

SCOPING STUDY EMERGENCY CASH TRANSFER PROGRAMMING IN THE WASH AND SHELTER SECTORS



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SCOPING STUDY EMERGENCY CASH TRANSFER PROGRAMMING IN THE WASH AND SHELTER SECTORS

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ACRONYMS

ACF	Action Contre la Faim
BoQ	Bill of Quantity
CaLP	Cash Learning Partnership
CFW	Cash for Work
CTP	Cash Transfer Programme
DEC	Disaster Emergency Committee
DRR	Disaster Risk Reduction
EFSL	Emergency Food Security and Livelihoods
FST:	Field Support Team
HCR	High Commissioner for Refugees
IK	In-Kind
KII	Key Informant Interview
M&E	Monitoring and Evaluation
OCHA	Office for Coordination of Humanitarian Affairs
PDM	Post Distribution Monitoring
SI	Solidarit�es International
SOP	Standard Operating Procedures
UN	United Nations
UNICEF	United Nations Children’s Fund
WaSH	Water, Sanitation and Hygiene
WFP	World Food Programme

EXECUTIVE SUMMARY

BACKGROUND

Over the past few years, the dialogue on Cash Transfer Programming (CTP) has progressed beyond initial debates about whether distributing cash and vouchers is a valid response modality to a general acceptance of their added value in appropriate contexts. Beyond the livelihoods and food security sectors, CTP is increasingly being considered as a response to emergency shelter and WaSH needs through an increasing variety of modalities and program designs. However, there is still a need to capture the recent advancements in the use of CTP in the shelter and WaSH sectors to respond to emergencies in order to encourage quality CTP at scale in these sectors.

OBJECTIVES

This study, funded by the Swiss Agency for Development and Cooperation, aims at providing findings and recommendations on the current use of, approaches to and capacity for CTP in the shelter and WaSH sectors, including programming that combines assistance modalities.

METHODOLOGY

22 days were devoted to the study between July and December 2014. It was conducted using a participative approach in order to ensure both buy-in from the different stakeholders and the relevance of the recommendations being drawn. 111 practitioners contributed to the study through interviews and surveys.

FINDINGS

The use of CTP to respond to WaSH and shelter emergency needs is growing according to the perception of all practitioners interviewed. Multiple examples of the use of CTP during man-made and natural disasters, slow and rapid onset crises and small and large-scale responses were displayed during the study. These examples cover the whole range of cash models¹ and are described in the study report. For both sectors, however, **data and literature** that document the current range of programming in a quantitative and centralised way **are lacking**.

The main difference in the uptake of CTP in the WaSH and in the shelter sectors sits mostly in the way practitioners are embracing it. The shelter practitioners have a lot of experience in CTP using a combination of modalities, which began on a large scale during the 2004 tsunami. Their entry point has been using CTP instead of in-kind to deliver shelter outcomes in a similar vein as the food security sector. The main obstacle they are now facing for projects with CTP delivery is related to market analysis and monitoring. On the other hand, the entry point for WaSH practitioners has been market-based programming. A substantial number of market analyses have been implemented by WaSH practitioners in order to understand the markets for water, hygiene kit items, etc. There are several examples of market support activities combined with in-kind delivery. The key specific blocker they are now facing relates to how to combine market support and market strengthening activities with the use of CTP, especially cash grants.

The uptake of CTP is sector specific and has been analysed as such in the study report. Markets remain at the centre of CTPs, and it is crucial to understand how to analyse and monitor markets and how to implement a response that will “do no harm” to local markets and even support or strengthen them.

Analysing the market system should be done as part of the situation analysis whether CTP or in-kind modalities are being considered. However, this good practice of analysing the market systems has been mostly triggered by the growing consideration of CTP. Despite the increasing occurrence of market analyses in the WaSH and shelter sectors, in most of the agencies interviewed, expertise in market assessment still rests primarily in the EFSL sector, and the different market analysis tools are still perceived as food security tools. This raises the question of skill and capacity building but also of what tools to use, especially as the market systems related to the shelter and WaSH sectors are often complex.

¹ The CaLP has identified 12 cash models. The first level criteria regroup 3 initial families (sectorial, multisectorial, multipurpose) which are further subdivided by a set of criteria related to the contributions (or conditions on participation/qualification) and then by conditions on the use of the cash transfers.

Following the market analysis and other assessments that are part of the situation analysis, the response and its delivery modality are designed. This step between the **situation and the response analyses** should be driven by the assessment results. It seems, however, that “gut feeling,” the agency mandate and the humanitarian team’s comfort zone are still driving most of the response design, and analysing the market may not be enough to ensure that all the different modality options, including CTP, are considered.

Practitioners in both the WaSH and the shelter sectors have spent a lot of time and resources thinking about **specifications and meeting standards**. The consideration of CTP is perceived as challenging this previous work and the practitioners’ certitudes about what constitutes good quality programming. CTP more broadly questions the role of WaSH and shelter professionals, as it has done for those working in logistics, for example.

RECOMMENDATIONS

Looking at both differences and similarities between the two sectors and at the central role of markets, joint and prioritised recommendations have been drawn. However, the type of support practitioners will look at has been analysed in a sector-specific way in the study report.

Focussing on market-based programming rather than CTP

There is a need to advocate for market-based programming, not CTP, as a standard response. CTP should only be part of the regular toolbox for humanitarian practitioners across sectors. For this advocacy message to be understood, the explanation of what CTP and market-based programming are and are not should be clearer. This would also help to demystify cash and to present it for what it is: simply a delivery modality that can be used to achieve diverse humanitarian outcomes. As the challenge lies in understanding markets, having a sound understanding of local market systems can lead to the use of either CTP or in-kind modalities, through a response that will do-no-harm to local markets and possibly even strengthen them. Understanding markets also allows the implementation team to be flexible and consider switching from one delivery modality to the other in case of a changing context, to ensure the most appropriate modality. Discussions around markets should be inclusive of wash and shelter practitioners.

Documenting the past and current use of CTP

Examples of what has already been done should be more systematically documented and shared widely among donors, UN agencies and implementing organisations. Evidence of where and when the use of CTP has made a difference and has had an impact in providing shelter and WaSH services in emergency settings should also be gathered. The Cash Atlas and CaLP library provide great platforms to share evidence, as do the clusters’ websites. The current review of the CaLP website is also an opportunity to reinforce CaLP’s role as a resource sharing platform and to make sure the use of CTP in both the WaSH and shelter sectors is referenced in a clear manner both in the CaLP library and in the Cash Atlas.

Developing a capacity building plan

Due to the nature of humanitarian work, it is difficult to retain and institutionalise the knowledge gained within an organisation. There are already some (even if not many) cash champions in the WaSH and shelter sectors; efforts could be made to a) identify them and recognise their expertise, b) build their capacity further, and c) position some champions during the first weeks of an emergency to make sure the market and cash questions are being considered. A training strategy could be developed at agency level to include mentoring, shadowing, examining what could be learned from the private sector and capturing learning and experiences in market support and quality control. CaLP training could be reviewed to be sure it is more shelter and WaSH friendly.

Joining forces to create evidence and knowledge

Interested agencies could join forces to set up an action plan for the uptake of market-based programming and CTP in both the WaSH and shelter sectors, potentially in a sector-specific way, as the needs and stages are different. They could look first for learning based on the experience of the EFSL sector.

Making CTP and markets part of the standard skillset

CTP and market skills should progressively become part of the skill set of WaSH and shelter practitioners. They should be included in job descriptions when recruiting team members and in the performance objectives of existing team members.

Identifying cash and market champions

At the level of implementing organisations, there are more and more cash and market advisors. These people should drive the agenda forward and be key allies in the uptake of market-based approaches and CTP in the WaSH and shelter sectors. Historically, these cash and market advisors have often come from an EFSL background and, if this continues in the short term, they should be inclusive in their work and systematically involve WaSH and shelter departments in all market and cash related discussions. Organisations should be the primary source of support and guidance documents when markets and CTP are being considered to cover WaSH and shelter needs. This will support the institutionalisation of CTP and market-based programming. Cluster coordinators should be encouraged to play a key role, not necessarily to promote the use of CTP, as this should be analysed on a contextual basis, but to make sure the question is being asked when WaSH and shelter needs assessments are being done and strategies developed.

Adjusting existing guidance and tools

Two approaches can be taken in parallel: adding WaSH and shelter perspectives in existing CTP and market guidance documents (SOPs, etc.) and adding market based and CTP approaches to technical documents in the WaSH and shelter sectors (Global WaSH Cluster Field Support Team (FST) assessments, UNICEF programme policy and manual, Global shelter toolkit for shelter coordination team members, etc.)

Ensuring a way forward

This study's key recommendation for the CaLP is to offer a way forward for these recommendations. All the interviewees mentioned that they found this study relevant. This interest should be used to create momentum around the consideration of market-based programming and the use of CTP in the WaSH and shelter sectors.

Relying on donors as advocacy allies

Donors already welcome the idea of using CTP and market-based approaches to respond to WaSH and shelter needs. Furthermore, all the interviewed donors expressed interest in supporting relevant research and piloting market-based approach. Donors could therefore be advocacy allies when it comes to raising government awareness on the use of CTP to respond to WaSH and shelter needs. Governments might then encourage implementing agencies to consider CTP and markets.

Keeping CTP and markets on coordination platforms' agendas

The WaSH and shelter clusters at different levels have strategies with specific outcomes and outputs. These strategies need to be analysed to determine in which strategic output the consideration of market-based programming and CTP can be included. This would also help to keep CTP and markets on the cluster's agendas and make sure they are regularly discussed. In areas where the cluster system is not active, coordination platforms should also include market-based programming and CTP in their agenda.

Improving the linkages between situation and response analyses

Though it goes slightly beyond the scope of this study, a final recommendation is to improve the linkages between the situation and the response analyses. In this regard, it could be relevant for consortia and projects connected to this topic, like the ERC (Emergency Response Capacity), to broaden their scope and make sure to include WaSH and shelter practitioners in their thinking processes².

² The ERC project, "Reinforcing Institutional Capacity for Timely Food Security Emergency Response to Slow Onset Crises at Scale," is a consortium comprising Oxfam GB, Save the Children UK and Concern Worldwide. The aim of the project is to improve timely, relevant responses to slow onset or predictable crises through the use of livelihood and market analysis and a context-appropriate framework for contingency planning, through a comprehensive Situation and Response Analysis Framework.

I INTRODUCTION

I.1 STUDY BACKGROUND

Over the past few years, the dialogue on Cash Transfer Programming (CTP)³ has progressed beyond initial debates about whether distributing cash and vouchers is a valid response modality at all to a general acceptance of their added value in appropriate contexts. Beyond the livelihoods and food security sectors, CTP is increasingly being considered as a response to emergency shelter and WaSH needs through an increasing variety of modalities and program designs.

However, there is still a need to understand a) the range of programming examples, b) blockages and success factors in the consideration of CTP and c) opportunities to address these blockages and to institutionalise success factors within these sectors. Humanitarian agencies and donors are interested in learning more about the current use of, approaches to and capacity for CTP in the shelter and WaSH sectors, including programming that combines assistance modalities. The CaLP has therefore commissioned this scoping study on emergency cash transfer programming in the WaSH and shelter sectors.

The Cash Learning Partnership (CaLP) originated from the will to gather lessons learnt from the emergency response to the Indian Ocean tsunami in 2005. Today, the CaLP is composed of five steering committee organisations: Oxfam GB, the British Red Cross, Save the Children, the Norwegian Refugee Council and Action Against Hunger/ACF International. These five organisations came together to support capacity building, research and information sharing as a way to promote cash transfer programming as an effective tool to deliver aid in times of crisis.

I.2 GOALS AND OBJECTIVES

The objective of this study is to take stock of the recent advancements in the use of CTP in the shelter and WaSH sectors to respond to emergencies and provide recommendations to encourage quality CTP at scale in those sectors. This study aims to identify themes for future research, advocacy, case studies, capacity building initiatives, and debates or other recommended activities related to CTP in shelter and settlements and WaSH programming. The study findings and recommendations are targeted at Global, Regional, and National coordination mechanisms including the clusters, donors, UN agencies, implementing agencies, and the CaLP. Although often concomitantly implemented, the study does not cover market-based programming and looks at market analysis only as a part of the situation analysis when the use of CTP is considered.

I.3 TEAM AND SCHEDULE

The study was produced by H el ene Juillard, an independent consultant, with the support of Mainul Islam Opu, also a consultant, under the management of Lily Frey, CaLP advocacy Coordinator, between July and December 2014 for a total of 22 days.

³ Cash interventions can take numerous programmatic forms. For the purpose of the study, the term CTP refers to the following cash transfer modalities: Cash Grants (conditional or unconditional), Cash-for-Work (CFW) and Commodity and Value Vouchers. Refer to the "Good Practice Review" number 11 for detailed definition of these modalities as well as the upcoming CaLP Cash Models.

2 METHODOLOGY

2.1 APPROACHES AND TOOLS USED

The study development process followed a participative approach so as to ensure both buy-in of the different stakeholders and the relevance of the recommendations being drawn. The following approaches, listed chronologically, were used during the study:

2.1.1 Set up of a reference group

Following an initial briefing with Lily Frey, CaLP Advocacy Coordinator and consultancy manager, and Jenny Lamb, CaLP Steering Committee member and Oxfam WaSH advisor, a reference group was set up.

Preliminary interviews were held with some of the reference group members to steer the study. All the reference group members were interviewed as key informants (See Annex C for the detailed list of people interviewed) and were given an opportunity to review the study findings and recommendations.

2.1.2 Desk review

The main component of the desk review consisted of an examination of existing literature (case studies, programme evaluations, training material and other relevant material) on the current use of CTP in the WaSH and shelter sectors in order to identify the main blockers and enablers of this type of programming. The desk review phase started with a collection of existing literature and training material.

A list of documents reviewed for the study appears in Annex A.

