Shelter Cluster Transitional Plan

CONTEXT AND SITUATION

Following the Government of Ukraine’s decision to abandon talks that would bring the country closer to EU membership, political unrest has created a destabilizing humanitarian crisis. In March 2014, a first wave of displacement took place from Crimea following its declaration as an Autonomous Republic while violence escalated in Ukraine’s Donbas region in the east. Violence in the east has continued for 2 years with the highest number of civilian casualties recorded since August 2015 in June of 2016.

In Government Controlled Areas of Luhansk and Donetsk Oblasts, the Shelter Cluster has recorded damage to over 14,600 residential buildings impacting over 19,000 households. 92% of these addresses are found in the private sector, where the local authorities do not have a budget to support repair activities. While 97% of the Shelter Humanitarian Response has focused on acute, light, and medium repairs, families who have little resources to relocate to other areas of the country are anticipating spending a third winter in households which are either partially or foundationally damaged, exacerbating humanitarian challenges.

In Kiev, Kharkiv, Dniepropetrovsk, Odessa, and Zaparozhie in addition to former frontline areas in Donetsk and Luhansk Oblasts, a number of internally displaced persons have decided to resettle at a final location of displacement aiming to rebuild their lives yet lacking durable shelter solutions for permanent stay. 60% of IDPs are living in rented apartments or houses, with 80% of this 60% residing without formal contracts. Others may be residing in marginal housing situations or in collective centres. Their economic situation compounds the challenges of paying rent or purchasing their own homes. Prone to strenuous coping mechanisms and vulnerable to evictions, this population struggles to integrate into host communities and is at risk of being forced to their area of origin where they have legitimate fears for their safety.

In the Shelter Cluster’s monitoring of 271 Collective Centres, 52 collective centres closed in 2015 mainly due to lack of funding indicative of a closure trend. 13% of Collective Centres are at risk of closing putting their residents at risk of eviction. Women and children constitute over 73% IDPs residing in Collective Centers, over 13% residents are elderly. Single headed households, the disabled, elderly, and families with disabled children have remained in the collective centres because of dependency on services and the social support of the centre in addition to disabilities which complicate their ability to find alternative housing solutions.

Humanitarian needs in non-government controlled areas of Ukraine are significant as lack of full access to these areas in the 2 oblasts leaves significant needs. Due to the urban nature of conflict-affected communities in non-government controlled areas, preliminary evidence can predict that the scale of damages is in the tens of thousands.

With temperatures ranging between -10°C and down to -20°C in the colder areas to 10° C from October to mid-April and damp conditions, the country’s damp conditions can leave conflict affected populations cut off from electricity and supply lines for months. Core winter items and utility support to ensure that families have at least one warm room and personal insulation during the 2016-2017 winter period is a life-saving priority.

1 UNECE 2013
2 REACH 2015
Challenges for Ukrainian crisis

Those impacted by the conflict in Ukraine confront challenges that are influenced by socio-economic, geographic, and housing circumstances. Lack of early recovering programming destabilizes the population forcing them into worse humanitarian conditions or secondary displacements. 18-24 months are required for new donors to mobilize resources and adopt to the context. Furthermore, these actors require a longer project cycle than the traditional humanitarian cycle of 6-12 months.

In Donetsk and Luhansk Oblasts, the Ukrainian regional authorities have demonstrated their ability to coordinate the humanitarian response. As the Ukrainian conflict continues into its 3rd year, a transition of the Emergency Shelter and NFI Cluster would better enable national stakeholders to meet durable shelter solutions that are required in Ukraine’s crisis-affected housing sector.

Since July 2015, even the limited number of humanitarian agencies operating in NGCA have struggled to cover the great quantity of humanitarian needs which is accelerated by a lack of technical resources present on the ground to sustainably meet the gaps. Therefore, in the Shelter sector specifically, technical experts can’t be expected to take on extra coordination functions.

Shelter Cluster purpose and purpose for activation

With a protracted conflict in the middle income country of Ukraine, the humanitarian crisis has complicated access to housing through damage and affordability.

