

2nd Edition

**LEARNER'S  
GUIDE**



**TECHNICAL COMPETENCY UNIT**



**ADM.TEC  
032.2**

Manage Shelter and Settlement Programme to Ensure  
Technical Quality, Timeliness, Appropriateness, and  
Inclusiveness



**ASCEND**

ASEAN Standards and Certification  
for Experts in Disaster Management

## ASEAN Standards and Certification for Experts in Disaster Management

# MANAGE SHELTER AND SETTLEMENT PROGRAMME TO ENSURE TECHNICAL QUALITY, TIMELINESS, APPROPRIATENESS, AND INCLUSIVENESS

ADM.TEC.032.2

## 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.

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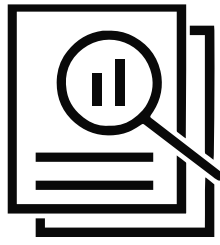
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**ASCEND Programme and Toolbox:**

# **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 of 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 of 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

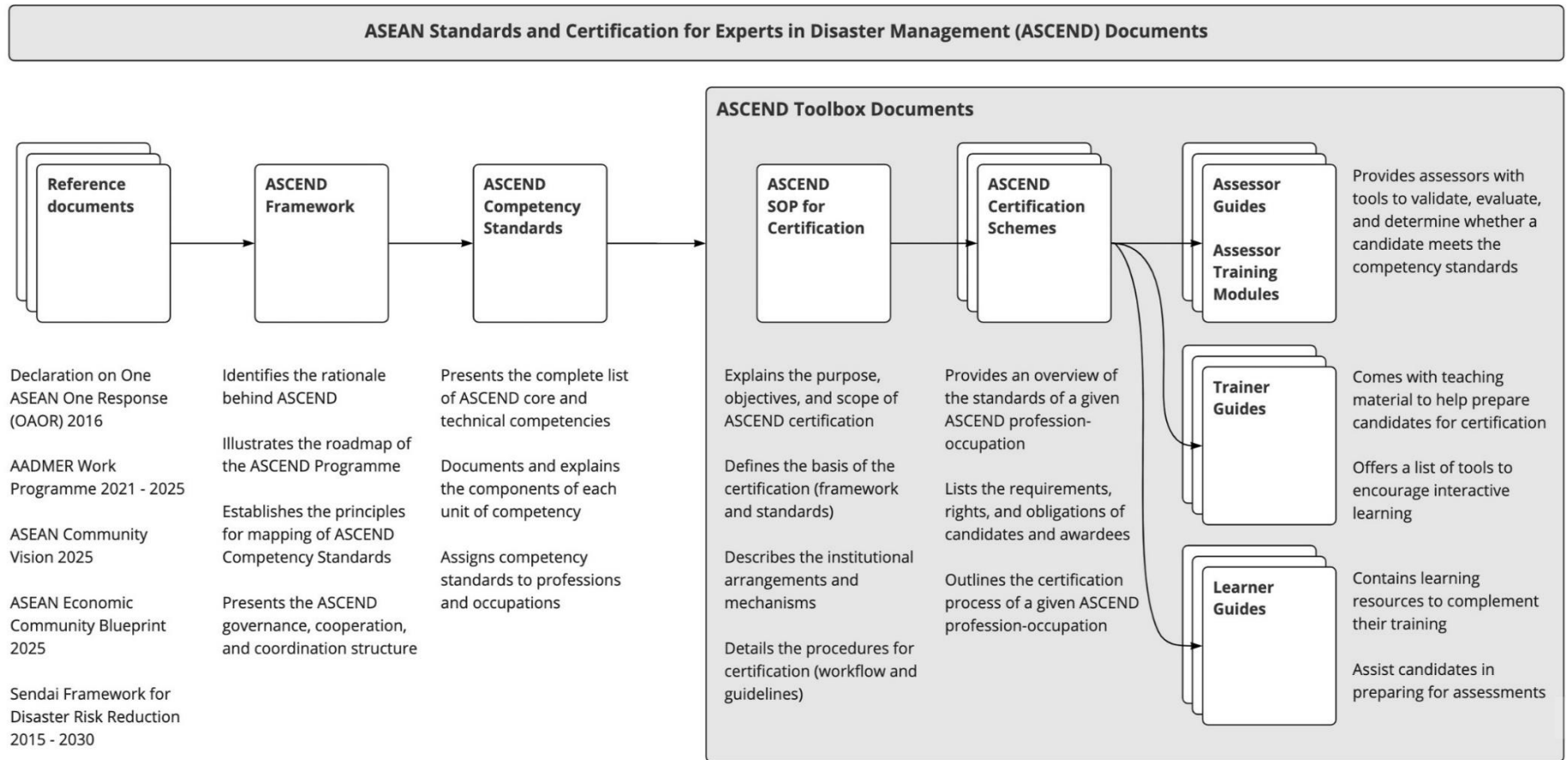
A set of technical requirements must exist before it is possible to implement the ASCEND programme in participating ASEAN Member States. The first requirement is the ASCEND Competency Standards that contain forty-three (43) regionally recognised core and technical competencies in selected disaster management 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 that 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>▪ 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** : **Manage Shelter and Settlement Programme to Ensure Technical Quality, Timeliness, Appropriateness and Inclusiveness**

**Unit number** : ADM.TEC.032.2

**Unit description:** This unit deals with the skills, knowledge and ability needed to guide a shelter and settlement programme so as to ensure technical quality, timeliness and appropriateness of the programme

### Element 1.

#### **Provide sound technical guidance and advice**

##### **Performance Criteria**

- 1.1 Provide sound technical advice on appropriate shelter and settlement assistance to management, staff and beneficiaries
- 1.2 Develop appropriate technical guidance, standards and training packages for Programme staff, beneficiaries, implementing partners, subcontractors, as well as for the broader unassisted community.
- 1.3 Ensure shelter assistance complies with relevant building codes, national and international standards and laws.

### Element 2.

#### **Integrate humanitarian shelter standards and principles into all aspects of the shelter programme**

##### **Performance Criteria**

- 2.1 Mainstream cross cutting issues into all aspects of the shelter programme including inclusivity measure
- 2.2 Prioritise urgent humanitarian needs and the needs of the most vulnerable.
- 2.3 Use an evidence-based approach in the design and implementation of shelter
- 2.4 Integrate and apply Sphere, CHS, All under One Roof, Humanitarian Inclusion Standard, IASC on Inclusion of Persons with Disabilities in Humanitarian Action and all other relevant standards into shelter programme design

### **Element 3.**

## **Integrate appropriate shelter technical quality assurance procedures into all stages of the shelter programme**

### **Performance Criteria**

- 3.1 Develop appropriate quality control and MEAL (monitoring, evaluation, accountability and learning) tools to ensure technical quality
- 3.2 Develop appropriate contracting arrangements to ensure transparency and accountability
- 3.3 Develop appropriate programme quality assurance and contracting tools to ensure ongoing programme quality



# 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 provided for disaster-affected individuals with support for their flexible recovery priorities.
<b>Conditional cash</b>	The provision of cash, based upon the beneficiaries' completion of certain tasks, for example, after completing one specific stage of a house reconstruction, 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 are 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 own 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 full 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.