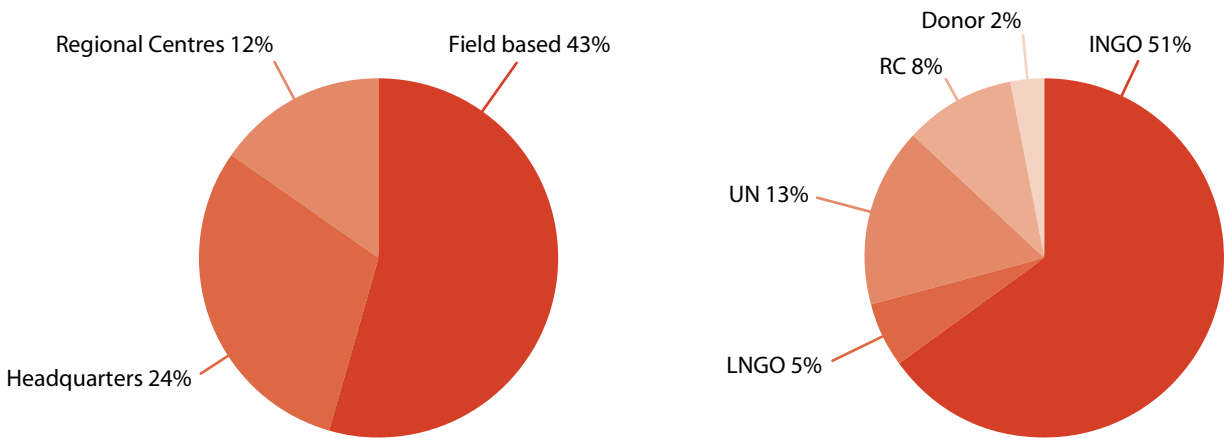
2.1.3 Online survey with the community of practice:

An online survey (using Survey Monkey) was developed in English and French by the consultants and shared with the WaSH and shelter communities of practice on July 7th 2014 to identify a) the CTP-related activities they have been involved in, b) the key blockers and enablers they face when using CTP as a delivery modality, and c) the area(s) they seek support with (individually and by organisation).

The link to the survey was shared through the CaLP, the Markets in Crisis DGroup and Pelican Dgroups and was sent to the key informant contact list. In total, 79 respondents completed the questionnaire, 53 from the WaSH sector and 26 from the shelter sector. These 79 respondents were based in 40 different countries, as per the map below.



More than 50% of the respondents were field-based, the others working from regional centres or headquarters, as per the graph below. Although they worked for a range of agencies, a substantial majority (65%) of the respondents were engaged with INGOs.



The frame used to set up the online survey can be found in Annex B.

2.1.4 Key informant interviews

Semi-structured interviews were held with 32 key informants representing a good mix of project implementers at both global level (65% of the interviewees) and regional and field levels (35%). See Annex C for the detailed list of people interviewed.

The first key informants were selected using purposive sampling, focused on people thought best able to provide the needed data, and then using snowball sampling, asking the first key informants to identify relevant persons to interview.

A topical outline used for the interviews is attached in Annex D.

2.2 STUDY CONSTRAINTS AND LIMITATIONS

Quantitative data

The study focused on qualitative data, stakeholders' perceptions of the current use of CTP in both the WaSH and shelter sectors and on blockers and enablers of CTP. However, no quantitative data that could have confirmed or refuted some of the stakeholders' perceptions was reviewed. This lack of quantitative data in the study reflects an overall lack of available quantitative data about the use of CTP to respond to WaSH and shelter needs.

Available literature

Not only is relevant quantitative data lacking, there is more broadly speaking a lack of existing literature about the use of CTP to cover emergency WaSH and shelter needs. The desk review was therefore quite limited; it did not include CTP's use in development contexts, for which there is likely more literature. This illustrates some of the constraints faced by shelter and WaSH practitioners when they consider using CTP.

Involvement from the government

Although the study tried to involve government bodies from the two country case studies (i.e. Jordan and Bangladesh), it proved difficult to do this from a distance. Their perspectives are therefore included only in an indirect way; however, they are crucial stakeholders to consider when looking at the future of the use of CTP in both the WaSH and shelter sectors⁴.

Beneficiaries' perspective

Some Bangladeshi community members who benefited from WaSH and shelter projects using CTP were consulted. However, as the study was developed remotely, it was not possible to gain a wide understanding of communities' perceptions on the use of CTP to cover WaSH and shelter needs.

Study timing

The study was undertaken between July and August 2014, during the summer holiday period; as a result, some of the desired key informants were not available for interviews. Furthermore, there was a change in the CAST (Cluster Advocacy and Support Team) management within the Global WaSH Cluster which limited that group's participation during the inception of the study.

⁴ On this topic: *Government uptake of cash transfer programming*, CaLP, March 2014. www.cashlearning.org/resources/library/406-government-uptake-of-cash-transfer-programming

3 USING CTP TO RESPOND TO EMERGENCY WaSH NEEDS

3.1 THE USE OF CTP TO RESPOND TO EMERGENCY WaSH NEEDS

There is an overall perception that the use of CTP to respond to Emergency WaSH needs is growing, and practitioners wish to gain pace, momentum and competency in this. As per the interviewees' feedback, however, CTP is still not considered part of the regular WaSH toolbox, and its use seems to remain confined to small-scale or pilot activities. This perception is supported to a certain extent by the available literature: most of the CTP schemes documented were covering a limited number of households (see below: 700 households for Oxfam in Gaza, 850 for Solidarités International in Somalia, 3000 for Oxfam in Jordan, etc.).

There is no quantitative data on the overall use of CTP to respond to Emergency WaSH needs, which makes it hard to confirm this perception with certainty. For example, a search for the word "WaSH" in the CaLP library results in only five entries. Meanwhile, although the CaLP Cash Atlas reports 101 projects using CTP to achieve WaSH outcomes, a closer look at the details of those projects shows that many are livelihood and food security projects that included a WaSH outcome that was not necessarily delivered through CTP.

Despite the scarcity of data and literature, this study nonetheless discovered reports of WaSH projects using CTP in Haiti, OPT, Jordan, Ethiopia, Lebanon, the Philippines, Somalia, Iraq, Benin, Bangladesh and Cambodia⁵. In these contexts, CTP was implemented to cover Emergency WaSH needs, either for specific individual components (e.g., water, sanitation or hygiene) or altogether as one WaSH package.

Example from the field – The use of CTP to cover water provision

Oxfam in Gaza⁶

In Gaza, 98% of residents are connected to the water network, but they do not rely on it for safe drinking water. Meanwhile, 87% of the population purchases water from private vendors who own medium-scale desalination units. In this context in 2012, Oxfam implemented a three-month activity to cover the drinking water needs of 696 households. Six-and-a-half litres per person per day were distributed to the targeted households through water vouchers during this period. In the programme, paper cash-vouchers were exchanged for safe (chlorinated and desalinated) drinking water from water vendors (truckers).

Solidarités International in Somalia⁷

The Gedo region in southern Somalia is served by open water sources that are seasonal, small in size and unreliable during extended dry seasons. When water source dry up, local vendors truck water from the few existing boreholes, an average of 30 kilometres away from the households. In this context, Solidarités International provided 30 litres of water per day to 850 households between September and October 2013 and between February and March 2014.

Example from the field – The use of CTP to cover sanitation needs

Oxfam in Lebanon

In Lebanon, Oxfam provided desludging vouchers to Syrian refugees living in informal tented settlements in the Bekaa valley. Oxfam equipped small groups of families sharing household latrines (270 latrines, each shared by 3 families, thus 810 families) with a \$30 commodity voucher that enabled them to empty their latrines via a local contractor (market actor) identified by Oxfam staff and their partners. This strategy built on Oxfam's other CTP programming for the Syrian refugees living in the ITS(s), including commodity vouchers for water and hygiene kits.

⁵ The vast majority of those examples (80%) have been implemented by Oxfam.

⁶ Oxfam water voucher evaluation report, Gaza, March 2013

⁷ <http://ec.europa.eu/echo/en/field-blogs/stories/somalia-providing-water-most-vulnerable-gedo>

Example from the field – The use of CTP to provide hygiene kits

Oxfam in Haiti⁸

In the aftermath of the 2010 Haiti earthquake and following a market assessment, Oxfam's Public Health Promotion team used a commodity voucher programme to provide 440 households with essential hygiene items through local shops. The vouchers could be exchanged through 7 contracted shops for a fixed quantity of specified hygiene commodities. The voucher system was chosen so that beneficiaries could access hygiene items in a normal and dignified way and exercise personal choice, in order to pilot an innovative approach to dealing with the challenges of in-kind distributions in an urban setting and finally to make use of a functional local market (thus promoting connectedness between the market actors and the target population).

Oxfam in Jordan

In late 2013 in response to the Syria crisis, Oxfam started a project to cover Emergency WaSH needs in Jordan. This project included the provision of hygiene kits through value vouchers to 3,000 households. The voucher value was 15 JODs (21 USD) and could be redeemed in 11 contracted shops against a relatively broad selection of hygiene items, including soap, buckets, baby diapers, etc. For more information, see Jordan country case study in Annexe E.

According to the online survey, WaSH practitioners have experience in the full range of CTP-related activities, including :

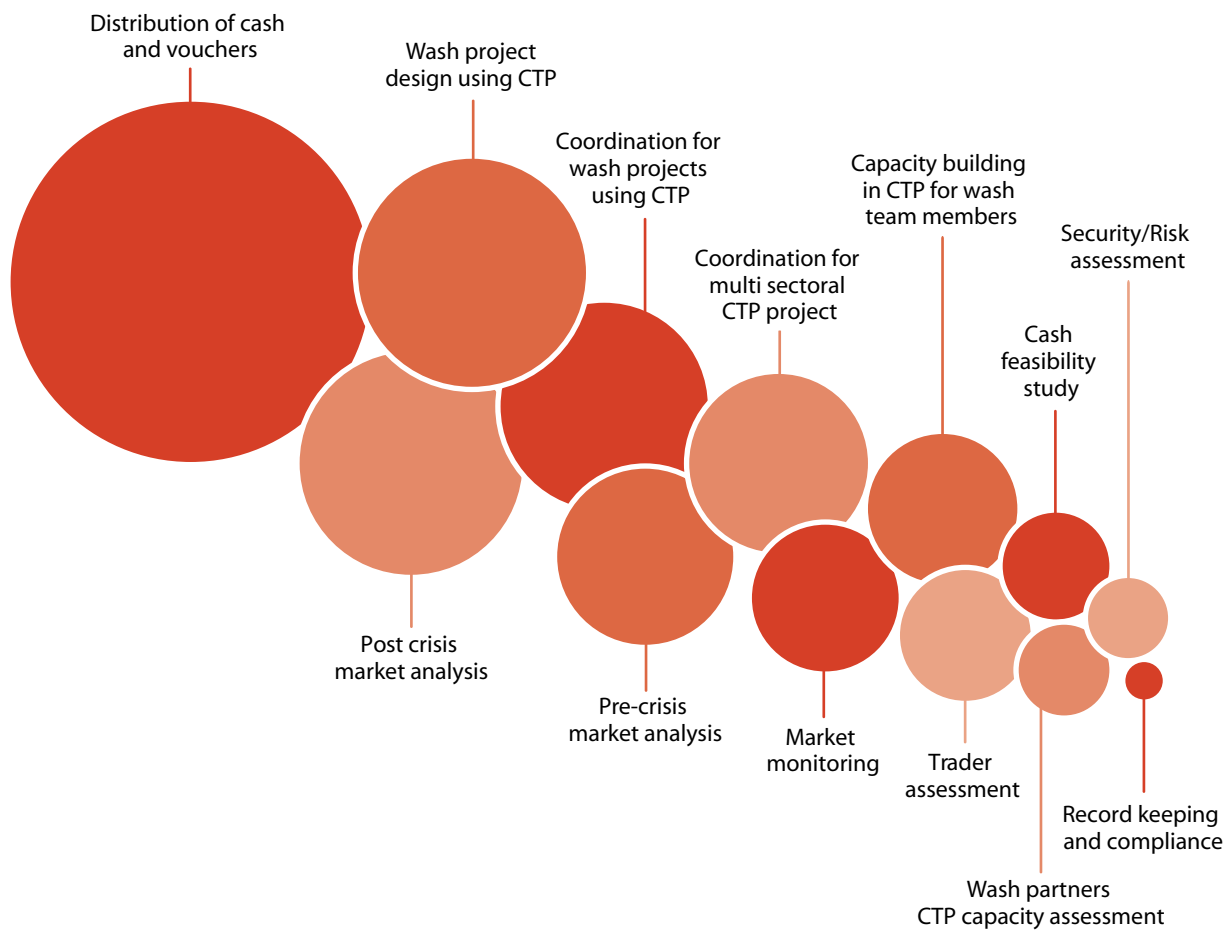
- Pre-crisis market baseline/ cash preparedness activities
- Assessing markets after emergencies
- Market monitoring
- WaSH/Shelter projects using CTP design input
- WaSH/Shelter partners cash capacity assessment
- Capacity building in CTP for WaSH/shelter partners or staff
- Record keeping and compliance
- Security/risk assessment for the use of CTP
- Cash feasibility assessment
- Distribution of cash/vouchers for Shelter/WaSH projects
- Assessing suppliers for CTP
- Coordination with other actors for WaSH/Shelter CTP projects
- Coordination with other actors for multi-sectoral CTP projects

The most significant experiences are of distribution of cash and vouchers to achieve WaSH-related outcomes, WaSH project design using CTP and post-crisis market analysis.

The graph below presents the proportion of Survey Monkey respondents who have experience in the different CTP-related activities. The size of each circle is proportional to the number of respondents who reported having experience in the corresponding activity. The activity with which the greatest number of respondents (23) had experience was CTP distribution for WaSH emergency projects, while, at the other extreme, only 3 respondents had experience in record keeping and compliance. Looking at the graph, it appears that WaSH practitioners have surprisingly little experience with cash feasibility studies and risk assessments, both of which, along with market analysis, are necessary to help decide which modality to use. Based on the interviews, this could potentially be explained by the fact that risk assessment is largely the responsibility of management and logistics staff and does not necessarily involve WaSH team members. Regarding cash feasibility studies, few agencies are implementing independent studies per se; often, however, related information is gathered during situation analyses.

⁸ Shop vouchers for hygiene kits in Port-au-Prince, Haiti (CaLP Case Study):

www.cashlearning.org/resources/library/247-shop-vouchers-for-hygiene-kits-in-port-au-prince-haiti-calp-case-study



Graph 1: WaSH practitioners CTP-related experience

Beyond the use of CTP to cover emergency WaSH needs, another topic clearly emerged from the interviews: the use of market-based programming within the WaSH sector. A joint Oxfam-WFP study⁹ identified 3 types of market-based programming:

- **Market-integrated relief** is an emergency response option that works through markets to provide relief and basic services to the targeted crisis-affected population. Most existing emergency cash transfer programs fall under this category.
- **Indirect support through markets** is an emergency response activity to rehabilitate or strengthen – through temporary or one-time actions – those parts of the market system (identified through market analysis) that need support to effectively supply basic needs during the crisis. It is often combined with market-integrated relief to contribute to the effectiveness of humanitarian interventions. While it is a short-term activity, it can be implemented in a way that promotes recovery. Indirect support through markets can include targeted support to market actors (grants, loans, transport subsidies, temporary storage) or support to supply.
- **Market-based strengthening and development** is a long-term approach that seeks to boost the market’s ability to support livelihoods. It considers markets as a touchstone for various types of livelihoods programming and an agent of durable change in people’s lives. Market strengthening has the potential to reinforce livelihoods and can help build resilience to crises.

