

# GAINING A SENSE OF THE SECTOR

A Participatory Workshop on Shelter and Settlements Activities  
September 22, 2006 \* Washington, DC



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## EXECUTIVE SUMMARY

**Charles Setchell, Shelter, Settlements, and Hazard Mitigation Advisor, USAID Office of U.S. Foreign Disaster Assistance (USAID/OFDA)  
Washington, DC, United States**

**T**he September 22 Shelter and Settlements Workshop co-sponsored by USAID/OFDA and InterAction represented the first North American shelter initiative since at least 1996. Nearly 70 participants representing a diverse cross-section of humanitarian actors and institutions engaged in the shelter sector, including non-governmental organizations, academics, international organizations, consultants, and U.S. government agencies convened in response to an open invitation to address a wide range of shelter and settlements issues.

Since 2002, an active dialogue on shelter, largely driven by the United Kingdom's Department for International Development (DFID)-funded Shelter Centre and the 2003-2004 effort to revise the Sphere Project guidelines, has been ongoing. Chapter 4 of the 2004 edition of the Sphere Project guidelines focusing on shelter captured fundamental changes and developments that are reshaping the sector. Along with such products as *Transitional Settlements: Displaced Populations* published by the Shelter Centre, the Sphere revisions represent an expanding body of shelter-related work being generated largely from within Europe. With notably few exceptions, however, North American organizations have not been a part of this rich discourse. A North American counterpart to engage Europe in the diversifying shelter environment is thus long overdue.

The overarching goal behind the Shelter and Settlements Workshop is the improvement of shelter programming and practice. To that end, four central objectives shaped the framework for the day's events; the establishment of a North American complement to ongoing European shelter efforts; a participatory approach and focus to the workshop agenda; a broader definition of shelter beyond plastic sheeting, four walls, and a roof; and an expanded vision of shelter that addresses and incorporates underlying causes into response efforts. The morning sessions targeting a review of the U.N. cluster approach and defining a shelter response were designed to lay the foundation for afternoon discussion focused on strat-

egies and approaches to improving shelter practice and responding to the question of whether or not a North American shelter working group should be established.

The shelter and settlements sector is currently undergoing a period of growth and expansion both in terms of the conceptual framework that guides it and the funding and resources that fuel it. A working definition of shelter is increasingly recognized as wedded to a broader notion of transition. The current spotlight on transitional shelter represents a movement along a continuum away from traditional shelter and towards a transitional settlement approach. Increased U.N. and donor attention to the sector have paralleled a growth in available funding and resources, but fundamental strains and deficiencies are evident. The limited presence of shelter experts within humanitarian organizations and insufficient numbers of external consultants have led to shelter decisions increasingly being made by generalists ill-equipped to do so. A lack of reference materials and resources, and the absence of agreed upon standards and definitions further undermine the capacity of the sector.

Dialogue throughout the workshop articulated the present weaknesses observed in the shelter sector and emphasized the need to advance the organizational capacity and efficacy of the humanitarian shelter community. Several critical starting points were highlighted including the development of a clear mandate with guidelines and principles for a humanitarian response to shelter disasters, a common and consistent shelter vocabulary to ease communication, a registry of shelter professionals and consultants, and the need for donors and institutions to be proactive in launching training courses and mentorship programs to build expertise and greater surge capacity. To advance these objectives, possible next steps were discussed, including the creation a virtual community utilizing online discussion forums, regularly scheduled working group meetings, semi-regular discussion meetings, and training opportunities scheduled to co-occur with working group sessions.

**Dr. Tom Corsellis**  
**Co-Director, Shelter Centre**  
 Geneva, Switzerland

Tom Corsellis provided an analysis of the current status of the shelter and settlements sector in terms of operations, risks, institutional development, knowledge, and principles and standards. He prefaced his remarks by highlighting the need for the sector to examine transitional settlements in the framework of a community approach as opposed to the more traditional view of response in terms of individual family needs.

In respect to operations, the current range of settlement options are potentially equally valid for conflict as well as disaster response, and should be viewed as part of a standard toolkit. The widely accepted premise that refugee camps are a last resort has failed to be applied in action, and has, in point of fact, become the typical starting point for emergency shelter response. It is critical that the assorted range of shelter options receive recognition within the sector. To that end, efforts need to be undertaken to identify and more broadly inform the diverse actors engaged in shelter response of available options.

A false divide currently persists between, on the one hand, self-help or contractor strategies of shelter response, and on the other, cash assistance to host families. Frequently, a combination of multiple approaches represents the most appropriate and effective response. Similarly, the perception of a sequential timeline of emergency shelter and transitional settlements followed by post-reconstruction efforts fails to accurately reflect the reality of their parallel occurrence. Unfortunately, development organizations are not set up to address this concurrent reality, and the problem is compounded by the fact that most agencies lack a shelter department or a shelter specialist on staff to inform programming efforts. There is an urgent need to improve the bridge between relief and development in order to facilitate settlement with dignity while communities rebuild. To date, the track record for the sector in enabling this transition has been poor.

The shelter and settlement sector continues to be influenced and shaped by a number of changes and risks that have evolved over the past decade, including a decline in the number of refugees matched by a dramatic increase in the number of internally displaced persons (IDPs), an increasingly significant role for the Office of the U.N. High Commissioner for Refugees (UNHCR), and a greater reliance on host governments than before, characterized by governments and armed groups seeking to influence the actions of humanitarian actors. Resettlement is often employed as a weapon by governments which creates serious challenges to economic development. The escalating phenomenon of urbanization represents an additional risk confronted



Photo: courtesy of Robert Walker, USAID/OFDA

## RECENT SHELTER EXPERIENCES

by the shelter sector. Hundreds of millions of people worldwide are living in poor conditions resulting from the combined employment of poor techniques and poor materials that are generating greater risk to populations. The humanitarian community's ability to detect these growing risks needs to be improved.

Institutional development in the shelter sector reflects a combination of positive advances and fundamental limitations. The development of coordination tools, including ReliefWeb and the convening of the Shelter and Settlements Workshop, demonstrates the ongoing efforts of the humanitarian community to improve coordination. Additionally, operational capacity of the shelter sector exhibits significant flexibility as represented by the successful completion of 54,000 transitional shelters over a seven month period in response to the Asian tsunami. However, the limited presence of shelter experts within humanitarian organizations creates a dependency on a consultant base that is insufficient to meet current needs, and prevents the development of internal shelter champions to keep a targeted focus on the sector's development. Furthermore, the gap between the humanitarian community's and beneficiary's access to technology is growing and most shelter decisions are being made not by shelter experts but by other actors, such as ambassadors.

In terms of knowledge, there is a dearth of books, materials, and resources focused on the shelter and settlement sector. However, an understanding of the impact of shelter on livelihoods has been documented, and a greater understanding of the weaknesses of a traditional camp approach has promoted a greater interest in town planning. Ongoing constraints include; a lack of commitment to the sector that requires greater traction and consolidation; inadequate description in reporting and budget formulations; and underdeveloped relationships and coordination with the academic and private sectors. A preference for product-based versus research and dialogue-based funding makes it difficult for knowledge development initiatives to get financed. Efforts at developing a relationship of trust between the private sector and the humanitarian community require greater attention in order to incorporate

available technological advances. The continuing usage of canvas tents in relief response epitomizes the failure of the humanitarian community to harness the innovations and realize the potential of collaboration with the private sector.

The principles and standards embodied in the UNHCR and Sphere guidelines mainly focus on family and camp models, but the Sphere guidelines also represent a critical formation stage for the sector by creating a formalized outline that serves as an essential starting point for discussion and refinement. However, a limited understanding of the sector by external actors, and a lack of clarity within the sector on appropriate language and definitions, act as constraints to developing a consensus and consistency to shelter principles and standards.

### **Rick Bauer, Public Health Engineering Adviser, Humanitarian Department, Oxfam**

#### **Oxford, Great Britain**

Rick Bauer presented an overview of Oxfam's approach to shelter and settlements and highlighted general observations derived from his recent experiences in Aceh, Indonesia and Pakistan.

Oxfam does utilize traditional shelter components in the form of tarps and tents in response to need, supported by an advanced logistics system capable of rapid mobilization. However, Oxfam also employs transitional shelter initiatives, livelihood components, and small community projects in developing shelter solutions. Additionally, Oxfam acts as an advocacy organization seeking to influence policy in the broader humanitarian community. Rick Bauer focused on four points in talking about lessons learned from his experiences in Aceh and Pakistan, including; the need for the shelter sector to better understand transitional shelter options; understanding context; gender and reconstruction; and coordination. Tents, tarps and zinc may get the job done but frequently are not the most effective approach to shelter response. Current practice reflects an over-reliance on this traditional approach. However, alternative options

## RECENT SHELTER EXPERIENCES

do exist in the form of support to host families and self-settlement camps. More than 40 percent of families were supported by host families in Aceh. Self-settlement camps largely fall below the radar of humanitarian response efforts, and frequently fail to receive adequate support. Smaller camps of less than 50 families are particularly vulnerable, especially in regards to water and sanitation. Strategies to reach self-settlement groups are required.

Understanding the context of a relief environment is critical to providing appropriate and effective response programming, and the failure to do so can fundamentally undermine relief efforts. Three minute disasters frequently disguise 30 years of underlying conflict. Temporary shelter versus permanent housing can ignite controversy linked to land tenure and land rights policy. Community's tendencies to view non-governmental organizations (NGOs) as service providers as opposed to through a community development lens embodies another challenge to understanding the context of shelter response efforts. Understanding root causes and expectations represent critical components to delivering effective shelter response.

Women's roles as decision makers are frequently underestimated and ignored. A greater emphasis on providing information to all household members, especially women, in terms of design, materials, and execution is required. In Pakistan, a double burden on men was observed where the dual roles of wage earner and over-seer of household construction were in conflict. Males provided money to support households through remittances from jobs held outside the community, but at the same time they were required to stay in the community to oversee the reconstruction of their homes. The question of what role NGOs and the larger international community should play in challenging traditional roles through relief programming remains.

In terms of coordination, the humanitarian community's efforts to share information and influence others reflects mixed results. In the case of Pakistan, efforts to influence reconstruction policy yielded successes in the promotion of transitional

shelter options, whereas in Aceh limited success was observed. The essential challenge to the shelter sector is how to restore a community to their pre-crisis condition, or to an improved pre-crisis condition, as expediently as possible.

## DISCUSSION

Discussion centered on the challenges and implications of land reform and land rights, and how to manage community expectations. The issue of land reform and land rights was recognized as a new and critical frontier for the shelter sector. Participants highlighted experiences from Nicaragua, Bosnia, and Afghanistan as possible sources of insight and program replication for other environments. Transparency and consistency were identified as key elements to managing beneficiary expectations, along with on-the-ground coordination among relief agencies. Additionally, collaboration with host governments and the need to apply a long term view in sync with beneficiaries' perspectives to shelter response were emphasized by participants.

**The essential challenge to the shelter sector is how to restore a community to their pre-crisis condition, or to an improved pre-crisis condition, as expediently as possible.**

## **Graham Saunders, Head of Shelter Department, International Federation of the Red Cross (IFRC)**

### **Geneva, Switzerland**

Graham Saunders provided an overview of the history of the development of the cluster approach and highlighted emerging issues confronting the new mechanism.

In 2005, the U.N. instituted the Humanitarian Response Development Initiative intended to be a consultative process designed to meet humanitarian needs, enable a timely response, enhance capacity, and elicit donor support. From the speaker's perspective, the process failed to live up to its intention of a truly consultative process and was in practice a U.N.-led effort from the onset. Key recommendations, including increasing coordination, strengthening capacity, establishing benchmarks, and revising funding mechanisms, were developed that led to the creation of the cluster approach, the identification of lead agencies, and the articulation of action plans that were then initially rolled out in Pakistan, Yogyakarta, Indonesia, Beirut, Lebanon, and Suriname.

Following the roll out, subsequent efforts to increase participation and engagement in the process have been made, but limited participation by NGOs continues due to logistical and time constraints in the field. The Geneva-centered manifestation of the shelter cluster approach continues to limit its progress.

Saunders highlighted four emerging issues confronting the cluster approach to shelter. Widespread misperceptions of the cluster approach as a U.N. dictated process and a policing mechanism undermine buy-in and collaboration of partner organizations despite stated goals of mutual and widespread benefit. The absence of a clear and consistent definition of the shelter sector represents a real challenge to coordination and collaboration that should have been addressed in advance of the roll out. The designation of a health expert to head the shelter sector reflects an inappropriate choice that

has led to concerns surrounding the capacity of the cluster lead. Finally, cross-cluster issues represented by the intersection of the shelter and water and sanitation sectors require attention.

In closing, Saunders posed three questions designed to move the shelter sector forward in realizing the potential of the cluster approach to improve the quality of shelter response. First, what services do cluster participants, including NGOs, governments, and international organizations, want the cluster to provide? Second, how can the cluster process manage shelter as a continuum? And finally, how can agency involvement be increased to maximize ownership of the process?

## **Antonella Vitale, Co-Director, Shelter Centre**

### **Geneva, Switzerland**

Antonella Vitale organized her presentation around three aspects of coordination: coordination in the shelter sector, the three clusters impact, and coordinating the coordinator. A review of coordination is long overdue and limited only by the desire of acting participants. Coordination represents a service, not a chain of command, and accordingly requires the active engagement of all actors to be successful.

