



Institut International d'Ingénierie de l'eau et de l'Environnement

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CASH IN WASH: CONSTRAINTS AND OPPORTUNITIES IN HUMANITARIAN RESPONSE

Dissertation in partial fulfilment of the Requirements for the award of degree of Advanced Master in Humanitarian WASH (Water, Sanitation and Hygiene)

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DEDICATION

To the Almighty God;

To my beloved parents;

To my dearest brother and sisters;

To my friends;

To my country Rwanda;

This work is dedicated.

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For the accomplishment of my masters' studies and this work, my special and sincere thanks go to:

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ABSTRACT

Water, sanitation and hygiene are critical survival interventions in humanitarian responses. Populations in poverty or in emergency, especially children and pregnant women, are susceptible to weak self-development, illness and death from diseases caused by lack of sanitation, inadequate safe water and poor hygiene. The importance of WASH in humanitarian responses is such that most of times where WASH response is required the WASH Cluster starts its activities in a country two to five days after the onset of a sudden emergency (GWC, WASH Cluster Coordination Handbook, 2009). A continuous action in WASH is a key base to enhance health and fight poverty in developing countries. WASH is a discipline that should be adopted in all societies as a foundation to populations' development. It is part of human right, and if well provided, it emphasis the human self-confidence and dignity.

This work aims at analyzing the financial constraints and opportunities in humanitarian WASH responses emphasizing on the use of cash. After the consultation of different NGOs reports, examples as, Myanmar, Syria, Sahel (Senegal, Burkina Faso, Chad, Gambia, Mali, Mauritania, Cameroon, Niger and Nigeria), Sudan and Haiti, a certain number of constraints related to cash in humanitarian WASH has been brought up, and among them the delay of cash payments, risk of misuse of cash and attack during cash transportations. Different opportunities has been identified as good collaboration with local governments, promote local private sectors and positive impact on the local economy.

To solve the identified problems, broad recommendations and strategies have been proposed involving a sustainable and consistent collaboration of governments, international organizations and stakeholders. To take benefit from available opportunities, some barriers related to the inflexibility of the humanitarian financing system would be skirted around or alleviated. The actors involved in humanitarian WASH responses would conduct capacity and quality analysis of the local private sector and promote training of their staff in cash based interventions

Key-words: WASH Humanitarian response, financial constraints, financial opportunities, cash based response

RESUME

L'eau, assainissement et hygiène sont des interventions critiques de l'aide humanitaire. Les populations pauvres ou en situation d'urgence, surtout les enfants et les femmes enceintes, sont susceptibles d'être victime de faiblesse, maladies et mort provenant des maladies causées par le manque d'assainissement, d'eau potable et d'hygiène. Le WASH dans l'aide humanitaire est très important de telles façons que la plus part du temps et là où l'aide en WASH est nécessaire, le WASH cluster commence ses activités le plus vite possibles, pas plus de deux à cinq jours, après l'irruption de la crise (GWC, WASH Cluster Coordination Handbook, 2009). WASH est une discipline qui devrait être intégrée dans toutes les sociétés comme fondation du développement des populations. Le WASH fait partie des droits humains, et s'il est bien intégré, il renforce la confiance en soi et la dignité de l'homme.

Ce travail consiste à analyser les contraintes et les opportunités financières dans l'aide humanitaire du secteur WASH et l'usage de l'argent en espèce. Après la consultation des différents rapports des ONGs et des exemples comme Myanmar, Syrie, Soudan, Sahel (Sénégal, Burkina Faso, Chad, Gambie, Mali, Mauritanie, Cameroun, Niger et Nigeria) et Haïti ; un certain nombre de contraintes liées à l'argent en espèce dans le WASH humanitaire ont été soulevées entre autres le retard du paiement liquide, le risque du mauvais usage de l'argent et les attaques pendant le transport de l'argent.

Des opportunités ont été aussi identifiées comme la bonne collaboration avec le gouvernement local, promotion du secteur privé local et un impact positif à l'économie local.

Pour résoudre les problèmes identifiés, une marge de recommandations et stratégies a été proposée, incluant une collaboration durable et consistante des gouvernements, organisations internationales et les bénéficiaires. Pour bénéficier des opportunités disponibles, certaines barrières liées à l'inflexibilité du système financier humanitaire pourraient être allégées ou même contournées. Les acteurs du WASH humanitaire pourraient analyser en profondeur la capacité et la qualité du secteur privé avec lequel ils comptent travailler et mettre un accent sur la formation du personnel humanitaire en l'utilisation de l'argent liquide comme aide humanitaire.

Mots-Clés : WASH dans l'aide Humanitaire, contraintes financières, opportunités financières, usage de l'argent liquide

ACRONYMS

ACF	Action Contre la Faim
ALNAP	Active Learning Network on Accountability and Performance
CAP	Consolidated Appeals Progress
CAST	WASH Cluster Advocacy and Support Team
CBR	Cash Based Response
CERF	Central Emergency Response Fund
CHAP	Common Humanitarian Action Plan
CLA	Cluster Lead Agency
DFID	The UK Government's Department for International Development
ECHO	European Commission Humanitarian Office
EPRP	Emergency Preparedness and Response Plans
ERC	Emergency Response Coordinator
GWC	Global WASH Cluster
HC	Humanitarian Coordinator
HCT	Humanitarian Country Team
IASC	Inter Agency Standing Committee
IM	Information Management
OCHA	United Nations Office for the Coordination of Humanitarian affairs
OFDA	US Government's Office for Foreign Disaster Assistance
RAT	Rapid Assessment Team
RECA	Regional WASH Cluster Advisor
REWA	Regional Emergency WASH Advisor
RRT	Rapid Response Team
SAG	Strategic Advisory Group
SOF	Strategic Operational Framework
SOP	Standard Operating Procedures
UNICEF	United Nations Children's Fund
WASH	Water Sanitation and Hygiene
WCC	WASH Cluster Coordinator

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0. INTRODUCTION

0.1. Overview on Humanitarian WASH

WASH stands for Water, Sanitation and Hygiene; it is in the most important sectors of humanitarian responses. Water and Sanitation are human rights and fundamental to human development and well-being. WASH is important before, during and after the crisis. Adequate WASH services prevent beneficiaries to get sick, and will help them to maintain their pride and dignity especially women and girls.

Water is essential in terms of its quantity and quality to sustain life and promote health. Water is used for cleaning, cooking, drinking and so on. In humanitarian response, the target is to provide access to sufficient and safe water to affected populations (UNICEF, Introduction to Hygiene Promotion: Tools and Approaches, 2009)

Sanitation refer to adequate toilet and safe environment. Not only it prevent exposure to fecal and vector diseases, it ensures intimacy and dignity to persons using it. (UNICEF, Introduction to Hygiene Promotion: Tools and Approaches, 2009)

Hygiene promotion involves in ensuring that optimal use is made of water, sanitation and hygiene enabling facilities that are provided. The purpose is to raise awareness on the transmission of most diarrhea diseases and how the transmission routes can be interrupted (UNICEF, Introduction to Hygiene Promotion: Tools and Approaches, 2009). The priority focus of hygiene promotion in an emergency situation is to prevent diarrhea through:

- Safe disposal of excreta
- Effective hand washing
- Reducing the contamination of household drinking water.

0.2. WASH related diseases

The figure below resume the transmission of WASH related diseases. The WASH related diseases are the main threats that populations affected by crisis experience due to lack of safe and sufficient water, adequate sanitation and hygiene. The poor health caused by those diseases is most of time related to malnutrition. The diseases that kill the most in emergency situations are cholera, malaria, and diarrhea.

Even without the emergency situations, diarrhea kills over 30,000 children per week worldwide. During war and conflict in particular, simple diarrheal diseases can kill more people than the fighting itself (WASH Cluster HP, 2007).

The table below details the different water related diseases and their path transmission

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Category	Description	Type of water exposure	Examples
Waterborne microbiological disease	Disease related to consumption of pathogens consumed in water ; most due to human or animal faecal contamination of water	Drinking water	Cholera, Typhoid fever, viral gastroenteritis e.g. due to Norovirus
Waterborne chemical diseases	Disease related to ingestion of toxic substances in water	Drinking water	Arsenicosis
Water hygiene diseases	Diseases whose incidence, prevalence or severity can be reduced by using safe water to improve personal and domestic hygiene	Any water used for washing and personal hygiene	Scabies, shigellosis, trachoma
Water contact diseases	Caused by skin contact with pathogen infested water or with chemical contaminated water	Recreational water	Schistosomiasis (bilharzia); cyanobacteria
Water vector habitat diseases	Diseases where vector lives all or part of its life in or adjacent to a water habitat	Untreated freshwater sources	Malaria (mosquitoes) ; filialisis (mosquitoes) ; onchocerciasis(aquatic flies schistomiasis (snails) ; trypanosomiasis (tsetse flies)
Water disposal diseases	Diseases related to unsanitary disposal of human waste (faeces and urine)	Drinking water and untreated water resources	Ascariasis; faecal-oral infections e.g. shigellosis; schistosomiasis; trachoma
Water aerosol diseases	Diseases related to respiratory transmission, where a water aerosol containing suspended pathogens enters airways	Drinking	Legionellosis (legionnaires 'disease; humidifier fever); Norwalk-like viral gastroenteritis

Table 1: Category and Description of water related diseases (Source EOLSS)

0.3. General Introduction

All over the world diseases, wars, and natural disasters drive away populations from their homes and destroy the basic infrastructure cutting the access to water and adequate sanitation and reducing the hygiene of populations. In Syria over **242,000 civilians** are trapped without access to water, sanitation and other humanitarian assistance (UNHCR, 2014), and in **South Sudan**, Access to temporary, safe excreta disposal systems reached over 232,000 conflict -affected people (almost 93 per cent of the target) in Upper Nile, Unity, Jonglei, Central Equatoria and Northern Bahr el Ghazal states (UNICEF, 2012).

Despite the achievement of the global Millennium Development Goals (MDGs) for drinking water target, in 2015, 663 million people still lack improved drinking water sources and the global MDG for sanitation target has been missed by almost 700 million people, 68 per cent of the global population now uses an improved sanitation facility (JMP 2015). A rapid assessment of WASH needs in emergency situations is very important to facilitate its provision in time and adequately as WASH needs affect the health and dignity of uprooted people.

The work done to meet the WASH needs of populations in emergency situations have been performed by different actors including beneficiaries themselves, governments, international organizations, NGOs and private sectors. Their interventions need has been realized thanks to financial support. According to the statute of each of them, a funding strategy is put in place. This work focus on the financial constraints and opportunities in humanitarian WASH responses.