As shown above, market-based programming goes beyond the scope of this study, which focuses on CTP, hence covering only a portion of market-integrated relief programming. Several examples of market-based programming were mentioned during the interviews (e.g., support to water vendors and water kiosks). Most of the WaSH practitioners that were interviewed showed a strong appetite for market-based programming and see it as an opportunity to improve the sustainability of WaSH responses and to ensure more equitable access

⁹ <http://foodsecuritycluster.net/sites/default/files/WFP-Oxfam%20Market%20Brief%20final.pdf>

to WaSH services. The overall growth in the consideration of CTP (including in other sectors like food security and livelihoods) has encouraged WaSH practitioners to examine more market systems (e.g., the informal and formal water market system(s) for the provision of drinking water).

Market-based programming and the use of CTP can both be pillars of a WaSH emergency response. Based on the interviews, it seems that the entry point for the WaSH practitioners will be market-based approaches, with CTP adding to the range of potential modalities for aid delivery.

Though difficult to reach a definite conclusion on the use of CTP to respond to WaSH needs it is nonetheless clear that the consideration of markets and therefore of market-based programming is growing within the WaSH sector.

3.2 COMMUNITY OF PRACTICE PERCEPTION, BLOCKERS AND ENABLERS

3.2.1 Perception

As mentioned above, the perception among all interviewed practitioners is that CTP is increasingly being considered in WaSH responses; however, interest in CTP is not universal within the sector. During the study, several WaSH experts declined the invitation to complete the survey and/or to be interviewed, proportionally more than shelter experts. This perception that the WaSH sector has little to gain from the use of CTP was formally expressed in a UNICEF review: “Cash will not be an appropriate alternative for all of UNICEF’s core interventions in emergencies, such as therapeutic feeding, vaccination and the provision of essential drugs, safe water and sanitation.¹⁰” That review, however, is now 7 years old, and perception can change over time. During the data collection, this perception was shared by around 15% of the interviewees only; however, this figure may very well not be representative of the WaSH sector as a whole, as one can assume that individuals agreeing to respond to the interviews were already interested in using CTP within the WaSH sector.

The advocacy for the consideration of CTP in the WaSH sector is coming both from donor agencies and from NGOs that have institutionalised the use of CTP to respond to food security needs. In these agencies, senior management have already agreed upon CTP as a mainstreamed tool that can be used to respond to diverse types of needs in multiple sectors. Such agencies are starting to more systematically examine the feasibility and relevance of CTP in the WaSH sector. Oxfam is perhaps the best example of this type of agency, with both internal and external actors remarking on Oxfam’s willingness to apply the cash agenda within the WaSH sector. During the study, Oxfam WaSH team members at different levels (head offices, regional centres and country offices) showed enthusiasm and willingness to share experiences, and 25% of the Survey Monkey respondents had a least one working experience in CTP with Oxfam.

From a donor perspective, ECHO’s WaSH policy mentions CTP as a response option, as do OFDA’s WaSH proposal guidelines. All donor representatives interviewed were very interested in funding more projects that used market-based approaches and CTP to cover WaSH needs. The main challenge they faced in that direction was the lack of relevant proposals received from NGOs and UN agencies.

Openness to CTP among WaSH actors could evolve, as demonstrated by a session around WaSH and markets that was held at the last Global Wash Cluster meeting in Jordan in October 2014. The session displayed examples of WaSH market-based programming from NRC, Oxfam and a member of the WaSH Cluster RAT team (employed via CARE). Once again, interest around market-based programming as a whole was greater than that around CTP. However as using CTP is part of market-based programming, it is likely that the use of CTP within the WaSH sector will develop further alongside the uptake of market-based programming.

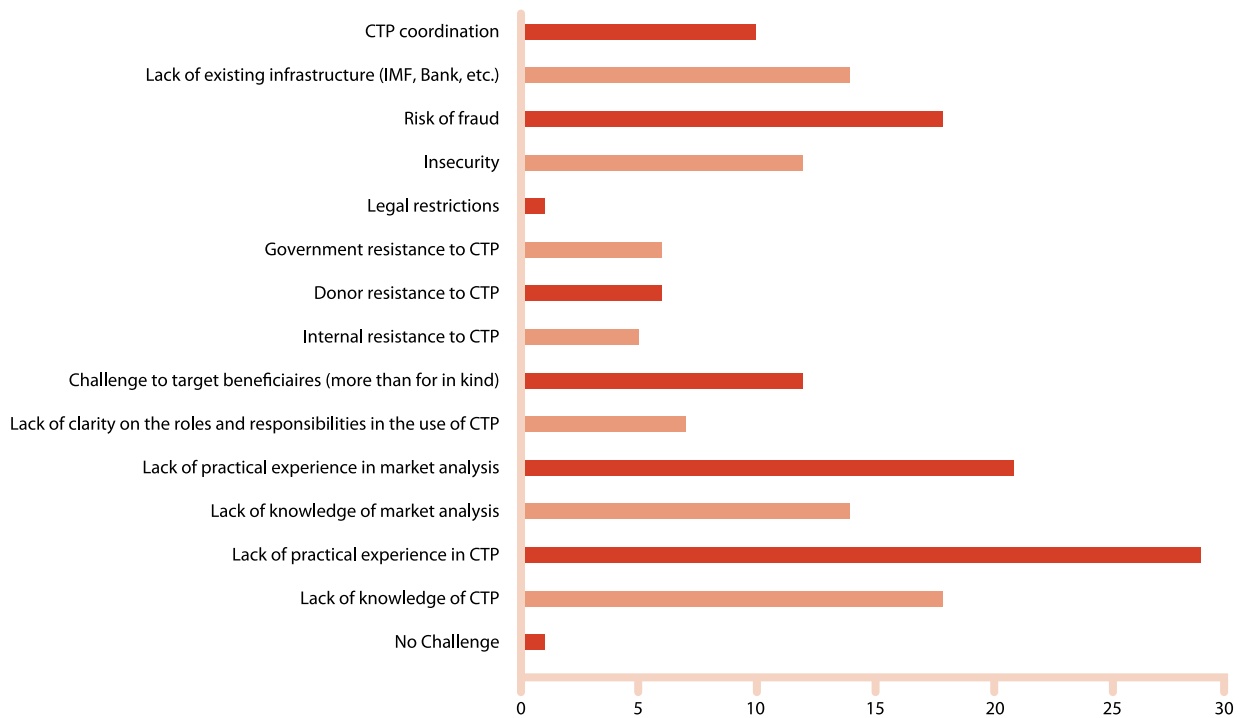
3.2.2 Blockers and key challenges

According to the online survey, key challenges faced by the WaSH practitioners when considering the use of CTP are without surprise the **lack of practical experience in CTP and in particular market analysis** (see the graph below), which should be a pre-requisite for both in-kind and CTP response. For example, water market systems are perceived as complex to understand. Thus, the main barriers are related to capacity issues.

¹⁰ A review of UNICEF’s role in cash transfers to emergency affected populations, Susanne Jaspars and Paul Harvey, October 2007
www.cashlearning.org/resources/library/74-a-review-of-unicefs-role-in-cash-transfers-to-emergency-affected-populations

The perceived **risk of fraud** comes as the third key blocker, just before the **lack of knowledge**. The fear of fraud is not specific to the WaSH sector and is common among practitioners with limited cash literacy from all sectors. This blocker is usually overcome by training and by documenting experiences. As mentioned before, in the WaSH sector there is little existing literature on the topic, and efforts should be made to disseminate information about existing practices and experiences to date. For example, the WaSH cluster in Somalia has produced short and useful guidance notes about the use of commodity vouchers to improve access to drinking water. These notes are rather generic and could be used in other contexts; however, only one of them has been published on the CaLP website, and it seems that relatively few WaSH practitioners are familiar with them.

On the one hand, all WaSH standard manuals and procedures have been developed with in-kind delivery in mind, and on the other hand, most CTP guidelines have been developed by and for food security practitioners. This gap has not been bridged yet, and most of the WaSH practitioners interviewed stressed the need to have CTP guidelines that speak “WaSH” language and WaSH guidelines that integrate CTP approaches.



Graph 2: Key challenges faced by WaSH practitioners when considering CTP as per the online survey (%)

Using CTP to cover emergency WaSH needs

Water supply

One of the blockers to using CTP to cover drinking water provision was the fear that using CTP to achieve water-related outcomes would hamper the quality of the services and of the water being distributed to beneficiaries. Practitioners felt that, in an emergency context, it would be challenging to manage the quality control of multiple water market actors, compared to an emergency water point set up and manned by a single agency. When using CTP, it is true that the quality control will be different, often carried out in closer partnership with the private sector, but standards should be approached in a similar manner. When the standards and quality of the water delivered through the market are insufficient, the organisation can also consider supporting the vendors (this will be an example of market-based programming- indirect support through market). This fear about CTP leading to a decline in quality is common among practitioners with little CTP literacy from all sectors, but is rapidly overcome when experiences are documented, and competencies in CTP are increased.

Example from the field – The use of CTP to respond to emergency WaSH needs in Haiti

In the aftermath of the 2011 earthquake in Haiti, Oxfam assessed the water market system, to examine the appropriateness and impact of their emergency activities whilst also informing their recovery activities. It appeared that the affected population were not using the water being distributed (delivered by tankers and distributed via bladders) by the humanitarian community for drinking purposes and continued to rely on previous water supply sources (i.e., private water vendors). Mercy Corps, Oxfam and other agencies decided to support the local market and build on the pre-existing means of accessing drinking water. Mercy Corps were the first to distribute commodity vouchers for water, while Oxfam distributed conditional cash grants to cover water needs. Both agencies also focused their resources on improving the quality of water provided by private vendors.

In most urban contexts, water is broadly considered as a service, and people are ready to pay for it. There is an often-complex system of water vendors – private, public, or a combination of both. In rural contexts, however, there often is no monetised water market system. There is a perception among some WaSH practitioners that using CTP to cover water access will lead to a privatisation or monetisation of water across contexts, hence making the availability of water dependent upon people's ability to pay for it.

Finally, the provision of drinking water implies delivering on-going services, whereas other sectors like shelter tend to focus on services that are more time bound. This has an impact on the perception of WaSH practitioners, who see CTP as a more cumbersome modality than in-kind for delivering on-going services. This is because of the voucher/grant distribution process, which has to be renewed on a regular basis, as opposed to a water point, which must simply be set up once before it can offer continuous supply. Furthermore, during emergency response, water-related activities very often target the entire community, and some in-kind modalities make it easy to achieve this. For example, if drinking water is to be delivered to the community as a whole, a well dug by humanitarian agencies will benefit all the surrounding households. However, in a CTP drinking water program, households must receive either water vouchers or cash grants in order to benefit from the program. Blanket coverage is seen as more difficult to achieve through CTP, and therefore CTP is seen as inappropriate for a first-phase emergency. This can be explained by the fact that, so far, emergency CTP has been seen as a way to deliver assistance to individual households only. The study could not find evidence of programs delivering grants or vouchers at the community level to cover emergency WaSH needs, which could overcome this blocker.

Hygiene – hardware (hygiene NFIs) & software (hygiene promotion & behavioural change)

The main challenge in considering the use of CTP to cover emergency hygiene needs relates to reaching public health objectives. According to the interviews, practitioners are mainly concerned about ensuring that the cash given is used to buy hygiene-related items or services. In emergency contexts, households do not always prioritise hygiene items the way they prioritise other needs, such as food. During a multi-sector needs assessment in the aftermath of a flood in the Nairobi slums, hygiene was ranked priority number 27 by the slum dwellers. The WaSH sector's concerns about the relatively low importance placed on hygiene have not really been tested, however; the sector has not tried providing unconditional cash grants for hygiene items, coupled with the type of hygiene promotion activities common in in-kind distributions. Currently, the sector is more comfortable with commodity or value vouchers that ensure that the target population purchases items from a list of pre-identified hygiene items. The study found several examples of vouchers being used to cover hygiene needs (e.g. see case study from Haiti in the box above).

This is not necessarily an overwhelming challenge, as the use of commodity and value vouchers can be seen as a first step in the uptake of CTP as a whole to cover emergency hygiene needs. If WaSH practitioners gain confidence that the provision of vouchers can satisfactorily accomplish public health objectives, then they may become more willing to explore the use of unconditional cash grants coupled with hygiene promotion and scale up the use of CTP.

Efforts to achieve behavioural change tend to focus on awareness raising and soft project components rather than in-kind distributions or CTP. In addition, some hygiene promotion methodologies, like Community-Led Total Sanitation (CLTS), are built on a non-subsidised approach. As a result, the use of CTP to achieve or

contribute to behavioural changes is seen as counterproductive by most of the interviewees. One example of cash for training in Bangladesh was quoted where beneficiaries received unconditional cash grants to attend hygiene promotion sessions. This was undoubtedly an example of a poor use of CTP, especially because it later made it difficult for the organization to try to promote other changes in behaviour without offering financial incentives. This approach has not been replicated in Bangladesh since.

Sanitation

At household level, sanitation activities can be implemented in conjunction with shelter construction and rehabilitation, especially in natural disaster response.

Example from the field – The use of CTP to respond to sanitation needs in Bangladesh

In 2009 in the aftermath of Cyclone Aila in Bangladesh, Solidarités International implemented parallel sanitation and shelter interventions. They used a combination of modalities in both sectors. To improve access to latrines at household and community levels, latrines were distributed in kind, and grants were given (either to the household or to the latrine committee) for the labour cost of the latrine construction.

Blockers for household sanitation are no different to those for shelter construction and lie mostly in the standards for latrines and construction quality and safety (see 4.2.1). As for shelter interventions, WaSH practitioners will need to consider materials, labour and capacity building and could benefit from Shelter practitioners' experience.