Coordination in the shelter sector is currently hampered by the artificial division between relief and development programming. Relief and development mechanisms tend to be viewed as distinct and sequential but in reality typically occur simultaneously. In conflicts, some people return while others remain displaced. In disasters, some people can rebuild while others remain in tents. These events occur in concert with one another and require parallel programming response efforts.

Shelter currently falls under the auspices of three distinct clusters—emergency shelter, camp management, and early recovery—with no overriding mechanism in place to coordinate the three. As a result, gaps persist between the three,

## THE CLUSTER APPROACH

exemplified, for example, by the current failure to direct support to host families. A lack of continuity and accountability among the clusters threatens the likelihood that emergency shelter initiatives will be picked up and included in the recovery phase.

To effectively coordinate the coordinators requires the establishment of standard services that are continually assessed and monitored to reflect the changing environment on the ground. This is critical to building sustainable capacity.

### DISCUSSION

Discussion centered on observations of the cluster experience in Beirut and concerns over the impact and prospects of the cluster approach. Participants expressed a perception that the U.N. role in the application of the cluster approach in Beirut succeeded in acting as a moderator, as opposed to an enforcer. The involvement and incorporation of host governments in the implementation of the cluster mechanism were highlighted as critical components to its success, reinforced by the Beirut experience. However, concern was expressed that donors would only engage NGOs involved with the cluster process and those that were not in agreement with cluster decisions would be shut out from funding opportunities. Ultimately, without donor and implementing organization engagement the prospects of realizing the potential of the cluster approach is severely undermined and the fear of a U.N.-centric apparatus is likely to be the result. Engaging the cluster approach represents an opportunity, but its success is grounded in the active participation and buy in of the humanitarian community.



Photo: courtesy of Robert Walker, USAID/OFDA



## **Richard Hill, Director, Office of Strategic Initiatives & Analysis, CHF International**

**Silver Spring, MD, United States**

Richard Hill provided an overview of the legacy of past programming and the why and what of current shelter response efforts. Contemporary shelter response practices are a product of past experiences that can be traced back to the birth of the shelter sector following the 1970 Guatemala earthquake. The impact of early decisions can be found throughout the range of current practice, including siting, materials, temporary shelters, signals regarding the type and extent of assistance, and signals concerning the roles and actors involved in a response. Decisions from early shelter practice continue to set the stage and occupy a starting point for shelter response efforts but they need not represent the final word.

The reasons behind why people suffer may appear self-evident but rarely do they receive the close examination they warrant, nor are they adequately addressed in shelter response efforts. In conflict and disaster settings, people suffer from exposure, destruction of assets and poverty, damage to housing and other capital, as well as forced or chosen migration. The multiple functions of housing as shelter and as a source of capital need to be recognized and restored when designing and implementing response efforts. Shelter programs have far reaching effects that set settlement, economic, and political patterns, and impact risk and social assistance-dependency.

A broad range of shelter program choices beyond tents and plastic exist, including host families, migration, group shelter, asset protection, and government assistance programs that address the psychological impact of displacement. Unfortunately, post-disaster shelter planning more often reflects political processes than the concrete needs of beneficiaries. The humanitarian community has an important role to play in assisting governments and local communities to adapt and improve their approaches and decision-making processes in regards to shelter.

## **Graham Saunders, Head of Shelter Department, IFRC**

**Geneva, Switzerland**

Graham Saunders briefly highlighted three important points to bear in mind when developing appropriate shelter response. The Philippines experience emphasizes key enabler roles that community and local governments play in shelter response. Bangladesh provides an important lesson in demonstrating the primacy of land issues in shelter concerns. Land issue patterns must be identified first before effective and appropriate shelter responses can be implemented. Guatemala exemplifies the significant role that remittances play in enabling and shaping community shelter response. The shelter sector must be viewed as one of several crucial actors in shelter response that includes government, community, and private sector actors as well.

## **DISCUSSION**

Discussion focused on how remittances could be influenced, the challenge of bridging the gap between relief and development, and alternatives to plastic sheeting. USAID/OFDA will be funding a study to examine the impact of remittances and the opportunities that exist to engage expatriate populations in the U.S. concerning hazard and conflict mitigation. The role of the humanitarian community in stimulating and supporting not only material assistance, but a process and community engagement, is under recognized by the development sector. This significantly hinders efforts to successfully bridge the gap between relief and development. The observation of many that reconstruction begins the day after a disaster, and not at some indefinite point in the future, was reiterated. The need to be open to alternative materials and mechanisms in shelter response was highlighted. Although plastic sheeting does have an important role to play, alternative local materials are often available that are more practical, affordable, and have the additional benefit of creating local incomes and stimulating the economy.

## **Graham Saunders, Head of Shelter Department, IFRC**

**Geneva, Switzerland**

Graham Saunders explored the potential of the Sphere Handbook chapter on shelter and settlement to serve as a core reference for shelter experts and practitioners, and as a set of accepted standards for emergency shelter assistance by the humanitarian community. Following a brief discussion on the strengths of the most recent Sphere Handbook, Mr. Saunders addressed the obstacles and limitations of the current usage of Sphere standards and indicators, drawing on examples from response efforts to the 2005 Pakistan earthquake. Finally, the presentation turned to the availability of shelter-specific resources, and provided a number of suggestions to enhance adherence to Sphere guidelines.

Highlighting the assets of the Sphere Project guidelines on shelter and settlement assistance, Mr. Saunders described the publication as a concise, simple, and direct field guide reflecting the current state of best practices. In addition, the origin of the publication as a collaborative effort by non-governmental organizations helped to establish a sense of common ownership over the content, which in turn has facilitated increasingly broad acceptance and application of the guidelines.

Despite widespread acclaim for Sphere indicators, the humanitarian community still faces many hurdles in gaining consistent use of Sphere standards. In some cases, Sphere indicators and standards have been dismissed outright, such as in an emergency response planning document for Pakistan which read “Sphere standards will not be met”. Mr. Saunders attributed this shortfall to an early recognition by response managers that there were insufficient shelter supplies to meet the needs of the affected population at Sphere-approved levels. The decision makers in this case opted to provide fewer resources to more people, rather than meet the minimum Sphere standards for fewer people.

The Pakistan case was an example of a difficult decision under sub-optimal conditions, but it was

also an example of a common misconception of the Sphere Handbook. Mr. Saunders highlighted that while Sphere does provide minimum standards for each sector, the handbook also contains indicators and guidance notes which are intended to guide decision makers through these difficult decisions. The indicators contain both quantitative and qualitative statements on how to achieve a minimal level of appropriate shelter. The guidance notes directly address dilemmas like the one presented in Pakistan, and suggest a prioritization of needs in the event that conditions do not allow for all needs to be met. Pulling together the standards, indicators, and guidance notes, Mr. Saunders urged disaster response managers to view the Sphere Handbook as a tool to help with the thought process behind any shelter or settlement response. The Sphere Handbook should not be viewed as a product, or a checklist to be either used or discarded, but instead as an informative and flexible guide to help experts and non-experts alike make difficult decisions regarding appropriate shelter assistance.

Finally, Mr. Saunders posed several questions to the audience related to the number and quality of current shelter resources. He asked the attendees to consider whether the shelter community has the required tools, if people know of and use the tools, whether there are alternatives to Sphere, and if there is a need for a complementary how-to guide derived from Sphere. Building on earlier discussions of the U.N. cluster system, Mr. Saunders mentioned a potential role for the clusters to play in determining the acceptable standards for shelter response efforts. Lastly, an alternative approach to ensuring broader compliance with Sphere standards could be a public information campaign directed at host governments to promote the use of these international guidelines over national building codes in disaster response environments.

**Nan Buzard, Senior Director,  
International Disaster Response,  
American Red Cross  
Washington, DC, United States**

Nan Buzard underscored the importance of a consistent approach to shelter and settlement projects by recounting the humanitarian crisis that spawned the Sphere Project. The large-scale displacement of Rwandans to Goma, in the Democratic Republic of the Congo during the 1994 genocide shed light on the varying approaches and standards employed by relief agencies. A Joint Evaluation of Emergency Assistance to Rwanda report published in 1997 was highly critical of the humanitarian response to over 2 million refugees in the Goma area, and faulted the relief community for incompetence resulting in further harm and increased deaths among the refugee population. In response, the humanitarian community embarked on a period of self-evaluation.

National and international organizations engaged in a critical dialogue on the capacities, qualifications, and competencies of humanitarian staff, and the ability of relief agencies to do no harm to beneficiary communities. Ms. Buzard framed the issue by asking participants, “If you gave a refugee \$100, would they in turn choose to pay you for services you provide?”

At an organizational level, NGOs and international organizations (IOs) collaborated from 1997 to 1998 to generate a Humanitarian Charter and Minimum Standards for emergency assistance efforts. This first phase of the Sphere Project was intended to develop a common framework and improve accountability for humanitarian practice. The Sphere Project has since revised and expanded the Handbook to include additional sectors and incorporate evolving best practices derived from academic and field experiences.

## DISCUSSION

In the open discussion that followed, participants continued to focus on the obstacles to broader use of Sphere Project guidelines. The session concluded with

the identification of two main problems affecting the shelter sector, specifically the insufficient knowledge of Sphere standards, and the lack of an accountability mechanism to promote greater adherence to the standards.

The conversation began with an exploration of different interpretations of the term best practice as it applies to Sphere indicators and guidelines. The use of the terms ‘standard’ or ‘best practice’ could be misleading by suggesting that they are either met completely, or not at all. The concern is that an inability to meet the standards completely could be used as an excuse to implement an even lower quality program since no minimum standard exists to determine the lowest acceptable level of shelter.

An alternate interpretation holds that best practices describe the optimum response under ideal circumstances. While this ultimate shelter response may not be feasible in every disaster situation, humanitarian programs must always strive to get as close to the best practice as possible. In the event that a particular response falls short of a Sphere guideline for best practice, the onus is on the organization to justify the reduced response. This approach to best practices removes the potential of Sphere standards being discarded as irrelevant in complex disaster responses.

Building on this understanding of standards as a benchmark along a continuum of potential response levels, participants reiterated the value of using Sphere as a tool to alert practitioners and decision makers to the relevant issues for any sector, including shelter and settlements. Ms. Buzard furthered this view by adding that the Humanitarian Charter in the 1997 Sphere edition is a statement of acceptable and appropriate relief efforts based on a declaration of human rights. Therefore, even in the most challenging of disasters, Sphere should be a useful tool for identifying critical issues, prioritizing needs, and ensuring that both shelter experts and non-sector specialists are prepared to make informed decisions on shelter and settlement issues. In other words, no situation is so complex or challenging that it would render Sphere irrelevant.

## IMPROVING SHELTER PRACTICE: THE ROLE OF SPHERE



Photo: courtesy of Charles Setchell, USAID/OFDA

One participant suggested that adding broad value statements to the Sphere Handbook could minimize confusion over the overarching objectives which should guide any response. Statements such as “relief programs must not create vulnerabilities,” and “programs should maximize the economic benefit to the community at large” would frame the specific indicators and standards within more general guidance. In the event that an NGO is not able to follow the best practices model, these broad value statements would help NGOs to ensure that even sub-optimal programming is in line with the strategic objectives.

In response, some participants argued that all necessary information, from qualitative value statements to quantitative standards, is already contained in the Sphere Handbook. Instead, the low quality of some shelter and settlement programs has

been the product of insufficient knowledge of Sphere standards within the practitioner community, and the lack of an accountability mechanism to oversee and review projects in the field.

The first challenge is ensuring that those making program decisions read, understand, and apply the guidance found in the Sphere Handbook. The second challenge is overcoming the current lack of accountability for work performed in the field. Suggestions for addressing these problems included: developing a certification program for humanitarian professionals and sector specialists to ensure that the people making decisions in emergency responses have the appropriate knowledge and background; and, establishing donor-to-NGO and peer-to-peer evaluation programs of projects in the field to provide critical feedback and enforce context-appropriate standards.

**Antonella Vitale, Co-Director, The Shelter Centre  
Geneva, Switzerland**

Antonella Vitale addressed the need for capacity building within the shelter sector of the humanitarian community. She advocated for the development of a set of tools and resources which would be specific to the shelter and settlement community, yet still benefit a wide range of stakeholders in shelter responses.

As a cross-cutting sector, shelter programs and practitioners interact with a range of additional sectors. Joint training programs and workshops for shelter, health, and water and sanitation experts could facilitate the dissemination of shelter knowledge to the broader humanitarian community. Additionally, a shelter library of reference materials, case studies, and guidelines would serve to promote further study and analysis of shelter issues.

Separately, Ms. Vitale discussed the need to improve existing skills, such as large-scale project management for emergency shelter responses. She identified the private sector as a valuable, though currently untapped resource in shelter and settlement humanitarian programming. The private sector has experience in managing projects and conducting assessments for sizeable initiatives. In order to exploit this capacity within the private sector, donors need

**Ms. Vitale identified the private sector as a valuable, though currently untapped resource in shelter and settlement humanitarian programming. The private sector has experience in managing projects and conducting assessments for sizeable initiatives.**

to start supporting human resource departments to attract solid shelter candidates and fund internships to develop the next generation of specialists.

