



Introduction

- Humanitarian crisis?
- Challenges
- Differences
- Shelter
- Stakeholders
- Coordination
- Information

This document is a launch edition that offers general guidance for urban humanitarian response, as such it should not be taken as a 'how to' manual for action in the field. These guidelines are the first specialised guidelines on urban response and is based on practitioner experience and editing by stakeholders.

Note to governments and programme managers: this document looks across sectors of humanitarian response and offers tools for facilitating durable solutions for the entire affected population in all options for settlement and reconstruction.

1 Defining

- 1.1 Livelihoods
- 1.2 Population
- 1.3 Targeting

Note to government and humanitarian strategic planners and decision makers in coordination roles: the document recognises that beneficiaries move between various settlement and reconstruction options. The many reasons for a change in location must be addressed across an humanitarian response, across all phases and within and between sectors or, if the Inter-Agency Standing Committee is leading coordination, between their 'clusters'.

2 Combining

- 2.1 Assistance
- 2.2 Combination
- 2.3 SWOT
- 2.4 Case studies

Note to assessment teams and researchers: the frameworks set out here are designed to support the assessment, research, monitoring and evaluation of the impacts, outcomes and overspill effects of urban shelter interventions. This will feed back to inform practice through further tools and sector support resources and events.

3 Standards

- 3.1 Incorporation
- 3.2 Frameworks

All governments and humanitarian staff are encouraged to develop further this launch edition.

Resources

- Bibliography
- Appendices

Urban shelter guidelines

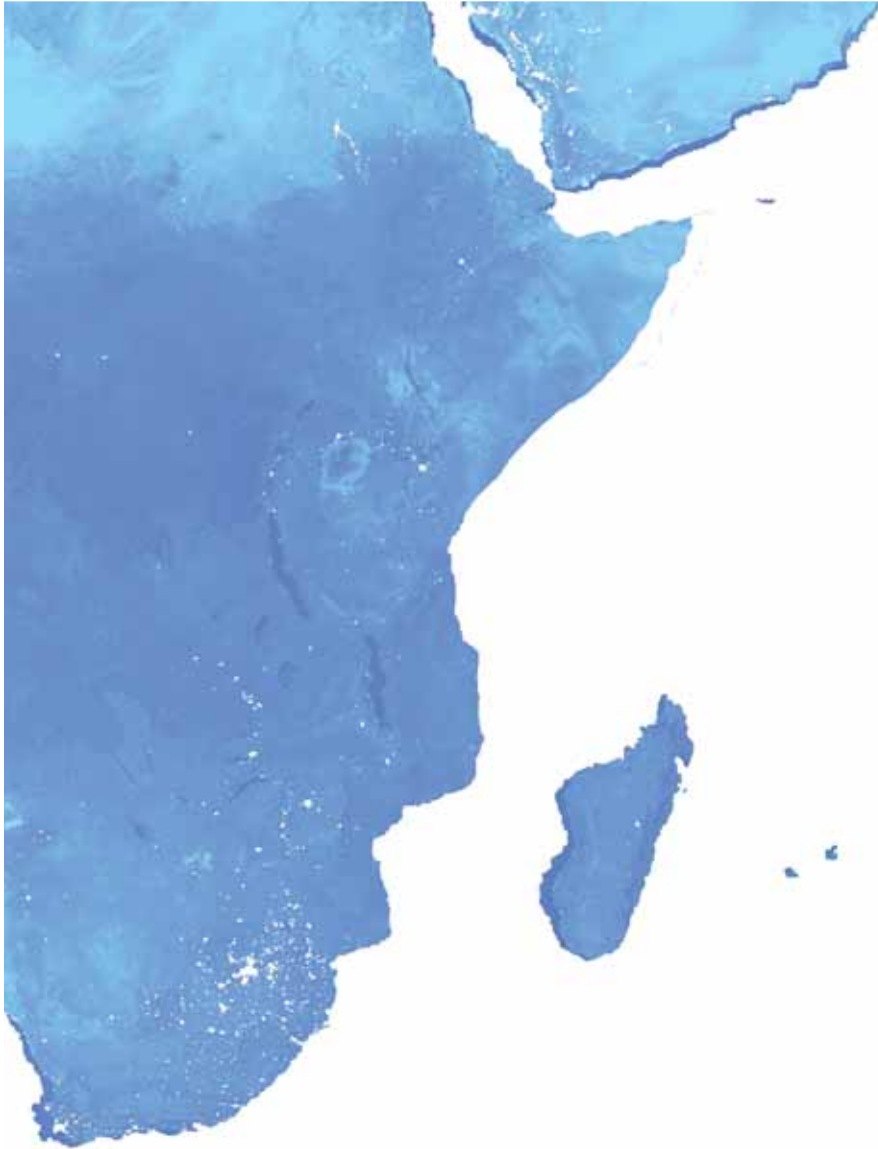
Assistance in urban areas to populations affected by humanitarian crises



Urban shelter guidelines

Assistance in urban areas to populations affected by humanitarian crises







Urban shelter guidelines

Assistance in urban areas to populations affected by humanitarian crises



This document provides guidelines to help you with:

- ▶ defining and targeting the affected population (identifying beneficiaries);
- ▶ using and combining the 18 assistance methods; and
- ▶ deciding on standards.

In addition it provides an overview of:

- ▶ available profiling methods;
- ▶ available assessment tools and handbooks; and
- ▶ housing, land and property (HLP) at a glance.

This book, coordinated by the NRC and written in collaboration with many other organisations (see Acknowledgements below) aims to present guidelines for use in humanitarian action in urban and peri-urban areas. Scope and audience

Scope and audience

These guidelines are aimed at:

Programme managers: the document looks across sectors and offers tools for facilitating durable solutions for the entire affected population in all settlement options.

Policy makers and decision makers in clusters: this document recognises that movements of beneficiaries between various settlement, return and reconstruction options and the many reasons for a change in location must be addressed across a humanitarian response, throughout all phases and within and between sectors or Clusters.

Research teams: the frameworks set out here are designed to frame research, monitoring and evaluation of the impacts, outcomes and overspill effects of urban shelter interventions. This will feed back to inform practice through shelter meetings.

The document is based on practitioner experience and editing by stakeholders.
All humanitarian staff are encouraged to further develop this first version.

Rationale

Experiences shared from field operations and expert discussions within the global humanitarian community highlighted that specific challenges of urban displacement arise both from a temporary influx to urban areas caused by a conflict and/or natural disaster during the emergency and transitional phase as well as from (re)settlement in or to urban areas as part of a search for livelihood possibilities.



Acknowledging that the future will see increasing numbers of displaced people seeking protection and shelter in urban areas rather than rural camps, it is important to develop guidelines and assistance methods allowing humanitarian organisations to better adjust their strategies and response to the specific needs of urban displacement.

Even though more and more humanitarian shelter organisations are focusing their response to the needs in urban settings, specific guidelines and assistance methods are not available yet. Most organisations base their operations on existing guidelines, assistance methods and (re)construction options that may originally have been developed assisting displacement in rural areas.

Addressing the need for more guidance, various policies, strategies and concept notes are currently drafted. The focus is on describing and categorising patterns and scenarios of urban displacement. Nevertheless concrete guidelines and assistance methods for urban settings are still not available.

In order to address the demand this Shelter Centre Sector Project initiates a drafting process of guidelines and assistance methods for humanitarian shelter operations in urban settings based on the review of existing and established guidelines and strategies. The Sector Project will be closely linked to the drafting processes of the mentioned policies and strategies ensuring relevance and coherence.

Framework of the document

This document is a first edition that does not offer guidance on urban humanitarian response, but instead proposes a framework as a step in the development of such guidance. The document is based on practitioner experience and editing by stakeholders.

Three topics are considered by this document, for assisting refugees and IDPs in urban settings:

- ▶ defining and targeting affected populations;
- ▶ agreeing standards and using laws and codes; and
- ▶ the combination and use of 18 commonly-used assistance methods.

In addition, an overview is offered for:

- ▶ available profiling methods;
- ▶ available assessment tools and handbooks; and
- ▶ relevant Housing, Land and Property (HLP) concerns.

As part of the further development of the topics considered in

Introduction

- Humanitarian crisis?
- Challenges
- Differences
- Shelter
- Stakeholders
- Coordination
- Information
- Implementation

Defining 1

- Livelihoods 1.1
- Population 1.2
- Targeting 1.3

Combining 2

- Assistance 2.1
- Combination 2.2
- SWOT 2.3
- Case studies 2.4

Standards 3

- Incorporation 3.1
- Frameworks 3.2

Resources

- Notes
- Appendices



this document, it is hope consideration will be given also to durable solutions and the role of humanitarian organisations and coordination in the recovery of affected populations, within a context of managed risk.

The document uses an 'options framework', presenting a matrix of tools, and uses a few carefully structured case studies to map the approach on to real events. These case studies illustrate:

- ▶ different response decisions;
- ▶ SWOT analyses of different interventions, ideas for mitigation of risk in processes and products and competences needed; and
- ▶ steps to implementation.

The guidelines acknowledge that it is usual most appropriate and effective to combine appropriate assistance methods. It uses graphs and icons developed by Shelter Centre and other relevant publications, supporting coherence in the sector.

Funding

The Geneva based Shelter Centre is a non-governmental organisation that supports the sector of humanitarian operations that responds to the transitional settlement and reconstruction needs of populations affected by conflicts and natural disasters, from the emergency phase until durable solutions are reached. All Shelter Centre activities are designed and maintained so that the maximum number of sector stakeholders participate in their development and benefit from their outputs. Funded through a programme with DFID, 2006–2011, Shelter Centre supports so called "Sector Projects" which need to be of general value to humanitarian operations.

These Guidelines are the result of the "Sector Project - Urban Assistance" which is financially supported by the Shelter Centre "Shelter Funding" mechanism as part of their programme with DFID and led by the Norwegian Refugee Council. UN-OCHA, MSF-International, World Vision International, Practical Action, SKAT and Habitat for Humanity are partners to this Sector Project which is focusing on the collaborative development of guidelines and assistance methods for humanitarian shelter operations in urban settings. Shelter Centre supports the Sector Project with facilitation, knowledge and logistically. NRC sees its role as being the moderator of this Sector Project and encourages all organisations to contribute to the process both with technical knowledge and own initiatives.

The project objectives, expected output and a draft timeline of the "Sector Project – Urban Assistance" were formally presented in the plenary of the Shelter Meeting 09a organised by Shelter Centre and held 7th-8th May 2009 in Geneva, Switzerland.

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In the drafting process of the guidelines the Norwegian Refugee Council (NRC) had the role of moderator and facilitator. The final guidelines reflect ongoing discussions and are intended to stimulate a broader discussion. The guidelines are neither representing the NRC's mission statement and program policies nor are they NRC's recommendation to the sector. The views expressed in these guidelines do not necessarily reflect the views of the NRC.

Introduction

Humanitarian crisis?

Challenges

Differences

Shelter

Stakeholders

Coordination

Information

Implementation

Defining 1

Livelihoods 1.1

Population 1.2

Targeting 1.3

Combining 2

Assistance 2.1

Combination 2.2

SWOT 2.3

Case studies 2.4

Standards 3

Incorporation 3.1

Frameworks 3.2

Resources

Notes

Appendices

Table of contents

	Scope and audience	2
	Rationale	2
	Framework of the document	3
	Funding	4
	Acknowledgements	5
	Introduction	
	<i>The scope of work in urban areas</i>	
	Humanitarian crisis	8
	Challenges: what are the specific challenges in urban areas?	10
	Differences: why is humanitarian shelter different in urban areas?	13
	Shelter: when is humanitarian shelter in urban areas necessary?	14
	Stakeholders: who are the different stakeholders in urban areas?	16
	Coordination: what is different with the co-ordination structures in urban areas?	17
	Information: gathering, sharing and analysing data	18
	Implementation: what are the main challenges for humanitarian organisations in urban areas?	20
	Chapter 1 Defining	
	<i>Defining and targeting affected population</i>	
1.1	Livelihoods: a framework after crisis	25
1.2	Population: defining affected population	28
1.3	Targeting: targeting affected population	32
	Chapter 2 Combining	
	<i>The use and combination of the 18 assistance methods</i>	
2.1	Assistance: urban livelihoods and the 18 assistance methods	35
2.2	Combination: combination of the 18 assistance methods	46
2.3	SWOT: the Strengths, Weaknesses, Opportunities and Threats (SWOT) of the 18 assistance methods	50
2.4	Case studies	93
	Chapter 3 Standards	
	<i>Agreeing upon standards in support of legal frameworks</i>	
3.1	Incorporation: what about standards?	109
3.2	Frameworks: legal frameworks and humanitarian standards	116
	Resources	
	Notes	120
	Appendices	128

Introduction

The scope of work in urban areas

Humanitarian crisis?

Increasingly urban

1. The numbers of people seeking protection and shelter in urban areas is likely to rise. This will be the result of the combined effects of urbanisation and migration, the changing landscape of conflicts and crisis as well as natural and man-made disasters, brought about by factors such as climate change. This adds to the risks faced by those already living with chronic vulnerability.

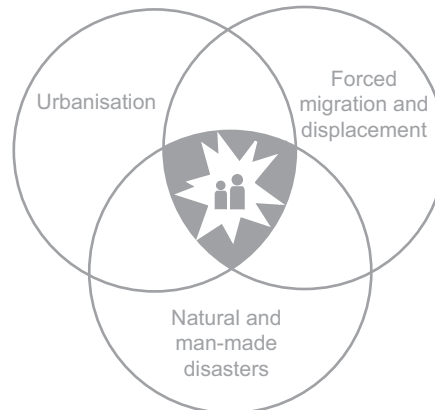
Displaced but also non-displaced are affected

2. Conflict and crisis is one cause of migration to urban areas but natural and man-made disasters may in some circumstances also cause displacement. A humanitarian crisis can also hit without people being displaced. Especially in urban areas people might not choose to flee since the urban area still provides the best protection and coping mechanism. Further details, benchmarks and scenarios are given in section 2.4 on page 93.

Increased risks in urban areas

3. The Inter-Agency Standing Committee's (IASC) Task Force on Meeting Humanitarian Challenges in Urban Areas recognises that rapid, ill-managed or uncontrolled urbanisation can generate or exacerbate humanitarian crises¹, noting that:

Diagram i.1
Causes of influx into urban areas



► 3.3 billion people already live in urban areas and by 2030 this number is expected to reach 5 billion through

Urbanisation takes place in small cities

Facts and figures

- rural to urban migration, natural population growth and reclassification of rural zones as urban.
- ▶ 1 billion urban people live in slums.
 - ▶ 80% of urban dwellers are in towns and cities of the developing world.
4. More than 53 per cent of the world’s urban population lives in cities of fewer than 500,000 inhabitants, and another 22 per cent of the global urban population lives in cities of 1 to 5 million inhabitants (see UN-Habitat’s description of “megacities”, p8²). While these small and medium-sized towns and cities in low and middle-income countries are growing fast they:
- ▶ may be least-equipped to deal with crises; and
 - ▶ receive the least attention in terms of investment, donors and the media.
5. The strategic and practical challenges posed by these issues are the focus of the Inter-Agency Standing Committee’s (IASC) Task Force on Meeting Humanitarian Challenges in Urban Areas as it identifies institutional gaps and prepares recommendations to inform IASC strategy³.
6. More broadly, “challenges for persons of concern to UNHCR in urban settings” was the subject of the High Commissioner’s Dialogue on Protection Challenges in 2009. Among the objectives of this exercise was a closer examination of specific challenges of shelter, livelihoods and in the identification of the most vulnerable⁴.
7. UNHCR’s policy on refugee protection and solutions in urban areas⁵ outlines the problem.
- ▶ UNHCR considers 34.5 million people to be of concern⁶:
 - ▶ 10.5 million of these are refugees of whom 50% now reside in cities and towns, compared to 30% who live in camps;
 - ▶ 14.4 million are Internally Displaced Persons (IDPs) (representing just over half of NRC’s estimated global total of 26 million) of which estimates for urban dwellers vary from 4 million⁷ to 75-90% in some regions⁸; and
 - ▶ of the remaining, 6.6m are stateless persons, 1.4m are returned IDPs, 0.8m are asylum seekers, 0.6m are returned refugees and 0.2m fall in to other categories.
 - ▶ Large numbers of refugee women, children and older people are also to be found in urban areas, particularly in those countries without camps.

Introduction

- Humanitarian crisis?
- Challenges
- Differences
- Shelter
- Stakeholders
- Coordination
- Information
- Implementation

Defining 1

- Livelihoods 1.1
- Population 1.2
- Targeting 1.3

Combining 2

- Assistance 2.1
- Combination 2.2
- SWOT 2.3
- Case studies 2.4

Standards 3

- Incorporation 3.1
- Frameworks 3.2

Resources

- Notes
- Appendices

Search for
livelihoods

- ▶ Protection risks include the threat of arrest and detention, refoulement, harassment, exploitation, discrimination, inadequate and overcrowded shelter, as well as vulnerability to sexual and gender-based violence (SGBV), HIV-AIDS, human smuggling and trafficking.

8. UNHCR's 10 point action plan⁹ for refugee protection and mixed migration recognises that the search for livelihoods has overtaken conflict as a global driver of humanitarian needs associated with population movement. We no longer have classical refugee or IDP flows.

9. "While refugees and asylum seekers account for a relatively small portion of the global movement of people, they increasingly move from one country or continent to another alongside other people whose reasons for moving are different and not protection-related".

10. Even while global numbers of refugees and IDPs remain small compared to the urbanising population, the combined effects of urbanisation, displacement and disasters are felt most acutely at national and local levels:

- ▶ complicating the quantification of humanitarian needs; and
- ▶ making it difficult to determine triggers for a non-government response.

Challenges: what are the specific challenges in urban areas?

11. Cities are complex and every context is different. The following diagrams look at some stereotypical features of households, neighbourhoods, cities and their wider connections.

Urban
livelihoods and
way of life

Households and families

12. Urban households may rely on very different strategies and assets for survival to their rural counterparts with agriculture taking a less prominent role and informal employment in construction, services and trade becoming more important. Rural IDPs or refugees arriving in urban areas may have to adjust to cash economies, unemployment, and types of violence associated with, or exacerbated by the urban environment. The history and economies of particular urban areas also affect decision-making particularly with respect to:

- ▶ the capacity of host populations to absorb new arrivals

Challenges: what are the specific challenges in urban areas?

- without conflict erupting;
- ▶ the functionality and accessibility of markets; and
- ▶ the functionality of other services such as water and sanitation systems.

Live where
livelihood
options are

Locations and neighbourhoods

13. Poor people often tend to want to live close to their income generating opportunities. This may mean that they settle on dangerous or illegal, central sites, rather than on the fringes of cities where it takes a long time and is expensive to reach work. The immediate need of survival is often a more critical factor for the poor than the risk of an eventual disaster at some unpredictable time in the future. Land without services and infrastructure or that is prone to hazards may also be a lower-cost, informal option. Privileged and deprived areas may be closely interwoven or split into distinct areas; there may be multiple busy centres clustered around markets, clinics, schools or transport hubs; people may use different parts of the city by day and by night.

Urban-rural links

Urban linkages

14. A “useful definition is one that views the urban, peri-urban and rural as a continuum held together by their degree of economic and social integration around the city”¹⁰. It is helpful to see that rural and urban areas are linked together by transport and road infrastructure, trade and flows of money and the daily, seasonal and migratory flow of people. Cities link in to national, regional and international systems.

Security and
other urban
specific risks

15. Risks of operating in an urban environment need to be considered with care. Maintaining law and order is the responsibility of the government but in crisis or disaster situations enforcement can be limited. Humanitarian organisations could engage in, for example, participatory risk mapping of communities. Such processes not only help to identify physical and environmental risks – often perceived as a high priority immediately after a natural disaster – but also allow relative risks and the perception of risk to be understood, including risks associated with criminal or gang activity, police or state brutality. Risk mapping could then inform planned layouts or community neighbourhood improvements, in order to attempt ‘designing out’ crime. This approach can be especially useful when planning crowd control during distributions which can create an atmosphere of fear and resentment.

Introduction

- Humanitarian crisis?
- Challenges**
- Differences
- Shelter
- Stakeholders
- Coordination
- Information
- Implementation

Defining 1

- Livelihoods 1.1
- Population 1.2
- Targeting 1.3

Combining 2

- Assistance 2.1
- Combination 2.2
- SWOT 2.3
- Case studies 2.4

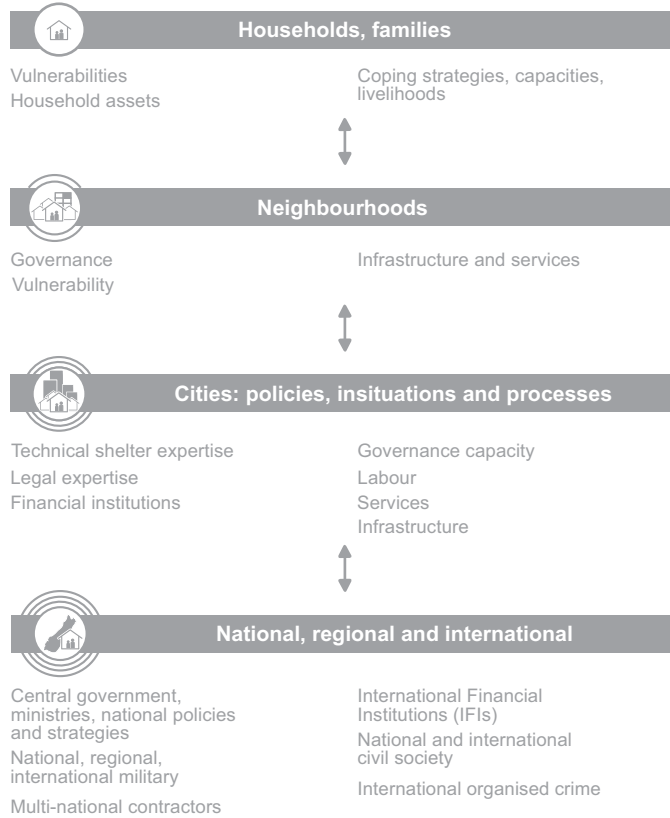
Standards 3

- Incorporation 3.1
- Frameworks 3.2

Resources

- Notes
- Appendices

Diagram i.2
Stakeholder and
environmental
context of urban
settlement



Households and families

Vulnerabilities:

location and neighbourhood, distance from work opportunities and services, legal status, debts, health risks.

Coping strategies, capacities, livelihoods:

income generation through letting out rooms, home-based enterprises, informal day labour, urban agriculture, street trading; risk reduction and mitigation strategies.

Household assets:

social, familial, political or religious ties, savings, land or home ownership, tenure security, access to infrastructure and services, education, good health, construction skills, knowledge of risks.

Neighbourhoods

Governance:

local leaders, representatives, committees or assemblies, co-operatives, power structures, inclusion and exclusion.

Differences: why is humanitarian shelter different in urban areas?

Infrastructure and services:
markets and shops, schools, religious institutions, public spaces, water and sanitation, roads, distances from work opportunities, costs and proximity of transport.

Vulnerability:
hazards, proximity to waterways, drainage channels, slopes, local building materials, techniques and customs, land ownership and tenure arrangements, crime, discrimination.

Cities: Policies, institutions and processes

Technical shelter expertise:
planning bodies, housing strategies, building codes, local building practices, private contractors.

Legal expertise:
institutions, processes, lawyers, police.

Financial institutions:
formal and informal, savings, credit, loans.

Governance capacity:
national and local authorities, civil society, various agendas, hierarchies and mechanisms of accountability, opportunities for crime, violence, discrimination, corruption.

Labour:
skilled and unskilled, casual, informal, construction, trading, services.

Services:
health and education, energy and telecommunications, media systems and the press.

Infrastructure:
water and sanitation, roads, public transportation systems.

Introduction

Humanitarian crisis?

Challenges

Differences

Shelter

Stakeholders

Coordination

Information

Implementation

Defining 1

Livelihoods 1.1

Population 1.2

Targeting 1.3

Combining 2

Assistance 2.1

Combination 2.2

SWOT 2.3

Case studies 2.4

Standards 3

Incorporation 3.1

Frameworks 3.2

Resources

Notes

Appendices

Differences: why is humanitarian shelter different in urban areas?

What shelter can do

16. Humanitarian assistance to support shelter, from the first hours in an emergency until a durable solution has been achieved, can:

- ▶ enable the recovery of sustainable livelihoods;
- ▶ provide protection, including from sexual and gender based violence;
- ▶ offer privacy and dignity; and
- ▶ support household and community coping strategies which will mitigate and adapt to future risks.

17. There are also:
- ▶ clear links between adequate shelter and health; and
 - ▶ multiplier effects in the local economy for every unit investment in shelter¹¹.
18. At the same time, it is clear that:
- ▶ defining triggers for humanitarian intervention in an urban context is difficult.
 - ▶ shelter assistance in urban areas is often expensive and highly politicised.
 - ▶ individual or family assistance may be impractical and exacerbate tensions between host and displaced communities.
 - ▶ cash-based urban economies and markets mean that conventional material distributions may not be appropriate.
 - ▶ community level assistance may be cheaper and less likely to exacerbate conflict between host and displaced communities but may leave shelter needs unmet.
19. But it needs to be highlighted that assistance in urban areas can not be seen without considering challenges in rural areas. The guidelines are highlighting on the one hand challenges specific to urban areas but on the other highlighting policy questions which apply to both rural and urban settings. Many policy questions and challenges have just been much obvious and visible in an urban setting and are therefore included in the urban assistance discussion. But in principle they also apply to rural settings, as for example the definition of affected population.

Considerations
for urban shelter

Similar in rural
but more visible
in urban settings

Shelter: when is humanitarian shelter in urban areas necessary?

20. The scenarios outlined below are examples of crises that might independently or together overwhelm the response capacity of national and local governments.

Shelter: when is humanitarian shelter in urban areas necessary?

Diagram i.3:
Examples
of scenarios
requiring
humanitarian
response

Scenario A	Scenario B	Scenario C	
Conflict and natural disasters outside cities	Conflict and natural disasters inside cities	Urbanisation and migration	Introduction
Scenario A.1	Scenario B.1	Scenario C.1	Humanitarian crisis?
Conflict or crisis outside cities: rapid influx of new IDPs or refugees into cities, delays in return, destruction of original homes and disruption of original livelihoods	Scenarios of conflicts outside cities: damage to housing, displacement out of cities, no-go areas, rubble to clear, tension or conflict, medium to long term displacement	Urbanisation and migration: slow but steady influx of migrants arriving resulting in overstretched resources and infrastructure, higher competition over fewer resources and livelihood opportunities, growing illegal sector, insecure housing/tenure and increase in violence and crime	Challenges
Natural or man-made disasters outside cities: rapid influx of new IDPs or refugees to different parts of a city, potential for return but slow and rapid onset environmental change may delay or prevent resumption of livelihoods in original locations	Scenario of natural disasters outside cities: destruction of housing and infrastructure, urban population without shelter but not displaced far from original homes, reconstruction effort, rubble to clear, tension or conflict, short to medium term displacement		Differences
			Shelter
			Stakeholders
			Coordination
			Information
			Implementation
Indicators for the scenarios			
What constitutes a "rapid", disruptive influx into a location and how it can be monitored: numbers of new arrivals? numbers relative to pre-existing population density or vulnerability? projected duration of displacement? profiles and needs of affected population? national, local, municipal and community capacities mapped against location of vulnerable groups?	How damage levels, tensions and conflict are assessed and monitored: number of homes damaged? types of damage? damage to infrastructure? type and frequency of violence and destruction? national, local, municipal and community capacities mapped against location of vulnerable groups?	How damage levels, tensions and conflict are assessed and monitored: number of homes damaged? types of damage? damage to infrastructure? type and frequency of violence and destruction? national, local, municipal and community capacities mapped against location of vulnerable groups?	Defining 1
			Livelihoods 1.1
			Population 1.2
			Targeting 1.3
			Combining 2
			Assistance 2.1
			Combination 2.2
			SWOT 2.3
			Case studies 2.4
			Standards 3
			Incorporation 3.1
			Frameworks 3.2
			Resources
			Notes
			Appendices

21. Agreement between stakeholders on triggers for humanitarian response will help to define the roles of government and humanitarian stakeholders. Joint monitoring mechanisms, information sharing, co-ordination and partnership should be

established if they are not already in place.

22. Agreement between stakeholders on the humanitarian objective of shelter and reconstruction helps in planning and clarifies the role of humanitarian stakeholders with respect to the affected population, government, international financial institutions (IFIs), and the private sector. It is also likely to facilitate fundraising, disaster risk reduction and exit strategies.

Stakeholders: who are the different stakeholders in urban areas?

Institutional Mapping Tools

Who is who

23. A who's who of actors in urban areas is useful to make sure consultation and interviews are inclusive and to decide on:

- ▶ advocacy strategies, for example, which advocacy points should be addressed to which organisations and individuals; and
- ▶ programming which complements existing capacity.

The human factor

24. **Local authorities and development NGOs:** active organisations are likely to have institutional maps, either as documents or verbal briefings. Reviewers of this document and other researchers have pointed out that one person's social capital might be another person's exclusion with the entrenched interests of NGOs and community leaders sometimes failing to include the voices of the most vulnerable¹².

Humanitarian reform

25. **The Cluster System**¹³ strengthens humanitarian response by demanding high standards of predictability, accountability and partnership in all sectors or areas of activity. It is about achieving more strategic responses and better prioritisation of available resources by a) clarifying the division of labour among organisations, b) better defining the roles and responsibilities of humanitarian organisations within the sectors, and c) providing the Humanitarian Coordinator with both a first point of call and a provider of last resort in all the key sectors or areas of activity.

26. **Humanitarian actors:** UN-OCHA's 3W tool¹⁴ is a country by country database of key personnel, although this is not yet disaggregated by region or city.

Power mapping

27. Power mapping of different actors is also useful. This goes further than just a database and organigram showing relevant local and central government agencies, civil society and citizen groups but also includes an analysis of the willingness and influence of different actors. An example is shown in diagram i.4 in the following section Coordination: what is different with

Stakeholders: who are the different stakeholders in urban areas?

the co-ordination structures in urban areas?”. This example is based on Port au Prince, Haiti in 2009 and illustrates on two axes which groups were involved in urban planning prior to the 2010 earthquake.

Emergency market maps

28. Market mapping tools¹⁵ serve to show the interruptions in flows of goods. Identifying these gaps helps to prioritise interventions which support and repair market systems. Additional guidance is available as follows:

- ▶ Emergency Market Mapping and Analysis for understanding the breakdown of connections in the local economy¹⁶;
- ▶ ICRC market assessment¹⁷;
- ▶ World Bank Institutional Perception Mapping¹⁸ and Stakeholder Analysis Tool¹⁹: World Bank Environmental strategies for cities; and
- ▶ Dynamic planning tools²⁰.

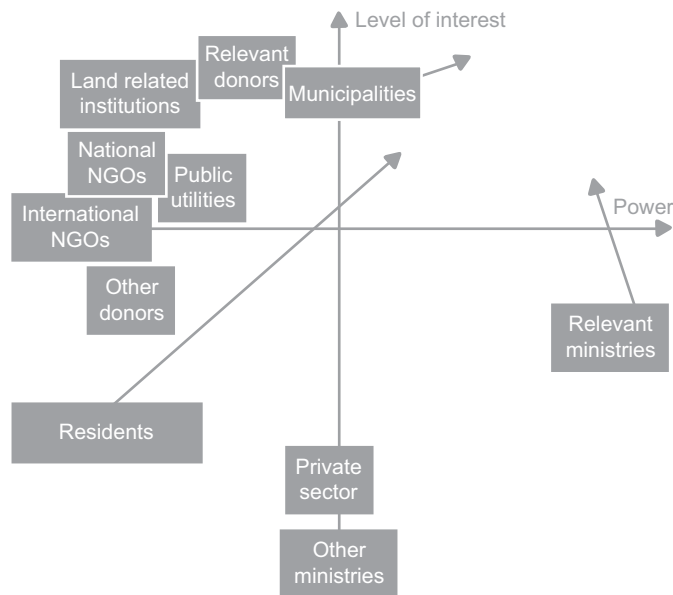
Introduction

- Humanitarian crisis?
- Challenges
- Differences
- Shelter
- Stakeholders**
- Coordination**
- Information
- Implementation

Coordination: what is different with the co-ordination structures in urban areas?