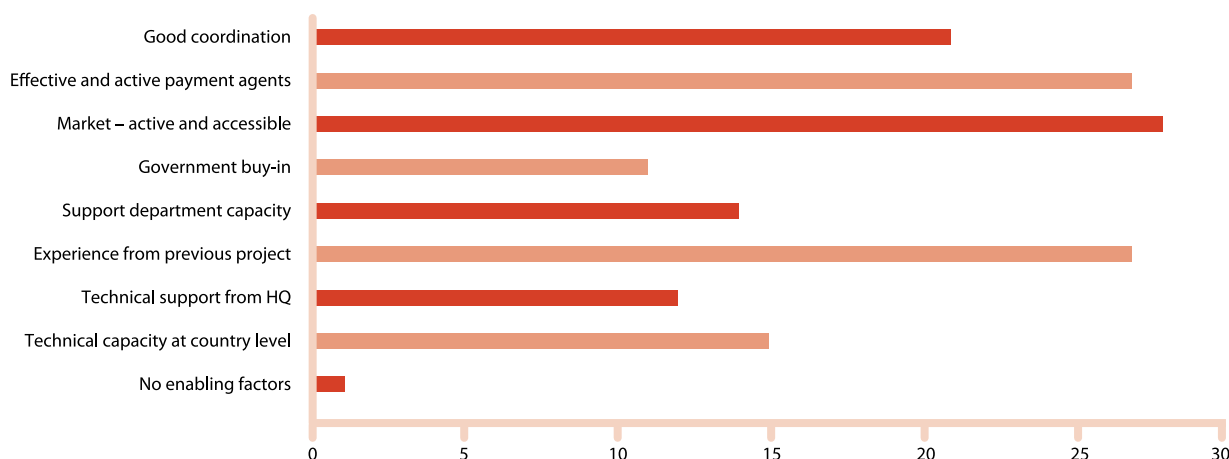
To a certain extent, the above-mentioned blockers to the use of CTP to cover emergency WaSH needs also result from misconceptions about CTP. CTP, like in-kind, is just a delivery modality, a tool for achieving project objectives. As such, it may not be the best modality to achieve every type of outcome. It will be key that advocacy around the use of CTP in the WaSH sector recognizes this and that CTP is not presented as the ultimate solution to all humanitarian needs. Response analyses and decisions about what modality to use to deliver a WaSH project are context and outcome specific.

The same applies to the targeting approach, which should depend on the project scope, scale and objectives and on the affected population. It should not make a difference whether the project will be delivered in-kind or through CTP. Depending on the context, CTP may not be the most cost effective or relevant modality with which to achieve blanket coverage, but this is context specific and will need to be assessed on a case-by-case basis by the agency.

Developing market-aware responses that potentially use CTP delivery is not about creating parallel or new markets. It is more about recognizing what already exists and how the market chain works to ensure that people have equitable access to existing water supply schemes. In the humanitarian sector, market-aware responses can also be used to strengthen existing markets so that they are able to better supply those people who have been, or who are likely to be, affected by a crisis.

3.2.1 Enablers and success factors

As per the online survey, one of the key enablers is without surprise experience from previous projects (see the graph below). From more in-depth discussions during interviews, it seems that simply observing the use of CTP in WaSH responses, even by another agency, is also an enabling factor. According to the study's key informants, many practitioners are afraid to be the first to try an innovative tool and to risk failing, though this fear fades away if there is a precedent to rely on. The other key success factors are external rather than internal to the organisation, and include effective and active payment agents, functioning markets and good coordination. These reveal more about the WaSH respondents' knowledge about the conditions favourable to CTP than about sector-specific success factors.



Graph 3: Key enabling factors for WaSH practitioners considering CTP as per the online survey (%)

In the interviews, respondents mentioned additional external success factors, like the high acceptance of CTP by the community in most of the countries. Some contexts also seem to make it easier to consider using CTP to respond to WaSH needs. Urban contexts or contexts with existing WaSH infrastructure are seen as more appropriate for piloting the use of CTP in WaSH responses.

The existence of market analysis was also mentioned as a key-enabling factor by the WaSH practitioners interviewed. Market analysis is a pre-requisite for using CTP so it seems logical that having this information on hand would encourage WaSH practitioners to look into the feasibility of CTP. Market-based programming in WaSH is broader than it is in other sectors and encompasses more than just in-kind or CTP delivery; it seems that WaSH practitioners are looking at markets to embrace the whole range of market-based programming, which includes not only CTP but also market-integrated and market-strengthening activities.

Using CTP to promote specific items

Using vouchers or cash grants intended to help beneficiaries buy WaSH-related items like specific household-level water filters or chlorine is a way to raise awareness around those items. If communities get used to purchasing those items, they may continue to consume them even when the project has been completed. There could therefore be opportunities to link the use of CTP and social marketing in the WaSH sector.

Using CTP at community rather than individual level

As WaSH-related outcomes are often community based, using CTP at community level can also improve the sustainability of a WaSH project and promote a community participative approach. As mentioned by the interviewees, providing cash grants to a WaSH committee to buy spare parts for WaSH infrastructure maintenance may have more benefits than distributing in-kind spare parts kits. Cash grants can create linkages between local traders and committee members and gives the members the habit of buying those spare parts. As in any other sector, market-aware responses to deliver WaSH outcomes help to create or maintain linkages between WaSH actors and communities.

Example from the field – The use of CTP at community level

In 2009 during the Padang earthquake response in West Sumatra, Oxfam Indonesia’s emergency response provided community cash grants to support manpower and materials in clearing roads and drainage channels and clean up of public buildings such as schools and mosques – all of which met a WaSH objective.

Most of the factors enabling increased consideration of CTP in WaSH responses are external to the implementing agencies and are rather generic (i.e., the same enabling factors are usually quoted by EFSL practitioners or logisticians). The main challenges, on the other hand, were quite specific to the WaSH sector. This suggests that while WaSH practitioners have a good understanding of the external factors needed to consider using CTP they have not yet fully embraced CTP as a modality.

4 USING CTP TO RESPOND TO EMERGENCY SHELTER NEEDS

4.1 THE USE OF CTP TO RESPOND TO EMERGENCY SHELTER NEEDS

For all the shelter practitioners interviewed, CTP is one of the routine tools to be considered in shelter responses. There is, however, a lack of collated quantitative data that would allow this perception to be confirmed or refuted. There are 103 shelter projects using CTP registered in the Cash Atlas, as per the map below:

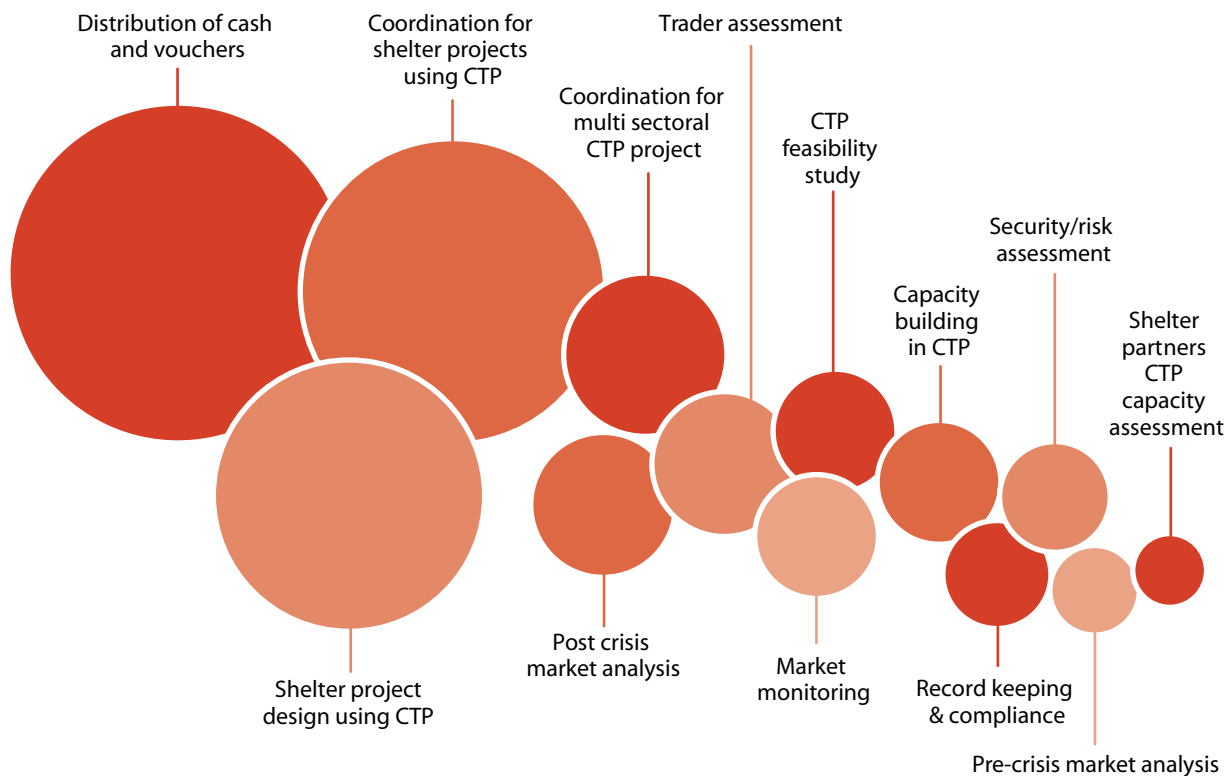


Graph 4: Shelter-related CTP projects as per the CaLP Cash Atlas

During the data collection phase of the study, interviewees mentioned examples of shelter projects using CTP that had been implemented in Jordan, Lebanon, Afghanistan, Bangladesh, Sri Lanka, Pakistan, Nepal, Ingushetia, Philippines, Indonesia, Chile, Haiti, Belize, OPT, Bosnia and Serbia.

The shelter practitioners have experience in all of the 13 CTP-related activities, most significantly in the distribution of Shelter cash grants and vouchers, shelter project design and coordination of CTP shelter projects. The graph below presents the proportion of Survey Monkey respondents who have experience in the different CTP-related activities. The size of the circle is proportional to the number of respondents who reported having experience in the associated activity, with the greatest number (19 respondents) having experience in CTP distribution for Emergency Shelter projects, to the least number (4 respondents) having experience in assessing the CTP literacy of shelter partners.

Looking at the graph, it appears that shelter practitioners have less experience than their WaSH colleagues in market analysis, but that they may be better able overall to assess the feasibility of CTP, since as a group they have fairly good experience with market analysis, trader assessment and feasibility studies.



Graph 5: Shelter practitioners' CTP-related experience

From the interviews it seems that, more than in other sectors, shelter practitioners have regularly been using CTP in combination with other modalities for shelter construction or rehabilitation.

Examples from the field – using a combination of in-kind and CTP to cover shelter needs

Solidarités International in Afghanistan

In the aftermath of an earthquake that hit Samangan Province in Afghanistan in April 2010, Solidarités International implemented an emergency shelter response. A standard house was designed, and from this design a BoQ was drawn up which included the amount of labour needed and its cost. Materials were provided in-kind by Solidarités International, and the tools were provided by the community. In addition, a conditional cash grant was directly distributed by Solidarités to the targeted beneficiaries to cover the labour costs of building the shelter.

IFRC in Bangladesh

Following Cyclone Sidr in Bangladesh in 2007, IFRC implemented a shelter intervention. For shelter reconstruction, IFRC distributed in-kind standard, disaster-resistant core shelters complemented by a cash grant to buy additional materials to further increase the size of beneficiaries' homes. For shelter rehabilitation, IFRC distributed cash grants to strengthen and repair homes.

In the shelter sector, CTP is being used for shelter construction and rehabilitation as a single modality or in combination with in-kind support, as mentioned above. Furthermore, CTP can also be used to cover rent fees and to support host families in contexts of population displacement.

Example from the field – using CTP to support host families sheltering displaced populations

SDC in Indonesia

In Aceh, after the tsunami, SDC distributed cash grants to 7,000 families hosting displaced people in Banda Aceh and Aceh Besar, giving them a one-off cash payment of IDR900,000 (around \$100) in April and May 2005.

Payments were made through an Indonesian bank and were collected by beneficiaries at their local branch. Helvetas implemented a similar project in Sri Lanka's Ampara District. Over 4,000 beneficiaries received two payments of about LKR9,900 (\$100). The grant was unconditional; half of the beneficiary families shared the contribution with the guest family. The most common purchases among host families were electricity and food.

Those projects provided indirect support to the affected population sheltered in host families. The assumption was that without support the host families would not shelter the affected population, who would then need a direct shelter intervention.

4.2 COMMUNITY OF PRACTICE PERCEPTION, BLOCKERS AND ENABLERS

4.2.1 Perception

As mentioned, for most of the interviewed shelter practitioners, CTP is already part of the routine tools they can use to respond to shelter needs. Though this does seem to be the case for international agencies, many local NGOs and Community-Based Organisations still think of CTP as an innovative tool. In addition, it seems that there is a difference in perceptions regarding CTP's relevance to first phase emergency and early recovery phase responses. CTP seems to be considered less as a routine tool when it comes to first phase emergency shelter interventions (i.e., distribution of tarpaulins as emergency shelters). This can be explained by the physical stocks (e.g., plastic sheeting) that many agencies pre-position in case of emergencies and by the perception among shelter practitioners that CTP may take longer to implement than in-kind responses.

The perception among the interviewed shelter practitioners is that CTP is increasingly being considered in shelter responses. Several interviewees mentioned that a few cash champions and donor demand are responsible for this trend, suggesting that CTP in the shelter sector is personality driven rather than based on a sound situation and response analysis. This is likely to evolve in the near future, with greater numbers of agencies having a dedicated cash and markets advisor sitting outside of the EFSL department, with growing documentation of the use of CTP in shelter responses and with shelter practitioners contributing to the development of CTP guidelines.

Donor-wise, the ECHO shelter policy will be written in the coming year and although the content has not been decided yet, CTP will be among the discussion points raised during the writing process. USAID guidelines for proposals mention the use of CTP to respond to shelter needs: "Cash and vouchers can be used in many USAID/OFDA sectors: seed vouchers for an Agriculture and Food Security activity; cash grants for people to buy needed household goods under Logistics Support and Relief Commodities; vouchers to buy shelter supplies under S&S"¹¹

The guideline *Shelter After Disaster*¹² by UNOCHA that "offers governments, coordinators and implementers a framework for integrated shelter, settlement and reconstruction following natural disasters" considers CTP as a possible option to respond to shelter needs.

At the global shelter cluster level, the cluster strategy does not specifically mention CTP but refers to innovative programming. Surprisingly, the consideration of CTP still falls under "innovative programming" as per the global shelter cluster strategy even though most shelter practitioners consider it a routine tool.

