the ASEAN Guiding Principles.

The relevance principle confirms that the ASCEND certification reflects the current professional needs in the disaster management sector. The validity principle relates to the consistency and equitability of the assessment process. The acceptability principle is about aligning the ASCEND certification to other disaster management professional standards and good practices. The flexibility principle refers to the responsiveness of the ASCEND certification to changes or differences in disaster management work settings and job requirements. The traceability principle ensures that evidence is sufficient to grant the ASCEND certification.

**Competency-based assessment (CBA)** is the process for evaluating whether a professional is qualified and competent to perform in a particular occupation. CBA is used to determine if the candidate's experience, knowledge, skills, and attitudes meet the standards and performance criteria defined in a unit of competency.



# ASCEND Competency Standards and Unit Descriptor



**ASCEND**

**3.1**

## Competency Standards

Competency standards are a set of industry-accepted benchmarks that defines the experience, knowledge, skills, and attitudes professionals need to perform well in an occupation. It also reflects the requirements of work settings and considers the developments in the disaster management profession.

**3.2**

## ASCEND Competency Standards

The ASCEND Competency Standards identifies the key features of work in selected disaster management professions, and performance standards professionals need to meet to be deemed competent. It also provides the list of the forty-three (43) core and technical competencies that serve as the basis for defining the regionally recognised disaster management qualifications across the ASEAN Member States. The five (5) professions covered by the ASCEND Competency Standards include Rapid Assessment, Humanitarian Logistics, Information Management, WASH, and Shelter Management. Under these professions are five (5) categories of occupations: Manager, Coordinator, Officer, Promoter, and Engineer. Overall, there are fifteen (15) profession-occupation combinations (e.g., humanitarian logistics manager, information management coordinator, WASH promoter).

Each ASCEND Competency Standard has its dedicated Toolbox documents: an SOP, Certification Scheme, Assessor Guide, Trainer Guide, and Learner Guide. Only one SOP applies to all profession-occupation combinations covered by the ASCEND certification. The Certification Schemes, one for each of the profession-occupation combinations. Both these documents align with the AQRF Level Descriptors, Section 4: Guiding Principles and Protocols for Quality Assurance of the AGP, and ASEAN Disaster Management Occupations Map. The Certification Schemes also outline the ASCEND competencies under selected professions and occupations, eligibility criteria, basic requirements and rights of candidates, and obligations of certification holders. Assessor Guides describe the components of particular competency standards and offer tools to determine the candidate's qualifications. Trainer and Learner Guides expound on a given competency standard's elements and performance criteria for learning and assessment preparation purposes.

The ASCEND Toolbox documents can assist the ASEAN Member States to identify, build the capacity of, and mobilise competent disaster managers across Southeast Asia to help reduce disaster risks and disaster losses in the

region through timely and effective response. The Toolbox documents may also serve as a reference for ASEAN Member States' seeking to develop and implement national-level competency-based certification processes based on their respective capacities and needs. The ASCEND Competency Standards and its derivative Toolbox documents will be reviewed and updated every five (5) years to ensure it reflects changes in the disaster management profession and remains relevant. Table 2 describes its main components.

*Table 2: Components of the ASCEND Competency Standards*

Component	Description
<b>Unit title</b>	Describes the critical work function to be performed in an occupation
<b>Unit number</b>	<p>A coding system to organise the units of competency. It also indicates the types of competency standards.</p> <ul style="list-style-type: none"> <li>▪ ADM.<b>COR</b>.000.0 are core competencies. These are general professional knowledge and skills related to international humanitarian principles and disaster management standards, including ASEAN mechanisms and procedures.</li> <li>•</li> <li>▪ ADM.<b>TEC</b>.000.0 are technical competencies. These are specific knowledge and skills needed to perform effectively in work areas under their chosen disaster management profession and occupation.</li> </ul>
<b>Unit description</b>	Provides information about the critical work function covered by the unit.
<b>Elements</b>	Presents the occupational tasks required to perform the critical work function in the unit.
<b>Performance criteria</b>	Lists the expected outcomes or results from the occupational tasks to perform and the standard required.

**3.3**

## Unit descriptor

**Unit title** : **Analyse Shelter and Settlement Needs**

**Unit number** : **ADM.TEC.031.2**

**Unit description:** This unit deals with the skills, knowledge and ability required to design an appropriate needs-based shelter and settlement assistance programme.

### Element 1.

#### **Determine shelter and settlement needs**

##### **Performance Criteria**

- 1.1 Design and conduct appropriate shelter and settlement needs assessments.
- 1.2 Determine priority shelter and settlement needs in need of additional support.
- 1.3 Map local market capacity (using Market-Based Programming Framework)
- 1.4 Determine suitable procurement strategies.
- 1.5 Collaborate/joint need assessment with other stakeholders

### Element 2.

#### **Determine appropriate shelter and settlement assistance options**

##### **Performance Criteria**

- 2.1 Determine key beneficiary groups in need of specific shelter and settlement assistance options
- 2.2 Determine appropriate shelter and settlement assistance options for each group
- 2.3 Align shelter assistance plans with the plans of other sectors and actors
- 2.4 Ensure Shelter coordination
- 2.5 Formulate and plan handover and exit strategy
- 2.6 Environmentally friendly Shelter assistances

### **Element 3.**

## **Design an effective shelter and settlement programme**

### **Performance Criteria**

- 3.1 Design technical specifications for shelter and settlement assistance options
- 3.2 Develop appropriate financial and administrative plans for the shelter and settlement assistance program
- 3.3 Write programme proposals and appeals as required by donors, government, and management



# Glossary of Terms and List of Abbreviations



**ASCEND**

## 4.1

# Glossary of Terms and List of Abbreviations

*Table 3: Terminology and Description*

Terminology	Description
<b>Shelter</b>	A place giving temporary protection from bad weather or danger
<b>Capacity</b>	The combination of all the strengths, attributes and resources available within a community, society or organisation that can be used to achieve agreed goals
<b>Cash-based interventions</b>	The use of cash, electronic money transfers, or vouchers provides disaster-affected individuals with support for their own flexible recovery priorities.
<b>Conditional cash</b>	The provision of cash, based upon the completion of certain tasks by the beneficiary, for example, after completing one specific stage of a house reconstruction, has been completed according to design.
<b>Continual assessment</b>	It involves regularly updating information on the situation and seeking relevant feedback from the beneficiaries in order to facilitate decision-making on long-term activities. Effective continual assessments help to spot changes when they occur.
<b>Core shelters/ one-room shelters</b>	Post-disaster household shelters planned and designed as permanent dwellings to be part of future permanent housing, allowing and facilitating the future process of extension by the household, following its means and resources. A core shelter aims to provide one or two rooms, providing post-disaster safe shelter by reaching permanent housing standards, facilitating development, and not completing a permanent house.
<b>Cross-cutting issues</b>	Critical themes overarching into all humanitarian aid activities
<b>Detailed assessment</b>	After a rapid assessment of the situation changes, a more detailed assessment is carried out, and more information is needed. It takes about one month, depending on the size of the area and the complexity of the situation
<b>Dignity</b>	The quality or state of being worthy of esteem or respect.

Terminology	Description
<b>Disaster</b>	A natural or man-made hazard resulting in an event causing significant physical damage or destruction, loss of life, or drastic change to the environment
<b>Disaster mitigation</b>	System planning to reduce the impact of any future disaster, for instance, diverting a river prone to flooding, is directed away from nearby towns.
<b>Disaster preparedness</b>	The ability of governments, professional response organisations, communities and individuals to anticipate and respond effectively to the impact of likely, imminent or current hazards, events or conditions.
<b>Disaster risk reduction</b>	The reduction of a building or community's exposure to a hazard. This can be done by making the building stronger or more hazard-resistant. Still, it can also be done by improving evacuation routes or by resettling communities a distance from the hazard.
<b>Displaced populations</b>	Populations that leave their homes in groups, usually due to a sudden impact, such as an earthquake or a flood, threat or conflict
<b>Early warning system</b>	The set of capacities needed to generate and disseminate timely and meaningful warning information to enable individuals, communities and organisations threatened by a hazard to prepare and to act appropriately and in sufficient time to reduce the possibility of harm or loss
<b>Economic recovery</b>	Strengthening and expansion of new and existing enterprises, together with the creation of jobs
<b>EMMA</b>	Emergency Market Mapping and Analysis. It is a toolkit for humanitarian staff in post-emergency contexts that aims to improve emergency responses by encouraging relief agencies to better understand, support, and use local market systems.
<b>Emergency Shelter</b>	Short-term shelter provides lifesaving support, the most basic shelter support that can be provided immediately after the disaster.
<b>Environment</b>	The physical, chemical and biological elements and processes that affect the lives and livelihoods of populations
<b>Hazard</b>	A dangerous phenomenon, substance, human activity or condition that may cause loss of life, injury or other health impacts, property damage, loss of livelihoods and services, social and economic disruption, or environmental damage

<b>Terminology</b>	<b>Description</b>
<b>Human vulnerability</b>	The diminished capacity of an individual or group to anticipate, cope with, resist and recover from the impact of a natural or man-made hazard
<b>Information management</b>	The management which involving coordination, delivery of relief assistance, beneficiary involvement, marketing and external relations, monitoring and evaluation
<b>Land tenure</b>	The means by which individuals make arrangements for how long they can reside or use a plot of land and under what circumstances
<b>Livelihood</b>	Comprises the capabilities, assets (including both material and social resources) and activities required for a means of living
<b>Market-based approach</b>	Interventions that target markets, and local economies, to make improvements in access to shelter for disaster-affected populations
<b>Most vulnerable groups</b>	Those groups considered at the most significant risk and consequently the most dependent on assistance
<b>Non-displaced population</b>	Populations that remain with their homes, or home cities, following the impact of a disaster
<b>Non-Food Items (NFI)</b>	Items other than food. Typically include essential household items such as blankets, plastic sheeting, containers for water, cooking items, etc.
<b>Progressive shelter</b>	Rapid, post-disaster shelters planned and designed to be upgraded later to more permanent status, with future transformation and alteration possibilities integrated into the structural basis of the unit. They are immovable and built on permanent sites to become part of lasting solutions.
<b>Psychosocial</b>	The combination of psychological and social but also implies that the effect of social processes is sometimes mediated through psychological understanding
<b>Rapid assessment</b>	Undertaken immediately after a disaster, the rapid assessment provides information on needs, possible courses of action and resource requirements. It usually takes up to a week.
<b>Rapid onset disaster</b>	A disaster that is triggered by an instance causes shock. The impact of this disaster may be short-lived or long-term. Earthquakes, cyclones, flash floods, volcanic eruptions are some examples of rapid-onset disasters