Urban stakeholders

Diagram i.4 Urban stakeholders



Defining 1

- Livelihoods 1.1
- Population 1.2
- Targeting 1.3

Combining 2

- Assistance 2.1
- Combination 2.2
- SWOT 2.3
- Case studies 2.4

Standards 3

- Incorporation 3.1
- Frameworks 3.2

Resources

- Notes
- Appendices

29. Source: UN-HABITATs analysis of urban stakeholders in Haiti 2009. This analysis suggests that municipalities have more interest but less power in decision making on urban planning than the central government ministries. This played out, post-disaster, in the importance and relative success of coordination between international organisations and mayors at municipal level.

Shelter and urban planning

30. Shelter interventions in urban areas needs to be linked with, and coordinated under, the overall urban planning process. This process usually takes place at the neighbourhood, municipal and metropolitan levels.

31. The stakeholders of urban planning and land consist of all individuals, groups and institutions that can affect or be affected by urban planning, urban development and land management. The stakeholders include potential beneficiaries, as well as those who could be adversely affected.

Participation for all means

32. It is important to remember that the decision-making processes can be participatory even when the power is not equally shared. The important point is that all stakeholders make their voice heard and influence decisions.

Implementing now but thinking ahead

33. Urban issues may not be prioritised early in a large scale response to natural disaster or conflict. For example, in Pakistan after the 2005 earthquake, there was no separate urban recovery program in the clusters, the World Bank or, initially, in the Earthquake Reconstruction and Rehabilitation Authority (ERRA)²¹.

Information: gathering, sharing and analysing data

Rapid assessment and vulnerability analysis

List of tools

34. A variety of assessment tools are listed in Appendix B on page 132.

Scale:

Different levels are affected

35. Assessments at different scales are necessary to capture the characteristics and needs associated with households and families, locations and neighbourhoods, policies institutions and processes.

Shelter Assessment

Shelter needs assessment

36. The Local Estimate of Needs for Shelter and Settlement (LENSS) Toolkit²² is a shelter specific needs assessment toolkit.

Lessons learnt from urban profiling exercises

Livelihood profiling

37. Methodologies and results of livelihood profiling in an urban context are available for several major displacements to urban areas. Examples of lessons learnt in gathering such data are:

- ▶ Verify the reliability of other data: in Amman a joint Fafo and Government of Jordan²³ estimate of Iraqi refugee numbers used a sample survey and many other data sources, including telephone registrations, since Jordanian phone companies register the nationality of subscribers. The estimate of 481,000 is close to the final figure but is considered unreliable because it cannot indicate how long Iraqis are staying or whether they have already left.
- ▶ Encourage regular and representative monitoring: a Johannesburg study²⁴ (see section 2.4 on page 93) concluded that regularly updated and spatially disaggregated data was essential "to identify the factors of vulnerability, the causes of violence, the sources of exclusion and the possibility of effective intervention."
- ▶ Look at IDP experiences, not labels: IDP profiling guidance²⁵ based on experiences in Sudan, Colombia and Cote d'Ivoire (see section 1.1 on page 25) showed that surveys should focus on understanding experiences and vulnerabilities rather than looking for people labelled as IDPs.
- ▶ Remember the political implications of the numbers: a study of Iraqi refugees in Syria, Lebanon and Jordan²⁶ where the author notes that "refugee figures are often used as an indicator of progress, or lack thereof, in Iraq makes dealing with displacement figures even more contentious".

38. National-level livelihood profiling and market operations for the Food Security sector, USAID's Famine Early Warning System includes:

- ▶ livelihood attribute maps including the importance of casual labour as an income source²⁷;
- ▶ livelihood zone maps by area²⁸; and
- ▶ food production and trade flow maps indicating routes to major markets.

39. These have been used to good effect in an analysis of food insecurity in Kenya by the Kenya Food Security Steering Group²⁹.

Introduction

Humanitarian crisis?
Challenges
Differences
Shelter
Stakeholders
Coordination
Information
Implementation

Defining 1

Livelihoods 1.1
Population 1.2
Targeting 1.3

Combining 2

Assistance 2.1
Combination 2.2
SWOT 2.3
Case studies 2.4

Standards 3

Incorporation 3.1
Frameworks 3.2

Resources

Notes
Appendices

Implementation: what are the main challenges for humanitarian organisations in urban areas?

Identifying the vulnerable

- Social texture
40. To avoid tension between groups living close together in urban areas and to plan for what might happen next, an understanding must be reached of the livelihood profiles of all affected groups, including:
- ▶ refugees and IDPs from previous crises;
 - ▶ pre-existing vulnerable urban populations; and
 - ▶ groups without the resources to move into cities or flee disasters and remain on the edges of cities or in self-settled camps and rural shelter³⁰.
- Social texture and spatial distribution
41. Livelihood profiling has shown that types of urban vulnerability depends on population groups and change from one neighbourhood to another. It is difficult to know:
- ▶ whether recent IDPs are the most vulnerable groups;
 - ▶ about population groups, like newly arrived IDPs, that want to stay hidden; or
 - ▶ exactly why and when people have come to cities (push or pull factors).
- Support vulnerable or those who had a shelter before
42. Shelter-related vulnerability is likely to be a function of income and livelihoods, tenure security and families with special needs such as the disabled, elderly or infants. Agencies may find themselves having to trade-off between supporting the most vulnerable (those without land and housing assets pre- and post-earthquake, those in congested camps, occupying with no legal status or seeking rental accommodation) and less vulnerable groups (pre- and post-earthquake access to land and housing assets and providers of various forms of accommodation and tenure).
- Hierarchy of priorities for urban shelter
43. CARE International UK uses a simple hierarchy of priorities to support strategic decision making in shelter programmes:
- ▶ Who is vulnerable (and why)?
 - ▶ This question recognises that shelter vulnerability, particularly after the initially emergency phase, is linked to livelihoods and an individual or group's "power, identity, connections and resources"³¹.
 - ▶ Where are the vulnerable (and why)?
 - ▶ Urban areas present complex patterns of infrastructure, different types of tenure security and vulnerability. The question is whether to target vulnerable areas or neighbourhoods – easier

for an agency to service, less risky in terms of provoking conflicts but potentially providing help to some less vulnerable households – or trying to find the vulnerable individuals and households across a larger area of a city. It becomes important to understand the relative vulnerabilities and capacities of different people and communities across a city and where they are.

- ▶ What is the shelter intervention?
 - ▶ To avoid the technical solution driving the intervention, strategic decisions over material or monetary bundles and technical support must follow an understanding of vulnerability and location.

Additional factors defining vulnerability

44. A picture of vulnerability based on power, identity, connections and resources cannot be completely captured by:
- ▶ enumeration of vulnerable individuals in households³² (standard vulnerability criteria);
 - ▶ assessment of building damage (not everyone owned a building); or
 - ▶ assessing of risks associated with site/location.

45. Additional activities are needed to uncover underlying causes of vulnerability, including:

- ▶ assessment of security of tenure (do people own land and buildings or do they lease, rent and squat); and
- ▶ assessment of livelihoods and disaggregation of vulnerable groups through analysis of household assets (access to infrastructure, services, institutions), livelihood strategies and the likely livelihood impacts of an intervention.

Priorities and shelter vulnerability in practice (an example from CARE International)

Discrepancies between priorities and strategies in theory and practice

46. In practice, the typical dilemmas revolve around:

Vulnerability

- ▶ Vulnerable populations might be difficult to identify immediately because everyone may appear equally vulnerable immediately after a disaster. Vulnerable families might be separated or scattered widely or they might live in the same neighbourhoods as the not-so-vulnerable.

Zones

- ▶ The areas where it is practical to intervene in terms of CARE's staff, facilities and infrastructure may not be the places where the most vulnerable disaster-affected populations settle. Areas with greatest need may be

Introduction

- Humanitarian crisis?
- Challenges
- Differences
- Shelter
- Stakeholders
- Coordination
- Information

Implementation

Defining 1

- Livelihoods 1.1
- Population 1.2
- Targeting 1.3

Combining 2

- Assistance 2.1
- Combination 2.2
- SWOT 2.3
- Case studies 2.4

Standards 3

- Incorporation 3.1
- Frameworks 3.2

Resources

- Notes
- Appendices

targeted by many agencies, eventually leaving other areas neglected when it becomes more difficult to shift geographic focus.

Solutions

- ▶ CARE might not have immediate capacity for the most appropriate shelter solution and might respond with something feasible (from CARE's internal perspective) instead of useful (from a beneficiary's perspective). Replacement of shelter assets (eg transitional shelter kits for owner occupiers with access to land) will tend to prioritise those who were and will be not-so-vulnerable because they had access to resources to access land and buildings.

Things keep changing

- ▶ People move. Other actors start focusing in certain areas. Immediate shelter needs evolve into medium term priorities, of which shelter may be only be a small part. These three factors may also interact with each other (eg agencies arrive and people move to access their resources or agencies focus on "solutions for camps" instead of alternatives to camps so people stay in camps to access resources. People who are vulnerable because they lost their house quickly re-establish access to the income that helped them to buy the land and build the house in the first place; people who lived in shacks (too humble to experience dramatic damage) find firstly that they get missed by aid and then that their livelihoods are not producing any goods and services that aid agencies want (agencies look for imported materials, imported food, prime land and buildings). These groups are potentially doubly disadvantaged by the humanitarian process.

Housing, Land and Property (HLP)

Proving rights

47. The complexity of tenure (land and property ownership, tenants, slum dwellers, squatters and homeless), loss of usable land after a disaster/conflict because of rubble, loss of deed documents/loss of cadastral register, density of occupation and fragmented planning in urban areas can make it difficult to:

- ▶ resolve housing, land and property issues;
- ▶ move around and understand the city.

48. This becomes important when we work with displaced and non-displaced populations, for example those:

- ▶ in multiple occupancy, high rise dwellings;
- ▶ living with host families;
- ▶ in private or social/state rental housing; or
- ▶ without legal status or in slum areas.

Urban factors and dynamics supporting programme implementation

Partnership and smart interventions

49. The role of humanitarian organisations has focussed in the past on:

- ▶ the distribution of products to meet the shelter needs of individual families;
- ▶ rural settings and camps; and
- ▶ an identification of beneficiaries according to supposedly clear terms of legal status – i.e. status as a ‘refugee’ according to the definition given in the 1951 UN Charter.

50. In an urban context – despite interruptions and pressures created by a crisis – there are likely to be:

- ▶ households and neighbourhoods with urban coping strategies and livelihoods, awareness of the risks they face, different ways of earning cash, debts and savings, skills and resources to respond to crises;
- ▶ established markets, a cash economy and various layers of informal and formal financial institutions;
- ▶ national (macro), regional (meso) and local authorities (micro) with various levels of decision-making power and competing demands for resources; planning bodies, housing ministries and policies, legal institutions and building codes (often with compliance a requirement for formal tenure);
- ▶ civil society organisations with various agendas, hierarchies and mechanisms of accountability;
- ▶ private contractors and labour with “urban skills”;
- ▶ existing infrastructure and service providers;
- ▶ country offices and headquarters of NGOs and private organisations; and
- ▶ International Financial Institutions (IFIs) with resources for reconstruction.

A list of Strategy Observations³³

51. **Patchy cities:** whether we are able to target vulnerable people or end up targeting vulnerable zones goes to the heart of urban response. A strategic approach centred on individual family shelter runs into the difficulty of identifying vulnerable groups in heterogeneous, dense urban environments. Why does this challenge our notions of vulnerability?

- ▶ Vulnerable individuals, households and groups often live cheek by jowl with the less vulnerable which means that blanket coverage within a single geographic micro-zone may not be the most “efficient” way to use resources to meet the needs of the most vulnerable³⁴.
- ▶ After disaster, an apparent “equality of vulnerability”

Challenges for humanitarian organisations at a glance

Introduction

- Humanitarian crisis?
- Challenges
- Differences
- Shelter
- Stakeholders
- Coordination
- Information

Implementation

Defining 1

- Livelihoods 1.1
- Population 1.2
- Targeting 1.3

Combining 2

- Assistance 2.1
- Combination 2.2
- SWOT 2.3
- Case studies 2.4

Standards 3

- Incorporation 3.1
- Frameworks 3.2

Resources

- Notes
- Appendices

(everyone has lost their home) quickly gives way to scenarios where those who prior to the disaster had the power, identity, connections and resources – in particular housing, land and property assets - are able to reassert these networks and recover more quickly.

- ▶ Post-disaster there may be a tendency to address physical or environmental vulnerabilities rather than other livelihood vulnerabilities that will continue to discourage people from investing in safer housing and infrastructure. Overlooking these vulnerabilities can reduce the leverage of any investment in training and awareness raising on how to reduce physical vulnerability.
- ▶ A given patch of city is likely to need an array of services. This presents humanitarian agencies and clusters with the organisational and governance dilemmas faced by all local authorities. For example, is it more efficient for a single, non-specialist agency to deliver all services or is it more efficient for specialist agencies to provide a single, specialist service across several neighbourhoods or indeed the whole city? Since urban livelihood assets are inherently networked, early decisions or omissions will impact short and medium term urban vulnerability and this will be further exacerbated if humanitarian agencies are all non-specialist as partnerships for provision of specific services cannot evolve.

52. Urban vulnerability: what does it take to better understand vulnerability?

- ▶ Preparedness (National): engage with urban actors, grassroots movements and urban partnerships to develop a shared, documented understanding of livelihoods and map the relative vulnerability of households and zones. Plan for possible disaster scenarios, enable partners to be autonomous in accessing complex and bureaucratic international funding mechanisms and prepare partners for engagement with an exclusive and Anglophone cluster system before a disaster.
- ▶ Preparedness (International): identify disaster and conflict hot spots, find/build/subscribe to libraries which allow access to urban studies on pre-earthquake conditions before deployment (UNHabitat, GLTN, Hyogo), support funding applications for partners and facilitate/broker early engagement between the exclusive, Anglophone cluster systems and partners/local authorities.

53. Fighting the last battle: with each context presenting new challenges and a lack of information and analysis during emergencies, we have to rely on principles, standards and guidelines derived from lessons learnt elsewhere. This is tricky (Sphere guidelines, for example, were not developed for urban areas) and creates a tendency for solutions to come before

evidence and for strategies to follow “what is feasible for us” or “what we’ve done before” rather than what beneficiaries need. The degree to which these solutions are successful is sometimes accidental: transitional shelters work where people previously lived as single family units in single-storey dwellings on land they had permission to access. Plans have to adapt and funding has to be flexible but the more the response hinges on massive scale procurement after the emergency phase, the less flexible the plan can be.

Defining

1.1 Defining and targeting affected population

Livelihoods: a framework after crisis

54. Humanitarian crises in urban areas affect newly arrived populations, mixed migrant populations, the urban poor and host communities. These crises put pressure on shared spaces, infrastructure and services.

55. The “baseline” situation of the urban poor, refugees and IDPs, before displacement, will influence their capacities, vulnerabilities and shelter needs.

Case study

56. In IDMCs joint research with Tufts University^{35,36}, on displacement to urban areas, different IDP classifications based on place of origin, time and reported reasons for migration were agreed for three case studies: Abidjan (Cote d’Ivoire), Santa Marta (Colombia) and Khartoum (Sudan). This showed how important it was to understand previous waves of displacement and that some populations might still be overlooked. The household surveys from this research also suggested that:

- ▶ IDPs and non-IDPs experienced stresses related to urban poverty and lack of adequate infrastructure;
- ▶ in Abidjan and Santa Marta, IDPs were more vulnerable than non-IDPs against indicators such as housing, employment and possession of identity documents; and
- ▶ in Khartoum, IDPs were worse off in terms of being victims of crime, finding work, accessing water and transport and being enrolled in government relocation programs but differences between IDPs and the urban poor were subtle, with location sometimes more important than being an IDP in terms of vulnerability.

Introduction

Humanitarian crisis?

Challenges

Differences

Shelter

Stakeholders

Coordination

Information

Implementation

Defining 1

Livelihoods 1.1

Population 1.2

Targeting 1.3

Combining 2

Assistance 2.1

Combination 2.2

SWOT 2.3

Case studies 2.4

Standards 3

Incorporation 3.1

Frameworks 3.2

Resources

Notes

Appendices

57. A 2009 study in Johannesburg³⁷ compared long term South African residents, internal migrants and foreign-born residents, concluding that:

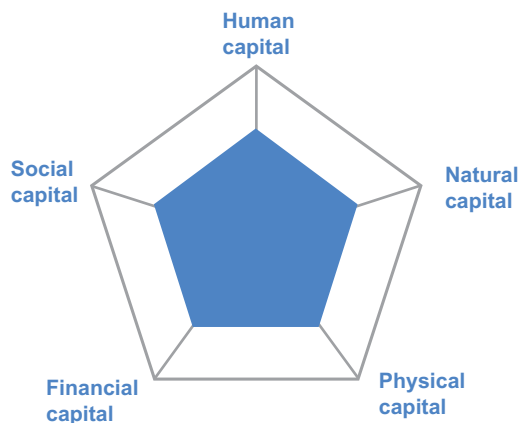
- ▶ there are “[s]pecific forms, indicators and factors of vulnerability faced by residents in several different neighbourhoods”;
- ▶ vulnerability is “experienced differently from one area to another and among different population groups”; and
- ▶ common factors are the effects of health and education on the ability to work, lack of documentation, discrimination based on origins, gender and location within the city.

58. The Sustainable Livelihoods Framework offers a way of looking at these baseline situations, not just by measuring income levels but by assessing other Livelihood Assets that households use to survive through their every day Livelihood Strategies.

Sustainable livelihoods framework

59. The Sustainable Livelihoods framework offers one way of looking at the relationship between households, infrastructure and institutions. It is useful because various field based and participatory tools for understanding the categories in the framework have been developed over many years.

Diagram 1.1.1
The 5 livelihood
assets



60. It must be highlighted however that it is still a model and not a perfect representation of how the world works. Even though it is a useful way to structure interventions and tailor assistance methods, we need to be careful about overestimating the impact we can directly have on livelihoods and how people operate their lives.

Livelihoods: a framework after crisis

Influencing factors

61. Household livelihood assets are affected by a vulnerability context. What householders can achieve with their assets (their livelihood outcomes) is also affected by policies, institutions and processes. These are the institutions, policies and structural factors in which people have to operate.

The 5 livelihood assets

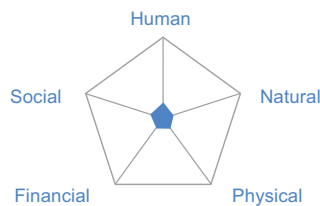
62. The sustainable livelihoods framework categorises assets as human, natural, physical, financial and social capital. Assets are represented on 5 axes, forming a pentagon at the heart of the framework.

Examples of the 5 assets:

- ▶ Human capital: knowledge, skills, documented training.
- ▶ Natural capital: access to land titles, to secure rental agreements.
- ▶ Physical capital: house, furniture, clothes, tools.
- ▶ Financial capital: cash, access to loans.
- ▶ Social capital: right to work, networks, protection needs.

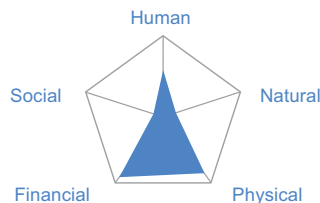
63. Example of a poor person with low human capital (skills) and poorly functioning social ties.

Diagram 1.1.2
Example of the livelihood assets of a poor person



64. Example of a rich person with valuable assets but with obvious social network challenges (could be related to crisis and ethnicity, religion, or recent arrival to urban area).

Diagram 1.1.3
Example of the livelihood assets of a rich person



65. Livelihood strategies and outcomes not only depend on the 5 assets but also on the context as well as policies, institutions and processes on neighbourhood, city and regional/national level. The following chart lists some of these factors.

Introduction

Humanitarian crisis?
Challenges
Differences
Shelter
Stakeholders
Coordination
Information
Implementation

Defining 1

Livelihoods 1.1
Population 1.2
Targeting 1.3

Combining 2

Assistance 2.1
Combination 2.2
SWOT 2.3
Case studies 2.4

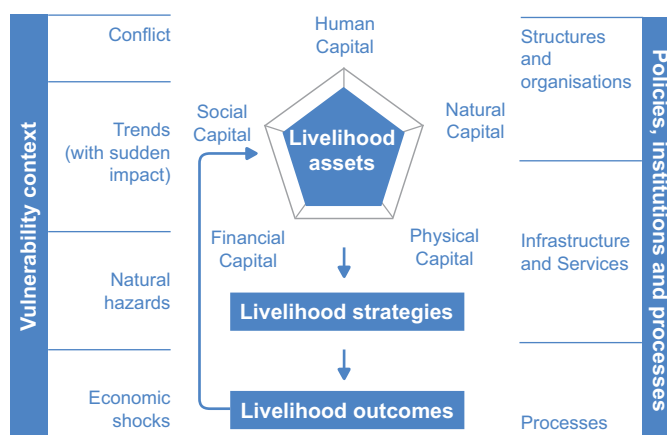
Standards 3

Incorporation 3.1
Frameworks 3.2

Resources

Notes
Appendices

Diagram 1.1.4
The wider
context of the 5
assets



1.2 Population: defining affected population

Visualising livelihoods before a crisis

Income and
livelihood
activities

66. Urban households are likely to rely on a variety of livelihood activities at different times and in a range of sectors that might include^{38,39}:

- ▶ trading, wholesaling and supplying urban markets;
- ▶ street commerce, for example selling food;
- ▶ low skilled and/or seasonal construction work;
- ▶ public sector employment in education, health or administration;
- ▶ private transport services, for example driving taxis;
- ▶ letting out rooms, for example to urban migrants;
- ▶ urban agriculture;
- ▶ food supply from rural relatives (exchange of goods);
- ▶ remittances sent by relatives living abroad (diasporas); or
- ▶ formal and informal financial services.

Examples of
livelihoods in
social texture

The chart below shows a hypothetical “livelihood distribution” and corresponding asset pentagons, which caricature a range of urban livelihoods before a disaster:

- ▶ Very poor:
 - ▶ a low asset base (i.e. very small asset pentagon);
- ▶ Poor:
 - ▶ some physical and social assets, perhaps agriculture to supplement cash spent on food;

Population: defining affected population

- ▶ Middle income:
 - ▶ stronger human, financial and physical assets;
- ▶ Rich:
 - ▶ strong financial and physical assets, less reliance on local social or local natural capital;
- ▶ Super rich:
 - ▶ international financial and physical assets, investment in human capital for an international market and small but influential international networks for social capital.

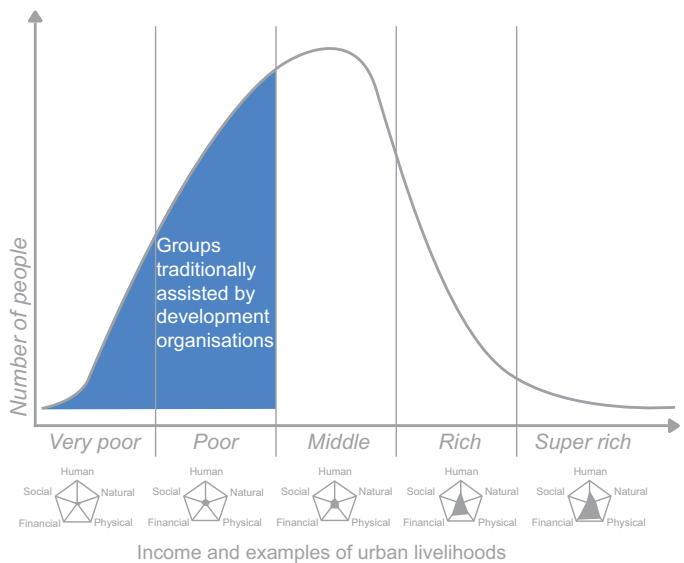
Groups assisted by development actors

Different groups are affected in different ways

Diagram 1.2.1 Asset distribution before a crisis

67. The groups that might traditionally be assisted by development NGOs and others before a crisis are highlighted in blue in the chart.

68. The vulnerability context differs for each group because livelihoods are exposed in different ways to shocks such as extreme weather, food shortages, political instability or conflict, local inflation, national currency crises and global recession. Impacts of, and access to policies, institutions and processes also vary.



Income and examples of urban livelihoods

Introduction

- Humanitarian crisis?
- Challenges
- Differences
- Shelter
- Stakeholders
- Coordination
- Information
- Implementation

Defining 1

- Livelihoods 1.1
- Population 1.2
- Targeting 1.3

Combining 2

- Assistance 2.1
- Combination 2.2
- SWOT 2.3
- Case studies 2.4

Standards 3

- Incorporation 3.1
- Frameworks 3.2

Resources

- Notes
- Appendices

People from all social and economic backgrounds might be affected

Visualising livelihoods after a crisis

69. Impacts of a disaster or conflict can vary significantly across urban areas and people that have not traditionally been supported by development NGOs before a crisis may find themselves newly vulnerable. For example:

- ▶ the poorly constructed, reinforced concrete housing of the middle classes might be disproportionately damaged by an earthquake, with heavy weight rubble and loss of life slowing recovery; or
- ▶ single storey shacks in informal areas might withstand an earthquake but be exposed to hazards related to their location on marginal land: landslips on steep gullies or seasonal floods in low-lying areas.

Examples of how different groups can be affected in a different way

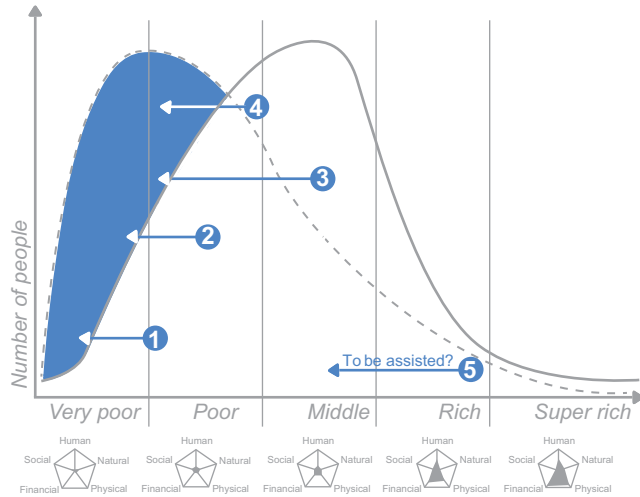
70. The following graph gives examples of people who are suddenly in need of humanitarian assistance. Some of their livelihood assets have been disrupted or can't be accessed and humanitarian assistance should target there. The example to the top right in the graph refers to a non-displaced house owner-occupier who lost physical and social capital but still has strong human and financial capital.

71. The question is whether the person could be assisted?






72. In the first place the person has enough financial capital to build a new house but if a closer assessment shows that due to their ethnicity she and others lost their rights to access their property the situation is different - especially if the person was renting out a number of apartments and all the tenants lost their home. This example should stimulate a discussion about how to use the livelihood approach in order to identify the target group of humanitarian interventions. Some people might not be extremely vulnerable individuals (EVI) in the classical sense but would still be eligible for assistance.

Population: defining affected population

Diagram 1.2.2 Asset distribution as a result of a crisis



Income and examples of urban livelihoods

- 1  *Example:* occupant without legal status displaced to spontaneous camp: few livelihood assets and no access to original land.
- 2  *Example:* non-displaced owner-occupier: house destroyed, loss of physical assets but strong human and financial capital.
- 3  *Example:* apartment tenant displaced to a spontaneous camp: lost physical and social capital, some financial assets.
- 4  *Example:* non-displaced, informal owner-occupier: house damaged (main physical asset), no resources to relocate or repair, no official access to land.
- 5  *Example:* non displaced, land tenant, house intact: rubble preventing access to employment interrupted income and rent going into areas, hosting relatives.

Distinguish between groups assisted by humanitarian and development actors

73. The following graph indicates how the target group for a humanitarian intervention could be identified i.e. those who fell below the “before crisis/disaster poverty line”.

Introduction

- Humanitarian crisis?
- Challenges
- Differences
- Shelter
- Stakeholders
- Coordination
- Information
- Implementation

Defining 1

- Livelihoods 1.1
- Population 1.2
- Targeting 1.3

Combining 2

- Assistance 2.1
- Combination 2.2
- SWOT 2.3
- Case studies 2.4

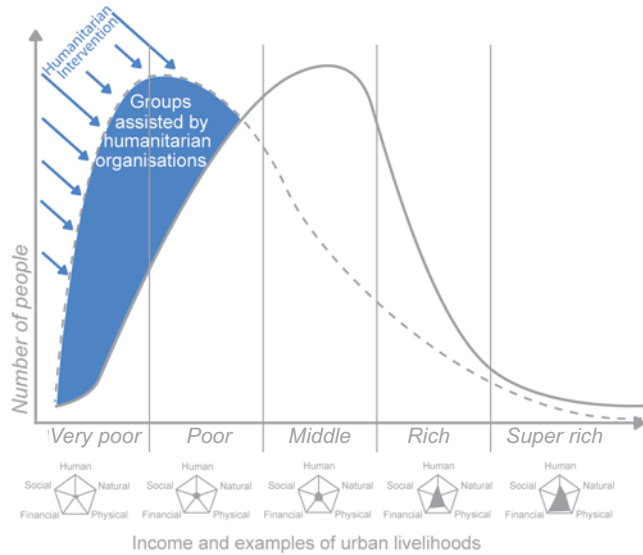
Standards 3

- Incorporation 3.1
- Frameworks 3.2

Resources

- Notes
- Appendices

Diagram 1.2.3
Humanitarian
response to a
crisis



1.3 Targeting: targeting affected population

Affected by
humanitarian
crisis

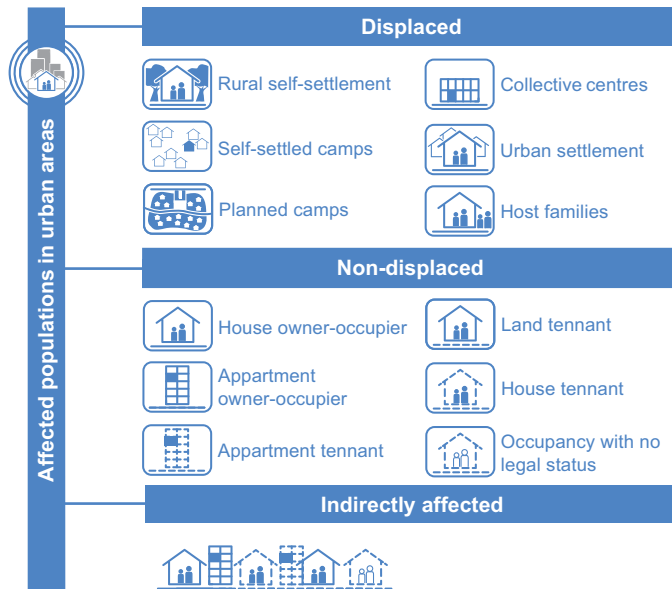
74. Populations affected by an urban humanitarian crisis include:

- ▶ displaced and non-displaced households;
- ▶ directly and indirectly affected households and communities;
- ▶ pre-existing and new urban dwellers; and
- ▶ owner-occupiers and tenants.

75. Affected populations can be summarised in the 3 groups:

Targeting: targeting affected population

Diagram 1.3.1
The 3 groups of affected populations



Introduction

- Humanitarian crisis?
- Challenges
- Differences
- Shelter
- Stakeholders
- Coordination
- Information
- Implementation

Defining 1

- Livelihoods 1.1
- Population 1.2
- Targeting 1.3

Combining 2

- Assistance 2.1
- Combination 2.2
- SWOT 2.3
- Case studies 2.4

Standards 3

- Incorporation 3.1
- Frameworks 3.2

Resources

- Notes
- Appendices

Settlement options for the affected

76. Affected displaced, affected non-displaced and indirectly affected people choose different settlement options. The following chart explains who belongs to which group and what settlement options are available for them. The settlement options were established by Shelter Centre⁴⁰ and recognise that within these options, the following points apply:

Continues movement

77. People are moving between the options: people affected by disaster or conflict may move between different settlement options while they are displaced or trying to reconstruct their homes (see the case study from Georgia on page 97).