¹¹ USAID guidelines for proposals, 2012, p.179 www.usaid.gov/sites/default/files/documents/1866/guidelines_for_proposals_2012.pdf

¹² www.sheltercentre.org/sites/default/files/shelterafterdisasterguidelines2010_0.pdf

4.2.2 Blockers and key challenges

The perceived **risk of fraud** is the key challenge faced by shelter practitioners as per the results of the online survey and interviews with key informants (see the Graph below). The amount being distributed to beneficiaries for them to cover their shelter needs is usually higher than in other sectors and over a shorter period of time. Even though it can take the form of conditional grants split into several instalments, the fear that cash will be misused or diverted is higher. As for the WaSH sector, the lack of practical experience both in market analysis and CTP is seen as a bigger challenge than the lack of knowledge, but unlike their WaSH counterparts, shelter practitioners are more limited by their lack of market analysis expertise than by their lack of experience in CTP itself.

In the shelter sector, skills in **market analysis** are considered relatively low, whereas the market systems to be analysed, like the rental market system, are complex. This is especially the case in urban contexts when cash for rent is being considered.

Example from the field – Cash for rent, lessons learned from the Syria response, NRC

In urban contexts in Jordan, NRC is using CTP to cover shelter needs for 4,000 Syrian refugee households. It is using a combination of a) phased conditional cash grants for landlords who are asked to complete unfinished buildings or rooms and to host Syrian refugees for a year and a half (for free) and b) unconditional payments to refugee households to cover move-in fees and basic furniture.

The cash grant to landlords programme has proven successful but time consuming. The scalability of such an approach is therefore questionable.

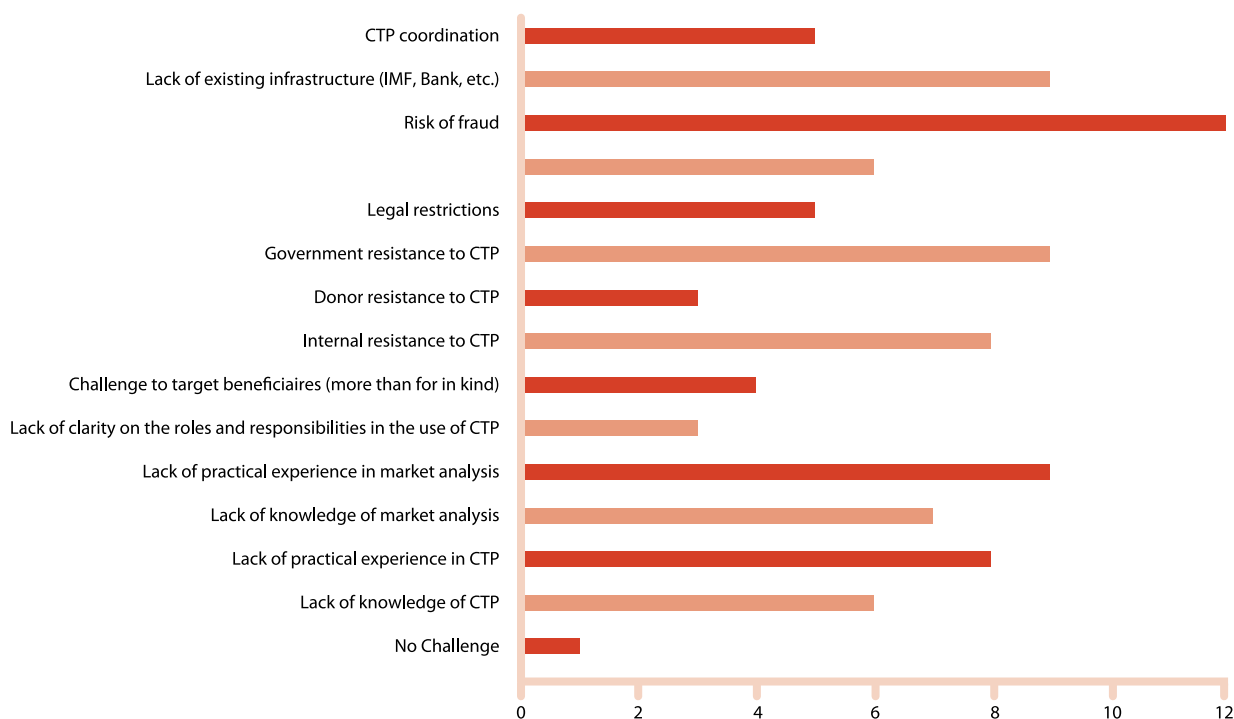
In Jordan, providing cash for rent to Syrian refugees seems to have contributed to significant inflation in rental prices. While there is no documented hard evidence of this, the humanitarian community reports strong anecdotal evidence. In addition, tracking of the local rental market has proven very difficult, price trends are very localised and the humanitarian community in country is not necessarily equipped to analyse and follow such a complex market chain.

In this urban context, there were few alternatives to CTP, as in-kind shelter distribution was not appropriate. However, CTP has also proven challenging, with problems in both quality and quantity of the existing housing stock.

Another key challenge faced by shelter practitioners in the consideration and use of CTP that is quite sector specific is **government resistance** to CTP. This is especially the case in the context of natural disasters like 2004 tsunami or Typhoon Haiyan in the Philippines in 2013. Governments can be reluctant to use or allow CTP for shelter reconstruction, as they wish to control where the rebuilding takes place. In Sri Lanka, for example, people whose houses were within the government-designated 'buffer zones' (areas close to the Indian Ocean in which people had lived prior to the tsunami that had been designated a 'buffer zone' to prevent people rebuilding, given the risks) were initially excluded from cash assistance, leaving those arguably most in need of help ineligible to receive it¹³. Using CTP to cover shelter construction needs raises questions of land tenure, permits and government plans for land occupation. All shelter responses, whether delivered in-kind or through CTP, raise these questions, but the use of CTP puts these factors outside of humanitarians' scope of intervention and control. In addition, the interviewed practitioners mentioned that in some contexts, it is easier to work within the government framework in the food security sector, as humanitarian agencies are able to rely on the government's experience in social safety nets. Social protection systems are increasingly being used, particularly at scale. Using existing social protection programmes could allow a quicker, more efficient, better-coordinated and therefore more effective humanitarian response¹⁴.

¹³ *Learning from cash responses to the tsunami*, HPG, Issue Paper 4, September 2006. www.odi.org/sites/odi.org.uk/files/odi-assets/publications-opinion-files/4882.pdf

¹⁴ On this topic: Scaling up existing social safety nets to provide humanitarian response, CaLP, March 2014. www.cashlearning.org/resources/library/405-scaling-up-existing-social-safety-nets-to-provide-humanitarian-response



Graph 6: Key challenges faced by shelter practitioners when considering CTP (%)

Additional specific blockers came out of the interviews with shelter key informants and from the open text box in the online survey:

Standards and construction quality and safety

One of the main shelter-specific blockers highlighted during the study by the shelter practitioners was the fear that using CTP to achieve shelter-related outcomes would hamper the quality of the resulting shelter. As in the WaSH sector, specialists have spent considerable time and energy to set standards for shelter construction and rehabilitation for projects that have thus far been delivered in-kind. Using CTP potentially questions these standards, or at least the way practitioners are looking at them.

As with the WaSH sector, interviewees in the shelter sector had a hard time accepting that CTP might mean that disaster-affected communities will build what they can replicate and afford and not necessarily what is the most resistant from an engineering perspective. Interviewees also highlighted the discrepancy between the funding available and the expected quality of the shelters.

The question around standards and quality is not necessarily linked to the use of CTP,¹⁵ but it is highlighted by the higher scrutiny put on the project using CTP.

Example from the field – Importing CGI sheet to respond to shelter needs in the Philippines

During the response to Typhoon Hayan in the Philippines, the shelter cluster announced that 90% of aid material was being purchased locally. Despite well-integrated markets that were recovering quickly after the disaster, IFRC decided to import some construction items, like CGI sheets. These sheets were not available locally, even before the cyclone, as they were of a thickness that was not widely used in country. The rationale behind importing and then distributing in-kind construction material was to meet higher standards and quality and to be able to “build back better”.

¹⁵ For example, the DEC evaluation of the tsunami response (Vaux 2005) found that many temporary shelters, provided in-kind by humanitarian agencies, were built by contractors whose primary aim was cutting costs, resulting in poor-quality, unsafe, badly-sited and unsanitary structures

Building back better and mainstreaming DRR

Linked with the issue around standards and quality, the challenge of not being able to build back better or to mainstream DRR when using CTP was highlighted by several interviewees. This perception is also formalised in a World Bank handbook: "Use Cash Approach only when damage is not severe and is not attributed to poor construction or poor building code enforcement"¹⁶.

If people are given cash with which to build their own houses, how can implementing agencies ensure that the rebuilt housing is earthquake-proof or flood-resistant? These are important issues, but they should not necessarily rule out the use of cash if it is otherwise appropriate¹⁷. The consideration of CTP changes the role of humanitarian agencies from being more supportive than directive; however, providing technical support for communities to build their shelters should be a key project component whether the project is being delivered through CTP or in-kind distribution. As mentioned by one of the shelter experts interviewed, it is part of good programming to provide targeted households with advice and technical support in designing disaster-resistant housing, in dealing with contractors and in sourcing building materials. This soft component of a shelter intervention is key to achieving good quality outputs and outcomes regardless of the modality used.

Example from the field – Building back better using CTP

CRS in the Philippines

In the aftermath of Typhoon Haiyan, CRS implemented a shelter response through CTP, first as pilot scheme with 70 households, and then scaling up the approach for 12,000 households in a second stage. Beneficiaries received cash grants to purchase shelter materials and to hire labourers. CRS promoted disaster-resilient construction techniques and employed a phased approach in which beneficiaries were required to demonstrate completion of each phase according to these construction techniques before the subsequent phase of cash would be disbursed.

NRC in Afghanistan

NRC is using the same type of conditionality in Afghanistan, where it uses a group model. Cash grants are being distributed to individual households for shelter construction and repair, but people work in a group, and the second grant is disbursed only if the whole group has completed the work planned under the first grant. Using CTP has increased the quality of the construction, as the shelter team has been able to focus on guiding beneficiaries in good practises rather than spending time overseeing material delivery and distribution.

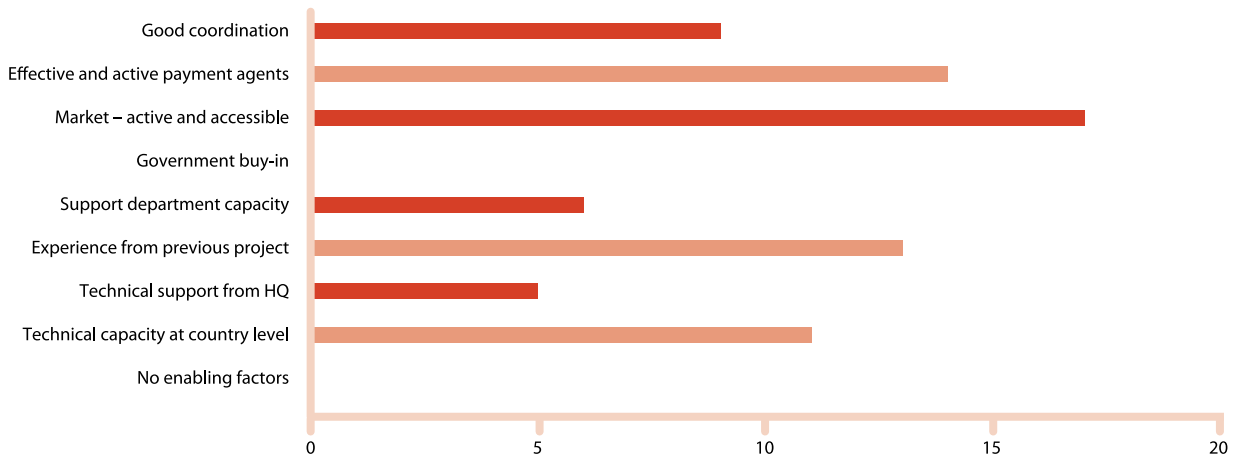
4.2.3 Enablers and success factors

The key success factors highlighted by shelter practitioners are external rather than internal to the agency: functioning markets, effective and active payment agents and good coordination. They say more about the shelter respondents' knowledge of conditions that favour the use of CTP than about sector-specific success factors.

Unsurprisingly, one of the key enablers for the WaSH sector was experience from previous projects (see the Graph below). The high acceptance of cash by the community, reduced logistics costs and positive impact on the markets were also mentioned as factors enabling the use of CTP in Shelter responses.

¹⁶ *Safer Homes, Stronger Communities A Handbook for Reconstructing after Natural Disasters*, World Bank, 2010, p.95

¹⁷ *Learning from cash responses to the tsunami*, HPG, Issue Paper 4, September 2006



Graph 7: Key enabling factors for Shelter practitioners considering CTP (%)

Some contexts are “forcing cash.” For example, in the Syria response, humanitarian actors are serving large numbers of refugees who are residing in urban areas, many agencies are providing assistance via CTP and communities are broadly accepting of cash. These contexts present opportunities to pilot the use of CTP to respond to shelter needs in an innovative way (e.g., cash for rent, cash for building construction).

Shelter is often prioritised by the target population, as it is often its most important asset. This is an enabling factor, as it limits the fear of the shelter practitioners about the potential misuse of the grant.



Photo: Steph Roberson/Oxfam

5 THE MULTI-SECTORIAL USE OF CTP

5.1 COMMON TRENDS BETWEEN THE WASH AND SHELTER SECTORS

The WaSH and shelter sectors have been examined separately above but there are some common general trends.

For headquarters-level interviewees, the debate around the use of CTP and, more broadly, market-based programming, in WaSH and shelter responses is timely. It needs to happen now as it can contribute to the ongoing debate on the effectiveness and efficiency of humanitarian aid and how humanitarian agencies can do more with less in countries with existing capacities and infrastructure to focus resources in countries with limited capacities.

Both the WaSH and the shelter sectors have spent a lot of time and resources thinking about **specifications and meeting standards**. The consideration of CTP is perceived to challenge this previous work along with practitioners' certitudes about what constitutes good quality programming. CTP more broadly questions the role of WaSH and shelter professionals, as it is done with logistics professionals. This questioning of traditional roles has happened to a lesser extent within the food security sector, as practitioners have been conscious about local markets for a longer period of time. The critical question for practitioners is changing from "As a technical expert, what do I think is the best for this affected community?" to "How are community members going to prioritise the spending of their grant, and what do they think is most important for themselves?" Humanitarian aid has been presented for several years as community-oriented and as encouraging community ownership, but the use of CTP is pushing these two concepts a step further. Through the use of CTP, targeted beneficiaries are empowered to make their own decisions at implementation stage, as they are the ones selecting the supply being delivered. When using in-kind aid, community ownership is mostly ensured at assessment stage when communities express their needs and opinions. The aid is then supplied and delivered by the humanitarian agency. Through this empowerment, the paradigm is changing for the humanitarian organisations from a humanitarian-centric approach to a community-centric approach all along the project cycle and CTP is encouraging this switch.