<b>Terminology</b>	<b>Description</b>
<b>Retrofitting</b>	See seismic retrofitting
<b>Safety</b>	Being protected against physical, social, spiritual, financial, political, emotional, occupational, psychological, educational or other types or consequences of failure, damage, error, accidents, harm or any other event which could be considered non-desirable. Safety can also be defined as the control of recognized hazards to achieve an acceptable level of risk.
<b>Security of tenure</b>	The arrangements by which occupants feel secure or have protection according to formal or customary law in the place where they live.
<b>Seismic retrofitting</b>	Modification of existing structures to make them more resistant to seismic activity, ground motion, or soil failure due to earthquakes
<b>Slow onset disaster</b>	A disaster that prevails for many days, months or even years like drought, environmental degradation, pest infection, famine are some examples of a slow onset disaster
<b>Stakeholder</b>	individual or group that has an interest in any decision or activity of an organization
<b>Structural vulnerability</b>	Structural or physical vulnerability is the extent to which a structure is likely to be damaged or disrupted by a hazard event.
<b>Temporary shelter</b>	Post-disaster household shelter is designed as a rapid shelter solution by prioritizing speed and limiting construction costs. The lifetime of the shelter may be limited.
<b>Transitional settlement</b>	The processes by which populations affected and displaced by conflict or natural disasters achieve settlement throughout their displacement before beginning transitional reconstruction
<b>Transitional shelter</b>	Rapid post-disaster household shelters are made from materials that can be upgraded or re-used in more permanent structures or relocated from temporary sites to permanent locations. They are designed to facilitate the transition by affected populations to more durable shelter. Transitional shelters allow an affected population to undertake post-disaster shelters.
<b>Voucher</b>	Paper or electronic substitutes for cash, allowing humanitarian organisations to restrict the list of items purchased, so that specific Shelter objectives can still be met whilst also providing significant flexibility of choice to the beneficiaries.

*Table 4: Abbreviation and Description*

<b>Abbreviation</b>	<b>Description</b>
<b>ASEAN</b>	Association of Southeast Asian Nations
<b>BHA</b>	Bureau for Humanitarian Assistance
<b>DEC</b>	Disasters Emergency Committee
<b>DFID</b>	The UK Department for International Development
<b>DRR</b>	Disaster Risk Reduction
<b>ECHO</b>	Humanitarian Aid Department of the European Commission
<b>EMMA</b>	Emergency Market Mapping and Analysis
<b>EOC</b>	Emergency Operations Centre
<b>HLP</b>	Housing, Land and Property
<b>ICRC</b>	International Committee of the Red Cross
<b>ID</b>	Identity Document
<b>IDPs</b>	Internally Displaced People
<b>IFRC</b>	International Federation of Red Cross and Red Crescent Societies
<b>INGO</b>	International Non-Governmental Organizations
<b>IM</b>	Information Management
<b>IOM</b>	International Organization for Migration
<b>LGBTI</b>	Lesbian, Gay, Bisexual, Transgender and Intersex
<b>NFI</b>	Non-Food Items
<b>NGO</b>	Non-Governmental Organisation
<b>OCHA</b>	Office for the Coordination of Humanitarian Affairs

<b>Abbreviation</b>	<b>Description</b>
<b>UNHCR</b>	United Nations High Commissioner for Refugees
<b>USAID</b>	United States Agency for International Development
<b>WASH</b>	Water, Sanitation and Hygiene



# Unit Readings and Activities



ONE ASEAN  
ONE RESPONSE

## ASCEND

**5.1**

## **Element 1. Determine Shelter and Settlement Needs**

### **1.1 Design and conduct appropriate shelter and settlement needs assessments**

#### **A. Introduction**

Understanding context is essential prior to making any decision on intervention. Therefore, needs assessment should be done properly from the plan and design phases to the implementation. There are tools, standards, and criteria used to guide needs assessments, including data collection.

#### **B. Appropriate shelter and settlement need assessments**

Since every disaster is unique, an appropriate shelter and settlement needs assessment should be tailored to ensure applicability and accuracy. Various available assessment tools and criteria can be used to capture many aspects to ensure that the needs of the most vulnerable groups are addressed, and self-recovery initiatives are strengthened.

#### **C. Understanding context using data from EOC with data from Information Management (ADM.TEC.16.2 to ADM.TEC.20.2) and other sectors (e.g. ADM.TEC.001.2 to ADM.TEC.005.2)**

Understanding the context where disasters and emergencies occur is vital, which generally depends on:

- Social-economic including demographic data and information.
- The magnitude showed by the number of fatalities, the number of affected or displaced people, and the number of damaged houses.
- Historical data related to hazard-induced disasters, i.e.:
  - Natural hazards are naturally occurring physical phenomena triggered either by rapid or slow-onset events – such as geophysical, hydrological, climatological, meteorological, and biological.
  - Man-made hazards include technological hazards and conflict/war.

- Aggravating factors such as climate change, unplanned urbanisation, under-development/poverty, degraded ecosystem, and biohazards threat, including epidemics/pandemics, will increase the frequency and severity of disasters and result to uncertainty and complexity.
- Local cultures and their belief system
- The ability of the national government to respond, and policy on accepting national and international assistance.

Before designing an assessment plan, it is necessary to look for preliminary data that can be gathered from various sources but not limited to the following organisations:

- An emergency operation centre of a local or national disaster management authority
- Situation reports (Sitrep) from other organisations may provide information such as a disaster-affected area, the number and distribution of affected population, displaced people, the number of house or shelter damage, etc.
- Data from information management is produced by coordinated information collection, such as by the Shelter Cluster.
- Local newspaper or online media

## **D. Plan your shelter needs assessment using legitimate tools and standards**

There are plenty of assessment tools that can be used to inform, and guide needs assessment. Some of these assessment tools can be used directly with a few adjustments. In contrast, some of the tools or standards might need to be adjusted for the context of planning and operation.

- **Global Shelter Cluster Assessment Guidelines**  
Shelter assessment provides humanitarian responders and planners with an understanding of the shelter response's needs, gaps, and priorities after a rapid-onset emergency or a protracted crisis. A shelter assessment also establishes a baseline against which responders from both affected governments and humanitarian actors can measure the progress and impact of an intervention. For more information, access this [link](#).
- **IFRC and ICRC - Guideline for assessment in emergencies**  
The guidelines are designed for use by anyone undertaking an assessment, including all Red Cross movement/societies members. The Guideline covers the process and various types of assessment,

including shelter, health, livelihoods, WASH, food and nutrition and safety, security, and protection. For more information, access this [link](#).

- **UNHCR Needs Assessment Handbook**

The handbook consolidates existing policies, practices and guidance and represents the first guidance UNHCR has produced on needs assessments that applies to all sectors, situations, methods, and populations of concern. For more information, access this [link](#).

- **Sphere for Assessments**

Use the Sphere Handbook for assessments through the needs assessment checklists at the end of each Minimum standard. These offer practical support for designing an assessment plan. The Sphere Handbook also guides the assessor in planning a quality assessment that respects the affected population's capacities, voices, and safety. For more information, access this [link](#).

## **E. Conduct coordinated shelter and settlement needs assessment**

Since shelter and settlement needs assessment will cover wide areas and aspects, coordination is vital. Shelter needs assessment should be carried out with other sectors to ensure accuracy and comprehensiveness.

- Jointly with other agencies to develop questions most pertinent to the needs of the survivors.
- Agreement on the scope and data processing methods to ensure that all aspects can be covered, especially the needs of the most vulnerable can be addressed.
- Obtain endorsement on assessment tools, questionnaires, and methodologies from the government, shelter coordination mechanism, and other related sectors.
- Discuss and agree on the agencies' potential working area or geographical scope on who will conduct the assessment.
- Proper training is delivered to all assessors on conducting surveys, respecting the affected people, understanding how to use the questionnaires, and operating the collection tools.
- Depending on the availability of technology, the survey can be carried out by paper-based survey or electronic to record the response.
- The assessment team will analyse the collected data and disseminate the assessment report.

## F. Activities

Please design the questionnaire for shelter needs assessment following an earthquake event. The scenario situation for the affected area is as follows:

- In rural areas, transportation is an issue since only small trucks can access it, but the area becomes landslide-prone due to the earthquake.
- From a situation report issued by a national NGO, 30% of the houses in the area are damaged.
- Livelihood: Mostly farmers, but the rest of them are merchants. Many of them work in the surrounding cities.
- The villagers are multi-ethnic, but no information regarding livelihood or living conditions across the ethnicities.

You might use an example of a questionnaire from the Shelter needs assessment UNHCR page 3-13, and the document can be downloaded from <https://emergency.unhcr.org/entry/35786/shelter-needs-assessment>

## G. Summary

- Shelter and settlement need assessment is one of the crucial undertakings in responding to disasters. All organisations need a clear picture and understand the context of disasters and affected people.
- The available tools and methods that the leading organisations provide can be used to design the assessment.
- Since needs assessment might be done only once, it should be prepared comprehensively and supported by multiple stakeholders, including other sectors.
- Collected data, analysed data, and assessment reports should be disseminated through a coordination mechanism to ensure that all stakeholders access the findings.

# 1.2 Determine priority shelter and settlement needs in need of additional support

## A. Introduction

There are initiatives to support affected people with shelter and settlement assistance following a disaster event. Unfortunately, the support might be insufficient due to the lack of capacities from service providers and resources, including construction materials. The support provided might vary along the time depending on the dynamic of the processes done by

government and humanitarian organisations. Nevertheless, the support should meet humanitarian standards.

## **B. Understanding priority shelter and settlement needs**

The shelter is one of the primary needs for affected people in the initial stages. Therefore, shelter and settlement should provide security and personal safety, protection from the climate, and enhanced resistance to ill health and disease. However, the way the support is provided should not undermine the survivors' coping mechanism, including their ability to make decisions to self-manage and self-sustain their recovery. Below are shelter and settlement needs described as follows:

- The need to provide a legally temporary place to live with dignity, is secure, healthy and safe (from any disturbances, including natural hazards and the hazardous environment – such as floods, heat/cold stress). The sheltering service must ensure the well-being of the affected population.
  - If they live in individual temporary shelters, rent, or with a host family, they need support to return to the site of their original dwellings whenever and wherever possible.
  - Those who cannot return to their original place need support while living in a transitional shelter, including collective settlements such as barracks or camps.
  - In both individual and collective settlements, the dwellers need to maintain dignity and sustain family and community life as best as possible.
- The need to provide access to water and sanitation services and social facilities, including health care, schools, and places of worship.
- The need to provide access to land, markets, or services to continue or develop livelihood support activities.
- The need to have sufficient pathways, drainage, and adequate lighting utilities, especially at night.
- The need for durable construction material and technical assistance if dwellers want to repair or enhance their temporary settlement.

