THE WIDER IMPACTS OF HUMANITARIAN SHELTER AND SETTLEMENTS ASSISTANCE

Annex B: Methodology







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This project was managed by Mohamed Hilmi, with the support of InterAction Humanitarian Policy and Practice and Communication Units. Infographics, Videos, and detailed ranking of evidence are available upon request. Please contact mhilmi@interaction.org.

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Methods

Research to determine both direct and indirect impacts of shelter and settlements assistance comprised a wide-reaching desktop review. The process set out to produce a narrative summary of qualitative, quantitative, and mixed methods research. Initial sources were found through internet searches of humanitarian databases, individual organizations' websites, and academic journals. A full list of websites consulted can be found in Appendix A.

Relevant information was sought from published reports, evaluations, and reviews, as well as gray literature from organizations including lessons-learned exercises, base- and end-line assessments, afteraction reviews, and impact assessment tools. In addition, national and local government policy and planning reports, housing and slum upgrading reports, social housing surveys, and advocacy reports were reviewed. Sources included the U.N., International Organizations (I.O.), the Red Cross and Red Crescent societies, international non-governmental organizations (INGOs), national housing organizations, relevant civil society organizations, and a wide range of research and policy institutions. No limitation was put on the timeframe. A full list of documents and sources can be found in the accompanying bibliography.

Desk-based research was supported by a small number of key informant interviews carried out over Skype with sectoral experts from health; water, sanitation, and hygiene (WASH); and livelihoods to gain additional information and insights. These were identified through recommendations from InterAction and carried out subject to availability. Key Informants also provided additional documentation, as did shelter experts contacted through the author's professional network who were able to share unpublished evaluations and reviews.

Documentation selection and inclusion

As this research was not intended to be an academic synthesis, there was no specific inclusion criteria or limitation put on the type of documentation or report, other than being available in English. However, as the quality and reliability of sources varied considerably, an effort has been made to reflect this in the findings.

Due to the inductive nature of the research, it was not possible to carry out a string search to obtain an absolute number of documents. Several exploratory combined searches were carried out both through academic databases and Google search. For examples of search terms used, see the list of search terms later in this Annex. An initial screening was undertaken during the search process, which consisted of reading the abstract and executive summary online to judge whether relevant information was likely to be included. The second screening consisted of reviewing the whole document to extract relevant information. Documents were excluded at this stage if they did not provide details on the outcomes, effects, or impacts of the intervention; did not specify the type of assistance provided; or included multisectoral support or multi-purpose cash assistance where the outcomes could not be attributed to shelter assistance. When documents referenced additional reports, these were sought out and included where possible. An inductive approach was taken to the extraction of data and analysis of the outcomes, effects, and impacts of assistance provided and then grouped under relevant sectoral headings.

In total, 287 documents were reviewed. Of these, 191 were found to have relevant information.

Document ranking

Many of the included documents can be criticized in terms of the robustness of the data collection, analysis, or level of detail of reporting. A ranking system was therefore applied that assessed the source and reliability of the documents, taking into account the type of data gathered, methodology, the purpose of the document, and the likelihood of bias. This is laid out in the table below. The quality rating provided is not intended to be an objective measure but is a guide to assess the overall validity of a claim.

Ranking	Description
1	Systematic review or meta-analysis (of level 2 data)
2	Randomized Controlled Trials (RCT)/quasi-experimental or controlled study
3	Meta-analysis/review (of level 4 data)
4	Result from primary research (non-controlled/survey/case study)
5	Research Study (e.g. dissertation, research report, policy paper)
6	Claim based on experience, lessons learned, discussion paper, opinion piece, promotional or publicity document

Table 1: Evidence hierarchy

To assess the overall strength of evidence in each sector, a weighted average ranking of reliability of documents per sector was cross-referenced with the number of documents per sector, where the frequency was defined as Very Low (less than 20 documents), Low (21-40 documents), Medium (41-60 documents), and High (61+ documents).

