



A Review of Needs Assessment Tools, Response Analysis Frameworks, and Targeting Guidance for Urban Humanitarian Response

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The Human Settlements Group works to reduce poverty and improve health and housing conditions in the urban centres of Africa, Asia and Latin America. It seeks to combine this with promoting good governance and more ecologically sustainable patterns of urban development and rural-urban linkages.

Purpose

This desk review was produced by the Norwegian Refugee Council as part of the Stronger Cities Initiative. The Stronger Cities Initiative is a consortium led by the International Rescue Committee (IRC), in partnership with the Norwegian Refugee Council (NRC) and World Vision International (WVI).

This paper is part of a series of research pieces produced under the 'Urban Crises Learning Fund' managed by the International Institute for Environment and Development (IIED). Funded by the Department for International Development (DFID), the Urban Crises Learning Fund aims to build an in-depth understanding of how the humanitarian sector can most effectively operate in urban contexts.

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The magnitude of urban disasters, high population densities, and a complex social, political and institutional environment has challenged the manner in which humanitarian agencies are used to working. Humanitarian agencies are now grappling with how to change their approaches to this reality. This desk review aims to provide an audit and analysis of existing needs assessments, response analysis frameworks and targeting approaches for use in urban post-conflict emergency response. The review found that despite the increasing number of urban responses, the development of tools or guidelines remain behind. Needs assessment and response frameworks tend to be sector or thematic specific, making it hard to identify priorities between sectors, whilst urban targeting approaches have not been translated into detailed available guidance. There is a need for development of urban tools that are inclusive, coherent, cost-effective, rigorously tested, and build on existing good practice.

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Abbreviations

ACAPS	The Assessment Capacities Project
ALNAP	Active Learning Network for Accountability and Performance
CBT	Community Based Targeting
CTP	Cash Transfer Programming
DFID	Department for International Development
DRC	Danish Refugee Council
EMMA	Emergency Market Mapping and Analysis
ERC	Enhance Response Capacity
FAO RAF	Food and Agricultural Organisation Response Analysis Framework
FIVIMS	Food Insecurity and Vulnerability Information Management
GFSC	Global Food Security Cluster
HCT	Humanitarian Country Team
HPC	Humanitarian Programme Cycle
IASC	Inter-Agency Standing Committee
IDP	Internally displaced person
MEB	Minimum Expenditure Basket
MENA	Middle East and North Africa
MIFIRA	Market Information and Food Insecurity Response Analysis Framework
MIRA	Multi-Sector Initial Rapid Assessment
MPG	Multi-Purpose Grant
MSNA	Multi-Sector Needs Analysis
MSRAF	Multi-Sector Response Analysis Framework
NAF	Needs Analysis Framework
NRC	Norwegian Refugee Council
PDNA	Post-Disaster Needs Assessment
PMT	Proxy Means Test
ProGres	UNHCR Refugee Registration Platform
RAM	Rapid Assessment for Markets
RRP	Rapid Response Plan
SNAP	Syria Needs Analysis Project
UNHCR	United Nations High Commissioner for Refugees
UNICEF	United Nations Children's Fund
USAID	United States Agency for International Development
VAF	Vulnerability Assessment Framework
VaSy	Vulnerability Assessment for Syrians
WASH	Water Sanitation and Hygiene
WFP	World Food Programme
WFP VAM	World Food Programme Vulnerability Assessment and Mapping Unit

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This desk review was produced by the Stronger Cities Initiative Consortium, which is part of the Urban Crises Learning Fund. The consortium is funded by DFID and managed by the International Institute for Environment and Development (IIED) and was established to:

- (i) Improve how stakeholders in urban crises engage with each other to form new partnerships and make better decisions, and
- (ii) Improve mitigation of disasters, preparedness and response by developing, testing and disseminating new approaches to forming relationships and systems.

Two consortia have been developed to undertake the work. The first consortium includes Habitat for Humanity Great Britain (HFHGB), Oxfam GB, University College London (UCL) and the Overseas Development Institute (ODI). It aims to research urban responses to natural hazards in urban areas. The second consortium is the Stronger Cities Initiative Consortium led by the IRC, the NRC and WVI. It is leading on research and developing tools and guidance on urban response in conflict, displacement, and natural hazard settings.

The authors are pleased to present this review on existing tools used by humanitarian actors in urban areas to IIED and the UK Department for International Development (DFID).

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1

Introduction

The nature and scale of humanitarian crises is changing. Recent years have seen increasing frequency and severity of crises and a growth in the protracted nature of crises and the levels of forced displacement. At the same time the rising cost of providing international assistance is resulting in a widening gap between the level of humanitarian need and international resources (GHA 2015). This is increasing focus on aid effectiveness and critical appraisals of the humanitarian system, with greater realisation of the need for new approaches.