## **C. The need for additional support**

Shelter and settlement programs need to have additional support since those needs mentioned above, in some cases, are insufficient. The needs which generally require additional support in shelter and settlement programs are:

- The hosting community and families play critical roles in supporting disaster/crisis-affected people living in their surroundings as they share their resources and facilities. Therefore, it is essential to remember that they also need extra support to maintain sufficient basic needs such as water and food.
- Support for renters and squatters who do not have land titles. These groups need to be accommodated in a shelter and settlement program.
- Health issues, including potential epidemics, can be serious in densely populated shelters. Thus, key support is needed to ensure proper physical distancing, such as quarantine and access to health services.
- Mediation with donors and governments in supporting the land provision for a prolonged shelter program due to conflict or loss of land access (e.g., landslide, liquefaction, or violent conflict).

## **D. Determine the priority of additional support**

To determine the priority of the additional support given to the shelter and settlement program, it is important to conduct a gap analysis that focuses on the coping mechanism and existing support or response from the affected governments and/or organisations.

- Immediate life-saving shelter and settlement activities and priorities such as prevention of outbreak and/or epidemic. The additional support can be a provision of quarantine facilities and more access to health services.
- Anticipate potential problems related to shelter and settlement, including projections and contingency planning. For example, in highly uncertain situations such as conflict-affected camps settlement – the assessor must be mindful that there is a potential influx of internally displaced people (IDPs), including refugees. Therefore, it is likely that shelter provision services can be extended since it is uncertain when the refugees can return to their original place. The support can be provision of land with a considerable amount of space that can be used for an extended period, shelter repair, and funding for camp management.
- Advocacy on housing, land and property (HLP) issues for the displaced people due to relocation, since they cannot rebuild their house in their original place due to unsafe zones, and people who live as renters or aquafers.

## E. Activities

Please watch HLP in Emergencies video on [Youtube](https://www.youtube.com/watch?v=FvD0aezLFG4).  
<https://www.youtube.com/watch?v=FvD0aezLFG4>

Please identify the needs of Housing, Land and Property for the affected people. Please list the key messages of this video, then, as a Shelter Manager, identify your strategy to address those needs.

## F. Summary

- Shelter is one of the primary needs of affected people in emergencies and disasters. Therefore, shelter and settlement should provide security and personal safety, protection from the climate, and enhanced resistance to disease spreading.
- Additional support for the shelter and settlement program is necessary because affected governments and humanitarian organisations at specific points might have limited resources. Before a disaster strikes, the people have already experienced gaps in the shelter sector. Such a situation can be amplified during a disaster.
- It is not easy to provide additional support for the shelter and settlement needs, but there are priorities to determine which should come first. The list is based on immediate life-saving shelter and settlement activities, anticipating the future problem, and advocacy for HLP.

## 1.3 Map local market capacity and determine suitable procurement strategies

### A. Introduction

In order to strengthen community-driven (including owner-driven) recovery, government and humanitarian organisations need to ensure that the local suppliers can supply builders with adequate construction material of good quality. This section helps the learners to understand how much the local market can provide goods and services. Organisations and responders need to develop a strategy to work with the local suppliers and vendors to ensure that the disaster-affected and host communities meet their shelter needs.

## B. Understand market systems with assessment tools and plan

The outcome of an effective shelter services during an emergency depends on how the local market can provide construction materials or other Non-Food Items (NFI). Without adequate and timely recovery, it is challenging to build back safer. To understand the existing local market system and its capacities, the organisations or assessors need to conduct a market survey.

In order to have a more accurate survey, some of the following tools and guidance can be used to understand the relation between the market system and the quality of self-recovery:

- A market system is a network of producers, suppliers, processors, traders, buyers, and consumers involved in producing, exchanging, and consuming a particular commodity or service. The system includes various forms of infrastructure, input providers, and services. It also operates within the context of rules and norms that shape the local business environment.
- The market functions if those actors are present and the links connecting those actors are in place.
- Natural hazards and human-made hazards can disrupt supply chains. For example, natural hazards such as earthquakes, landslides, and tsunamis, which might ruin roads, bridges, and ports, will affect prices and supply. Any disruption in the material supply chain can cause price inflation. Therefore, the presence of resilient infrastructure is vital for the supply chain.
- As part of the system, services such as transportation and warehousing also have a significant function. Their services always have a positive correlation with price stability.
- As long as the market system can function well in the recovery time frame, material provision and price remain stable, which will strengthen owner-driven recovery.

Market capacity needs to be investigated in order to understand how well the system can fulfil the recovery needs. Since there is always limited time to conduct survey while there is pressure to procure construction material and/or NFIs, reliable tools should be used to ensure comprehensiveness and accuracy. Many organisations commonly use emergency Market Mapping and Analysis (EMMA) Toolkits.

- EMMA is a set of tools and guidance notes. It encourages and assists front-line humanitarian staff in sudden-onset emergencies to better understand, accommodate, and make use of market systems. It does not offer a simplistic blueprint for action. However, EMMA provides accessible, relevant guidance to staff who are not already specialists in market analysis.
- The key outputs that can be collected by using the EMMA survey are as follows:
  - i. Before the onset of the emergency:
    - A final, seasonally adjusted baseline map (or maps) representing the market system before the onset of the emergency.
    - Data about numbers of market actors, prices, and volumes of production and trade in the baseline situation (shown either on the market map or included in separate tables)
    - Explanatory text describing the baseline market system's key features that are most relevant to the crisis-affected situation
  - ii. Current condition when the survey is conducted:
    - A final, seasonally adjusted, emergency-affected map (or maps) representing the most current market situation.
    - Data about numbers of actors (suppliers, vendors, buyers), prices, stocks, and production and trade volumes in the emergency-affected situation (shown either on the market map or in separate tables)
    - Explanatory text describing the critical aspects of the impact of the crisis on the market system, including significant constraints, bottlenecks, and coping strategies of market actors
  - iii. A seasonal calendar for the market system.

By using EMMA, the shelter assessment team should have the answer to the following questions:

- What is the capacity of the local market to supply construction material or other NFIs for the shelter intervention to 100% of the target population? The intervention might be a temporary shelter, upgrade, or support the rebuild of the permanent house.
- Is a market-based response appropriate for the shelter intervention?
- Are there risks associated with market-based response options for shelter intervention?
- How will the market affect the infrastructure, input providers, and services that are also affected by the disaster?

## C. Conduct a local market capacity survey

The management team should design, prepare, and conduct the survey by following guidance from EMMA. Below are the steps in preparation for the survey implementation.

- Determine the working area where the shelter intervention will be provided.
- Collect all information on the disaster in that area through available sources such as situation reports from various organisations, Emergency Operations Centre and Information Management from Shelter Cluster. The information should cover as the following:
  - The number of intended people to be supported by the shelter intervention; and whether or not the number will change along with the program due to changes in the affected population.
  - The number of damaged houses and shelter assistance needed in the area.
  - Identified vulnerabilities in the area, such as:
    - New arrivals as refugees from conflict areas.
    - Women and female-headed households.
    - Children.
    - People with disabilities and the elderly.
    - Economic poverty
    - Local environmental condition
  - Current disaster impacting the neighbourhood or hosting community, environment, and security.
- Develop a list of key information from stakeholders in the area, covering government, NGO partners in clusters or working groups, and donor representatives. It is essential to keep in mind to consult as many people as possible who already know the community and have already been in the area.
- Design interview questionnaires using EMMA toolkits. However, the questionnaire should be from a shelter intervention perspective since the intended survey is to map the market capacity for shelter.
  - By using EMMA methodologies, select which critical market systems will be the subject of EMMA investigation:
    - Which market systems are most significant or urgent for protecting the life and livelihoods of women and men?
    - What are government agencies or other large agencies doing or planning to do?
    - Which market systems have been most affected by the emergency?

- Which market systems fit the agency's sectoral mandate and competencies well?
  - What are the critical issues in terms of response timing or seasonality?
  - Which market systems appear to have scope for feasible response options
- Develop questionnaires for market stakeholders in order to capture their capacity. Sample questions in the Emergency Market Mapping and Analysis Toolkit can be found on pages 89 - 95.
    - Questions for local market actors regarding their business, customer, credit or debt, suppliers, business cost, competitors, and perspective regarding the future.
    - Questions for more prominent market actors or key informants who are market actors and service providers. Also, questions regarding institutions, rules, and norms.
    - Questions for large employers who value chain actors and service providers are. Also, questions regarding the business environment and institutions.
- Organise a survey team, including logistics for fieldwork.
  - Provide training to the enumerators.
  - Deploy and support the enumerators during the survey.

*Image 1: Checking beneficiaries' identity cards and vouchers in front of the construction material shop. The vouchers will be redeemed with construction material.*



*Photo Palang Merah Indonesia (2018)*

## D. Determine suitable local procurement strategies

After completing the field survey, the data will be analysed to understand their real needs, such as the stock of available construction materials. The data should inform the needed assessors and the respective organisations on how they procure the material and accept credit if the community purchases the construction material. This module recommends some strategies for determining the local procurement:

- Mapping the local market stakeholders i.e.
  - Cutters or collectors for timber, bamboo, or other forestry products.
  - Sawmill or enterprise that processes timber or bamboo.
  - Middlemen who are formal or informal.
  - Transporters.
  - Vendors who provide other construction materials such as cement and steel rebar.
  - The vendors are wholesalers, retailers, and opportunistic traders, if any.
  - Government body related to the environment and other policies.
  - The financial institution that can provide financial services to retailers and consumers.

- Consumers who are the targeted population for the shelter program.
- Conduct value chain analysis of intended construction material. How much is the input of each market stakeholder to the final prices that consumers should pay.
- Identify each potential disruption that can affect construction material provision and inflation.
- Identify risks that can harm health and the environment.
- Provide strategy on procurement based on the following:
  - Locally available material which is not harmful to the environment.
  - Other construction materials that can be obtained with acceptable transportation costs.
  - Consult with the shelter program on which construction material should be provided. This process should respect:
    - Time frame and season.
    - The ability of local builders and affected people to use it with available tools.
- Consult with financial service providers regarding the fastest and safest transaction between consumers and retailers.