Shelter Cluster works to promote additional capacity for response for durable shelter solutions for permanent stay of internally displaced persons and conflict affected populations through emergency assistance, transitional solutions, and the facilitation of longer-term durable shelter solutions until the minimum criteria for deactivation are met:

1. “The humanitarian situation improves, significantly reducing humanitarian needs and therefore the associated response and coordination gaps.

2. National structures acquire sufficient capacity to coordinate and meet residual humanitarian needs in line with humanitarian principles.”

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Transition and Deactivation

*Cluster transition* refers to the process and activities by which the transfer of leadership and accountabilities is planned and implemented leading to the *deactivation*.

*Cluster deactivation* includes the transfer of core functions from clusters that have international leadership and accountability to other structures including those that are led nationally or development focused.\(^4\)

**Minimum Items and Functions for Handover**

- Interactive 5W database
- Sub-national Referral database
- Damage database per address
- Technical guidance for NFIs, shelter repairs, and monetized shelter solutions
- Transition of cluster formats into Inter-Agency Working Groups Chaired by government
- Contingency Plan and Contingency Stock

**Indispensable Milestones for Completion of Transition**

**Sub-national level:** In addition to responsible handover of coordination tools, the Oblast Administration should continue regular consultations through international and national partners in order to ensure that the remaining humanitarian housing needs are met in Donetsk and Luhansk Oblasts. The evidence of clear information management capacity and the continuation of shelter working groups chaired by each oblast is an indispensable milestone for sub-national level transition.

**National Level:** The Shelter Cluster does not have a dedicated direct Ukrainian counterpart and therefore its activities are related with several Ukrainian National Ministries including the Ministry of Social Policy, the Ministry of Temporary Occupied Territories and IDPs and the Ministry of Regional Development. In order to ensure that challenges in the housing sector are addressed in a consistent manner, the creation of an inter-agency ministerial led working group dealing with challenges in the housing sector is an indispensable milestone for national level transition.

**NGCA Level:** In Non-Governmental Controlled Areas of Ukraine, the humanitarian response largely depends on the number of needs and the level of engagement with de facto authorities. Ensuring that the most vulnerable persons who desire to reside in housing in NGCA areas have access to housing is an indispensable milestone for national level transition.

**Theory of Change for Shelter Cluster Transition**

*IF* decentralized response capacity to shelter and NFI needs is in place in Donetsk and Luhansk Oblasts and Durable Solutions for IDPs to choose between integration, return or resettlement are in place *AND* pilot projects contribute *AND* the humanitarian situation improves significantly reducing humanitarian needs and gaps in Coordination *AND* National Structures acquire sufficient capacity to coordinate and meet residual humanitarian needs in line with humanitarian principles *THEN* the Shelter Cluster would deactivate according to the following timeline:

\(^4\) Ibid.
DONETSK/LUHANSK
GCA LEVEL

Objectives

✓ To promote additional decentralized response capacity to Shelter & NFI needs through **collaboration between NGOs & Regional authorities** and enhance accountability to affected population

Challenges/risks

- Streamlining communication to all local stakeholders at municipal and regional levels and accounting for various line ministries involved
- Emphasizing to partners the importance of data collection on important metrics for improving response to damaged houses.
- Lack of clarity on available government resources for rebuilding of home and for provision of specialized institutions for disabled and limited mobility.
- Lack of humanitarian standards in decommissioning of collective centres by regional authorities

Partners/Stakeholders

<table>
<thead>
<tr>
<th>Thematic</th>
<th>Primary stakeholders</th>
<th>Secondary stakeholders</th>
</tr>
</thead>
<tbody>
<tr>
<td>Emergency Response to Winterization &amp; Referrals</td>
<td>Municipalities and regional authorities</td>
<td>Regional Administration and national and international NGOs</td>
</tr>
<tr>
<td>Repairs to damaged housing in private sector</td>
<td>Donetsk and Luhansk Regional Administration</td>
<td>NGOs (national and international), municipalities</td>
</tr>
<tr>
<td>Collective Center</td>
<td>Local NGOs, Donetsk Regional Administration, municipalities</td>
<td>MOSP, municipalities</td>
</tr>
<tr>
<td>Social Housing</td>
<td>Municipalities and Regional Administration</td>
<td></td>
</tr>
</tbody>
</table>