One factor driving this has been the increasing engagement of the humanitarian community in densely populated urban areas. By 2030, almost 50 per cent of the world's population will live in urban areas in low- and middle-income countries and almost half are likely to live in informal settlements (Parker and Maynard 2015). This unplanned urban expansion is contributing to increase the vulnerability of poor urban households and a rise in frequency of humanitarian crises in urban environments (Dickson *et al.* 2012; McCallin and Scherer 2015).

Urban disasters differ from the 'traditional' humanitarian contexts of rural communities and camp-based settings. They occur in a dense and highly complex (physical and non-physical) environment that has adapted, formally and informally, to absorb large populations in informal settlements, a range of economic activities and livelihood strategies, resource availability and governance and public expectations. There is also

increased likelihood for compound and complex disasters; and potential for secondary impacts on rural or regional producers (O'Donnell *et al.* 2008). The magnitude of urban disasters, high population densities, mobile populations and complex social, political and institutional environment challenge the very manner in which humanitarian agencies are used to working, and the tools and systems used by policy makers and practitioners have not been conceived of in these environments (Smith and Mohiddin 2015).

This raises the questions: do humanitarian agencies lack the tools and guidance documents that enable effective and efficient response in collaboration with the relevant stakeholders and governing bodies? Are there are sufficient 'tried and tested' tools and/or guidance documents that support the assessment and analysis of an urban context, the identification of potential responses and the targeting of the most vulnerable affected population?

The humanitarian community has experienced challenges in urban crises such as the Syrian refugee crisis (ongoing in its fifth year), Typhoon Haiyan (Philippines 2013), Chennai floods (India 2015) and the Haiti earthquake (2010). These have underlined the lack of tools, experience, knowledge and capacity for urban response in the humanitarian sector and led to growing acknowledgement of the need to prepare for and engage with humanitarian crises in towns and cities. There is significant emerging interest in addressing this

problem, as evidenced by various research initiatives¹ and the establishment and growth of urban information sharing platforms² as well as strategies and initiatives within clusters, the UN system and donors.³

The aim of this review, led by NRC, is to provide i) a snapshot of available and planned needs assessment tools, response analysis frameworks and targeting approaches for use in urban post-conflict

emergency response; and ii) an overview of the strengths, weaknesses and gaps in existing tools, frameworks and approaches. The purpose of the desk review is to inform the development of an urban adapted multi-sectoral needs assessment tool and related guidance for response analysis and targeting. For the purpose of this review, these tools and approaches are defined in Box 1.1.

BOX 1.1 DEFINING THE TOOLS AND APPROACHES TO BE INCLUDED

Needs Assessment Tools: Methodological guidance and questionnaires that guide practitioners in the process of data collection in order to generate the evidence base for strategic planning, as well as the baseline information upon which situation and response monitoring systems will rely.

Adapted from www.humanitarianresponse.info

Response Analysis Framework (RAF): A series of steps and tools that guide humanitarian practitioners in how to make use of information collected during situation analysis (needs assessments and other contextual information such as market analyses) to make decisions for programme design including selection of programme response options, modalities and target groups, based on their appropriateness and feasibility and taking into account potential risks.

Adapted from <http://www.cashlearning.org/resources/glossary>

Targeting Approach: The process by which areas and populations are selected to receive assistance in a timely manner. It comprises mechanisms to define target groups, to identify members of the target populations, to ensure that assistance reaches intended beneficiaries and to ensure it meets their needs.

Adapted from WFP (2006) Targeting in Emergencies

¹ An example is Bartlett *et al.* (2015) Urban Crises and Humanitarian Responses: A Literature Review, The Bartlett Development Planning Unit, UCL.

² Examples include ALNAP and UNHABITAT Urban Humanitarian Response Portal <http://www.urban-response.org/>; and UNHCR Good Practice for Urban Refugees <http://www.urbangoodpractices.org/>

³ Examples include The Food Security Cluster Urban Working Group <http://foodsecuritycluster.net/working-group/food-security-and-livelihoods-urban-settings-working-group>; and the IASC Strategy, whose aim is 'to recommend actions which humanitarian actors can take to make their responses to humanitarian crises in urban areas more effective and thereby save more lives and accelerate early recovery' (IASC 2010: p5).

2

Methodology

The review has included tools that either reference elements of conflict in their guidance, or that may be applicable to multiple contexts including conflict settings. This is due to an initial scoping of available tools that highlighted the lack of tools specifically developed for urban post-conflict contexts, as was also highlighted by Creti (2010).