Changing needs

78. The needs are changing: different groups in an affected population may need different things at different times depending on their livelihoods before the crisis, their settlement options and what they are planning to do. Needs assessments should try to understand these scenarios and a combination of appropriate assistance methods should be considered. Assessments may need to be repeated or reviewed to keep ensuring that needs on the ground are being met.

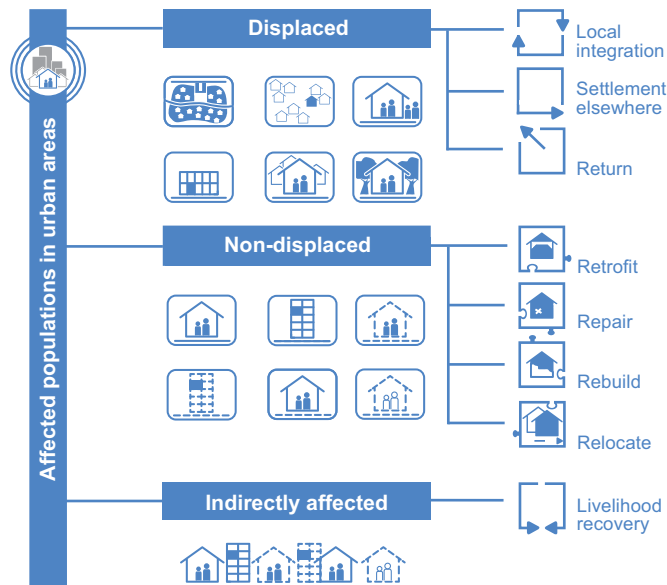
79. Chapter 1 provides guidance on the combination of appropriate assistance methods as well as chapter 2 using SWOT (Strengths, Weaknesses, Opportunities, and Threats) Analysis.

Humanitarian objectives

80. The humanitarian objectives guiding durable solutions will be different for these different groups, adding a further level of complexity in targeting and planning for durable solutions.

81. Affected displaced, affected non-displaced and indirectly affected people are having different needs which have to be targeted differently as shown by the following diagram.

Diagram 1.3.2
Targeting
the 3 groups
of affected
populations



Combining

The use and combination of the 18 assistance methods

2.1 Assistance: urban livelihoods and the 18 assistance methods

82. In order to assist:

- ▶ the affected non-displaced with rebuilding, repair, retrofit or relocation;
- ▶ the indirectly affected with livelihood recovery; and
- ▶ the affected displaced with either return, local integration or settlement elsewhere.

83. humanitarian organisations have a number of programming options when providing shelter assistance. In this chapter, the means of assistance are categorised into 18 assistance methods⁴¹.

84. Table 2.1.1 lists and explains all 18 assistance methods but also groups them along the thematic themes of

- ▶ physical support;
- ▶ knowledge and capacity;
- ▶ mobilising labour; and
- ▶ mobilising finance.

85. In the next step, the diagram below this table (see page 42) shows how the 18 assistance methods can be used on the household, neighbourhood, city and regional or national level to address specific the 5 livelihood assets:

- ▶ human;
- ▶ natural;
- ▶ physical;
- ▶ financial; and
- ▶ social.

Assistance methods - the way we provide assistance

Introduction

Humanitarian crisis?

Challenges

Differences

Shelter

Stakeholders

Coordination

Information

Implementation

Defining 1

Livelihoods 1.1

Population 1.2

Targeting 1.3

Combining 2

Assistance 2.1

Combination 2.2

SWOT 2.3

Case studies 2.4

Standards 3

Incorporation 3.1






Frameworks 3.2

Resources

Notes

Appendices

Table 2.1.1: the 18 assistance methods

Physical support	 Return and transit items	Packages of items distributed to support the affected population who chose to return to their place of origin or relocate to a new location (durable solution). Items may include a wide range of services such as providing transport, transport fares or vouchers, or items such as tools, materials, and seed stocks
	 WASH items	Water, Sanitation and Hygiene (WASH) items to be distributed without additional instruction, promotion or education, such as cooking sets, blankets, jerry cans, buckets
	 General household support items	General items are items that are distributed without additional instruction, promotion or education, such as cooking sets, blankets, jerry cans, buckets
	 Household shelter construction support items	Shelter construction items are items that need additional instruction, promotion, education or awareness-raising, for example toolkits, transitional shelters or construction materials
	 Infrastructure and settlement planning support	<p>Infrastructure and settlement planning support is used to improve the services of a community and support the planning of sustainable transitional settlement and reconstruction solutions. This support may be divided into two categories; those that are coordinated primarily by the shelter sector and those that are primarily coordinated by the other sectors.</p> <p>Supporting household livelihoods through infrastructure and institutions such as:</p> <ul style="list-style-type: none"> ▶ rubble removal; ▶ energy (sources and distribution); and ▶ WASH (supply, treatment and distributions, sanitation, treatment of grey and black water, solid waste management)
Knowledge and capacity		

Physical support

Knowledge and capacity



Environmental and resource management

The management of natural resources following a disaster minimises and mitigates environmental damage. Implementing transitional and reconstruction programmes and projects to support the management of natural resources such as:

- ▶ bulk sourcing of materials from a distance or that have been produced to ethical/sustainable standards to avoid resource depletion;
- ▶ equipment and tools for reuse, recycling and salvage;
- ▶ support for existing or integration of appropriate water saving or recycling measures;
- ▶ supporting recovery of urban agriculture; and
- ▶ waste management systems for urban environmental health (strongly linked to settlement level infrastructure interventions)



Supervision and technical expertise

Technical expertise, for example provided by humanitarian organisations or engaged nationally from the private sector, may be made available to support all assistance methods for all transitional settlement and reconstruction options. Harnessing specialist advice for beneficiaries and humanitarian organisations such as:

- ▶ damage assessors (to determine whether or not a structure must be demolished or level/type of repairs required);
- ▶ risk assessors (to map hazards and advise on mitigation and protection); technical inspectors (to sign off for the phased delivery of shelter NFIs or cash disbursement);
- ▶ other professionals such as surveyors, engineers, planners and architects (to work, advise and train upon building cadastres, hazard-resistant construction, settlement layout, building codes and project management); quality control
- ▶ master craftspeople such as masons and roofers (to work, advise and train supporting self-help projects); and
- ▶ hazard specialists to support risk reduction during design phase of shelter and settlements and close supervision during construction

Introduction

- Humanitarian crisis?
- Challenges
- Differences
- Shelter
- Stakeholders
- Coordination
- Information
- Implementation

Defining 1

- Livelihoods 1.1
- Population 1.2
- Targeting 1.3

Combining 2






- Assistance 2.1
- Combination 2.2
- SWOT 2.3
- Case studies 2.4




Standards 3

- Incorporation 3.1
- Frameworks 3.2

Resources

- Notes
- Appendices

Knowledge and capacity	 Legal and administrative expertise	<p>Legal and administrative assistance can be defined as the establishment of structures which the affected population is able to access free of charge or at a reduced cost. These structures may, for example, provide assistance in the resolution of disputes over land and property rights, protection, housing, restitution, other resource rights, the rights of people without legal status and information management for land administration. Legal support may include documenting tenure and demarcating plots with land registry/planning department, facilitating tenure security</p>	
	 Information centres and teams	<p>Local information centres offer advice and guidance on what assistance is available and how it may be accessed, with opportunities and support for consultation and participation, to deal with complaints or as a central point for cash disbursements or engaging construction labour. Information may include support that clarifies rights to assistance, rights to land, access to and managing compensation offered, technical advice, return and relocation, and accountability and redress, including arbitration and legal aid. Information centres should be established and integrated into capacity building programmes in order to offer a constant presence and service within affected communities over the duration of the response</p>	
	 Capacity building and training	<p>Capacity building activities offer opportunities for stakeholders to increase their ability to respond, individually and collectively, but also to interact and consider together common challenges and tools, such as developing and implementing building standards and codes. An integrated capacity building programme should be included wherever possible and deemed necessary, involving workshops, training, skills development, secondments and resource and information services. Medium-term support packages that integrate training and the training of trainers with participatory workshops</p>	
Mobilising labour	Mobilising finance	 Community labour	<p>Community labour may be described as the mobilisation of a community to undertake reconstruction together. Materials are provided for the community as a whole, rather than for individual families. People are recruited from the beneficiary population</p>
		 Direct labor	<p>Organisations may hire and manage labour directly. People employed from general population</p>

Mobilising finance	 Contract labor	Contracted labour is the hiring of professional companies to provide technical expertise and resources. This could include either people, a community group or household being employed by a contractor to the humanitarian agency	<p>Introduction</p> <ul style="list-style-type: none"> Humanitarian crisis? Challenges Differences Shelter Stakeholders Coordination Information Implementation <p>Defining 1</p> <ul style="list-style-type: none"> Livelihoods 1.1 Population 1.2 Targeting 1.3 <p>Combining 2</p> <ul style="list-style-type: none"> Assistance 2.1 Combination 2.2 SWOT 2.3 Case studies 2.4 <p>Standards 3</p> <ul style="list-style-type: none"> Incorporation 3.1 Frameworks 3.2 <p>Resources</p> <ul style="list-style-type: none"> Notes Appendices
	 Cash	Many variations on giving cash are possible including: <ul style="list-style-type: none"> ▶ unconditional cash transfers: direct grant without conditions or work requirements to meet basic needs and/or to protect or recover livelihoods as 'default' option of providing assistance if the general feasibility for using cash transfers has been established; ▶ conditional cash transfers: cash given for specific purpose (e.g. NFIs, Cash for Housing); ▶ cash for Work: payments for taking part in a public/infrastructure works programme in emergency recovery or wider economic stimulus when works are required and the population has the capacity to undertake the work and maintain the assets created; ▶ indirect cash transfers: grants or waivers to reduce the cost of basic services; and ▶ social assistance: non-contributory transfers to those deemed eligible by society on the basis of their vulnerability or poverty designed for continuing assistance of chronically poor 	
	 Vouchers	Vouchers or tokens are an alternative to cash payments. They are given set values and can then be exchanged for specified materials and services, using local suppliers participating in the scheme, or at a local depot organised for that purpose. They can be exchanged for a set quantity or value of goods conditionally or unconditionally	

Mobilising finance



Loans and credit

Cash transfer that must be repaid (with interest, within time period). Examples include:

- ▶ emergency loans: for household and shelter NFIs when supplies of materials and services are accessible and stable and repayment and collection are feasible;
- ▶ housing or asset replacement loans: larger loans to support housing reconstruction or to help households recover their livelihoods and businesses; or
- ▶ micro-credit/housing micro-finance: to lend smaller sums than traditional lenders and offer additional services that extend the value of loans to poorer income groups



Insurance and guarantees

Insurance, loans, and guarantees may be provided by the government, humanitarian stakeholders, donors and banks, in contexts where recovery is constrained by unaffordable but credible financial risk mitigation or lack of access to credit. But it also includes individuals pooling resources by paying contributions to the state or a private provider. If individuals suffer a 'shock' or permanent change in their circumstances, they are able to receive financial support for livelihoods or asset replacement such as:

- ▶ social insurance: private or state schemes designed to pool risk across a large, national group (for the welfare of all);
- ▶ private, individual insurance: service providers pool risk across groups that they have chosen (sophisticated optimisation models for profit);
- ▶ guarantees: additional loans offered to cover the down payment required by most lenders (approx 20%);
- ▶ index insurance



Market interventions

Market intervention is the continuous and comprehensive assessment and involvement of the construction industry, from material resources to contractors and professional bodies. It identifies and responds to capacities, opportunities, linkages and interruptions, and ensures that the private sector better serves the affected population, for example in supporting existing suppliers in providing thatch for roofing.

Cash, voucher, credit and insurance mechanisms have an impact on markets (as explained above) but larger scale interventions directed at institutions rather than households include:

- ▶ rapid assistance of pre-existing supply and value chains, support for pro-poor market recovery, re-establishing foundation markets (products and services that underpin development and participation);
- ▶ bulk purchasing: to achieve economies of scale for materials;
- ▶ market infrastructure: repairing transport route, transport/fuel subsidies, shelter for market spaces (strongly linked to settlement infrastructure interventions);
- ▶ targeted stimulus: stimulating demand or supply side for the goods and services provided by small enterprises or particular sectors (e.g. Clean Development Mechanism³⁷);
- ▶ regulation/self-regulation: support and checking tools for trade standards (quality of reinforcement bars or cement); and
- ▶ co-ordination and setting rates: co-ordination across humanitarian and government agencies on minimum wages during emergency and recovery, interest rates for emergency loans etc.

Introduction

- Humanitarian crisis?
- Challenges
- Differences
- Shelter
- Stakeholders
- Coordination
- Information
- Implementation

Defining 1

- Livelihoods 1.1
- Population 1.2
- Targeting 1.3

Combining 2

- Assistance 2.1
- Combination 2.2
- SWOT 2.3
- Case studies 2.4

Standards 3

- Incorporation 3.1
- Frameworks 3.2

Resources

- Notes
- Appendices

Livelihoods framework

86. The livelihoods framework can also be used to visualise the impacts of assistance methods:

- ▶ on household livelihood assets; and
- ▶ at different scales of the policies, institutions and processes at play in urban areas.

Assistance methods addressing different livelihood assets at different levels

87. The following diagrams indicate how the 18 assistance methods can be used in order to support one of the 5 livelihoods assets: human, natural, physical, financial and social.

88. The diagrams also show how the 18 assistance methods can be used to support the livelihoods assets on the 4 different levels. Each circle represents the level at which an assistance method can be applied; from the household at the centre, to the neighbourhood, the city and to regional or national levels.



Diagram 2.1.1 Support using the 18 assistance methods: household level

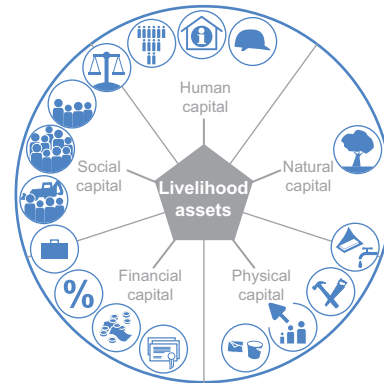




Diagram 2.1.2 Support using the 18 assistance methods: neighbourhood level

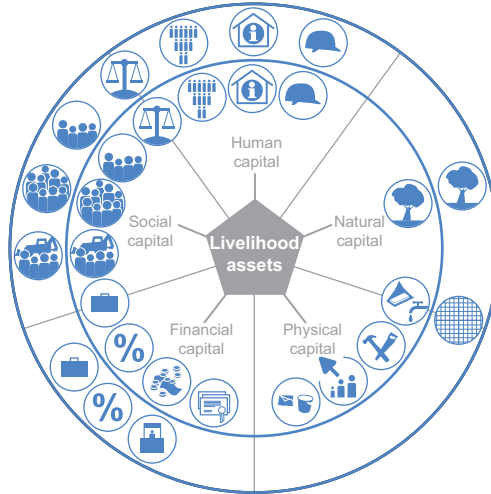
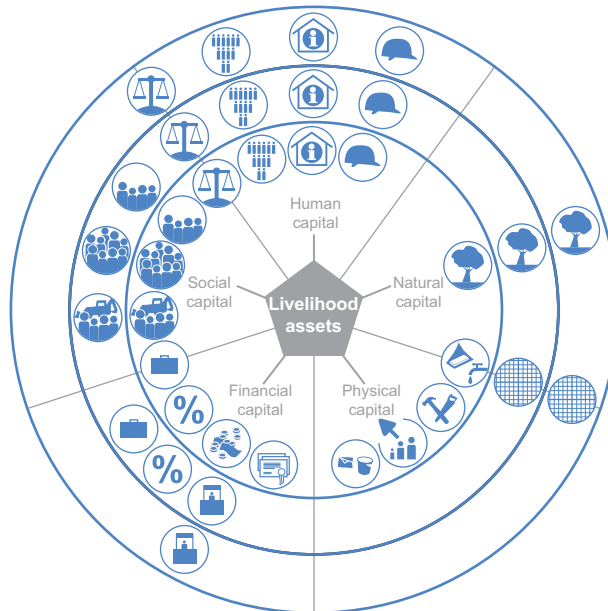


Diagram 2.1.3 Support using the 18 assistance methods: city/regional level



Introduction

Humanitarian crisis?
 Challenges
 Differences
 Shelter
 Stakeholders
 Coordination
 Information
 Implementation

Defining 1

Livelihoods 1.1
 Population 1.2
 Targeting 1.3

Combining 2

Assistance 2.1
 Combination 2.2
 SWOT 2.3
 Case studies 2.4

Standards 3

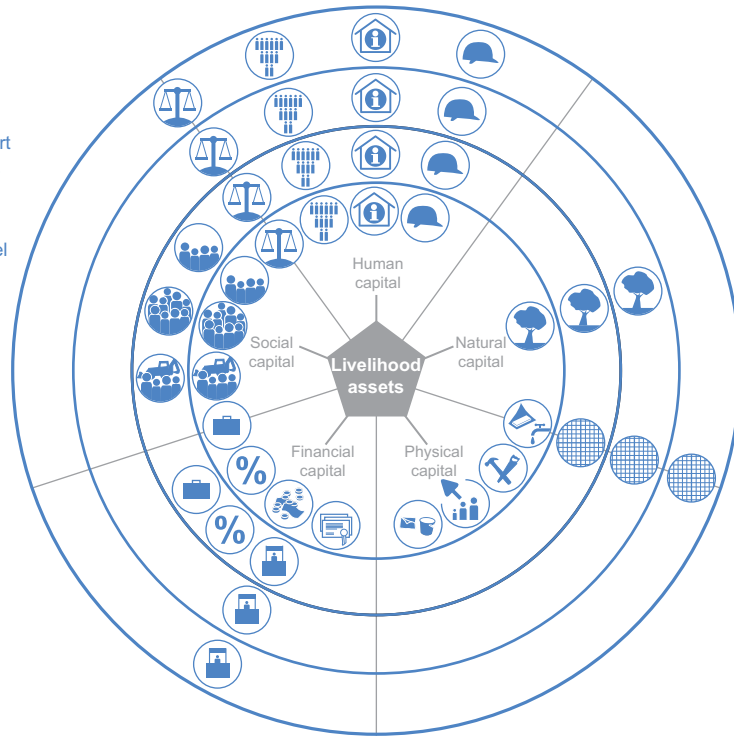
Incorporation 3.1
 Frameworks 3.2

Resources

Notes
 Appendices



Diagram
2.1.4 Support
using the 18
assistance
methods:
national level



Introduction

- Humanitarian crisis?
- Challenges
- Differences
 - Shelter
- Stakeholders
- Coordination
- Information
- Implementation

Defining 1

- Livelihoods 1.1
- Population 1.2
- Targeting 1.3

Combining 2

- Assistance 2.1
- Combination 2.2
 - SWOT 2.3
- Case studies 2.4

Standards 3



- Incorporation 3.1
- Frameworks 3.2

Resources

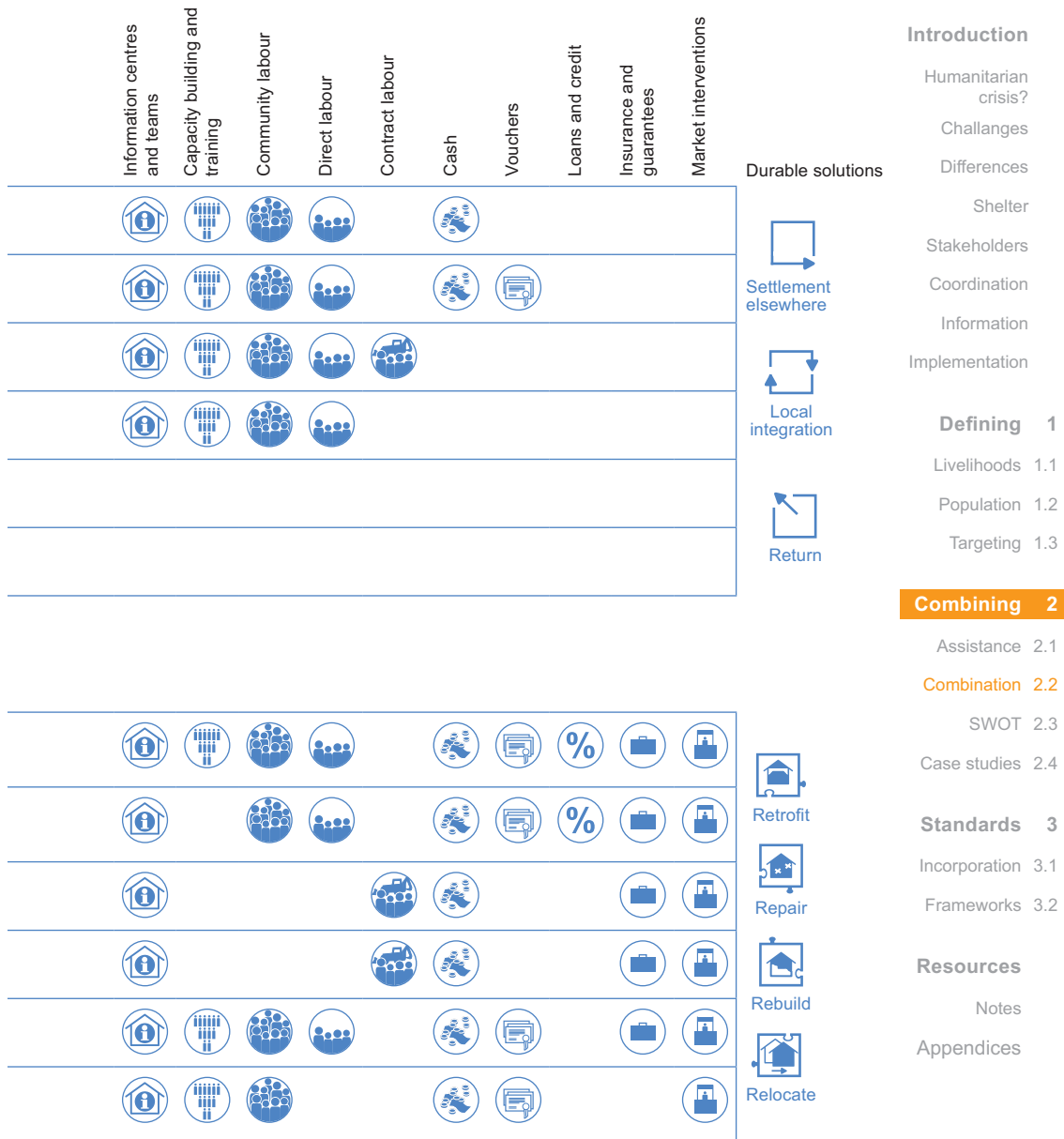
- Notes
- Appendices

2.2 Combination of the 18 assistance methods

Table 2.2.1: combination of the 18 assistance methods

		Return and transit support items	Household WASH support items	General household support items	Household shelter construction support items	Infrastructure and settlement planning support	Environmental and resource management	Supervision and technical expertise	Legal and administrative expertise
	Rural self-settlement								
	Self-settled camps								
	Planned camps								
	Collective centres								
	Urban self-settlement								
	Host families								
	House owner-occupier								
	Apartment owner-occupier								
	Apartment tenant								
	Land tenant								
	House tenant								
	Occupation with no legal status								

Combination: combination of the 18 assistance methods



Introduction

- Humanitarian crisis?
- Challenges
- Differences
- Shelter
- Stakeholders
- Coordination
- Information
- Implementation

Defining 1

- Livelihoods 1.1
- Population 1.2
- Targeting 1.3

Combining 2

- Assistance 2.1
- Combination 2.2
- SWOT 2.3
- Case studies 2.4

Standards 3

- Incorporation 3.1
- Frameworks 3.2

Resources

- Notes
- Appendices

Indirectly affected

		Return and transit support items	Household WASH support items	General household support items	Household shelter construction support items	Infrastructure and settlement planning support	Environmental and resource management Supervision and technical expertise	Legal and administrative expertise
	House owner-occupier							
	Apartment owner-occupier							
	Apartment tenant							
	Land tenant							
	House tenant							
	Occupation with no legal status							

Combination: combination of the 18 assistance methods

Information centres and teams	Capacity building and training	Community labour	Direct labour	Contract labour	Cash	Vouchers	Loans and credit	Insurance and guarantees	Market interventions

Durable solutions



Livelihood recovery

Introduction

- Humanitarian crisis?
- Challenges
- Differences
- Shelter
- Stakeholders
- Coordination
- Information
- Implementation

Defining 1

- Livelihoods 1.1
- Population 1.2
- Targeting 1.3

Combining 2

- Assistance 2.1
- Combination 2.2
- SWOT 2.3
- Case studies 2.4

Standards 3

- Incorporation 3.1
- Frameworks 3.2

Resources

- Notes
- Appendices

2.3 SWOT: the strengths, weaknesses, opportunities and threats of the 18 assistance methods


89. This chapter offers a SWOT analysis for the 18 assistance methods. Each method is explained using:

- ▶ a symbol and the description and activities associated with the method;
- ▶ an illustration of the scale of intervention; and
- ▶ a strengths, weaknesses, opportunities and threats analysis to show the positive and negative aspects of the assistance method and the contexts where its use is recommended (opportunities) or discouraged (threats). This table allows space for context specific points to be added in the field.

Points 1-5 below are used to illustrate this layout.

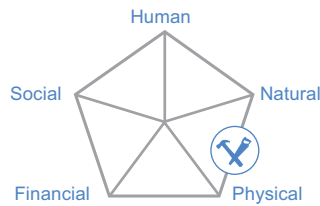
1. Symbol and description

Example layout of SWOT analysis

Symbol	Description	Activities
	Household shelter construction support items	Shelter construction items may be defined as items that need additional instruction, promotion, education or awareness-raising, for example toolkits, transitional shelters or construction materials.

2. Method as a livelihood asset

Position with regard to the 5 livelihood assets



3. Combining methods

Complimentary assistance methods

90. Other methods that the method described could be combined with.

Can be combined with



4. Scale of intervention

91. Typically, humanitarian interventions target different levels of activity, for example:

- ▶ NFI distributions to households and families;
- ▶ rubble clearance at neighbourhood level; or
- ▶ training for officials in city authorities.

92. This table indicates the possible target levels of a range of assistance methods. For any given scale of intervention or combination of interventions, there may be wide reaching positive and negative effects on individuals, geographic zones, sectors, institutions or practices. A more detailed description of each assistance method is given in table 2.1.1.

	Household	City	Community	National
Displaced				
	✓			
Non-displaced				
				
Indirectly affected				
				

Strengths, weaknesses, opportunities and threats of the method

5. SWOT Analysis

Strengths

- ▶ Advantages of this method of assistance.

Weaknesses

- ▶ Disadvantages of this method of assistance.

Opportunities

- ▶ External enabling conditions which favour this method of assistance.

Threats

- ▶ External conditions which limit this method of assistance.

93. Directed versus broad assistance refers to the sector targeted by the intervention. Directed means a single sector but broad means across sectors. Flexible or inflexible assistance refers to the range of options open to beneficiaries after distribution. Packages may not be flexible once the first participatory discussions on kit contents have taken place, while training and information or cash offer a range of possibilities.

Introduction

- Humanitarian crisis?
- Challenges
- Differences
- Shelter
- Stakeholders
- Coordination
- Information
- Implementation

Defining 1

- Livelihoods 1.1
- Population 1.2
- Targeting 1.3

Combining 2

- Assistance 2.1
- Combination 2.2
- SWOT 2.3**
- Case studies 2.4

Standards 3

- Incorporation 3.1
- Frameworks 3.2

Resources

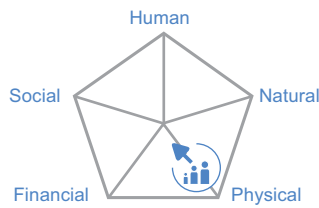
- Notes
- Appendices



Return and transit support items

Packages of items distributed to support the affected population who chose to return to their place of origin or relocate to a new location as part of a durable solution. Items may include a wide range of services such as providing transport, transport fares or vouchers, or items such as tools, materials, and seed stocks.

Position with regard to the 5 livelihood assets



Complimentary assistance methods

Can be combined with



General items



Shelter construction items



Legal and administrative



Household



City



Community



National

Displaced



Non-displaced



Indirectly affected



Strengths, weaknesses, opportunities and threats of the method

SWOT Analysis

Strengths

- ▶ Assistance is directed to facilitate return with activities ranging from subsidised transport to food and non-food packs.
- ▶ Delivery is mainly via conventional NGO distribution methods.

Weaknesses

- ▶ Assistance packages for beneficiaries are inflexible and participation is essential to determine contents of kits.

SWOT: the Strengths, Weaknesses, Opportunities and Threats of 18 assistance methods

- ▶ Beneficiary identification and selection in urban areas is likely to be complicated; people may want a return pack but may not want to return.

Opportunities

- ▶ This method is successful when linked to other conditions needed to support voluntary return such as stability, access to basic services and possibilities for work.
- ▶ Return and transit support items are most effective as part of a holistic response to household needs rather than as a standardised response of individual clusters.

Threats


- ▶ Where return packs are worth less than other aid given in-situ, such a programme will fail to promote return.
- ▶ There is a risk of tension between returnees and neighbours or hosts in the place of return who do not benefit from aid items.
- ▶ Poor communication or incoherent cross-cluster strategy is a threat to the success of the programme.
- ▶ If restitution of housing, land and property is not facilitated, there is a risk of failure.

Introduction

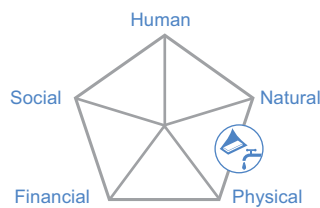
- Humanitarian crisis?
- Challenges
- Differences
- Shelter
- Stakeholders
- Coordination
- Information
- Implementation

Defining 1

- Livelihoods 1.1
- Population 1.2
- Targeting 1.3

	<p>Household WASH support items</p>	<p>Water, Sanitation and Hygiene (WASH) items to be distributed following a disaster are usually items that need additional instruction, promotion and education, for example, mosquito nets and household water treatment</p>
---	--	--

Position with regard to the 5 livelihood assets



Complimentary assistants methods

Can be combined with:



General items



Shelter construction items

Combining 2

- Assistance 2.1
- Combination 2.2
- SWOT 2.3**
- Case studies 2.4

Standards 3

- Incorporation 3.1
- Frameworks 3.2

Resources

- Notes
- Appendices

	Household	City	Community	National
Displaced	✓			
Non-displaced	✓			
Indirectly affected	✓			

Strengths, weaknesses, opportunities and threats of the method

SWOT Analysis

Strengths

- ▶ Assistance is directed to households, for both the displaced and non-displaced, the hosts and hosted.
- ▶ Delivery is achieved via conventional NGO distribution and hygiene promotion methods.

Weaknesses

- ▶ Packages for beneficiaries are inflexible and participation is essential to determine the contents of kits.
- ▶ Other household priorities may be missed if there is no cross-cluster needs assessment.
- ▶ Pre-existing systems for urban water and sanitation must be carefully understood relative to WASH interventions based on Sphere indicators which were developed for camp settings.

Opportunities


- ▶ This approach is successful when individual household WASH packages offer a better alternative to WASH facilities in camps designed to Sphere indicators and thus discourage displacement into camp settings.
- ▶ Household WASH support items should form part of an integrated response to displaced populations and their hosts, potentially stabilising hosting as a transitional shelter option.

Threats

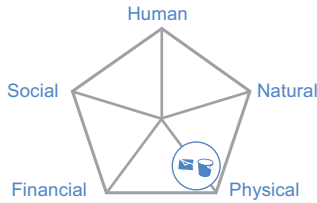
- ▶ There is a risk of household WASH interventions slowing restoration of pre-existing WASH arrangements. For

SWOT: the Strengths, Weaknesses, Opportunities and Threats of 18 assistance methods

example, where pre-disaster provision of water was by trucking, NGO provision of household level treatment and hygiene promotion with subsidies for original water suppliers may restore pre-existing arrangements more rapidly and with lower inflation than direct provision of trucking.