Milestones/Indicators

- # of critical updates made by municipal & local authorities to damage database
- **80% of damages** in Donetsk & Luhansk Oblasts recorded in Shelter Custer database have a response.
- # of line ministries participating in meaningful transitional efforts
- % of Regional budgets allocated to housing and infrastructure
- % of partner beneficiaries aware of HLP referral mechanisms
- # of local representatives participating and/or leading TWG
- # of Training sessions conducted for local authorities on information management
- Handover of information management portals including damages database, & Sub-national referrals.

Timeline

- Dialogue begins with Donetsk Authorities
- Winterization
- Capacity building
- End of Collective Center decommissioning
- Handover to regional authorities completed
- Handover to national authorities completed
- # of Training sessions conducted for local authorities on information management
- Handover of information management portals including damages database, & Sub-national referrals.
- # of partner beneficiaries aware of HLP referral mechanisms
- % of Regional budgets allocated to housing and infrastructure
- % of line ministries participating in meaningful transitional efforts
- # of local representatives participating and/or leading TWG
- # of critical updates made by municipal & local authorities to damage database
- **80% of damages** in Donetsk & Luhansk Oblasts recorded in Shelter Custer database have a response.
NATIONAL LEVEL

Objectives

✓ Advocate for **durable solutions** for IDPs to choose between integration, return, or resettlement.
✓ Contribute in the **identification of adequate solutions** including if necessary through monitoring pilot projects.

Challenges/risks

- Newly created Ministry of ATO and IDP’s **resources and activities not yet developed and/or delayed**.
- Lack of clear concerted action by associated ministries (ie Social Policies, Regional Development, and others) to address challenges created by crisis (ex. social housing)
- Poor connection between registration figures and the reality Population of Concern’s profile.
- Extremely slow mobilization of development partners in conjunction with a disinterest in Ukrainian crisis forces **IDPs into situations that increases their humanitarian needs**.
- Delays in defining **compensation scheme** jeopardize returns and/or integration.
- Danger of protracted situation

Partners/Stakeholders

<table>
<thead>
<tr>
<th>Thematic/Primary stakeholder</th>
<th>Secondary stakeholders</th>
</tr>
</thead>
<tbody>
<tr>
<td>Collective Center 23 Oblast, Min. ATO IDP</td>
<td>MOSP, Municipalities</td>
</tr>
<tr>
<td>Social Housing Min. Reg. Dev., Min. ATO/IDP</td>
<td>Municipalities, Oblast</td>
</tr>
<tr>
<td>Specialized Institutions Min. Soc; Min. Reg. Dev.; Min ATO/IDP</td>
<td>Min. Edu; Min. Health; Municipalities, Oblast</td>
</tr>
<tr>
<td>Registration/ profile Min. Soc.; Min. ATO/IDP</td>
<td>International Organizations</td>
</tr>
</tbody>
</table>

Milestones/Indicators

- # of projects dedicated to supporting IDPs with housing
- # of GoU support for IDP integration linked to infrastructure
- # of IDPs with limited mobility who have access to social institutions
- # of pilot projects related to durable solutions for permanent stay assisting the population of concern
- % of budget allocated to such projects
- Reduction in persons residing in Collective Centres by 50%
- Referral pathways provided to affected population
- HLP grievance system is created and is easily accessible by affected population
- Handover of 5W online portal or similar interface that facilitates coordination of housing at the housing level

Timeline

- **2016**
  - **Q1**: Advocating for integration
  - **Q2**: Engaging with ministries
  - **Q3**: 1st pilot project
  - **Q4**: Capacity Building
- **2017**
  - **Q1**: Collective Center decommission & data base hand over
  - **Q2**: Lessons Learn on pilot projects
  - **Q3**: Cluster Closure if no access to NGCA
  - **Q4**: 
- **2018**
NGCA LEVEL

Objectives

- **Monitor** and coordinate access to adequate shelter solution including repairs.
- Stabilize through **life saving intervention as winterization, NFI distribution**.