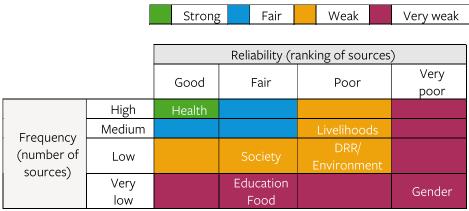


Table 2: Matrix of strength of evidence

Document analysis

To carry out a comparison of sources, each document was additionally assigned an intervention type (Humanitarian, Development—including Slum Upgrading—or Housing). Given the justification of there being a continuum of shelter assistance, it is possible some documents may have been able to be placed in an alternative category. Where there was ambiguity, the author's judgment of the primary topic of discussion and context determined the categorization.

Ranking

Of the 191 documents, 59% were rated as category 4, 5 or 6—in the lower half of the reliability scale. A third (63/33%) were rated as Category 2, coming from a controlled trial (with the vast majority published in an academic journal). Only 15 of the documents were meta-analyses, six of RCTs and quasi-experimental/controlled studies (four from housing and two from development), and nine of non-experimental studies (five from humanitarian, four from development).

Interventions

50% of the total documents come from the housing sector, with documents from the humanitarian sector comprising only 28% of the total study (54 documents), and 21% from development and slum upgrading (41 documents). Of the humanitarian documents, 43% (23) were Category 4, primarily post-assistance evaluations. A further 43% were from Category 5 and 6 (20/3), with only three documents from Category 2 (6%) and five from category 3 (9%). In comparison, from the housing sector, over half (51%/49) were from Category 1, 2, or 3, the same as in development and slum upgrading (51%/21). The overall trends between housing and development and slum upgrading were very similar regarding the sources of documents, with the primary categories being 2 and 5.

Region

As half of the included documents have come from housing interventions, there is a slight bias towards information from developed nations (U.K./Europe, U.S./Canada, Australia, and New Zealand). These nations comprise 88% of the housing studies, and 46% of the total study. Across humanitarian interventions, Global, Middle East, and North Africa (MENA), South Asia, and Southeast Asia are all represented relatively evenly (13-19% each). While in humanitarian interventions, Latin America and the Carribean (LAC) and Africa are only represented in 13% of studies, in development, these two regions constitute 56% of the total documents, with the remaining made up mainly of multiple countries and South and Southeast Asia. Only 2% of development studies are of MENA.

Source

As is to be expected, there is a strong correlation between the sources of information and the category distribution. Overall, the number of documents from academic journals (41%) is not far from the number of Category 1 and 2 documents. Almost one-quarter of documents are from research and policy institutions (24%), while 25% are from NGO or United Nations (UN)/international organizations (IO) sources, with 9% from donor and governmental sources. Unsurprisingly, while representing a tiny percentage of housing and sources, NGOs and UN/IOs made up almost three-quarters of humanitarian documentation (73%) but were only 14% in development documentation. Only 13% of humanitarian sources were found in academic journals. For both development and housing, the primary sources were academic journals (56% and 51%, respectively) and research or policy institutions (17% and 36%, respectively). Government sources were mainly found concerning housing interventions.

Date

Overall, 45% of documents are from the last five years, with 90% from the last 15 years. In humanitarian interventions, this is even more pronounced (67% from the last five years, 96% from the last 15), with double the number of humanitarian studies in the previous five years than in development or housing interventions.

Sector

(Note: these percentages amount to more than 100% because almost a quarter of documents (23%) referenced two or more sectors).

By far, the most represented sector is health, with 47% of the total documents containing information regarding health. However, while 55% of housing studies were health-related and 37% in development documentation, in the humanitarian documentations reviewed, health represented only 12% of studies. Livelihoods and education were second-most represented in housing, both with 12%. In development assistance, livelihoods was the second-most represented at 24%, while society (including crime, social cohesion, governance) was third at 18%. In documents related to the humanitarian sector, livelihoods was most represented at 29%, with disaster risk reduction constituting 21% of documents and health third 12%.

In the humanitarian documentation, the two most represented sectors of livelihoods and DRR together make up 50% of the total humanitarian studies. Education and Food were only mentioned in three studies (together 5% of total humanitarian documentation). Documents discussing education were primarily from housing interventions—only one humanitarian study discussed education. No development study discussed education. Food security was underrepresented in all interventions. There was also a surprisingly low inclusion of gender, given the push for gender mainstreaming in recent years, which may indicate a limitation with the research approach. Although specific searches were carried out, little information was found on the specific impacts of shelter or settlements assistance on gender-based violence or intimate partner violence.