This desk review has been orientated towards identifying published approaches, guidance and frameworks as opposed to methodologies utilised in a particular setting that are a hybrid of a number of approaches, of which there are a plethora, especially in needs assessments.⁵ Besides this, consideration has also been given to a number of relevant reviews, evaluations, peer reviewed or grey literature highlighting the utilisation of particular tools/approaches in urban contexts and lessons from this including strengths, weaknesses and gaps. Those used are specified in the References section. This is particularly relevant in the case of targeting, where – in contrast to the development and publication of defined tools for needs assessments and response analysis that are owned and promoted by particular agencies – the sector has tended to utilise generic targeting approaches.

The key questions that guided the review and key informant discussions included:

1. **To identify existing tools:** What existing tools or frameworks are applied in urban contexts to assessing needs, undertaking response analysis and for targeting (with a specific emphasis on post-conflict contexts)? What are the tools' strengths and weaknesses?
2. **To ascertain any work in progress:** Are you aware of any new tools/framework for needs assessments, response analysis or targeting approaches being developed for urban contexts, especially for post-conflict contexts? If so, what is the tool/framework being developed to do and when will it be completed?
3. **To acquire recommendations:** Do you have any recommendations regarding urban needs assessments, response analysis frameworks and targeting approaches? Can you recommend a colleague/contact that may have the information we seek?

⁵ In the formation of approaches and tools, post-conflict contexts seemingly utilise a 'mix and match' approach for a number of reasons including: the complexity of each context that demands a more tailored approach, lack of tried and tested methodologies, and a trend towards joint agency initiatives in which there could be a demand to include organisationally sanctioned approaches.

The search approach to the desk review has comprised:

- Database and website searches using key words and phrases to identify tools and other supporting literature, as illustrated in Annex A.
- Reaching out to key informants working in urban response, urban-related research and urban knowledge platforms, in order to share existing publications and details of ongoing or planned initiatives. A full list of contacts is shown in Annex A.
- Linking up with and building on other complementary research and reviews in this field including:
 - A review of needs assessments undertaken by the Assessment Capacities Project (ACAPS) in 2014.
 - An audit of assessment tools undertaken on behalf of the World Food Programme (Creti 2010).
 - Outputs from the IASC (Inter-Agency Standing Committee) Task Force on Meeting Humanitarian Challenges in Urban Areas and their ongoing programme 'Adapting to an urban world' (IASC 2010).
 - Work of an inter-agency ECHO-funded Enhanced Response Capacity (ERC) project 2014–15, led by UNHCR, which focused on capacity building for agencies to implement multi-purpose grants (MPGs) and which collated documents on existing targeting approaches as well as documentation relating to the new initiatives in Lebanon and Jordan to identify refugees for support through MPGs.

3

Justification

The humanitarian principle of impartiality requires organisations to provide assistance on the basis of and in proportion to need alone. This demands an understanding of what constitutes ‘need’, a way of measuring it with reasonable consistency, the ability to discern the most appropriate manner of providing that need and identifying who requires it the most (Darcy and Hofmann 2003).

Recent years have seen a rise in donor and organisational emphasis on appropriate humanitarian programming and programme cost-effectiveness. Information needed to ensure implemented responses are appropriate has highlighted gaps, especially in understanding the links between situation and response analysis (FAO 2011a). In 2015 the Assessment Capacities Project (ACAPS) undertook a review of 105 multi-sector coordinated needs assessments that had been released over the previous 10 years. Their findings indicated that although the amount of useful information collected increased considerably over the years, weaknesses persisted in varying degrees in the aspects including: disaggregation of needs per population group (e.g. host communities, IDPs, etc.) and data collection techniques (ACAPS 2016).

The tables and figures below provide a summary of the currently available needs assessment tools, response analysis frameworks and targeting guidance for urban contexts. Boxes are used to illustrate learning or the application of specific approaches. Following these tables is an overview of the strengths, weaknesses and gaps of the approaches and tools and an outline of work in progress. Lastly, a summary of key reflections follows.

3.1 Needs Assessment Tools

3.1.1 Audit of existing needs assessment tools

A fundamental step in ascertaining whether or not a humanitarian response is necessary and what type of response is appropriate is the completion of a needs assessment. Needs assessments are required to understand, identify and measure the humanitarian needs of a disaster-affected community and can be undertaken using a variety of methods (ACAPS 2014).

Disasters in urban contexts are challenging needs assessment approaches for a number of reasons including but not limited to: population heterogeneity, cultural and linguistic diversity, density and dynamism, physical and geographical scale of urban environments, range of stakeholders and political interest (Cross and Johnston 2011; Currión 2015). In comparison to rural contexts, urban contexts require additional layers and dimensions of analysis, as is well summarised in the introduction of Cross and Johnston (2011). These are components that are not always present in the tools used in the immediate aftermath of a shock – especially if specialist skills are required for a better understanding of conflict, protection and political economy (Creti 2010; Cross and Johnston 2011). Box 3.1 illustrates how information needs on the evolving humanitarian situation during the Syria crisis were met using specialist agencies.