Challenges/risks

- **Access** to NGCA still inconsistent and insufficient.
- Lack of shelter expertise could impede capacity building.
- **Latent liaising with de facto authorities** especially for the damage data base.
- Lack of financial support and interest if situation is protracted.
- Lack of resolution to current humanitarian crisis prevents opportunities for development and recovery

Partners/Stakeholders

<table>
<thead>
<tr>
<th>Thematic</th>
<th>Primary stakeholders</th>
<th>Secondary stakeholders</th>
</tr>
</thead>
<tbody>
<tr>
<td>Damages</td>
<td>SUV and municipalities</td>
<td>International and national NGOs</td>
</tr>
<tr>
<td>Collective Centres</td>
<td>SUV and municipalities and relevant de facto authorities</td>
<td>International and national NGOs</td>
</tr>
<tr>
<td>Winterization</td>
<td>SUV and municipalities and relevant de facto authorities</td>
<td>International and national NGOs</td>
</tr>
<tr>
<td>Capacity Building</td>
<td>Local NGOs, Partners, CBOs</td>
<td>Other clusters (WASH)</td>
</tr>
<tr>
<td>Scaling up early recovery</td>
<td>Local and international NGOs</td>
<td>SUV and Municipalities</td>
</tr>
</tbody>
</table>

Milestones/Indicators

- 60% of houses repaired (not empty and not expropriated)
- # of Shelter partners (local and national) able to respond to needs in shelter cluster
- # of Collective Centres monitored and decommissioned according to humanitarian standards
- # of winterization projects implemented that go beyond immediate NFI distribution

Timeline

- Engaging with de facto authorities
- Winterization
- Capacity Building
- Last season of Repairs
- Decommissioning Collective Centre
- Last Winterization
- Hand over
- Cluster Closure

2016   2017   2018
Resources for Implementing the Transitional Plan

**Human Resources**

<table>
<thead>
<tr>
<th>Shelter Cluster Team</th>
<th>Authorities</th>
</tr>
</thead>
<tbody>
<tr>
<td>1 National Cluster Coordinator</td>
<td>1 National Focal Point for External Liaison with external working groups</td>
</tr>
<tr>
<td>1 National Cluster Co-Chair/Sub-national Coordinator</td>
<td>1 National IM Officer for assuming responsibility of SW</td>
</tr>
<tr>
<td>1 International Management Officer/Shelter Associate</td>
<td>1 Focal Point for Each Oblast for external liaison with external working groups</td>
</tr>
<tr>
<td>1 Sub-national Shelter Specialist</td>
<td>1 IM focal point for each oblast to manage damage database and referral system</td>
</tr>
<tr>
<td>1 part-time Information Management Support Officer</td>
<td></td>
</tr>
</tbody>
</table>
## Risk Mitigation