## E. Summary

- Shelter programs should strengthen community-driven (including owner-driven) recovery initiatives. Therefore, the presence of government and humanitarian organisations provides additional support to close gaps.
- Due to great demand for construction material, while on the other hand the market was disrupted due to disaster, some gaps need to be addressed.
- Most of the construction material needs should be provided locally or outside but with acceptable cost.
- Therefore, the capacity of the local market should be identified.
- The shelter program should be designed to maximise potential local material and determine procurement strategy.

## 1.4 Determine suitable procurement strategies

Note. This Performance Criteria is only briefly introduced here. For a more detail competence, all topics regarding procurements, logistics and supply chain are available from Humanitarian Logistics competencies: ADM.TEC 006, ADM.TEC 007 and ADM.TEC 008.

### A. Procurement Principles in the Humanitarian Context

There are certain principles that govern the way in which a procurement activity is carried out. These principles are not random or chosen by chance; they are the result experience. Humanitarian actors can have a large financial impact on the contexts in which they work, and procurement plays a major role in that it has to do with the exchange of money, selection of providers, distributions in insecure contexts, and constant exposure to various risks.

A general series of principles have been developed that govern procurement actions, to which the procuring entities are strongly advised to adhere. The ultimate goal of these principles enacting an economic and efficient intervention with the best quality-price ratio.

### B. Best Value for Money

The combination BVM speaks of are cost, quality and sustainability that best meets the organisation's requirements.

- Cost is understood as costs of the entire life cycle of the product or service. Total Cost of Ownership (TCO) takes into consideration not only the price, but all the cost involved in buying and using a product over time.
- Quality understood as sufficient specifications to meet the organisation requirements.
- Sustainability, taking into account the economic, social and environmental impacts.

Those responsible for procurement should look for the lowest overall cost to get the best return of investment.

## C. Procurement Strategy

Any procurement strategy must observe the core procurement principles established by an organisation and should incorporate different procurement plans for programs or projects where needs are pre-identified. Agencies should know what, where and when supplies are needed and choose a supporting supply strategy, paying attention to the total cost of ownership (e.g., initial purchase, shipping, operation, maintenance, and disposal costs), the special field conditions and the actual ability to acquire and deliver materials and services needed. If agencies do not approach procurement strategically, they run the risk of not being able to accommodate all needs, fail to comply with budgetary restrictions, and run financial, reputational or even security risks.

A strategy has to be flexible and ready to be revised with changing conditions, changing requirements, or changes in the context surround the organisation. Each intervention must have a separate procurement plan that reflects the minimum information on the anticipated needs, allowing:

- Improve sourcing and thereby increase competition.
- Mitigate the risk of redundancy, reducing transaction costs and prices through the consolidation of procurement actions.
- Increase the efficient use of resources by avoiding last minute actions.
- Prevent non-compliance with regulations, rules and procedures due to oversight or time constraints.

Procurement plans are the basis of any procurement process - they must be prepared before the start of any action, program or project, and must be based on analysis of budget, beneficiary numbers and activities. The exercise is a common effort among all the participants, including project and programme staff, logistics personnel involved in procurement, and finance staff who control budgets. The plan should formalise the following details:

- Description of goods/services to be procured.
- Estimated costs and quantities of the needed goods and services.
- Categories of goods and services.
- Solicitation methods.
- Target delivery dates (timeline/schedule).

It is possible that aid organisations cannot not foresee all needs throughout the project duration, and that any given plan may undergo major or minor modifications due the changing conditions. There are usually recurring requirements that can be anticipated, however, and there are some reasonable estimates that can be based on past experiences from where planners can extract information.

It is key to clearly define the requirements for every needed good or service at the planning phase. This enables persons enacting procurement to better understand the function, performance and technical specifications that will be required to cover the requester needs, how to determine the best solution to fit them, and how to establish the evaluation criteria to assure the quality standards.

## 1.5 Collaborate/joint need assessment with other stakeholders

Note. This Performance Criteria is only briefly introduced here. For a more detail competence, all topics regarding coordinated and joint assessment competencies: ADM.TEC 001 and ADM.TEC 002.

Significant efforts have been made in the past few years to strengthen the quality and coordination of emergency needs assessments used for strategic decision-making. This complements state efforts where appropriate. Yet there remains a lack of shared understanding, expectations and commitment to the collective endeavour. The application of current approaches and tools falls short of meeting the decision-making requirements for various stakeholders for both programming and funding. The proliferation of uncoordinated needs assessments leads to duplication, wasted resources and putting a burden on affected populations.

To increase the confidence and the relevance of needs assessments for all stakeholders, the needs assessment process must be coordinated, impartial, collaborative, and fully transparent with a clear distinction between the analysis of data and the subsequent prioritization and decision-making. The involvement of specialists supporting data collection and analysis can strengthen the collective process. Independent reviews and evaluations can contribute to learning and improvement of practice.

**5.2**

## **Element 2. Determine Appropriate Shelter and Settlement Assistance Options**

### **2.1. Determine key beneficiary groups in need of specific shelter and settlement assistance options**

#### **A. Introduction**

The aid and support for response and recovery of post-disaster programs are generally a blanket approach in which each beneficiary is treated equally. But there is always a vulnerable group that might potentially be excluded during response and recovery efforts. Therefore, such group of beneficiaries should be identified during the assessment. Shelter programming should address their specific needs for shelter and settlement assistance. The assistance should also be appropriate according to the time and match each particular group.

#### **B. Understand key beneficiaries' groups**

After the disaster, people whose houses were damaged or lost might stay in temporary settlements. The period of stay will vary according to various variables such as their ability to rebuild their houses and the capacity of their (local) government to provide support. Their ability depends on the scale of the events, the degree of damage, and their intrinsic vulnerabilities such as loss of jobs and livelihoods after disasters. External factors such as conflict or social issues (e.g., lack of governance and public services) will also affect their ability to find of refuge. Learning from large-scale disasters in ASEAN countries in the last 20 years, some survivor's original land markers often disappear after events, especially in the context of tsunamis, liquefaction, landslides and tropical cyclones/typhoons.

Therefore, in order to deliver support properly, these affected people can be grouped as follows:

- People who legally own land can return to their land soon if the condition allows. This group of affected people as shown below can live in temporary stay.

- People who live in a temporary shelter on their land can then rebuild their houses in situ.
- People who live in temporary settlements close to their land can soon return to their original place to slowly rebuild their houses.
- People live with their extended families or rent, whether within the area, or living at a reachable distance.
- People who possibly cannot go back to their original place, such as:
  - People who have issues with HLP. These issues generally appeared due to relocation caused by disaster, people who live as renters and/or people who do not have access to processing land titles.
  - People who live in camps due to prolonged conflict with no assurance that they can be back to their original place.
- People whose challenges are due to social issues making it difficult for them to access common services provided by government or humanitarian organisations such as:
  - People marginalised by cultures such as minority groups, including caste, religion, indigenous and LGBTI groups, are often excluded from social and public service access.
  - People who live under the poverty line or economic vulnerability, thus the common support given to others would not be sufficient for them.
- People who have challenges that are inherent with their being or conditions such as:
  - People with disabilities whose living space needs special features to live with full function.
  - People, mostly women and children, who need protection due to conflict or other security reasons.
  - Other vulnerabilities such as children and older adults who need help from others on shelter provision
- People who might be affected by future vulnerability caused by aggravating factors such as climate change or pandemics.

Those challenges above need to be identified as constraints to shelter recovery. The assessor team also needs to examine the scenarios such as (1) entirely relying on the existing capacity to self-recover; (2) their ability to combine resources from governments or humanitarian agencies. Their current condition can be identified using the information provided by the following:

- Shelter and settlement need assessment (collected during emergencies)
- Government census (collected pre-disaster).
- Social studies in particular areas conducted before the disaster.

The additional shelter and settlement needs may vary in type and number, depending on the findings from the needs assessment. Due to limitations that government or agencies may provide, shelter organisations need to prioritise the additional needs that can be supported at a specific time. The prioritisation can be done as follows:

- Agreeing on vulnerabilities that need to be addressed.
- Develop scoring tools to help identify the number of people needing specific additional support.
- Determine priority needs by combining the organisational capacity and priorities lists which resulted from the scoring.

### **C. Determine various sheltering phases and assistance options**

Due to dynamics and the nature of emergencies including the recovery stage, needs and priorities often change. Such a situation often depends on the quality of response from the authority and the supporting agencies. It is crucial to keep in mind that disaster survivors, including affected beneficiaries, also make efforts to recover. Therefore, the assistance options above can be selected based on who will be the least possible to self-recover.

Then, the program can be designed following these key beneficiaries:

- The most vulnerable criteria should be agreed with the government, community, and agency values and missions.
- People who have barriers due to their cultures, tradition, religion or sexual orientations.
- People who do not have legal rights on their land.

## D. Activities

*Image 2: Meeting with the beneficiaries.*



*Photo Habitat for Humanity Indonesia 2006*

As shown in the photo above, not all beneficiaries were present in the formal meeting. There should be a follow-up meeting to ensure those with barriers can be included in the shelter assistance.

As a Shelter Manager, you need to respond to the following:

- What would be your strategy to ensure those with barriers can be consulted?
- Then, if they were consulted, how would you ensure they could give an accurate answer?
- Is there any risk to the community if you approached this particular group?

## E. Summary

- To ensure objectivity in setting the priority, the needs should be assessed using agreed tools and reliable sources of information.
- Generally, there are specific challenges related to shelter and settlement for vulnerable groups who need to be supported, i.e. people who have issues with Housing, Land and Property (HLP), people with disabilities, and other marginalised groups.
- Deliberate planning is key in shelter needs assessment to ensure the inclusion of the most vulnerable groups.

- Before deciding on the shelter assistance, the affected people's current capacity should be understood.

## **2.2. Determine appropriate shelter and settlement assistance options for each group**

### **A. Introduction**

Following the disaster, the affected people will make an effort to have shelter, whether moving to a temporary location or remaining in their dwelling. Despite being in one location, decisions made by the affected people will likely vary. Therefore, in delivering support, the shelter agency should consider to whom the assistance will be given.