<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>	Systems planning to reduce the impact of any future disaster, such as diverting the course of a river prone to flooding, which 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 far r 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 and assisting 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 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>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 are considered at the greatest 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 normally 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, and volcanic eruptions are some examples of rapid-onset disasters
<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 recognised 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, or 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 organisation
<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 prioritising 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 respond to the fact that the affected population themselves often undertakes post-disaster shelter and that this resourcefulness and self-management should be supported.
<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>CHS</b>	Core Humanitarian Standard
<b>CV</b>	Curriculum Vitae
<b>DRR</b>	Disaster Risk Reduction
<b>GBV</b>	Gender-based Violence
<b>HIV/AIDS</b>	Human Immunodeficiency Virus/Acquired Immunodeficiency Syndrome
<b>HLP</b>	Housing, Land and Property
<b>IASC</b>	Inter-Agency Standing Committee
<b>IFRC</b>	International Federation of Red Cross and Red Crescent Societies
<b>IOM</b>	International Organization for Migration
<b>LGBTI</b>	Lesbian, Gay, Bisexual, Transgender and Intersex
<b>MEAL</b>	Monitoring, Evaluation, Accountability and Learning
<b>NFIs</b>	Non-Food Items
<b>OFDA</b>	Office of U.S. Foreign Disaster Assistance
<b>PASSA</b>	Participatory Approach for Safe Shelter Awareness
<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. Provide sound technical guidance and advice**

### **1.1 Provide sound technical advice on appropriate shelter and settlement assistance to management, staff and beneficiaries**

#### **A. Introduction**

The shelter team must agree on shelter and settlement assistance given to the beneficiaries by the organisation. The Shelter Manager should provide sound technical advice to convince the management and the staff to gain support. The beneficiaries also should provide consent if they want to participate in the programme. The agreement should be voluntary since the affected people will lead their own recovery in the end.

#### **B. Provision of data on hazard and future risks and comparing with the code, regulation and current local practices**

Prior to providing technical advice, the Shelter Manager should obtain important information to develop guidance. Some information, such as the national building code and regulation, needs to be available for field assessment. Below is the data required in order to develop a technical guide.

##### **1. Data on hazard or disaster event**

Technical knowledge on how shelter behaves under hazards or disaster events is essential. Since every event is unique, the treatment is also unique. Below are some information needed to investigate regarding the hazard or the event.

- Type of hazard. The beneficiaries can be informed about the behaviour of a hazard, how a hazard such as an earthquake or windstorm impacts their shelter, and what they should do to minimise the risk.
- Following the disaster event, there will be consequences to the affected people. For instance, following the tsunami, landslide and



liquefaction, there will be a no-build zone, and therefore, the possibility of relocation might be enforced.

- The magnitude of a hazard can be reflected in the number of casualties, people being displaced, or taking refuge due to collapse or damages of the houses. The bigger the number, the slower the recovery since many sectors and assets will be affected. For instance, if the health facilities and economic activities centre were affected, the affected people would be even more significant.

## 2. Future risk

- The disaster event with its particular hazard might not be only one time. It can happen again in the future. Basic information, including frequency. Some hazards, such as floods, might be predicted, but no one can predict it in the case of earthquakes and tsunamis. The consequences of not knowing the risk are enormous. However, knowing the risk without mitigating them will also result in disasters.
- Some of the events will create bigger risks. For instance, following the earthquake and rain, there will be a potential for a massive landslide. Following the housing recovery, there will be environmental damage due to deforestation. The vicious cycle will put more people at risk.

## 3. Building Code

Every country might have its own building codes, standards and regulations intended to protect the people and help them dwell in safe places. But still, there are some concerns even if a country already has Building Codes, as some of the code is outdated. Building Codes need to be updated responding to the events. Another concern is the compliance of builders and homeowners to comply with the codes and standards.

## 4. Government regulation

- Following the disaster, a host government might create regulations or guidelines on responding to the event. For instance, all shelter agencies should follow the regulation if they want to help the affected people. The regulation applies nationally and also locally in the affected area.
- A host government might also issue a policy on which modality should be used. For instance, cash voucher assistance can be the main modality for housing recovery. On other occasions, the government is not supporting temporary shelter assistance but giving cash to be used by the affected people on whichever recovery initiatives that the people choose.

### **5. Standard from leading shelter organisation**

Standard implementation can be found from IFRC, UNHCR and IOM, which can be used to develop technical advice. The Shelter Manager should study to find suites and applicability for implementation in the field.

### **6. Current local practices**

Some of the current local practices should be improved to create shelter susceptibility to specific hazards. For instance, the way builders construct houses that are not complying with the codes can certainly compromise the quality.

## **C. Identify current capacities within the organisation, government and the beneficiaries to find the gap**

Following the data finding, the Shelter Manager should identify the current capacities that will be the gap that needs to be addressed. The existing capabilities from the internal and external organisations can be described as follows:

### **1. Organisational capacities**

On responding to the disaster event or hazard, each organisation should evaluate its capacities whether it can contribute to supporting the affected people. If the organisation is willing to provide shelter and settlement assistance, they have to be assured that they have people with experience and systems and might obtain sufficient funding. Without some of those, there will be a concern about quality.

### **2. Government capacities**

Even though the government has a system for responding to disaster events, the rotation of its officers for promotion or change of positions might be an issue since the new officer might need to learn. It might affect policy development and hamper swift response, which is required in the field.

### **3. Beneficiaries' capacities**

Even before a disaster, the beneficiaries do not have the capacity of having safe houses. Many of them have no legality on their land, built unsafe houses due to ignorance of building codes, and are unaware they live in high-risk locations. These are the facts that need to be considered in offering recommendations.

## **D. Provision of technical advice on appropriate shelter and settlement assistance**

By identifying gaps in the capacities mentioned above, the Shelter Manager should provide technical advice. This technical advice, later on, should be developed to be a technical guide. This technical guide should clearly state the crucial aspects to which management, staff, and beneficiaries pay attention to. This technical advice is for internal organisations and affected people related to or are part of the programme. Therefore, the technical advice should consist of:

### **1. Management:**

- Always be mindful of the affected people's coping mechanisms and self-recovery initiatives. It could be a small initiative, yet it is a start to the recovery.
- The more significant part of construction material provision and human resources should be provided locally.
- The selection of construction material should be environmentally safe and not harmful to health.
- The shelter and settlement assistance should respect people's dignity and support the most vulnerable.
- Any modality chosen by the agency should strengthen or be connected to economic recovery.

### **2. Staff**

- The shelter and settlement assistance is not merely for program people. Therefore, all staff should have a comprehensive understanding of the context.
- Provision of training or induction to newly recruited staff and programme socialisation to all staff.
- The technical guide is developed from programmatic and shelter and settlement expertise, but the whole staff should understand it and share the ownership.

### **3. Beneficiaries**

- Participate as early as possible since the recovery programme which offers support might be only in a limited time frame.
- The organisation will provide technical assistance for the beneficiaries can build back safer.
- Whether it is funding or technical assistance given by the government and agencies, all aid is limited. It is upon the beneficiaries' freedom to choose to participate in the programme.

- Before the programme commencement, the beneficiaries and shelter team agree on the type of shelter assistance delivered.

## E. Summary

- Technical advice is needed to set the course of shelter and settlement intervention. Therefore, the advice should provide a solution covering many aspects of the recovery context.
- The management should be convinced that the advice is responding to the needs, is applicable and can be implemented within the expected budget and timeframe.
- The technical advice was developed from the shelter practitioners' point of view, but it should be well understood by the whole team. It should allow the entire team to contribute their input.
- The beneficiaries should understand the technical advice to help them build back better. However, it is up to their own time if they want to participate in the program.