	General household support items	General items may be defined as items that can be distributed without additional instruction, promotion or education, such as cooking sets, blankets, jerry cans or buckets.
---	--	--





Position with regard to the 5 livelihood assets



Complimentary assistance methods

Can be combined with

 **Wash items**  **Shelter construction items**

	 Household	 City	 Community	 National
Displaced	✓			
Non-displaced	✓			
Indirectly affected	✓			

Strengths, weaknesses, opportunities and threats of the method

- SWOT Analysis**
- Strengths**
- ▶ Assistance is directed to households, for both the displaced and non-displaced, the hosts and hosted.
 - ▶ Delivery is achieved via conventional NGO distribution methods.

Introduction

- Humanitarian crisis?
- Challenges
- Differences
- Shelter
- Stakeholders
- Coordination
- Information
- Implementation

Defining 1

- Livelihoods 1.1
- Population 1.2
- Targeting 1.3

Combining 2

- Assistance 2.1
- Combination 2.2
- SWOT 2.3**
- Case studies 2.4

Standards 3

- Incorporation 3.1
- Frameworks 3.2

Resources

- Notes
- Appendices

Weaknesses

- ▶ Assistance packages for beneficiaries are inflexible and participation is essential to determine contents of kits.
- ▶ Beneficiary identification and selection in urban areas is likely to be complicated.

Opportunities

- ▶ This method is successful when it forms part of an integrated response to displaced populations and their hosts, potentially stabilising hosting as a transitional shelter option.
- ▶ Provision of general household support items is ideal where items are not available on the local market.

Threats

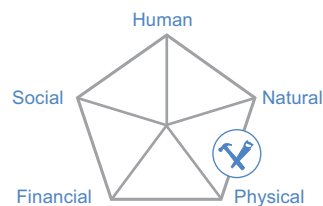
- ▶ There is a risk of preventing local traders from resuming livelihoods by supplying free materials where local markets are functioning which is particularly important in urban areas.
- ▶ Where humanitarian organisations have insufficient knowledge of local market, intervention may cause local inflation through emergency procurement processes.



Household shelter construction support items

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

Position with regard to the 5 livelihood assets



SWOT: the Strengths, Weaknesses, Opportunities and Threats of 18 assistance methods

Complimentary assistance methods

Can be combined with



Supervision and technical expertise



Infrastructure and settlement planning



Legal and administrative expertise



Information centres and teams



Capacity building and training



Market interventions



Household



City



Community



National

Displaced



Non-displaced



Indirectly affected



Strengths, weaknesses, opportunities and threats of the method

SWOT Analysis

Strengths

- ▶ Assistance is directed to target household shelter needs.
- ▶ Costs per family shelter may be similar to tents over same period.
- ▶ Delivery of materials via conventional NGO distribution avenues means that humanitarian organisations without capacity in transitional settlement or reconstruction can be mobilised to support the affected population.
- ▶ Shelter construction support can include disaster risk reduction measures with the affected population in selection of sites; construction principles and techniques, and the development of codes and standards to reflect family size, location, building culture and the availability of materials.

Weaknesses

- ▶ Assistance packages for beneficiaries are inflexible and participation is essential to determine contents of kits.
- ▶ Other household priorities may be missed if there is no cross-cluster needs assessment.
- ▶ Space and access to suitable, safe sites for transitional

Introduction

Humanitarian crisis?
Challenges
Differences
Shelter
Stakeholders
Coordination
Information
Implementation

Defining 1

Livelihoods 1.1
Population 1.2
Targeting 1.3

Combining 2

Assistance 2.1
Combination 2.2
SWOT 2.3
Case studies 2.4

Standards 3

Incorporation 3.1
Frameworks 3.2

Resources

Notes
Appendices

shelters in damaged and congested urban areas may be limited, especially for those without land tenure or in high rise blocks.

- ▶ Delivery via direct construction, management of contractors and quality assurance for self-built or owner-driven shelters construction is not a conventional NGO activity.
- ▶ Beneficiary identification and selection in urban areas likely to be complicated. In particular, those able to construct are likely to be those with access to land – potentially not the “land vulnerable” pre-disaster and those unable to build or to access builders cannot make use of materials.
- ▶ Big early investment in transitional shelter kits may leave no means to support activities beyond the transition phase into recovery and reconstruction because of other priorities or a lack of resources.
- ▶ Inappropriate materials or inadequate technical advice may result in materials being sold rather than used in the provision of shelter.

Opportunities

- ▶ This assistance method is ideal where construction materials are not available on the local market, local materials are inadequate for hazard resistance or sourcing from local materials has negative local environmental impact.
- ▶ Where the housing process is via skilled self-build and individual households have sufficient time to self-build without exposure to other hazards (changing seasons), the programme can be very successful.
- ▶ This approach succeeds when the housing process is via small-scale contractors and local labour and these actors are sufficiently skilled or available for training.

Threats

- ▶ There is a risk of preventing local traders from resuming livelihoods and re-capitalising after a disaster by supplying free construction materials where local markets, including suppliers, wholesalers and importers, are functioning.
- ▶ Humanitarian organisations with insufficient knowledge of local market conditions can cause local inflation through emergency procurement processes.

- ▶ It is difficult to rely on these shelter items to cover all shelter needs when pre-disaster urban living was in high-rise or multiple occupancy dwellings.
- ▶ There is a risk that other livelihood and income generating priorities after conflict or disaster may prevent people from working on or finishing shelters and thus missing out on what may be their only chance to rebuild. Construction may interrupt other livelihood activities and force families into debt.
- ▶ Complex land tenure arrangements in urban areas may discourage shelter construction or leave affected families living indefinitely as occupants of land with no legal status.
- ▶ There is a risk of programme failure if humanitarian actors in the shelter sector only have strengths in distribution which is good for coverage but bad for quality, or construction, which is good for quality but bad for coverage because insufficient coverage of technical supervision and capacity building results in poor quality shelter or the failure to introduce disaster risk reduction into construction principles, techniques and selection of sites.
- ▶ There is a risk that humanitarian organisations are not able to agree clear and fair liabilities for construction and do not promote quality as a joint responsibility of agencies and beneficiaries.

Introduction

- Humanitarian crisis?
- Challenges
- Differences
- Shelter
- Stakeholders
- Coordination
- Information
- Implementation

Defining 1

- Livelihoods 1.1
- Population 1.2
- Targeting 1.3

Combining 2


- Assistance 2.1
- Combination 2.2
- SWOT 2.3**
- Case studies 2.4

Standards 3

- Incorporation 3.1
- Frameworks 3.2

Resources

- Notes
- Appendices

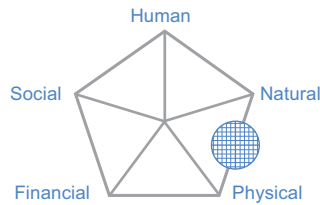
	<p>Infrastructure and settlement planning support</p>	<p>Infrastructure and settlement planning support is used to improve the services of a community and support the planning of sustainable transitional settlement and reconstruction solutions. Infrastructure and settlement planning support may be divided into two categories: those that are coordinated primarily by the shelter sector and those that are primarily coordinated by other sectors.</p>
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94. Institutions may also use infrastructure to support household livelihoods through activities such as:

- ▶ rubble removal;
- ▶ repair or provision of energy generation and distribution;
- ▶ provision of WASH-related services including supply, treatment and distribution, sanitation, treatment of grey and black water, solid waste management;

- ▶ storm water management, such as disposal and estimation of how it affects surrounding communities;
- ▶ repair and maintenance of roads including network access and internal roads;
- ▶ development of community infrastructure such as learning, leisure and meeting spaces; or
- ▶ community based organisations providing services, for example programme implementation, advocacy or maintenance of infrastructure.

Position with regard to the 5 livelihood assets



Complimentary assistance methods

Can be combined with

- Supervision and technical expertise
- Information centres and teams
- Legal and administrative expertise
- Capacity building and training
- Community labour
- Direct labour
- Contract labour

	Household	City	Community	National
Displaced 		✓	✓	
Non-displaced 		✓	✓	
Indirectly affected 		✓	✓	

Strengths,
weaknesses,
opportunities
and threats of
the method

SWOT Analysis

Strengths

- ▶ This method of assistance is broad and fairly flexible in targeting geographic areas and institutions.
- ▶ Intervention at scale facilitates faster recovery and reconstruction, for example rubble clearance can open roads and markets, improve safety and clear potential settlement sites.
- ▶ Participatory planning processes can also promote disaster risk reduction in site selection and investment in shared emergency and longer term infrastructure for hazard resistance such as bunds, levees, retaining or gabion walls, improved drainage or permeable spaces for infiltration of run-off.
- ▶ Labour intensive interventions create work opportunities.

Weaknesses

- ▶ Infrastructure and settlement planning support is ideal where urban labour force can be mobilised for manual rubble removal.
- ▶ This method is successful when humanitarian agencies have a good understanding and good relationships with local authorities, civil society and urban communities.
- ▶ Where local governance has capacity for participation, planning and infrastructure programmes, the programme can be very successful.
- ▶ The assistance is successful where urban communities have a strong neighbourhood or municipal identity and a tradition of participation in local development.
- ▶ This approach succeeds where it is possible to involve owners, non-owners, occupants without legal status as well as hosts and indirectly affected groups who potentially share infrastructure, services and institutions.

Opportunities

- ▶ This method is successful when it forms part of an integrated response to displaced populations and their hosts, potentially stabilising hosting as a transitional shelter option.
- ▶ Provision of general household support items is ideal where items are not available on the local market;

Threats

- ▶ It may be difficult to organise a humanitarian intervention

Introduction

Humanitarian crisis?
Challenges
Differences
Shelter
Stakeholders
Coordination
Information
Implementation

Defining 1

Livelihoods 1.1
Population 1.2
Targeting 1.3

Combining 2

Assistance 2.1
Combination 2.2
SWOT 2.3
Case studies 2.4

Standards 3

Incorporation 3.1
Frameworks 3.2

Resources

Notes
Appendices

at neighbourhood scale where there is a weak tradition of investing in shared infrastructure and/or public goods, low capacity and limited local government resources or a history of political tension or rivalry between central and local government.

- ▶ Inequality, new arrivals, pre-existing vulnerable groups and people without legal status may render it difficult for the humanitarian community to identify an urban “community” with whom to engage.
- ▶ There is a risk that humanitarian actors have little experience of dealing with larger scale urban challenges and critical infrastructure.
- ▶ Poor coordination or competition between humanitarian actors results in fragmented and incoherent projects which at worst amount to less than the sum of their parts.
- ▶ There is a risk that humanitarian organisations are not able to provide adequate support to authorities which are in charge of infrastructure, for example support through capacity building, on the job training or expert support.



Environmental and resource management

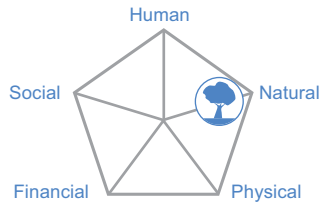
The management of natural resources following a disaster minimises and mitigates environmental damage due to the implementation of transitional settlement and reconstruction programmes and projects.

95. The management of natural resources such as water, forestry and land through approaches such as:

- ▶ bulk sourcing of materials produced to ethical and sustainable standards or sourced from a distance to avoid local resource depletion;
- ▶ ensuring equipment and tools for reuse, recycling and salvage are provided;
- ▶ supporting or introducing appropriate water saving or recycling measures;
- ▶ supporting the recovery of urban agriculture; and
- ▶ planning and implementing waste management systems for urban environmental health, for example through settlement infrastructure programmes.

SWOT: the Strengths, Weaknesses, Opportunities and Threats of 18 assistance methods

Position with regard to the 5 livelihood assets



Complimentary assistance methods

Can be combined with

- Supervision and technical expertise**
- Infrastructure and settlement planning**
- Capacity building and training**
- Information centres and teams**
- Community labour**
- Direct labour**
- Contract labour**

Introduction

- Humanitarian crisis?
- Challenges
- Differences
- Shelter
- Stakeholders
- Coordination
- Information
- Implementation

Defining 1

- Livelihoods 1.1
- Population 1.2
- Targeting 1.3

	Household	City	Community	National
Displaced		✓	✓	✓
		✓	✓	✓
Non-displaced		✓	✓	✓
		✓	✓	✓
Indirectly affected		✓	✓	✓
		✓	✓	✓

Combining 2

- Assistance 2.1
- Combination 2.2
- SWOT 2.3
- Case studies 2.4

Standards 3

- Incorporation 3.1
- Frameworks 3.2

Resources

- Notes
- Appendices

Strengths, weaknesses, opportunities and threats of the method

SWOT Analysis

Strengths

- ▶ Assistance is directed, fairly flexible and targets geographic areas, institutions, specific practices or sectors.
- ▶ Sustainable recovery is supported by mitigating the impacts on ecosystems and local resources.
- ▶ Labour intensive interventions create work opportunities.
- ▶ Participatory assessment of environmental priorities can also promote disaster risk reduction measures to be applied in site selection procedures and investment in shared environmental protection.

Weaknesses

- ▶ The delivery of specialist environmental advice is not a conventional humanitarian NGO activity.
- ▶ Humanitarian actors may face a difficult trade-off between fast procurement and environmentally sustainable procurement.
- ▶ Environmental management may not be seen as a pre- or post-disaster priority by households, communities or governments.
- ▶ Beneficiary identification for geographic targeting may mean that the most vulnerable are missed or the least vulnerable benefit.

Opportunities

- ▶ Environmental and resource management is ideal where sourcing shelter and re-construction materials has negative environmental impact.

Threats

- ▶ There is a risk that where there are fragile ecosystems or limited resources, environmental management programmes do not mitigate the impacts of unsustainable emergency procurement or the pressure on the environment created by many humanitarian actors.



Supervision and technical expertise

Technical expertise may be made available to support all assistance methods for all transitional settlement and reconstruction options. Experts may be provided by humanitarian organisations for example, or engaged nationally from the private sector.

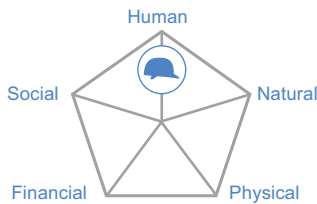
96. Beneficiaries and humanitarian organisations should obtain advice from specialists such as:

- ▶ damage assessors, to determine whether or not a structure must be demolished and the level or type of repairs required;
- ▶ risk assessors, to map hazards and advise on mitigation and protection;
- ▶ technical inspectors, to sign off for the phased delivery of shelter NFIs or cash disbursement;
- ▶ master craftspeople, such as masons and roofers to work, advise and train beneficiaries of self-help

programmes;

- ▶ hazard specialists, to supervise during construction and to support risk reduction measures during the design phase of shelter and settlements; and
- ▶ other professionals, such as surveyors, engineers, planners and architects to work, advise and provide training on building cadastres, hazard-resistant construction, settlement layout, building codes, project management and quality control.

Position with regard to the 5 livelihood assets



Complimentary assistance methods

Can be combined with



Contract labour



Information centres and teams



Community labour



Direct labour

	Household	City	Community	National
Displaced	✓	✓	✓	
Non-displaced	✓	✓	✓	
Indirectly affected	✓	✓	✓	

Strengths, weaknesses, opportunities and threats of the method

SWOT Analysis

Strengths

- ▶ Assistance is broad, fairly flexible and targets institutions, specific practices, sectors and activities.
- ▶ Costs per beneficiary are lower than individual family shelters or physical infrastructure.

Introduction

- Humanitarian crisis?
- Challenges
- Differences
- Shelter
- Stakeholders
- Coordination
- Information
- Implementation

Defining 1

- Livelihoods 1.1
- Population 1.2
- Targeting 1.3

Combining 2

- Assistance 2.1
- Combination 2.2
- SWOT 2.3**
- Case studies 2.4

Standards 3

- Incorporation 3.1
- Frameworks 3.2

Resources

- Notes
- Appendices

- ▶ Supervision and technical expertise facilitates sustainable recovery.
- ▶ Disaster risk reduction measures may be adopted in site selection processes; construction principles and techniques; and the development of codes and standards to reflect family size, location, building culture and the availability of materials.

Weaknesses

- ▶ Delivery of specialist advice on hazard resistance in urban areas, such as advice regarding reinforced concrete or pre-existing infrastructure is not a conventional humanitarian NGO activity.
- ▶ Existing conventional development approaches to informal settlement needs to be reconsidered in the light of new challenges, priorities, capacities and resources.

Opportunities

- ▶ This approach to assistance is ideal where the community or government can mobilise funding, resources and labour but needs particular skills or knowledge which are not available in country.
- ▶ Enabling condition may be the possibility to mobilise skilled/trained diaspora.

Threats

- ▶ There is a risk that humanitarian actors cannot identify what is needed.
- ▶ There is a risk that humanitarian actors cannot recruit local experts due to the difficulty in evaluating competence from CVs and interviews, or mobilise international capacity if, for example, known international experts are unavailable.
- ▶ Where funded expert input is not disseminated, the programme will not be successful.
- ▶ The application of expert knowledge which is not appropriate to context may also threaten the success of this assistance method.

SWOT: the Strengths, Weaknesses, Opportunities and Threats of 18 assistance methods



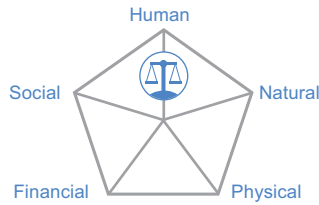
Legal and administrative expertise

Legal and administrative assistance can be defined as the establishment of structures which the affected population are able to access free of charge or at a reduced cost. These structures may for example, provide assistance in the resolution of: disputes over land and property rights, protection, housing, restitution, other resource rights or the rights of people without legal status and information management for land administration. Legal support may include documenting tenure and demarcating plots with land registry or planning departments and facilitating tenure security.

Introduction

- Humanitarian crisis?
- Challenges
- Differences
- Shelter
- Stakeholders
- Coordination
- Information
- Implementation

Position with regard to the 5 livelihood assets



Complimentary assistance methods

Can be combined with



Supervision and technical expertise



Capacity building and training

Defining 1

- Livelihoods 1.1
- Population 1.2
- Targeting 1.3

Combining 2

- Assistance 2.1
- Combination 2.2
- SWOT 2.3**
- Case studies 2.4

	Household	City	Community	National
Displaced	✓	✓	✓	✓
Non-displaced	✓	✓	✓	✓
Indirectly affected	✓	✓	✓	✓

Standards 3

- Incorporation 3.1
- Frameworks 3.2

Strengths, weaknesses, opportunities and threats of the method

SWOT Analysis

Strengths

- ▶ Assistance is directed and fairly flexible, targeting institutions or specific practices.
- ▶ The delivery of specialist legal advice on refugee status, human rights and protection is a conventional humanitarian NGO activity.

Resources

- Notes
- Appendices

- ▶ Legal and administrative expertise facilitates equitable recovery through the resolution of disputes and promotion of restitution.

Weaknesses

- ▶ Encouraging recourse to legal institutions and national law is not always appropriate where customary, traditional community mechanisms function and have legitimacy.
- ▶ Delivery of specialist legal advice on housing or land and property issues is not a conventional humanitarian NGO activity.
- ▶ Costs and benefits for individual families in emergencies and transition are difficult to evaluate or justify to donors.
- ▶ Beneficiary identification and selection in urban areas is likely to be complicated.
- ▶ The impact of legal and administrative expertise in emergencies is highly context specific and depends on existing laws and the capacity of institutions to enact and enforce law.

Opportunities

- ▶ The provision of legal and administrative expertise is ideal if there is sufficient institutional capacity to enforce law in a timely manner.
- ▶ This method of assistance is appropriate in a context where tenants on privately-owned land may be particularly vulnerable.
- ▶ The approach is ideal where: rental markets can provide a choice of tenure options and it is possible to recognise, legitimise and build on informal rental practices; where owners do not hold land titles and other forms of tenure security are necessary to mobilise the resources of building owners; or where tenants on public land may be able to lobby for temporary occupation that gives security of tenure but leaves land in the hands of the state.
- ▶ Legal and administrative expertise is particularly useful where multiple occupancy dwellings mean that sensitive negotiations with many stakeholders may be necessary.

Threats

- ▶ Humanitarian actors may rely on international legal frameworks without sufficient attention to local law and practice.
- ▶ There is a risk that local capacity and institutions are unable to implement law.

97. Some additional information regarding security of tenure (please also see Appendix E on page 144):

There are many pathways to establishing or re-establishing tenure security:

- ▶ referring to existing records and land administration institutions;
- ▶ referring to traditional forms of authority where systems are customary;
- ▶ supporting processes for replacement of lost documents;
- ▶ seeking legal adjudication of competing claims to land; and
- ▶ allocation of shelter as a “reward” used as compensation in resolution of land dispute cases.

98. For vulnerable groups there may be alternative options:

- ▶ working with community leadership and management structures in peri-urban areas or where occupants have informal or no legal status;
- ▶ supporting community-based mechanisms to issue new, or interim, forms of documentation;
- ▶ understanding and working with systems that the authorities use for the allocation of building rights;
- ▶ supporting temporary or partial land tenure where families can be provided with documentation to protect them from eviction and equipped with information on any further steps that they will need to take to secure tenure once a reconstruction programme comes to an end⁴². These options may include:
 - ▶ Intermediate tenure options, such as temporary occupation licenses; community land leases, certificates of rights, certificates of comfort and adverse possession rights.
 - ▶ Strengthening rights of use, occupancy or development; strengthening local institutions with responsibility for managing land rights and disputes; building on local knowledge, land management practices and locally legitimate processes.

Introduction

Humanitarian crisis?
Challenges
Differences
Shelter
Stakeholders
Coordination
Information
Implementation

Defining 1

Livelihoods 1.1
Population 1.2
Targeting 1.3

Combining 2

Assistance 2.1
Combination 2.2
SWOT 2.3
Case studies 2.4

Standards 3


Incorporation 3.1
Frameworks 3.2

Resources

Notes
Appendices

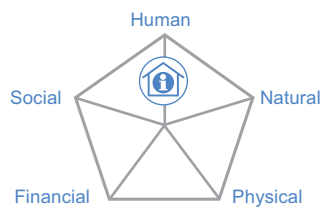
- ▶ Integrating tenure policy with planning and infrastructure provision, for example through strategic urban development or rural territorial plans.

99. Formalising customary rights and building on customary tenure systems. For example, 'Customary Land Secretariats' (CLS) in peri-urban Ghana were set up by the local population who were faced with new arrivals with the following objectives: to record land rights, survey land and mark out development plots, collect rent, manage finances, draw up land leases and facilitate their registration at the Lands Commission. Some of the revenue goes to community infrastructure.

	<p>Information centres and teams</p>	<p>Local information centres may offer:</p> <ul style="list-style-type: none"> ▶ advice and guidance on what assistance is available and how it may be accessed; ▶ opportunities and support for consultation and participation; ▶ mechanisms to deal with complaints, accountability and redress, including arbitration and legal aid; ▶ a central point for cash disbursements or engaging construction labour; and ▶ support that clarifies rights to assistance, rights to land, access to and management of compensation offered, return and relocation possibilities and technical advice.
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100. Information centres should be established and integrated into capacity building programmes in order to offer a constant presence and service within affected communities over the duration of the response.

Position with regard to the 5 livelihood assets



SWOT: the Strengths, Weaknesses, Opportunities and Threats of 18 assistance methods

Complimentary assistance methods

Can be combined with



Supervision and technical expertise



Capacity building and training



Contract labour



Direct labour



Community labour

	Household	City	Community	National
Displaced		✓	✓	
Non-displaced		✓	✓	
Indirectly affected		✓	✓	

Strengths, weaknesses, opportunities and threats of the method

SWOT Analysis

Strengths

- ▶ Assistance is broad, fairly flexible and targets geographic areas, communities, specific practices or sectors.
- ▶ Sustainable assistance offers a constant presence and service in affected communities over the duration of response.
- ▶ Transparency and accountability is enhanced.
- ▶ Costs per beneficiary are lower than individual family shelters or physical infrastructure.
- ▶ This assistance method can also promote disaster risk reduction.
- ▶ Delivery in terms of good communication, posters, leaflets and advocacy should be a conventional humanitarian NGO activity.

Weaknesses

- ▶ Information centres must be located close enough to those requiring assistance and could face difficulties in finding an appropriate location.
- ▶ Investment in a control mechanism to prevent bias is required if staffed by nationally recruited staff.
- ▶ Significant resources are needed in order to ensure

Introduction

Humanitarian crisis?
Challenges
Differences
Shelter
Stakeholders
Coordination
Information
Implementation

Defining 1

Livelihoods 1.1
Population 1.2
Targeting 1.3

Combining 2

Assistance 2.1
Combination 2.2
SWOT 2.3
Case studies 2.4

Standards 3

Incorporation 3.1
Frameworks 3.2

Resources

Notes
Appendices

materials are in the local as well as national language.

Opportunities

- ▶ This approach is successful where a coordinated communication strategy, between agencies and clusters, which agrees on key shelter messages, can be disseminated through information centres and builds confidence as well as capacity.

Threats

- ▶ Poor coordination between humanitarian actors results in a fragmented approach which has poorer geographic coverage and inconsistent content.



Capacity building and training

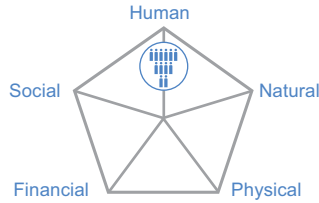
Capacity building activities offer opportunities for stakeholders to increase their ability to respond, individually and collectively, and also to interact and consider together common challenges and tools such as developing and implementing building standards and codes.

101. Capacity building should be considered at all levels of planning from national to community level and should involve the government, local institutions, coordinating agencies, implementing agencies and communities at the appropriate levels. Capacity building at community level should include recovery and risk management training for example. Capacity building at beneficiary level should include technical workshops in hazard resistant construction and technical advice support available at information centres.

102. An integrated capacity building programme operating over the full duration of the response should be included wherever possible and appropriate, involving participatory community-driven workshops or 'charrettes', training of trainers, knowledge transfer to beneficiaries, skills development, secondments and resource and information services.

SWOT: the Strengths, Weaknesses, Opportunities and Threats of 18 assistance methods

Position with regard to the 5 livelihood assets



Complimentary assistance methods

Can be combined with



	Household	City	Community	National
Displaced	✓	✓	✓	✓
Non-displaced	✓	✓	✓	✓
Indirectly affected	✓	✓	✓	✓

Strengths, weaknesses, opportunities and threats of the method

SWOT Analysis

Strengths

- ▶ Assistance is broad, fairly flexible and targets geographic areas, communities, specific practices or sectors.
- ▶ Assistance is sustainable, offering a constant presence and service in affected communities over the duration of response.
- ▶ Costs per beneficiary are lower than individual physical infrastructure.
- ▶ This programme can also promote disaster risk reduction.
- ▶ The delivery of capacity building activities is a conventional humanitarian NGO activity.

Introduction

Humanitarian crisis?
Challenges
Differences
Shelter
Stakeholders
Coordination
Information
Implementation

Defining 1

Livelihoods 1.1
Population 1.2
Targeting 1.3

Combining 2

Assistance 2.1
Combination 2.2
SWOT 2.3
Case studies 2.4

Standards 3

Incorporation 3.1
Frameworks 3.2

Resources

Notes
Appendices

Weaknesses

- ▶ It is difficult to match supply-led training content to participants' competence and needs. For example, masons need different training from mayors.
- ▶ Training impact is often reported in terms of the quantity of people trained without monitoring of quality of training given or the resultant uptake of new techniques.
- ▶ It is difficult to get right balance between technical content and making training accessible to local people yet informative.

Opportunities

- ▶ Capacity building and training is ideal in contexts where disasters are very unusual and knowledge, capacity and coping mechanisms have not accumulated over time.
- ▶ Where enforcement of building standards is unachievable because of low capacity, community self-certification can be supported through the introduction of measures for achieving compliance at community level. This requires training for community enforcement officers and guidance on collective action to avoid encroachment, for example overhanging unrestrained masonry in public access routes.

Threats

- ▶ Poor coordination between humanitarian actors results in a fragmented approach which has poorer geographic coverage and inconsistent content.
- ▶ Funding for outreach materials may not be seen as a high priority. Advocacy and information towards donors is needed.

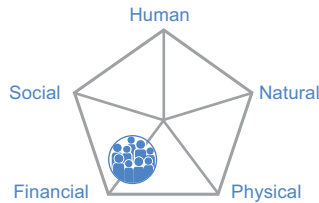


Community labour

Community labour may be described as the mobilisation of a community to undertake reconstruction together. Materials are provided for the community as a whole, rather than for individual families. People are recruited from the beneficiary population to participate.

SWOT: the Strengths, Weaknesses, Opportunities and Threats of 18 assistance methods








Position with regard to the 5 livelihood assets



Complimentary assistance methods

Can be combined with:

-  **Supervision and technical expertise**
-  **Infrastructure and settlement planning**
-  **Capacity building and training**
-  **Information centres and teams**
-  **Shelter construction items**
-  **Environmental and resource management**

	 Household	 City	 Community	 National
Displaced	✓	✓		
				
Non-displaced	✓	✓		
				
Indirectly affected	✓	✓		
				

Strengths, weaknesses, opportunities and threats of the method

SWOT Analysis

Strengths

- ▶ Participants have a personal interest in incorporating disaster risk reduction.
- ▶ This method has a positive effect on economic impact and markets. Transfers inject cash into local markets, with multiplier effects that can stimulate the local economy and help it recover.

Weaknesses

- ▶ Human resource management tasks become a direct NGO responsibility.
- ▶ Quality assurance is potentially the responsibility of many actors from the community and the NGO and could therefore lack consistency.

Introduction

- Humanitarian crisis?
- Challenges
- Differences
- Shelter
- Stakeholders
- Coordination
- Information
- Implementation

Defining 1

- Livelihoods 1.1
- Population 1.2
- Targeting 1.3

Combining 2

- Assistance 2.1
- Combination 2.2
- SWOT 2.3**
- Case studies 2.4

Standards 3

- Incorporation 3.1
- Frameworks 3.2

Resources

- Notes
- Appendices

- ▶ Rubble clearance is demoralising if done manually but later done by machine.

Opportunities

- ▶ Community labour is successful where the housing process is via skilled, self-build and individual households have sufficient time to self-build without exposure to other hazards such as severe seasonal weather.
- ▶ Activities such as rubble clearance can be a lower paid job which the vulnerable can do but does not attract those already in regular employment, enabling targeted self-selection.

Threats

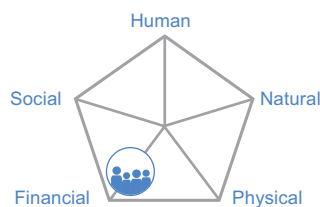
- ▶ There is a risk that other livelihood and income generating priorities after conflict or disaster may prevent people from working on or finishing shelters and thus missing out on what may be their only chance to rebuild. Construction may interrupt other livelihood activities such as planting or harvesting and force families into debt or cause delayed disruption to other essential markets such as the food market.
- ▶ Humanitarian organisations may not be able to agree clear and fair liabilities for construction and may not promote quality as a joint responsibility of agencies and beneficiaries.
- ▶ Different pay scales from different NGOs may cause tension within the community. Sensitivity is required in the local context where community self-help may be normal and expected by the government.



Direct labour

Organisations may hire and manage labour directly, employed from general population.

Position with regard to the 5 livelihood assets



SWOT: the Strengths, Weaknesses, Opportunities and Threats of 18 assistance methods

Complimentary assistance methods

Can be combined with



Supervision and technical expertise



Environmental and resource management



Capacity building and training



Information centres and teams



Infrastructure and settlement planning

	Household	City	Community	National
Displaced	✓	✓	✓	
Non-displaced	✓	✓	✓	
Indirectly affected	✓	✓	✓	

Strengths, weaknesses, opportunities and threats of the method

SWOT Analysis

Strengths

- ▶ This method has a positive effect on economic impact and markets. Transfers inject cash into local markets, with multiplier effects that can stimulate the local economy and help it recover.