### **B. Options on specific shelter and settlement assistance**

Various shelter and settlement assistance can be delivered during the emergency and recovery phase. Below are the options:

- Individual temporary shelter
  - If the land to build temporary shelters is available - whether rented land or owned land - the support could be construction material, tools, equipment, and technical assistance.
  - Those who can build the temporary shelter on their land can move forward to change it into a transitional shelter.
  - Suppose the land can be used only temporarily, such as public or rented land, there should be additional assistance such as additional infrastructure and utilities, funding for land rental, and legal advice on land usage.
- Support for collective centres and barracks

If individual temporary shelters cannot be implemented, collective shelter assistance would be the last option for the affected community. In order to protect their dignity and safety, some assistance can be provided:

  - Protection for women and children. There should be special measures such as partitions in the barracks to maintain privacy, and separate toilets for men and women.
  - Public utilities that the community can manage such as WASH intervention.

- Access to health and education facilities.
- Local infrastructure such as pathways and drainage.
  
- Repair and retrofitting  
Suppose the houses only experienced minor damage without compromising their structure, there is no need to for rebuilding. The effort should be to repair the houses. It is also essential to ensure the houses are retrofitted to protect them from future hazards. The assistance would be:
  - Construction material for repair and retrofit
  - Skilled builders
  - Retrofitting advice
  
- Land titling support  
This support is needed for those who live with no legal status on the land. The help would be legal advice on having land.
  
- Adjunct to government housing stimulus program  
In many places, government support in the form of cash has become more popular as a support modality for rebuilding houses. Therefore, the assistance would be:
  - Technical assistance support for building back safer.
  - Market stabilisation is an inflation guard to ensure housing materials remain economically accessible. This objective can be achieved in cooperation with a local cooperative, local construction material provider, and support for transportation for construction material.
  
- Self-relocation assistance  
Some families are willing to relocate due to their current place being unsafe. Therefore, some assistance can be given to them, such as:
  - Legal assistance to the land entitlement and registration process.
  - Cash support for moving and building or renting a house.
  
- Top-up assistance to the most vulnerable  
As the most vulnerable are predicted to have more challenges in rebuilding their houses, some assistance can be offered to them, such as:
  - Additional cash which they can use to pay builders since the most vulnerable cannot physically participate in house building or repair.
  - Provision of builders who work to reach certain milestones or work in limited days.
  - Technical assistance for building back safer and stronger

## C. Scenarios of Segregated groups of affected people

Information regarding the affected people and their needs can be found from the rapid, or joint need assessment data [See ADM.TEC.001.1-004.1]. The stakeholder listed below are those who have no insurance and definitely will require support on their recovery. This segregation is based on four scenarios where the shelter decision can be made:

1. People own land and can self-recover with additional assistance from the government or shelter agency **[Scenario 1]**

*This group of people may self-recover, but additional support such as repair, retrofit, and support for building back safer is needed.*

*Table 5: Scenario 1 of Affected People Segregated Group*

No.	House condition	Survival or recovery option	Possible assistance options
1	Minor or moderate damage	- Stay in the house	- Repair or retrofit
2	Minor or moderate damage	- Live temporarily in another place or rent.	- Rental support - Individual temporary shelter - Repair or retrofit
3	Major damage or collapse	- Individual temporary shelter in-situ - Individual temporary shelter in rented land	<b>For emergency phase</b> - Individual temporary shelter - Support on rent for land for temporary shelter.  <b>For recovery phase</b> Adjunct to government housing stimulus program
4	Major damage or collapse	- Live temporarily in another place or rent.	<b>For emergency phase</b> - Rental support  <b>For recovery phase</b> Adjunct to government housing stimulus program
5	Major damage or collapse	- Collective shelter - Barrack	<b>For emergency phase</b>

No.	House condition	Survival or recovery option	Possible assistance options
			<ul style="list-style-type: none"> <li>- Support to collective centre or barrack</li> </ul> <p><b>For recovery phase</b> Adjunct to government housing stimulus program</p>

## 2. People own land but live in a vulnerable situation [**Scenario 2**]

*This group of vulnerable people own land but might not be able to self-recover due to legal and other issues.*

*Table 6: Scenario 2 of Affected People Segregated Group*

No.	House condition	Survival or recovery option	Possible assistance options
1	Minor or moderate damage	- Stay in the house	- Top-ups for repair or retrofit
2	Minor or moderate damage	- Live temporarily in another place or rent.	<ul style="list-style-type: none"> <li>- Rental support</li> <li>- Individual temporary shelter</li> <li>- Top-ups for repair or retrofit</li> </ul>
3	Major damage or collapse	<ul style="list-style-type: none"> <li>- Individual temporary shelter in-situ</li> <li>- Individual temporary shelter in rented land</li> </ul>	<p><b>For emergency phase</b></p> <ul style="list-style-type: none"> <li>- Individual Temporary shelter</li> <li>- Support on rent for land for individual temporary shelter.</li> </ul> <p><b>For recovery phase</b> Top up assistance</p>
4	Major damage or collapse	<ul style="list-style-type: none"> <li>- Collective shelter</li> <li>- Barrack</li> </ul>	<p><b>For emergency phase</b></p> <ul style="list-style-type: none"> <li>- Support to collective centre or barrack</li> </ul> <p><b>For recovery phase</b> Top up assistance</p>

### 3. People who have no land title **[Scenario 3]**

*People who do not have legal rights regarding their place to live are the most difficult to support since there will be legal issues if the government helps them rebuild permanent houses. But still, they can have some kind of assistance in both emergency and recovery phases. In this case, the capacity for self-recovery becomes similar to those in Scenario 2.*

*Table 7: Scenario 3 of Affected People Segregated Group*

No.	House condition	Survival or recovery effort	Possible assistance options
1	Minor or moderate damage	- Stay in the house	- Repair or retrofit - Land titling support
2	Minor or moderate damage	- Live temporarily in another place or rent.	- Rental support - Top-ups for repair or retrofit - Land titling support
3	Major damage or collapse	- Collective shelter - Barrack	<b>For emergency phase</b> - Support to collective centre or barrack  <b>For recovery phase</b> Land titling support

### 4. People who need to be relocated **[Scenario 4]**

*In this scenario, those with land or no right to land share the same challenges because they have to move to other areas. This scenario also assumes that their current living place is already a dangerous and unsafe zone to build houses.*

*Table 8: Scenario 4 of Affected People Segregated Group*

No.	House condition	Survival or recovery effort	Possible assistance options
1	From minor damage to collapsed houses	- Individual temporary shelter in rented land	<b>For emergency phase</b>

No.	House condition	Survival or recovery effort	Possible assistance options
		<ul style="list-style-type: none"> <li>- Collective shelter</li> <li>- Barrack</li> </ul>	<ul style="list-style-type: none"> <li>- Individual Temporary shelter</li> <li>- Support on rent for land for individual temporary shelter.</li> <li>- Support to collective centre or barrack</li> </ul> <p><b>For recovery phase</b> Relocation assistance</p>

## D. Activities

Based on the needs assessment, the affected people need temporary shelter in the relocation area. The origin area is prohibited from building temporary or permanent structure due to liquefaction. You need to decide on an individual temporary shelter for each family collective shelter (barrack) in which a group of families can live in one structure.

- What are the pros and cons of choosing individual or collective shelters?
- What will be the requirement if you choose individual temporary shelter and collective temporary shelter?
- What will be your exit strategy to close the individual temporary shelter assistance and the collective shelter assistance?

## E. Summary

- People who own land and can self-recover with additional assistance from government or shelter agencies are in much better-off condition than others. They are more likely to finish their full recovery faster than the others.
- People who own land, but live-in vulnerable situations need additional assistance to recover. They need more time and resources than others to complete the rebuilding.
- It is difficult to support people who do not have legal rights in their place to live. If the host government or shelter agencies help them rebuild permanent houses, it will create a legal case on ownership. But still, they can be entitled to assistance in both emergency and recovery phases.

## 2.3. Align shelter assistance plan with the other sector and actor

### A. Introduction

A shelter assistance plan cannot be a standalone plan. The plan needs to be aligned with other sectors to ensure a well-executed programme. This may involve looking deeper into different sectors and actors' plans and adjusting them with the programme plans.

### B. Develop agency shelter assistance plan

A shelter manager is responsible for leading the shelter team in planning the shelter assistance to the community. The team has to deliver shelter assistance responding to the needs assessment.

These are the planning steps to ensure that the implementation and each activity could reach the expected outcome:

- The shelter assistance plan should respect the rights of every beneficiary, people who are related to the program, and other people who are not the target of the program.
- List out the needs from the analysed needs assessment.
- Decide on which area and how many affected people will be served as beneficiaries.
  - The manager must ensure that the work area does not overlap with other agencies' shelter programmes.
  - Investigating the area is also reflected in transportation and distribution costs.
- Decide the type of shelter assistance that would fit the community's needs.
- Decide the most appropriate modality for implementation.
  - It is important to keep a people-centred approach in the planning; otherwise, the assistance is merely to deliver shelter products.
  - The plans should allow the beneficiaries to give their input, such as including their preference on shelter and time frame.
  - Cash as a modality should be considered a priority since it gives more freedom and flexibility to the beneficiaries.
  - As self-recovery will be the approach, the program should provide sufficient technical assistance on the implementation.

- Decide on the time frame, milestones, and strategy to ensure that the program can be implemented according to the available time.
  - Ensure that the most vulnerable will be identified and prioritised through helping them as early as possible or putting them at a kick-start milestone.
- Team recruitment consists of a shelter coordinator, shelter officer, and shelter teams such as community mobilisers and operations and logistics.

## C. Aligning to the recovery plan of other sectors

Other sectors' recovery plans should be considered during the shelter program planning. The presence of other sectors in the same working area should bring more benefit to the beneficiaries.

Therefore, the shelter plan should be aligned with other sectors' plans. Below is the potential benefit for the beneficiaries through aligning the shelter assistance with these sectors:

- **WASH sector**  
If the WASH sector is working in the area, the shelter program might request clean water provision, adequate sanitation, and promote personal hygiene practices.
- **Health Sector**  
The shelter team needs to know the closest health facilities to ensure sufficient access to the health services.
- **Education sector**  
The shelter team should ensure the beneficiaries have sufficient access to education facilities to ensure adequate access to education services.
- **Livelihood sector**  
Livelihood intervention can improve the income of the targeted beneficiaries, and it will help the most vulnerable people have access to economic empowerment. Moreover, if the livelihood intervention allows for job creation such as construction material provision, these initiatives can stabilise the construction material prices.