0.4. Problem statement

The Millennium Development Goal N°7 “to ensure environmental sustainability” includes a target that challenges the global community to halve, by 2015, the proportion of people without sustainable access to safe drinking water and basic sanitation. And this is also mostly applied to populations affected by disasters and in emergency situations. In almost all cases, an emergent and adequate response to their needs in water, sanitation and hygiene is always called upon. And in some cases, refugees have been living in camps for years.

The responses to these needs meet constraints like financial constraints related to the use of cash in responding to needs. Among them, the delay of cash payments, risk of misuse of cash and attack during cash transportations may hinder the response process.

Apart from constraints, WASH actors may encounter financial opportunities like good collaboration with local governments, promote local private sectors and positive impact on the local economy that need a channel to reach beneficiaries.

This work will focus on analyzing different cash constraints and opportunities encountered in humanitarian WASH responses.

0.5. Objective

0.5.1. General objective

The general objective of this work is to identify and analyze

- Cash constraints and opportunities in humanitarian water, sanitation and hygiene responses

0.5.2. Specific objectives

The specific objectives of this work are:

- Understand and analyze the WASH in humanitarian response and the humanitarian financial system
- Tucking obstacles to the achievement of WASH humanitarian response

- Learn from examples and find adequate solutions and recommendations.

0.6. Methodology

To conduct this work the followings will be done:

- Review of bibliography: make a bibliographic analysis and synthesis related to the present subject
- Deduce Solutions and recommendations from the above point

CHAPTER I. HUMANITARIAN FINANCING

The humanitarian responses to crisis, men made and natural diseases, are funded by both public and private institutions. As illustrated by the figure below, the public financing includes UN, Specialized Institutions, European Union, States, Local collectivities. And private financing include enterprises, Foundations, Religious Institutions and Individuals Donors. All those actors make backers.

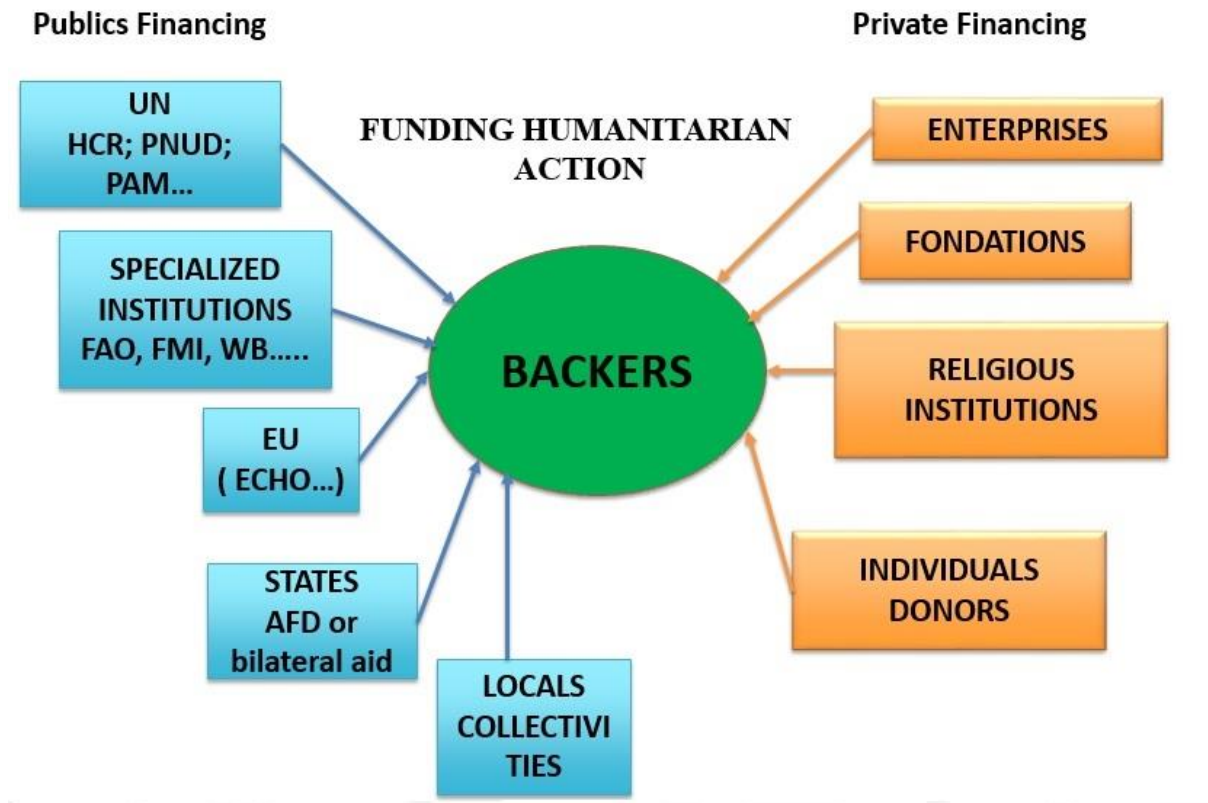


Figure 1: Humanitarian aid donors

I.1. Former Humanitarian Financing

The United Nations first General Assembly resolutions of 7th December 1965 and 19th December 1968 have called for UN's humanitarian assistance for natural disasters' victims. Apart from providing international assistance in emergency relief, the aim was also to provide rehabilitation, reconstruction and disaster prevention and mitigation in disaster-affected countries (Tadanori, 2012)

Since then, the General Assembly has established the United Nations Disaster Relief Office (UNDRO) and the post of Disaster Relief Coordinator. The UNDRO was meant to be the UN focal point for disaster and preparedness and it was entirely funded by voluntary contributions. The responses to crises engaged by UN were short or long term responses.

As a response to a growing number of complex emergencies, in 1991 the General Assembly has called the UN to provide leadership and coordination of efforts of the international community to support affected populations. At the same time, the General Assembly

resolutions have defined the responsibilities of the Emergency Relief Coordinator (ERC), provided the establishment of the Inter-Agency Standing Committee (IASC), and constituted the consolidated appeals process (CAP) and Central Emergency Revolving Fund (CERF) a cash flow mechanism to ensure rapid and coordinated response by the UN system organizations. In 1992, UNDRO was handed to the Department of Humanitarian Affairs (DHA) the predecessor of OCHA, United Nations Office of Humanitarian Affairs (Tadanori, 2012).

I.2. Humanitarian Reform

I.2.1. Introduction

Disasters and emergencies situations have been increasing throughout years, a number of people moving both internally and across borders have significantly increased (15.7 million by 1994, UNHCR Global Refugees trends 1994-2003) and the humanitarian actors have known an increase demand of responses. These changes caused a need for the UN to develop a more adequate coordination mechanism among the agencies concerned.

To face this problem and improve the consistency and quality of services, the key humanitarian actors (United Nations Agencies, Red Cross and Red Crescent Movement and non-governmental community) active in IASC have started a process of humanitarian reform.

The review of humanitarian response has found the following barriers:

- Inconsistent donor policies
- Poor coordination and a proliferation of partnerships
- Unpredictable response capacity
- Well known and long standing gaps in humanitarian response
- Insufficient accountability

The key objectives of the humanitarian reform were to address the previously mentioned barriers by ensuring the followings points

- Sufficient humanitarian response capacity through enhanced leadership, accountability and predictability
- Adequate, timely and flexible funding
- Improved humanitarian coordination and leadership
- More effective partnership between UN and non UN humanitarian actors

I.2.2. Pillars of Humanitarian reform

The Humanitarian reform's objectives were gathered in three main pillars:

The 3 Pillars of the Humanitarian Reform

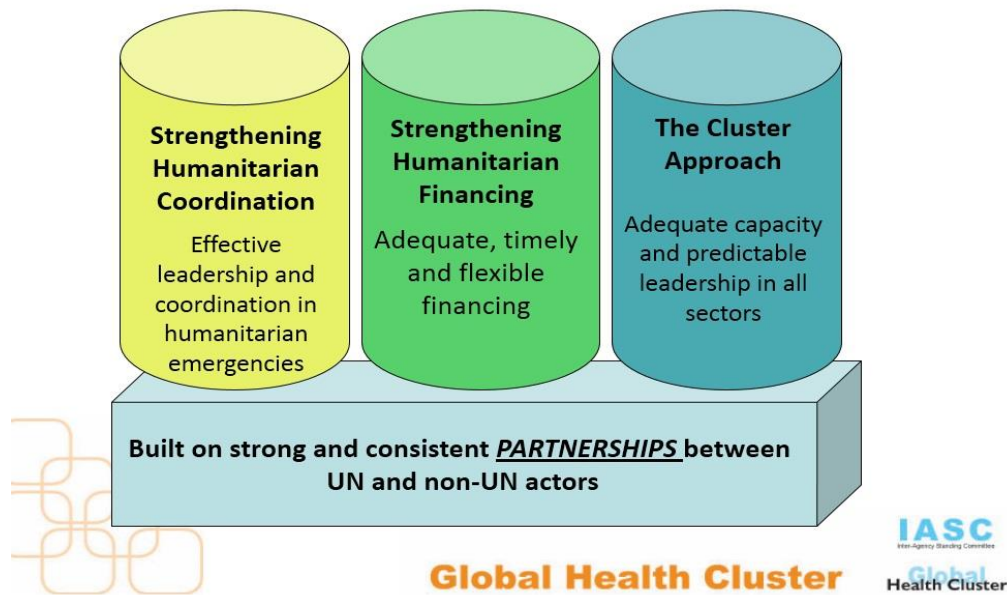


Figure 2: Pillars of the Humanitarian Reform (Source: GHC)

The second pillar emphasizes on the reform of humanitarian financing by strengthening its process. To apply this pillar, the followings are needed:

- Predictable and timely funding
- Diversity and complementarity of various funding mechanisms
- Equitable and transparent funding modalities for UN and non-UN agencies
- Strategies and channels for disbursement of funding which does not inhibit, and is not detrimental, to partnerships

I.2.3. Current Humanitarian financing

The reform of 2005 has established the expanded Central Emergency Response Fund (CERF) and the country level pooled funding mechanisms CHF (Common Humanitarian Funds) and ERF (Emergency Response Fund) as the additional tools available for donors to support humanitarian action. This new funding mechanism has facilitated the channel of funding by donors doubling the average percent rise in donor (case study DRC and Sudan 2006) and more than doubling the growth in contributions of the world's biggest humanitarian donors (US and ECHO).

The new funding mechanism offers funding modalities that are applicable to different types of emergencies. The role of ERFs is to respond to sudden and small-scale emergencies, natural disasters and other unforeseen needs, on the other hand CHFs provide multilateral funding for a wide emergency response plan at the country level, while underpinning and incentivizing humanitarian coordination. The CERF provides an advance fund enabling a quicker response for major new emergencies in addition to pinning funding for chronic and underfunded crises.