Practitioners are also worried about **public perception**, as it seems more difficult to communicate about CTP. WaSH and shelter practitioners feel they are not yet confident enough to explain to the general public why the use of CTP is being considered.

Analysing the market system should be done as part of the situation analysis whether CTP or in-kind modalities are considered. However, this good practice of analysing market systems has in practice been mostly triggered by the growing consideration of CTP. Despite the growing incidence of market analyses being implemented in the WaSH and shelter sectors, in most of the agencies interviewed, expertise in market assessment still primarily rests within the EFSL sector, and the different market analysis tools are still perceived as food security tools. This raises the need for skills and capacity building but also for adapted tools, especially as the market systems to be looked at in both the shelter and WaSH sectors (water market system, rental market system, etc.) are often complex. There is no evaluation of the appropriateness of the existing market analysis tools (e.g., EMMA, MIFIRA, RAM/MAG) to analyse complex market systems such as the rental market system.

Following the market analysis and other assessments that are part of the situation analysis, the response and its delivery modality are designed. This step between the **situation and the response analyses** should be driven by the assessment results. As per the interviews, however, it seems that the "gut feeling", the agency mandate and the humanitarian team's comfort zone are still driving most of the response design, and analysing the market may not be enough to ensure that all of the different modality options, including the potential use of CTP, are considered.

Being in a position to deliver either CTP or in-kind assistance is a first step, but in changing contexts, CTP may become inappropriate during the time of the project implementation. The project team needs to be able to then switch from CTP to in-kind delivery. This is perceived as very complex by the interviewees, due to the change of required skill sets, the limited duration of the intervention and donor requirements. This is a challenge that is likely to be faced in other sectors, like livelihoods or food security, as well.

Finally, there is still a perception from INGO interviewees that donors are being **risk averse** and are therefore hesitant to fund projects using CTP. This does not emerge from the interviews, which on the contrary revealed donors that were encouraging the submission of WaSH and shelter project proposals that integrated CTP when appropriate. The risk aversion and compliance questions are not specific to the WaSH and the shelter sectors, and discussions on this topic should involve support departments¹⁸. The lack of evidence for CTP in these sectors and especially in WaSH is a significant barrier that could potentially be overcome by pilot projects that could later be expanded to larger-scale initiatives. Those pilots will likely be more costly than other types of project. Until the evidence base grows, it is challenging for proposals for CTP activities in these sectors to be strongly illustrated.

5.2 PARALLELS WITH THE USE OF CTP WITHIN FOOD SECURITY AND LIVELIHOODS SECTORS

Within the EFSL sector, CTP is considered a routine tool for responding to emergency needs and is increasingly being used at scale. In a few contexts, however (e.g., Afghanistan), while the number of EFSL projects using CTP is higher than the number of shelter or WaSH projects using it, it seems that in terms of financial volume, the use of CTP in both EFSL and shelter is equivalent. This can be explained by the fact that shelter projects are usually expensive and therefore have higher budgets than other types of projects.

Broad literature also exists on the use of CTP to cover EFSL needs; a search for the word “livelihood” in the CaLP library results in around 40 entries and one for the term “food security” 50, as opposed to 5 using the word “water” and about 10 using “shelter”. Quite a number of agencies are implementing both EFSL and WaSH and/or shelter projects, which may create possibilities for cross-sector fertilisation.

All the interviewees agree that both the WaSH and the shelter sectors should benefit from EFSL experience in terms of implementation and institutionalisation. However, few concrete examples of cross fertilisation were shared during the interviews, and for most of those that were identified, EFSL team members led any necessary market analyses. CTP terminology and tools are often biased by an EFSL programming perspective and EFSL jargon, meaning that WaSH and shelter practitioners feel excluded from those discussions. While cross fertilisation should be encouraged, there will still be a need to have specific WaSH and shelter experiences developed and documented. Furthermore, the majority of cash experts come from an EFSL background, which continues the bias when agencies attempt to bring in extra capacity.

EFSL could trigger the use of CTP in other sectors. According to interviewees, cross fertilisation seems to be happening more in the context of large emergencies, where experienced people from various backgrounds are gathered in the same response hub.

5.3 THE USE OF CTP TO RESPOND TO MULTI-SECTOR NEEDS

Interest is growing in the idea of using CTP to meet a wide spectrum of beneficiary needs and of using a single cash transfer to simultaneously meet different needs across multiple sectors. Although this flexibility is recognised as a potential advantage of CTP, there is limited existing literature and data about the multi-sectoral use of CTP¹⁹. It is difficult to assess what the impact of the use of CTP for multi-sectoral needs could be on the WaSH and shelter sectors or if the uptake of CTP to respond to multiple sectors’ needs will happen before or in parallel with CTP’s increased use in the WaSH and shelter sectors. Regardless, these multi-sector projects are a unique opportunity to encourage cross fertilisation and experience sharing between EFSL teams and other project teams involved.

Coordination mechanisms also impact the recognition of CTP as a tool to respond to multi-sector needs. According to the interviewees, when there is an active cash working group (in countries like Lebanon, Jordan or Afghanistan), CTP seems to be less considered a tool for food security alone. This can represent an opportunity for CTP to be considered more systematically in the WaSH and shelter sectors.

¹⁸ For more on this topic, a session on compliance and the risk environment was done during the last Global Logistics Cluster. Note for the record, GLC, May 2014, p.5 http://logcluster.org/sites/default/files/gm_files/logistics_cluster_cash_markets_paris_nfr_190707.pdf

¹⁹ For more information on that topic: *Cross-sector cash assistance for Syrian refugees and host communities in Lebanon: An IRC Programme, CaLP*, April 2014. www.cashlearning.org/resources/library/410-cross-sector-cash-assistance-for-syrian-refugees-and-host-communities-in-lebanon-an-irc-programme

Country case study – The use of CTP to respond to multiple emergency needs in Bangladesh

Bangladesh is one of the most disaster-prone countries in the world. Between 2007 and 2009, two cyclones hit the Bangladeshi coastal belt, affecting hundred of thousands. The responses to cyclones Sidr and Aila focused on food security, shelter and WaSH and reshaped the way the humanitarian community delivered aid to affected communities. During those two responses, most of the humanitarian actors, the UN agencies and the Government delivered their response through CTP. Rather than one grant covering several needs, aid was provided through several grants covering several needs: shelter, food security and WaSH. See Annexe F for the full case study.



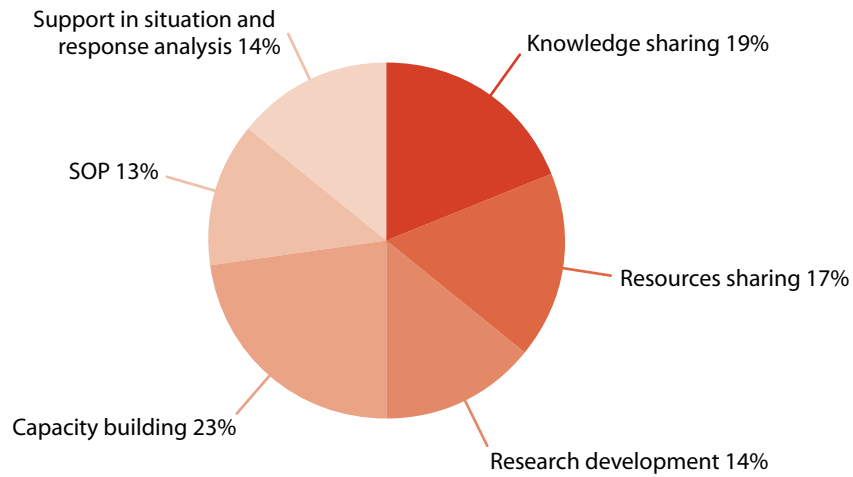
Photo: Sam Tarling/Oxfam

6 RECOMMENDATIONS

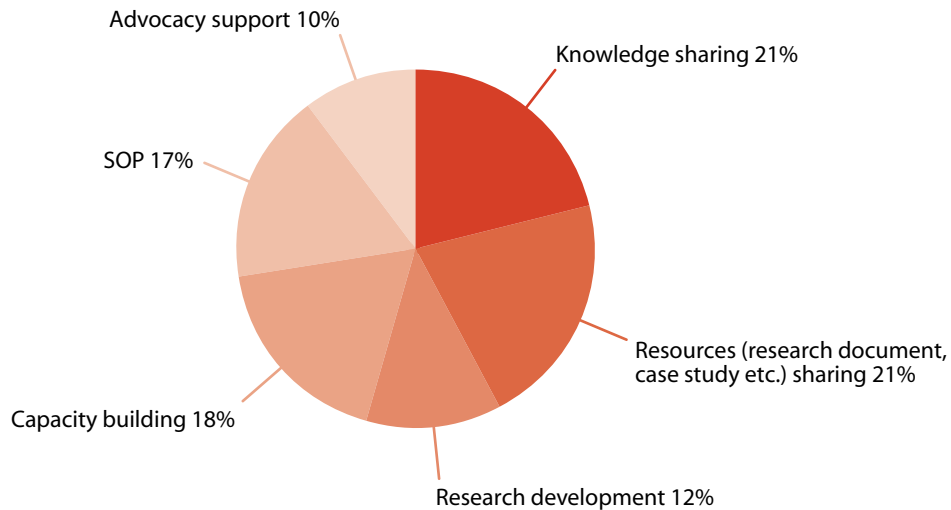
In the online survey, participants were asked what type of support they would like from a) their organisation, b) the related cluster and c) the CaLP. There were 10 options to choose from for each of the 3 mentioned topics:

1. Knowledge sharing
2. Resource sharing (research documents, case studies, etc.)
3. Research development
4. Capacity building
5. Development of Standard Operating Procedures
6. Framework agreement with financial service providers
7. Support in situation and response analysis
8. Risk analysis/security advice
9. Advocacy support
10. I do not need support

The results are below:



Graph 8: First six priorities for support according to WASH practitioners



Graph 9: First six priorities for support according to shelter practitioners

Of the first six priorities for both sectors, 5 are shared; however, the prioritisation is different. The WaSH practitioners prioritised:

1. Capacity building
2. Knowledge sharing
3. Resource sharing
4. Research development
5. Support in situation and response analysis
6. SOP

Meanwhile, the shelter practitioners prioritised:

1. Knowledge sharing
2. Resource sharing
3. Capacity building
4. SOP
5. Research development
6. Advocacy support

These results confirm the findings of the study, with the shelter sector more on board to consider and use CTP, but still in need of documentation of previous experience.

In terms of whom they will seek this support from, for all 7 priorities mentioned in both sectors, practitioners said that they would seek support first from the CaLP, then from the cluster and finally their own organisation. This result is difficult to analyse without further research and more interviews, but a few hypotheses can be drawn: a) the CaLP has built a strong brand and is a recognised pool of resources in terms of CTP²⁰, b) the organisations do not yet have/are not yet perceived as having sufficient resources and knowledge to provide support in those fields.

From these results and from the interviews, recommendations can be drawn. These recommendations have been prioritised by the reference group members.

Looking at market-based programming rather than CTP

There is a need to advocate for market-based programming, not CTP, to be a standard response. CTP should only be part of the regular toolbox for humanitarian practitioners across sectors. For this advocacy message to be understood, the explanation of what CTP and market-based programming are and are not should be clarified. This would also “demystify” cash and to present it for what it is: simply a delivery modality that can be used to achieve diverse humanitarian outcomes. As mentioned by many interviewees, the challenge lies in understanding markets; having a sound understanding of local market systems can lead to the use of either CTP or in-kind modalities through a response that will do-no-harm to local markets and that can even strengthen them. Understanding markets also allows the implementation team to be flexible and consider switching from one delivery modality to the other in case of a changing context, to ensure the most appropriate modality. Because the priority should be on market-aware programming rather than CTP per se, discussions around markets (and ultimately public services support) should be inclusive of WaSH and shelter practitioners. For example, at the last global market event organised in April 2014 in New York, very few WaSH practitioners were invited.

²⁰ For more on this topic: A review of cash transfer programming and the Cash Learning Partnership (CaLP) 2005–2015 and beyond, CaLP, June 2014. www.cashlearning.org/resources/library/430-a-review-of-cash-transfer-programming-and-the-cash-learning-partnership-calp-20052015-and-beyond

Documenting the current use of CTP

Examples of what has already been done should be more systematically documented and shared widely among donors, UN agencies and implementing organisations. Evidence of where and when the use of CTP has made a difference and has had an impact on the provision of shelter and WaSH services in emergency settings should also be gathered.

This could be an opportunity to look into the different CTP modalities/models and types of market-based programming and into what has proven the most relevant, efficient and effective in various different contexts.

The Cash Atlas, CaLP library and cluster websites provide great platforms for sharing evidence. The current review of the CaLP website is also an opportunity to reinforce CaLP's role as a resource sharing platform and to make sure the use of CTP in both the WaSH and shelter sectors are referenced in a clear manner both in the CaLP library and the Cash Atlas.

Developing a capacity building plan

Due to the nature of humanitarian work, it is difficult to retain and institutionalise the knowledge gained within an organisation. There are already some (even if not many) cash champions in the WaSH and shelter sectors. Efforts could be made to a) identify them and recognise their expertise, b) build their capacity further, c) replicate the Sphere Project's approach by positioning some champions in the first weeks of an emergency to make sure that market and cash questions are being considered. Practitioners have a clear appetite for learning by doing, rather than classroom training. A training strategy could be developed at agency level to include mentoring, shadowing and examining what could be learned from the private sector and capturing learning and experiences in market support and quality control. CaLP training could be reviewed to be sure they are more shelter and WaSH friendly. The global shelter cluster previously provided a half-day training on CTP and this could be repeated if cluster members expressed the need for it. Facilitators from this training mentioned that it should ideally last a full day rather than just a half-day.

Joining forces to create evidence and knowledge

Interested agencies could join forces to set up an action plan for the uptake of market-based programming and CTP in both the WaSH and shelter sectors, potentially in a sector-specific way, as the needs and stages are different. They could look first for learning based on the experience of the EFSL sector. The group could map the projects that are likely to be implemented during the next three years in contexts of chronic crisis with functioning markets. Then, they could take measures to prepare to use CTP and rely on markets for the WaSH and shelter components of those projects. This would help to create a body of knowledge and evidence on the potential of the use of CTP and market-based approaches to respond to WaSH and shelter needs.