## D. Aligning to the recovery plan of other actors

There could be many actors who might work in the targeted area. They could be other shelter agencies working in nearby, which can affect the shelter program's success or challenges. Other than shelter agencies, there could also be working groups intended to contribute modalities or approaches to be implemented.

Therefore, the shelter manager should actively participate in coordination with actors who are working in particular areas, such as:

- Shelter actors from other agencies who are working nearby:
  - To ensure that there is no duplication on the beneficiaries.
  - To foresee fulfilling resources such as labour force and construction material due to massive shelter recovery works within the area.
- Groups who are working across organisations but whose plans and policies might affect shelter work, such as:
  - Cash working groups: Within the last decades, cash assistance has been one of the modalities of shelter recovery programmes. Therefore, shelter plans should benefit from their strategy and resources, such as service providers (banks, cooperatives, etc.).
  - Community engagement working groups: The shelter plan should align with the community engagement plan to allow the beneficiaries to raise their voice on their genuine needs and concerns. It will strengthen shelter recovery assistance in the accountability part.

## E. Activities

*Image 3: Temporary Shelter in Palu, Central Sulawesi Indonesia.*



*Photo: Arwin Soelaksono (2019)*

There are several water tanks in this temporary shelter area. As a Shelter Manager, who would you connect with to ensure that water will be provided sufficiently every day? Aside from water, what other services should be available?

## F. Summary

- Shelter assistance should mainly facilitate the affected people to boost their self-recovery. Therefore, the assessment plan should be based on their needs, coping mechanisms, and capacity. External resources from other actors and sectors should be considered complementary to self-recovery.
- In a nutshell, shelter plans are inherently insufficient. Therefore, it must be developed in connection with other sectors, such as the health and WASH sector. Therefore, to maximise shelter assistance, alignment with other sectors should be carried out to tap the opportunities and resources. Other sectors' plans should be considered during the planning and try to find synergy.

## 2.4. Ensure Shelter Coordination

### A. Introduction

The people who survive a disaster are the first to provide emergency assistance to their families and community. When a disaster overwhelms their ability or that of the region or country in which they live, and if the emergency attracts international attention, a range of foreign organizations may send money, goods or workers to their aid. Whether response is local, national or international, coordination between those involved is essential. The Sphere standards underline the need for coordination between agencies and with government authorities during humanitarian response. They remind all involved that “adequate programme coverage, timeliness and quality require collective action.” By working together national and international organizations can benefit from one another’s knowledge and experience. Through coordination each organization can find out what others are doing and where others are working. They can take collective action to identify gaps and needs and help fulfil the rights to timely and effective humanitarian assistance. Nevertheless, coordination is difficult. Recognizing chronic difficulty and persistent gaps, humanitarian response organizations began in 2006 to coordinate through a system of

‘clusters.’ A cluster is a group of organizations working in a specific sector of humanitarian response, such as shelter, water and sanitation or health. Individual agencies in a cluster retain their autonomy but each cluster has a named lead agency or agencies. Governments remain responsible for assistance to people affected by natural disasters or armed conflict within their territory. The planning and coordination of emergency response remain the legal responsibility of the host government hence clusters aim to support the work of the host government and of national and local government authorities. Refer to section on Key readings for more detailed list of additional resources and tools. At the country level, the aim of the cluster approach is to ensure a more coherent and effective response by mobilizing groups of agencies, organizations and NGOs to respond in a strategic manner across all key sectors or areas of activity, each sector having a clearly designated lead.

## **B. Team members for Shelter Coordination**

Teams sometimes include mapping, environment and communications advisors. Some teams have included specialists in logistical support, government liaison, land, housing and property, and urban planning.

If the team needs to provide coordination across a large area where many shelter agencies are working, it may deploy regional hub-coordinators and support staff to one or more hubs. Where more local coordination is needed, the team may provide support to sub-hubs led by cluster partners and the local government.

The cluster coordinator is responsible for the management, support and performance of all international and locally employed staff (refer to Annex 5 for a summary of the minimum standards for aid worker performance as per the Sphere standards). However, in an expanded Shelter Coordination Team, s/he may delegate responsibility for line management to a deputy coordinator or other senior staff member. This enables the cluster coordinator to focus on other strategic priorities but ensures that attention is paid to staff management, support, and performance.

## 2.5. Formulate and plan handover and exit strategy

### A. Introduction

Closing a programme or response can be a challenge. Engaging communities in decisions about the closure, and maintaining open two-way communication throughout the process, can help to limit some of the negative effects of a programme or response ending. For example:

- **Quality and sustainability of outcomes:** Engaging communities and planning a proper handover increases the chance that improvements implemented through the programme or response will be continued after it closes.
- **Strengthening community resilience:** The process of planning programme and response closures with community members, strengthening their skills and capacities to take over, and handing control of resources and activities to them, empowers communities and supports long-term resilience.
- **Do no harm:** Packing up and leaving with limited warning can put people at risk as they will not have time to prepare how to cope without the support provided through the programme or response.
- **Reputation and trust:** Poorly planned and communicated programme and response closures damage the relationship and trust between the community and response agencies.

### B. How to plan exit strategy

#### Step 1: Agree what should be handed over

- With colleagues, go through the programme or response plan and identify which activities need to be continued after the programme or response closes. These are the activities, which if not continued, would mean the programme or response has failed to meet its objectives i.e., maintaining boreholes.
- The number of activities or resources to be handed over will depend on the type of programme or response. For short, limited emergency response operations, there might be very little that the community would be expected to continue compared to a recovery or resilience programme, where success will depend on many of the interventions being maintained after the programme closes.
- For each activity, discuss the impact of not continuing it, how feasible it will be for the community to take it over, what support or resources they would need, or if another organization could take over.
- Repeat this process with the community, including community volunteers, using participatory approaches such as meetings with the community committee or focus group discussions with different groups. It is important to ensure all groups in the community can

participate in this process, including men, women, boys, girls, older people, people with disabilities and any marginalized or at-risk groups.

### Step 2: Agree roles and responsibilities

- Identify and agree with the individuals, groups, or organisations who will be responsible for continuing activities or maintaining resources and discuss and agree with them their roles and responsibilities.
- Supporting these individuals or groups to develop a work plan for the year after the programme or response ends, outlining what activities they need to carry out, when, and who will be involved, may help them feel clearer about their role.
- Use the context analysis to identify appropriate individuals, groups, and organisations to take over activities and resources and understand the capacities, skills, resources, and strengths in the community.
- Consider the impact handing over activities and resources to these individuals, groups or organisations will have on the wider community and your shelter agency.

### Step 3: What support will be needed

Discuss with those responsible for taking over activities what support and resources they will need to carry out their role and plan together how this can be provided before the programme or response ends.

For example:

Activity: Maintaining boreholes			
Resources required	Who can provide it?	How?	When?
Community water committee	Community	Find people willing to be on a water committee, with equal representation of different groups	XX months before close
Training to maintain boreholes	National Society	Provide training and mentoring to the water committee	X months before close
Funding for parts	Community	Monthly contribution scheme managed by the water committee	X months before close

Engineers for specialist repairs	Local authority	National Society and community leaders get agreement from the local authority to provide this	X months before close
----------------------------------	-----------------	---	-----------------------

## 2.6. Environmentally friendly shelter assistance

### A. Introduction

Environmental sustainability addresses responsible programming that meets the needs of the present without compromising the ability of future generations to meet their own needs. Ignoring environmental issues in the short term can compromise recovery, worsen existing problems or cause new ones.

Further detail regarding the sustainability / environmental aspect of the shelter and settlement can be found at the [Sphere Handbook](#)

### B. Key actions

1. Integrate environmental impact assessment and management in all shelter and settlement planning.
  - Assess the environmental impacts of the crisis, and environmental risks and vulnerabilities, to minimise negative effects of the shelter and settlement options.
  - Incorporate an environmental management plan into operations and monitoring procedures.
2. Select the most sustainable materials and techniques among the viable options.
  - Prefer those that do not deplete local natural resources or contribute to long-term environmental damage.
  - Salvage and reuse, recycle or re-purpose available materials, including debris.
3. Manage solid waste in a safe, timely, culturally sensitive and environmentally sustainable way in all settlements.
  - Coordinate with WASH, health, public works and other authorities, the private sector and other stakeholders to establish or re-establish sustainable waste management practices.
4. Establish, restore and promote safe, reliable, affordable and environmentally sustainable energy supply systems.

- Determine whether existing energy supply systems have a negative environmental impact on natural resources, pollution, health and safety.
  - Ensure any new or revised energy supply options meet user needs, and provide training and follow-up as needed.
5. Protect, restore and improve the ecological value of operational sites (such as temporary settlements) during and after use.
- Assess environmental baseline conditions and available local natural resources for each site and identify environmental hazards, including those due to previous commercial or industrial use.
  - Remove immediate and obvious hazards from the area and repair any serious environmental degradation, while keeping the removal of natural vegetation and the disruption of natural drainage at a minimum.
  - Leave the site in a state that will allow the local population to use it immediately, where possible in better condition than before.

### **C. Key indicators**

- a. Percentage of shelter and settlement activities that are preceded by an environmental review
- b. Number of recommendations from the environment management and monitoring plan that have been implemented
- c. Percentage of shelter constructions using low carbon emission construction materials and procurement methods
- d. Percentage of solid waste on the site that is reused, re-purposed or recycled
- e. Target > 70 per cent by volume
- f. Percentage of temporary settlement sites that are restored to better environmental conditions than before use

**5.3**

## **Element 3. Design an effective shelter and settlement programme**

### **1.1 Design technical specifications for shelter and settlement assistance options**

#### **A. Introduction**

Every disaster is unique, and so are its challenges in response and recovery. The type of hazard, the event, construction material, and affected people's capacities are different. Meanwhile, every country might have their own building codes and regulations. Therefore, technical specifications should be designed to meet the context and the regulations.

#### **B. The hazard and the event as perceived by the affected people**

It is important to predict how they would self-recover through analysing the needs assessment. Such prediction can be based on the perception of the survivors. From the needs assessment and damage assessment, the shelter manager should understand the following:

- The disaster event impacted the affected people. To those who lost family members, houses and assets, and livelihood will have a serious challenge to self-recover.
- If the affected people perceive the hazard as a continuous event such as volcanic eruptions or earthquakes, such perception might discourage them from building permanent structures.
- To those who live in the no-building zone, their response might be merely waiting for relocation while living in a temporary settlement.
- To those who own lands legally, these particular people would build or repair their houses at the earliest.
- The disaster event might amplify their vulnerability to the groups of people who experience multiple forms of vulnerabilities, including

poverty and exclusion. This could make any support from the government and agencies insufficient.