Weaknesses:

- ▶ Quality Assurance, Human Resource Management become direct NGO responsibilities.
- ▶ Organisations will receive many CVs from applicants which need to be processed and may prevent action on other priorities.

Opportunities:

- ▶ Direct labour is successful where the housing process is via small-scale contractors and local labour and these actors are sufficiently skilled or available for training.

Threats:

- ▶ There is a risk that humanitarian organisations are not able to agree clear and fair liabilities for construction and do not promote quality as a joint responsibility of agencies and beneficiaries.

Introduction

Humanitarian crisis?
Challenges
Differences
Shelter
Stakeholders
Coordination
Information
Implementation

Defining 1

Livelihoods 1.1
Population 1.2
Targeting 1.3

Combining 2

Assistance 2.1
Combination 2.2
SWOT 2.3
Case studies 2.4

Standards 3

Incorporation 3.1
Frameworks 3.2

Resources

Notes
Appendices

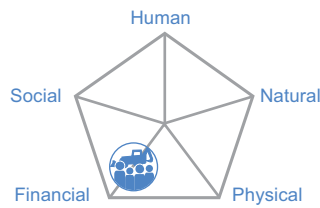


Contract labour

Contracted labour is the hiring of professional companies to provide technical expertise and resources.

This could include the employment of individuals, a community group or a household by a contractor to the humanitarian agency.

Position with regard to the 5 livelihood assets



Complimentary assistance methods

Can be combined with



Supervision and technical expertise



Environmental and resource management







Capacity building and training



Information centres and teams



Infrastructure and settlement planning

	 Household	 City	 Community	 National
Displaced	✓	✓	✓	✓
Non-displaced	✓	✓	✓	✓
Indirectly affected	✓	✓	✓	✓

Strengths,
weaknesses,
opportunities
and threats of
the method

SWOT Analysis

Strengths

- ▶ Using specialised or trained labour facilitates disaster risk reduction.
- ▶ Quality assurance and human resource management become direct NGO responsibilities instead of the responsibility of the contractor.
- ▶ This method has a positive effect on economic impact and markets. Transfers inject cash into local markets, with multiplier effects that can stimulate the local economy and help it recover.

Weaknesses

- ▶ Monitoring of quality assurance may be difficult, especially where hazard resistant technical specifications are required.
- ▶ The delivery of large construction contracts is not a conventional humanitarian NGO activity.
- ▶ There may be a lack of suitable contractors for a competitive tendering process.

Opportunities

- ▶ Contract labour is ideal where humanitarian organisations have capacity for managing contracts.
- ▶ A contract labour programme is suitable where the housing process is via large-scale contractors and local or imported labour and these actors are sufficiently skilled or available for training.
- ▶ This approach is ideal in owner driven reconstruction where owners do not have construction skills and may prefer to sub-contract building work.
- ▶ Contract labour assistance is appropriate where multi-storey construction adds complexity to design and construction, specialist contractors, rather than community labour is likely to be necessary.

Threats

- ▶ Humanitarian actors may have little experience of dealing with urban contractors.
- ▶ There is a risk that humanitarian organisations are not able to agree clear and fair liabilities for construction and do not promote quality as a joint responsibility of agencies and beneficiaries.
- ▶ There may be fraud issues where organisations do not have experience of working with contractors.

Introduction

Humanitarian crisis?
Challenges
Differences
Shelter
Stakeholders
Coordination
Information
Implementation

Defining 1

Livelihoods 1.1
Population 1.2
Targeting 1.3

Combining 2


Assistance 2.1
Combination 2.2
SWOT 2.3
Case studies 2.4

Standards 3

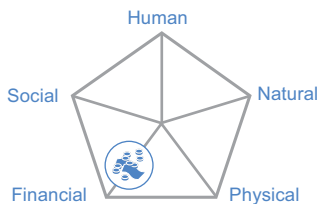
Incorporation 3.1
Frameworks 3.2

Resources

Notes
Appendices

	<p>Cash</p>	<p>Many variations on cash programming are possible:</p> <ul style="list-style-type: none"> ▶ Unconditional cash transfers are a direct grant without conditions or work requirements. It is intended to meet basic needs and/or to protect or recover livelihoods as a common option of providing assistance, if the general feasibility for using cash transfers has been established. ▶ Conditional cash transfers are grants for specific purpose such as for NFIs or completion of housing construction phases. ▶ Cash for work schemes comprise of payments for taking part in a public or infrastructure works programme which contribute to emergency recovery or wider economic stimuli. This approach is used when works are required and the population has the capacity to undertake the work and maintain the assets created. ▶ Indirect cash transfers are grants or waivers to reduce the cost of basic services. ▶ A social assistance approach provides transfers to those deemed eligible on the basis of their vulnerability or poverty. This approach is designed for continuing assistance of chronically poor.
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Position with regard to the 5 livelihood assets



Complimentary assistance methods

Can be combined with

-  **Supervision and technical expertise**
-  **Environmental and resource management**
-  **Capacity building and training**
-  **Information centres and teams**
-  **Infrastructure and settlement planning**
-  **Legal and administrative expertise**

SWOT: the Strengths, Weaknesses, Opportunities and Threats of 18 assistance methods

	Household	City	Community	National
Displaced	✓			
Non-displaced	✓			
Indirectly affected	✓			

Strengths, weaknesses, opportunities and threats of the method

SWOT Analysis

Strengths

- ▶ Assistance is broad and very flexible. Beneficiaries can make decisions for their own recovery, build a sense of ownership, self-reliance and self-esteem and later improve shelters with their own funds or choose a combination of goods and services which match their individual priorities.
- ▶ Delivery of vouchers is becoming a more common humanitarian NGO activity.
- ▶ Cash programmes reduce costs due to overheads, transfers, shipping, storage, transport and distribution costs and means beneficiaries will not be forced to sell, at a discount, material or in-kind assistance.
- ▶ Cash facilitates faster recovery and reconstruction.
- ▶ This method may have a positive effect on economic impact and markets. Transfers inject cash into local markets, with multiplier effects that can stimulate the local economy and help it recover.

Weaknesses

- ▶ The cost of additional technical and community mobilisation may cancel out the lower construction costs.
- ▶ The program requires a long start-up period for assessments.
- ▶ This method may have a negative effect on economic impact of intervention and markets. Cash injections have the potential to cause local inflation, which erodes the value of the transfer and also disadvantages non-recipients.
- ▶ Beneficiary identification and selection in urban areas

Introduction

- Humanitarian crisis?
- Challenges
- Differences
- Shelter
- Stakeholders
- Coordination
- Information
- Implementation

Defining 1

- Livelihoods 1.1
- Population 1.2
- Targeting 1.3

Combining 2

- Assistance 2.1
- Combination 2.2
- SWOT 2.3**
- Case studies 2.4

Standards 3

- Incorporation 3.1
- Frameworks 3.2

Resources

- Notes
- Appendices

likely to be complicated. In particular, those able to construct are likely to be those with access to secure formal or informal tenure – potentially not the “land vulnerable” pre-disaster and those unable to build or to access builders cannot make use of materials.

- ▶ Beneficiaries may not participate due to concerns regarding the social stigma of receiving charity.
- ▶ It is possible to improve the quality of housing where conditions are enforced and met for cash disbursements such as where cash is tied to building hazard resistant construction. There is a need however, to supervise and enforce in order to reduce the risk of supporting the construction of poor quality houses that will not meet the technical requirements and be at high risk of damage in a future disaster.
- ▶ Depending on the context on control over household resources and on how the project is set up, cash could empower or disempower women. It can empower women in societies where women have some control over cash. Women often have a significant stake and say in household management, even construction and cash for these activities. It can also disempower women however, or provoke more household conflict regarding expenditure priorities.
- ▶ Cash is ultimately not spent on household welfare.

Opportunities

- ▶ Cash programmes are ideal where there is a high level of human resources and organisational capacity such as construction supervisors, community mobilisers, architects, engineers and social officers, for owner driven reconstruction.
- ▶ It is suitable if markets for construction materials are functioning and of sufficient quality for hazard resistance.
- ▶ The assistance method is suitable where it is possible to link financial assistance in instalments to construction progress assessed by technical supervisors.

Threats

- ▶ During the insecurity of the emergency phase, cash has limited value and may present security risks for staff and beneficiaries.
- ▶ This approach may have limited value if communities are isolated from materials or services because of ongoing conflict or disaster.

- ▶ In urban even more strictly than in rural settings, the government is the only body with the powers to enforce standards. Liability cannot be on humanitarian organisations but they can be involved in shaping and advocating for standards. The risk is that humanitarian organisations are not able to agree clear and fair liabilities for construction towards the beneficiary and do not promote quality as a joint responsibility of agencies and beneficiaries.
- ▶ Additional support may be needed where construction materials are not available on the local market, local materials are inadequate for hazard resistance or sourcing local materials may have a negative local environmental impact.
- ▶ There is risk where tenure is linked to official building approval. Tenure insecurity may be increased if cash is spent on poor quality or unapproved buildings. In addition there can be a danger that well functioning informal systems of tenure security can be destroyed by humanitarian organisations insisting on more formal systems to be adopted, for example informal settlements in Haiti.
- ▶ There is a risk that other livelihood and income generating priorities after conflict or disaster may prevent people from working on or finishing shelters and thus missing out on what may be their only chance to rebuild. Construction may interrupt other livelihood activities and force families into debt.
- ▶ Insufficient support for participation, budgeting or planning may mean that the budget is depleted before completion.
- ▶ Where affected families have other urgent spending priorities, such as critical medical costs, money may be used for purposes other than reconstruction.

Introduction

Humanitarian crisis?

Challenges

Differences

Shelter

Stakeholders

Coordination

Information

Implementation

Defining 1

Livelihoods 1.1

Population 1.2

Targeting 1.3

Combining 2

Assistance 2.1

Combination 2.2

SWOT 2.3

Case studies 2.4

Standards 3

Incorporation 3.1

Frameworks 3.2

Resources

Notes

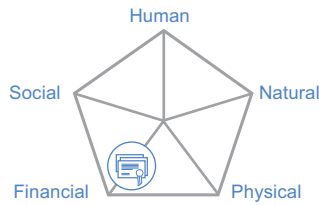
Appendices



Vouchers

Vouchers or tokens are an alternative to cash payments. They are given set values and can then be exchanged for specified materials and services using local suppliers participating in the scheme or at a local depot organised for that purpose.

Position with regard to the 5 livelihood assets



Complimentary assistance methods

Can be combined with



Supervision and technical expertise



Environmental and resource management



Capacity building and training



Information centres and teams



Infrastructure and settlement planning



Legal and administrative expertise



Household



City



Community



National

	Household	City	Community	National
Displaced 	✓	✓		
Non-displaced 	✓	✓		
Indirectly affected 	✓	✓		

Strengths, weaknesses, opportunities and threats of the method

SWOT Analysis

Strengths

- ▶ Assistance is directed and flexible within a range of shelter-related goods and services. Beneficiaries can prioritise and take decisions for their own recovery and build a sense of ownership.
- ▶ Vouchers cannot be spent on non-essential items.
- ▶ This approach allows some control of quality, sourcing

or certification requirements of construction materials for disaster risk reduction through approved voucher centres.

- ▶ Voucher distributions are more secure than cash distributions.
- ▶ The delivery of vouchers is becoming a more common humanitarian NGO activity.
- ▶ This method may have a positive effect on economic impact and markets. Transfers inject cash into local markets, with multiplier effects that can stimulate the local economy and help it recover. In addition, where the supply side of the market is functional, the use of vouchers may avoid the risk of inflating prices posed by cash programmes.

Weaknesses

- ▶ The program requires a long start-up period for assessments.
- ▶ Beneficiaries may not participate due to concerns regarding the social stigma of receiving charity.

Opportunities

- ▶ This approach is ideal where there is a high level of human resources and organisational capacity for owner driven reconstruction, with availability of construction supervisors, community mobilisers, architects, engineers and social officers.
- ▶ Voucher programmes are ideal if markets for construction materials are functioning and of sufficient quality for hazard resistance.
- ▶ Vouchers are appropriate when there are no banking facilities.
- ▶ This approach is appropriate when it is necessary to control inflation of prices of materials or when supplies are scarce and wholesale activity needs to be stimulated.

Threats

- ▶ There is a risk that other livelihood and income generating priorities after conflict or disaster may prevent people from working on or finishing shelters and thus missing out on what may be their only chance to rebuild. Construction may interrupt other livelihood activities and force families into debt.
- ▶ Insufficient support for participation, budgeting or

Introduction

Humanitarian crisis?
Challenges
Differences
Shelter
Stakeholders
Coordination
Information
Implementation

Defining 1

Livelihoods 1.1
Population 1.2
Targeting 1.3

Combining 2

Assistance 2.1
Combination 2.2
SWOT 2.3
Case studies 2.4

Standards 3

Incorporation 3.1
Frameworks 3.2

Resources

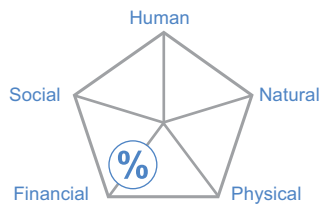
Notes
Appendices

planning may mean that the budget is depleted before completion.

- ▶ This approach may have limited value if communities are isolated from materials or services because of ongoing conflict or disaster.
- ▶ There is risk of black market exchange of vouchers for cash leading to the diversion of funds from the programme for non-essential items but measures may be taken to prevent trading of vouchers.

%	Loans and credit	<p>Cash transfer that must be repaid, often with interest and within a specified time period.</p> <ul style="list-style-type: none"> ▶ Emergency loans are appropriate for household and shelter NFIs when supplies of materials and services are accessible and stable and repayment and collection are feasible. ▶ Housing or asset replacement loans are larger loans to support housing reconstruction or to help households recover their livelihoods and businesses. ▶ Micro-credit and housing micro-finance are schemes which lend smaller sums than traditional lenders and offer additional services that extend the value of loans to poorer income groups.
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Position with regard to the 5 livelihood assets










Complimentary assistance methods

Can be combined with

-  **Supervision and technical expertise**
-  **Environmental and resource management**
-  **Capacity building and training**
-  **Information centres and teams**
-  **Infrastructure and settlement planning**
-  **Legal and administrative expertise**

SWOT: the Strengths, Weaknesses, Opportunities and Threats of 18 assistance methods

	 Household	 City	 Community	 National
Displaced 	✓	✓	✓	
Non-displaced 	✓	✓	✓	
Indirectly affected 	✓	✓	✓	

Strengths, weaknesses, opportunities and threats of the method

SWOT Analysis

Strengths

- ▶ Assistance is broad and flexible and may be used for other productive assets such as commercial premises, farms, tools and equipment.
- ▶ Not for profit and commercial micro-credit schemes tend to offer better terms than informal credit markets or loan sharks.
- ▶ Subsidised or soft loans can offer interest rates below market level.
- ▶ Loaned cash can be mobilised quickly for recovery and reconstruction with repayment deferred until livelihoods reinstated.
- ▶ This approach gives financial independence to the beneficiary to implement transitional reconstruction according to their own priorities.
- ▶ Loans and credit programmes may have a positive impact on the economy and markets through, for example, expansion of credit sector or potential stimulus for economic development.

Weaknesses

- ▶ Beneficiaries selected by service providers are likely to be those with access to credit and not those that were “land vulnerable” pre-disaster.
- ▶ The land or property of the recipient may be required by the lender as collateral for the loan.
- ▶ Delivery of loans is not a conventional humanitarian NGO activity.

Introduction

Humanitarian crisis?
Challenges
Differences
Shelter
Stakeholders
Coordination
Information
Implementation

Defining 1

Livelihoods 1.1
Population 1.2
Targeting 1.3

Combining 2

Assistance 2.1
Combination 2.2
SWOT 2.3
Case studies 2.4

Standards 3

Incorporation 3.1
Frameworks 3.2

Resources

Notes
Appendices

Opportunities

- ▶ Loans and credit programme are ideal where there is a high level of human resources and organisational capacity for owner driven reconstruction, with availability of construction supervisors, community mobilisers, architects, engineers and social officers.
- ▶ The approach is suitable where construction materials markets are functioning and of sufficient quality for hazard resistance.
- ▶ This assistance method is appropriate where families have experience of managing credit which may be more likely in urban areas where financial service providers are more available.
- ▶ The approach is effective where local micro-finance organisations are already well-established with a good client base.

Threats

- ▶ If the government regulation of lenders is ineffective, conditions on the loan may mean for beneficiaries an unmanageable financial burden or vulnerability to market volatility.
- ▶ Where affected families have other urgent priorities, such as critical medical costs, money may not be used to build sustainable physical assets.
- ▶ The government may not allow this approach.



Insurance and guarantees

Insurance, loans, and guarantees may be provided by the government, humanitarian stakeholders, donors and banks, in contexts where recovery is constrained by unaffordable but credible financial risk mitigation or lack of access to credit.

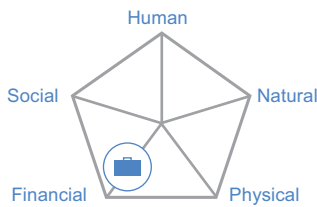
103. This also includes individuals pooling resources by paying contributions to the state or a private provider. If they then suffer a 'shock' or permanent change in their circumstances, they are able to receive financial support for livelihoods or asset replacement. Insurance and guarantees may be classified into the following categories:

- ▶ social insurance, including private or state schemes designed to pool risk across a large, national group for the welfare of all;

SWOT: the Strengths, Weaknesses, Opportunities and Threats of 18 assistance methods

- ▶ private, individual insurance covers service providers which pool risk across groups that they have chosen using sophisticated optimisation models for profit;
- ▶ guarantees, such as additional loans offered to cover the down payment required by most lenders, which may be in the order of 20%; and
- ▶ index insurance, which is paid on the basis of a measurable event, such as less than a defined threshold of rain falling over a specified period. This provides an objective method of agreeing compensation but the amount is not directly related to the insurance holder's loss.

Position with regard to the 5 livelihood assets



Complimentary assistance methods

Can be combined with

- Supervision and technical expertise
- Environmental and resource management
- Capacity building and training
- Information centres and teams
- Infrastructure and settlement planning
- Legal and administrative expertise

	Household	City	Community	National
Displaced	✓	✓	✓	✓
Non-displaced	✓	✓	✓	✓
Indirectly affected				

Introduction

- Humanitarian crisis?
- Challenges
- Differences
- Shelter
- Stakeholders
- Coordination
- Information
- Implementation

Defining 1

- Livelihoods 1.1
- Population 1.2
- Targeting 1.3

Combining 2

- Assistance 2.1
- Combination 2.2
- SWOT 2.3
- Case studies 2.4

Standards 3

- Incorporation 3.1
- Frameworks 3.2

Resources

- Notes
- Appendices

Strengths,
weaknesses,
opportunities
and threats of
the method

SWOT Analysis

Strengths

- ▶ Insurance can be used to incentivise collective disaster risk reduction where people pay for insurance through labour dedicated to constructing longer term infrastructure for hazard resistance e.g. bunds, levees, retaining or gabion walls, improved drainage or permeable spaces for infiltration of run-off.
- ▶ Insurance can potentially be linked to tracking events such as rainfall, so that payouts are triggered automatically when rainfall exceeds an agreed level, which is expected to cause a certain amount of damage, thus saving huge transaction costs of assessing damage.

Weaknesses

- ▶ Delivery of insurance and guarantees is not a conventional humanitarian NGO activity.
- ▶ Insurance may not cover damage from natural disasters or conflict.
- ▶ Beneficiaries selected by service providers are likely to be those who can afford premiums as the most vulnerable are seen as too risky and can either not get coverage or not find affordable coverage.
- ▶ Linking insurance payouts to independent climate events is much more difficult in urban areas where likely damage and economic costs of damage vary dramatically between different zones.

Opportunities

- ▶ The insurance and guarantee method of assistance is ideal where risks are insurable and where the frequency of hazards and potential costs of damage can be covered by premiums through a sufficiently large insurance pool.
- ▶ This approach is effective where sufficient capacity for damage verification and monitoring of the risks of moral hazard is not a problem. Insurance must not incentivise people to cause damage in order to claim insurance cover.

Threats

- ▶ Local capacity to assess losses may be insufficient for the rapid mobilisation of cash for recovery.
- ▶ Local capacity to resolve grievance or settle claims may be limited and people may never receive payouts despite paying premiums.

	Market interventions	Market intervention is the continuous and comprehensive assessment of, and involvement in, the construction industry, from material resources to contractors and professional bodies. It identifies and responds to capacities, opportunities, linkages and interruptions, and ensures that the private sector better serves the affected population, for example in supporting existing suppliers' provision of thatch for roofing. Cash, voucher, credit and insurance mechanisms have an impact on markets, as explained above.
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104. Large scale interventions which are directed at institutions rather than households include:

- ▶ rapid assistance of pre-existing supply and value chains, support for pro-poor market recovery, and re-establishing foundation markets of products and services that underpin development and participation;
- ▶ bulk purchasing to achieve economies of scale for materials;
- ▶ market infrastructure interventions are strongly linked to settlement infrastructure interventions, with examples such as repairing transport routes, transport or fuel subsidies and providing shelter for market spaces;
- ▶ targeted stimuli to stimulate demand or the supply side for the goods and services provided by small enterprises or particular sectors, for example the Clean Development Mechanism³⁹;
- ▶ regulation or self-regulation to support and check tools for trade standards such as the quality of reinforcement bars or cement; and
- ▶ coordination and setting rates across humanitarian and government agencies on decisions such as minimum wage value during emergency and recovery and interest rates for emergency loans.

Introduction

- Humanitarian crisis?
- Challenges
- Differences
- Shelter
- Stakeholders
- Coordination
- Information
- Implementation

Defining 1

- Livelihoods 1.1
- Population 1.2
- Targeting 1.3

Combining 2

- Assistance 2.1
- Combination 2.2
- SWOT 2.3**
- Case studies 2.4

Standards 3

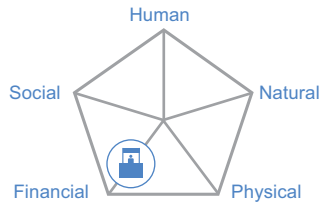
- Incorporation 3.1
- Frameworks 3.2

Resources

- Notes
- Appendices










Position with regard to the 5 livelihood assets



Complimentary assistants methods

Can be combined with

-  **Supervision and technical expertise**
-  **Environmental and resource management**
-  **Capacity building and training**
-  **Information centres and teams**
-  **Infrastructure and settlement planning**
-  **Legal and administrative expertise**

	 Household	 City	 Community	 National
Displaced 		✓	✓	✓
Non-displaced 		✓	✓	✓
Indirectly affected 		✓	✓	✓

Strengths, weaknesses, opportunities and threats of the method

SWOT Analysis

Strengths

- ▶ Participatory interventions with suppliers and traders can potentially raise product quality and safety standards for disaster risk reduction.
- ▶ Economic impact and markets may stimulate the local economy and help it recover.

Weaknesses

- ▶ Thorough analysis and understanding of markets and competence in micro and macro economics is not a conventional humanitarian NGO activity.



Selected case studies

- ▶ Benefits of the intervention may be transferred to large scale producers rather than the most vulnerable, for example where large-scale interventions support an inappropriate technology or product that is not familiar locally such as reinforced concrete.

Opportunities

- ▶ Market analysis may be available as a basis for market interventions.

Threats

- ▶ There is a risk of preventing local traders from resuming livelihoods and re-capitalising after a disaster by supplying free construction materials where local markets – suppliers, wholesalers and importers – are functioning, particularly in urban areas.
- ▶ Humanitarian organisations may have insufficient knowledge of local markets and cause unintended negative consequences because market interventions may have far reaching spill over effects.
- ▶ Poor coordination between humanitarian actors may result in a fragmented approach which has poorer geographic coverage and inconsistent content.

Introduction

Humanitarian crisis?

Challenges

Differences

Shelter

Stakeholders

Coordination

Information

Implementation

Defining 1

Livelihoods 1.1

Population 1.2

Targeting 1.3

2.4 Selected case studies

105. In this section eight case studies are presented illustrating experiences with applying the 18 assistance methods from around the world.

- ▶ Urban self-settlement: Johannesburg May 2008
- ▶ Host families: Goma 2008 (CARE)
- ▶ Collective Centres: Georgia 2007 (NRC)
- ▶ Apartment tenants: Nahr el Bared, Lebanon 2006-2009 (NRC)
- ▶ Acceptance of re-established rights: Banda Aceh, Indonesia (Habitat for Humanity)
- ▶ Integration of IDPs: Kassala, Eastern Sudan, 2003 (Practical Action)
- ▶ Response task forces: Sri Lanka, 2004-2005
- ▶ Rubble removal: Muzafarabad, Pakistan, 2005

Combining 2

Assistance 2.1

Combination 2.2

SWOT 2.3

Case studies 2.4

Standards 3

Incorporation 3.1

Frameworks 3.2

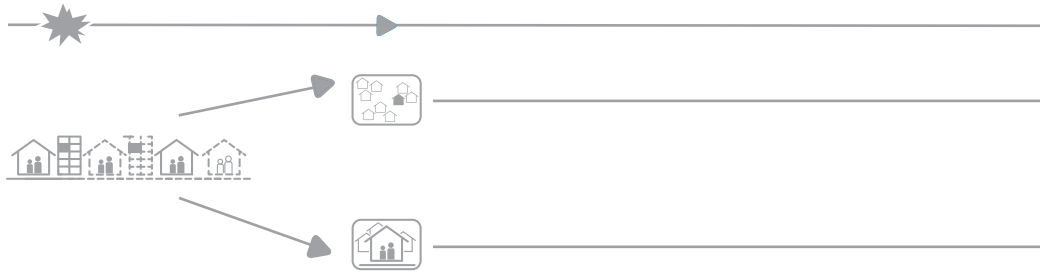
Resources

Notes

Appendices




Diagram 2.4.1 Urban Self-settlement: Johannesburg May 2008⁴³





Home
Johannesburg
May 2008

Urban camps and self-settlement
The population relocates into other urban areas because of social conflict resulting from service delivery shortfalls, unemployment, local business competition and xenophobia.

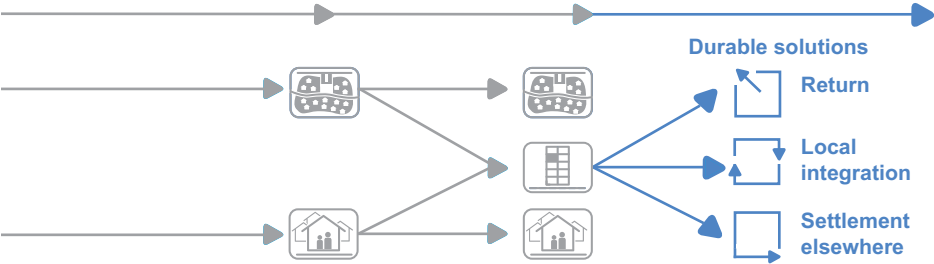
1-2 weeks

-  Coordination and information management, rapid assessment to government
-  **Temporary Urban Camps** 2,000 tents distributed for 10,000 people and material assistance week
-  **Urban self settlement** rental subsidy to 5,000 people

1 Month

-  Technical advice and training on camps in urban areas
- 

Selected case studies



Profiling and needs assessment
 It is difficult to distinguish humanitarian needs from development goals, select beneficiaries, plan exit strategy and clarify the government's role in supporting transitional settlement options. Not all needs are addressed, but 100% targeting may never be possible or desirable

2 Months

Multi-sectorial appeal, developed for relief and intergration of displaced
 Total funding 4m USD (UNHCR) 30 ZAR per person per day

Local integration
 Return is not viable and hostels are only an interim solution which favours some groups over others. With more funding one option would have been for the government to take over and fund all humanitarian programming in urban areas and set up long term joint monitoring capacity

6 Months

Urban profiling exercise to quantify:

- ▶ residual displacement;
- ▶ protection risks; and
- ▶ humanitarian needs

Private and government run hostels were proposed as urban shelter assistance

Introduction

- Humanitarian crisis?
- Challenges
- Differences
- Shelter
- Stakeholders
- Coordination
- Information
- Implementation

Defining 1

- Livelihoods 1.1
- Population 1.2
- Targeting 1.3

Combining 2

- Assistance 2.1
- Combination 2.2
- SWOT 2.3

Case studies 2.4

Standards 3

- Incorporation 3.1
- Frameworks 3.2

Resources

- Notes
- Appendices

Host families: Goma, 2008 (CARE)



106. In 2008, Goma (DRC) saw another sudden influx of displaced people fleeing conflict in Kivu. CARE supported host families with material kits to build extensions to their homes^{44,45}.

Registration

107. New arrivals in urban areas were registered by local government while the international community monitored arrivals in camps. Follow up assessments showed over-registration in some places where the displaced had already either moved on or returned but had not been “de-registered” and under-registration where the displaced were staying with host families, for example.

Beneficiary Selection

108. Initial geographic targeting using neighbourhood level vulnerability criteria recognised:

- ▶ the relative poverty of the Northern suburbs of Goma;
- ▶ a high number of families hosting IDPs; and
- ▶ evidence that the displaced in these areas would not be able to return quickly.

109. Household level vulnerability criteria were defined to identify beneficiaries and included the:

- ▶ unemployment of head of household;
- ▶ size of the host family house relative to the number of hosted; and
- ▶ physical condition of host family dwelling.

Participation and local organisations

110. The project evaluation noted the importance of working with local leadership structures in both IDP and non-IDP populations and highlighted the key actors such as:

- ▶ local authorities;
- ▶ the clergy and teachers; and
- ▶ female leaders of savings groups and other small-scale traders who were able to provide an overview initially of the new arrivals and later of the project’s impacts.

Tenure

111. RALSA Foundation's Goma case study also gives a useful insight into pathways to urban land title. A summary taken from their evaluation explains it:

- ▶ The Planning Department decides on the size of residential plots; the Land Registry demarcates plots and then the Planning Department issues, for a fee, a certificate of conformity to citizens who apply for land, occupy and demarcate it.
- ▶ The Head of Neighbourhood issues a certificate of occupation.
- ▶ The Land Registry grants a rolling leasehold, for a rolling fee, up to a maximum of 7 years by which time, if the occupant has built a permanent house which is compliant with building codes, full land title is granted or else the plot reverts to the state.

112. Overlaid on to this partially enforced formal system is a vibrant informal trade in the certificates of occupation and conformity and a rental market which expands the options tenure options for urban dwellers.

Collective centres: Georgia, 2007 (NRC)

113. NRC's team in Georgia noticed that families displaced into urban areas after the conflict in August 2007 were moving between host families, relatives and collective centres in the city that were managed by NRC, as well as frequently going back to their home villages.

114. The following gives an example of the typical choices some families were making and the combinations of assistance that NRC provided to support this process.