The money of CERF can also serve to support and providing advance funding to CHF. USD \$ 50 million available at CERF to make advances to UN agencies that are facing cash flow problems (Tadanori, 2012).

In CERF, Up to two-thirds of the grant facility can be devoted to rapid response with the additional one-third intended to addressing under-funded emergencies. According to resolutions from the humanitarian reform of 2005, the humanitarian funding comes from OCHA, the humanitarian coordinator, and goes throughout clusters. CERF is also under the responsibility of OCHA. Since it was launched in 2006, CERF has provided US \$ 77 million to humanitarian emergency responses that had no sufficient donors. The Democratic Republic of Congo has received the allocation of US \$ 38million in CERF grants to support underfunded life-saving projects (Tadanori, 2012). Among life-saving programs implemented under the help of CERF funds, malaria control, cholera response are included.

CHAPTER II. WASH CLUSTER IN HUMANITARIAN RESPONSE

II.1. Introduction to Cluster approach

A cluster is a humanitarian working group. It has been established in the humanitarian reform 2005, to strengthen capacity in different areas of work where critical gaps were identified. Eleven clusters has been created in Water, Sanitation & Hygiene; Education; Early recovery; Emergency telecommunication; Food security; Protection; Health; Camp management & coordination; Emergency shelter; Nutrition and Logistics.

All humanitarian organization with expertise and capacity in a given area of work are expected to gather and participate in one cluster led by a key organization. Together they map out their capacity as a work group and assess the possible additional capacity they might have and create sustainable arrangements so that they are in position to respond to an onset disaster by deploying staff and equipment quickly.

The cluster approach is based on building effective partnerships. It aims at:

- Identify and address gaps in humanitarian response
- Strengthen humanitarian partnerships
- Ensure predictability and accountability by clarifying the division of labor among agencies, and making the humanitarian community more accountable

II. 2. WASH Cluster

The global Water, Sanitation and Hygiene (WASH) Cluster is led by UNICEF. The WASH cluster put together all humanitarian organizations with expertise and capacity in water, sanitation and hygiene. As the cluster leader, UNICEF is the last resort provider. This means that in the case where no other cluster member has the capacity to provide WASH services necessary in a crises situation, UNICEF is expected to address this needs, in this situation it

can also call upon the private sector to make available WASH services through partnership with one of the cluster members.

For example DHL has agreed to donate services to help manage the urge of humanitarian cargo which in past used to create bottlenecks at airports.

The WASH cluster has at its disposal two 80-persons disaster response teams on standby and ready to deploy in Americas and Asia.

a- Vision

The WASH cluster agencies strive to ensure that all those affected by humanitarian crises have equitable access to timely and comprehensive WASH services.

b- Goal

The WASH cluster agencies' goal is to improve the predictability, timeliness, and effectiveness of a comprehensive WASH response to humanitarian crises.

II.2.1. WASH Cluster at different levels

II.2.1.1. Global wash cluster

The Global WASH Cluster (GWC) was formed in mid- 2006, as part of the humanitarian reform process, and was built upon the successes of an existing WASH humanitarian sector working group. UNICEF was nominated as the lead agency for the cluster on the basis of its global network of operations and partners, resources and recognized role in the field of emergency water and sanitation interventions. The GWC forum is composed of 26 active organizations.

II.2.1.2. WASH cluster at regional level

At regional level, UNICEF has deployed individual five Regional Emergency WASH Advisor (REWAs) to respective regional offices in Amman, Dakar, Kathmandu, Bangkok and Panama City, to support the roll out of the WASH cluster at national level. The role of REWA is to support capacity building of all WASH stakeholders, including government counterparts, local civil society, international NGOs, international agencies and UN organization. It also gives particular attention to the capacity of the respective country level CLA and provides surge support to WASH responses, both regionally and globally, serving in cluster facilitation roles and bolstering UNICEF in its CLA capacity.

II.2.1.3. WASH cluster at country level

The diagram below illustrates the principle WASH cluster relationships at country level

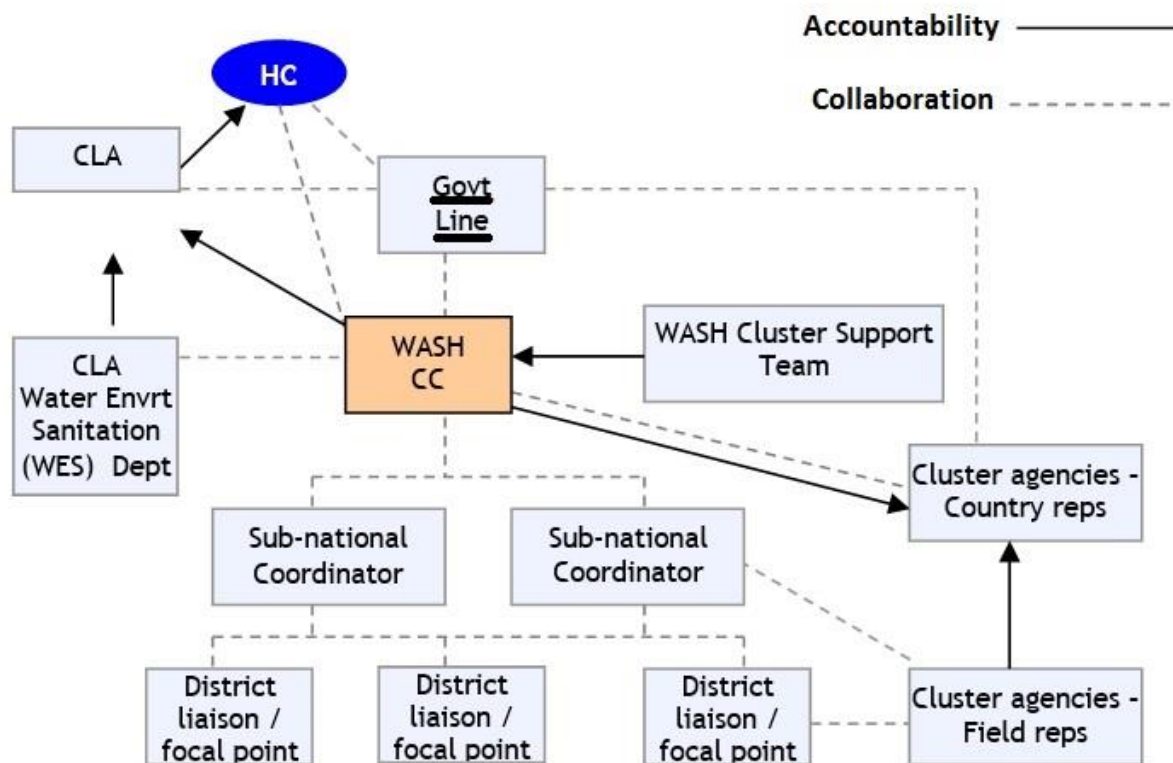


Figure 3 : Structure of the WASH Cluster at country level (GWC, 2009)

The key priority of the overall GWC strategy is the country level predictability and response to emergencies. The indicator of the overall success of GWC strategy is measured by the achievement of the cluster approach at country level.

II.2.1.4. Emergency response at country level

When a sudden emergency happens in a country the WASH Cluster Coordinator (WCC) must arrive in the country two to five days after the onset of the emergency. Meanwhile a representative of the Cluster Lead Agency (in this WASH case it is UNICEF) will need to cover the WCC role.

The role of a dedicated WCC is to facilitate improved coordination and equal partnership between all actors involved in responding to WASH sector needs.

Example. DRC (GWC Coordination Handbook, 2009)

In DRC the WASH Cluster is highly decentralised. With 13 provincial Clusters supported by three regional Clusters (including the national Cluster in Kinshasa. which acts as a regional coordination hub). As there are no dedicated WCCs, the regional Clusters are co-led by a UNICEF WES staff member and an INGO representative. Links with government at national and regional levels are weak, but representation of local and national actors at provincial level is high due to the field based focus of coordination.

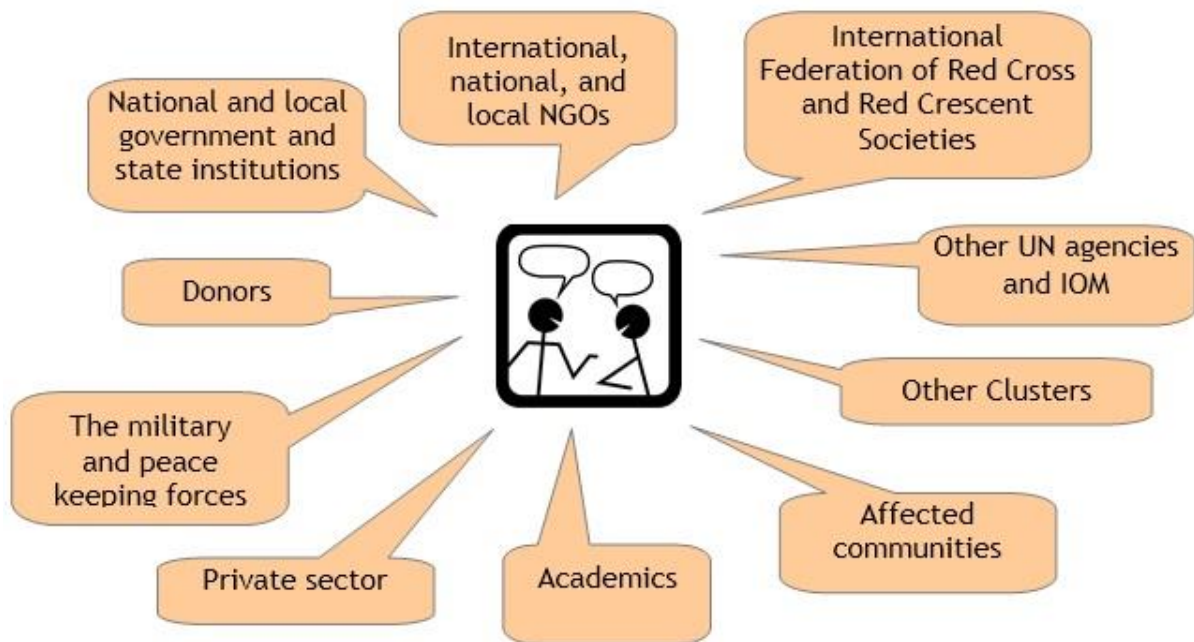


Figure 4: Different WASH actors (Source: GWC coordination handbook 2009)

II.2.2. Assessing needs, monitoring and development of cluster plans

II.2.2.1. Needs assessment

In an emergent situation, a rapid assessment gives the first impressions on the disaster or crisis. It provides a quick overview of an emergency situation and assists in identifying the response priorities. A continuous process of needs assessments, analysis and monitoring is necessary during the early stage of a rapid onset disaster so that adequate response is provided.