Scope and limitations

This review does not intend to be an exhaustive academic evidence review, given the limited timeframe and broad content. Rather, it is intended to be an initial exploration into the range of impacts that shelter and settlements assistance has, and identification of areas where information is particularly weak, to inform selected infographic communications and to direct further research efforts.

This report does not look at the impact of shelter assistance in regards to the population in need or overall response. This is partly because this information was often lacking from documentation or inconsistent across documents dealing with the same response, but also posed a problem in gathering similar information from development or housing interventions. In addition, the focus of the research was on the impact on other sectors rather than on impact in comparison to the overall needs more broadly, which has been discussed elsewhere. Likewise, the type of emergency (where relevant: conflict, disaster, complex) and the program cost of the intervention were not considered. This research also does not distinguish between impacts as a result of the provision or repurposing of assistance (e.g., where the house or materials have been sold rather than used for their intended purpose), although in general, this was minimally mentioned in the included interventions.

Given the very limited timeframe for such a broad scope of work, there was a finite number of documents that could be reviewed and included within the required timeframe and resources available. More time would undoubtedly have thrown up additional documentation, and this should be taken into account when considering the overall findings of the research.

Additional limitations result from the strength of the evidence base itself. Shelter and settlements remains a woefully under-researched aspect of humanitarian response, despite claims that shelter is a

catalyst for recovery in other areas.¹¹⁰ While program evaluations are now common-place, the 'evidence' in the humanitarian shelter sector often relies on case studies, which tend to focus on process issues, rather than whether the intervention brought about the intended results, and how (Alexander and Bonino 2015: 1).

Within humanitarian interventions, the information available in the majority of documents has already been processed by the organizations providing the assistance, and therefore may not be entirely objective. A number of studies were excluded as they focused more on outputs and processes than the outcomes or impact of the programs. In addition, the majority did not provide adequate information on the sampling strategy or statistical accuracy, did not clearly detail the limitations of the research, and did not set out any ethical considerations. Many of the studies were highly context-specific without controlling for or even mentioning external factors, and the results included were not standardized and sometimes inconsistent.

Despite expanding the search to include housing and development interventions, the gathered data still posed several challenges to finding conclusive results. The highest quality and most reliable studies in housing and development were also most likely to have the least clear and transferable outcomes. Systematic reviews noted a number of challenges and limitations in assessing and synthesizing data.

Some of the limitations mentioned in the included documents are:

- Lack of adequate controls for family characteristics and selection issues, resulting in difficulty disentangling the effects of poverty from inadequate housing.
- Lack of longitudinal design that would have overcome selection issues or variable bias.
- Do not unbundle what aspect of housing has made the contribution (stability, quality, affordability, location?).
- Do not adequately describe the housing models.
- Risk that the effect found in the study may be a result of the way the sample was selected and is unlikely to hold outside the included group.
- Absence of baseline data.
- Some were focused on outputs over effected social or economic opportunities.
- High risk of bias, heterogeneity, and evidence gaps prevent firm conclusions.
- The nature of the research base (small quantitative studies) made it more difficult to reach general conclusions.
- No consistent timeframes and the need for more longitudinal, not just cross-sectional studies.

A set of examples from the literature reviewed related to heath include:

- Numerous associations are there, but the direction of causality is unclear.
- Health problems created by poor housing may be more indicative of social inequality, and poor conditions exacerbate health problems. 117, 85, 153
- Poorer people live in worse housing and are exposed to more health risks.²³
- No evidence was found for the preventative effects of housing improvements. However, there is some evidence for curative effects.⁴¹
- Lack of randomized controlled trials in evidence is not unique to green space, and many accepted interventions in health are not based on RCT evidence.²⁸
- Impacts are hard to discern as few studies have focused on the impact of improvements.