<table>
<thead>
<tr>
<th>Type</th>
<th>Risk</th>
<th>Risk Category</th>
<th>Impact</th>
<th>Likelihood</th>
<th>Risk Treatment</th>
</tr>
</thead>
<tbody>
<tr>
<td>Political Crisis-Related</td>
<td>Political violence escalates beyond current levels</td>
<td>Strategic planning, resource allocation and management</td>
<td>Major</td>
<td>Medium</td>
<td>Contingency Plan enacted&lt;br&gt;Re-activation of Cluster</td>
</tr>
<tr>
<td></td>
<td>Lack of access to crisis-impacted areas</td>
<td>Government relations and Program Monitoring and Evaluation</td>
<td>Major</td>
<td>Medium</td>
<td>Inter-Agency Advocacy for Access&lt;br&gt;Support to remote assistance programs supported by Working Group Structures</td>
</tr>
<tr>
<td>Political Institutional</td>
<td>Unsupportive local authorities</td>
<td>Government relations</td>
<td>Disastrous</td>
<td>Low</td>
<td>Identify appropriate relief and development agency to co-chair working groups</td>
</tr>
<tr>
<td></td>
<td>Lack of impartiality on behalf of local authorities</td>
<td>Government relations</td>
<td>Moderate</td>
<td>High</td>
<td>Training on Humanitarian Standards&lt;br&gt;Advocacy to provide equal Shelter/NFI support on both sides of contact line and IDPs in all areas of Ukraine regardless of Area of Origin</td>
</tr>
<tr>
<td></td>
<td>Lack of Coordination between national, oblast, regional, and municipal authorities</td>
<td>Government relations</td>
<td>Major</td>
<td>High</td>
<td>Signing partnership with Cluster and subsequent working groups&lt;br&gt;Specification of line ministry and appointed individuals for following up on specific items in the transition plan</td>
</tr>
<tr>
<td></td>
<td>Decentralization challenges prevent flow of resources between Oblast and National levels</td>
<td>Government Relations&lt;br&gt;Strategic planning, resource allocation and management</td>
<td>Major</td>
<td>High</td>
<td>Establish support monitoring mechanisms to compliment relief-development programming&lt;br&gt;Capacity building programs to enable fundraising and mobilization of resources</td>
</tr>
<tr>
<td>Economic</td>
<td>Lack of Financing for housing interventions</td>
<td>Strategic planning, resource allocation and management</td>
<td>Moderate</td>
<td>High</td>
<td>Use of Contingency Reserve&lt;br&gt;Work with national authorities and development actors to integrate humanitarian needs into social services networks and development frameworks.</td>
</tr>
</tbody>
</table>
## Discussions Ongoing

<table>
<thead>
<tr>
<th>Category</th>
<th>Issue</th>
<th>Area of Intervention</th>
<th>Impact</th>
<th>Strategy</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Inflation</strong></td>
<td></td>
<td>Support development of programs to increase access to housing affordability</td>
<td>Moderate</td>
<td>-</td>
</tr>
<tr>
<td><strong>Social</strong></td>
<td>Significant Increase in Displacement</td>
<td>Program Monitoring and Evaluation</td>
<td>Major</td>
<td>- Support development of programs to increase access to housing affordability</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Host community relations</td>
<td>Moderate</td>
<td>- Shifting of Shelter project activities to meet housing needs</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>Low</td>
<td>- Re-activation of Cluster for quick resource mobilization and coordination of response</td>
</tr>
<tr>
<td></td>
<td>Hostility between displaced and host community</td>
<td>Host community relations</td>
<td>Moderate</td>
<td>- Mainstreaming of peacebuilding activities within discussion of working group activities</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>Low</td>
<td>- Enhancing principles of accountability to affected populations</td>
</tr>
<tr>
<td></td>
<td>Forced returns due to lack of adequate durable shelter solutions</td>
<td>Strategic planning, resource allocation and management</td>
<td>Disastrous</td>
<td>- Collaborate with Inter-sectoral actors to identify specific integration challenges of population</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>Medium</td>
<td>- Support Housing, Land, and Property Initiatives to establish transparent provision of land and housing</td>
</tr>
<tr>
<td><strong>Environmental</strong></td>
<td>Prolonged Winter period</td>
<td>Program monitoring and evaluation</td>
<td>Moderate</td>
<td>- Use of Contingency Reserve</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>Low</td>
<td>- Appeal to emergency donors for short-term interventions or activation of CHF/CERF</td>
</tr>
<tr>
<td></td>
<td>Violent Weather causes additional damages to conflict-affected houses</td>
<td>Program monitoring and evaluation</td>
<td>Minor</td>
<td>- Use of Emergency Referral System</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>Medium</td>
<td>- Appeal to emergency donors for short-term interventions or activation of CHF/CERF</td>
</tr>
<tr>
<td></td>
<td>Weather-related Displacement</td>
<td>Program monitoring and evaluation</td>
<td>Moderate</td>
<td>- Use of Emergency Referral System</td>
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