The first 1-2 days following a rapid onset disaster: during this stage a pre cluster assessment may be done by the available organization. As it is before the WCC arrives, the assessment may be done by the government or existing UN country team. A rapid analysis of the situation and possibly a visit to the affected area provide information that help in deciding whether to adopt the cluster approach or not.

The first week of a rapid onset disaster: in this stage an assessment data is need to give the information about:

- The nature and scale of the emergency and its impact.
- The size, location, and characteristics of the affected populations.
- The location of affected areas.
- Immediate needs and priorities.
- Information gaps that need to be filled.
- Principle stakeholders and information sources.

- Immediate resource requirements.

Baselines, tools, data collection on field, data processing and analysis are activities undertaken by UNOCHA or within the WASH cluster in order to form a basis for initial WASH cluster response planning although at this stage WASH cluster actors will already have begun to mobilize and intervene.

Within 2 to 4 weeks of a rapid onset disaster: during this stage many WASH agencies will be undertaking their own assessment that will be focusing on sub national rather than national level, demanding an effective coordination and communication. Therefore, found data should feed into a revised flash appeal four weeks after the disaster.

From one week to six months after a rapid onset disaster: there will be an on-going process of assessment and progress monitoring by WASH cluster and detailed assessments may be undertaken with different clusters and joint assessment coordinated by HC /UNOCHA. In large scale disasters, if the emergency response is expected to extend beyond six months a Consolidated Appeals Process will be initiated.

During these assessments the WCC will coordinate the activities within the cluster, his/her role will be to:

- Agree with Clusters participate and the role of government
- Provide the WASH input for the joint rapid assessment tool and indicators
- Agree on methodologies and advise on methods require for the wash sections
- Agree who will supply resources, e.g. survey team members, transport, funding for the assessment
- Agree on the provisions for information management
- Selection and training of assessment team members
- Coordinate the collection, processing, and analysis of disaggregated data from field assessment teams

II.2.2.2. Monitoring

Monitoring is generally more needed at the start of an emergency likely every week, and less frequently needed as the situation improves. The involvement of community representatives or local authorities in humanitarian response situation and progress monitoring assists in building local capacity and in complementing WASH agency capacity. Monitoring WASH interventions in emergency has the following purpose:

- Track changes in the emergency situation and evolving needs
- Assess the progress of the WASH cluster response
- Assess the impact of the response
- Facilitate upward and downward accountability to stakeholders
- Highlight achievements and lessons learnt to inform on going decision making and future cluster interventions

An effective partnership can help to have a collective monitoring and reporting within Clusters in initial expectations of the WASH clusters. This comes out in a productive global monitoring.

II.2.2.3. Development of cluster plans

The development of cluster plans aims at planning response to the present crisis. The purpose of response planning is to facilitate a coordinated, evidence based approach to WASH Cluster action.

Basing on information from the preliminary needs assessment, a basic response plan and guidelines are drawn down and priorities are identified. As there is an ongoing monitoring, the response plan will also be continuously updated and modification in response to the changing situation, emerging needs and outcome of ongoing activities will be made.

The planning process is led by the national government WASH partner, in conjunction with the WASH CLA (the WCC). The group of SAG intervene also as a facilitator. For an effective early recovery, capacity building or emergency preparedness, the involvement of the community should be considered, not only for implementation but for also filling gaps, addressing agreed WASH priorities and establishing and monitoring realistic indicators. The response plan is used in the following activities:

- **Mobilizing resources:** successful funding appeals depend on the quality and consistency of the done analysis of emergency situation, including the principle and emerging problems, their causes, and appropriate strategies being used to address them.
- **Review of WASH programming:** during the response planning process, the WASH cluster provides an effective framework for monitoring cluster progress, outcomes and impact.
- **Communication and advocacy:** the analysis within the WASH cluster response plan will assist in quickly developing an early advocacy and external communications for the affected population.

The response planning process follows the steps given below:

- i. Identification of gaps and duplication in capacity and response
- ii. Prioritizing identifies needs
- iii. Defining objectives for the response

In response planning, the cluster refers to baselines for WASH cluster action provided in the Sphere Standards. However, the indicators given in Sphere need to be adjusted to the local reality and should always be read in conjunction with guidance notes.

II.2.3. Mobilizing resources

The resources needed in emergency response can be human resources or financial resources. As mentioned above, the WASH cluster has at its disposal a team always ready to deploy in emergency situation. The financial resources are provided by donors, however, information about available funds committed to WASH cluster or projects to be funded will be needed to that a realistic review on funding is clear.

II.2.3.1. Flash appeals

The Flash Appeal is a tool detailing a coordinated humanitarian response for the first three to six months of an emergent situation. If the emergency goes beyond six months, the Flash appeal is developed into a Consolidated Appeal (CAP).

UN agencies and NGOs are eligible to submit projects under WASH cluster and government activities need to be incorporated into UN and NGO project in order to be considered as eligible. A consolidated Appeals Process (CAP) is set with the purpose of guiding donors' donor funding.

CAP is a forum for enabling a strategic approach to humanitarian response through collaborative planning, coordination, funding, implementation and monitoring of activities by aid agencies.

The appeal is used by multiple donors as catalogue to select and fund particular projects, or as means of providing funds for a more flexible pooled funding resource. It is important to list all project, whether they are likely to be funded by other donors or not.

II.2.3.2. The Common Humanitarian Action Plan

The strategy of a Consolidated Appeal consists of a Common Humanitarian Action Plan (CHAP) and a number of projects necessary to achieve it. The CHAP includes:

- Analysis of the context
- Best, worst, and most likely scenarios
- Assessment of needs and statement of priorities
- Detailed response plans, including who does what, where
- The link to longer-term objectives and goals
- A framework for monitoring the strategy, and revising it if needed

The coordination and submission of information in the CAP format about all on going and planned projects under the WASH cluster, are under the responsibility of the WCC. Therefore, individual donors approach project holders directly to agree individual terms for funding. For pooled funds, UNOCHA has the responsibility for disbursement and administration of funding to individual projects.

II.2.3.3. The CERF mechanism

The Central Emergency Response Fund is an emergency UN funding facility. With \$450 million grant facility and \$50 million loan facility, the function of CERF is to complement not to substitute, the existing humanitarian funding mechanisms.

The CERF acts as a donor, it provides seed funds to start critical operations and funds life-saving projects developed for a Flash Appeal but are not yet allocated to other donors.

The figure below illustrates the process of funding appeal for rapid onset emergency:

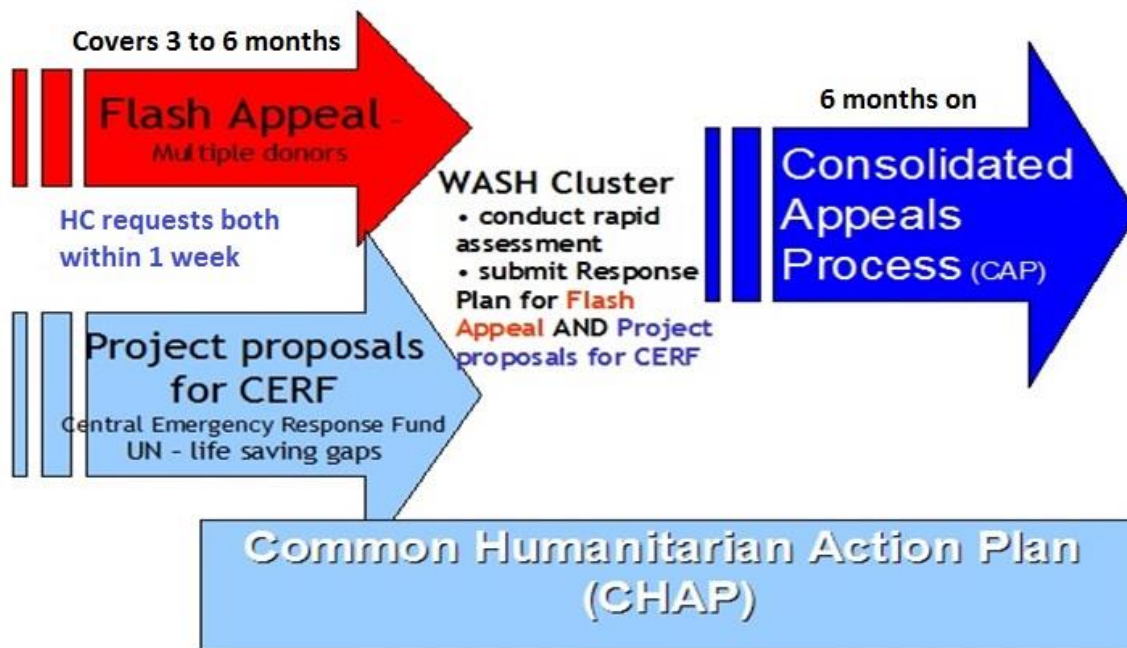


Figure 5: Path process of humanitarian appeals (UNOCHA, 2008)

a. CERF Grant facility

The CERF's grants are offered for two main purposes:

1. Enhance rapid responses to sudden onset emergencies and rapidly deteriorating conditions in an existing emergency
2. Support existing humanitarian activities for under-funded emergencies. To this purpose, CERF allocates one third of its grant facility.

Depending on the nature of the purpose, the WCC identifies and submits suitable WASH projects for one or both of these purposes. Then the HC, in conjunction with UNOCHA, gives recommendations to ERC on projects to be funded and compiles the final CERF appeal document.

b. CERF Loan facility

The loan facility enables UN agencies to access funds for humanitarian emergencies, while they are waiting for fund transfers from donors. The CERF loan are given for the same purposes as for grants, the only difference is that they require re-payment within six months of receipts.

CHAPTER III. FINANCIAL CONSTRAINTS AND OPPORTUNITIES IN HUMANITARIAN WASH RESPONSES

III.1. Financial Constraints

The funding of humanitarian WASH responses is provided by public donors as well as private donors. Below are factors that can represent constraints to that funding.

III.1.1. Increase in humanitarian response

Since World War II, the global number of people displaced has highly increased. All over the world, millions of people have been affected by crises particularly natural diseases, war and armed conflicts. The number, severity and scale of emergent situations have extremely increased the demand in humanitarian response. Compared with 7.6million of person displaced in 2012, in 2013 approximate 10.7millions persons were recently displaced by conflict or persecution. (UNHCR 2014).

As the emergencies situations have been increasing, emergency WASH expenditures has increased as well.