Because of methodological limitations, it is impossible to specify the nature and size of health gain from a specific housing improvement due to small sample sizes and a lack of controls or standardized evaluation indicators. ^{168, 169, 121} Few studies articulated a logic model to show relationships and were not longitudinal enough; if location changed, gains might be offset by adversely perceived changes in social networks. ^{28, 117}

In addition, many of the research and policy reviews are subject to the criticism made by Hwang et al.: "most of the literature provides no original data on the connection between health and housing, and little or no data to support the effectiveness of particular housing strategies for improving health" and is as relevant if not more so for other sectors. (Hwang et al. 1999: iv)

As a result of these limitations, this research provides a summary of some of the recorded impacts of shelter and settlements assistance. Due to the low generalizability based on the data quality, the transferability of the findings is limited. As with the information available, it is very difficult to judge how any particular finding may be replicated in another location or context, regardless of the type of assistance or whether it is a humanitarian, development, or housing intervention.

Statistical overview of documentation

Intervention by ranking

	Docı	uments	Humar	nitarian	Dev/	SIUp	Ног	ısing
1	6	3%	0	0%	2	5%	4	4%
2	63	33%	3	6%	19	46%	41	43%
3	9	5%	5	9%	0	0%	4	4%
4	39	20%	23	43%	6	15%	10	10%
5	42	22%	3	6%	11	27%	28	29%
6	32	17%	20	37%	3	7%	9	9%
TOTAL	191		54	28%	41	21%	96	50%

x or n/a 96 Total documents 287

Entries by Region

Entries by Region								
	Doci	uments	Humar	nitarian	Dev/	SIUp	Ηοι	ısing
Europe	7	4%	3	6%	0	0%	4	4%
Global	12	6%	9	17%	1	2%	2	2%
Latin America & C	14	7%	3	6%	10	23%	1	1%
Middle East & NA	10	5%	9	17%	1	2%	0	0%
Multi	23	12%	10	19%	9	21%	4	4%
Oceania	9	5%	0	0%	0	0%	9	9%
North America	46	24%	0	0%	1	2%	45	46%
South Asia	11	6%	7	13%	3	7%	1	1%
South-East Asia	14	7%	9	17%	4	9%	1	1%
Sub-Saharan Africa	21	11%	4	7%	14	33%	3	3%
United Kingdom	27	14%	0	0%	0	0%	27	28%
TOTAL	194	:	54		43		97	

Entries by Source

	Documents		Humanitarian		Dev/SlUp		Housing	
Academic Journal	79	41%	7	13%	23	56%	49	51%
Donor	9	5%	4	7%	4	10%	1	1%
Government	8	4%	0	0%	1	2%	7	7%
Masters Dissertation	1	1%	1	2%	0	0%	0	0%
News Article	1	1%	0	0%	0	0%	1	1%
NGO	28	15%	23	43%	3	7%	2	2%
Research/Policy Inst.	45	24%	3	6%	7	17%	35	36%
UN/IO	20	10%	16	30%	3	7%	1	1%

TOTAL 191 54 41 96

Entries by date

	Docu	uments	Humar	nitarian	Dev/	SIUp	Ног	ısing
2015-19	85	45%	36	67%	15	37%	34	35%
2010-14	62	32%	11	20%	15	37%	36	38%
2005-09	24	13%	5	9%	6	15%	13	14%
2000-04	13	7%	1	2%	4	10%	8	8%
1999 and Older	4	2%	0	0%	0	0%	4	4%
No Date	3	2%	1	2%	1	2%	1	1%

TOTAL 191 54 41 96

Entries by sector

	Doci	uments	Humar	nitarian	Dev/	SIUp	Ηοι	sing
Health	90	47%	8	12%	19	37%	63	55%
Education	15	8%	1	2%	0	0%	14	12%
Food	9	5%	2	3%	1	2%	6	5%
DRR/Environment	23	12%	14	22%	5	10%	4	3%
Gender	12	6%	1	2%	4	8%	7	6%
Livelihoods/Economic	45	24%	19	29%	12	24%	14	12%
Society	22	12%	5	8%	10	20%	7	6%
Multi	10	5%	10	15%	0	0%	0	0%
Other	5	3%	5	8%	0	0%	0	0%