## 1.2 Develop appropriate technical guidance, standards and training packages for Programme staff, beneficiaries, implementing partners, subcontractors, as well as for the broader unassisted community

### A. Introduction

This section is the continuation of the previous section on technical advice. Technical guide and standards are a further development of technical advice. The guidance and standards can be useful tools to develop training and assist affected people, even those not part of the programme.

Before developing a technical guide, the technical knowledge, including standards already available in the organisation, should be considered. Accumulation of knowledge and expertise from previous shelter operations or documents prepared to anticipate responses must be consulted. Therefore, those are needed to be checked if they are already suitable and applicable for the upcoming implementation.

## **B. Develop technical guidance covering all phases of sheltering and strengthen the self-recovery initiatives**

Generally, technical guidance and standards will consist of the following:

- 1. Indicate the group of beneficiaries based on their current place of living following the disaster event:**
  - a. Displaced
    - In-transit, the affected people are in transit to other places to find refuge.
    - Living with hosts, staying with friends, family or renting.
    - Formal and informal camps
    - Returnees will go back to their land if secure and safe to do so.
  - b. Un-displaced
  
- 2. Shelter and settlement assistance according to the timeframe:**
  - a. During an emergency or the first three months after a disaster
  - b. During early recovery within one year
  - c. During recovery
  
- 3. Indicate which type of shelter assistance will possibly be provided to the beneficiaries:**
  - a. Individual temporary shelter
  - b. Support to collective centres and barracks
  - c. Repair and retrofitting
  - d. Land titling support
  - e. Adjunct to government housing stimulus program
  - f. Self-relocation assistance
  - g. Top-up assistance to the most vulnerable
  
- 4. Indicate modalities that can be applied for shelter assistance:**
  - a. Distribution of construction material and tools such as tarpaulin, wood, bamboo, rope, handsaw, hammer, nail etc.
  - b. Cash and vouchers to pay rent, buy construction material and pay the builders.
  - c. Technical assistance and monitoring.
  - d. Campaign and outreach for build back safer.

## 5. Mainstreaming DRR:

- a. Identify future risks from hazards such as earthquakes, landslides, typhoons, and flood data.
- b. Identify government regulation on safe build areas and provision on safe access to the area.
- c. Discuss with the community to encourage their participation in risk reduction measures.
- d. Advocate the risk reduction initiative to the local stakeholders, including the government.

The technical guidelines should follow the standards, which will be detailed below.

## C. Develop standards for shelter assistance that will be applicable to the beneficiaries

The technical guidelines should have standards to fulfil basic or minimum requirements as operational standards. Below are the performance standards and indicators for shelter and settlement assistance:

### 1. Key data

- a. Lifespan:
  - For transitional shelters: materials and construction to allow for more than two years of use. Materials should allow for easy maintenance and upgrade.
  - Permanent housing follows the Building Code.
- b. Cost:
  - For transitional shelter: The amount is for supporting the homeowner to build a basic one-storey transitional shelter. The homeowner still needs to add material and builders.
  - For permanent housing: there will be limitations as the government will issue a policy on the maximum amount for permanent housing assistance.
- c. Covered living space:
  - For transitional shelter: the size of the shelter will vary depending on the number of people in the family. A minimum of 3.5 m<sup>2</sup> per person; for four people per family is 14 m<sup>2</sup>.
  - For core housing, it depends on the available land. The ideal is 9 m<sup>2</sup> per person, but it also depends on the financial capacity to build the core house.

- d. Head height:
- For transitional shelter: A minimum of 1.8 m from the ground to the eaves.
  - For permanent housing: traditionally, it is 2.13 m or 7'0" from the ceiling as the minimum.

## 2. Site and services

- a. For temporary settlements: Legal aspects of the site or plot should be resolved. As a guideline, the minimum timeframe for any temporary use agreement is 30 months. Generally, a temporary shelter is designed to last for at least two years.
- b. The beneficiaries need to show their legal ownership document for transition shelter to permanent housing.
- c. Locations. This should work for both temporary settlement and permanent housing with the guidelines below:
- the shelter site should support the choice made by the beneficiaries themselves. The shelter should be constructed at or near the existing homestead without inhibiting permanent housing reconstruction.
  - Shelters should be built in locations and with designs to minimise the exposure of the occupants to hazards and maintain access to livelihoods. Shelters should not be built next to dangerous buildings or structures.
  - Shelters should not be built on land liable to flood. A shallow slope to allow for drainage is ideal.
- d. Plot preparation. For temporary settlements and permanent housing, sites need to be cleared of any physical dangers.
- e. WASH
- For temporary settlements: clean water and sanitation should be provided adequately. There might be some water shortage; therefore, coordination with the WASH cluster is recommended during the program implementation.
  - For rebuilding upon their previous land for permanent housing: homeowners should provide their own clean water and waste. Moreover, the compound should have a proper drainage solution for each house.

### 3. Shelter design principles

- a. Access: People with disabilities should be able to access every part of the shelter or house, including entry and exit. This refers to the IASC Guidelines Inclusion of Persons with Disabilities in Humanitarian Action.
- b. Hazard-resistant shelters should refer to the Building Code of each country.
  - The shelter should be free from hazards such as floods and volcanic eruptions.
  - The shelter should be resistant to typhoons or earthquakes.
  - During the construction, it is needed to ensure that Building codes are followed to reduce risk if a disaster occurs in the future.
- c. Ventilation and temperature. The shelter or house should be comfortable to live in. Therefore, it should be built with a construction material that is appropriate in the area. Also, the shelter or house should have sufficient ventilation. However, there should be limitations on the opening size since it will weaken the structure.
- d. Privacy: The shelter should be designed as flexible as possible to allow homeowners to improve quality (e.g., putting dividers to ensure privacy).
- e. Culturally appropriate: Materials and construction techniques are familiar to the beneficiaries.
- f. Environment and climate-friendly: The beneficiary needs to be encouraged to use the salvaged material.

## **D. Develop training packages for programme staff, beneficiaries, implementing partners, subcontractors and unassisted community**

Facilitating beneficiaries to self-recover is imperative. Therefore, sufficient training can help improve the capacity of program staff, implementing partners, and subcontractors to support the beneficiaries. The community should be trained since they will carry out the construction or rebuilding.

These training packages need to be delivered in the program implementation and would be better if they could be carried out as soon as possible. Below are the training packages:

### **1. For programme staff**

#### Shelter and Settlements Training

- This course introduces the basics of humanitarian community shelter and settlements activities, including some history and trends related to the sector, best practices in assessments and programming strategy, primary shelter responses, the relationship between shelter and its context (settlements), and how to promote the recovery of affected settlements.
- This training course is based on many years of USAID/OFDA and humanitarian organisation experience in shelter and settlements activities, so discussions and case studies are based on real-life situations.

### **2. For beneficiaries**

- Participatory Approach for Safe Shelter Awareness (PASSA) Training developed by IFRC. PASSA aims to develop local capacity to reduce shelter-related risk by raising awareness and skills in joint analysis, learning, and decision-making at a community level.
- Build Back Safer training. The training is intended to introduce safer construction to the community. It helps them to plan and build hazard-resistant houses.
- Outreach on key messages on building back safer.