Making CTP and Markets part of the standard skillset

CTP and market skills should progressively become part of the skill set of WaSH and shelter practitioners. They should be included in job descriptions when recruiting team members and in the performance objectives of existing team members.

Using cash and market advisors and Cluster Coordinator/FST as cash and market champions

Within implementing organisations, dedicated cash and market advisors, or at least technical staff with some cash or market advisory capacity and mandate, are increasingly common. These people should drive the agenda forward and be key allies in the uptake of market-based approaches and CTP in the WaSH and shelter sectors. Historically, these cash and market advisors have often come from an EFSL background; should this continue in the short term, they should be inclusive in their work and systematically involve WaSH and shelter departments in all the market and cash-related discussions.

Furthermore, implementing organisations should be the primary source of support and guidance documents when it comes to the consideration of the use of markets and CTP in WaSH and shelter responses. This will support the institutionalisation of CTP and market-based programming. This is not yet the case; for the moment, most people look to CaLP for support.



Cluster coordinators should be encouraged to play a key role, not necessarily to promote the use of CTP, as this should be analysed on a contextual basis, but to make sure the question is being asked when WaSH and shelter need assessments are being done and strategies developed. At the Global Wash Cluster level, the Field Support Team (FST) members could play the same role to enable and embrace market analysis, and thus CTP and/or market-based programming.

Adjusting the existing guidance and tools

In terms of guidelines and documentation, two approaches can be taken in parallel: adding WaSH and shelter perspectives in existing CTP and market guidance documents and adding market-based and CTP approaches to technical documents in the WaSH and shelter sectors. There is not necessarily a need to develop a huge number of guidance documents; practitioners from both the WaSH and shelter sectors have, as per the online survey results, a good knowledge of the existing CTP and market guidance and tools. It would, however, be relevant to make them more WaSH and shelter friendly (e.g., specific sector annexes should be added to existing guidance documents).

A few examples were discussed during the interviews:

WaSH and shelter manuals that could incorporate CTP and market-based approaches:

- Global WaSH Cluster Field Support Team (FST) assessments
- UNICEF programme policy and manual
- ACF WaSH manual
- Global shelter toolkit for shelter coordination team members
- A tool similar to Oxfam's EFSL 48-hour tool could be developed for the WaSH and shelter sectors, with markets and CTP integrated
- Review and revision of WaSH assessment tools is on-going through a Rapid Assessment Team (RAT) member of the Global WaSH Cluster team (this individual is hosted by CARE International). This review will incorporate market-based questions and analysis. WaSH and shelter team members should be part of the development process.

CTP guidance documents that need to incorporate WaSH and shelter perspectives:

- Cash and market standard operating procedures. The M&E part of the SOP will be critical, as fear of fraud was one of the key blockages identified by the WaSH and shelter practitioners. As CTP is just a tool, the process indicators used in the EFSL sector when using CTP should be easily replicable in other sectors, but the WaSH and shelter practitioners need to embrace them.

Furthermore, there is a need to explore how relevant the current market analysis tools are for complex market systems such as the rental market or the water market systems.

Ensuring a way forward

The study's key recommendation for the CaLP is to offer a way forward for these recommendations. All the interviewees mentioned that they found this study relevant. This interest should be used to create momentum around the consideration of market-based programming and use of CTP in the WaSH and shelter sectors.

An additional recommendation in terms of a way forward is to look at market-based programming as a whole rather than only at CTP. This is a more relevant entry point especially when targeting WaSH practitioners, and the use of CTP is included within market-based programming.

Relying on donors as advocacy allies

Donors already welcome the idea of using CTP and market-based approaches to respond to WaSH and shelter needs. Furthermore, all the interviewed donors expressed interest in supporting relevant research and piloting. Donors could therefore be advocacy allies when it comes to raising government awareness on the use of CTP to respond to WaSH and shelter needs. Government might then encourage implementing agencies to consider CTP and markets.

Keeping CTP and market on coordination platforms' agendas

The WaSH and shelter clusters at different levels have strategies with specific outcomes and outputs. These strategies need to be analysed to determine in which strategic output the consideration of market-based programming and CTP can be included. This would also help to keep CTP and markets on the clusters' agendas and make sure they are regularly discussed. In areas where the cluster system is not used, coordination platforms should also include market-based programming and CTP in their agendas.

Improving the linkages between situation and response analysis

Though it goes slightly beyond the scope of this study, a final recommendation is to improve the linkages between the situation and response analyses. In this regard, it could be relevant for consortia and projects connected to this topic, like the ERC (Emergency Response Capacity), to broaden their scope and make sure to include WaSH and shelter practitioners in their thinking process²¹.

²¹ The ERC project "Reinforcing Institutional Capacity for Timely Food Security Emergency Response to Slow Onset Crises at Scale" is a consortium comprising Oxfam GB, Save the Children UK and Concern Worldwide. The aim of the project is to improve timely, relevant responses to slow onset or predictable crises through the use of livelihood and market analysis and a context-appropriate framework for contingency planning, through a comprehensive Situation and Response Analysis Framework.

ANNEXES

ANNEX A: BIBLIOGRAPHY

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ANNEX B: SURVEY MONKEY

Introduction

Cash Transfer Programming is increasingly considered to respond to emergency shelter and WaSH needs through an increasing variety of modalities and program designs. Shelter and WaSH practitioners have also increasingly conducted market analysis.

Yet the need remains to understand a) the range of programming examples, b) blockages to consideration of CTP and c) opportunities to address these blockages within these sectors. The CaLP has therefore commissioned a Scoping study on emergency cash transfer programming in WaSH and shelter sectors that is financially supported by the Swiss Agency for Development and Cooperation.

The study will be used to identify themes for future research, advocacy, case studies, capacity building initiatives, and debates or other recommended activities related to CTP in shelter and settlements and WaSH programming. The study findings and recommendations are expected to be targeted at Global, Regional, and National Clusters, donors, implementing agencies, and the CaLP.

This survey is part of the study as we would like to hear from you about the current use of CTP in WaSH and shelter sectors, the blockers and enablers you and/or your agency is facing and your recommendations about it.

The survey comprises 13 questions and should take no more than 20 minutes to complete. As both WaSH and shelter sectors will be assessed, we would like to ask you to fill one survey per sector, or just on the sector you are the more knowledgeable about.

Would you have any questions on the survey or the study, or if you wish to send us some documents you feel would be useful of this piece of work, do get in touch: helene@hjconsult.org

We thank you very much for your time!

**Helene Juillard, Mainul Islam Opu,
and the CaLP team**

Note: Cash interventions can take numerous forms, for the purpose of the survey and later on the CaLP study, the term CTP refers to the following cash transfer modalities: a) Cash Grant (conditional or unconditional), b) Cash-for-Work (CFW), c) Commodity/Value/Service Vouchers.

Survey content

- 1 For which sector are you answering this survey?**
 - WaSH
 - Shelter
- 2. Which agency are you regularly working with?**
- 3 At which position?**
 - Field based
 - Regional centres
 - Headquarters
 - Others
 - Specify:
- 4 What is your main country of work?**
- 5 What is your main sector of activity?**
 - WaSH
 - Shelter
 - Livelihoods and Food Security
 - Management
 - Logistics
 - Finance
 - Others
 - Specify:
- 6 Which Cash and Markets activities do you have experience of? (several choices possible)**
 - Pre-crisis market baseline/ cash preparedness activities
 - Assessing markets after emergency
 - Market monitoring
 - WaSH/Shelter Projects using CTP design input
 - WaSH/Shelter partners cash capacity assessment
 - Capacity building in CTP for WaSH/Shelter partners or staff
 - Record keeping and compliance
 - Security/Risk assessment for the use of CTP
 - Cash feasibility assessment
 - Distribution of cash/vouchers for Shelter/WaSH projects
 - Assessing suppliers for CTP
 - Coordination with other actors for WaSH/ Shelter CTP projects
 - Coordination with other actors for multi-sectoral CTP projects
 - Other
 - Specify:

7 Can you give us more details about the Cash or market-based programming you have experienced in?

(Shelter or WaSH?, Value or commodity? , Grant or voucher?, One off? For 1, 2, 3 months or more?, Market support: in kind, CTP, capacity building?, Modality: bank, post office, mobile phone etc?, Parallel activities; stand alone, capacity building? Etc)

8 What are the main challenges you are facing in using CTP in this sector? (several choices possible)

- I do not face any challenge
- Lack of knowledge on CTP
- Lack of practical experience in CTP
- Lack of knowledge on Market analysis
- Lack of practical experience in market analysis
- Lack of clarity on the roles and responsibilities in the use of CTP
- Challenge to target beneficiaries (more than for an in-kind project)
- Internal resistance to CTP
- Donor resistance to CTP
- Government resistance to CTP
- Legal restrictions
- Insecurity
- Risk of fraud
- Lack of existing infrastructure (IMF, Bank, mobile money, etc.)
- CTP coordination
- Other
- Specify

9 What are the main enabling factors you have encountered when using CTP?

- There were no enabling factors
- Technical capacity at country level
- Technical support from your headquarters
- Experience from previous project
- Support department capacity
- Government buy-in
- Market – active and accessible
- Cash transfer modalities effective and active
- Good coordination
- Other

10 What type of support would you like to have from your organisation on the use of CTP for WaSH/Shelter projects? (several choices possible)

- Select at least one answer
- I do not need support from my organisation
- Knowledge sharing
- Resources (research document, case study etc.) sharing
- Research development
- Capacity building
- Standard Operating Procedures
- CTP being part of the organisation strategy
- Framework agreement with service provider
- Support in situation and response analysis
- Risk/security advice
- Advocacy support
- Other
- Specify:

11 What type of support would you like to receive from the related cluster on the use of CTP for WaSH/Shelter projects? (several choices possible)

- I do not need support from the cluster
- Knowledge sharing
- Resources (research document, case study etc.) sharing
- Research development
- Capacity building
- Standard Operating Procedures
- CTP being part of the global strategic framework (including objectives, outcomes etc)
- Framework agreement with service provider
- Support in situation and response analysis
- Risk/security advice
- Advocacy support
- Other
- Specify:

12 What type of support would you like to receive from the CaLP on the use of CTP for WaSH/Shelter projects? (several choices possible)

- I do not need support from the CaLP
- Knowledge sharing
- Resources (research document, case study etc.) sharing
- Research development
- Capacity building
- Standard Operating Procedures
- Framework agreement with service provider
- Support in situation and response analysis
- Risk/security advice
- Advocacy support
- Other
- Specify:

13 What tools or guidance on CTP or Market analysis are you already using?

14 Would you agree to be contacted for a 40 minutes follow up interview?

- Yes
- No

15 Do you have any documents on the use of CTP in the WaSH and Shelter sectors (project outline, case studies, lessons learned, workshop minutes etc.)?

- Yes
- No
- If Yes, could you share with us the link or send it to us (helene@hjconsult.org)?

Dissemination

The link to the Monkey Survey will be sent through:

- The CaLP and the EMMA DGroups both in French and in English
- CaLP newsletter dissemination list
- PELICAN DGroup
- Targeted individuals (members of the reference group and of interviewee list)



Photo: Elizabeth Stevens/Oxfam America

ANNEX C: KEY INFORMANTS LIST

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WASH			
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19	Seki Hirano	Senior Technical Advisor Shelter and Settlements	CRS
20	Pablo Medina	Shelter Cluster coordinator	IFRC
21	Graham Saunders	Head, Shelter & Settlements	IFRC
22	Hilmi Mohammed	Senior Coordinator and Technical Specialist for Shelter & Settlements	InterAction
23	Jake Zarins	Shelter Adviser	NRC
24	Annika Hampso	Shelter Project Manager, Jordan	NRC
25	Ivan Vuarambon	Shelter expert	SDC
26	Tom Corselis	Executive Director	Shelter Centre
27	Philippa Shala	Shelter Project Manager, Lebanon	Solidar Suisse
Cross cutting			
28	Megan Mcglinchy	Senior Technical Advisor, Food Security and Livelihoods	CRS
29	Denis Heidebrock	Global Thematic Coordinator WASH & Shelter	ECHO
30	Roger Dean	Cash and Voucher Coordinator, Jordan	NRC
31	Urayayi Gregory Mutsindikwa	Cash and Voucher Coordinator, Afghanistan	NRC
32	Rebecca Vince	Logistics Officer – Cash & Markets	WFP/Logistic Cluster

ANNEX D: KEY INFORMANT INTERVIEW QUESTIONNAIRE

The interview is meant to last 40–50 min and will begin with an explanation of the interview's purpose and the interviewee's rights, including confidentiality.

Brief background

The objective of the study is to understand a) the range of programming examples, b) blockages to consideration of CTP and c) opportunities to address these blockages within these sectors.

The study will be used to identify themes for future research, advocacy, case studies, capacity building initiatives, and debates or other recommended activities related to CTP in shelter and settlements and WASH programming. The study findings and recommendations are expected to be targeted at Global, Regional, and National Clusters, donors, implementing agencies, and the CaLP.

Study methodology: Reference group, KII, 2 countries case study with interview of all levels (including benef.)

Introduction

Interviewee name:

Organisation:

Position:

Sector (WaSH/ Shelter/support/FS/multi):

Shelter and/or WaSH interview:

Use/perception of CTP:

1. In the country(ies) you have worked in, did your organisation already use CTP to respond to WaSH/Shelter needs? If yes, can you briefly give us description of the range and scale of programming?
2. If yes, why did you choose to deliver this Shelter/WaSH project through CTP? Factors considered before using CTP (*cost effectiveness, market study, etc.*)
3. If yes, what were the main enablers/success factors?
4. What were the main barriers you faced when considering or using CTP to respond to WaSH/Shelter needs? *Barriers may differ from one context to another*
5. From your perspective what are the main differences between using CTP to deliver food security projects and WaSH/Shelter projects? And from beneficiaries perspective?
6. How does the use of CTP in WASH and Shelter sectors (and possibly multi-sectoral) affect your work/sector/ country/organization/region?

Support needed

7. What action/change/reform/investment do you think is needed by the humanitarian sector in order to achieve this goal of cash being a routine response to WaSH/Shelter needs and implemented in a quality way? *Financial, research and evidence, advocacy, institutional, capacity, attitude and perception, systems and management, coordination*
8. In that regard, what type of support would you expect from your organisation? From the WaSH/Shelter cluster at country/regional/global level? From the CaLP?