Introduction

- Humanitarian crisis?
- Challenges
- Differences
- Shelter
- Stakeholders
- Coordination
- Information
- Implementation

Defining 1

- Livelihoods 1.1
- Population 1.2
- Targeting 1.3

Combining 2

- Assistance 2.1
- Combination 2.2
- SWOT 2.3

Case studies 2.4

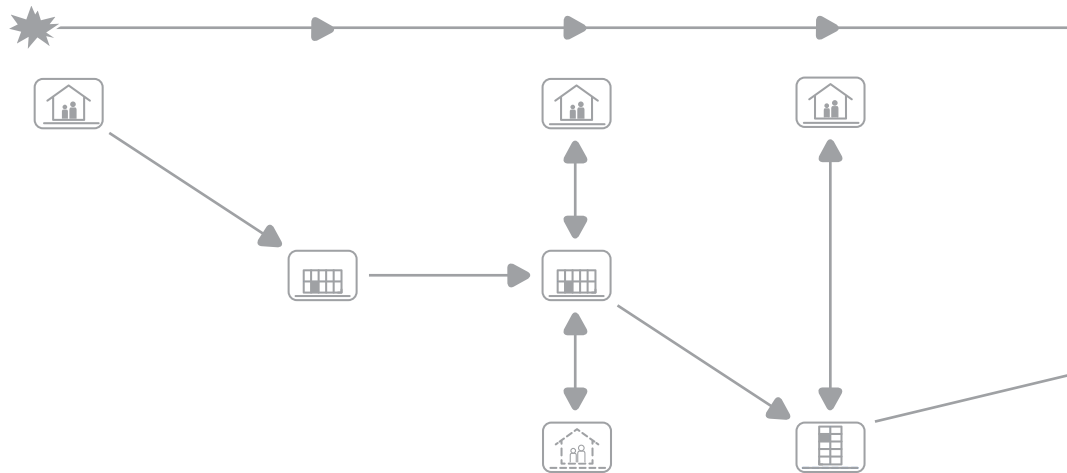
Standards 3

- Incorporation 3.1
- Frameworks 3.2

Resources

- Notes
- Appendices

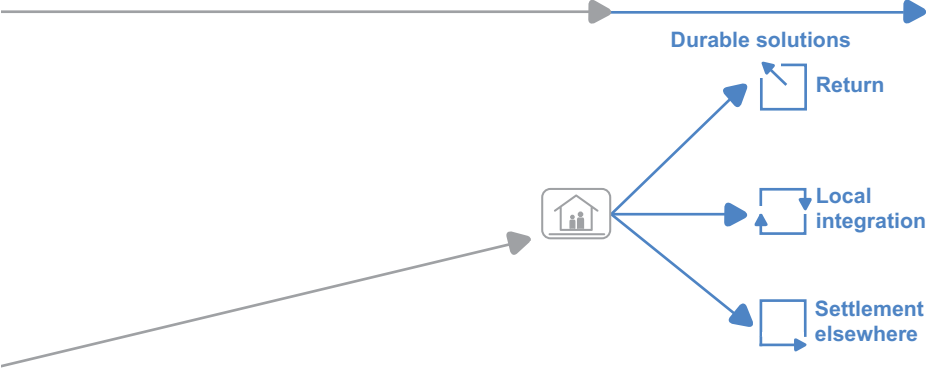
Diagram 2.4.2 Collective centres: Georgia 2007 (NRC)



Home	Collective centre	Moving between options
Rural South Ossetia before the conflict	Displacement from rural home to urban collective centre following the conflict in the summer	Family moves between a collective centre and staying with relatives (host family). Some family members return home to collect possessions, protect property, carry out repairs and tend animals and land. before winter, family moves into rented accommodation. After winter, new government housing is completed and the family move in

- | Collective centres | Collective centres |
|---|--|
| <ul style="list-style-type: none"> Quick fix, electricians and plumbers quickly fixing WASH and electrical systems for a few weeks of "more decent" living conditions, deliberately temporary and upgraded after 2-3 weeks | <ul style="list-style-type: none"> Gradual upgrades to WASH, electrical installations and fire fighting equipment (axes, extinguishers) |
| | Host families |
| | <ul style="list-style-type: none"> Winterisation kits to upgrade doors and windows |

Selected case studies



Introduction

- Humanitarian crisis?
- Challenges
- Differences
- Shelter
- Stakeholders
- Coordination
- Information
- Implementation

Deciding on a future

A family should have the information, transport services and transit facilities to choose their most appropriate durable solution

Defining 1

- Livelihoods 1.1
- Population 1.2
- Targeting 1.3

Combining 2

- Assistance 2.1
- Combination 2.2
- SWOT 2.3

Case studies 2.4

Standards 3

- Incorporation 3.1
- Frameworks 3.2

Resources

- Notes
- Appendices

Apartment tenants

Difficult to identify and assess needs of families in private rental accommodation

Social occupancy tenants

Permanent housing provided by government but many left empty as people return to their villages

Apartment tenants: Nahr el Bared, Lebanon, 2006-2009 (NRC)

115. Multi-storey reconstruction and disputed land tenure



116. In Lebanon, the legal right of Palestinians to hold land title was revoked in 2001, so when an area of the Nahr el Bared camp was destroyed during conflict in 2006, the reconstruction of multi-storey, multiple occupancy dwellings required NRC to:

- ▶ facilitate sensitive negotiations with a huge range of stakeholders so that ownership of the land title (freehold) could be passed to a religious foundation which would then grant leases to the Palestinian inhabitants to ensure longer term security of tenure;
- ▶ provide a core and shell with some support for paint and internal fittings as security of tenure meant that the personal resources of homeowners could be brought into the project because the leasehold gave families confidence that investments in homes would be secure and sustainable;
- ▶ act on behalf of refugee clients by recognising the need for and then building its internal capacity to conduct people oriented planning (POP) exercises and negotiate sensitive HLP issues with a huge range of stakeholders;
- ▶ build its internal capacity to conduct people oriented planning (POP) exercises and negotiate with occupants the creation of public spaces and equitable standards for private space per person in new homes;
- ▶ manage commercial contractors on behalf of refugee clients; and
- ▶ hand over future liability for new buildings to commercial contractors.

Acceptance of re-established rights: Banda Aceh, Indonesia (Habitat for Humanity)



117. In Banda Aceh, the tsunami washed away all physical references of property lines in communities. These rights had to be re-established using a procedure accepted by all involved including families, the government and NGOs, with subsequent affirmation through legalisation procedures.

Integration of IDPs: Kassala, Eastern Sudan, 2003 (Practical Action)



118. Practical Action worked with two neighbourhoods of mainly displaced people who were a mix of Southerners, as a result of the war, and Easterners, as a result of drought.

119. A key achievement was to get the municipality to accept that the IDPs were there to stay and to give them land tenure. Security of tenure then facilitated several other initiatives including the water utility extending its network to the outskirts of the neighbourhoods, and working with Practical Action to install internal networks and community water points.

Introduction

Humanitarian crisis?

Challenges

Differences

Shelter

Stakeholders

Coordination

Information

Implementation

Defining 1

Livelihoods 1.1

Population 1.2

Targeting 1.3

Response task forces: Sri Lanka, 2004-2005

120. When the South Asia Tsunami hit Sri Lanka on 26th December 2004, 30,000 people were killed, 500,000 were left homeless and property worth at least \$1.5 billion was damaged and destroyed, including 100,000 homes⁴⁶. The response to this large-scale natural disaster was unusual in terms of scale, funding, the number of humanitarian actors present and the scale of private contractor involvement.

121. The chart below shows a simplified version of the complex co-ordination structures that emerged, compiled from a variety of sources^{47,48,49,50,51} and excluding areas under the control of Liberation Tigers of Tamil Eelam (LTTE). Special task forces created by government are shown in blue. International donors, financial institutions and humanitarian agencies are shown in grey.

Combining 2

Assistance 2.1

Combination 2.2

SWOT 2.3

Case studies 2.4

122. The functions, leadership, capacity and co-ordination mechanisms of task forces and working groups evolve as the response unfolds, reacting to the changing situation, donor funding cycles, political or election events and the availability of reconstruction finance.

Standards 3

Incorporation 3.1

Frameworks 3.2

123. National level task forces may have higher level decision-making power than regional governments or city mayors. It is important to identify task forces with responsibility for urban recovery, advocate for personnel dedicated to urban shelter issues, keep an eye on changing organisational structures and roles.

Resources

Notes

Appendices

124. National authorities and local governments with responsibility for urban planning and other specialists with knowledge of urban issues before the emergency may be initially sidelined by centralised task forces through which funding is likely to be channelled. In Sri Lanka, these agencies included the Urban Development Authority (UDA), Coastal Conservation Authority (CCA), Central Environmental Agency (CEA), Road Development Authority (RDA), Municipal councils/ Pradeshiya Sabhas.

125. Identify early the national and local actors responsible for building permits, urban planning and land administration; identify non-governmental organisations with knowledge of the pre-existing urban context, disaster response and risk reduction such as civil defence, universities, development organisations, community based organisations.

126. Before the Tsunami the National Disaster Management Centre consisted of a handful of officials and telephones in a small government building. By mid-2005, a new agency had been established to handle disasters and preparedness⁵².

127. National and regional capacity to manage a response evolves quickly after disasters and capacity will be established in disaster prone areas. Maintain an ongoing awareness of relevant capacities.

128. To follow up on these issues in the emergency phase as an individual programme manager is overwhelming. Always lobby the cluster or sector co-ordinator to follow up on identifying and building networks of partners.

Selected case studies

Introduction

- Humanitarian crisis?
- Challenges
- Differences
 - Shelter
- Stakeholders
- Coordination
- Information
- Implementation

Defining 1

- Livelihoods 1.1
- Population 1.2
- Targeting 1.3

Combining 2

- Assistance 2.1
- Combination 2.2
- SWOT 2.3

Case studies 2.4

Standards 3

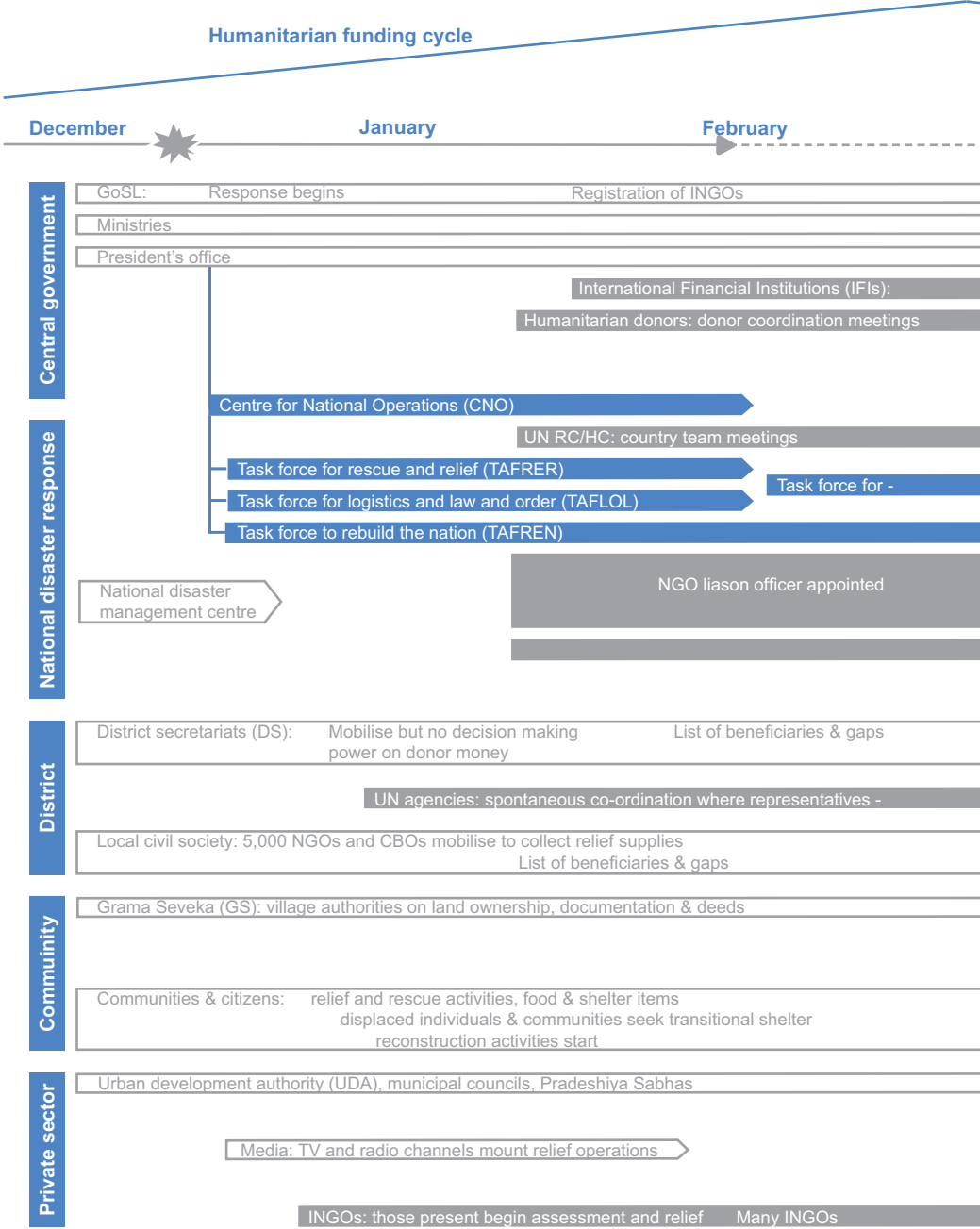
- Incorporation 3.1
- Frameworks 3.2

Resources

- Notes
- Appendices

Urban shelter guidelines: launch edition

Diagram 2.4.3 Sri Lankan response task forces



Rubble removal: Muzafarabad, Pakistan, 2005

129. For more detailed guidelines on dealing with building waste see 'A Brief Guide to the Management of Building Waste Materials in Emergencies'⁵⁰.

130. After earthquakes and conflict, damage to densely packed and multi-storey buildings in urban areas may result in huge quantities of rubble. Evidence from Pakistan in 2005 suggests that this creates a physical and psychological barrier to recovery and reconstruction for citizens and the local administration so clearance should prioritise:

- ▶ access for immediate relief;
- ▶ positive action and/or income generation through recovery of materials for rehabilitation and reconstruction; and
- ▶ reduction of health and environmental risks, land or landfill space taken up for dumping and double handling of waste.

131. These are reproduced from Shelter Centre and ProActNetwork's guidelines⁵¹.

132. The following three principles for rubble removal have come from the local authority (Mayor Zahid Amin), and OFDA's implementing partner, IOM, in Muzafarabad.

- ▶ Think about rubble immediately. The assessment of rubble should happen as soon as possible after disaster strikes. The following questions should be asked:
 - ▶ Where is it?
 - ▶ Approximately what is its volume?
 - ▶ Who has the equipment and people to move it?
 - ▶ Which donors will fund rubble removal?
- ▶ Plan for spaces to store and shift rubble. A more detailed understanding of the rubble type, amount and disposal options is needed so that safe temporary staging sites can be established and the content can be recycled where possible, crushed or disposed to a safe location.
- ▶ Take account of damaged and unsafe buildings that are still standing. Buildings may have to be knocked down before reconstruction can start. The volume of rubble from these structures should also be included in calculations. At the same time, be aware that unsafe buildings are not always surveyed properly or destroyed because they can be painted or repaired and represent a big asset for homeowners and landlords.

133. In Muzafarabad rubble was transferred by truck to a new city park that was under construction before the earthquake. This meant that rubble was not dumped directly into the river which can cause pollution and unexpected new flooding patterns in urban areas. Surface water drainage is often blocked, first by the disaster, then by people dumping rubble so be aware of sudden water from monsoons and snow melts as snow may mask the problem until thaw.

Rubble Clearance Checklist

134. Look for technical capacity in local authorities, the private sector and NGOs to do the following.

- ▶ Estimate rubble quantity.
- ▶ Plan logistics, such as number of trucks, number of journeys, time and labour; consider process and scale as few understand quite what is involved in terms of managing and total volume, for example what this will do to the availability of transport assets.
- ▶ Identify the type of rubble: what are the written building codes and what are the typical unwritten building practices in the area? What is likely to be in the rubble? What will people use to rebuild? Stone and burnt brick can be re-used. Cut timber can be reclaimed but may be less easy to reuse for construction. Reinforced concrete varies in quality: high quality aggregate could be used for new concrete, poor concrete pulverises easily and cannot be used for new construction but could be used in construction of roads. Pre-disaster concrete quality depends on building practice and the quality of raw materials including sand, preferably not contaminated with salt, and water, good quality concrete needs very good quality water. Reinforcement bar (re-bar) can nearly always be recovered and metal may have a high value relative to the opportunity cost of salvaging it.
- ▶ Find and train people to monitor, direct and supervise the ongoing rubble clearance to reconstruction process across a large area.
- ▶ Consider implementing cash for work to support livelihood recovery but remember that there is a balance between using manual labour and using equipment. Some rubble needs to be removed too quickly to use only manual labour but involving people in public works projects for clearance has psychological and livelihood benefits. Using heavy equipment to remove rubble may

Introduction

Humanitarian crisis?

Challenges

Differences

Shelter

Stakeholders

Coordination

Information

Implementation

Defining 1

Livelihoods 1.1

Population 1.2

Targeting 1.3

Combining 2

Assistance 2.1

Combination 2.2

SWOT 2.3

Case studies 2.4

Standards 3

Incorporation 3.1

Frameworks 3.2

Resources

Notes

Appendices

also destroy important plot boundaries, require good access and a power supply.

- ▶ Ensure safe and healthy practice for working with rubble. Dust is hazardous and piles of rubble can slip and cause injury. It is useful in any health and safety plan to speak to people about their attitudes to construction safety and decide with them which are the simplest, most feasible changes that will have the biggest impact on health and safety. Will people wear boots, gloves, high visibility vests, hard hats, face masks, accept a tetanus jab or welcome driver training? Can you use and supervise systematic guidance to limit the height or piles of rubble, make walkways safe?

Additional points for strategy discussion

- ▶ What should be done when buried valuables are uncovered?
- ▶ What are the private versus public property issues? Individual family private property should be included in rubble clearance projects. Rubble is all some families have left, and it is what they will begin their reconstruction with, so supporting materials recovery is extremely important as the first act of reconstruction, for example with tools. Clearance is often sporadic and patchy, with several ministries responsible for clearing a government building, or many owners involved in an apartment.
- ▶ Who gets the benefit of recyclables such as iron or wood, particularly when the rubble is taken off private or public property?
- ▶ How are property plots demarcated?
- ▶ Is it possible to access land and paths in order to get started with clearance?
- ▶ What should be done when body parts are found?

Standards

agreeing upon standards in support of legal frameworks

135. Shelter and settlement interventions in urban contexts are guided by different sets of standards. Standards are based on principles derived from the national and international legal framework of humanitarian action (see pages 112 and 113).

136. This chapter outlines how standards and relevant legal norms relate to each other as well as to other issues of reconstruction and planning in shelter and settlement interventions.

137. Figure 3.1.1 (adapted from 'Transitional settlement and reconstruction after natural disasters, pp.14) illustrates the interaction between legal frameworks, standards and programming for implementing of shelter and settlement interventions.

3.1 Incorporation: what about standards?

138. This section explores how standards, rights and planning processes are related and inform each other. It will become clear that standards and rights influence decisions on how to implement humanitarian shelter and settlement interventions as well as the definition of benchmarks and indicators to determine aims and success.

Humanitarian standards

139. Meeting standards for humanitarian response is a process of ensuring that the shelter and settlement interventions:

- ▶ are in accordance with national law;
- ▶ respond to gaps in national law with recourse to international humanitarian law (see Transitional settlement and reconstruction after natural disasters pp13⁵³); and
- ▶ deliver equitable, consistent and appropriate support to affected populations.

140. Appendix E provides further detailed information on humanitarian principles and standards applicable in the context of urban emergency settings.

Meeting humanitarian standards

Introduction

- Humanitarian crisis?
- Challenges
- Differences
 - Shelter
- Stakeholders
- Coordination
- Information
- Implementation

Defining 1

- Livelihoods 1.1
- Population 1.2
- Targeting 1.3

Assistance 2.1

Combination 2.2

SWOT 2.3

Case studies 2.4

Standards 3

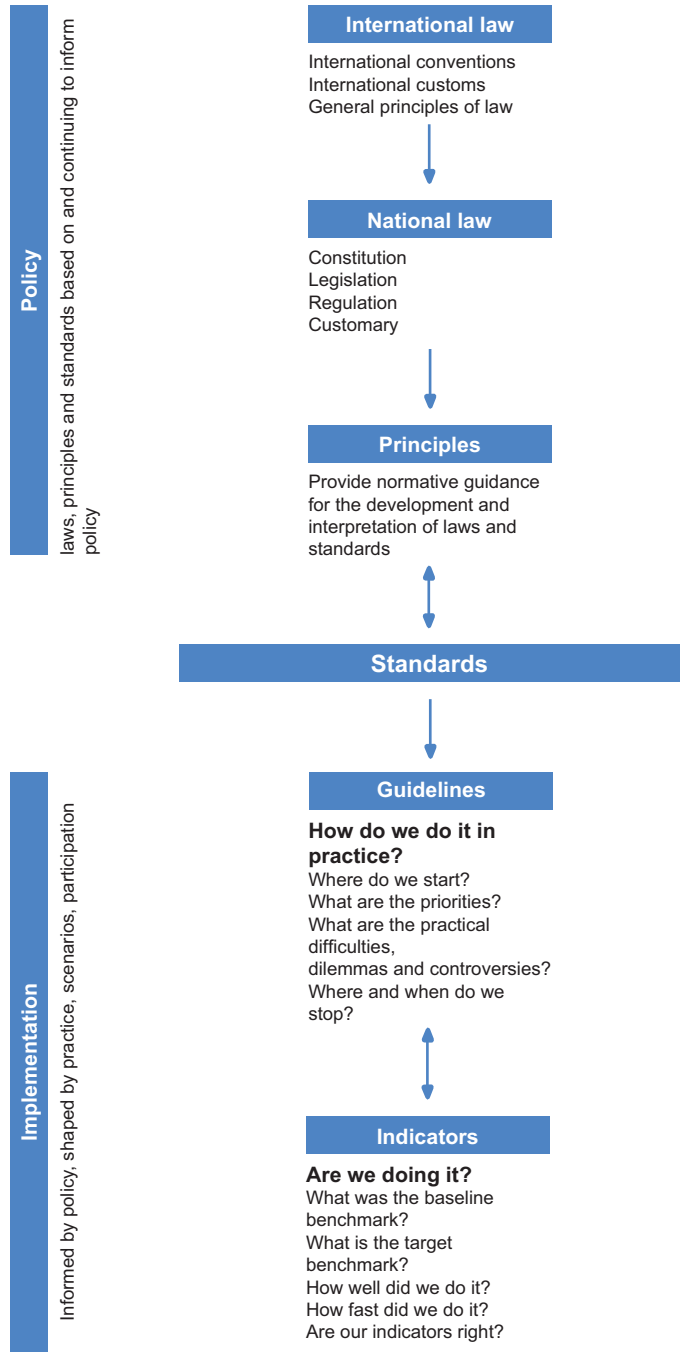
Incorporation 3.1

Frameworks 3.2

Resources

- Notes
- Appendices

Diagram 3.1.1
Wider context
of humanitarian
standards



Reconstruction and urban planning standards

141. Urban humanitarian response takes place in a context of national and municipal policies, institutions, processes and expectations. Table 3.2.1 lists all the Sphere standards and shows that issues of reconstruction and urban planning relate to other sectors, not just shelter and settlement. Urban planning and reconstruction will, among others, have an impact on

- ▶ **Conflict:** urban planning standards, before and after conflict, may be related to the ability of the authorities to maintain order and control. For example, in Lebanon (page 100) the Nahr el Bared camp had developed with narrow alleys and restricted vehicle access. During discussions about opening the space and increasing street dimensions for reconstruction, some expressed concern that narrow routes would block views and prevent access by military vehicles because perhaps the development of informal urban settlements is shaped by the desire to create security and privacy.
- ▶ **Natural disasters and hazard resistance:** reconstruction standards set for housing and related services in urban areas are often an issue, even in non-disaster circumstances, because they tend to be unaffordable for many of the urban poor. After disasters, there is often a tension between achieving high levels of “standardised” disaster-resistance and households being able to afford to build to this level now and maintain it later. This tension is magnified if assistance only reaches a small percentage of a population regularly affected by disasters.
- ▶ **Cross-cutting impacts of shelter:** indicators (and appropriate benchmarks) that emerge from standards are context specific. For example, figures for area per person may not be transferable between countries, cities or disasters (‘Lost in translation’, page 115). Area per person may also be difficult to benchmark and track in an urban setting.

Introduction

- Humanitarian crisis?
- Challenges
- Differences
- Shelter
- Stakeholders
- Coordination
- Information
- Implementation

Defining 1

- Livelihoods 1.1
- Population 1.2
- Targeting 1.3
- Assistance 2.1
- Combination 2.2
- SWOT 2.3
- Case studies 2.4

Standards 3

- Incorporation 3.1
- Frameworks 3.2

Resources

- Notes
- Appendices

Table 3.1.1: Challenges posed for setting standards in shelter intervention

Location	Description	Indicator: covered living area/person			Shelter pack
		Target benchmark: pre displacement	Baseline benchmark: while hosting IDPs	Result: after intervention	
CARE Goma (2009) ⁵⁴	Conflict, displacement to urban areas. Extension kits distributed to host families with rent free agreements between hosts and hosted	3.3m2 per person*	1.5m2 per person	2.25m2 per person	11.5 m2 extensions, \$365 per family
Johannesburg (2009) ⁵⁵	Economic crisis and intra urban conflict, displacement to urban areas. Rent subsidy for 6 months	The covered space indicator is extremely difficult to estimate and monitor in an urban setting when dealing with 5,000 people in private rental accommodation			Rent subsidy, \$120 per person per month**

*Care’s evaluation also noted land prices (\$8-20 per m² Based on Kasika southern and northern prices respectively: \$4,000 or \$10,000 for a 500m² plot) and typical rents (\$0.40-\$1.20 per m² per month).

**Based on ZAR30/person/day.

A broad spectrum of rights

142. The Johannesburg intervention (see page 94) recognises that the legal framework of humanitarian standards (see Table 3.2.1) covers a broad spectrum of rights.

Impact of addressing recipients rights

143. The impact of providing urban shelter to vulnerable displaced people directly addresses these rights by:

- ▶ reducing the prevalence of security risks; particularly SGBV, exploitation and trafficking;
- ▶ enhancing their ability to achieve informal and formal referrals (also see MSF’s referral tool⁵⁶);
- ▶ allowing access to services including education and health; and
- ▶ enabling livelihoods and access to other services that are facilitated by having an address e.g. opening a bank account.

Humanitarian benchmarks and indicators	<p>Humanitarian benchmarks in an urban context</p> <p>144. These guidelines do not give benchmarks for urban humanitarian shelter or reconstruction but remind readers of the legal framework and Sphere standards (3.2.1 and 3.2.2) that should be observed when agreeing indicators and benchmarks for interventions in:</p> <ul style="list-style-type: none"> ▶ urban shelter and settlement; ▶ supporting host community infrastructure and services; and ▶ building humanitarian legacy for risk reduction and sustainable urbanisation. <p>145. Informing the development of benchmarks and indicators, humanitarian standards and rights influence negotiations within the urban humanitarian in respect to a variety of stakeholders and aspects:</p>	<p>Introduction</p> <p>Humanitarian crisis?</p> <p>Challenges</p> <p>Differences</p> <p>Shelter</p> <p>Stakeholders</p> <p>Coordination</p> <p>Information</p> <p>Implementation</p>
Coordination of standards	<p>146. Coordination: agreeing indicators (and appropriate benchmarks) is a collective effort and good practice on how standards are designed and agreed upon is transferable⁵⁷.</p>	<p>Defining 1</p>
Governance and funding	<p>147. Governance and funding: there may be a difficult relationship between realistic benchmarks, standards set by humanitarian donors and the systems of governance required for implementation. Because of this, cost-effective interventions in urban areas need to be directed to:</p> <ul style="list-style-type: none"> ▶ existing shelter options such as host families, private rental arrangements; ▶ advocacy, particularly where governments are stable and accountable and have predictable revenue, for example lobbying for the use of public land and buildings; and ▶ training, additional funding and civil society partnerships where governments are facing instability and/or severe lack of revenue and capacity. 	<p>Livelihoods 1.1</p> <p>Population 1.2</p> <p>Targeting 1.3</p> <p>Assistance 2.1</p> <p>Combination 2.2</p> <p>SWOT 2.3</p> <p>Case studies 2.4</p>
Humanitarian donors	<p>148. Humanitarian donors: good donors know that compliance with standards is not possible without the involvement of affected populations and they expect agencies to:</p> <ul style="list-style-type: none"> ▶ demonstrate compliance with standards; and ▶ show evidence of agreement on indicators and benchmarks through coordination between all stakeholders, including humanitarian agencies AND affected populations. 	<p>Standards 3</p> <p>Incorporation 3.1</p> <p>Frameworks 3.2</p> <p>Resources</p> <p>Notes</p> <p>Appendices</p>

Coping strategies and risk reduction

149. Coping strategies and risk reduction: agreeing indicators (and appropriate benchmarks) requires background knowledge. Recent research in Dhaka⁵⁸ has shown that householders adopted “grass roots” coping mechanisms to modify their dwellings in the face of flooding. The relationship between humanitarian benchmarks and affordable modifications should be explored. The evaluation of CARE’s work in Goma⁵⁹ carefully does this in describing housing before and after IDPs were hosted (see the table above).

Building codes and enforcement

150. Building codes and enforcement: minimum humanitarian standards may be quickly superseded in urban areas by building codes, bylaws and other regulations and/or the requirements of lenders (IFIs and national banks). However, formal building codes:

- ▶ may not provide for disaster resistance;
- ▶ may not reflect typical, affordable construction practice; and
- ▶ may not be enforced by the authorities.

151. In this case, the indicators and appropriate benchmarks emerging from humanitarian standards should seek the difficult middle ground between appropriate and safe construction, formal approval and mechanisms for community monitoring.

Note: Lost in translation

152. Much attention is given to numbers in the Sphere Humanitarian Charter, for example, 3.5m² per person of covered living space but this is NOT a Sphere Standard.

153. In fact, the standard for covered living space is to ensure: people have sufficient covered space to provide dignified accommodation where essential household activities can be satisfactorily undertaken and livelihood support activities can be pursued as required.

154. “m²/person” is an indicator and “3.5” is the target benchmark that Sphere Guidelines advise as a minimum.

155. So, while we should not forget that 3.5m²/person is very little space to live in, the guidelines go on to say that: “If 3.5m² per person cannot be achieved, or is in excess of the typical space used by the affected or neighbouring population, consideration should be given to the impact on dignity, health and privacy of a reduced covered area. A decision to provide less than 3.5m² per person should be highlighted, along with

Incorporation: what about standards?

measures to mitigate any adverse affects on the affected population.”

156. This number should be evaluated within the context observed in the field because it is part of the process that all stakeholders must go through to arrive at a context specific and appropriate benchmark.

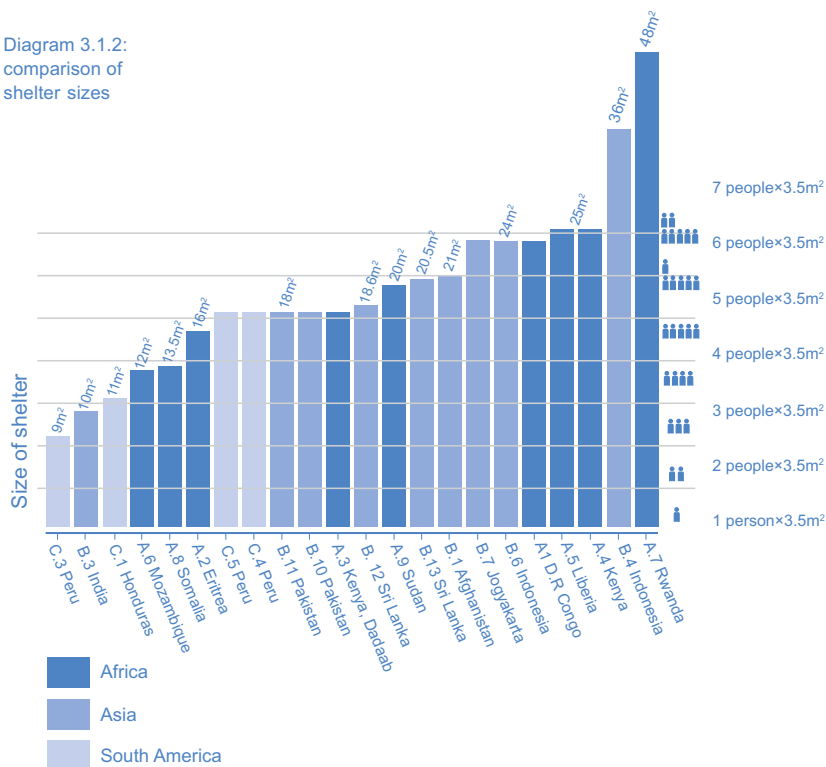
157. To illustrate this, Shelter Projects 2008⁶⁰, p. viii, gives a comparison between case studies against the Sphere benchmark of 3.5m²/person covered living space.