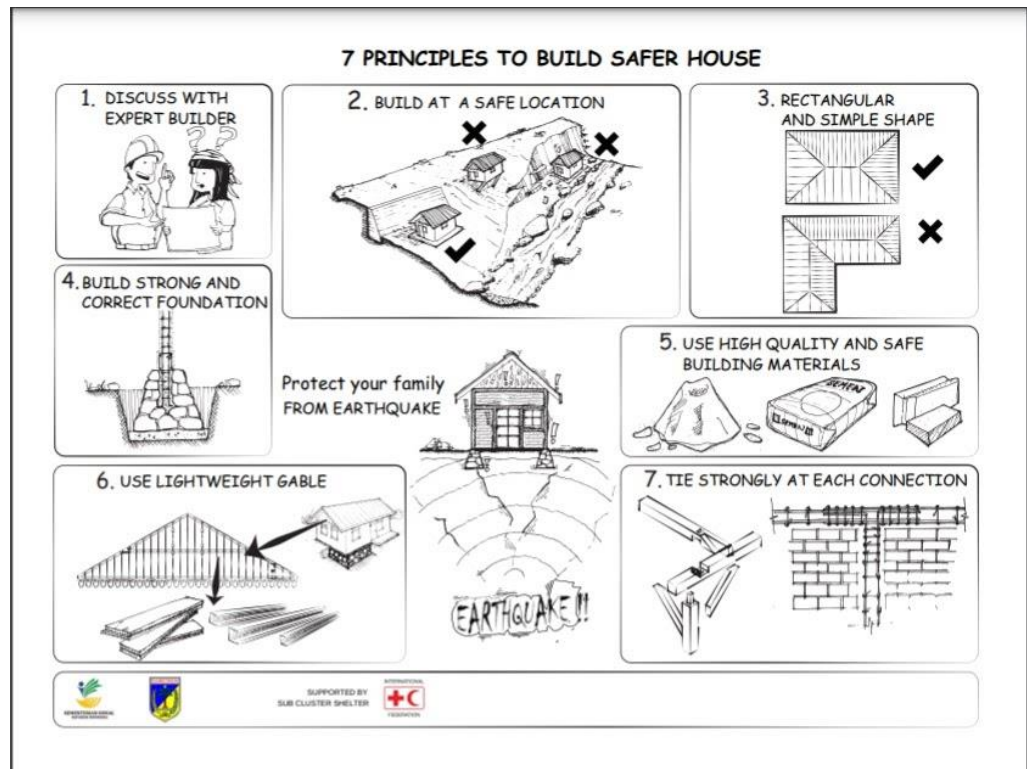
### **3. For implementing partners and subcontractors**

- Training of trainers helps the trainees and facilitators in the Build Back Safer community. This training also develops facilitation skills for outreach programmes on sending key messages for Build Back Safer.

#### 4. For unassisted community

- Outreach on key messages on building back safer.

*Figure 2: Seven key messages on Build Back Safer or 7 Principles to build a safer house, as an outreach measures for the beneficiaries and unassisted community can understand crucial aspects on constructing their houses.*



*Designed by Strategic Advisory Group Sub-Cluster Shelter Indonesia 2019*

## E. Activities

Shelter Managers should be creative in sending safer construction messages to the community. The messages should be delivered repeatedly until everyone accepts and understands. Another way to educate the beneficiaries is by sending videos with seven key messages already uploaded on [YouTube](#).

Please click the [Video](#) and then identify your idea to bring the beneficiaries closer to the understanding and later adopt the principles.

## F. Summary

- The guidance and standards can be useful tools to develop training and assist affected people, even those not part of the programme.
- Technical standards are developed from humanitarian standards to build back safer and more durable solutions.
- Before program implementation, there should be proper training for the team, the beneficiaries, and even the unassisted community to ensure all recovery efforts will result in a fully recovered community.

## 1.3 Ensure shelter assistance complies with relevant building codes, national and international standards and laws

### A. Introduction

Every shelter assistance given to the affected people always needs to be ensured to follow legitimate standards and regulations. Standards and regulations embed the humanitarian values that uphold human dignity and protection from harm. These norms are already translated into the standard and codes, which can apply locally and globally.

### B. Compliance with national and international standards and laws

Some standards and regulations need to be studied before shelter assistance commencement. These laws and standards must be embedded in the proposal, code of conduct and method statements. Every activity mentioned in the implementation plan and method statement should confirm that it abides with standards and laws.

Below are the sets of national and international standards and laws. The national standards should be checked according to each country's regulations.

#### 1. National standards and laws

- Land usage and ownership laws. Housing, Land and Property (HLP) will always be a sensitive issue in the shelter assistance since legality in obtaining shelter assistance often finds challenges due to having no land rights.

- Legal protection of women and children. This ensures that the shelter implementation fulfils the legal protection of women and children from discrimination and illegal conduct.
- Labour laws regulate work hours, wages and all labours' rights. This will apply to the whole shelter team, partners, or subcontractors.
- Building codes that apply nationally. There are various types of structures and their elements. Some standards need to be followed to ensure a resilient construction. It is also to ensure safety and protection for the people living in it.

## **2. International standards and laws**

- International Human Rights. All assistance given to the actual beneficiaries and the unassisted community will be based on their rights.
- Declaration on the Protection of Women and Children in Emergency and Armed Conflict. Where shelter and settlement assistance are delivered, women and children must be safe and unharmed in every country.
- The Sphere Handbook 2018. This consists of a minimum humanitarian standard that all services provided by agencies should confirm with the standard.
- Sphere Handbook Chapter 4: Minimum Standards in Shelter, Settlement and Non-Food Items. This chapter specifically describes the minimum standard to be applied in the planning and implementation.
- IASC Guidelines Inclusion of Persons with Disabilities in Humanitarian Action. This standard ensures that assistance is for everyone, even those with disabilities.

## **C. Develop a method statement to ensure shelter assistance complies with standards and laws**

As mentioned in the previous section, the Shelter Manager should formulate a plan and strategy written in the method statement. Therefore, the method statement needs to confirm its compliance with standards and laws with the following:

- Homeowners who participate in the shelter program are eligible according to their legal rights.
- Selection of beneficiaries is based on a legal mechanism that the national and local government holds. The shelter agency will ensure no hindrance of gender, age, ethnicity, or religion.

- Across the programme, always apply a gender perspective, including identifying gender-specific vulnerabilities in relation to the right to adequate housing and land.
- Those who are not eligible can benefit from recovery through other opportunities provided by the programme, such as information or livelihoods programmes.
- Provisions of builders training are for everyone interested in sex, age, ethnicity, or religion.
- Provision of shelter assistance follows Building Code to ensure safer construction against future hazards.
- Selection of vendors and implementing partners is based on their capacities and shelter experiences without discrimination regarding sex, age, ethnicity, or religion

## D. Summary

- Every shelter and settlement assistance activity should confirm that it abides with standards and laws that apply nationally and internationally.
- Selection of beneficiaries should be based on their rights as stated in the government regulation. The role of shelter agencies is to ensure that there is no discrimination based on sex, age, ethnicity or religion.
- Those who are not part of the program could also benefit from the shelter programme since there are indirect benefits from open opportunities for everyone.
- All construction or services should comply with the national building code and/or standards to ensure the resilient structure can be built and protect the dwellers from future hazards.

**5.2**

## **Element 2. Integrate humanitarian shelter standards and principles into all aspects of the shelter programme**

### **2.1 Mainstream cross cutting issues into all aspects of the shelter programme including inclusivity measure**

#### **A. Introduction**

Shelter programming should be for anyone without discrimination across the affected people within the area. Some people might be overlooked since their presence is not visible in the community. Their society might hinder them from receiving equal assistance. On the other hand, environmental and land ownership issues might diminish the quality of shelter assistance.