Available documentation

9. Do you have any lessons learned and way forward documents that have been developed based on the experiences on CTP in your sector? (only if it is shelter or WaSH CTP-related)

Potential use of the study

10. In your opinion how relevant is this study? How do you intend to use it?
11. Was there anything else you were expecting me to ask you during this interview?

ANNEX E: COUNTRY CASE STUDY – THE USE OF CTP BY OXFAM TO RESPOND TO EMERGENCY WASH NEEDS IN JORDAN

Overall background

By the end of 2013 in response to the Syria crisis, Oxfam started a project to cover Emergency WaSH needs in Jordan. At assessment stage, there were 540,000 refugees in Jordan, 75% of them living in host communities across the country in rented accommodation or in informal settlements. The refugee influx led to increasing pressures on infrastructure and service provision and increasing tensions with the Jordanian host communities.

In the urban areas of Balqa and Zarqa governorates in northern Jordan, the majority of the population living in rented accommodation benefits from a connection to the public water system and to sanitation facilities. The water supply is however rationed and delivered according to a set schedule that depends on the season. During summer, it can be just once every 10 days, and up to 4 times a week during winter. The quantity of water accessed from this water source therefore greatly depends on the water storage capacity and on the water pressure at the household level. The water deficit is estimated at an average of 16 litres per person per day. As an alternative source of water, people purchase water from private tankers or vendors which cost 20 to 46 times higher than from public water service. As a result those living in rented accommodations spend between 15 and 80 JOD (\$110) a month on water for drinking and other uses representing a significant portion of their household expenditures (between 10 to 33%).

The demand for water from the private sector drastically increases during the warmest months of the year. During this period, water demand increases and supply from public piped water networks decreases both in terms of delivery frequency and of the total quantity delivered.

In the informal settlements of the Jordan Valley and Eastern/southern Amman, migratory workers (factories and agricultural lands) access water from on-site wells or storage ponds provided by their employer and/or landlord. This water is of poor quality and in insufficient quantity. As an alternative source of water they rely on private water trucks, and sometimes on small shops and supermarkets. In those settlements, the consumption of water for all uses is estimated between 25 and 50 l/p/d. This little quantity leads people to considerably reduce washing which increases the risk of skin infections.

What has been done?

Oxfam implemented an EMMA in Balqa and Zarqa Governorates and in the informal settlements of Amman and the Jordan Valley looking at the water and hygiene kit market systems. This EMMA allowed Oxfam to design a market-aware response, reducing the risk to distort the existing market or to take away business from water trucks normally operating in the intervention areas. Oxfam WaSH response covers 3,000 households and started in May 2014. Originally planned up till March 2015, discussions were ongoing at the time of the study time to extend it.

For the hygiene items, Oxfam started by in-kind distributions but changed to voucher distribution. To do so the following activities have been implemented:

- Selection of 11 traders (originally 5) according to a standard list of criteria (distance from beneficiary location, availability of goods and capacity to re-stock, prices, and quality of goods), crosschecked with WFP's list of traders.
- Visit of each trader and assessment of the shop, taking into account that each program location must contain multiple traders to provide a variety of choice to beneficiaries and ensure the availability of goods for every beneficiary.
- Establishment of the essential hygiene items with beneficiaries and shopkeepers.
- Traders training about: how to recognize "legitimate" vouchers, what information they should keep (such as the number of goods sold with the voucher program and prices), the payment process etc.
- Set up of a hotline for complaints from beneficiaries or information from traders.

- Demonstration sessions for beneficiaries (details about the hygiene voucher system, location of shops, right to complain and feedback, hygiene awareness).
- Distribution of value voucher of 15 JODs (\$21) per beneficiary.
- Invitation of a sample size of beneficiaries to the accountability desk in order to collect immediate feedback.
- Distribution of leaflets for the beneficiaries with specific information.

To respond to the water needs, Oxfam developed those activities:

- Guidelines for water vouchers were developed, including the selection criteria for filtered bottled water, shops, monitoring and distribution. Main selection criteria to identify suitable drinking water vendors were based on the water quality, the price, trader's capacity, location and beneficiary's feedback.
- Mappings of water vendors and spot checks resulting into agreements with five different traders in three urban areas (Ain Al Basha, Baqaa, Salt).
- Distributions at local CBO level highlighting in each demonstration session the roll-out of the water voucher system and the need for safe water storage. Each beneficiary family received a booklet of 15 water vouchers valid for 1.5 months, with the objective to cover 2 l/p/d (Note: the water voucher system built on an existing booklet voucher system promoted by the water vendor operators).
- Distributions of water filters and water tanks to increase storage capacity at household level and therefore the capacity to capture the cheaper public water. This was also designed as an exit strategy from the water voucher and longer-term solution for access to safe drinking water.
- Invitation of the beneficiaries to collect immediate feedback in terms of drinking water.
- Distribution of leaflets with information about water vouchers, phone numbers and the length of the voucher's validation.

To ensure the monitoring and evaluation of the project Oxfam set up a hotline to receive and address complaints from both beneficiaries and traders. A Post Distribution Monitoring including a satisfaction survey was done at household level 3 weeks after each voucher distribution. Price monitoring was done every 2 months both with traders partnering with Oxfam and not. In addition Oxfam conducted regular visits to the shops involved in the voucher scheme.

What have been the lessons learned of the use of CTP to respond to WaSH needs?

With the in-kind distribution of hygiene kits, beneficiaries were not always satisfied with the kit's items:

- Beneficiaries wanted some extra items in the kit (such as baby diapers). It was not possible to include baby diapers in the in-kind kit because not all the families needed those and because the size of the diapers varies from one family to another.
- Beneficiaries were requesting for different quantity of some items
- Some of the beneficiaries were not happy about the quality of few products (soap for example, which smell they did not like)

The use of hygiene vouchers addressed those above-mentioned challenges and gave beneficiaries flexibility and freedom to choose the kit content. In addition voucher distribution is more cost effective in this context, as on average the price of each kit reduced by 3 JOD (\$4.2). Using vouchers also saved time for the Oxfam team who used to have to purchase kit items, prepare the kit and monitor its content. The traders also expressed satisfaction with the voucher scheme and it is estimated that the project allowed each trader to increase its monthly revenue by 8,000 JOD (11,000 USD).

Beneficiaries also expressed their satisfaction about the water vouchers, not necessarily in terms of increase of access to water but moreover about their savings made in purchasing water. They did not have to purchase so much water, thus beneficiaries were able to save money and dedicate it to the payment of their rent.

At the beginning of the project, beneficiaries tried to buy unauthorised items with the hygiene voucher, especially food items (most of the traders selling both NFI and food items). The hygiene items bought with the Oxfam vouchers were also excluded from the shop special offers.

Despite having security features on the voucher and having explained those to the traders, some traders were not monitoring the voucher authenticity.

Those challenges have been addressed by Oxfam as the project unfolded mostly through increased communication and awareness with traders and beneficiaries. The hotline had been a great asset in receiving those complaints and being able to address them.

At first it was difficult to find partner shops that full filled Oxfam's criteria and within an acceptable distance from beneficiaries houses. The project started with 5 partner shops and progressively increased to 11 shops, thus increasing the coverage and reducing the distance to the household.

Finally despite the M&E tools in place, Oxfam team found it difficult to monitor the relationship between the traders and the beneficiaries. Several complaints have been received both from traders and beneficiaries' side about the other part behaviour. To address this challenge, Oxfam has included in its project a psychosocial component for the beneficiaries and has increased its awareness efforts with traders.

What are the recommendations going forward?

- Increase the number of items that can be bought with vouchers to increase beneficiaries' choice.
- Distribute a booklet with 3–6 months vouchers in it rather than a monthly voucher distribution.
- Dedicate enough time and effort to trader training on the voucher use and security features.
- Beneficiaries prefer vouchers to in kind aid, but they also prefer cash to vouchers, because it gives them more capacity of choice. In the Jordanian context it is however not possible for now to consider cash grant due to governmental restrictions.

ANNEX F: COUNTRY CASE STUDY – THE USE OF CTP TO RESPOND TO WASH AND SHELTER EMERGENCY NEEDS IN BANGLADESH

Bangladesh is one of the most disaster prone countries in the world. Between 2007 and 2009 two cyclones have hit the Bangladeshi costal belts affecting hundred of thousands. Sidr and Aila cyclones responses have focused on food security, shelter and WaSH and have reshaped the way the humanitarian community is delivering aid to affected communities.

In the last couple of years, humanitarian response modalities in Bangladesh have switched significantly from distribution-oriented to community driven approach. CTP has been considered as a response modality in Bangladesh since the late nineties. At the beginning of nineties Bangladeshi government with the support of UNDP and WFP used the food for work approach to construct the embankment in the coastal area, but in the late nineties food for work was replaced by cash for work. This was the foundation layer of the use at scale of CTP in Bangladesh. It has been first used in development-oriented projects before being considered in the past few years for humanitarian response. According to several humanitarian practitioners interviewed²², the use of CTP in humanitarian responses is growing but it has never been formally "labelled" as CTP.

Using CTP to respond to shelter needs

The Bangladeshi government has a policy to distribute immediate unconditional cash grant to cover shelter needs in the aftermath of any major disaster. This cash grant is standard whether for shelter construction or rehabilitation. The Government is meant to disburse the cash grant within the first 3 months following the disaster impact. The number of beneficiaries and the amount of cash is decided following a rapid assessment by the local government authority. According to the scale of the disaster, the number of people affected and the resources available, the cash amount to be received at household level can reduce or increase. Interviews with some local level government representatives (ward member of a Union Parisad) illustrated however that

²² Interviews have been held with practitioners from Oxfam, Solidarites International, ACF, WA, Muslim Aid and Islamic Relief

this grant is used to cover basic food needs rather than shelter. This is due to the amount of the grant that is insufficient to cover the repair or reconstruction of the shelter and the lack of coordinated support to cover food needs that are prioritised first over shelter needs by the affected household in the immediate aftermath of the disaster.

This shows however that the Bangladeshi Government is favourable to CTP approach to cover shelter needs and during Sidr cyclone response in 2008, most of the organisations used CTP to deliver part of their shelter response. In the vast majority of cases, CTP was used in combination with in-kind support:

- UNDP (through its local partner RIC) used a cash for work approach to raise the plinth of the 22,000 shelters they distributed. Groups of 18 affected households were formed and these 18 people were engaged in a CFW scheme to build each others shelter plinth.
- ACF, SI and Handicap International also used a CFW approach during the shelter construction process and hired the head of the targeted household (or a member of the household able to work) to be part of the shelter construction team. The objective of this activity was to increase access to shelter but also to increase head of household awareness of DRR construction techniques.
- Between 2009–2010, SI rehabilitated 2,345 individual family shelters using a combination of in-kind distribution, conditional cash grant and cash for work. For each shelter SI assessed the damages and defined a tailored bill of quantity of the material and of the labour needed to repair it. A bilateral agreement was signed with each targeted household detailing the support to be received, the process of distribution and disbursement (including the cash grant conditionality) and the quality specification of the material to be purchased. For each shelter, CGI sheet were purchased by SI at factory level and distributed in-kind. They were not available in sufficient quality and quantity in the local market. The cash grant amount covered both the construction material costs as per the defined BoQ and the labour cost. The cash grant was distributed through direct distribution by SI in two instalments, the first one covered the material. The second instalment covering the labour cost was disbursed only when SI technical team had monitored the purchase of the material. The cash grant also covered transportation costs. As mentioned in the previous example for shelter construction, SI also used a CFW approach during the shelter rehabilitation and hired the head of the targeted household to be part of the rehabilitation team. It got paid at the same time as the second grant instalment.

Using CTP to respond to WaSH needs

The use of CTP to respond to WaSH is perceived by the interviewed practitioners as less common especially during first phase emergency. There are still some examples:

- Oxfam has implemented WaSH project in early recovery phase including community-oriented water point Operation and Maintenance (O&M). Each WaSH committee has been provided with a conditional cash grant for them to start their operation and open a bank account.
- SI has used CFW modality to improve access to latrines both at household and community levels. Latrines were distributed in-kind but the construction of the latrine was done through CFW targeting either the latrine committee (for community latrine) or a household member (for family latrine)

Beneficiary's testimony

Following informal discussions with nine beneficiaries of WaSH and shelter interventions using CTP, implemented by both SI and Handicap International, it clearly appears that acceptance for CTP and beneficiaries satisfaction are high.

According to the local community, cash support has given them the ability to buy things needed during the crisis time. They have mentioned that the “distribution type” support of the government and I/NGOs never meet the full needs of the family during the crisis period. With a bit of cash support people were able to purchase or invest for their uncovered needs.

At the same time, people who have received cash support from shelter response mentioned that with the given cash some people managed to start either to build a small extension of the actual shelter or to start to restore other livelihood activities. But majority of the people has mentioned that the amount of cash received wasn't

enough to cover any of the activities. As mentioned by Abdul Gafur of Patharghata, Barguna” NGO has given us some cash during the shelter support and that was useful. But instead of giving the shelter, if they could give us the full amount of money for the shelter, we could build larger and better shelter”.



Photo: Pablo Tosco/Oxfam



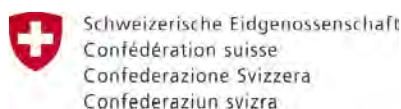
The Cash Learning Partnership

Over the past few years, the dialogue on cash transfer programming has progressed beyond initial debates about whether distributing cash and vouchers is a valid response modality at all to a general acceptance of their added value in appropriate contexts. Beyond the livelihoods and food security sectors, cash transfer programming is increasingly being considered as a response to emergency shelter and WaSH needs through an increasing variety of modalities and program designs.

However, there is still a need to understand (1) the range of programming examples, (2) blockages and success factors in the consideration of cash transfer programming and (3) opportunities to address these blockages and to institutionalise success factors within these sectors. Humanitarian agencies and donors are interested in learning more about the current use of, approaches to and capacity for cash transfer programming in the shelter and WaSH sectors, including programming that combines assistance modalities. The Cash Learning Partnership (CaLP) has therefore commissioned this scoping study on emergency cash transfer programming in the WaSH and shelter sectors.

The objective of this study is to take stock of the recent advancements in the use of cash transfer programming in the shelter and WaSH sectors to respond to emergencies and provide recommendations to encourage quality cash transfer programming at scale in those sectors. This study aims to identify themes for future research, advocacy, case studies, capacity building initiatives, and debates or other recommended activities related to cash transfer programming in shelter and settlements and WaSH programming. The study findings and recommendations are targeted at global, regional, and national coordination mechanisms including the clusters, donors, UN agencies, implementing agencies, and the CaLP.

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