Case study

A comparison of shelter sizes

158. The following chart shows sizes of the shelters in the case studies in comparison with the suggested allocation of 3.5m² per person. Note that smaller shelters are often constructed after assessment of local and host population standards, as well as what is practically possible. Shelter size is not necessarily a good indicator of the quality of a shelter programme.

Diagram 3.1.2: comparison of shelter sizes



Introduction

- Humanitarian crisis?
- Challenges
- Differences
- Shelter
- Stakeholders
- Coordination
- Information
- Implementation

Defining 1

- Livelihoods 1.1
- Population 1.2
- Targeting 1.3

Assistance 2.1

- Combination 2.2
- SWOT 2.3
- Case studies 2.4

Standards 3

Incorporation 3.1

- Frameworks 3.2

Resources

- Notes
- Appendices

3.2 Frameworks: Legal framework and humanitarian standards

159. There are a number of international and regional human rights instruments that form the legal framework for Housing, Land and Property (HLP) issues in humanitarian action in urban and peri-urban areas (see also appendix E). In conflict situations, international humanitarian law provides specific norms of relevance to HLP issues, complemented by human rights law. Humanitarian standards give practical expression to the legal framework. Table 3.2.1 and 3.2.2 below list and describe the most important standards for implementing humanitarian programmes in the shelter sector.

Legal Framework

160. Below is a concise overview of the rights most relevant to humanitarian activities in the shelter sector will be provided. The overview should be read in conjunction with Appendix E, including further references.

The right to adequate housing in context

161. The human right to adequate housing is one of the central norms for shelter interventions, since the concept of adequacy implies several important aspects of shelter interventions, beyond providing affected populations merely with roofs over their heads. Moreover, the right to adequate housing cannot be viewed in isolation from other human rights contained in the 'International Bill of Human Rights'⁶¹ and other applicable instruments⁶².

162. The right is codified in art. 11 (1) International Covenant on Economic, Social and Cultural Rights (ICESCR)⁶³ and derives from the right to an adequate standard of living. It is directly linked to the right to food and clothing and an improvement of living conditions (art. 11 (1) ICESCR) and indirectly to other human rights, such as the right to life (art. 6 ICCPR) and non-discrimination clauses (art. 2(2), 3 ICESCR, art. 3 ICCPR, art. 2 CRC).

Factors implied by the right to housing

163. Housing is 'adequate' when it is affordable, accessible and secure, in terms of legal and physical security. Other factors implied by the right to adequate housing include⁶⁴:

- ▶ availability of services, materials, facilities and infrastructure: e.g. sustainable access to natural and common resources, safe drinking water, energy for cooking, heating and lighting, sanitation and washing facilities, means of food storage, disposal, and site drainage;

- ▶ habitability in terms of adequate space and protection from cold, damp, heat, rain, wind or other threats to health, structural hazards and disease vectors;
- ▶ adequate location that provides access to health-care services, schools, child-care centres, other social facilities and to livelihood opportunities; and
- ▶ cultural adequacy entails that construction, materials and policies should enable the expression of cultural identity and diversity of housing.

Forced evictions and international humanitarian law

164. Everyone enjoying the right to housing also has the right to be protected against arbitrary displacement from their homes, places of habitual residence and/or land (forced eviction)⁶⁵. In situations of conflict the prohibition of indiscriminate armed attacks on civilians is of particular relevance (art. 51 Protocol I to Geneva Conventions)⁶⁶.

Humanitarian Standards

165. The following table 3.2.1 lists and describes standards for shelter and settlement as developed by the Sphere Project. It should be read in conjunction with Appendix E, specifically c)-f).

Table 3.2.1 sphere standards in shelter and settlement

Table 3.2.1: Sphere standards in shelter & settlement

<i>Sphere standards</i> ⁶⁷	<i>Description</i>
Strategic planning	Prioritise existing shelter and settlement solutions (return/hosting etc) and ensure security, health, safety and well-being of the affected population
Physical planning	Use local physical planning practices, enable safe and secure access to and use of shelters and essential services and facilities, ensure appropriate privacy and separation between individual household shelters (benchmark given in guidelines is 45m ² per person)
Covered living space	Dufficient covered space to provide dignified accommodation and space for household and livelihood activities (benchmark given in guidelines is 3.5m ² per person)

Introduction

- Humanitarian crisis?
- Challenges
- Differences
- Shelter
- Stakeholders
- Coordination
- Information
- Implementation

Defining 1

- Livelihoods 1.1
- Population 1.2
- Targeting 1.3

- Assistance 2.1
- Combination 2.2
- SWOT 2.3
- Case studies 2.4

Standards 3

- Incorporation 3.1
- Frameworks 3.2

Resources

- Notes
- Appendices

Urban shelter guidelines: launch edition

Design	Acceptable to the affected population, sufficient thermal comfort, fresh air and protection from the climate for dignity, health, safety and well-being
Construction	In accordance with safe local building practices and maximises local livelihood opportunities
Environmental impact	Minimise adverse impact on the environment of material sourcing and construction techniques

166. The table on the next page lists and describes standards for reconstruction and urban planning. The three columns stand next to each other for comparative purposes. A horizontally linked dimension of meaning is not intended. Please read in conjunction with Appendix E of the Pinheiro principles⁶⁸.

Table 3.2.2: standards for reconstruction and urban planning

Humanitarian standards	(Re)construction Standards	Urban planning standards	
Shelter, settlement and non-food items	Land and building tenure: land administration and records of registration, legal framework for resolving disputes, tenancy agreements	National housing and urbanisation policies: national strategies, different levels of decentralised administration and devolved decision-making power, participatory approaches or budgeting, community consultation	Introduction
Food Security, Nutrition and Food Aid			Humanitarian crisis?
Health Services	Building codes: structural design codes, RC design, seismic design codes, climatic design, typical design practices and processes, hazard maps	International principles, indicators and checklists: Sustainable Urbanisation Principles (UN-HABITAT), Child Friendly Cities (UNICEF), neighbourhood certification schemes (BREEAM, LEED)	Challenges
Education in emergencies			Differences
Water Supply, Sanitation and Hygiene Promotion	Certification and enforcement systems: building permits, licences and fees, building control authorities, health and safety regulations, engineers' and architects' professional associations, accreditation of trades and construction skills, typical enforcement practices and processes	Urban and peri-urban land use: zoning and regulation, hazard maps, topography and gradients, water ways and flood plains, rural and agricultural land uses, commercial, industrial and market spaces	Shelter
	Contractors: standard contracts and material specifications, typical on-site contractor practice and construction techniques	Transport: topography, zoning and settlement patterns, locations of markets, health, education and public transport points, employment opportunities and affordable housing, planning priorities and finance, agendas of lenders	Stakeholders
	Large-scale, commercial developers: perceptions and expectations of cost, quality and comfort/safety, snagging and post-hoc quality assurance, liability arrangements	Regional and urban water supply and sanitation: formal water networks, informal trade, private and public providers, solid waste and waste water treatment and disposal, planning priorities and finance, agenda of lenders	Coordination
	Home-owners: perceptions and expectations of quality, comfort/safety, capital and running costs, snagging and post-hoc quality assurance, loan conditions for housing credit		Information
	Non-owners: perceptions and expectations of quality, comfort/safety in rental market and social housing, typical processes of upgrading of shelter, investment in shelter and perceived vulnerability of tenure status		Implementation
			Defining 1
			Livelihoods 1.1
			Population 1.2
			Targeting 1.3
			Assistance 2.1
			Combination 2.2
			SWOT 2.3
			Case studies 2.4
			Standards 3
			Incorporation 3.1
			Frameworks 3.2
			Resources
			Notes
			Appendices

Notes

Introduction

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Introduction

Humanitarian crisis?

Challenges

Differences

Shelter

Stakeholders

Coordination

Information

Implementation

Defining 1

Livelihoods 1.1

Population 1.2

Targeting 1.3

Combining 2

Assistance 2.1

Combination 2.2

SWOT 2.3

Case studies 2.4

Standards 3

Incorporation 3.1

Frameworks 3.2

Resources

Notes

Appendices

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Introduction

Humanitarian crisis?

Challenges

Differences

Shelter

Stakeholders

Coordination

Information

Implementation

Defining 1

Livelihoods 1.1

Population 1.2

Targeting 1.3

Combining 2

Assistance 2.1

Combination 2.2

SWOT 2.3

Case studies 2.4

Standards 3

Incorporation 3.1

Frameworks 3.2

Resources

Notes

Appendices

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Introduction

Humanitarian crisis?

Challenges

Differences

Shelter

Stakeholders

Coordination

Information

Implementation

Defining 1

Livelihoods 1.1

Population 1.2

Targeting 1.3

Combining 2

Assistance 2.1

Combination 2.2

SWOT 2.3

Case studies 2.4

Standards 3

Incorporation 3.1

Frameworks 3.2

Resources

Notes

Appendices

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Appendices

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Introduction

Humanitarian crisis?

Challenges

Differences

Shelter

Stakeholders

Coordination

Information

Implementation

Defining 1

Livelihoods 1.1

Population 1.2

Targeting 1.3

Combining 2

Assistance 2.1

Combination 2.2

SWOT 2.3

Case studies 2.4

Standards 3

Incorporation 3.1

Frameworks 3.2

Resources

Notes

Appendices

Appendices

Appendix A: available profiling methods^{69,70,71}

Table A1: data collection methodologies strengths and weaknesses⁷²

Quantitative methods		
Desk review – research and collation of secondary data		
<i>Rapid population estimations</i>	<i>Surveys</i>	
Area survey using aerial/satellite imaging Flow monitoring Dwelling count Head count Dwelling/head count using sampling Methods	Household survey Population census	
Qualitative methods		
<i>Interviews</i>	<i>Participatory approaches</i>	
Focus group discussions Key informant interviews Semi-structured interviews	Workshops and meetings Resource and risk mapping, visualising and histories	
Data sources		
<i>Resource</i>	<i>Strengths</i>	<i>Weaknesses</i>
Census (national household survey)	National coverage and potential for disaggregation at national level Good for basic demographic data on people and households and key social indicators (housing conditions and access to basic infrastructure) Good for long term urbanisation trends	Disaggregation at city level may not be possible Estimates for urban populations sensitive to definitions of boundaries May not cover unincorporated shanty areas, mobile populations, like temporary or circular migrants in urban areas and homeless people May not be up to date as implemented infrequently and takes time to process Does not include income or expenditure data Not good as a basis for targeting need

Appendices

Government/NGO household/poverty/nutrition/health surveys

Gives indication of chronic poverty and poverty lines in urban areas

provides information on outcomes of livelihood strategies

Table A2: Data collection methodologies strengths and weaknesses⁷²

	Strengths	Weaknesses
Emergency Market Mapping & Analysis	<ul style="list-style-type: none"> ▶ Designed for emergency context and building an understanding of economic structures and flows 	<ul style="list-style-type: none"> ▶ May be an unfamiliar and complex tool
Participatory workshops, group discussions	<ul style="list-style-type: none"> ▶ Urban areas may have established institutions and services to engage with: <ul style="list-style-type: none"> ▶ schools; ▶ health centres; ▶ community centres; ▶ places of worship; ▶ residents' associations; ▶ women's collectives; and ▶ NGOs with long experience. 	<ul style="list-style-type: none"> ▶ May be limited social interaction between family units in a given geographical area ▶ May be limited involvement in neighbourhood activities ▶ Vulnerable groups and those already excluded from institutions and services may be overlooked
Focus groups	<ul style="list-style-type: none"> ▶ Can provide basic info even if no direct access or localisation is not precisely known 	<ul style="list-style-type: none"> ▶ Sometimes more difficult in urban areas for people in group interviews to talk generally about their area so extrapolating findings not possible/reliable
Interviews with local gatekeepers, key informants, community leaders	<ul style="list-style-type: none"> ▶ Traditional and customary leadership structures may still operate in urban areas ▶ Government or municipal authorities ▶ Urban service providers 	<ul style="list-style-type: none"> ▶ Possibly not a single obvious leader or 'mobiliser' to bring people together for discussion ▶ Municipal authorities may have little contact with the population ▶ Risk of selection bias (snowball sample)

Introduction

Humanitarian crisis?

Challenges

Differences

Shelter

Stakeholders

Coordination

Information

Implementation

Defining 1

Livelihoods 1.1

Population 1.2

Targeting 1.3

Combining 2

Assistance 2.1

Combination 2.2

SWOT 2.3

Case studies 2.4

Standards 3

Incorporation 3.1

Frameworks 3.2

Resources

Notes

Appendices

Table A3: data sources and other resources strengths and weaknesses⁷³

	Strengths	Weaknesses
Census (national household survey)	<ul style="list-style-type: none"> ▶ National coverage and potential for disaggregation at national level ▶ Good for basic demographic data on people and households and key social indicators (housing conditions and access to basic infrastructure) ▶ Good for long term urbanisation trends 	<ul style="list-style-type: none"> ▶ Disaggregation at city level may not be possible ▶ Estimates for urban populations sensitive to definitions of boundaries ▶ May not cover unincorporated shanty areas, mobile populations, like temporary or circular migrants in urban areas and homeless people ▶ May not be up to date as implemented infrequently and take time to process ▶ Does not include income or expenditure data ▶ Not good as a basis for targeting need
Government/NGO household poverty/nutrition/health surveys	<ul style="list-style-type: none"> ▶ Gives indication of chronic poverty and poverty lines in urban areas 	<ul style="list-style-type: none"> ▶ Provides information on outcomes of livelihood strategies
Market surveys (labour, small and medium enterprises)	<ul style="list-style-type: none"> ▶ Provides information about livelihood activities: <ul style="list-style-type: none"> » levels and quality of employment and characteristics of the economic context 	<ul style="list-style-type: none"> ▶ Tends to focus on formal sector employment ▶ Design, quality and frequency of surveys variable
Local organisations	<ul style="list-style-type: none"> ▶ Urban areas may be a hub for universities and development agency office and already good knowledge of the context (essential for the analysis of data) 	<ul style="list-style-type: none"> ▶ Local organisations may be associated with particular groups/authorities
Local maps	<ul style="list-style-type: none"> ▶ May explain house address systems ▶ Useful for identifying centres, markets, institutions 	<ul style="list-style-type: none"> ▶ May not be up to date ▶ May not cover unincorporated slum or peri-urban areas
Commercially available data and maps	<ul style="list-style-type: none"> ▶ Allows cross-referencing 	<ul style="list-style-type: none"> ▶ Expensive data protection issues
Google Earth	<ul style="list-style-type: none"> ▶ Highly detailed, especially in urban areas 	<ul style="list-style-type: none"> ▶ May not be up to date





Table A4: targeting assistance strengths and weaknesses

	Definition	Strengths	Weaknesses	
<i>Geographic targeting</i>	Beneficiaries are selected on basis of geographic location by poorest or most vulnerable districts	Easy and quick	Low targeting accuracy if vulnerable households are widely dispersed	<p>Introduction</p> <ul style="list-style-type: none"> Humanitarian crisis? Challenges Differences Shelter Stakeholders Coordination Information Implementation <p>Defining 1</p> <ul style="list-style-type: none"> Livelihoods 1.1 Population 1.2 Targeting 1.3 <p>Combining 2</p> <ul style="list-style-type: none"> Assistance 2.1 Combination 2.2 SWOT 2.3 Case studies 2.4 <p>Standards 3</p> <ul style="list-style-type: none"> Incorporation 3.1 Frameworks 3.2 <p>Resources</p> <ul style="list-style-type: none"> Notes Appendices
<i>Self-targeting</i>	Beneficiaries 'self-select' to participate. Aspects of programme design encourage target group to participate and others not to	Avoids time and resource expense	Risk of significant leakage of resources to those who are less vulnerable	
<i>Administrative targeting</i>	Beneficiaries are selected from a population list; the criteria used for selection differ by programme	Simple to use when accurate lists are available	Risk of exclusion if lists are incomplete or out of date (marginalised/ new arrivals)	
<i>Community-based targeting</i>	Distribution list is identified through community leaders' knowledge and criteria predetermined by community	Community engagement not restricted to small number of proxy targeting criteria	Prone to exclusion if community leaders favour one group over another, risk of exclusion and inclusion error when using single proxy targeting	
<i>Proxy targeting</i>	Beneficiaries are selected on basis of observable characteristics (e.g. gender of household head, unemployed, adolescent)	Easy to use if selection traits are obvious, Multi-proxy targeting increases accuracy but may be costlier than single proxy	Proxies may be difficult to observe objectively	
<i>Means testing</i>	Beneficiaries are selected on basis of income, expenditures, wealth or assets	High potential targeting accuracy	Time-/resource intensive, requires census of all potential beneficiaries	
<i>Institutional targeting</i>	Beneficiaries are selected based on affiliation with a selected institution	Relatively easy –beneficiaries already attend selected institutions	Excludes people who would be eligible but are not registered with targeted institutions	

Appendix B

The below table outlines available tools and handbooks and the level (household, community, city, national) that they apply.

Table B1:
available tools
and handbooks
and
the level
(household,
community, city,
national) that
they apply

				
	Household	City	Community	National
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IDMC, 2008. Guidance on Profiling Internally Displaced Persons. Available at: http://www.sheltercentre.org/library/guidance+profiling+internally+displaced+persons				✓
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Appendices



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Introduction

Humanitarian crisis?

Challenges

Differences

Shelter

Stakeholders

Coordination

Information

Implementation

Defining 1

Livelihoods 1.1

Population 1.2

Targeting 1.3

Combining 2

Assistance 2.1

Combination 2.2

SWOT 2.3

Case studies 2.4

Standards 3

Incorporation 3.1

Frameworks 3.2

Resources

Notes

Appendices

Urban shelter guidelines: launch edition



Household City Community National

Ashley, C. & Carney, D., 2007. Sustainable livelihoods: Lessons from early experience. Available at: http://www.proventionconsortium.org/themes/default/pdfs/tools_for_mainstreaming_GN10.pdf	✓	✓	✓
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Appendices



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Introduction

Humanitarian crisis?
Challenges
Differences
Shelter
Stakeholders
Coordination
Information
Implementation

Defining 1

Livelihoods 1.1
Population 1.2
Targeting 1.3

Combining 2

Assistance 2.1
Combination 2.2
SWOT 2.3
Case studies 2.4

Standards 3

Incorporation 3.1
Frameworks 3.2







Resources

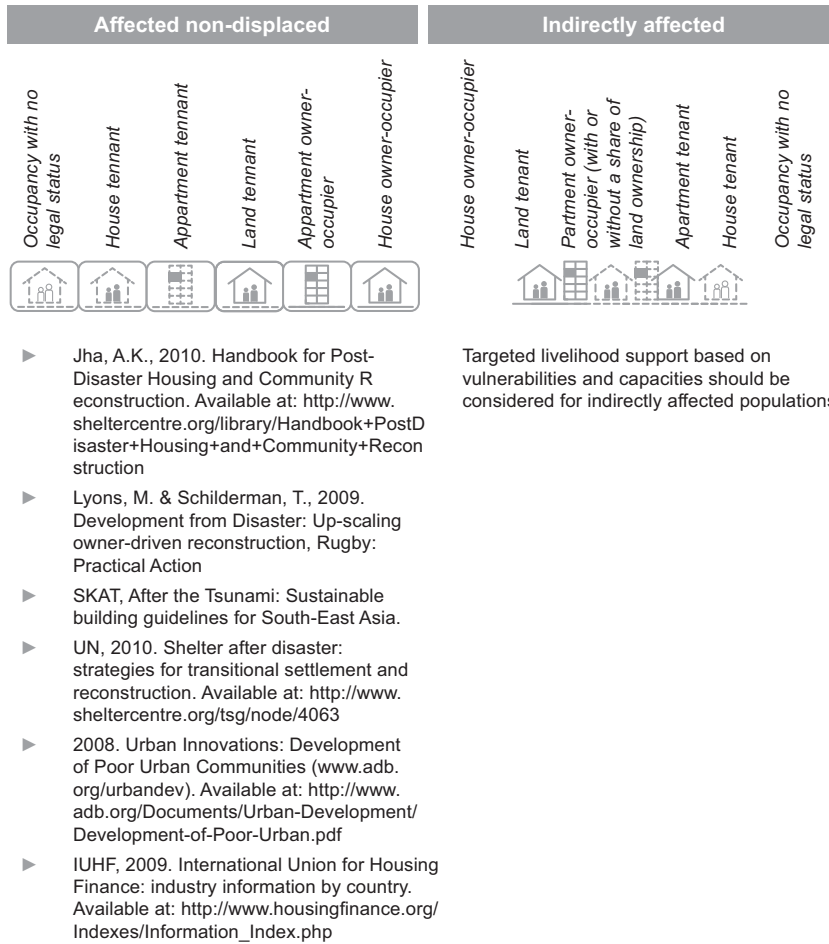
Notes

Appendices

Appendix C

Table C1: available guidance to target affected population

Affected displaced					
Urban self-settlement	Hosted families	Collective centres	Planned camps	Self-settled camps	Rural self-settlement
					
See Johannesburg case study P 94	See Goma case study P96	See Georgia case study P97	<ul style="list-style-type: none"> ▶ See specific guidance in: ▶ NRC 2008. Handbook for the Protection of Internally Displaced Persons ▶ Norwegian Refugee Council, 2008. Camp Management Toolkit. Available at: http://www.sheltercentre.org/library/camp+Management+Toolkit ▶ OXFAM, 2005. Transitional Settlement: Displaced Populations. Available at: http://www.sheltercentre.org/library/transitional+settlement+displaced+populations ▶ UN, 2008. Transitional settlement and reconstruction after natural disasters. Available at: http://www.sheltercentre.org/library/transitional+settlement+and+reconstruction+after+natural+disasters ▶ UNHCR, 2007. Handbook for Emergencies. Available at: http://www.sheltercentre.org/node/2990 		



Introduction

- Humanitarian crisis?
- Challenges
- Differences
- Shelter
- Stakeholders
- Coordination
- Information
- Implementation

Defining 1

- Livelihoods 1.1
- Population 1.2
- Targeting 1.3

Combining 2

- Assistance 2.1
- Combination 2.2
- SWOT 2.3
- Case studies 2.4

Standards 3

- Incorporation 3.1
- Frameworks 3.2








Resources

Notes

Appendices

Appendix D

Table D1: available guidance to implement the 18 assistance methods

Method	Description	Affected displaced
	Return and transit support items	▶ Ashmore, J. & Corsellis, T. eds., 2009. Selecting NFIs for Shelter. Available at: http://www.sheltercentre.org/library/Selecting+NFIs+Shelter . Ashmore, J. et al., 2009
	Household WASH support items	▶ Shelter Projects 2008. Available at: http://www.sheltercentre.org/library/Shelter+Projects+2008
	General household support items	▶ Vitale, "Mission Report: Shelter Assistance in the Commune of Karisimbi, Goma City, Democratic Republic of Congo"
	Household shelter construction support items	▶ Harry Jeene, Evaluation Project UMOJA: Care International, Goma, DR Congo, 2009 (RALSA FOUNDATION)
	Infrastructure and settlement planning support	▶ OXFAM, 2005. Transitional Settlement: Displaced Populations. Available at: http://www.sheltercentre.org/library/transitional+settlement+displaced+populations
		▶ UN, 2008. Transitional settlement and reconstruction after natural disasters. Available at: http://www.sheltercentre.org/library/transitional+settlement+and+reconstruction+after+natural+disasters
	Environmental and resource management	
	Supervision and technical expertise	

Affected non-displaced

Indirectly affected

Introduction

- Humanitarian crisis?
- Challenges
- Differences
- Shelter
- Stakeholders
- Coordination
- Information
- Implementation

- ▶ Shelter Centre and ProAct Network, 2009. A Brief Guide to the Management of Building Waste Materials in Emergencies. Available at: http://proactnetwork.org/proactwebsite/media/download/BriefTechnicalGuides/Waste_Guide.pdf
- ▶ Shelter Centre & ProAct Network, 2009. A Brief Guide to Asbestos in Emergencies: Safer Handling & Breaking the Cycle. Available at: http://proactnetwork.org/proactwebsite/media/download/BriefTechnicalGuides/Asbestos_in_Emergencies.pdf
- ▶ UN-HABITAT, 2002. The Global Campaign on Urban Governance: Concept Paper. Available at: <http://www.unhabitat.org/pmss/getPage.asp?page=bookView&book=1537>.
- ▶ Table 1, Page 26: checklist of good governance criteria
- ▶ World Bank, 2001. Upgrading Urban Communities: A Resource for Practitioners. Available at: <http://web.mit.edu/urbanupgrading/>. See Tools sections on these websites for checklists on participatory planning, background to housing policy and stakeholder analysis Commercial Tools for Assessing Neighbourhood Development:
- ▶ BREEAM Communities (UK) <http://www.breeam.org/page.jsp?id=117>
- ▶ LEED for neighbourhood development (USA) <http://www.usgbc.org/DisplayPage.aspx?CMSPageID=148>
- ▶ PEARL Community Guidelines (Abu Dhabi) http://www.estidama.org/workprogramme/communityguidelines_en_gb.aspx

Defining 1

- Livelihoods 1.1
- Population 1.2
- Targeting 1.3

Combining 2

- Assistance 2.1
- Combination 2.2
- SWOT 2.3
- Case studies 2.4

Standards 3

- Incorporation 3.1
- Frameworks 3.2


Resources

Notes

Appendices

- ▶ 2008. The role of environmental management and eco-engineering in disaster risk reduction and climate change adaptation. Available at: <http://proactnetwork.org/proactwebsite/index.php/en/policyresearchtoolsguidance/environmental-management-in-drr-a-cca>
P41: mentions urban hazard protection through zoning and planting
- ▶ World Bank, 2000. Environmental Strategies for Cities. <http://web.mit.edu/urbanupgrading/urbanenvironment/>
- ▶ <http://www.sheltercentre.org/library/search/results/design>
- ▶ <http://www.sheltercentre.org/library/search/results/non-engineered>

Urban shelter guidelines: launch edition

Method	Description	Affected displaced
	Legal and administrative expertise	<ul style="list-style-type: none">▶ COHRE, 2005. The Pinheiro Principles. Available at: http://www.sheltercentre.org/library/The+Pinheiro+Principles.▶ FAO, 2007. Housing and Property Restitution for Refugees and Displaced Persons Implementing the Pinheiro Principles. Available at: http://www.sheltercentre.org/library/Housing+and+Property+Restitution+Refugees+and+Displaced+Persons+Implementing+Pinheiro+Principles



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- ▶ GLTN, 2008. Secure Land Rights for All. Available at: <http://www.gltm.net/en/e-library/land-rights-and-records/secure-land-rights-for-all/details.html>. GLTN, Fitzpatrick, D., 2008. Guidelines on Addressing Land Issues after Natural Disasters. Available at: http://www.gltm.net/images/stories/downloads/guidelines_after_natural_disasters_draft.pdf
- ▶ GLTN, UN-HABITAT & Cluster Working Group on Early Recovery, 2009. Quick Guide to Post-Conflict Land Issues: Discussion Draft June 2009. Available at: http://www.gltm.net/images/stories/quick_guide_post-conflict_land_-_discussion_draft_june_2009.pdf
- ▶ USAID, 2005. Land and Conflict: a toolkit for intervention. Available at: <http://www.sheltercentre.org/library/Land+and+Conflict+a+toolkit+intervention>
- ▶ Geoffrey Payne and Associates: Land rites: Innovative approaches to secure tenure for the urban poor, DFID, London, 2001
- ▶ Geoffrey Payne (ed.): Land, Rights & Innovation, improving tenure security for the urban poor, ITDG Publishing, 2002

- ▶ http://www.habitatforhumanity.org.uk/lea_res_centre.htm
- ▶ P33 of Rajib Shaw, Noralene Uly, and Jennifer Baumwoll, eds., "Indigenous Knowledge for Disaster Risk Reduction: Good Practices and Lessons Learned from Experiences in the Asia-Pacific Region" (UN ISDR, 2008), http://www.unisdr.org/eng/about_isdr/isdr-publications/19-Indigenous_Knowledge-DRR/Indigenous_Knowledge-DRR.pdf

- ▶ <http://www.buildchange.org/resources.html>
- ▶ <http://www.nset.org.np/nset/php/trainings.php>
- ▶ <http://www.erra.pk/sectors/housing.asp>

Indirectly affected

Introduction

Humanitarian crisis?

Challenges

Differences

Shelter

Stakeholders

Coordination

Information

Implementation

Defining 1

Livelihoods 1.1

Population 1.2

Targeting 1.3

Combining 2

Assistance 2.1

Combination 2.2

SWOT 2.3

Case studies 2.4

Standards 3

Incorporation 3.1










Frameworks 3.2

Resources

Notes

Appendices

Urban shelter guidelines: launch edition

Method	Description	Affected displaced
	Community labour	▶ http://www.sheltercentre.org/library/transitional+settlement+displaced+populations
	Direct labour	▶ http://www.sheltercentre.org/library/transitional+settlement+displaced+populations
	Contract labour	▶ http://www.sheltercentre.org/library/transitional+settlement+displaced+populations
	Cash	
	Vouchers	
	Loans and credit	
	Insurance and guarantees	
	Market interventions	
	Self help	

Appendices

Affected non-displaced

Indirectly affected

▶ <http://www.sheltercentre.org/library/transitional+settlement+displaced+populations>

▶ <http://www.sheltercentre.org/library/transitional+settlement+displaced+populations>

▶ <http://www.sheltercentre.org/library/transitional+settlement+displaced+populations>

▶ Cordero, C., 2009. Effective Cash for Housing Programming: An Owner Driven Reconstruction Approach, Guidelines for planning and implementing Cash for Housing programs in post-disaster reconstruction. World Vision Doc OXFAM <http://www.sheltercentre.org/library/Banking+solutions+realtime+evaluation+UNHCRs+shelter+grant+programme+for+returning+displaced>

▶ Molly E. Hellmuth et al., eds., "Climate and Society No. 2 Index insurance and climate risk: Prospects for development and disaster management" (International Research Institute for Climate and Society, 2009), http://portal.iri.columbia.edu/portal/server.pt/gateway/PTARGS_0_5024_4201_0_0_18/Climate%20and%20Society%20Issue%20Number%202.pdf

Introduction

Humanitarian crisis?

Challenges

Differences

Shelter

Stakeholders

Coordination

Information

Implementation

Defining 1

Livelihoods 1.1

Population 1.2

Targeting 1.3

Combining 2

Assistance 2.1

Combination 2.2

SWOT 2.3

Case studies 2.4

Standards 3

Incorporation 3.1

Frameworks 3.2

Resources

Notes

Appendices

Appendix E

Housing, land and property (HLP) at a glance

This appendix gives you a brief overview over:

- ▶ what the HLP stands for;
- ▶ key terms used;
- ▶ some key aspects of HLP;
- ▶ HLP in the framework of durable solution;
- ▶ tenure and the Pinheiro Principles; and
- ▶ the checklist of “Housing, Land and Property Rights & Broader Land Issues” prepared for the humanitarian coordinators and residence coordinators

What do the H, the L and the P stand for?

The concept “housing, land and property” is used to include all residential sectors (i.e. owners, tenants, cooperative dwellers, customary land tenure owners and users, informal sector dwellers, and squatters). HLP derives from international human rights law.

HLP is a useful overall heading because it draws attention to three complementary sets of rights: housing rights, land rights and property rights. A broad interpretation of these rights enables humanitarian actors to ensure that the rights of vulnerable groups such as informal settlement residents, women and children, tenants and pastoralists are protected. Housing and land rights also protect tenants and dwellers without secure tenure.