TOTAL **231** 65 51 115

Documents with		
multiple sectors	44	23%
discussed		

191

List of websites searched

Academic databases	
Brookes library database	https://oxfordbrookes.on.worldcat.org/discovery
UCL library database	https://ucl-new-primo.hosted.exlibrisgroup.com/primo-
	explore/search?vid=UCL_VU2
Westminster library	https://library-collections-
database	search.westminster.ac.uk/discovery/search?vid=44WST_INST:WST_VUA
Academia.edu	https://www.academia.edu/
Cochrane Library	https://www.cochranelibrary.com/
DOAJ	https://doaj.org/
JSTOR	https://www.jstor.org/
Researchgate	https://www.researchgate.net/
Sage journals search	https://journals.sagepub.com/
Science direct	https://www.sciencedirect.com/
Tandfonline.com	https://www.tandfonline.com/
Websites	
Affordable housing	https://www.affordablehousinginstitute.org/
institute	
Australian Housing and	https://www.ahuri.edu.au/
Urban Research Institute	
Active Learning Network	https://www.alnap.org/help-library
for Accountability and	
Partnership Centre for Affordable	
Housing Finance in Africa	http://housingfinanceafrica.org/
CARE	https://www.careinternational.org.uk/
Cold Climate Housing	http://cchrc.org/
Research Centre	Thtp://cenic.org
The Centre for Health	https://www.healthdesign.org/
Design	integrally with incurred congression of
Centre for Global	https://www.cgdev.org/
Development	
Cities Alliance	https://www.citiesalliance.org/
CRS	https://www.crs.org/our-work-overseas/research-publications
Enterprise	https://www.enterprisecommunity.org/
National Institute for	https://www.evidence.nhs.uk/
Health and Care	
Excellence	
Feinstein International	https://fic.tufts.edu/
Center	
Food Research and Action	https://frac.org/
Center	
Habitat for Humanity	https://www.habitat.org/
Health Affairs	https://www.healthaffairs.org/
Homes For All	https://homesforall.org/

Housing Matters	https://housingmatters.urban.org/
Humanitarian Practice	https://odihpn.org/
Network	
Humanitarian Library	https://www.humanitarianlibrary.org/
IFRC	https://media.ifrc.org/ifrc/document-library/
Knowyourcity.info	http://knowyourcity.info/
Lincoln Institute of Land	https://www.lincolninst.edu/
Policy	
Macarthur Foundation	https://www.macfound.org/programs/how-housing-matters/
NCBI	https://www.ncbi.nlm.nih.gov/
Norwegian Refugee	https://www.nrc.no/
Council	
Overseas Development	https://www.odi.org/
Institute	https://www.sifers.com/si
Oxfam	https://www.oxfam.org/en
Professionals in Humanitarian Assistance	https://phap.org/
and Protection	
Policy Link	https://www.policylink.org/
Office of Policy	https://www.huduser.gov/portal/home.html
Development and	https://www.nadaser.gov/portal/norme.html
Research	
Reall	https://www.reall.net/
Relief Web	https://reliefweb.int/
Rethink Housing	https://www.rethinkhousing.org/
Save the Chidren	https://www.savethechildren.net/
Strategic Growth Council	http://sgc.ca.gov/
California	
Shelter England	https://england.shelter.org.uk/
UN-Habitat E-library	http://mirror.unhabitat.org/categories.asp?catid=463
UNHCR – Refworld	https://www.refworld.org/
UN-Women	http://endvawnow.org/
Urban response portal	https://www.urban-response.org/
Urban Institute	https://www.urban.org/
USAID DEC	https://dec.usaid.gov/dec/home/Default.aspx
World Bank library	https://elibrary.worldbank.org/
World Habitat	https://www.world-habitat.org/
зіе	https://www.3ieimpact.org/

List of search terms

Measuring impact / Measuring impact AND housing / Measuring impact AND shelter

Impact+shelter / Impact+housing / Impact+slum upgrading / Impact+evaluation / Shelter+evaluation

 $Housing\ AND\ ...\ health\ /\ livelihoods\ /\ education\ /\ GBV\ /\ crime\ /\ mental\ health\ /\ DRR\ /\ social\ capital\ /\ social\ cohesion\ /\ community\ relations\ /\ peacebuilding\ /\ food\ /\ food\ security\ /\ nutrition\ /\ increase\ income\ /\ sleep\ /\ climate\ change$

Intersection+housing AND health / livelihoods / education / GBV / crime / mental health / DRR / social capital / social cohesion / community relations / peacebuilding / food / food security / nutrition / increase income / sleep / climate change

"Why housing matters"