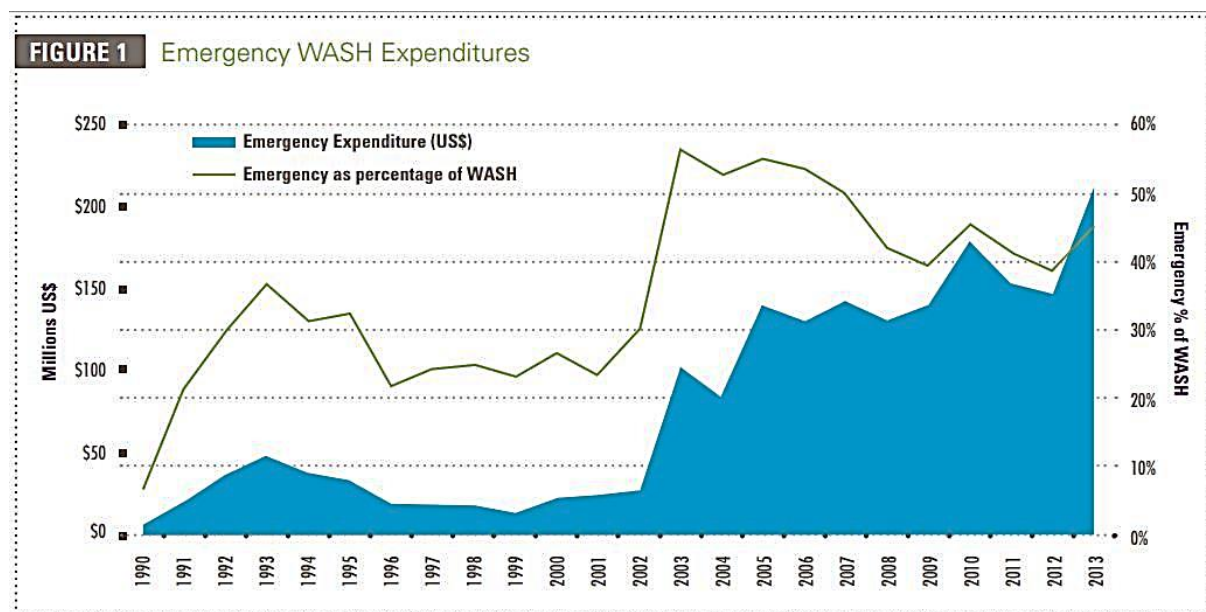


Chart 1: Emergency WASH Expenditures (UNICEF, Water, Sanitation and Hygiene in Humanitarian Action: Annual Report , 2013)

III.1.2. Underfund, insecurity and limited humanitarian access

A part from emergency situation, the conflict crisis and climate change have participated in decreasing the domestic government resources and increased poverty in most marginalized and vulnerable people. The increase of need is faster than the increase of humanitarian funding. The rapidly growth of urban areas and climate change are putting pressure on local water resource thus reducing the quality and quantity. The sanitation status also is becoming critical in that kind of area. The frequency of floods and drought has doubled over the past two decades, creating a water insecurity challenge in the humanitarian WASH community.

III.1.2.1. Example: Yemen (Humanitarian Response Plan, Mid-year Review 2013)

The table below gives details of people in need, targeted from of November 2012, and covered by of 15 may 2013

	IDPs		
	FEMALE	MALE	TOTAL
in need	208,864	222,136	431,000
targeted	208,864	222,136	431,000
reached as of MYR	25,384	23,837	49,221
	Returnees		
	FEMALE	MALE	TOTAL
in need	50,922	54,157	105,079
targeted	47,766	50,801	98,567
reached as of MYR ¹	42,271	44,390	86,661
Host communities, non-IDPs affected by malnutrition, water-borne disease, with no access to improved water or with non-functional water schemes and inadequate sanitation			
	FEMALE	MALE	TOTAL
in need	6,124,311	6,513,460	12,637,771
targeted	1,197,181	1,273,252	2,470,433
reached as of MYR	210,820	85,888	296,708
	TOTAL		
	FEMALE	MALE	TOTAL
in need	6,384,097	6,789,753	13,173,850
targeted	1,270,331	1,347,890	2,618,221 ²
reached as of MYR	262,185	170,405	432,590

Table 2 : Yemen Humanitarian response 2012-2013 (HRP mid –year review)

¹ Where we don't have disaggregated values, we assume it is 50% in these activities.

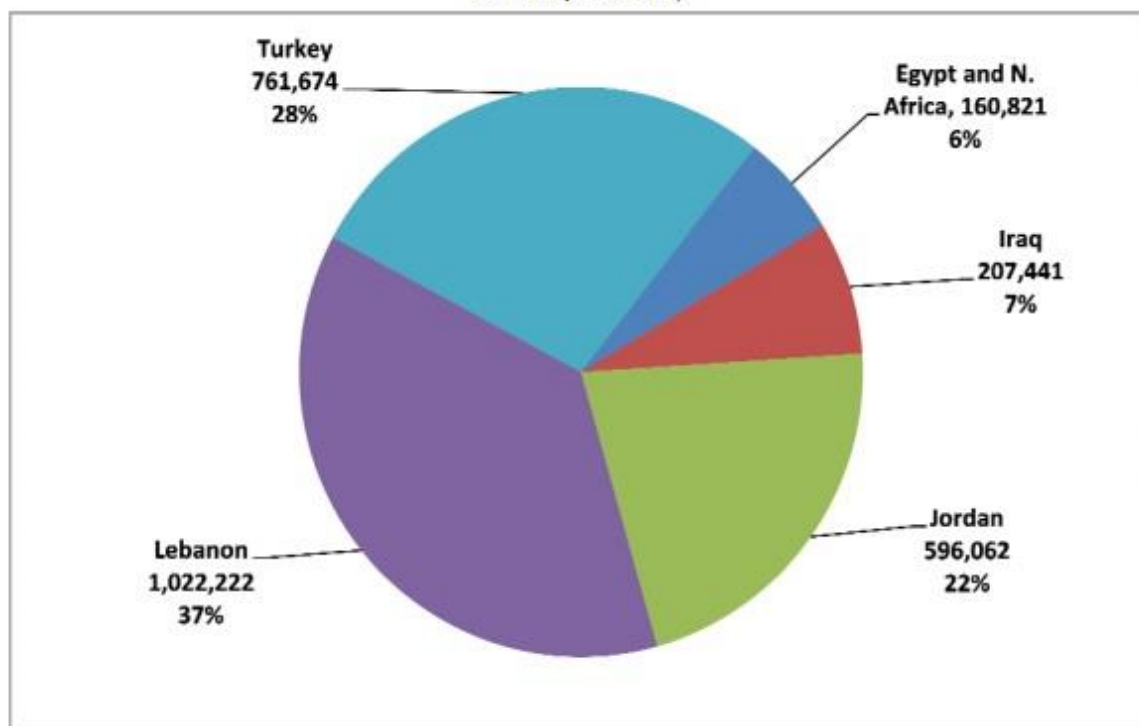
² The figure of 2.9 million used in the original 2013 YHRP was based upon the Government census in 2004 adjusted for population growth. More recent estimates based upon data generated by iMMAP/OCHA in March 2013, suggest that the target beneficiary population will actually be around 2.6 million and this is the figure used for the MYR.

Over half of the population of Yemen are in need of emergent assistance in Water, Sanitation and Hygiene. In 2013, the WASH cluster has had targeted 2.6 million of the most vulnerable and had covered only 430,000 persons by 15 May. Over 2.2 million persons stay with need of basic, life-saving WASH services. The challenge to this target have been, underfunded project, insecurity and limited humanitarian assistance access in northern area. This has led to gaps in needs assessment and community profiling.

III.1.2.2. Example: Syria

UN officials estimate that over than 242,000 civilians are trapped without access to humanitarian assistance; with critical need of food, water, sanitation, medical assistant, shelter, and essential non-food items, particularly in areas that have seen intense fighting. The number of Internally Displaced Persons (IDPs) is estimated at around 6.5million and is very varying. According to UNHCR, in 2014 over 2 million of Syrians were displaced in the neighboring and North Africa countries. Nowadays this number is increased.

Distribution of Refugees, by Country
(Refugees registered or awaiting registration with the United Nations High Commissioner for Refugees, as of May 27, 2014)



Source: Syria Regional Refugee Response, United Nations High Commissioner for Refugees, <http://data.unhcr.org/syrianrefugees/regional.php>.

Note: North Africa countries include Morocco, Algeria, and Libya.

Chart 2: Distribution of Syrians refugees by country

The main challenge that international organization are encountering in Syria, preventing humanitarian response to be delivered, is the access restricted by violence and, insecurity and conflict and restrictions set by the governments. This limitations lead to difficulties to provide humanitarian response, and can be a challenge for organizations to have access on the cash.

III.1.2.3. Example Sahel : report on 2013 Humanitarian Operations (UN Report, 2014)

The countries composing the Sahel for these operations are Senegal, Burkina Faso, Chad, Gambia, Mali, Mauritania, Cameroon, Niger and Nigeria.

In 2012, this region has been hit by food crisis and conflict. Millions of persons were daily touched by disasters, epidemics, chronic food insecurity, and malnutrition and water diseases illnesses.

2013 Humanitarian Response to the Food security and Nutrition Crisis in the Sahel

Water Sanitation and Hygiene (WASH)

Summary of response 2013

Total WASH Funding 2013

Requirement	US\$ 127,061,600
Contribution	US\$ 38,615,629
Unmet Requirement	US\$ 88,445,971

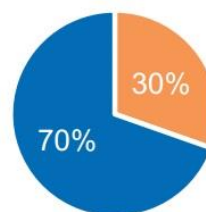


Chart 3: Humanitarian WASH response in Sahel (Source: UN Report Sahel Humanitarian Operations 2013)

The requirement has faced the following challenge

- Inadequate timeliness of financial contribution to respond to the Sahel's seasonal challenges
- Limited humanitarian access due to rude region, insecurity and conflict
- Funding shortfalls/ many agencies has prioritized emergency life-saving responses over resilience-building activities because of funding shortfalls

III.1.3. Challenges in Humanitarian funding system

The financial system of humanitarian response has been affected by the huge change in the humanitarian response. In 2013, an estimated number of 96million people were affected by disasters, like floods, earthquakes, and storm. Not all of those persons were in need of international humanitarian need. Yet, in 2013, UN has recorded that the funds were not covering the appeals; only 65% of requirement was met. In addition to the bureaucracy of humanitarian funding, the demand has increased too. A number of factors may be the cause:

- The humanitarian funding often misses the timing, and arrives too late yet the funding cycles are short.
- The WASH cluster sustainability in facing high costs and the need for improved accountability
- Financial and political commitments from governments for strengthening national humanitarian WASH coordination, preparedness and response to reduce the gaps between humanitarian WASH and development

- The shortfalls or late funding has led to the implementation of WASH life-saving or short-time responses instead of long-time responses
- The conflict of interest based on the fact that the same agencies appealing for humanitarian funds are the ones doing the need assessment, can lead to the late funding process
- Most times donors are exigent, they want to know the cost of everything and may not understand the costs of certain operations. Asking numbers of affected populations. That may put pressure to agencies which conduct needs assessment and make them give inaccurate numbers and needs.
- Donors set difficult conditions for the uses of their funds (example: selection of suppliers, provenance of materials...)
- The humanitarian funding is mainly intended to emergency response. The humanitarian role in resilience-building is very small yet WASH responses are most of time for long term response even resilience.