Similarly, local capacity within many recipient countries represents an additional underutilized resource in emergency shelter response efforts.

A key consideration in the development of shelter sector resources is the trend of strategic decisions on shelter and settlement programs being made by generalists, unfamiliar with the potential impact of their decisions. Several tools must be developed to best support these decision makers, including a clear mandate with guidelines and principles for a humanitarian response to shelter disasters, a common and consistent shelter vocabulary to ease communication, and a registry of shelter professionals and consultants.

**Richard Hill, Director, Office of Strategic Initiatives and Analysis,  
CHF International  
Silver Spring, MD, United States**

Richard Hill focused on the challenge of maintaining a surge capacity for responding to rapid-onset shelter disasters when confronted with limited resources. A consistent constraint is the ability to train new staff quickly in the field. Mr. Hill argued that the best way to speed up this training process is through a mentoring system which pairs knowledgeable shelter experts with newer recruits to help identify commonly used resources and shelter solutions.

**DISCUSSION**

Participants' comments centered on the theme of how to get information, expertise, and support to the people making decisions in shelter response efforts, whether these people are in the field, donor community, or host governments.

One audience member argued for inclusion of one, straightforward, simple answer on minimum standards within the Sphere Handbook, counter to apprehension expressed by many sector specialists

## IMPROVING SHELTER PRACTICE: ENHANCING IN-HOUSE CAPACITY

given the variation present in shelter disasters and the appropriate responses. The participant emphasized that the Sphere guide needs to be a product for several distinct audiences, including both sector specialists and generalists. While the former category tends to prefer more in depth guidelines for shelter responses, it can be extremely valuable to the decision maker to have benchmarks which outline the minimum acceptable response.

A second discussion addressed the slow evolution and improvement of shelter practices, as demonstrated by the repetition of mistakes from the 1995 – 1996 Rwanda experience in the ongoing Darfur, Sudan crisis. Certification programs for individuals or institutions to work in the shelter sector could provide greater accountability, and ensure that organizations are operating with a minimum level of knowledge on shelter and settlement issues.

The conversation repeatedly emphasized the need for more skilled professionals in the shelter sector, and the need for donors and institutions to be proactive in launching training courses, mentorship programs, and internship funds. These initiatives will serve to develop a greater base of shelter practitioners, and build a stronger surge capacity.

**The conversation repeatedly emphasized the need for more skilled professionals in the shelter sector, and the need for donors and institutions to be proactive in launching training courses, mentorship programs, and internship funds.**





Photo: courtesy of Shelter for Life

**Tom Corsellis, Co-Director, The Shelter Centre**  
Geneva, Switzerland

Tom Corsellis presented the benefits that a shelter training program could provide to the humanitarian community, beyond the direct benefit of a broader pool of trained shelter experts, such as a more defined shelter sector. Next, he provided examples of existing resources and organizations which support the shelter sector, and ways to leverage these into a more coordinated training module. Finally, Mr. Corsellis reviewed the implications of a formal certification process and the resources it would require to maintain.

A coordinated training program covering principles and best practices of shelter response activities could be instrumental in building a more defined shelter community than currently exists. Furthermore, instructing humanitarian staff on the current state of shelter activities in a common training course could build a more unified framework, understanding, and language within the shelter and settlement community, thereby facilitating further communication and cooperation. Additional advantages of a central training mechanism include the opportunity to establish relationships between the public and private sectors, local and international actors, and generalists and specialists.

Mr. Corsellis elaborated that separate training courses can be designed to serve the purposes of headquarter teams and field-level staff. While an introductory course meets many of the objectives outlined above for a wide audience, additional field seminars can serve as refreshers on key points relevant to the specific disaster environment, and begin to develop an institutional network of relevant actors in the field. By including local decision makers and sector generalists, these field level seminars can also be a medium for public outreach and broader information sharing that is a crucial component in any disaster response. Subsequent, more specialized training sessions can also be offered to build on an introductory course, and provide more detailed

**A coordinated training program covering principles and best practices of shelter response activities could be instrumental in building a more defined shelter community than currently exists.**

instruction on particular issues within shelter and settlements, such as camp planning or host family support.

Many online resources for shelter and settlement issues are currently available, including the Disaster Management Center through the University of Wisconsin, the Centre for Development and Emergency Practice (CENDEP), and U.N. Habitat. The Shelter Centre in Geneva also provides several shelter specific resources.

The question of whether a training program should lead to accreditation raises many issues. A formal, universally recognized accreditation program for shelter professionals requires buy-in from donors to not only establish, but also maintain the training system, including courses to reflect recent lessons learned and the evolving nature of the shelter sector. The magnitude of such an effort would require the continuous coordination, support, and active involvement of multiple agencies.

**Nan Buzard, Senior Director, International Disaster Response, American Red Cross**  
Washington, DC, United States

Nan Buzard provided two examples of approaches to accreditation used by professional communities as potential models for the shelter and settlement sector. The first is the Human Accountability Project which certifies institutions to practice within a certain sector, as opposed to individual certifications.



A benefit of this approach is the incentive for institutions as a whole to ensure that staff are adequately trained and knowledgeable in a given field in order to maintain certification.

The Fritz Institute certification of logisticians and supply chain management professionals is an example of an individual-level approach, similar to professional societies within the medical community.

Regardless of the approach, Ms. Buzard commented that for an accreditation program to be effective, there would need to be recognition of the accreditation program by an outside organization, such as a stipulation for accredited personnel from donors.

## DISCUSSION

Discussion centered on ensuring that shelter practitioners have read, understood, and are able to apply Sphere guidelines as the basis for any future training program. Practical field experience must complement classroom instruction, and it may be more feasible to gradually build up a curriculum starting with existing programs as opposed to establishing one centralized and removed training center. This would allow the demand for certified professionals to build in pace with supply. In addition, dispersed programs in the field and at academic institutions would serve to connect these communities, and emphasize the need for academic involvement to help define humanitarianism as a distinct field and profession.

# NEXT STEPS

## Charles Setchell, Shelter, Settlements, and Hazard Mitigation Advisor, USAID/OFDA Washington, DC, United States

**C**harles Setchell concluded the workshop with a call to create a North America shelter and settlement working group to spearhead efforts to define the sector and build a community of practice. The proposed working group would build capacity by forging a lateral network of experts, identifying and disseminating lessons learned, and bringing students up through the system with training and field experience. Mr. Setchell identified a meeting in Geneva in November as a potential next step in this process of building a formal working group.

Mr. Setchell probed the audience for reactions to the development of a shelter working group for North America. The objective would be to build a coherence and greater capacity among U.S. and Canadian shelter practitioners, and possibly supplement the work of the Shelter Centre in Geneva.

## CONCLUDING REMARKS

Participants' comments confirmed the need for a forum on shelter issues based in North America, and the desire to create a community of practice that ties together the various elements of such a cross-cutting sector. One attendee summarized the discussion with a statement that there is agreement on the substance involved in the proposed working group, but not a clear picture of the appropriate structure. Suggestions included a virtual community utilizing online discussion forums, regularly scheduled working meetings, semi-regular discussion meetings, and training opportunities scheduled to co-occur with working group sessions.

# APPENDICES

**Appendix I:**

**Shelter Workshop Participant List and Contact  
Information**

# Shelter Workshop

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## **Appendix II:**

### **Agenda**

## **Participatory Workshop on Shelter and Settlements**



**Gaining a Sense of the Sector:  
A Participatory Workshop on Shelter and Settlements Activities**

**1201 Pennsylvania Ave NW, Suite 200 Conference Room  
Friday, September 22, 2006**

- |               |  |
|---------------|--|
| 8:15 – 9:00   | Arrival and Coffee/tea/muffins   |
| 9:00 - 9:15   | Welcome, Introductions, agenda, and housekeeping – Linda Poteat, Charles Setchell  |
| 9:15 – 9:45   | Introductory Remarks: Gaining a Sense of the Sector – Charles Setchell             |
| 9:45 - 10:45  | Recent Shelter Experiences – Tom Corsellis, Rick Bauer                             |
| 10:45 - 11:00 | Coffee/tea   |
| 11:00 – 11:45 | The “Cluster” Approach: Initial Reviews – Graham Saunders, Antonella Vitale        |
| 11:45 – 12:30 | Defining a Shelter Response/Approach – Rick Hill, Graham Saunders                  |
| 12:30 – 1:30  | Lunch (on own)   |
| 1:30 – 2:15   | Improving Shelter Practice (ISP): The Role of Sphere – Graham Saunders, Nan Buzard |
| 2:15 - 2:30   | Coffee/tea   |
| 2:30 - 3:15   | ISP: Enhancing In-house Capacity – Antonella Vitale, Rick Hill                     |
| 3:15 - 4:00   | ISP: Training Leading to Certification? – Tom Corsellis, Nan Buzard                |
| 4:00 - 4:45   | ISP: Thoughts on Creating a Shelter Working Group – Charles Setchell, Linda Poteat |
| 4:45 - 5:30   | Wrap-up and Discussion – Charles Setchell, Linda Poteat                            |

## **Appendix III:**

**Chuck Setchell, *Shelter, Settlements, and Hazard Mitigation*  
Advisor, USAID/OFDA**

### **Opening Remarks**

# **“Gaining a Sense of the Sector”**

Charles A. Setchell  
Shelter, Settlements, and Hazard Mitigation Advisor,  
Technical Assistance Group (TAG), USAID/OFDA

*Introductory Remarks Presented at the USAID/OFDA-  
InterAction Workshop, “Gaining a Sense of the Sector:  
A Participatory Workshop on Shelter and Settlements  
Activities,”  
22 September 2006*

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Greetings and Good Morning, on what appears to be a glorious day.

On behalf of USAID, and OFDA in particular, I'd like to welcome you to the first shelter workshop that we have ever held, or at least the first in a very, very long time.

Thank you for signing up, and expressing your interest in shelter and settlements. We thought we might get 30 people to show up, and that might only be after multiple threats, so we're quite gratified with the turnout.

In addition, thank you in advance for participating today, and thank you in advance for engaging in an effort to improve shelter practice.

I believe this is a gathering of two notable “firsts”:

- It's the first time that USAID/OFDA and InterAction have conducted a workshop together, and
- It's the first shelter-focused workshop in the US, if not North America, since the 1996 Emergency Settlements conference in Madison.

One of our participants today, Paul Thompson, was one of the conference organizers then, and Tom Corsellis, one of our speakers today, was a participant then. However, ten years is a long time, so

it's past time for an update. It's good, then, that we have such a wide range of people here to enrich the discussion: IO reps, NGO reps, academics, consultants, vendors, colleagues from other agencies, and some of my OFDA colleagues.

As some of you know, there has been an active shelter discussion going on in Europe since at least 2002, primarily through the DFID-funded ShelterProject (now ShelterCentre).

Early on, this discussion was joined by the effort to revise the Sphere Project shelter guidelines, which resulted in Chapter 4 of the current (2004) document that is vastly different in focus and content from the original. Graham Saunders, one of our speakers today, managed the revision of shelter guidelines, and another speaker, Nan Buzard, managed the overall revision of the Sphere Project guidelines.

Meanwhile, ShelterProject was churning out a number of useful documents, in part based on feedback from a cadre of shelter specialists via twice-a-year meetings, primarily in Geneva (Note: The next one will be held in November). The key product of this effort to date has been the 2005 book called, *Transitional Settlement: Displaced Populations*. Two of our speakers today, Antonella Vitale and Tom Corsellis, co-authored this important work.

I've attended many of the shelter meetings in Europe, along with two of today's other speakers, Rick Hill of CHF and Rick Bauer of OXFAM/GB. But precious few north American-based organizations have participated in this rich discourse, with Shelter For Life about the only one other than CHF, so I felt it strongly that we organize a workshop here so that other organizations on this side of the Atlantic could engage some of the key voices on shelter in Europe.

By doing so, starting here, today, I trust that it will result in the establishment of regular dialogue on shelter in North America to complement the European effort, improve thinking on shelter issues, generate support for shelter activities, and – most importantly – result in improved shelter programming and practice.

So we have organized a very busy agenda for you today, featuring sessions facilitated by many of the key voices in the European shelter community, so that we may gain a sense of the sector.

You'll note from the workshop title that: 1) It's participatory; and 2) Adopts a broad, settlements view of shelter as far more than four walls and a roof, and even more than a home.

In this regard, please take a look at the two handouts I've prepared on settlements programming and a case summary of a settlements-based project in Mali, where we addressed **AND** resolved the causal factors of disaster, rather than just the symptoms (Note: Handouts follow).

Also in this regard, stay tuned for the upcoming release of the USAID/OFDA Proposal Guidelines, which will include detailed, sector-specific guidance to help prepare funding proposals.

With that, we have three sessions this morning that are designed to provide an overview of recent shelter experience, initial reviews of the cluster approach, and defining shelter responses/approaches. These sessions will set the stage for four afternoon sessions on "Improving Shelter Practice".

It my pleasure, then, to commence today's first session by introducing two close friends and professional colleagues, Tom Corsellis and Rick Bauer. Tom is Co-Director of the ShelterCentre in Geneva, a major thinker on shelter, as well as an energetic practitioner with years of experience. His most field work was his service as the UNHCR Shelter Advisor in Sri Lanka in early 2005.