#### **B. Identify all cross-cutting issues which data collected from the assessment**

Shelter and settlement programmes will not deliver expected results if concerns are not well addressed. Those concerns are cross-cutting issues that affect all aspects of a programme and therefore need attention. They need to be identified during the assessment to ensure those issues can be mainstreamed in the planning to the implementation.

Below are the cross cutting-issues needed to identify and the consequence if it is not addressed in the planning.

- 1. Age**, a person's capacities and requirements change as they age. In a blanket approach of shelter intervention, older people whose capacities are diminishing cannot perform well as their younger neighbours. Therefore, they will be left behind during shelter assistance being delivered.
- 2. Environment**, every response and recovery need attention to the environmental issues since recovery initiatives potentially harm the environment.

- Opening forest for a new relocation area or cutting forest for construction material can cause harmful impacts such as deforestation, landslides and flash floods.
  - Additional waste comes from construction material, debris from damaged houses, and plastic packaging for shelter packages, creating more pollution in the response and recovery area.
- 3. Gender, GBV and LGBTIs.** Due to local laws such as discriminatory statutory laws and gender-neutral laws, discrimination against women and other sexes could happen. They might lose their rights to have shelter assistance. Moreover, they are vulnerable to sexual and gender-based violence.
- 4. HIV/AIDS and other contagious diseases.** Since people already put a stigma on them, they might be excluded from the community. They may lose their rights due to being inaccessible to the information and registration of the shelter assistance.
- 5. Housing, Land and Property (HLP).** In many cases, only people who can prove the legal rights of their land can obtain shelter and settlement assistance. Those conditions happen since giving assistance to someone on their land, possibly living without legal documentation, can create disputes in the future. Living in the land without tenure security:
- Do not have guaranteed legal protection against forced evictions, harassment and other threats.
  - May be subject to forced evictions, whether permanent or temporary, from the homes and land they already occupy.
- 6. Human Rights.** Shelter assistance needs to respect human rights and should resist any discrimination in providing shelter assistance.
- Discrimination might differ from one area to another, but mostly implies distinction and exclusion based on race, ethnicity, religion, age or sex. For some people, if they fall under these criteria, they will be excluded from having assistance.
  - Discrimination could happen on zoning regulations, policy on who can access various shelter assistance, denial to access security of tenure and restriction to participate in decision-making.

## **C. Mainstreaming cross-cutting issues into all aspects of the shelter programme**

These cross-cutting issues should be integrated into all programmes and projects, from planning to each activity in shelter implementation. Below are the mainstreaming cross-cutting issues:

### **1. Needs assessment coverage.**

It has to cover all people in the area without exclusivity of age, sex, ethnicity, religion, physical and mental health barriers.

### **2. Consultation with everyone on the program planning.**

If people with special needs, including disabilities, could not join the public meeting, special measures should be taken to ask their opinion and preferences for consultation, including how they would access the service and the market.

### **3. Openwork opportunity to all**

Even with disabilities, people can work and can make valuable contributions. It is essential to discuss with them directly to identify their skills and interests.

### **4. Access to information.**

Everyone should have access to shelter and settlement assistance information. The information should be provided which anyone in the area can access, such as

- Provided in all languages which are spoken in the area.
- Clear information by written, graphic or symbol which everyone can understand.
- Sending messages to those who cannot be present in the public information places.

### **5. Additional support to specific groups.**

Shelter and settlement assistance might be the same for everyone, but since there are different groups in the community, the assistance must consider the different needs, barriers and threats. Below are the examples of additional support:

- When planning NFI distributions, special attention and additional support must be given to children and older persons with special needs.
- The most vulnerable are eligible to receive top-up assistance to finish their temporary shelter or housing reconstruction.

## **6. Enabling access in communal building and individual housing**

Provision of ramp, handrail and signage in communal latrine blocks should be accessible to persons with disabilities.

## **7. Prioritising the most vulnerable in programme commencement**

Since the most vulnerable group is potentially left behind in the assistance due to potentially unfinished temporary shelter or housing reconstruction, they should be prioritised on the programme commencement.

## **8. Protection for people with disabilities and from gender-based violence**

In designing shelter programmes, safety for the beneficiaries and the community should consider the range of gender identities and their sexual orientations and persons with disabilities. As shelter assistance is for everyone, special measures should be given to vulnerable people due to gender conditions and disabilities.

## **9. Environment-friendly initiatives**

In response and recovery shelter assistance, every agency should consider environment-friendly initiatives such as:

- Maximising the usage of salvaged construction material.
- If wood or bamboo are needed, the harvesting should follow their seasons and age to preserve the environment.

## **10. Advocacy and land titling support**

Since people without legal land ownership are potentially excluded from the shelter assistance, shelter agencies should provide support to them such as:

- Advocacy to the government on which appropriate assistance is given to them during the recovery process, including relocation.
- Support them in the land registration process.

*Image 1: One house in Central Sulawesi, Indonesia, previously affected by the earthquake, has already finished the construction. They can complete the house since they maximised the use of salvage material.*



*Photo: Arwin Soelaksono (2019)*

## D. Activities

An initiative to ensure an environmentally friendly rebuild can be achieved by maximising salvage material usage. In the following [Video](#), the concept of Build back Circular is being introduced.

## E. Summary

- Shelter and settlement assistance have many cross-cutting issues in delivering adequate support to the affected people.
- No discrimination is allowed or should happen during the shelter assistance; therefore, all those subject to discrimination should be allowed to participate and have access to assistance.
- The shelter agency should provide additional support to vulnerable people since their conditions hinder them from performing like their neighbours.
- Shelter assistance should not negatively impact the environment; therefore, the agency and the community should work together to preserve the environment.

## 2.2 Prioritise urgent humanitarian needs and the needs of the most vulnerable

### A. Introduction

At the initial stage of a disaster event, shelter is a critical determinant of survival. The shelter is necessary to protect the elements and resistance to weather and disease. Moreover, shelter is needed for security and personal safety, including privacy. Nevertheless, cases show the affected people cannot sufficiently provide shelter and other basic needs.

### B. Identifying urgent humanitarian needs and the most vulnerable needs












As a survival effort, affected people will try to self-provide their shelter needs. Some of them can find a place of refuge or build a makeshift tent with a tarp or other material they would find. However, some families do not have such capacities to provide shelter; therefore, they persist in living in unsafe houses or temporary settlements with the risk to their privacy and protection.

Below are the conditions which should be identified during the needs assessment. Their current condition is hindering their access to shelter assistance.

- **Need for shelter assistance**  
People who cannot afford individual shelter or family to live or rent a room can stay in a collective shelter in suitably large public buildings or structures, such as warehouses, halls or barracks, or temporary planned or self-settled camps.
- **Vulnerable groups**  
People classified as a vulnerable group due to discrimination such as age, gender, ethnicity, sex and religion; might find it challenging to access shelter assistance.