III.1.4. Local community involvement

When a crisis happens, the international aid cannot be delivered in a country if its government didn't call for it. There must be local government willingness so that the humanitarian agencies respond to the appeal.

Most time government are reticent to call on for help because it can be difficult for them to declare a disaster or a crisis for fear of appearing weak. They also doubt of motivations behind the help provided by international aid. Sometimes they can choose to appeal for funds so that they provide assistance themselves but it is not evident because the humanitarian funding system has a specified channel of funding. Most western donors give funds to international agencies not to government. The more they delay the decision of appealing for international assistance, the more the population get exposed to diseases, epidemic, lack of safe drinking water and so on.

III.1.4.1. Example Pakistan: International aid agency and Government interaction in Pakistan

The evaluation done on the 2009 displacement crisis in Pakistan has shown that the government was part of conflict and preventing for humanitarian response. The access constraints in the form of government control completely shaped the Humanitarian response. The UN programs were aligned to the Pakistan government priorities. However, the evaluation has demonstrated that the humanitarian community didn't work in an impartial, independent and neutral manner.

Government officials saw the international fundraising efforts as competing with their own. The government regarded it as politically problematic to launch an appeal because of its association with failed states, and also resisted the launch of a second humanitarian response plan. Inconsistencies between policies at the federal and provincial levels have been shown by the evaluation (Cosgrave et al, 2010) similar issues were noticed in the response to the 2010 floods as the government delayed the launch of the Flash Appeal

III.2. Financial Opportunities

Humanitarian assistance intends to save lives, prevent and alleviate suffering, protect and maintain human dignity before, during and after natural diseases and man-made crisis.

The humanitarian assistance has the following specific objectives

1. *To ensure dignified and timely access to safe and sufficient WASH services* for people affected or threatened by ongoing, imminent or future humanitarian crises and increase their resilience
2. *To prevent the spread of WASH related diseases* in affected population by implementing sustainable measures
3. *To strengthen the capacities of the humanitarian aid system and its coordination mechanism* by enhancing the impact, efficiency, relevance and effectiveness of the delivery of WASH services

III.2.1. Growth of humanitarian funding

Humanitarian assistance has been growing since the World War II and recently, through humanitarian appeals, it has swelled by 660% since the Millennium Development Goals were announced in 2000. To improve the humanitarian WASH Response, opportunities in funding and enhancing the WASH services need to be well channeled and exploited.

Most of developing countries (example: Mozambique) and countries frequently threatened have started self-humanitarian response, and some of countries who were recipients became donors (example: Brazil). The humanitarian reform has introduced enhanced strategies that have facilitated the financing channels. The cluster approach has been successful, in 2013 UNICEF (the WASH cluster leader) has provided access to safe water to 24.3 million people affected by humanitarian crisis (UNICEF WASH in humanitarian action annual report 2013).

III.2.2. Innovation, best practices and technologies

WASH Cluster has started innovation product, in partnership with academic institutions and sector partners (UNICEF, 2013).

1. UNICEF has supported Appropriate Technology program in Health to develop a *Smart Electro chlorinator*
2. An improved and adapted *toilet* for *disabled and elderly persons*
3. A *new improved jerry can* version has been designed.
4. In collaboration with University of North Carolina, UNICEF has begun a research to test proof of a concept of *E. coli water quality test device*
5. UNICEF has introduced the use of *pre certified emergency agreement* and *Letter of Cooperation (LoC)* for facilitating and speeding the transportation of supplies.

III.2.3. Collaboration with recipients' countries and private sector

As the humanitarian response involves more in life saving than resilience, the cooperation with local government is crucial for making life saving services resilient. WASH services are

very important even crucial for the health of affected population. To increase its sustainability, the services offered should be designed for long term response. To make this feasible WASH actors need an effective collaboration with local government and private sectors. If the WASH response are included in the line strategic plans of local government; the response would turn into resilient and development (example: Pakistan), mostly in cases of urban WASH needs and lasting emergencies situation recovery (example: Haiti).

In other cases the involvement of private sector in humanitarian response at country level has revealed its self to be effective where the normal humanitarian response(international) is being late or don't respect the rapid response principle.

IV.2.4. Example: the Kenyans for Kenya initiative (Jim D. and Nicholas C., Kenya case study, 2014)

The Kenyans for Kenya initiative has used private sector services to raise funds for rescue of around 3.7 million people affected by 2011 drought in Kenya. Those services included mobile banking and social media platforms provided by telecoms and media companies, notably Safaricom and its competitors as well. The purpose of using this technology was to attract individual donors and collect their contributions towards the Kenya drought emergency response. Companies also made cash contributions as part of their corporate social commitments. Other private sector partners offered financial and auditing services. The Kenyans for Kenya initiative exceeded its initial fundraising target 500million Kenyan shillings and reached 7.5billion Kenyan shillings. Even if this raised funds were a fraction of the humanitarian aid received for drought appeals, it was a good start (Fitzgibbon, 2012).

CHAPTER IV. USE OF CASH IN HUMANITARIAN WASH RESPONSE

IV.1. Introduction

Cash transfer programming in emergencies is one form of humanitarian response, which can be used to meet basic needs and/or protect, establish or reestablish livelihoods. (Smith G. , 2015)

The Cash based interventions have been used since years ago but it has increased in the recent years. In kind interventions, mostly food, is still dominant. However, it has been a subject of criticism with growing awareness that in-kind distributions such as seeds, tools, food, non-food items etc . May not always be the most appropriate response. It has become increasingly clear that cash-based interventions play a large role in assisting people in and after emergencies, and evaluations conducted during the last decade have been largely positive. (UNHCR, An introduction to Cash Based Interventions in UNHCR operations, 2012)

The use of Cash Based interventions enables beneficiaries to decide for themselves what they most need and to buy it in local markets.

It is also very advantageous in areas with difficult and limited access due to different factors such as, security, restrictions, road access...

IV.2. Three main types of Cash Based responses

Unconditional cash: it is also called cash grant or cash relief. This is when money is given to people as a direct grant with no conditions or work. Payment is usually targeted at the most affected, vulnerable or food insecure people to meet their basic needs or any need they may have following an emergency.

1. **Unconditional cash transfer:** cash is given to beneficiaries with no conditions, work requirements or any expectation of repayment
2. **Conditional cash transfers:** Cash is provided to beneficiaries on the condition that either they must do something to get the money.
 - **Cash for work:** is about paying people in cash for taking part in a public works program
 - **Demobilization:** Giving people money on condition that they do something (attend school, plant seeds, demobilize)
3. **Vouchers:** Vouchers can either specify a cash amount or specific commodities or services that the voucher can be exchanged for. Both cash and commodity vouchers are designed to be exchanged in preselected shops, with traders/service providers or at specifically organized fairs. This intentionally restricts beneficiaries in their selection of goods.

IV. 2. 1. Example of conditional cash use in Lebanon (Harvey, 2007)

In 2011, the Norwegian refugee Council (NrC), in coordination with UNHCR, provided cash grants to support families in north Lebanon to host Syrian refugees. The grant was conditional on the host family allowing the refugees to stay for a minimum of one year and not demanding any additional housing-related costs from the refugees. The size of the grant varied based on an assessment of the rehabilitation work required to bring the shelter up to minimum emergency standards. These assessments were carried out by NrC technical staff and the grant was calculated based on a pre-defined bill of quantities. A market survey had shown that prices were as much as 50% higher in the north of Lebanon due to the security situation and access constraints for contractors and suppliers, which had to be reflected in the size of the grant. The average cost per shelter was around us\$1,850, ranging from us\$300 to us\$4,000. The construction work commonly involved repairs to doors, windows and the roof as well as the installation of sanitation facilities and connections to a water supply and sewage system. The grant was paid in 3 instalments following systematic quality checks by NrC technical staff, with the final payment provided on completion of the shelter (Harvey, 2007)

IV.3. Assessment and planning

A decision needs to be made on which type of interventions will be used. The diagram below helps in assessing information and planning the intervention either in kind or cash based.