Rick Bauer is Public Health Engineering Advisor with OXFAM/GB, based in Oxford. He has several years of shelter and wat/san experience, including work in my hometown of Oakland, California many years ago. He just arrived from Pakistan, where he completed field work for an evaluation of OXFAM shelter activities since the October 2005 earthquake.

Tom, Rick, take it away...

**Appendix IV:**

**Dr. Tom Corsellis, *Co-Director, Shelter Centre***

**Recent Shelter Experiences Power Point Presentation**

# recent shelter experiences



**Dr Tom Corsellis**  
Shelter Centre

***scope of presentation:***

displacement and reconstruction, occurring either from conflict or natural disaster

***definition: transitional settlement***

'settlement and shelter resulting from conflict and natural disasters, from emergency to durable solutions'  
(TS:DP, 2004)

# topics

1. operations
2. risks
3. institutional development
4. knowledge
5. principles & standards

***please prepare questions for the end of the session***

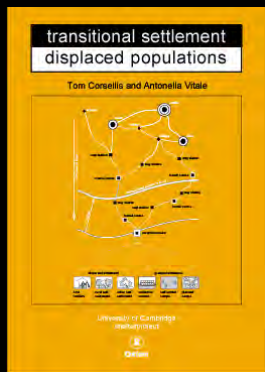




# topics

## **TS:DP**

'Transitional  
settlement:  
displaced  
populations'  
Corsellis & Vitale  
(Oxfam, 2004)



1. operations
2. risks
3. institutional development
4. knowledge
5. principles & standards

## **Scoping study**

OCHA, 2005,  
informing the revision  
of 'Shelter after  
Disaster: Guidelines  
for Assistance  
(UNDRO, 1982)



## ***conflict & disaster***

the comments presented are often equally relevant to response to both conflicts & disasters

in addition, some conflicts occur in disaster-prone areas

some disasters occur in conflict zones

# topics

1. operations
2. risks
3. institutional development
4. knowledge
5. principles & standards



# 1. operations

## **post conflict:**

invaluable recent experience exists, but learning and capacity are lacking, in part as there are few 'shelter departments' within institutions

## **post disaster:**

the international relief community remains refugee-focussed, with few tools to transition from relief to development

## **progress in operations post conflict, recognising:**

- a variety of transitional **settlement options**, such as host families, collective centres and self-settlement
- a variety of **support mechanisms**, such as phased materials drops, cash disbursement, combining contractors and self-help

*contexts to progress include the Balkans and Afghanistan*

## **progress in operations post disaster, recognising:**

- transitional settlement and reconstruction occur **in parallel**, not consecutively, requiring immediate reconstruction support
- tents last six months, while **reconstruction takes years**, requiring consistent support to transitional settlement choices

*contexts to progress include the Gujarat, Pakistan, the tsunami*

# topics

1. operations
2. risks
3. institutional development
4. knowledge
5. principles & standards



## 2. risks

### **post conflict:**

governments and armed forces seek to influence aid response

population displacement is used as a weapon

### **post disaster:**

risk management, contingency planning, and early warning improved in some areas

communities still build back worse

### **changes in risk post conflict, recognising:**

- **fewer refugees, more IDPs**, increasing protection risks and the reliance of operations on host governments
- **regional destabilisation**, in part from inadequate support to transitional settlement, such as placing camps near borders

*contexts to changes include the Balkans, West and Central Africa*

### **changes in risk post disaster, recognising:**

- rapid urbanisation to unsuitable sites increasing **vulnerability**
- possible alterations of climatic patterns impacting **hazards**
- few tools to **support communities** to 'build back better'

*contexts to progress include the Orissa, Bam, Yogyakarta*

# topics

1. operations
2. risks
- 3. institutional development**
4. knowledge
5. principles & standards



# 3. institutional development

## **developments:**

internet and GIS offer access, but a digital divide for stakeholders, eg in FYROM in 2001, every damaged house was on a website for NGOs with bandwidth

## **constraints:**

the experience and institutional training of coordinators has not resulted in decision makers informed of the basic principles of transitional settlement or reconstruction

## **institutions responding to conflict & disaster developed:**

- **coordination tools**, such as sector meetings, HICs & ReliefWeb
- significant **flexible operational capacity**, for example capable of building 53,000 transitional shelters in Sri Lanka in 7 months

*contexts to developments include the Balkans and tsunami*

## **institutions responding remain constrained by:**

- **few shelter experts** as permanent staff, fewer departments
- **few consultants** experienced in coordination or construction
- **little policy, guidelines, training, equipment** development, or integration into coordination, other sectors, & cross-cutting issues

*contexts to constraints include Bam, Chad, Pakistan*

# topics

1. operations
2. risks
3. institutional development
4. knowledge
5. principles & standards





## 4. knowledge

### **knowledge:**

most access to knowledge is limited to pre-digital technology, such as printed guidelines & traditional training

### **constraints:**

few shelter departments result in limited R&D, & little stakeholder consensus



*compared with other sectors, knowledge remains basic*

**knowledge has developed to include understandings of:**

- **transitional settlement options** such as host families
- impacts of transitional shelter on **livelihoods**, eg CHF 'HBEs'
- the **planning of camps** using contours or grids

*contexts to knowledge include evaluations and guidelines*

**knowledge has remained constrained by limited:**

- **commitment** to the sector from donors and implementers
- **description in reporting and budgets**, complicating tracking
- engagement with the **academic community** and **private sector**

# topics

1. operations
2. risks
3. institutional development
4. knowledge
5. principles & standards



## 5. principles & standards

### **principles:**

the 1982 UNDRO principles 'shelter after disaster' are under revision, however no broad consensus principles exist for displacement from conflict, or for reconstruction

### **standards:**

Sphere unified & defined the sector



### **recently developed principles & standards include:**

- principles for **IDPs**, impacting transitional settlement (OCHA)
- standards focused on **family shelter & camps** (Sphere, UNHCR)
- general **good donorship & accountability** (ALNAP, HAPI)

*contexts to principles & standards include media & public interest*

### **principles & standards remained constrained by:**

- a limited understanding of the **sector** and its **impacts**
- poor **coordination** between principles & standards initiatives
- poor institutional **commitment** & limited **enforcement** options

*context to constraints includes the international community structure*



**thank you**

**please consider questions for the end of the session**

## **Appendix V:**

**Rick Bauer, *Public Health Engineering Adviser,*  
*Humanitarian Department, Oxfam/Great Britain***

**Recent Shelter Experiences Power Point Presentation**

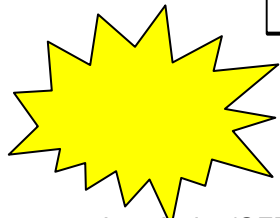
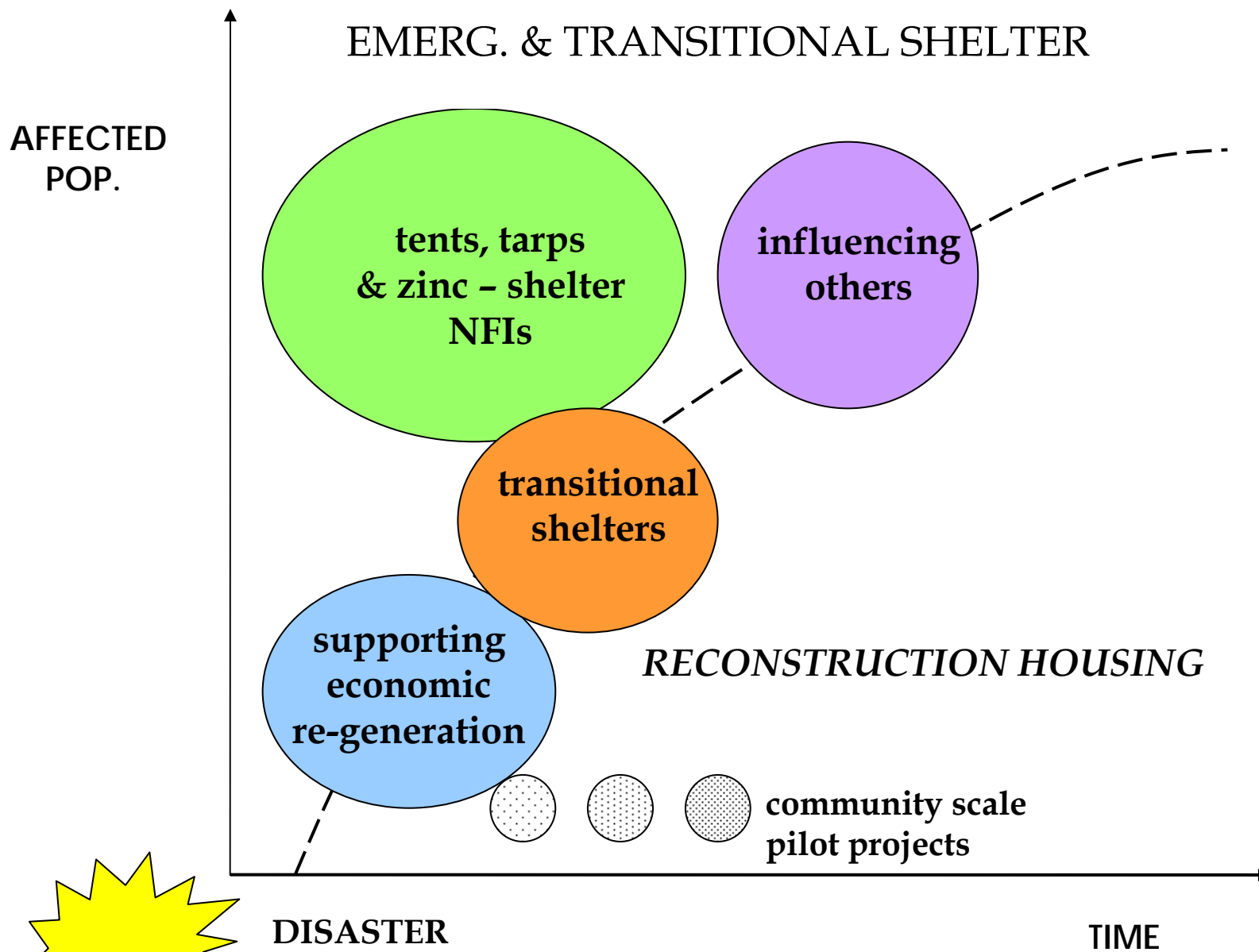
# recent shelter experiences: learning from Aceh & Pakistan



## session points

- Oxfam GB & shelter
- learning from Aceh & Pakistan







# learning from Aceh & Pakistan

- understanding transitional shelter options
- understanding the context
- gender and reconstruction
- coordination – moving from information sharing to influencing others

# understanding transitional shelter options



- tents, tarps, and zinc

options:

- support for host families
- self settlement

## understanding the context



- Is Aceh a natural disaster ?



## understanding the context



- Is Aceh a natural disaster ?



- or a complex emergency?

# gender & reconstruction

- women's role as decision makers
- "double burden" on men
- challenging traditional roles ??



# coordination: moving from information sharing to influencing

	<b>Pakistan</b>		<b>Aceh</b>
	<b>ERRA</b>		<b>BRR</b>
<b>influencing reconstruction policy</b>	☺ ☺ ☺		☺
<b>promoting transitional shelter options</b>	☺		☺ ☺



**Appendix VI:**

**Graham Saunders, *Head of Shelter Department, IFRC***

**The “Cluster” Approach Power Point Presentation**



# THE "CLUSTER" PROCESS: IMPROVING THE QUALITY AND COORDINATION OF DISASTER RESPONSE



International Federation of  
Red Cross and Red Crescent Societies

# Background...

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*Humanitarian Response Review to look at....*

- ❖ Meeting needs
- ❖ Timely response to different crises
- ❖ Capacities
- ❖ Eliciting donor support

# Background...

---

## *Key recommendations....*

- ❖ Improved coordination of international response
- ❖ Strengthen capacities
- ❖ Benchmarks
- ❖ Revised funding mechanisms

# Background...

---

*Leading to...*

- ❖ Sectoral working groups - Geneva
- ❖ Identification of lead agencies
- ❖ Action plans
- ❖ Roll-out in Pakistan, Yogyakarta, Beirut, Surinam

# Progress on shelter...

---

*In Geneva....*

- ❖ Progress on action plan
- ❖ Support for field roll-out
- ❖ Broader participation
- ❖ Incorporation of lessons learned

# Progress on shelter...

---

*In the field....*

- ❖ Shaping the lead role
- ❖ Agency engagement
- ❖ Delineation of clusters/sectors
- ❖ Informing Geneva/global process

# Emerging issues...

---

- ❖ (Mis)perceptions of cluster process
- ❖ Definition of cluster lead in the field (incl. what it is not)
- ❖ Engagement of broader range of agencies
- ❖ Definition of sector
- ❖ Cluster lead capacities
- ❖ Cluster versus sector
- ❖ Cross-cluster issues

# Suggested issues for discussion...

---

- ❖ Defining the **service** to be provided by the cluster lead – what do **you** want?
- ❖ Shelter as a continuum – how to “manage” this through the cluster process?
- ❖ Maximising ownership – how to increase agency involvement in the process?