- **People with disabilities**

*Figure 3: Diagram of Risk to Dignity – Risk Factors and Mitigation Measures.*

Risk	Risk Factor	Icon	Mitigation Measures	Icon
Dignity (affected privacy, psycho-social wellbeing, marginalization, neglect) 	<ul style="list-style-type: none"> <li>• Minimal size of livable, enclosed space (lack of);</li> <li>• Sealing off of the shelter as protection against the elements (e.g. cold, extreme heat, and wet weather) (lack of);</li> <li>• lack of privacy and security of beneficiaries;</li> <li>• lack of adaptation for specific needs (e.g. size, culture, gender) and people with disabilities (PWD).</li> <li>• features of the shelter limiting social participation, dignifying care and self-care</li> </ul>	    	<ul style="list-style-type: none"> <li>• Internal partitions to separate sleeping/living areas from bathrooms and kitchens;</li> <li>• Windows and external doors installation;</li> <li>• Locks and handles installation;</li> <li>• Specific needs of PwSN including PwD integrated into tailored response.</li> <li>• Any assistive technology that can facilitate movements/participation/access.</li> </ul>	    

They always need support from others or enabling features that will help them perform like ordinary people. Therefore, the Shelter field team should be equipped with icons to mitigate all risks during design and shelter implementation. This matrix provides an overview of protection risks – including risk to health, safety, dignity and security of tenure – the shelter and WASH factors that contribute to this risk, and mitigation strategies.

- **Protection**

People who need protection from the risk of gender-based violence. Women, children and people with their sexual orientation need protection from harassment.

- **People with physical and mental illness**

Due to their health, these people depend entirely on others for the shelter assistance they need.

- **Legal rights of the land**

Those who do not have legal rights will probably not have access to government and agency support.

### C. Prioritisation of urgent humanitarian needs with flexible intervention

The Shelter manager has to propose which humanitarian needs are mentioned above and urgently respond to them since the capacity to respond is limited. Also, there are other pressing needs. Therefore, prioritisation will be based on providing or accessing basic needs, protecting their dignity, and flexibility for the beneficiaries. Therefore, these are rationalisations to prioritise the urgent humanitarian needs:

- People with disabilities with a combination of other conditions.
- People with physical and mental illness with a combination of other conditions.
- People who have risks of gender-based violence with the combination of other conditions.

Those beneficiaries might not be in one location, but on the other hand, they need shelter assistance swiftly. Therefore, the assistance should be as flexible as possible to meet their preferences and match their capacities.

- Cash-based assistance will be a good option if the support and market are available. They can rent a room, repair their houses, put a divider in their room at the barracks, etc.
- They cannot provide direct provision upon their request since they cannot physically work to provide for themselves.
- Technical assistance if they have extended families to support them financially

## D. Summary

- Even though everyone knows that shelter is a critical determinant of survival, in reality, not everyone has access to adequate shelter assistance. Due to their condition, there are groups of people who are still struggling to fulfil their shelter and basic needs.
- Those groups should be identified and supported according to their specific conditions and humanitarian needs.
- Decision on prioritisation has to be made on the most impacted when their humanitarian needs fail or are late to be delivered.
- Supporting those priority groups or individuals needs to be flexible since their conditions are unique and might be scattered in some places.

## 2.3 Use an evidence-based approach in the design and implementation of shelter

### A. Introduction

Shelter agencies tend to implement shelter programmes based on their current practice and follow government plans and policies. Both agency's current practices and government policies have limitations that could not be applied entirely in the upcoming shelter programme. This is because,

the available techniques, policies and plans might be developed from previous disasters, which might have different situations and impacts on the affected people. Therefore, the Shelter Manager must adopt an evidence-based approach.

## **B. Analysed field assessment data to find gaps in common practice and government recovery plan**

Below are the key features of assessment data, which remain up to date in recovery plans.

- **Number of vulnerable people and type of vulnerabilities.** This should be highlighted due to organisation's best practices and government plans that have no specific number on this group of beneficiaries. This will affect additional budget consideration, implementation timeframe and special treatment.
- **Geographical context.** This is related to the transportation and logistics distribution and provision of technical assistance. Working in scattered mountainous areas is much more difficult than in a flat area with an adequate transportation system.
- **Temporary settlement and housing rebuilding preference.** There is always a unique preference for having a temporary settlement in every area. At one point, people want to select whatever they find suitable for them, but on the other hand, they have no choice but to accept to live in a place that might not match their preference due to limitations.
- **The modality for implementation.** There is no assurance that a modality will always be fully effective if implemented in an area. The evidence should highlight which modality is best or can also improve the previous modality for implementation.
- **Provision of services providers.** The quality-of-service providers in the assessed area can become an issue if they do not have sufficient capacities and experience.
- **Construction material vendor.** This will change the selection of construction material significantly.
- **Capacity of builders and homeowners.** They are the key players in shelter recovery. The absence of good quality builders might affect quality and time frame.
- **Housing, Land and Property (HLP) issues** should be investigated as soon as possible since the issue might affect the change of programme or assistance.

## **C. Develop shelter programme which is in line with evidence-based approach logic**

Promoting an evidence-based approach can ensure that shelter programmes will be effective and fully accountable. Therefore, in this approach to the programming, the Shelter Manager should combine the following:

### **1. Affected people's preference and field condition**

Reliable information should consist of numbers, potential challenges due to vulnerability or geographical context, and resource availability.

### **2. Organisational capacities and standards**

Organisation's capacities include human resources, partners and method statements, which have been proven successful from the previous implementation. The standards are shelter and settlement standards which can be found at the following:

- Sphere Handbooks
- Sphere Handbook Chapter 4: Minimum Standards in Shelter, Settlement and Non-Food Items,
- UNHCR Emergency shelter standard
- IOM Emergency Manual

### **3. Shelter studies and research**

Some insights will enrich our understanding of delivering shelter assistance. This collection of studies can be found on the Global Shelter Cluster website. Also, there is academic research available online related to shelter and settlement programmes.

Therefore, designing shelter and settlement assistance is always based on those three subjects to ensure comprehensiveness and effectiveness. In addition, the assistance should always be relevant to the field situation. It is intended that the shelter assistance should support shelter self-recovery and build back safer.

## **D. Activities**

The Learner needs to find three shelter studies, which may be academic research or case study done by a shelter agency that is required for shelter programming.

**Example:** Building safety in humanitarian programmes that support post-disaster shelter self-recovery: evidence reviews by Louise Harriss, Charles Parrack and Zoe Jordan. 2019.

## E. Summary

- Shelter programming should be developed with an evidence-based approach to ensure effective shelter assistance.
- There are three subjects needed to design shelter assistance, i.e., affected people preference and field condition, organisational capacities and standards, and shelter studies and research.
- Enhancing shelter manager capacity and improving organisational capacity through available resources can be assessed, i.e., standards and shelter studies and academic research.

## 2.4 Integrate and apply Sphere, CHS, All under One Roof, Humanitarian Inclusion Standard, IASC on Inclusion of Persons with Disabilities in Humanitarian Action and all other relevant standards into shelter programme design

### A. Introduction

In order to deliver proper shelter assistance, the programme has to be designed according to legitimate standards. These standards should have been tested in many post-disaster response and recovery globally and proven effective. Therefore, Shelter Manager must integrate all relevant standards, including The Core Humanitarian Standard, into programme design.

### B. The Core Humanitarian Standard on the shelter programme

In previous sections, shelter standards such as those described in Sphere, UNHCR and IOM have been discussed. In this section, another standard, i.e. the Core Humanitarian Standard on Quality and Accountability (CHS), will be discussed in more detail.

The inclusion of the Core Humanitarian Standard in the Sphere Handbook reaffirms its rights-based approach and alignment with international law and declarations, including the Universal Declaration of Human Rights, the International Covenant on Economic, Social and Cultural Rights and the International Covenant on Civil and Political Rights, all which are included in the Sphere Handbook. Below is the graph of CHS.