## **C. Country regulation, Building Code and recovery policy on shelter assistance options**

Following the disaster event, the government will issue a recovery plan to help their people to recover. There is a scenario where a government demands that the affected people get assistance at the earliest possible time. The government might launch a recovery plan from their budget and run activities according to their recovery plan. Their plan generally will be based on:

- National or local regulations that might have already been approved and implemented during the previous recovery.
- Government agencies document and practices which have already been developed and implemented in previous events and recovery, such as:
  - Tools: The government agencies designated to implement recovery might already have a set of tools for various assistance.
  - Strategy: It might consist of how to disburse the funding for recovery and which government agencies will be responsible for shelter programme implementation.
  - Modality: based on previous programmes, the governments already have activities that detail their recovery plan.
- Building code which every country has. Whether a newly built house, repaired or retrofitted, all shelter recovery should meet the criteria stated in the building code.

## **D. Designing technical specifications**

The role of humanitarian shelter agencies is to identify various shelter response and recovery gaps. Also, there will be the possibility of limited construction materials or tools that are difficult to implement in the field to meet the building code.

Before developing a plan, the technical specification should recognise these aspects:

- Possible shelter and settlement assistance such as:
  - Individual temporary shelter

- Support for collective centres and barracks
  - Repair and retrofitting
  - Land titling support
  - Adjunct to government housing stimulus program
  - Self-relocation assistance
  - Top-up assistance to the most vulnerable
- List of land status and possible relocation
    - People with legal ownership of house and land.
    - Renters or squatters who do not have land.
    - People who lost their land due to disaster and people who cannot build in their land.
- List of construction materials available in the location at the time of intervention
    - Bamboo or wood should be harvested according to their age and environmental regulation.
    - Local provision of construction material such as cement and steel rebar.
- List modalities that can be implemented across the organisations such as:
    - Builders training
    - Cash and voucher assistance
- List of standards of shelter and settlement such as
    - IFRC, Chapter 4: Minimum Standards in Shelter, Settlement and Non-Food Items
    - UNHCR, Global Strategy for Settlement and Shelter A UNHCR Strategy 2014-2018
    - The Sphere Handbook 2018

Below is the guidance on designing technical specifications. It is important to keep in mind that developing the guidelines should be strict on having a safe structure, but it should have flexibility on the implementation side.

- Ensure minimum humanitarian space is respected. This should refer to Sphere standard 2018.
- Using environmentally friendly construction materials and salvage materials is encouraged.
- Construction material should have a good quality, as mentioned in the Building Code.
- Building material should not contain toxic material or harmful to health, such as asbestos.

- The constructed structure should last for at least two years.
- All designs should respect the future hazard. For instance, in post-earthquake recovery, seismic resistance attributes should be in place.

## E. Activities

Please download Shelter Standards and Guidelines Bangladesh Shelter Cluster, which you can access [here](#), then use as a reference for designing technical specifications for shelter and settlement assistance.

If you have to design technical specifications for responding to the latest disaster which occurred in your area, which part of this document can be used or could not be used?

What items or topics should you add?

## F. Summary

- In every post-disaster shelter recovery, technical assistance possibly has to be prepared before the shelter implementation due to the uniqueness of the event, construction material availability, and people's capacity to rebuild.
- The government generally already has codes, regulations, and modalities which have already been established from previous disasters. The stronger their system is, the earlier for them to initiate the response and assistance.
- The role of the shelter manager is to see if there is an unresolved gap from government assistance that needs to be addressed with the new technical specifications.

# 1.2 Develop appropriate financial and administrative plans for the shelter and settlement assistance program

## A. Introduction

Developing financial and administrative plans which support program implementation is also one of the shelter manager's responsibilities. This is because shelter and settlement assistance programs generally involve a lot of money. Moreover, cash as a modality has become more popular in shelter and settlement implementation in recent years. Therefore, an

appropriate system should be developed and followed by the shelter team and operations team.

## **B. The needs of financial and administrative plans**

Compared to other sectors, shelter shares the biggest amount of money involved. The money is used to purchase construction materials, equipment, and tools, and to pay builders. The money will increase significantly if the cash-based modality is selected for the shelter and settlement assistance. Below are the needs to have appropriate financial and administrative plans:

- A proper financial system will streamline the process of procuring and delivering payments due to:
  - Vendors who give discounted construction material prices always need assurance of a swift payment process.
  - According to their job completion, payment for builders or labours in the field should be made earliest.
  - Shelter officers and field teams need cash in hand when they go to the field and need to reconcile their advances when reporting back to the office.
  
- Ensure prudent process and accountability
  - Clear administrative guidance will protect the whole team from fraud and misuse of money.
  - A robust administrative system might rectify the improper process of procuring or payment for correction.
  - Since the procuring and payment process is done following the system, it helps the team conduct the audit later.
  
- Since the funding is not always readily available from the organisation, the shelter manager needs to have a budget and plan for expenditure:
  - The shelter manager may inform beforehand when they need the money and which milestone.
  - Shelter managers can inform the vendors and labours when they get their payment.
  - The shelter manager can be ensured that there will be no disruption in the progress due to the non-availability of payment to vendors and builders.

## **C. Develop appropriate financial and administrative plans for regular shelter and settlement programme**

Before the programme implementation, the Shelter Manager should work with the Finance and Operations team to develop financial and administrative plans. This section is for regular operation. Meanwhile, cash-based intervention programmes are described in the following section.

These are the steps in developing financial and administrative plans for regular programme implementation:

- Consult with the finance and operations teams on their financial and administration system, which is already applied in the organisations.
  - Discuss and agree if the system can support the shelter and settlement programme.
  - Consult with higher-level management if there is a part in the system that still cannot support the programme's needs.
- Following their availability, inform them of the projected shelter and settlement program with the following information:
  - Based on the Gantt chart, inform about the need of hiring people along with the programme.
  - Inform the need for working stations and office supplies.
  - Inform logistic and operation support such as vehicles, telecommunications, etc.
- Work with the Finance Manager and agree on the following:
  - Projected cash requests monthly, quarterly, or as agreed timeframe.
  - Approve payment requests for the vendors, contractors, and builders.

## **D. Develop appropriate financial and administrative plans for cash-based assistance shelter and settlement programme**

In addition to the financial and administrative plans mentioned above, below are the development of financial and administrative plans if the programme is using cash-based assistance modality:

- Study the government plan on disbursing cash-based assistance. Below are the questions to match the plan with the government strategy.

- Is the assistance conditional cash or unconditional?
  - If conditional, what are the progress milestones of shelter or housing construction eligible for cash disbursement?
  - How many cash transfers are planned to complete each project?
  - Who will verify the progress if the beneficiaries complete the milestones?
  - Are there any monitoring tools for verification, whether paper-based or electronic?
- Prepare the S-curve to predict the volume of work on when and how much money is needed for disbursement.
    - The Finance Team works on cash projection for each month, quarter, or any suitable timeframe.
    - With the Finance Team, verify and approve cash transfers to the service providers to release the beneficiaries' funds.
  - Prepare the form of monitoring tools - whether paper-based or electronic - to ensure compliance on build back safer.
  - Develop a partnership with a bank, post office, cooperative, or service provider who can disburse the money to beneficiaries.
    - The service providers have to show proof of their experiences in disbursing money, usually large amounts, and to many people in a day.
    - The beneficiaries should easily access the service providers.
    - The service providers should have the system to ensure that they serve individual beneficiaries by name and address.
    - The service providers should send their reports on the agreed time frame to show the exact amount and beneficiaries who already received the funds.
  - Develop a cash disbursement clearance form. This form should contain:
    - Name and address - as stated in the ID - of the individual beneficiary.
    - Amount of money, milestone stage, and date of verification.
    - Authorised personnel to release the fund after field verification has been completed:
      - Government engineer (if the system requires) who approves work that meets the build-back safer criteria.
      - Shelter officers who approve the work already meet the build-back safer criteria.
      - Shelter Manager and Finance Manager who approves the payment request.

- Work with the local government to register the eligible beneficiaries. Upon approval of the local government, only those who are eligible will be listed as beneficiaries.
- Following the registration above, work with the local government and community leader to identify the most vulnerable. The organisation's criteria on the most vulnerable should be communicated to the local government and the community leader beforehand.
- Develop a list of beneficiaries, then share it with the following entities:
  - Local government to ensure there will be no duplication on the delivered assistance
  - Government agencies responsible for recovery to ensure the listed beneficiaries are enrolled and eligible for technical assistance and monitoring.
  - Financial service providers who have beneficiary's detail to ensure the exact individual will receive the funds.
- Develop disbursement matrices to monitor the progress and ensure there will be no duplication of transfer to each beneficiary.

## E. Summary

- Compared to other sectors, the shelter has the most significant amount of money involved. Therefore, a robust financial and administrative system needs to support programme implementation.
- The operations team should develop administrative plans to provide support and logistics with the correct amount and specification at the expected timeframe.
- Based on the data and target, the Shelter Manager should provide a projected amount of money and a disbursement schedule.
- Implementing cash-based assistance as a modality requires more supporting documents, partnership with financial providers, and accurate budgeting.

## 1.3 Write programme proposals and appeals as required by donors, government and management

### A. Introduction

One of the tasks of the Shelter Manager is to join the management team to develop proposals and appeals for the organisation to have sufficient funding to run the program. Other proposals are for government approval to work in particular locations and support particularly affected people. Lastly is to develop a proposal to the management on the rationale of selecting beneficiaries, modality, and strategy to run the programme.

### B. Write programme proposals and appeals as required by donors

Sufficient funding is required to ensure effective programme implementation. There are institution donors who could provide shelter and settlement programmes. If you work for an NGO, some of the following lists could be useful:

- USAID's Bureau for Humanitarian Assistance (BHA) provides life-saving humanitarian assistance—including food, water, shelter, emergency healthcare, sanitation and hygiene, and critical nutrition services—to the world's most vulnerable and hardest-to-reach people.
- The UK Department for International Development (DFID) is the official development agency of the Government of the UK, managing aid for the developing countries.
- The European Commission Directorate-General for Humanitarian Aid and Civil Protection (ECHO) is one of the world's most prominent humanitarian aid actors. The mandate of the ECHO includes both humanitarian and disaster risk reduction.
- The Disasters Emergency Committee (DEC) is an umbrella group of UK charities that coordinates and launches collective appeals to raise funds to provide emergency aid and rapid relief to people caught up in disasters and humanitarian crises worldwide.