Table E1: HLP definitions

	Some references to the legal framework	Characteristics	
<i>H: right to adequate housing</i>	<p>International Covenant on Economic, Social, and Cultural Rights Article 11</p> <p>(1) the right of everyone to an adequate standard of living for himself and his family, including:</p> <p>“adequate food; clothing and housing and to the continuous improvement of living conditions”</p> <p>The example is only one reference. A more comprehensive description is made in the OHCHR-UN-HABITAT publication “The Right to Adequate Housing”⁷⁴</p>	<p>Legal security of tenure;</p> <ul style="list-style-type: none"> ▶ affordability; ▶ habitability; ▶ accessibility; ▶ location; and ▶ cultural adequacy 	<p>Introduction</p> <p>Humanitarian crisis?</p> <p>Challenges</p> <p>Differences</p> <p>Shelter</p> <p>Stakeholders</p> <p>Coordination</p> <p>Information</p> <p>Implementation</p>
<i>L: land as a human right</i>	<p>Very simply said: “There is no human right to own land in international law”. But...land is essential to fulfil many other human rights: right to redress; right to livelihood, food and well-being; right to work; right to hold property/equal protection by the law; rights to home, security and freedom of movement; right to democratic governance; right to gender equality; right to racial equality; right to practise culture; right to land and agrarian reform; right to international support and cooperation (Wisborg 2006: 22) and van Banning 2002. For example, agrarian reform (which implies regulation of land rights) may be essential for a state to fulfil its obligations on the right to food (ICE-SCR 11.2) and equality of men and women in rural areas requires equal access to land (CEDAW, Article 14.2 See also Art 15 and 16)</p> <p>Further references:</p> <ul style="list-style-type: none"> ▶ Right of all peoples to pursue their economic, cultural and social goals, and manage and dispose of their resources as well as the right not to be deprived of its own means of subsistence, ICCPR art 1(2), ICESCR art. 1(2) ▶ Right to own property, Art 5(d)(v) ICERD; Art. 17 UDHR ▶ Rights of ownership and possession over the lands indigenous and tribal peoples traditionally occupy, article 14 ILO Convention No 169⁷⁵ ▶ Right to lands, territories and resources, art. 26 of UN Declaration on the Rights of Indigenous Peoples (2007)⁷⁶ ▶ Regional human rights instruments, such as the African Union (AU) Convention for the Protection and Assistance of Internally Displaced Persons in Africa (Kampala Convention), the European Convention on Human Rights (ECHR)⁷⁷, the American Convention on Human Rights (ACHR)⁷⁸, African Charter on Human and Peoples’ Rights (Banjul Charter)⁷⁹ ▶ Pinheiro Principles 2.2; Principle 9 of the Guiding Principles on Internal Displacement ▶ In addition, there are regional agreements such as the International Conference on the Great Lakes Region (ICGLR)⁸⁰ providing a regional platform for dialogue on HLP issues 		<p>Defining 1</p> <p>Livelihoods 1.1</p> <p>Population 1.2</p> <p>Targeting 1.3</p> <p>Combining 2</p> <p>Assistance 2.1</p> <p>Combination 2.2</p> <p>SWOT 2.3</p> <p>Case studies 2.4</p> <p>Standards 3</p> <p>Incorporation 3.1</p> <p>Frameworks 3.2</p> <p>Resources</p> <p>Notes</p> <p>Appendices</p>

<i>P: property as a human right</i>	Universal Declaration on Human Rights Article 17	Legal definitions of 'property' can vary e.g. Property is any physical or virtual entity that is owned by an individual. An owner of property has the right to consume, sell, mortgage, transfer and exchange his or her property
	(1) Everyone has the right to own property alone as well as in association with others	
	(2) No one shall be arbitrarily deprived of his property	Property rights govern who can do what with resources. They specify the claims and related obligations of different actors—individuals or groups—to the benefits of a resource

Key terms

Tenure: is the way in which rights to land and housing are organised. Land tenure determine who can use what resource of the land, for how long and under what conditions. Land tenure may be determined by statute (formal), agreed precedent or by customary practice (informal). Tenure takes a variety of forms, including rental (public and private) accommodation, cooperative housing, lease, owner-occupation, emergency housing and informal settlements, including occupation of land or property (squatting).

Security of tenure: is the legal right of all individuals to protection by the state against forced evictions from one's home or land. Security of tenure is an element of housing, land and property rights; it can be formal or customary and is valid during time of peace, during conflict and disaster. The form of tenure one had before the conflict is relevant to determine restitution possibilities after displacement. Security of tenure is often challenged by the reality on the ground and this is where HLP expertise is often needed to offer "a reasonable degree of security" to the shelter programmes (however HLP expertise needs to provide more than just "rubber stamping land titles"). Ensuring security of tenure for all is the cornerstone of any programme dealing with emergency or transitional shelter and housing reconstruction.

Informal tenure and occupancy with no legal status

Not all rights are formally recognised. In informal land tenure contexts (such as Africa where formal tenure covers only between 2 and 10 percent of the land (Deininger, K., 2003, Land Policies for Growth and Poverty Reduction, Washington DC, World Bank)) and where overlapping national and traditional legal systems may be used at the same time (legal pluralism), the situation can be particularly challenging.

While land titling (formalisation) is often perceived as a solution and a step towards modernisation, programmes need to be aware that this can have adverse consequences especially for the most vulnerable (women and poor) and lead to overlapping claims and ensuing conflict.

Formal tenure

Different individuals or groups may have different separate rights to the same piece of land or property (e.g. ownership right, use right, etc.); therefore formal land and property rights are usually conceived as a “bundle of rights” which can include:

Use rights:

- ▶ the right to use property or land
 - ▶ Usually associated with non-owners, private tenants, social-occupancy tenants and leaseholders

Control rights:

- ▶ the right to make decisions on how property or land should be used, the right to profit from activities on the land.
 - ▶ Usually associated with owners and freeholders and sometimes also with public bodies like planning authorities, especially where urban zoning is in place.

Transfer rights:

- ▶ the right to sell or mortgage the land or property, to convey to heirs and to reallocate use and control rights.
 - ▶ Associated with owners and freeholders.

In an urban context, the formal holders of these rights can usually be categorised as:

Private

- ▶ Individuals, a married couple, a group of people or collective, a corporate body, a private company, a housing association or a cooperative.

State/public

- ▶ National or local public sector authority or planning body.

Communal, collective

- ▶ Rights held jointly by a group of people. Members of other communities can be excluded.

Open access

- ▶ Specific rights are not assigned to any individual or group and no one can be excluded. Forests may be under open-access tenure.

Introduction

- Humanitarian crisis?
- Challenges
- Differences
- Shelter
- Stakeholders
- Coordination
- Information
- Implementation

Defining 1

- Livelihoods 1.1
- Population 1.2
- Targeting 1.3

Combining 2

- Assistance 2.1
- Combination 2.2
- SWOT 2.3
- Case studies 2.4

Standards 3

- Incorporation 3.1
- Frameworks 3.2

Resources

- Notes
- Appendices

Key aspects of HLP

HLP principles, practice and challenges in conflict situations: different types of HLP issues can arise during different phases of conflict. Common issues include: the destruction of housing, the denial of access to land or property (whether through force or through discriminatory legislation), non-recognition of HLP rights held under customary law (e.g. the peri-urban land or the mobility rights of pastoralists), forced evictions (including of informal settlement residents), secondary occupation, disinheritance of women or orphans etc. Restitution remains the preferred option for redressing violations of HLP rights within the full framework of durable solutions.

HLP policies in shelter programmes: there is a need to include HLP policies in shelter operations including checklists flagging potential HLP issues that shelter programmes need to take into consideration. Some of these include: clarifying land and property rights (particularly in countries with customary and statutory systems), protecting women and children from disinheritance, addressing secondary occupation and abandoned land, finding appropriate solutions for tenants, providing security of tenure for people without recognised land rights etc.

Land contributes to conflict: no durable solutions can be obtained without improving access to land and promoting security of tenure for all; securing HLP rights can foster economic development and strengthen livelihoods, preventing land grabbing and land disputes and ensuring access to land for women. Humanitarian organisations should consider themselves as actors for positive change in this.

Displacement, forced evictions and insecurity of tenure: in urban areas, insecurity of tenure will also affect those displaced to collective centres (owned by private or public bodies) and to host families (whose tenure may already be insecure). Vulnerable groups may be evicted from multiple locations, causing tremendous disruptions to lives and livelihoods.

Reconstruction and tenure: Tenure issues will furthermore affect those who have not been displaced but who are attempting to reconstruct their homes, especially if the original homes were located in rented houses or apartment buildings or on land owned by others. Tenant issues are rarely addressed early and effectively, with the result that tenants may have no option but to remain in camps or collective centres. It needs to be highlighted that all actors involved in reconstruction need to look at possible tenure issues (e.g. disputes) before starting to construct or repair (e.g. Haiti).

HLP and durable solutions

Both the right to adequate housing and the right to restitution form the legal basis for shelter interventions. These rights are enshrined in various international laws and in a growing

number of national laws. They are given practical expression in the Pinheiro Principles, which have been recognised as leading principles on housing and property restitution for refugees and displaced persons⁸⁴. It is important to recognise that these rights apply throughout an emergency but also as part of longer term durable solutions.

Table E2: HLP and durable solutions

Durable solutions	The right to housing	The right to restitution
Return	Everyone has the right to adequate housing that includes security of tenure and is affordable, habitable, accessible to all, located to allow access to services, materials, infrastructure, livelihood opportunities and culturally adequate	Re-assertion of control over one's original home, land or property
Resettlement		People continue to enjoy restitution rights even if they choose not to return
Local integration	States are required to create conditions within society - through law, policy, budgetary allocations and so forth - to ensure this right	

Tenure and the Pinheiro Principles

The Pinheiro Principles provide both an international standard for advocacy and a practical outline for ensuring security of tenure by recognising:

- ▶ the rights of tenants and other non-owners (Principle 16); and
- ▶ the need for housing, land and property records and documentation and requiring states to establish systems for the registration and recognition of housing, land and property necessary to ensure legal security of tenure (Principle 15).

Vulnerable groups: tenants and non-owners

The Pinheiro Principles identify the following categories because they are vulnerable to being overlooked and should be granted explicit rights under restitution programmes:

- ▶ tenants;
- ▶ social-occupancy tenants; and
- ▶ other legitimate occupants e.g. rights which protect them from forced eviction and displacement and assure them in practice a degree of security over their original homes and places of habitual residence (e.g. labour tenant rights, sharecropper rights).

Introduction

- Humanitarian crisis?
- Challenges
- Differences
- Shelter
- Stakeholders
- Coordination
- Information
- Implementation

Defining 1

- Livelihoods 1.1
- Population 1.2
- Targeting 1.3

Combining 2

- Assistance 2.1
- Combination 2.2
- SWOT 2.3
- Case studies 2.4

Standards 3

- Incorporation 3.1
- Frameworks 3.2

Resources

- Notes
- Appendices

Other types of occupancy by non-owners include:

- ▶ squatters who may be entitled to the right of adverse possession⁸²;
- ▶ occupants with customary rights, condominium rights and co-operative rights; or
- ▶ occupants with no legal status.

Checklist of “Housing, Land and Property Rights & Broader Land Issues”

prepared for the humanitarian coordinators and residence coordinators.

Source

The checklist is a joint publication of the working groups of the Protection and the Early Recovery clusters published in 2009.

Description

Humanitarian coordinator & resident coordinator checklist of housing, land and property rights & broader land issues throughout the displacement timeline from emergency to recovery enabling improved identification and assessment and more effective response.

A person can acquire title to land through adverse possession from the actual owner by using the land, out in the open for all to see. National laws regulate the different requirements for adverse possession, such as the length of time required, the fact that the possession must be open for all to see, exclusive and hostile to the actual owner of the land etc.

Disputes involving housing, land and property (“HLP”) are both a fundamental cause of conflict as well as a result arising in the aftermath of conflict. In humanitarian operations, these disputes pose immediate protection and early recovery challenges. If left unaddressed, disputes surrounding HLP can undermine peace and re-ignite hostilities.

Displaced populations will invariably try to claim or reclaim access to HLP during and after a conflict. This process generates further tension within and across communities, whether in areas of origin, current displacement or upon return or settlement elsewhere.

- ▶ **During displacement**, site selection, water, pastoral and agricultural access for informal and formal camp settlements can be challenged by the difficulty of determining who has the rights to the land.
- ▶ When considering **return**, displaced individuals often base their decision largely on whether they will be able to reclaim their HLP and thus rebuild livelihoods; **after**

return, their attempts to reclaim assets may lead to renewed conflict.

- ▶ Alternatively, when the displaced choose to **settle** in new areas, the management of tenure relationships with local communities and institutions can determine the success or failure of a sustainable integration.

It is **not only the displaced** who have concerns about their HLP rights and broader land issues during and after conflicts. Conflicts inevitably impact a wide range of relationships--social, economic, environmental, and political—and these changes have consequences for all members of the community, including those not displaced.

Perhaps most crucially, **reconciliation** and the sustainability of the emerging peace in a **post-conflict period** can depend on how early and effectively protection of HLP rights and the broader land issues are recognised and addressed. The lessons learned from Afghanistan, Rwanda and Sudan, among others, show the consequences of inadequately addressing HLP concerns early, appropriately and sustainably, whether during the immediate aftermath of a conflict or the peace and rebuilding period that follows.

In 2005, the Humanitarian Response Review identified protection of HLP rights as one of the major gaps in the humanitarian response system. Humanitarian Coordinators and Resident Coordinators are therefore challenged (and accountable) to address these issues appropriately and early, beginning while a conflict may still be unresolved.

Checklist for action

- ✓ Include housing, land and property rights and land issues questions in registration, profiling and intention surveys

Registration, profiling and intentions surveys of displaced persons should gather as much information as possible at the earliest stage of displacement concerning the HLP situation in the area of origin. Even within rapid surveys or accelerated registration processes, **a few simple but strategic questions** can identify immediate protection issues today as well as constraints to achieving durable solutions tomorrow. Such information can include area of origin and living arrangements pre-flight, prior arrangements for access to land and property (individual or family, statutory or customary ownership, pastoral rights, social tenancy, rental, etc.); possession or absence of supporting documents, and any reports of property destruction or occupation.

Introduction

- Humanitarian crisis?
- Challenges
- Differences
- Shelter
- Stakeholders
- Coordination
- Information
- Implementation

Defining 1

- Livelihoods 1.1
- Population 1.2
- Targeting 1.3

Combining 2

- Assistance 2.1
- Combination 2.2
- SWOT 2.3
- Case studies 2.4

Standards 3

- Incorporation 3.1
- Frameworks 3.2

Resources

- Notes
- Appendices



Community consultation: consider the land issues where the displaced are now

Wherever the displaced now shelter, it is **essential to understand land tenure arrangements**, including statutory and customary access rights, to land, water, grazing, and other natural resources. Apparently unused land may actually be subject to complex customary tenure arrangements and claims not readily known to displaced communities, international agencies or national government officials. Rapid assessment visits are unlikely to disclose the intricacies of land tenure arrangements, especially where customary law applies. Left unaddressed or pushed aside for later, tension over land can arise between host communities and the displaced, international agencies and national government. Access to land in areas surrounding camps must also be discussed with relevant actors.



Identify and work with experts early

International and national experts should be identified early and secured for assessment and intervention programming. The complexity of these issues means that existing staff within agencies, particularly during initial emergency response, are not likely to adequately assess these specialized issues. Ideally, if deployment of these experts is co-funded by different actors, the resultant assessments and guidance provides a single credible and coherent source to help shape quick, coordinated response by more than one agency, without agency duplication. The most comprehensive response will likely include both national as well as international expertise. Including national land experts from the start is crucial to understanding the legal, institutional, political and social contexts.



Incorporate housing, land and property assessments and responses into appeals or other humanitarian budgets

Because reasons for conflict differ, and the formal and customary basis for property ownership or tenure arrangements can be complex, resultant HLP issues are extraordinarily country- and context-specific. These issues deeply impact both the immediate accommodation of displaced persons as well as whether they return or settle elsewhere. Groups such as women, minorities, indigenous peoples or slum dwellers are particularly vulnerable to marginalisation. Most beneficial to a comprehensive understanding of these factors is an expert identification—as soon as possible in the crisis timeline--of relevant issues, local law context and recommendations for action. Such an expert assessment is, itself, a valuable response action, and can be proposed early within the appeal process.

✓ Advocate to secure existing official records regarding housing, land and property rights

In the midst of conflict, official records of rights and ownership in government offices (such as title registries or cadastres) may be at risk of destruction or tampering, whether due to general conflict and looting or by specific targeting. National and local authorities should be reminded of their obligations to secure these records, including if necessary evacuation to safer locations. Multinational forces, including UN peacekeeping presence, may also assist.

✓ Promote housing, land and property rights and broader land issues within peace negotiations and agreements

Peace agreements can explicitly include provisions regarding HLP rights. Humanitarian and Resident Coordinators and Country Teams can provide information of the land situation for the peace negotiations and in addition advocate for HLP issues to be thoroughly considered by peace negotiators and the parties of the conflict. Particularly important are clear consensus regarding non-discriminatory access to restitution mechanisms and land tenure, and the universal applicability of HLP rights protection to all persons, including the displaced regardless of when and if they decide to return. Humanitarian and Resident Coordinators can be significantly influential in high level advocacy to address these issues early and constructively as an essential component of the peace agreement. National responsibility for resolving property issues in accordance with both the terms of any peace agreement as well as international law should be emphasized consistently in all contacts with competent authorities.

Because questions of land can be **inflammatory** in post-conflict situations, some may advocate pushing such questions to a later date. Delays may be politically expedient, but the risk is that land and property issues remain unaddressed and compromise the peace in later months. Alternatively, those currently in power may be tempted to rush through ad hoc measures. This too may have serious implications for future harmony. Instead, an approach that documents the existence of overlapping and perhaps disputed rights and claims may be more conducive to reconciliation and nation-building than one rigidly applying either the principle of restitution or of adverse possession.

✓ Ensure housing land and property rights and broader land issues are considered in joint assessment and programming for durable solutions

Inter-agency assessment missions to support durable solutions should consider how HLP rights and broader land issues will be most effectively safeguarded or addressed within repatriation or return program planning as well as in strategies to support the local integration for IDPs and refugees who

Introduction

- Humanitarian crisis?
- Challenges
- Differences
- Shelter
- Stakeholders
- Coordination
- Information
- Implementation

Defining 1

- Livelihoods 1.1
- Population 1.2
- Targeting 1.3

Combining 2

- Assistance 2.1
- Combination 2.2
- SWOT 2.3
- Case studies 2.4

Standards 3

- Incorporation 3.1
- Frameworks 3.2

Resources

- Notes
- Appendices

decide not to return. Beyond physical surveys of damaged housing in areas of conflict, assessments should also consider the other potential obstacles to durable solution, such as:

- ▶ extent of secondary occupation of homes;
- ▶ if unjust and arbitrary applications of law occurred after flight;
- ▶ if property registration records (or other locally acceptable evidence of land rights) were destroyed or lost;
- ▶ whether lack of tenure security might prevent some communities or individuals from returning to their original homes or land;
- ▶ whether the judicial system provides effective, accessible and impartial remedies; and
- ▶ the capacity of local or traditional institutions to address land disputes and issues.



Develop an inter-agency plan of action to restore housing land and property rights and address broader land issues

The UN Country Team and participating Cluster agencies should develop a plan of action to address HLP rights and broader land issues. This plan of action should be the first step in developing an effective response. The plan should be consistent with international law, national legal frameworks and customary practices. All actors need to ensure full participation of displaced persons and returnees—including groups vulnerable to marginalization such as women, indigenous peoples and minorities, and with reference to any customary traditions—in developing plans of action. An Inter-Agency plan of action, or other coordinated effort, can also help ensure that organised return or settlement elsewhere of the displaced occurs to the extent possible within a broader plan for tenure stabilisation, rehabilitation and reconstruction for all communities.



Legislative analysis: desk review of national laws, policies and institutions relevant to housing land and property rights and broader land issues

Collect, compile and analyse all national laws and policies that are relevant to HLP and broader land issues, including:

- ▶ land tenure and institutions;
- ▶ land and housing laws and policies;
- ▶ land markets;
- ▶ forced evictions, relocation or resettlement;
- ▶ right to housing, land and property restitution after unlawful or arbitrary deprivation;

- ▶ right to privacy and respect for the home; and
- ▶ right to freedom of movement and to choose a place of residence.

Any such analysis should specifically consider whether inheritance, family or other laws discriminate against women, indigenous peoples or other minorities, and whether housing abandonment laws were adopted after flight.

National legal staff will be particularly useful in this process of legal analysis, for their expertise in local law, administrative realities and language.

The resultant compilation will later also be a valuable resource for training and dissemination activities.

✓ **Contextual analysis: analyse the administrative capacities, as well as local practices and formal or informal mechanisms regulating housing, land and property rights and broader land issues**

Contextual analysis of practices and formal or informal mechanisms regulating HLP rights and broader land issues is essential to design solutions that are adapted and acceptable to the populations concerned. Comprehensive and innovative legislation may, for example, fail to protect these rights in the absence of administrative arrangements and functioning government agencies to enforce. Customary dispute resolution practices may have significantly more credibility in areas geographically removed from administrative centers. Full understanding of the local context promotes effective responses.

✓ **Assess and improve tenure security of the displaced—and the most vulnerable amongst them—in all advocacy and program activities**

High level political statements to confirm security of tenure for all persons can help stabilise the post-conflict environment while more durable solutions are identified. Many post-conflict situations where informal ownership prevails have undertaken land reform programs recognising customary and informal land rights, transforming them into statutory rights (including issuance of property title documents). Advocates should ensure that new mechanisms do not disadvantage displaced persons in formalising land rights they enjoyed before being displaced. For example, where formalisation of rights is linked to continuous presence on the land, exceptions should be expressly provided for those who have been displaced.

Introduction

- Humanitarian crisis?
- Challenges
- Differences
- Shelter
- Stakeholders
- Coordination
- Information
- Implementation

Defining 1

- Livelihoods 1.1
- Population 1.2
- Targeting 1.3

Combining 2

- Assistance 2.1
- Combination 2.2
- SWOT 2.3
- Case studies 2.4

Standards 3

- Incorporation 3.1
- Frameworks 3.2

Resources

- Notes

Appendices

In the rehabilitation and upgrading of camp settlement, collective centers or slums, agencies undertaking such activities should ensure that residents of the structures will be granted tenure security if they do not own these dwellings.

Programming ideas

Possible program interventions to support HLP rights and broader land issues.

- ▶ Sponsor an expert situation assessment to better understand the HLP and land tenure context and potential related issues.
- ▶ Establish land dispute and conflict monitoring to find baselines and to monitor trends and emerging issues over time.
- ▶ Promote public information campaigns to inform affected communities about their rights.
- ▶ Create legal aid and counselling centres to provide necessary help to the displaced and returnees.

The Pinheiro principles

The normative framework for addressing housing, land and property rights in the context of displacement is summarized in the 2005 Principles on Housing and Property Restitution for Refugees and Displaced Persons.

Known as the “Pinheiro Principles,” this document is not a new international treaty but rather a compilation and restatement of existing rights based in international human rights and humanitarian law.

The Pinheiro Principles reaffirm that all displaced persons—whether internally displaced or refugees, and whether or not they return—shall be protected from arbitrary and unlawful deprivation of any housing, land and/or property, and retain the right to have such property restored to them or be adequately compensated.

For support to your operations, contact:

the global working group of the Protection Cluster, as well as its housing, land and property Area of Responsibility (AoR) Group, can provide country-specific advice, assessment and program design missions for the protection of HLP rights, as well as identify HLP experts for in-country placements. The Group can also promote the short-term deployment of appropriate senior support staff under the ProCap program.

Participating agencies of the HLP AoR Group include: IDLO, IDMC, IOM, OHCHR, UN-HABITAT and UNHCR. For detailed information and agency focal points, see:

<http://www.humanitarianreform.org/Default.aspx?tabid=434>

The cluster working group on Early Recovery can provide advice and support on linking shelter, land and property issues into broader early recovery processes. Early Recovery advisors deployed on behalf of the CWGER can help to make links between land issues and other related programme areas and can support the integration of land issues in joint early recovery needs assessments, strategic planning exercises, resource mobilization strategies, etc. With support from CWGER, UN-HABITAT has also developed several important guidelines, including a Quick Guide on Post-Conflict Land Issues and more detailed Guidelines. For detailed information and agency focal points, see:

<http://www.humanitarianreform.org/humanitarianreform/Default.aspx?tabid=80>

The Humanitarian Policy Group (HPG) of the Overseas Development Initiative (ODI) currently maintains a roster of experts in housing, land and property issues.

For more detail and continuously updated information, see: **<http://www.odi.org.uk/>**

Additional resource documents.

- ▶ Access to rural land and land administration after violent conflicts, FAO Land Tenure Studies 2005.
- ▶ “Action Sheet 11: Land and Property,” in Handbook for the Protection of Internally Displaced Persons, (provisional release version, 2007), Global Protection Cluster Working Group.
- ▶ Handbook: Housing and Property Restitution for Refugees and Displaced Persons: Implementing the ‘Pinheiro Principles’, March 2007. FAO/IDMC/OCHA/OHCHR/UN-HABITAT/UNHCR.
- ▶ Post-Conflict Land Guidelines (in progress). Early Recovery Cluster/GLTN/UN-HABITAT.
- ▶ Post-Conflict Land Quick Guide (Draft, June 2009). Early Recovery Cluster/GLTN/UN-HABITAT.
- ▶ Post-Disaster Land Guidelines. Early Recovery Cluster/GLTN/UN-HABITAT.
- ▶ Principles on Housing and Property Restitution for

Introduction

- Humanitarian crisis?
- Challenges
- Differences
- Shelter
- Stakeholders
- Coordination
- Information
- Implementation

Defining 1

- Livelihoods 1.1
- Population 1.2
- Targeting 1.3

Combining 2

- Assistance 2.1
- Combination 2.2
- SWOT 2.3
- Case studies 2.4

Standards 3

- Incorporation 3.1
- Frameworks 3.2

Resources

- Notes
- Appendices

Refugees and Displaced Persons. UN Sub-Commission on the Protection of Human Rights 2005 (also known as the “Pinheiro Principles”).

Appendix F – Shelter and HLP

Basic principles.

- ▶ Enhance beneficiary participation in HLP process and decision-making. It is important to consider ways of encouraging and soliciting communities’ participation in the HLP process. In a shelter project for example, participation does not simply mean being involved in the construction of the shelter but also contributing ideas regarding the location of the facilities, making decisions and taking responsibilities. Humanitarian actors should prioritise community-driven solutions to HLP issues (e.g. identification of the land and its boundaries and the land’s owner)⁸³.
- ▶ Treat owners, tenants and informal dwellers equally and promote security of tenure. Although housing, land or property owners, tenants and squatters are equally affected by conflicts, frequently the tenants and squatters face inequitable treatment within the HLP sector. Owners, tenants and squatters should all equally benefit from humanitarian assistance.
- ▶ Do no harm principle: humanitarian actors should only support local or national HLP laws and policies that are consistent with internationally protected HLP rights. This also means that humanitarian actors should not become complicit in any approach to HLP pursued by the state that is contrary to international legal frameworks.

Implementing urban shelter projects

There are several housing, land and property issues that a shelter project should take into consideration during the design and implementation of the activities. First of all, it is important to remember that the right to housing and the right to restitution form the legal basis for a shelter intervention. Shelter is a fundamental need of IDPs, without which their lives can be at risk.

The right to shelter should be understood as the right to live somewhere in security, peace and dignity. In humanitarian

response, the term “shelter” falls within the scope of the right to housing which is enshrined in human rights law. Everyone has the right to adequate housing. The criteria for adequacy are:

- ▶ accessibility;
- ▶ affordability;
- ▶ habitability;
- ▶ security of tenure;
- ▶ cultural adequacy;
- ▶ suitability of location; and
- ▶ access to essential services such as health-care, education and livelihood opportunities.

The respect for safety standards is also a criterion for adequacy⁸⁴.

Security of tenure is the right to protection from displacement (including arbitrary and forced eviction), harassment and other threats from one’s home or land. Inadequate or insecure HLP tenure can significantly worsen the prospects of the displaced populations, as well as creating considerable challenges for shelter providers.

The right to housing is inextricably related to other human rights and extends to goods and services such as access to natural and common resources, safe drinking water, energy for cooking, heating and lighting, sanitation and washing facilities, means of food storage, disposal, and site drainage. The displaced population should have adequate space and protection from cold, damp, heat, rain, wind or other threats to health, structural hazards and disease vectors, and should have access to emergency services.

While the need for shelter is similar in most emergencies, considerations such as the kind of housing needed, type of materials, size and design, will differ significantly in each situation (e.g. differing weather conditions). In addition, individual household shelter solutions can be short or long-term depending on whether it is emergency relief or recovery phase. These criteria for adequacy, together with considerations for the different emergency phases and the local contexts, should be used as guiding principles in implementing shelter projects aimed at providing equitable and sustainable solutions.

It is clear that in the context of **emergencies**, where for example the displaced population is housed in transitional shelters, all the standards articulated in the definition of adequate housing often cannot be realised. Affordability and access to services such as child care and employment opportunities are issues of public policy and may not be in the control of the humanitarian actors. In these settings, however, the adequate housing standards offer guidance to those implementing the shelter project.

In general, public buildings such as schools or administrative buildings should be used only as short-term accommodation (e.g.

Introduction

Humanitarian crisis?

Challenges

Differences

Shelter

Stakeholders

Coordination

Information

Implementation

Defining 1

Livelihoods 1.1

Population 1.2

Targeting 1.3

Combining 2

Assistance 2.1

Combination 2.2

SWOT 2.3

Case studies 2.4

Standards 3

Incorporation 3.1

Frameworks 3.2

Resources

Notes

Appendices

“collective centre”), to gain time to provide more suitable shelter. Public buildings should never be used as permanent humanitarian shelters, unless the government has agreed to such use and has granted some security of tenure⁸⁵.

During **recovery**, finding permanent housing for those displaced by the conflict is a priority. Shelter assistance should focus on supporting durable solutions (return, resettlement and local integration⁸⁶), in a manner that provides sustainable and adequate housing solutions and prevents forced evictions.

In the context of **return**, shelter-related assistance may include the reconstruction of damaged or destroyed houses and local infrastructure such as schools, roads and hospitals. Ideally in such context, land and property ownership should be established before construction of the shelter starts. However, this can be very difficult to establish in post-conflict situations where there is an urgent need to provide shelter, and in customary land tenure systems where the land may be used or managed collectively and there are no documents to prove ownership. Customary systems are guided by the traditions of the group(s) they are meant to serve and therefore the involvement of local leaders and communities in the identification of the site, the owner and the land's rights, is extremely important and can contribute to avoiding disputes and creating harm in the community.

Shelter assistance should also be provided to those IDPs and RRs who were landless or squatters or did not have formal title to the land and housing they occupied before the conflict. In such situations of insecurity of tenure, competent authorities should, whenever possible, provide legal recognition to occupation and use of housing by non-owners⁸⁷.

Introduction

Humanitarian
crisis?

Challenges

Differences

Shelter

Stakeholders

Coordination

Information

Implementation

Defining 1

Livelihoods 1.1

Population 1.2

Targeting 1.3

Combining 2

Assistance 2.1

Combination 2.2

SWOT 2.3

Case studies 2.4

Standards 3

Incorporation 3.1

Frameworks 3.2

Resources

Notes

[Appendices](#)





Rationale

Experiences shared from field operations and discussions between experts within the global humanitarian community highlighted that specific challenges of urban displacement arise from: a) a temporary influx to urban areas caused by a conflict and/or natural disaster during the emergency and transitional phases and b) from (re)settlement in or to urban areas as part of a search for livelihood possibilities.

Acknowledging that the future will see increasing numbers of displaced people seeking protection and shelter in urban areas rather than rural camps, it is important to develop guidelines and assistance methods allowing humanitarian organisations to better adjust their strategies and response to the specific needs of urban displacement.

Even though increasing numbers of humanitarian shelter organisations are focusing their response to the needs in urban settings, specific guidelines and assistance methods are not yet available. Most organisations base their operations on existing guidelines, assistance methods and (re)construction options that may originally have been developed assisting displacement in rural areas.

Various policies, strategies and concept notes are currently drafted to address the need for more guidance. The focus is on describing and categorising patterns and scenarios of urban displacement. Nevertheless concrete guidelines and assistance methods for urban settings are still not available.

In order to address the demand, this Shelter Centre Sector Project initiates a drafting process of guidelines and assistance methods for humanitarian shelter operations in urban settings based on the review of existing and established guidelines and strategies. The Sector Project will be closely linked to the drafting processes of the mentioned policies and strategies to ensure relevance and coherence.