**Appendix VII:**

***Antonella Vitale, Co-Director, Shelter Centre***

**The “Cluster” Approach Power Point Presentation**

# coordinating the sector



**Antonella Vitale**  
Shelter Centre

***scope of presentation:***

what requires coordination; some challenges for the IASC 'clusters' initiative; and common steps in coordination

***assumptions:***

revision of humanitarian coordination is overdue; coordination is limited only by our institutional commitment to it; and coordination is a service, not a chain of command

# topics

1. **coordination in relief & development**
2. **one sector, three IASC 'clusters'**
3. **coordinating the coordination**

***please consider questions for the end of the session***





# topics

1. coordination in relief & development
2. one sector, three clusters
3. coordinating the coordination



# 1. coordination in *relief & development*

**relief  
stakeholders:**

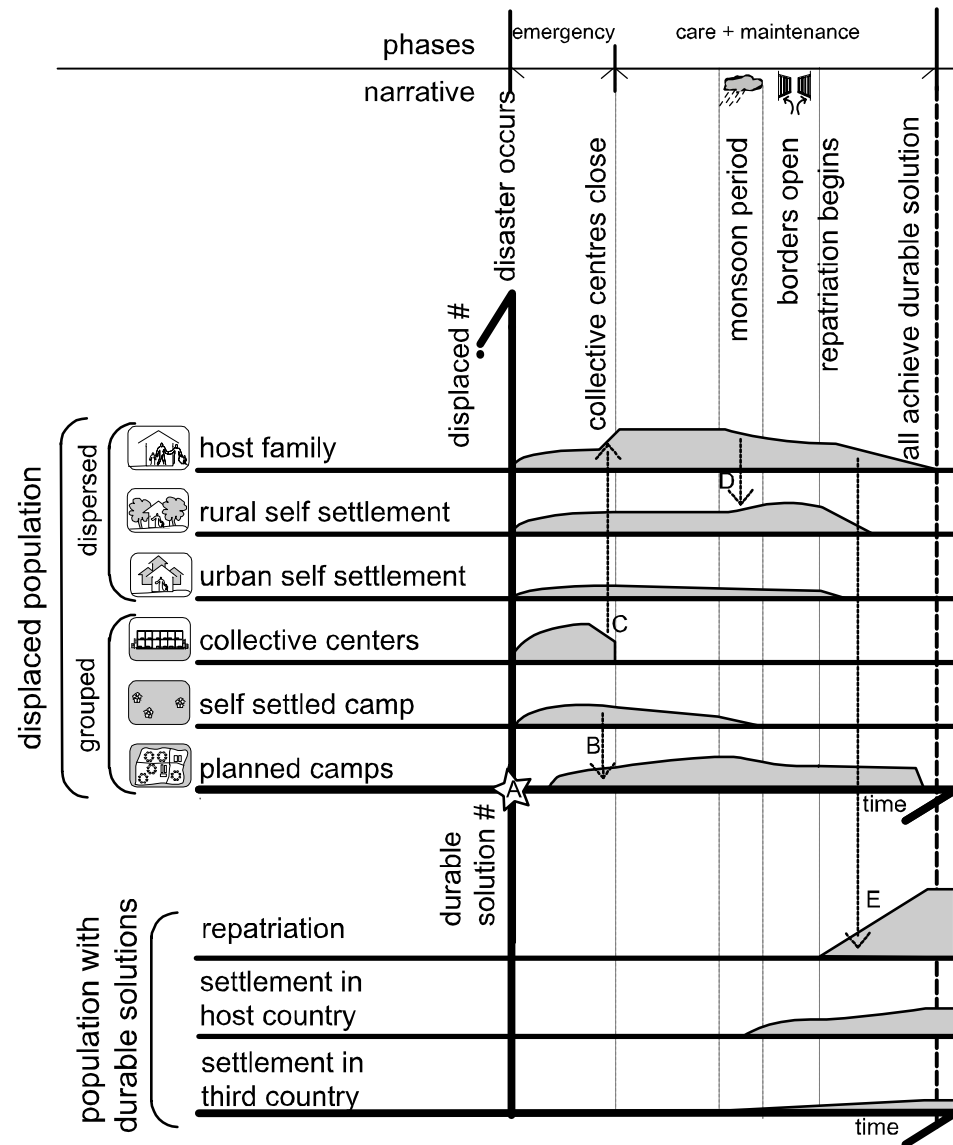
the affected  
communities

their host  
communities

government  
emergency  
committees

local and  
international  
relief agencies

international  
relief donors,  
special relief  
processes such  
as CAP and DEC





# 1. coordination in relief & development

## development stakeholders:

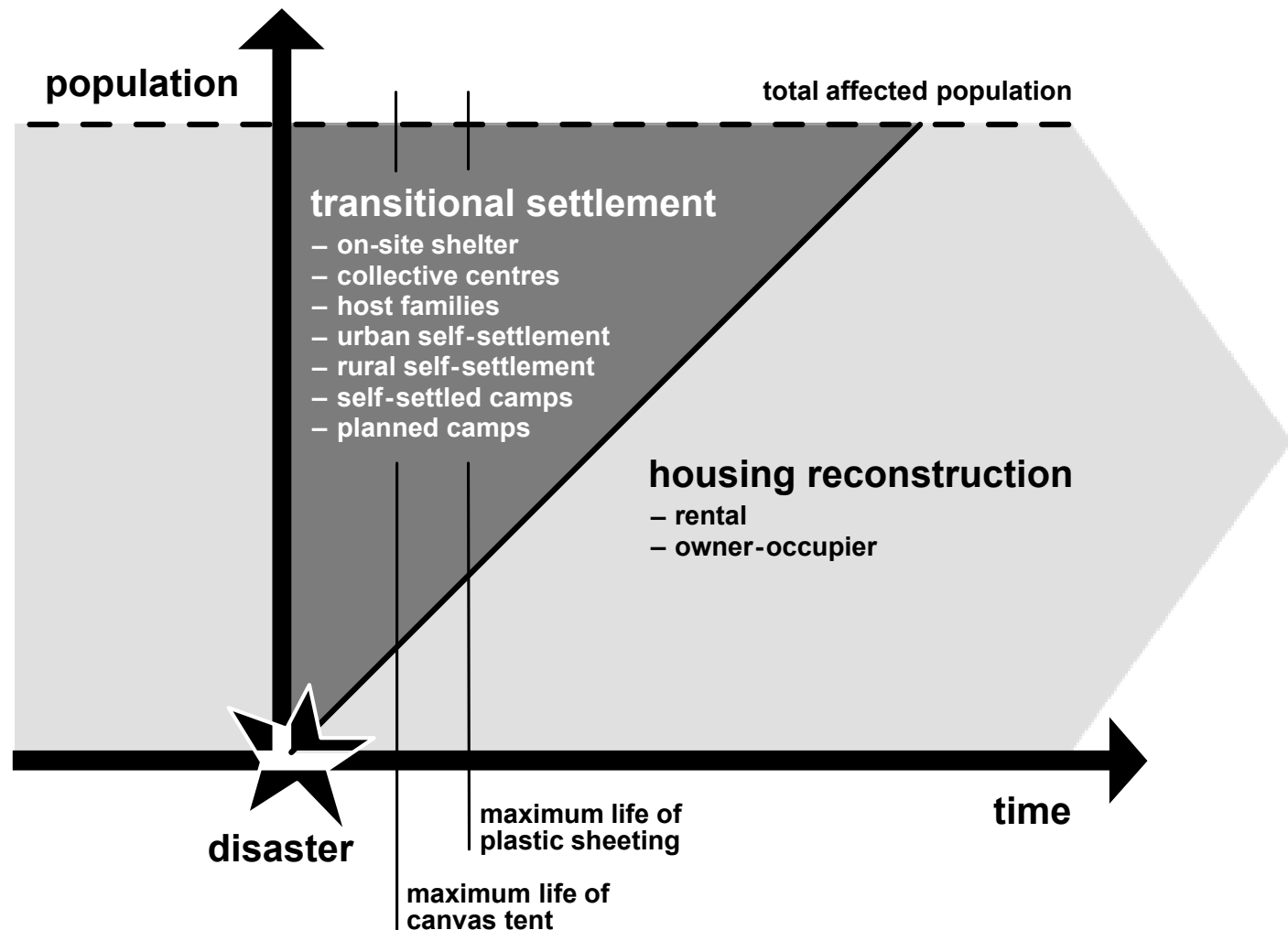
the affected communities

any host communities

government line ministries

local and international development agencies

development donors & IFIs





# 1. coordination in relief & development

## assumptions:

- the revision of coordination is overdue
- coordination is limited only by our institutional commitment to it
- coordination is a service, not a chain of command

## objectives of relief activities:

supporting the transitional settlement options chosen by those affected, as long as they are safe

## objectives of development activities:

supporting the reconstruction of settlements, as long as they are safe, as well as a **sustainable change** in the safety of the local culture of siting and constructing settlements and buildings

these activities happen at the same time:

**in conflicts** some people **return** while others remain **displaced**

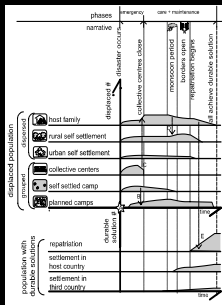
**in disasters** some people can **rebuild** while others live in **tents**

relief and development **mechanisms** tend to be **sequential**

relief and development **activities** tend to be **in parallel**

the **coordination structure** needs to reflect and support

**parallel relief and development activities**





# topics

1. coordination in relief & development
2. one sector, three clusters
3. coordinating the coordination





## 2. one sector, three clusters

### 3 shelter clusters

‘Camp  
Coordination and  
Management’  
UNHCR and IOM



‘Early Recovery’  
UNDP



‘Emergency Shelter’  
(disaster) IFRC



‘Emergency Shelter’  
(conflict) UNHCR



in all other sectors there is just one IASC coordination cluster, and sometimes there is just one accountable lead agency, eg water and sanitation, UNICEF, under Paul Sherlock

three clusters now coordinate what has hitherto been considered one sector, the **shelter sector**

challenges to ‘one sector, three clusters’ include:

- a. the three shelter clusters must be well **coordinated**
- b. there must be no coordination **gaps**
- c. the coordination mechanism must be **accountable**



## 2. one sector, three clusters

### 3 shelter clusters

‘Camp  
Coordination and  
Management’  
UNHCR and IOM



‘Early Recovery’  
UNDP



‘Emergency Shelter’  
(disaster) IFRC



‘Emergency Shelter’  
(conflict) UNHCR



2.a the three shelter clusters must be well *coordinated*

there is currently **no additional mechanism** to coordinate the shelter clusters, *distinct* from the coordination of other clusters

i.e. the coordination relationship between the ‘Emergency Shelter’ cluster and the ‘Early Recovery’ cluster appears the same as that between the ‘Emergency Shelter’ cluster and the ‘Nutrition’ cluster

there is little **justification** for developing three strategies for support to sheltering those in camps, under emergency shelter, or living in the ruins of their homes

coordination **with other clusters**, such as water and sanitation, is complicated unless an integrated sector strategy is developed, for example in developing an approach to water supply that is consistent and equitable for those living in camps and those living with host families



## 2. one sector, three clusters

### 3 shelter clusters

‘Camp  
Coordination and  
Management’  
UNHCR and IOM



‘Early Recovery’  
UNDP



‘Emergency Shelter’  
(disaster) IFRC



‘Emergency Shelter’  
(conflict) UNHCR



### 2.b there must be no coordination *gaps*

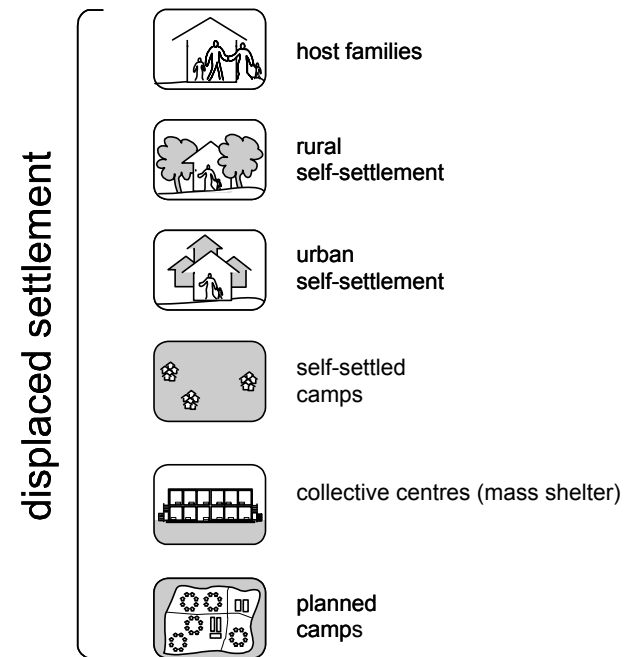
according to UNHCR statistics, only 1/3 of refugees live in camps, while camps should not generally be used post-disaster, and so:

- which cluster coordinates support to **host families**?
- which cluster coordinates **dispersed urban self settlement**?

is **someone living in the ruins** of their home under plastic sheeting coordinated by the ‘Emergency Shelter’ or ‘Early Recovery’ cluster?

... and what if they start to rebuild?

who supports families who **rented** accommodation, once they return to the areas where they used to live, as they do not own land upon which to rebuild?