- The Office for the Coordination of Humanitarian Affairs (OCHA) is part of the United Nations Secretariat. The Office is responsible for coordinating humanitarian aid. In a humanitarian emergency or disaster, it will guide the development organisations involved and other national and international actors to maximise aid efficiency.

Each donor institution has its system and template if a humanitarian organisation seeks funding for its shelter and settlement programme. Before applying, these are some preparations needed :

- The programme reaches, work location and number of beneficiaries.
- Project duration. How long will the project be implemented?
- Describe the approaches and modalities for delivering the programme.
- Describe previous experiences and the lessons learned.
- The management team and organogram. This should include the number of people, especially the shelter team, who will work in the programme.
- Monitoring and evaluation plan.
- Budget for the programme

After completing the preparation above, the information can be submitted through the template on the application system.

## C. Programme proposal for government

International shelter agencies need government approval to execute shelter and settlement programmes in disaster-affected countries. As the government holds the responsibility of their people, the shelter and settlement programme should be in line with the government's recovery strategy. In other words, a shelter agency should be considered a Government Partner Agency. Therefore, the shelter agency should submit their proposal, which indicates the following:

- Responding to a specific disaster event.
- Work location
- Number of beneficiaries
- Type of shelter and settlement assistance
- Management and shelter team organogram
- Modality
- Technical and/or financial assistance
- Implementing partner (if any)

## D. Method statement for the management

Within the organisation, the Shelter Manager should propose the programme implementation to the management in a method statement. This method statement should describe how the shelter team can fulfil the mission and reach the targeted beneficiaries. The method statement also shows that the selected modality can achieve quality within the expected timeframe and the budget. Writing the method statement will consist of:

- **Basic principles**
  - Community-driven, including the owner-driven approach, confirms that shelter assistance mainly supports self-recovery.
  - Build back safer, with technical and/or financial assistance to bring the beneficiary to live in a safer palace
  - Mainstreaming Disaster Risk Reduction (DRR), the programme should increase the capacity of the affected people and, at the same time reduce the risk of future disasters.
  - Available material, this is to encourage the use of any kind of material as long as they are not hazardous material. It also encourages the homeowner to maximise the use of salvaged material that is cheaper and environmentally friendly.
  - Sustainability, the assistance should give room for future development. It also means the current support is opening more opportunities in the future.
  - Incorporate cross-cutting issues; the programme should mainstream essential issues such as gender and the environment.
  
- **Working area**
  - Map of the selected working area: this is based on the needs assessment and analysed data from Government, Shelter Cluster, IOM, and other organisations.
  - Clustering: due to streamlining operation costs, the working areas should be clustered depending on how large and access/ difficulties to reach the area.
  - The severity index: to justify selecting the most vulnerable area. The severity index is not always available and depends on the magnitude of the disaster event.
  - Priority area for kick-off: it is impossible to start the program all at once, but it should start from a particular site. It is important to justify which area is the testing ground of the strategy and the system.
  - Geographical context: this is related to the operation support on how many offices in the field and vehicles are needed to run the operations.

- **Project management strategy**
  - S-Curve or Gantt-chart, the implementation needs to have a visual plan including graphs to ensure the project can be completed according to the available time frame and best use of resources.
  - Builders recruiting and training, describing the plan if internal resources will do shelter assistance.
  - External partners, contrary to the earlier, if the implementation will be done by partners or by contractors.
  - Working with the community and beneficiaries describes the role and responsibility shared with the beneficiaries and their community.
  - Working with the government to ensure that partnership with the government will deliver more benefits to the beneficiaries.
  - Since working conditions cannot be well predicted, the most challenging scenario can be another disaster event, a political event such as an election, etc. This includes ways on how to deal with the worst-case scenario.
  - Working with other I/NGOs, since every organisation has its core values and missions, it is important to develop a platform to work together incidentally or build partnerships.
  - Exit strategy, to describe how to handover the work and transfer of program ownership to the community or local government
  
- **Construction practices or type of shelter and settlement assistance**
  - Issues, which are challenging situations potentially developed during the implementation. This situation needs to be predicted even if no solution can be offered during the planning.
  - Building code and regulation, shelter and settlement assistance should uphold the code and regulation to prevent beneficiaries' exposure to future disasters.
  - Technical assistance on how to deliver assistance across the community.
  - Training material and curricula will improve the community and builders' skills to build back safer in whatever sheltering phase.
  - Construction material and livelihood provision-, since construction material is sensitive to inflation, it is important to partner with agencies that provide livelihood support. The livelihood program can provide material to secure stable construction material prices. On the other hand, livelihood programmes can provide income for the beneficiaries.

## E. Summary

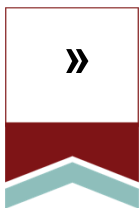
- Shelter and settlement are the sector with the most significant amount of money involved. Therefore, multi-direction collaboration is needed with the donor, government, and internal management.
- The Shelter Manager should join the management team to develop proposals and appeals to have sufficient funding to run the program. The contribution of the Shelter Manager is to articulate the idea of supporting the affected people in the best possible way.
- As the government holds the responsibility of their people, the Shelter Manager should be able to propose that the shelter and settlement programme will be in line with the government's recovery strategy.
- Shelter Managers should develop a programme implementation strategy for the management in a method statement. This method statement should describe how the shelter team can fulfil the mission and reach the targeted beneficiaries.



# Self-assessment Checklist



**ASCEND**



## Self-assessment Checklist

Please use the checklist below to help you determine whether you are prepared to be assessed in this unit of competency. The boxes without tick mark indicate that there may be some areas you need to work on to become ready for assessment.

<b>Instructions</b> Please tick (✓) the box if your answer is yes	<b>Questions</b>
<input type="checkbox"/>	Have I read the Learner Guide and understood its contents?
<input type="checkbox"/>	Have I attended, participated in, and completed all training sessions and activities?
<input type="checkbox"/>	Have I reviewed the learning resources to reinforce what I have learned in training?
<input type="checkbox"/>	Am I able to demonstrate my understanding of each element and performance criteria of this unit of competency by writing a summary in my own words?
<input type="checkbox"/>	Am I able to communicate how my experience, knowledge, skills-sets, and attitudes make me qualified and competent enough to perform the job related to this unit of competency?



# Oral Interview and Written Test Guide



**ASCEND**



## Oral Interview and Written Test Guide

This section guides candidates on how to communicate, demonstrate, or present evidence, responses, and their work in a professional manner. There are three primary ways the candidates will be assessed: through observation, oral interview, and written test. The assessor will determine the final assessment methods and tools depending on several factors like the local context, professional needs, and the like.

### On observations

Assessors will observe the candidate over a period of time to collect evidence of their capability to meet the required standards and performance criteria. Assessors may attend selected learning sessions, if any, to witness how candidates complete their activities and participate in exercises. In doing so, assessors can get a sense of the candidate's key strengths and areas for improvement concerning the unit of competency. It will benefit candidates to ensure their work is always complete and presentable.

### On oral interview

Assessors will conduct oral interviews to confirm and evaluate the candidate's experience, knowledge, skills, and attitudes regarding the unit of competency under assessment.

Please review the Unit Readings and complete the Self-assessment Checklist in this document. It may include verification questions about what you learned from the training content and material. It may also include competency questions about your knowledge and skills. Assessors may ask you what knowledge or skill you will use or apply to address a specific occupational issue or problem. Candidates need to think about how they will carry out their critical job functions in a defined work setting.

Finally, the interview may also include behavioural questions that focus on attitudes. Assessors may ask for examples of what you will do when a particular situation happens or when circumstances change. Candidates need to support their answers with reflections on their own or others' experiences and lessons.



## On written tests

Assessors will also present a written test to candidates to confirm whether candidates learned and understood the training content and material concerning the unit of competency under assessment.

Accuracy, brevity, and clarity are the ABCs of good writing. The first thing candidates are suggested to do is answer the questions as accurately as possible. It helps structure your response and sharpen your main points in an outline before writing them down. Candidates are advised to use short and simple sentences and paragraphs. The key messages and transitions between your sentences and paragraphs must be clear. Your answers need to be easy to read and understand. It includes removing and leaving out irrelevant material. Candidates are also expected to write coherently and logically so that readers can follow their thought.

Proofread and correct errors in your work before submitting it. How you format your work also matters. If you are using a computer, please check whether your indentions, margins, spacing, listings (bullets, numerical sequencing), and page numbers are in order.



# Recommended Readings



**ASCEND**



## Recommended Readings

Albu, M. (2010). *Emergency Market Mapping and Analysis Toolkit*. Oxfam GB. Emergency Market Mapping and Analysis (EMMA) tool. Accessible [here](#)

Emergency Market Mapping and Analysis (EMMA) Toolkit. Accessible [here](#)

International Federation of Red Cross and Red Crescent Societies. (n.d.). Sphere Handbook *Chapter 4: Minimum Standards in Shelter, Settlement and Non-Food Items*.

IFRC. All Under One Roof Disability-inclusive shelter and settlements in emergencies. Accessible [here](#)

The Emergency Market Mapping and Analysis Toolkit. Accessible [here](#)

The Sphere Handbook 2018. Accessible [here](#)

UNHCR. (n.d.). *Emergency Shelter Standard*. Accessible [here](#)

UNHCR, Global Strategy for Settlement and Shelter A UNHCR Strategy 2014-2018. Accessible [here](#)



## Learning Resources

Emergency Market Mapping and Analysis (EMMA) Toolkit Training Course. Accessible [here](#)

Strategic Recommendations for Shelter Upgrade in Response to the Rohingya Humanitarian Crisis - Findings and Results of the Emergency Market Mapping Analysis (EMMA) on Bamboo and Timber Market Chains in Cox's Bazar District, Bangladesh. Accessible [here](#)

UNHCR. *Emergency Shelter and Settlement Preparedness and Response Checklist*. Accessible [here](#)



# ASCEND

ASEAN Standards and Certification for Experts in Disaster Management

**THE AHA CENTRE**

Graha BNPB, 13<sup>th</sup> Floor | Jl. Pramuka Kav. 38 Jakarta-13120 | INDONESIA

[f @ahacentre](#) [t @AHACentre](#) [i @ahacentre](#) [v AHA Centre](#)