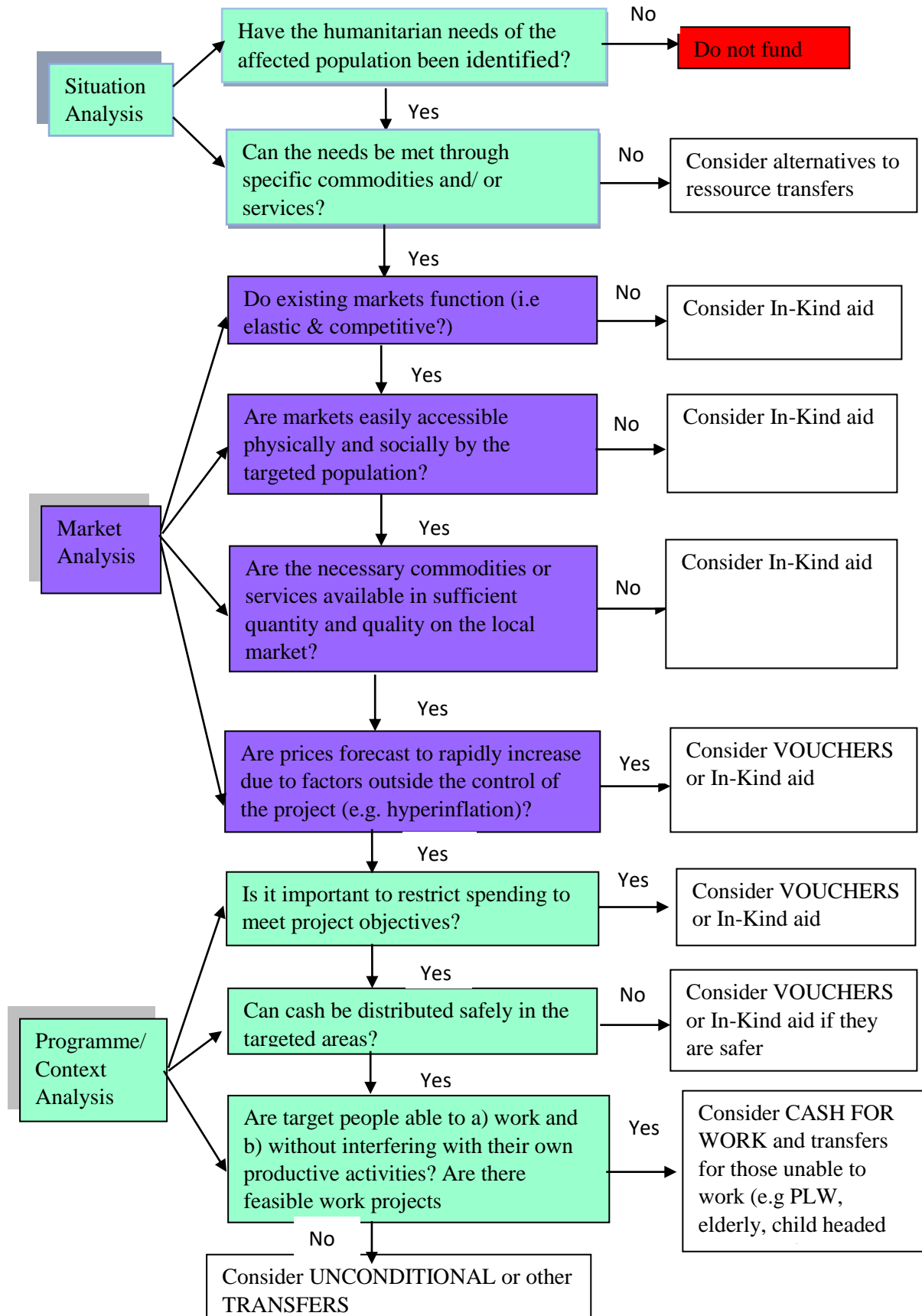


Figure 6 : Humanitarian Intervention decision tree (ECHO, 2013)

IV.3.1. Beneficiaries' identification and registration

After need assessment, a list of selected vulnerable persons must be done and used to identify and register beneficiaries. This helps to avoid double registration of beneficiaries.

The registration data should be saved as soft copies and shared to the agency and the company in charge of money transfer. The table below contains the minimum information that must be registered.

Minimum registration details	Detailed registration details
<ul style="list-style-type: none"> ➤ All names of beneficiaries ➤ Age ➤ Gender ➤ Number of dependents ➤ Date of registrations 	<ul style="list-style-type: none"> ➤ Name of head of household and spouse ➤ Details of dependents (sex and age) ➤ Village and district ➤ Clan and sub clan(depending on the location) ➤ Livestock holdings ➤ Special needs/circumstances

Table 3: Minimum and detailed registration details (Adeso, 2012)

IV. 4. Cases when the cash based responses can be used

The humanitarian responses is divided into three main phases. The *emergency*, the *early recovery* and *development*. In each of the mentioned phases, cash based intervention can be applied.

1. **Pre disaster/ crisis:** In preparation for a predictable shock or as part of a disaster risk reduction program.
2. **Initial stage of a disaster/ crisis:** To meet immediate, essential food, non-food and income needs and/or protect or re-establish livelihoods and provide shelter.
3. **Recovery or transition period:** To help re-establish/support livelihoods and/or provide shelter or short-term labor opportunities for the benefit of the community.
4. **In permanent/ chronic period:** To contribute to poverty alleviation, shift from humanitarian programming to social assistance, address essential food and nonfood needs and support/establish livelihoods.
5. **During conflict:** To meet immediate needs and contribute to livelihoods support or to establish livelihood activities.
6. **Long term issues:** To provide ongoing support to most vulnerable households (social protection/ social assistance or to provide incentive for households to access basic services such as education and health care).((Adeso, 2012)

IV.5. Cash distributions methods

IV.5.1. Traditional method

This method consists of giving money directly to the beneficiaries. The humanitarian agency or the money transfer company transport cash to beneficiaries and distributes it to them.

IV.5.2. Mobile Money Transfer

This consists of payment or fund that is transferred from the organizations mobile wallet or bank to another (of the beneficiaries) through mobile phones. Transactions are effected via an SMS (short message service) command or a menu on the phone using a unique Personal Identification Number (PIN), and confirmed via SMS notification.

IV.5.3. Pre-paid debit card

Pre-paid debit cards are plastic cards with a magnetic stripe that can be read in any valid Automated Teller Machine (ATM) or retail Point of Sale (POS) device. The humanitarian agency sends a file containing the information required to make the payments to the bank providing the service. Value can be credited by the bank from a central server. Alternatively, an agency can pay in advance for a 'stockpile' of cards which they activate and accredit online as and when needed.

IV.5.4. Smart card

Smart cards are plastic cards with an embedded chip containing information on the recipient and the benefits they are entitled to, which are read at select ATMs or POSs. These can be pre-loaded with value by the service provider before distribution to recipients.

IV.5.5. Vouchers

Vouchers can have a cash value or they can purchase certain commodities. Vouchers can be designed in many ways depending on the context. Here are two possible ways

1. **Single use:** it is a ticket designed for a fixed value or a specific commodity.
Example: one ticket exchanged for 10 boxes of soap
2. **Multiple use:** it is also for a fixed value, the need or commodity needed during a period.
Example: a voucher designed to cover beneficiary water needs for a specified period.

IV.5.6. Example of vouchers use in Somalia

Use of vouchers for water supply has been introduced in Somalia as an improvement to the water trucking for short-term emergency response. Selected beneficiary households are issued with cash vouchers through which they can redeem a specified quantity of water in a given period from their usual water suppliers. (Adeso, 2012)

IV.6. WASH Cash based response

The mentioned types of cash based interventions are differently used in WASH sectors. Some reasons can lead the WASH actors to choose this type of interventions

- The access of crisis area
- The type of response and its accessibility

IV. 6.1. WASH Cash Based Response in rural area

Many of WASH intervention can be done using cash based response.

- Implementing CFW (cash for work) projects to construct/renovate community water sources and sanitations (latrines)
- Providing cash (or vouchers) to households to purchase clean drinking water instead of implementing water trucking projects
- Providing cash (or vouchers) for pastoralists or famers to access water for livestock watering or irrigation
- Providing cash (or vouchers) to households to purchase basic hygiene materials and kits such as soap and jerry-cans
- Providing community structures with cash support for maintenance of community water resources

IV.6.1.1.. Example of Cash grants in Somalia

Oxfam, Horn Relief, Norwegian People's Aid and various local NGOs implemented a cash response in the Toghddeer, Sool, Bari and Nugaal regions of Somalia in 2005. In 2006, Oxfam and Horn Relief also implemented a cash grant and cash for work project in Lower Juba and Gedo. Cash for work projects have also been implemented in the south. Agencies have used money transfer companies to deliver funds to beneficiaries. One evaluation, of a project providing grants and cash for work in northern Somalia, found that beneficiaries were able to meet basic needs such as food, debt repayment, water purchases, clothing, education and medicine. Some limited restocking was also possible, and debt repayments revitalized credit systems.

IV.6.2. WASH Cash Based Response in urban area

In case of natural disaster or wars, urban areas especially slums are very affected. The water supply infrastructure may be destroyed or unfunctional as well as sanitations. The following are different way CBR can be used to meet WASH needs:

- **Cash transfer program to meet urban sanitation needs:** WASH interventions have used Cash for Work for cleaning public drains
- **Cash Transfer program to meet urban hygiene needs:** the cash based interventions can be used to fasten the access for affected population to hygiene items
- **Cash transfer programs to meet urban water needs:** the availability, access, supply and demand of water in urban areas for WASH response is a challenge as the policy and planning of that sector meets water market, slum and disasters issues. The cash based interventions enable beneficiaries to have access to water supply, and water storage materials.

IV.6.2.1. OXFAM'S use of Hygiene commodity vouchers in Haiti

Following market analysis and beneficiary consultations to verify the appropriateness of this approach, Oxfam's public health and food security team collaborated to provide 1,000 households with commodity vouchers (a fixed quantity of a specified hygiene item) to purchase items of their choice, from pre-selected shops thus stimulating the local market and giving people choice. The hygiene kit vouchers were part of a larger program that included training and other public health promotion activities.

Each voucher was redeemable for sanitation items including soap, toothpaste, toilet paper, sanitary pads and basins. The evaluation was favorable, with the program fulfilling program objectives. However, commodity vouchers restricted the choices of beneficiaries compared to cash vouchers. Whilst allowing beneficiaries more flexibility, cash would depend on shops stocking more variety and amount of products. Therefore, commodity vouchers were considered to be more appropriate for small traders where a program is introducing new commodities to the market and traders are unsure how these will sell. (Smith G. , 2015)

IV.6.3. Understanding water markets

As disaster-affected populations add demands on already-stretched water supply systems, and/or spend limited financial resources on water, organizations have realized the value of water market system analysis that provides a link between humanitarian and development activities through strengthening markets. Water-market mapping exercises using the emergency market mapping and analysis toolkit, have taken place in Jordan, Kenya, Nepal and Gaza. A conclusion from the Oxfam Water Market System in Jordan indicates that the “**crisis is not only a water crisis but also a livelihood crisis** as what limits people's access to available water is **purchasing power and livelihoods**, in addition to the larger problem of availability of water”(Oxfam 2013a: 24).

The report recommends utilizing water vouchers linked to local water transporters to support domestic water access.

IV.6.3.1. Oxfam water vouchers in Gaza

In Gaza, Oxfam's analysis indicated that the provision of water continued (albeit at a lower capacity) through periods of insecurity. With the objective to assist households in meeting their water/sanitation needs, Oxfam and partners launched a pilot water voucher program in consultation with the Palestinian Water Authority. Over a five-month period, 696 households were provided with drinking water vouchers of 200 or 500 liters, depending on household size. The pilot was successful, with 84 per cent of beneficiaries satisfied. Valuable lessons included:

- a. The need for common vulnerability criteria across the humanitarian sector;
- b. Increasing the number of water providers to improve household choice;
- c. Sustainability of the program could be enhanced with engagement from community water resellers; and
- d. Future program should consider using electronic vouchers, as experience exists in the food security sector in Gaza (Smith G. , 2015).