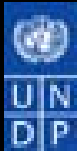
## 2. one sector, three clusters

### 3 shelter clusters

‘Camp  
Coordination and  
Management’  
UNHCR and IOM



‘Early Recovery’  
UNDP



‘Emergency Shelter’  
(disaster) IFRC



‘Emergency Shelter’  
(conflict) UNHCR



2.c the coordination mechanism must be **accountable**

for any coordination mechanism to be effective, it needs to both be **accountable** and have a **clear organisational structure**

- what are the **objectives** of each of the three clusters, against which coordination must be held accountable?
- which **individual** has overall responsibility for each cluster, for example the technical cluster coordinator or the head of mission of the appointed cluster lead agency?
- who is responsible for ensuring **continuity** in caseload transfers between clusters, for example for a family in a camp wishing to return to their damaged home?
- is there a **structure for coordination** through IASC clusters, with **defined responsibilities and activities** for each role?



# topics

1. coordination in relief & development
2. one sector, three clusters
3. coordinating the coordination



## 3. coordinating the coordination

### coordination steps

1. develop a coordination structure
2. develop a common assessment method
3. map where people are in what TS options
4. map areas of responsibility
5. map the progress of works
6. agree specific guiding principles and standards
7. describe the appropriate TS options
8. describe major implementing steps
9. a public consultation and information strategy
10. a handover or exit strategy

coordination of the shelter sector may be structured into a series of **standard services** and **steps**, useful in order to:

**standard services** may include:

- continual assessment and **monitoring data**, eg damage levels
- the collaborative development of an **integrated sector strategy**

**standard steps** may:

- improve the **quality** of coordination, in the same way that standards such as Sphere improve other operational deliverables
- simplify **coordination within a coordination mechanism**, such as between the clusters in the IASC initiative
- support **access** to coordination through presenting a clear structure
- build **sustainable capacities**, both in developing a coordination structure to **extend beyond the intervention**, and in developing a **preparedness capacity** for future crises



thank you

## **Appendix VIII:**

**Richard Hill, *Director, Office of Strategic Initiatives & Analysis, CHF International***

**Defining a Shelter Response Power Point Presentation**





Building a Better World

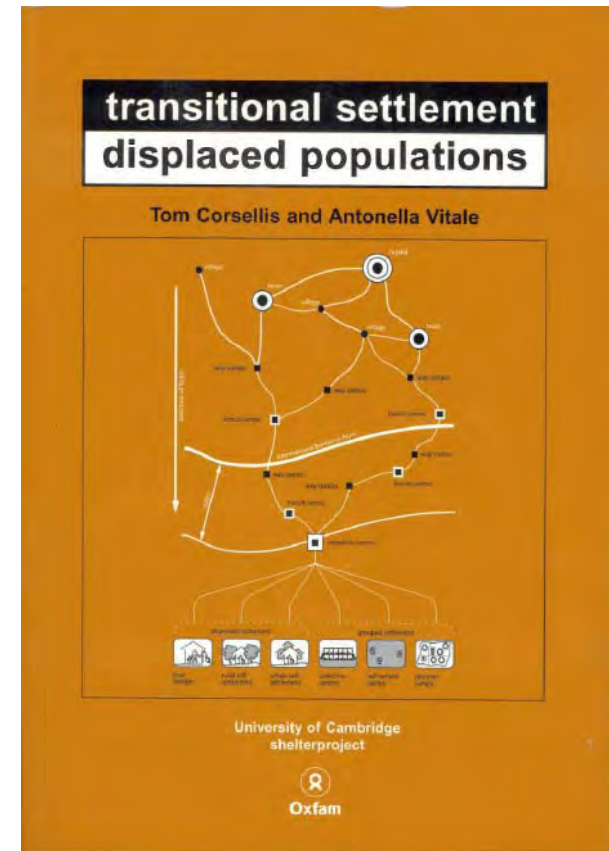
A horizontal bar composed of six colored segments: dark green, dark red, light brown, orange, olive green, and dark blue.

# Defining a Shelter Response

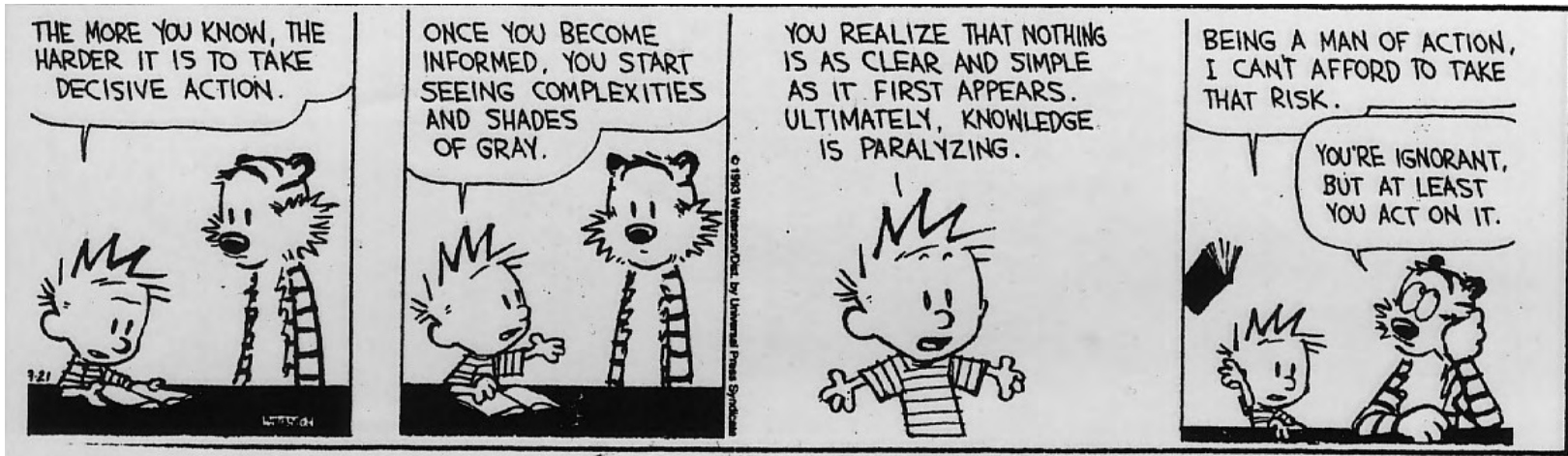
**USAID / OFDA Shelter Workshop**  
**22 September 2006**

# Shelter Needs and Shelter Choices

- Immediate concerns paramount
- Orange Book – Shelter Centre



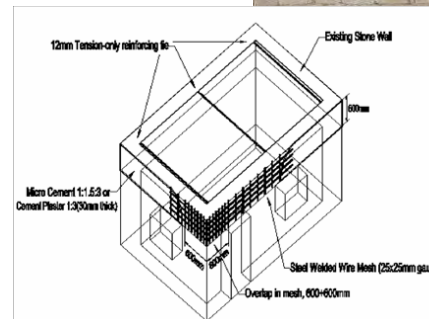
# Shelter Responses - *Risk Reduction ?*



Disaster-Responders: Men and Women of Action

# Impacts of Early Decisions

- Siting
- Material use
- Signals on type and extent of assistance
- Signals on roles of actors
- Temporary shelters





International

Building a Better World



# Why do People Suffer ?

- They are exposed
- No recovery assets – destroyed or poverty
- Damaged housing and other capital
- Forced or choose to migrate



Mud Slide Colombia

# What do shelter and shelter programs do?

## Set patterns:

- Settlement
- Economic
- Political



# What do shelter and shelter programs do?

- Risk
- Social Assistance - Dependency



Turkey Ismir EQ 1999



# Opportunities for Leverage



Aceh markets

# Shelter Program Choices: *Beyond Tents and Plastic*

## ***The dynamics of choice:***

- Host-family
- Migration – travel
- Group shelter
- Asset protection
- Government programs for assistance – psychological impact



Tsunami - Banda Aceh

# Post Disaster Planning

**Has more to do with the political process of planning than the physical processes**



Afghanistan Earthquake

# Case Studies in Resettlement Processes

**Interaction between beneficiaries, assistance groups, and national decision-makers**



Favela in Brazil



India- Peri-urban Settlement

# Sri Lanka

- Government decisions
- Access to sea – livelihoods
- Fishing / vocational change
- Access to planning - role of advocacy



# Banda Aceh

- Return cadastreing
- Hazard mapping
- Role of government planning and reconstruction decisions
- Insurgency - politics of re-settlement, protection, and international presence



## Darfur

- Economic choices/  
enhancement
- Environment – both  
shelter and impact of  
shelter construction
- Social patterns
- Protection



## Darfur: CHF Interventions

- **Livelihoods in Shelter Provision:**  
Security-targeted Cash Injections and Spin-off Benefits



Construction Activities





**Appendix IX:**

**Graham Saunders, *Head of Shelter Department, IFRC***

**Improving Shelter Practice: The Role of Sphere Power  
Point Presentation**

# THE ROLE OF SPHERE – LESSONS LEARNED FROM THE SHELTER RESPONSE IN PAKISTAN



International Federation of  
Red Cross and Red Crescent Societies

# Sphere in practice....

---

- ❖ Pakistan, Shelter, and Sphere
- ❖ Challenges, issues, and next steps



# What do we make of Sphere....?

---

*A practitioner's view...*

- ❖ Common ownership
- ❖ A concise guide to key sectors
- ❖ Field & program oriented
- ❖ Simple and direct
- ❖ Increasingly the 'tool of choice'
- ❖ Reflecting current best practice

*So what happened in Pakistan?*



# The dilemma....

---

*"..Sphere standards will not be met..."*

*Excerpt from Islamabad Emergency Shelter Cluster strategy document, November 2005*



# The dilemma....

---

*Key illustrative issues...*

1. Maximising available resources – assisting more with less?
2. The lack of experienced practitioners
3. Focusing on the 'product' and not the 'process'



# Challenges and issues....

---

*Possible areas to address....*

- ❖ Is the shelter sector good enough?
- ❖ Do we have the required tools?
- ❖ Do people know and use the tools?



# What IS Sphere....?

---

*A practitioner's view (continued)...*

*Sphere is more than Minimum Standards  
& a Humanitarian Charter -*

*Sphere is 'best practice'*





# The role of Sphere....

---

*Promoting best practice....*

- ❖ Alternatives to Sphere?
- ❖ Role of cluster to determine response and standards?
- ❖ Promotion of Sphere to Governments?
- ❖ Complementary “how to” guidance?
- ❖ Other ideas?



**Appendix X:**

***Antonella Vitale, Co-Director, Shelter Centre***

**Improving Shelter Practice: Enhancing In-house  
Capacity Power Point Presentation**

# in house capacity building



**Antonella Vitale**  
Shelter Centre



**scope of  
presentation:**

who needs what  
capacity, the  
human resources,  
sector services

**assumptions:**

capacity building only  
succeeds when the  
institution has a  
genuine commitment;  
almost all  
humanitarian  
institutions have  
already contributed to  
the sector

# topics

1. stakeholders & tools
2. engaging skills & decision makers
3. collaborative services for capacity building offered by Shelter Centre



# topics

1. stakeholders & tools
2. engaging skills & decision makers
3. collaborative services for capacity building offered by Shelter Centre

# 1. *stakeholders & tools*

*motives for building capacity include*

a return to self-sufficiency

political stability through support to livelihoods

responding to urgent defined humanitarian need

sustainable markets

learning

security

each stakeholder has different capacity building **requirements**

## *primary relief stakeholders:*

- the affected communities
- their host communities
- government emergency committees
- local and international relief agencies (NGO, IO, UN)
- international relief donors

## *primary development stakeholders:*

- the affected communities
- any host communities
- government line ministries
- local and international development agencies (NGO, IO, UN)
- development donors & IFIs

## *secondary sector stakeholders:*

- private sector suppliers
- academic and research bodies
- peacekeeping forces

# 1. stakeholders & tools

## *intra-stakeholder engagement:*

the series of familiar tools for building a new competency may best be achieved within a single stakeholder group, given shared motives



stakeholder group can use **similar tools** to build capacity:

- auditing **past involvement**, as most stakeholders have contributed to the sector, directly or indirectly
- contributing to the sector through the **core competency** of the stakeholder, whether this is skill, experience or knowledge
- making a **small-scale intervention**, possibly with a more experienced partner agency
- participating in **training**, especially inter-stakeholder, or holding a **workshop** to audit past work or review an intervention
- participating in initiatives for **standards and principles**, such as the Sphere Project, ProVention, or COHRE
- **participation in coordination**, such as the IASC clusters
- engaging with sector support services, such as '**Shelter Library**'



# topics

1. stakeholders & tools
2. engaging skills & decision makers
3. collaborative services for capacity building offered by Shelter Centre



## 2. engaging skills & decision makers

### Catch-22:

sufficient private sector professionals would like a career change into the sector, but cannot get a job because no agency is prepared to employ them, as they have no operational experience

this Catch-22 can be circumvented by agencies committed to building capacity

**capacity** is required for activities including:

- damage and livelihoods assessment
- community engagement
- strategic planning
- programme design and management
- site management
- evaluation

experienced **private sector professionals** from within and from outside the construction industry can provide much of this capacity, from many levels of experience

to attract **suitable candidates**, consideration may be given to:

- support for **Human Resources** departments
- funded **internship** and volunteer programmes
- engagement with **professional bodies**
- support to **basic training** courses, such as those of RedR

## 2. engaging skills & decision makers

### *institutional culture:*

affected communities cannot always rebuild everything alone, and so appropriate programme design in the sector sometimes requires involving local contractors

engaging and managing contractors is outside the culture and experience of many agencies

most major settlement and shelter decisions are made by **country directors or heads of mission**, not by technical specialists

capacity building must therefore **target these decision makers**, ensuring that they are aware of the approach of the sector, and of the impacts of decision making in the sector on local and regional livelihoods and security, as well as on family shelter

**to achieve this, decision makers may require additionally:**

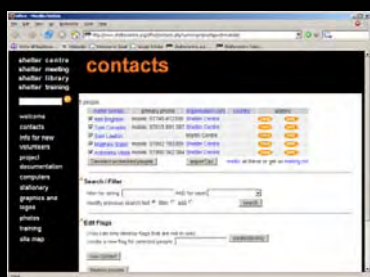
- mandates, **mission statements**, and principles
- a **consistent language** and policy expressed within institutions
- appropriately described **budget lines**, supporting large disbursements before the end of the construction seasons
- support for **contract management**, such as standard contracts and legal advice



# topics

1. stakeholders & tools
2. engaging skills & decision makers
3. collaborative services for capacity building offered by Shelter Centre

## 3. services offered by Shelter Centre



[shelterlibrary.org](http://shelterlibrary.org)

[shelterregister.org](http://shelterregister.org)

[sheltertraining.org](http://sheltertraining.org)

[shelterprinciples.org](http://shelterprinciples.org)

[shelterafterdisaster.org](http://shelterafterdisaster.org)

... in addition to Shelter Library, under developed with Shelter Meeting participants, Shelter Centre will offer:

### Shelter Register

free online posting of vacancies & specialists, with news services

shelter register

### Shelter Training

consensus inter-agency institutional and operational training, available free online

shelter training

### Shelter Principles

agreement of a series of common standards, available for download on this service

shelter principles

### 'Shelter after Disaster: Guidelines for Assistance'

the revision of the 1982 UNDRO guidelines, to be republished by UN/OCHA in 2008

shelter after disaster



**thank you**

**please consider questions for the end of the session**

## **Appendix XI:**

**Dr. Tom Corsellis, *Co-Director, Shelter Centre***

**Improving Shelter Practice: Training Leading to  
Certification? Power Point Presentation**

# training on shelter



**Dr Tom Corsellis**

Shelter Centre



***scope of presentation:***

specific requirements of training on shelter, existing and developing resources

***assumptions:***

institutions both value sector impacts sufficiently to train their staff, and recognise the challenges and opportunities of a relatively under-developed sector; institutions wish to be accountable for their work in the sector

# topics

1. opportunities of sector training
2. two environments for training on shelter
3. training and resources on shelter
4. 'Shelter Training', led by Shelter Centre

***please consider questions for the end of the session***





# topics

1. opportunities of sector training
2. two environments for training on shelter
3. training and resources on shelter
4. 'Shelter Training', led by Shelter Centre



# 1. opportunities of sector training

## **additional assumptions:**

- institutions continue to meet their immediate needs for sector capacity through consultants
- all key sector decisions continue to be made by non-technical managers from institutions with relatively little commitment to the sector
- conflicts and natural disasters continue to impact settlements and shelter

the 'shelter sector' of the international humanitarian community is unlike more established sectors as **few institutions have shelter departments**, or even shelter specialists on staff, impacting the capacity of institutions to:

- **plan and implement operations** involving shelter
- build in-house operational **capacity**
- integrate sectoral **good practice** into wider operations planning
- develop appropriate **policy, guidelines or equipment**

uniquely, unless institutions develop specialist departments, many of these **needs may be met through training** offered by external capacity, which presents additional opportunities to:

- **collate and present inter-agency** the policy, good practice and equipment of a number of institutions committed to the sector
- **support coordination** through consistent consensus training
- train and engage in workshops **external consultants**
- **involve other stakeholders** lacking similar operational capacity, such as local NGOs, governments, donors, IFIs, standards bodies

# topics

1. opportunities of sector training
2. two environments for training on shelter
3. training and resources on shelter
4. 'Shelter Training', led by Shelter Centre



## 2. two environments for shelter training

***if institutional training is widely available, online for free download:***

- professions internationally may develop capacity as a contingency
- potential capacity unable to attend formal training may understand steps required to engage
- individuals who would not normally undertake specialist training may gain an understanding of sector principles

**first environment: institutional training**

*training policy makers, coordinators, managers, and specialist from related activities at headquarters, or ideally **inter-agency***

**if developed and delivered inter-agency, as a standard, consensus sector training may:**

- improve **quality, consistency and coordination** of sector activities, for example in the use of terminology
- enable institutions without capacity to **engage consultants** with greater confidence, possibly involving training **accreditation**
- stimulate the development of and disseminate basic and consistent **policy, guidelines and equipment** for the sector

**if made open to consultants and individuals outside institutions, this training offers additional opportunities to:**

- engage consultants in **sector development**
- engage **private sector professionals** interested in new careers
- introduce existing and potential **capacity to institutions**

## 2. two environments for shelter training

### **if operational training is developed online:**

- contributions may be expected internationally from the private sector and academic community
- training may become a process and not a product
- material may be used by the media and for education
- a sense of regional ownership may develop

### **second environment: operational training**

*training or involving in workshops local government officials, local line ministries, CBOs, LNGOs, and the international humanitarian community, **inter-stakeholder and at every operational level***

**if developed and delivered inter-stakeholder, as part of an integrated sector strategy, operational sector training may:**

- constitute a key **implementation and coordination tool**
- support **public information programmes**, eliciting participation and managing the expectation of all stakeholders, including donors
- form a basis for the **development of committees** to guide sector implementation and sustainable recovery, at every level from communities to central government

**if developed and maintained regionally from a common base, this training offers additional opportunities to:**

- build sustainable **regional capacity**, supporting preparedness
- engage and elicit **regional expertise** and good practice

# topics

1. opportunities of sector training
2. two environments for training on shelter
3. training and resources on shelter
4. 'Shelter Training', led by Shelter Centre



# 3. training and resources on shelter

*in-house shelter training is not offered in most institutions, impacting:*

- the country managers and heads of mission who make most key decisions
- other sector specialists, such as WES & logistics
- policy integration
- the general visibility of the sector to the institution

general **shelter training** available

**Disaster Management Centre**, University of Wisconsin  
*trainers for many years of UNHCR and other UN bodies*



**SDC/HA**, Swiss Government  
*pertaining mainly to refugees, primarily for their own staff, involving expert physical planners*



**RedR-IHE**, in collaboration with Shelter Centre  
*inter-agency training, including construction techniques and field engineering*



# 3. training and resources available

*these published resources are not available in one place, for free download or on a CD, preventing:*

- any awareness or access by most stakeholders
- local translation, integration into policy, and dissemination
- the navigation of diverse publications, especially through internal digital search

**example resources and academic courses available related to settlement and shelter**

**Craterre, Grenoble**

*courses and materials on adobe construction*



**CENDEP, Oxford Brookes University**

*MSc/Graduate Diploma in Development Practices*



**Post-war Reconstruction & Development Unit,**

*York University, centre for learning on post-war reconstruction and development*



**LUND, Sweden**

*developmental building and construction techniques*



**UN-Habitat**

*developmental planning and building resources*



**ITDG Publishing**

*guidelines on construction, community participation*





# topics

1. opportunities of sector training
2. two environments for training on shelter
3. training and resources on shelter
4. **'Shelter Training', led by Shelter Centre**



## 4. Shelter Training, led by Shelter Centre

*the first 'Shelter Training' will be held in Geneva in May 2007, and the Training is designed to be:*

- modular, to be built upon with additional specialist courses
- modified for local translation, integration into policy, and dissemination
- appropriate for integration into institutional training and induction

need identified at the biannual sector forum 'Shelter Meeting'

Shelter Training development **funded by DFID**, 2006 - 2009

Shelter Training will be delivered in **Geneva**

training materials will be free to **download and use**

contributing **consortium** (open to further contributions):

**IFRC**

**COHRE**



**NRC**



**RedR-IHE**



**UN-Habitat**



## 4. Shelter Training, led by Shelter Centre

*the proposed agenda for Shelter Training is included in the booklet of notes distributed, and includes:*

- a one day training-of-trainers
- the consideration of post conflict and post disaster response together, from onset until sustainable return
- an email address for comments

### Shelter Training core objectives

providing the consensus training package for the sector, promoting common:

- terms
- approach, principles and standards
- strategic planning processes
- implementation processes
- coordination steps, services, and mechanism

### Shelter Training possible additional modules include:

- community participation
- implementing reconstruction programmes
- camp planning
- host family support
- cold climate programming
- Geographic Information Systems

## 4. Shelter Training, led by Shelter Centre

*accreditation is a complicated undertaking, as the accreditors would require:*

- the resources to monitor, contest and defend compliance
- continuity over the period of compliance

the **accreditation** of training on shelter has been proposed, and may add significantly to the quality of sector capacity, if consideration is given to:

- sector-wide support to developing a credible standard training module that meets general needs
- enforcement, such as through a donor and implementer consensus on requiring accreditation
- disaggregation to reflect the different skills required and available, for example some consultant specialists are experienced programme managers but have no formal training in planning, construction, or material use
- the need for modular Continuing Professional Development, which cannot be met with a brief introductory course, for example through the development of additional specialist modules and the recognition of existing courses



**thank you**

**please consider questions for the end of the session**

**Appendix XII:**

**Charles Setchell, *Shelter, Settlements, and Hazard Mitigation*  
Advisor, USAID/OFDA**

**Settlements Programming: Providing “Structure” To  
Shelter Article**

# Settlements Programming: Providing “Structure” To Shelter

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Settlements are the “Where?” of OFDA’s mandate, and the physical locations where people congregate, whether in transit camps, villages, or mega-cities. Natural events or conflicts in or near settlements often generate loss of life, property, and significant humanitarian needs, including shelter, which often requires an OFDA response.

What is the link between settlements and shelter? Shelter and related support services are key features of settlements, typically occupying a majority of the land in larger settlements. In many countries, people consider shelter their most important economic asset, and a critical contribution to both sustaining life and supporting productive activities. An understanding of shelter markets can provide useful insights into local needs, resources, and opportunities. Shelter is thus part and parcel of the larger context of settlements, and the natural hazards and resource issues in that context that generate disasters and conflicts.

Settlements programming seeks to integrate a range of sectoral activities in physical locations, if only to more closely approximate the integrated and multi-faceted nature of settlements, and the need to *draw development issues/concerns such as governance and accountability more fully into post-emergency responses, thereby promoting the larger objective of developmental relief*. A settlements orientation thus permits a focus on crosscutting, multi-sectoral themes, including gender, livelihoods, shelter, agriculture, and mitigation, thereby improving awareness and understanding of the political realities of local contexts, and thus the potential for positive outcomes.

OFDA is applying a settlements approach on an increasingly frequent basis. Recent experience includes the following:

**Afghanistan, 2002-2004:** Several thousand houses have been repaired and rebuilt in response to the effects of earthquakes and conflict in Kabul and numerous other settlements. Projects have incorporated seismic resistant construction measures to mitigate the impacts of future earthquakes. In addition, shelter projects have generated a number of specific economic impacts. Reliance on use of local building materials and labor has resulted in the expenditure of approximately 85 percent of project funds in local economies, which generated considerable direct and indirect livelihood opportunities. For example, millions of bricks have been made by local residents, thereby eliminating the need to import a basic building material while generating significant livelihood opportunities, including support of home-based enterprises.

The OFDA project experience in Afghanistan serves as an example of how both Sphere Project guidelines and seismic mitigation measures can be incorporated into an emergency shelter project without increasing costs, delaying grant review or processing time, or lengthening the project implementation period. As a result, the projects have received praise from many quarters for its emphasis on hazard mitigation, livelihood promotion, and engaging disaster-affected populations in project design, planning, and implementation. This praise has included nomination for an Aga Khan Foundation Award for Excellence in Architecture.

**DRC, 2002:** A volcanic eruption devastated Goma, with lava eventually covering 13 percent of the city, destroying up to 15,000 houses, and causing significant economic loss. Included in the \$5 million OFDA response was support of a \$2.3 million “city-centered” transitional shelter project for 5,000 households, together with a volcano hazard monitoring and mitigation program designed to allow residents to learn how to live with the hazard in their midst. The shelter project was completed in five months, and associated economic benefits have been considerable, leading the *New York Times* to comment in a recent article that a “housing boom” has occurred in Goma. Of note is that 86 percent of beneficiaries considered the transitional shelter as their permanent housing solution, even as 80 percent of beneficiaries moved their shelters back to the land they were occupying at the time of the volcano. The project serves as an example of how shelter, livelihood promotion, and hazard mitigation objectives can be achieved in a coordinated manner.