*Figure 4: Graph of Core of Humanitarian Standards, Source: CHS*



In short, there are nine chapters in Core Humanitarian Standard (CHS) as follows:

1. Appropriateness, relevance
2. Effectiveness, timeliness
3. Strengthening Local Capacities
4. Communication, Participation, Feedback
5. Complaints Mechanisms
6. Coordination, Complementarity
7. Learning, Improvement
8. People Management
9. Resource Management

Implementing shelter assistance by putting CHS and the technical standards into practice will fulfil the mission according to the affected people's perspective. Practising CHS and technical standards will confirm

that the affected people have the right to life with dignity. The CHS will improve the quality and accountability of humanitarian response with a people-centred and rights-based approach.

The structure of the CHS consists of Commitments, Key Actions and Guidance Notes which can be elaborated as follows:

1. **Commitments** describe what people can expect from humanitarian organisations, while Quality Criteria state how to deliver humanitarian assistance.
2. **Key Actions** specify what should be done to fulfil the Commitments, while Organisational Responsibilities describe what must be in place in organisations to implement the Key Actions.
3. **Guidance Notes** provide additional information on how to meet each CHS Commitment, while Indicators outline how to measure the achievement of the Commitments.

Specifically, in the shelter, there are technical chapters that need to confirm that during the programme design, these ideas should be incorporated:

### 1. Planning

During planning, all beneficiaries should have their voice heard, and they should participate in the planning. It should be beneficial to the beneficiaries and also to the agency that is supporting the recovery. For instance, the beneficiaries are also responsible for maximising their effort and ensuring the timeframe will be respected.

### 2. Location and settlement planning

The affected people should be consulted, whether relocation or in-situ reconstruction. This is related to their access to their livelihood, and they can feel safe while living in the area. The shelter agency should give room for discussion while respecting their culture and religion when developing the location.

### 3. Living space

The living space for each family will be different according to their family size. In this case, they are responsible for providing sufficient construction material or labour costs to complete their temporary shelter or permanent house.

### 4. Household items

Consultation with the beneficiaries before planning to deliver household items is essential to avoid wasting the assistance if they cannot use or do not need provided materials.

### 5. Technical assistance

Having a robust and safe structure is their right since they will live in their shelters or houses. Therefore, it is their right to obtain proper technical assistance. On the other hand, it is also their responsibility to follow the advice given in technical assistance.

### 6. Security of tenure

Shelter agencies need to respect their land ownership; therefore, the assistance should contribute to the land titling. The assistance can be advocacy to the government or supporting them in land registration.

### 7. Environmental sustainability

Shelter assistance has to be environment friendly. The impact of shelter support must not degrade the environment, which can endanger those who receive the assistance or even their neighbour whose locations are pretty far. This is also the responsibility of the beneficiaries to protect their environment.

## C. Integrate all standards on shelter programme design

We discussed evidence-based approaches to designing shelter and settlement programming in the previous section. In the evidence-based practice, it was mentioned standards that have to be followed. The previous section mentioned standards for protection and settlement, which can be found at

- Sphere Handbook
- Sphere Handbook Chapter 4: Minimum Standards in Shelter, Settlement and Non-Food Items,
- UNHCR Emergency shelter standard
- IOM Emergency Manual
- Local Building Code
- Moreover, CHS, is now inclusive of the Sphere handbook.

These standards will help in designing shelter and settlement programmes. It will be like a checklist to ensure none is overlooked. Every milestone can also be checked against the integrated standard at the design stages during the implementation. Therefore, these standards should be used as a reference for developing monitoring tools.

Those standards can help to improve programme quality in both ways. From shelter agencies, those standards will guide the implementation to

fulfil all criteria of appropriate assistance. This includes material specification, structure and craft qualities and comprehensiveness of shelter assistance. From the beneficiary's side, every process can be held accountable since all parties are involved and responsible.

## D. Summary

- Shelter and settlement programmes can be acknowledged as beneficial to their beneficiaries if the design and implementation aspects can be checked against the standards.
- Practising CHS and technical standards will confirm that the affected people have the right to life with dignity.
- The standards, including CHS, can improve service deliverability since the beneficiary participation can enhance its accountability.
- These standards should be used as a reference for developing monitoring tools since it is objective and is applicable globally.

### 5.3

## **Element 3. Integrate appropriate shelter technical quality assurance procedures into all stages of the shelter programme**

### **3.1. Develop appropriate quality control and MEAL (monitoring, evaluation, accountability and learning) tools to ensure technical quality**

#### **A. Introduction**

The Shelter Manager is responsible for ensuring that the shelter and settlement programme can deliver a number of houses or shelters that can be built and follow the safe construction guidelines. It means those that deliver should achieve minimum quality. The more quality measures achieved, the more successful the program. Therefore, the shelter technical team and the MEAL team should develop tools and indicators to measure the progress and quality of the programme.

## **B. Develop a list of subjects from available information from needs assessment, standards, government policy and recovery plan**

The Shelter Manager should ensure the availability of references developed as tools for developing MEAL tools. This reference will increase tools' objectivity and eliminate subjective preference since everything will be checked against authoritative references.

The Shelter Manager and MEAL Manager should develop quantitative measurements on each target in which everyone will agree. Below are the references needed for MEAL tools:

- Analysed assessment data containing baseline conditions and the trend which can depict future risk. The analysed data should include the number of affected people with segregated gender, age, vulnerability profile, and the number of house damage.
- Standards are already discussed in section 2.4.
- Government policy and recovery plans describe timeframe modality and address vulnerable people, including HLP issues.
- Agency method statement, which includes milestones. An S-Curve or Gantt chart depicts the progress percentage achieved against the milestone's time frame.

## **C. MEAL team and shelter technical team agreed on the indicator**

An indicator can be developed from the list discussed above, which is the quantification of achievement. Below are the indicators which generally have been used in shelter and settlement programmes.

1. Percentage of progress achieved against time. Percentage of progress is the number of ongoing works divided by the total completed target number. For instance:
  - The number of families to serve and the number of (vulnerable) people with special needs to support.
  - Number of temporary shelters to construct.
  - The number of permanent houses to rebuild or repair.
  - Amount of cash to distribute.
  - The number of builders received build back safer training.
  - The number of people reached for safer construction messaging.

2. Quantification of quality of service delivered. Even though it is difficult to quantify a quality measure, the indicator can be developed through a system to evaluate the quality. For instance:
  - Number of safe and resilient shelters or houses have already been evaluated and conformed following the construction guidelines.
  - The number of builders who passed the build back safer training can be identified from the pre-test and the post-test.

## **D. Summary**

- The success of shelter and settlement programmes can be measured using appropriate tools.
- The tools and their indicators can measure and control the quality of shelter and settlement assistance delivered.
- The indicators can be derived from authoritative standards, analysed needs assessment, and agreed-upon method statements before the program execution.

## **3.2. Develop appropriate contracting arrangements to ensure transparency and accountability**

### **A. Introduction**

In implementing shelter and shelter programmes, shelter agencies doing particular work could not implement directly due to limited resources or expertise. Therefore, shelter agencies need consultants or contractors for programme implementation or advice. In order to be fair to every party, the job contract should be developed to encourage transparency and accountability.

### **B. Decide on which activities or job packages can be contracting**

The management team should decide which activities or job packages must be implemented through external consultants or contractors. The management should evaluate whether the presence of the contractors adds value to the overall shelter outcomes and will not have a negative impact on the programme. Therefore, some aspects need to be considered before hiring consultants or contractors.