IV.7. Advantages of Cash Based Responses

The use of cash instead of In Kind interventions in Humanitarian context have some advantages for both concerned part the humanitarian agency and the beneficiaries

IV.7.1. Advantages for beneficiaries

a. Responsibility

The beneficiaries feel responsible in the aid action as they play a role in the response to their problem. It enables them to identify, prioritize and meet their own needs. This make the CBR a more appropriate and dignified response; In case of cash for work, they feel participating in the response to their problem and this raise their pride despite difficult situations in which they are.

b. Flexibility

Cash based response lows beneficiaries to a wide variety of needs yet in-kind distributions restrain assistance to meeting one specific need.

c. Multiplier effect on the local economy

The multiplier effects on the local economy help encourage the long term recovery of the community as the cash provided to beneficiaries is spread out to the local economy composed by local traders, money transfer companies and banks, shop owners, farmer and so on.

d. Gender and intra-household issues

It is challenging to decide to who within the household is to become the cash recipient. Sometimes the household decides between the man and the woman. Agencies usually attempt to target cash at woman to support food security objectives. Additional cash in the household can reduce tension between men and women.

e. Infrastructure

Mostly in case of using cash for work, the beneficiaries will work themselves on the construction of water points, water supply systems and sanitations. This help them to increase their skills and develop their infrastructures.

IV.7.2. Advantages for Humanitarian agency

a. Implementation cost reduction

The cash based response requires a lower logistic component which contribute in the reduction of costs. The only charging money is the one paid to money transfer agencies which ranges between 6% and 10 % of the total cash. This amount is very low compared to the money paid for purchasing, transportation and storing of in kind response.

b. Rapid implementation

Cash transfers can be rapidly disbursed to communities once these communities have been identified and registered. This enables agencies to meet the needs of beneficiaries when they need it the most.

c. Easy monitoring

One the humanitarian agency staff are trained in the cash transfer system, and as the money transfer company plays a big role in the implementation, the monitoring of implementation is easy.

d. Security

In conflict prone areas all assistance (cash and in-kind) is at risk of diversion. Cash can be more secure because it spends less time in transit than in-kind assistance and, once distributed, can be hidden more easily by beneficiaries.

IV. 8. Constraints in Cash Based Response

IV.8.1. Disgruntled non beneficiaries

Depending on the available aid, sometimes all affected people are selected. A need assessment is done to point out the most in need as beneficiaries. As cash in hand is very attractive, the other no selected part of affected person can raise negative reactions

IV.8.2. Delays in cash payments

It can be caused by underfund, shortfalls or long procedure to get money from donors. It can also be caused by technical issues in money transfer companies. Delays in payment can lead to mistrust between the community and the agency and hamper future projects.

IV.8.3. Project staff (or committee members) harassed by militias

Especially in the case of cash for work, the convoy of project staff can be attacked and threatened by local militia group. This can result in the delay or cancel of the project

IV.8.4. Attack while transporting cash to the field

During the transportation of money to the field, the transporter are likely threatened by attacks of local robbers to steal the money. When the community is aware that the money belongs to the local money transfer company, it reduces the attack for fear of clan/ tribal retribution. The humanitarian agency should sign for the guarantee that the responsibility will rely on the money transfer company if any case of stealing happens.

IV.8.5. Women losing control over the grant

Men have the attitude that they are the one to receive and manage the household grant even the one attributed to their women yet these ones are the most aware of the households needs

IV.8.6. Risks of cash Misuse

When need assessment and monitor is not well done, the given money can be used by beneficiaries for other reasons most likely anti socials reasons like the provision of weapons or drugs.

IV.8.7. Bankruptcy of money transfer company

During the procurement for the money transfer company, all information about the company must be gathered and analyzed mostly regarding its capacity, otherwise it can have cash shortfalls and delay the cash provision to beneficiaries.

IV.9. Opportunities in using Cash Based Response

The CBR and technology will present to Humanitarian actors and stakeholders opportunities like:

- Support disaster preparedness and response measures with mobile network operators, with a view to promoting a more effective and coordinated approach to using mobile platforms in disaster response.
- Increase cash-based responses and work with the government, financial service providers, mobile phone companies and aid agencies to develop a contingency plan for providing cash transfers at scale in future disaster responses.
- Promote local procurement by aid agencies and facilitate the inclusion of small and medium-sized enterprises
- Consider identifying/establishing platforms for humanitarian and private sector engagement, in order to share lessons and experiences and to identify opportunities for collaboration.
- Support disaster preparedness initiatives and education in private schools.
- Adopt a ‘do no harm’ approach to the impact of humanitarian interventions on the local economy, supporting the local economy to the extent possible and recognizing and minimizing negative impacts.
- Undertake research on the impact of humanitarian and private sector engagement on the effectiveness and efficiency of humanitarian response. (Bailey, 2014)

CHAPTER V. CONCLUSION

This dissertation highlight the humanitarian finance, especially the use of Cash in humanitarian WASH response. The reasons, advantages and disadvantages cash based intervention have been discussed and analysed. The CB response reveals its self to be a good approach as it aims at targeting those who are most in need and provide them money to have access to potable water, sustainable sanitation and hygiene items by involving them in the decision making about what kind of response they need and in the implementation.

The Cash based response contributes in the building of trust between the humanitarian actors and the local community ensuring accountable response by prioritizing local available resources. Various recommendations are discussed below;

V.1. Integration of local actors

The international humanitarian actors do not always have answers for local crisis scene. Involving country partners on a more equal footing would provide better humanitarian results (Mohanna, 2015).

The consultations results leading up to the World Humanitarian Summit indicate that there are obstacles to effective humanitarian response that relate to the insufficient role of national actors in the system. Strong links with local communities is a foundation to understanding needs.

In the World Humanitarian Summit, Regional Consultation for North and South East Asia, 2014, the following question was asked to the population. The response given is showed in the figure below. *During a conflict situation, who understands the needs of your community the most?*

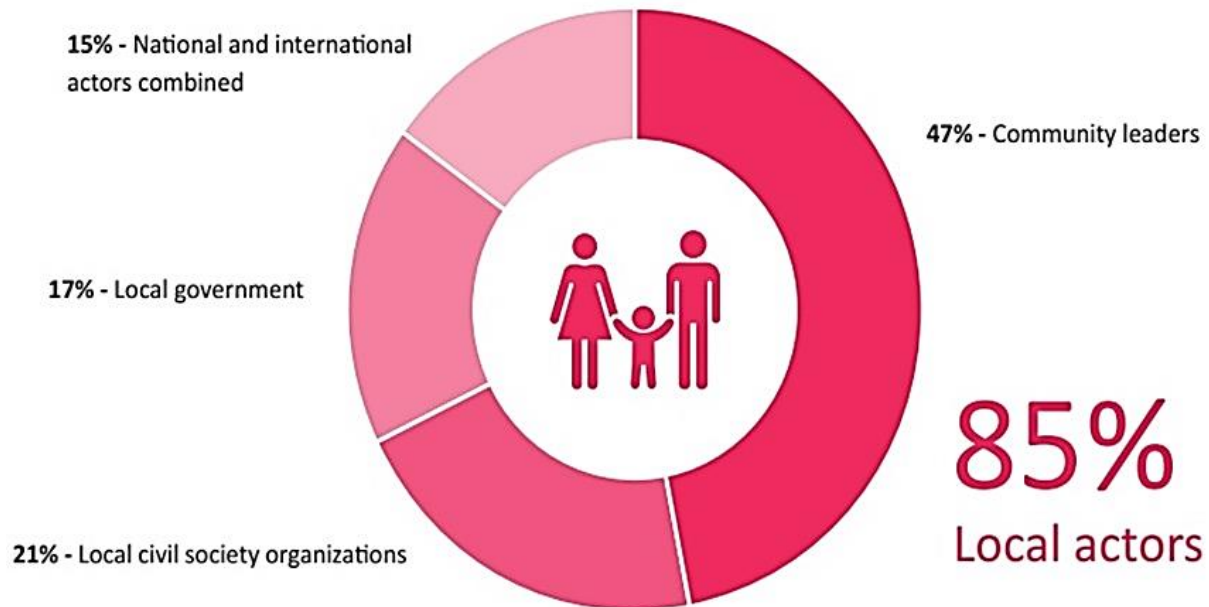


Figure 7: Involvement of local actors in Needs Understanding (Mohanna, 2015).

V.2. Agreement on the needs assessments

The resources called on in appeals most of time do not meet the real needs of affected populations.

The humanitarian agencies in charge of assessing needs of affected populations should not be the same as the ones appealing for funds. This would prevent the underfunded projects and the conflict of interest.

Increasing efforts in the emergency preparedness and update response mechanism also would play an important role in the humanitarian response effectiveness.

V.3. Timing of funding for humanitarian response

The inflexibility of humanitarian financing causes late and unsustainable responses. To face this timeliness challenges, the following adjustments are recommended:

- To build a new global rapid response mechanism or improve the existing one
- Reform, simplify and harmonize United Nations contracting processes to improve response process and its access for NGOs
- Encourage donors to invest in multi-year humanitarian financing
- Humanitarian system should learn to invest in long term techniques that build from ideas of patient and long-term gains.

This would solve the challenge of fund shortfalls.

V.4. Collaboration between humanitarian actors and local government

The lack of information about the availability of resources to help the number of people affected by crisis is one of points of disagreement between governments and humanitarian actors.

Unless recipient countries get accessible, comprehensive and comparable information from donors, recipients cannot hold their governments accountable and those governments cannot plan, prioritize or explain to their populations what they are doing. An open and transparent accountability framework should be put in place to measure donor performance. Policies should be elaborated to reduce disasters and their consequences. Local government should also introduce local financing mechanism that could be done through the local public sector as well as the local private sector;

V.5. Access and insecurity

The limited Humanitarian access and insecurity are among factors that influence the humanitarian failure to meet requirement.

The humanitarian actors should stand on the impartiality and neutrality of their principles to win the confidence and collaboration of local government. The intention of this collaboration is to enable the flexibility of local government and obtain from them support to access to remote and insecure areas.

V.6. Improve partnership in CBR use

To improve the use of CBR in WASH, the followings factors would need to be considered

- Deep analysis of capacity building and service quality of private water delivery and treatment companies and money transfer companies
- Provide training to WASH staff and companies on CBR and its monitoring
- Select carefully the traders and sign contract and MoU with them
- Have a common understanding with local in charge of security on the security of money transportations

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APPENDIX

APPENDIX 1: List of Active Global WASH Cluster participants (GWC, 2015)

1. Action Contre la Faim, ACF
2. CARE International
3. Center for Disease Control and Prevention, CDC
4. Concern
5. Catholic Relief Services, CRS
6. International Federation of Red Cross and Red Crescent Societies, IFRC
7. International Rescue Committee (IRC)
8. Islamic Relief
9. International Medical Corps,
10. Medair,
11. Mentor Initiative
12. Mercy Corps
13. Norwegian Church Aid
14. Oxfam GB
15. RedR UK
16. Save the Children UK
17. Shelter Center
18. Solidarites Internationales
19. Tear Fund
20. Terre des Hommes
21. UNHCR
22. UNCEF
23. UNRWA
24. World Vision international
25. WHO
26. Swedish Civil Contingencies

APPENDIX 2. Humanitarian clusters (OCHA, 2015)