## WEBSITE RESOURCES

- **Setchell, Charles A.** “Keeping the ‘Big Picture’ in Mind: Shelter Sector Work Beyond the Guidelines,” Keynote Remarks Delivered at the Fifth ShelterProject.Org Conference, UNOCHA Headquarters, Geneva, Switzerland, 30 April 2004, [www.shelterproject.org](http://www.shelterproject.org)
- \_\_\_\_\_, “Promoting Sustainable Development Through Hazard Mitigation: Bamako, Mali,” *Disaster Risk Management in Asia*, Vol. 9, No. 3 (July-October 2003), <http://www.adpc.net/infores/newsletter/2003/07-09.pdf>, pp. 21-22.
- “Thinking Outside the Tent: New Directions for Shelter Sector Activities,” Keynote Remarks Delivered at the Second Session of the ShelterProject and Sphere Project Shelter Sector Peer Review Groups, Geneva, Switzerland, 3 October 2002, [www.shelterproject.org](http://www.shelterproject.org)
- \_\_\_\_\_, “Reducing Vulnerability Through Livelihoods Promotion In Shelter Sector Activities: An Initial Examination For Potential Mitigation and Post-Disaster Application,” Tufts University Feinstein International Famine Center Working Paper No. 5, September 2001, [http://famine.tufts.edu/download/pdf/working\\_paper\\_5.pdf](http://famine.tufts.edu/download/pdf/working_paper_5.pdf)

## **Appendix XIII:**

**Charles Setchell, *Shelter, Settlements, and Hazard Mitigation*  
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**Promoting Sustainable Development Through Hazard  
Mitigation: The Bamako, Mali, Flood Hazard Mitigation  
Project Article**



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## **PROMOTING SUSTAINABLE DEVELOPMENT THROUGH HAZARD MITIGATION: THE BAMAKO, MALI, FLOOD HAZARD MITIGATION PROJECT**

By

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**Background.** Flash flooding throughout Bamako in August 1999 resulted in two deaths, numerous injuries, and generated significant economic losses for several thousand people. OFDA responded to an Ambassadorial request for disaster assistance by providing \$25,000, which was used for local purchase of selected relief supplies. Action Contre La Faim/Action Against Hunger (ACF/AAH, or ACF) was tasked by the embassy to distribute supplies to flood victims. The most affected area of the city was the Banconi area of Commune One, and residents of this area received the bulk of relief assistance.

OFDA/DC requests to ACF for additional information on the causes of flooding, and opportunities for mitigating these causes, led to a series of interactions that resulted in the October 2000 approval of a two-year, \$450,000 mitigation project in Banconi, to be implemented by ACF. Although project activities will end in December 2003, a recent visit to Bamako to review project impacts serves as the basis for this article.

Bamako is one of several African cities that have experienced flood disaster declarations in the past five years. Although not an exhaustive list, other cities include Algiers, Ndjamena, Kinshasa, and Khartoum. One of the primary causes of flooding in Bamako and elsewhere has been the disposal of refuse in waterways, thereby compromising the ability of waterways to safely absorb floodwaters. Efforts to mitigate flood hazards are thus linked to improvements in urban service provision (e.g., improved retention, drainage, and refuse collection and disposal).

**Project Objectives.** The ACF project has focused on five objectives, as follows:

1. Watershed management, to include retention strategies (e.g., slip trenches and diversion efforts) and waterway bank restoration;
2. Refuse removal, collection, and disposal, to include removal of backlog refuse in waterways, and establishment of refuse collection system and landfill operation, supported by extensive community-based training efforts in public health and sanitation;
3. Livelihood generation, related to drainage/retention improvements, refuse collection and disposal, and initiation of a composting operation;
4. Public health and sanitation improvement, through enhanced water management, training and awareness raising, and refuse collection and disposal; and
5. Decentralization support to promote democratic governance (DG), via engagement of local government authorities and project area residents in a process of identifying needs and priorities throughout the project cycle.

From the start, the USAID/Mali mission was supportive, viewing the project largely as an applied Democracy and Governance (DG) project, in that government decentralization would be promoted through hazard mitigation and urban service provision.

**Results.** In addition to promoting decentralization, the project has reduced flood hazard vulnerability, generated livelihood opportunities to project area youth, and generated significant improvements in project area public health. Specific results include:

1. Restoring channel volume in key project area waterways through removal of several hundred tons of accumulated refuse and related debris, to improve drainage capacity and reduce flood vulnerability
2. Improving water retention capacity in selected sites throughout the project area through the construction of slit trenches (a.k.a., soak pits), thereby reducing both runoff volume and flood vulnerability
3. Establishing of a refuse collection and disposal service through the creation of eight collection routes, each served by a collection team using tractor-trailers, who bring the refuse to a landfill site established by ACF. This service has generated numerous livelihood opportunities for unemployed youth, and has become self-sustaining, in that collection fees more than offset costs. The service is also the first collection and disposal system in the country's history, and has been identified in the Ministry of Environment's National Environment and Sanitation Plan as a model for replication in cities throughout Mali.
4. Replication of the collection and disposal service by the Dutch and French government volunteer agencies.
5. Establishing a composting operation at the landfill site, with initial sales contracts signed. ACF conducted a survey of refuse, and found that 87 percent of collected refuse was compostable, and that a market for compost existed in Bamako. The potential for market expansion is possible, given the presence of many urban garden operations, government offices, and private residences in Bamako.
6. Reducing the incidence of selected water-borne (e.g., diarrhea) and mosquito-borne (e.g., malaria) illnesses in the project area by 33-40 percent since project inception. With no other interventions in the project area during the past two-plus years, the aforementioned project activities, coupled with the extensive training of project area residents in sanitation and environmental management provided by ACF, suggests strongly that flood hazard mitigation also contributes to significant public health improvements.
7. **In addition** to the local and national recognition of project activities and results, ACF's work has been recognized internationally. ACF was, for example, invited to make a presentation at the 3rd World Water Forum in Kyoto and Osaka in March 2003, sponsored by the World Water Council.

**Summary.** The Bamako project has achieved objectives and far exceeded expectations. Elements of the project have been replicated by other donors, Malian authorities have become increasingly impressed with project outcomes, Commune 1 officials are now considered resources for training programs in other Communes, and media coverage has been both notable and positive. As a result of these project impacts, the Ministry of Environment identified the project as a model for replication elsewhere in Bamako, and in other Malian cities. In response, OFDA provided additional funds to ACF to intensify training and outreach activities, to contribute to the larger objective of reducing hazard vulnerability in Malian cities, thereby making them safer places to live and work.

Although the ACF/OFDA effort to reduce flood hazard vulnerability in Bamako has proved successful, it has **ALSO** demonstrated that such an effort can be a cost-effective means of promoting several *other* objectives at the same time, including improvements in urban service provision, promotion of decentralization, expansion of livelihood opportunities, improvements in environmental management, and -- importantly -- improvements in public health. At a time when most organizations have constrained budgets, the multiple benefits of hazard mitigation in Bamako should be recognized, appreciated, and considered as a model for hazard mitigation -- and sustainable development -- programming activities elsewhere.

**Epilogue.** Based on project performance and a site visit in February 2003, ACF received an additional \$75,000 from OFDA to support the following activities for a period of six months:

- **Composting of refuse** at the landfill site. ACF worked with all 50 urban agriculture associations in Bamako to field test the effects of compost on yields, and market compost to the larger community.
- **Economic analysis** of the costs and benefits of selected water retention measures used in the project (i.e., slit trenches and waterway bank restoration), and
- **Support of an outreach program** to promote the project city wide through education and awareness-raising activities (e.g., workshops, fliers, TV and radio programs, street theater, school curriculum development, etc.) to respond to expressed interest from government ministries and others.

***Finally***, in August 2003, USAID/Mali expressed an interest in basing a review of its recently-adopted Country Strategy Plan (CSP) on the project, as a means of reflecting urban hazard mitigation issues, and the rapid urban growth in Mali that is contributing to greater vulnerability. The review was completed in October 2003, and serves as an excellent example of integrating hazard mitigation and development policy, thereby enhancing the prospects for sustainability. ***The project is also the inspiration for a new West Africa region urban environmental initiative that will be supported by USAID in the coming years.***

**Appendix XIV:**  
**Parking Lot Issues**

## **“PARKING LOT” ISSUES**

How do we message our sector’s value to the political and commercial interests to increase funding for shelters and settlements initiatives/programs?

Clusters:

- Conflict of interest potential when a cluster lead also is a competitor for grants.
- Many meetings = More staff (overhead), and less time in the field.

“Land tenure is the biggest obstacle...” As land can be acquired or leased with cash or financing, then is portable/transitional/modular economic development a new capability that the sector should create?

RE: earlier question of not locating landslide victims to a floodplain, is there a compiled set of site evaluation criteria and factors giving both go/no-go and avoidance for use of a given site?

Follow-on: Is there a compiled set of shelter requirement evaluation criteria and factors giving guidance of preferred shelter for a given scenario?

**Appendix XV:**  
**Summary of Participant Evaluations**

**Summary of Participant Evaluations  
For the USAID/OFDA-Interaction Activity,**

***“Gaining a Sense of the Sector:  
A Participatory Workshop on Shelter and Settlements Activities,”***

**September 22, 2006**

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**What is the most important thing you learned about shelter and settlements today?**

- Surprised that shelter sector is not more organized and developed as previously thought
- How relief and development must be viewed as one process and how transitional shelter and reconstruction must be addressed simultaneously
- The challenges and vision for the sector
- That increased internationality is forthcoming in the shelter sector actors in North America
- Work being done in Europe, and
- Chuck’s expectations in proposals.

**Which presentation/discussion did you like the most? Why?**

- They were all great
- Recent Shelter Experiences, and Thoughts on Creating a Shelter Workshop
- Tom and Antonella were clear, concise, organized and passionate, their presentations were rich and I’d like to see them in a less rushed framework
- Role of Sphere and Enhancing In-House Capacity, and
- Rick Bauer – clear, succinctly captured Oxfam and other NGO approaches.

**Which presentation/discussion did you like the least? How could it have been better?**

- Defining the Shelter Response
- Rick Hill was interested but not as focused, and
- Cluster approach was good but ended up being a bit rushed – more time should have been devoted to it.

### **Session on Gaining a Sense of the Sector:**

- Average Rating – 3.9 (on range of 1 = poor, to 5 = excellent)
- Comments:
  - Good introduction, and
  - Demonstrated the void of coordination among the US organization in the shelter sector.

### **Session on Recent Shelter Experiences:**

- Average Rating – 4.2
- Comments:
  - Good overview
  - Excellent – using real examples was a very useful approach, and
  - Discussion about land tenure was very interesting.

### **Session on the “Cluster” Approach: Initial Reviews**

- Average Rating – 3.4
- Comments:
  - Clear on cluster goals & problems, and
  - Not enough useful dialogue about engagement and utility of clusters in shelter.

### **Session on Defining a Shelter Response/Approach**

- Average Rating – 3.5
- Comments:
  - A bit rambling and out of focus, and
  - More a list of issues than a framework for thinking about shelter approaches.

### **Session on Improving Shelter Practice (ISP): The Role of Sphere**

- Average Rating – 4.3
- Comments:
  - Use of case study was very helpful – clear, concise.

### **Session on Improving Shelter Practice (ISP): Enhancing In-house Capacity**

- Average Rating – 3.8
- Comments:
  - Not just an issue with shelter – but it was nicely presented and offered good ideas, and
  - Useful suggestions and documents resources, but coverage of options/range of ideas was limited.

### **Session on Improving Shelter Practice (ISP): Training Leading to Certification?**

- Average Rating – 3.4
- Comments:
  - Interesting discussion
  - Certification seems unrealistic – but the idea of working with universities for in-depth courses to produce graduates to hire would be a good first step toward a pool of experts to increase capacity in the field, and
  - Presentation of issues seemed lacking in concrete suggestions for progress toward accreditation (i.e., Next Steps).

### **Session on Improving Shelter Practice (ISP): Thoughts on Creating a Shelter Working Group**

- Average Rating – 3.7
- Comments:
  - Amazing that it's been 10 years since last shelter workshop in North America. Encouraging that some traction is being achieved
  - Good to create a forum to continue the discussion
  - Very interested in involvement
  - Good discussion – hard to respond immediately to proposals – need time for agencies to understand implications in terms of time, resources, additional responsibilities, etc.
  - Good discussion – hope it moves forward
  - First Step - set a date for next spring
  - Needs to be explored how US organizations can contribute to this debate, and
  - Realized how very European-center driven the discussion is.

### **General Comments on Workshop**

- Average Rating – 4.6
- Comments:
  - Excellent!



- Ideal size and format for meaningful discussions. Participation of European organizations and OFDA was key to depth of discussions
- Facilitation was great – having Chuck very involved as both a presenter and active participant was great. It really helped having so many shelter experts around the table – made the meeting a quality experience
- Well managed conference – excellent teasing out of the issues
- Great to get everyone together - need to follow up with trainings, working groups, etc.
- It was sort of an “old boys’ network” in the sense that the long-time players and experts all spoke. Newbies spoke less though Chuck really tried to empower people to speak
- Thanks for sticking to the schedule
- Very well done. I appreciated the discussion of different transitional shelter options. The sessions might have been more participatory if small group discussions on key topics were incorporated. With so many experts eager to speak up it is hard for others to jump into the dialogue in the larger group setting - perhaps the experts could lead smaller group discussions.
- Should be focused on concrete action from the beginning, not clear from the start what the goal/objective of the workshop was.