- Particular expertise or experience within the organisation; therefore, external experts or contractors add value and execute the job package.
- A particular task might negatively impact the organisation; therefore, the work should be subcontracted as a precaution.
- The subcontracted job package will not diminish the self-recovery initiatives of the beneficiaries.
- The contract amount included the management and insurance costs within the work budget.

### **C. Develop internal mechanisms which can connect the shelter technical team, logistics and finance to strengthen transparency and accountability**

Before the tender process and consultants or contractors award process, there are steps that the organisation needs to provide:

1. There should be an internal mechanism for dividing responsibilities to engage the contractors. For instance, the shelter team is responsible for the amount of work and quality, the logistician on procurement procedures while the finance executes the payment.
2. There should be procurement guidance on engaging external consultants and contractors.
3. There should be financial guidelines on the payment process for the contractors. There should be a stated provision of evidence on achievement or work completion.
4. The shelter technical team should provide a method statement of work that needs to be subcontracted. This should consist of:
  - Area of work.
  - The amount of work can be the number of beneficiaries. The specific condition of beneficiaries should be their presence, the number of trainings, the amount of money that should be distributed, type and amount of construction material and tools that should be distributed.
  - Acceptance of work according to codes, guidelines or standards.
  - Timeframe versus progress which is indicated in S-Curve or Gantt-chart
  - Modality and options for implementation

5. The procurement team will invite bidders that only show their legitimate entity and have sufficient experience. The candidate can show their eligibility through:
  - Company profile or CV.
  - Tax report for a particular time or years as the organisation standards.
  - Work experience for a certain time.
  - If it is an organisation or company, there should be an organogram of directors and a list of staff members assigned to the project.
  - Work proposal for implementation.
  
6. The procurement team will manage the tender process according to the organisation's regulations on hiring consultants or contractors. These are some rules that apply to tendering process:
  - Job information for tender is shared widely through newspapers or leading websites.
  - There should be sufficient time for candidates to prepare their proposals and bidding.
  - The candidates receive clear instructions on how to submit the tender.
  - Within the organisation, there should be a tender committee equipped with tender evaluation scoring guidelines before opening.
  - The room for negotiation should be fair to all candidates, and all discussions are recorded in meeting notes.
  - The awardee should be decided through a scoring mechanism which the committee does.

## **D. Develop contract agreement using standard formatting contract**

If the tender process had finished and the contractor had been nominated, the signing contract would be the next step before the job execution. A written agreement should be clear and easy to understand. It should help set expectations with the contracted parties on what should be delivered. Even though the procurement department already has a standard formatting contract, the contract should be customised according to the industry, including terms relevant to shelter and settlement works.

Whether the contract uses the organisation standard or has some modification due to shelter and settlement work, it should contain as follows:

- Each party's responsibility should be on writing in simple language, which will be easy to interpret: the more detail, the minor dispute on responsibility.
- If the organisation uses the standard form contract, the method statement and contractor's proposal will be the attachment but not a separate document with the contract.
- The deliverability should be clear on how to measure quality. Both parties can agree on quality control during the negotiation. Also, quality agreements can follow the authority standard such as building code and government guidelines.
- Specify payment obligations. It should be clear when the payment request can be made and which conditions for making payments.
- The contract should mention the circumstances that terminate the contract. There is a situation where everyone should agree that if one party cannot perform to deliver the responsibility, there should be termination without any legal consequences.
- There should be a law to govern the contract; both parties agree to legal action in case of an unresolved dispute.

## E. Summary

- Contracting a job package to implement a shelter and settlement programme can be done if the organisation lacks sufficient expertise and experience.
- On hiring external consultants or contractors, the organisation should have a mechanism to connect the shelter team as the requestor, the finance who will execute the payment and the procurement who will manage the tendering process.
- The tendering process should be publicly open to ensure all eligible candidates can participate, which the requirements are standard, and the timeframe is achievable.
- The contract should be clear and straightforward even if it contains shelter and settlement context, which every related party could understand.

### **3.3. Develop appropriate programme quality assurance and contracting tools to ensure ongoing programme quality**

#### **A. Introduction**

Implementing shelter and settlement programmes through contractors can be done as long as the community and government allow. The challenge of having a contractor is controlling the quality since the organisation is not managing directly at the field level. Therefore, the control mechanism should be set to control quality measures at the field level.

#### **B. Combining quality assurance tools and contracting tools for evaluation**

Quality assurance is derived from standards and method statements that are intended to be used to control the quality during programme implementation. In the case of a non-performing contractor, it is valid to enforce contracting tools for corrective measures. However, sometimes, it is pretty challenging to control the quality during the execution.

These are the aspects of assurance tools and contracting tools that can be combined to develop control mechanisms.

1. Checklist of detailed work done, for instance
  - The job is using accepted construction material as stated in the building code
  - The installation of structural elements follows the shop drawing or the guidelines,
  - Safety measures to ensure the working area is safe from accidents and hazardous material.
2. The Gantt chart or S-Curve states that the progress measure evaluates the work on or behind schedule.
3. Some clauses can be used as tools to ensure the agreement is respected from the contracting document.
  - Meetings. The contractor can request their presence to discuss issues. On the other hand, the contractors can request an appointment if there is any dispute in the field.

- Mediation. If there is an unresolved dispute regarding un-performing work in terms of time and quality.
- Penalty if the contractors often do not respond or make corrections of unacceptable work done.

### **C. Set up control mechanism to evaluate the progress compared to the indicator and milestone in the monitoring process**

The intention to set up a control mechanism that derives quality assurance tools and the contracting tools is to bring down control to the field level. The control is for the organisation's job owner and the contractor, the implementer. This control mechanism at the field level ensures that the ongoing implementation fulfils the expected quality. The control mechanism at the field level is as the following:

- Breakdown of work per contractual payment stage.
- Report of the presence of sufficient human resources and their equipment.
- Paper-based or electronic checklist for achieved work that passed quality monitoring.
- Immediate rectification upon field team identification of work defect
- Proof of documentation of work completed for supporting data of payment claim
- Regular field report, which consists of numbers and qualitative report.
- Those should be achieved as proof of quality achievement and can be the basis for payment claims.

### **D. Summary**

- Quality control ensures the work implemented fulfils the agreed quality; on the other hand, makes sure that any defects can be immediately rectified.
- Quality assurance tools and contracting tools can be combined to develop control mechanisms.
- The control mechanism derived quality assurance and contracting tools to bring control to the field level.



# Self-assessment Checklist



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## 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 marks 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've 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



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## » 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 that 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 will need to support their answers with reflections of their own or other's experiences and the lessons learned from those.

## 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. Your answers need to be easy to read and understood. It includes removing and leaving out irrelevant materials. Candidates are also expected to write coherently and logically so that readers can follow their thought. The key messages and transitions between your sentences and paragraphs must be clear.

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

European Commission. (n.d.). *DG ECHO Thematic Policy Document Shelter and Settlements*. Accessible [here](#)

IFRC. (2011). *PASSA Participatory Approach for Safe Shelter Awareness*. Switzerland: International Federation of Red Cross and Red Crescent Societies. Accessible [here](#)

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

UN Habitat. (n.d.) *The Right to Adequate Housing*. Accessible [here](#)



## Learning Resources

OCHA. (2015). *USAID/OFDA Shelter and Settlements Training Course*. Accessible [here](#)

U.S. Naval War College's Civilian-Military Humanitarian Response. (2021, May). *Humanitarian Assistance and Disaster Response (HA/DR): Training Courses*. Retrieved June 2021. Accessible [here](#)



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ASEAN Standards and Certification for Experts in Disaster Management

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