As can be seen in Annex C there are a large number of humanitarian needs assessment tools that could be adapted to urban contexts (24 tools are listed). However, the desk review did not find any designed specifically for urban contexts, a situation that has not

altered significantly since Creti (2010) and IASC's audit of needs assessment tools (IASC 2010). Table 3.1 below summarises the technical guidance tools that have been developed for urban contexts specifically, although not necessarily for post-conflict contexts. The food security and livelihoods sector appears to be ahead of other sectors in the development of urban-specific guidelines.

The humanitarian sector requires impartial, regular and timely needs assessments and collective coherent analysis to enable effective prioritisation of appropriate responses (as illustrated in Box 3.1) (Darcy and Hofmann 2003; Parham *et al.* 2013). These challenges and the complexity of urban displacement contexts following conflict, especially in the face of the Syrian crisis, have led to projects such as the Syria Needs Analysis Project (SNAP) (see Box 3.1), REACH⁶ and JIPS.⁷ Online assessment resource banks such as PARK⁸ enable the sharing of tried, tested and adapted methodologies across agencies.

The UN Humanitarian Needs Overview (HNO) provides a twice a year country-level overview of multi-sector needs based on assessments undertaken by the UN and partner agencies (such as the MIRA). The HNO is structured along the analytical framework developed

for the MIRA and includes a severity ranking to support the prioritisation of needs based on categorising and weighing indicators along geographical areas, sectors, inter-sectoral aspects and demographics. The ranking scale condenses large amounts of humanitarian needs information into a format that allows for comparison and discussion. Its application requires agreement between technical practitioners to identify contextually relevant indicators and assign scores that represent a level of need. Its usefulness and applicability depends heavily upon its appropriate use. Findings are analysed in inter-cluster meetings in conjunction with all other available data (UN 2014).

The growing use of the internet is changing the way in which needs assessment guidance is provided. An example is UNHCR's online handbook⁹ where users are able to navigate handbook webpages and seek guidance on specific topics at the click of a button. Additionally, the use of hand-held devices is transforming assessment data collection practices in urban areas, allowing organisations to undertake larger scale assessments using applications such as Kobo.¹⁰ The possibility to apply question conditionality¹¹ in electronic assessment formats enables faster and more tailored data collection. Data analysis programmes

BOX 3.1 SYRIA NEEDS ASSESSMENT PROJECT, ACAPS AND MAPACTION COLLABORATION

The Syria Needs Analysis Project (SNAP) ran from December 2012 to June 2015 in response to a demand for information in a complex, predominantly urban, humanitarian situation in the region (up to 80 per cent of Syrian refugees in Jordan reside in urban areas¹²). The operational context suffered from limited information sharing and few publications on the humanitarian situation, mainly due to the scale and fluidity of the situation and relative inconspicuousness of displaced populations living in urban areas. SNAP's goal was to create a shared situational awareness among humanitarian actors, contributing to better-targeted and needs-based responses. SNAP achieved this with a combination of independent information products, technical support and capacity

building for humanitarian assessments. Products and services provided included:

- Scenarios of varying levels of fighting/political and military fragmentation, government collapse and negotiated settlement.
- Analysis at regional, thematic and sector levels. Thematic reports included legal status of individuals fleeing Syria, impact of the conflict on the Syrian economy and livelihoods.
- Secondary data reviews as part of multi-sector needs analysis.
- Technical support to coordinated assessments, assessment working groups and clusters.

Source: <http://www.acaps.org/en/pages/syria-snap-project> (11/04/2016)

⁶ REACH is a joint initiative of IMPACT, its sister organisation ACTED, and the United Nations Operational Satellite Applications Programme (UNOSAT). REACH was created in 2010 to facilitate the development of information tools and products that enhance the humanitarian community's decision-making and planning capacity. All REACH activities are conducted in support of and within the framework of inter-agency aid coordination mechanisms. <http://www.reach-initiative.org/>

⁷ JIPS (Joint IDP Profiling Service) is an inter-agency service established in 2009 to provide technical support to government, humanitarian and development actors seeking to improve their information about internally displaced populations. <http://www.jips.org/>

⁸ PARK (Profiling and Assessment Resource Kit) was created to complement existing guidance on profiling and assessment activities by making methodologies, tools and other practical resources used in previous profiling and assessment exercises readily available to practitioners around the world.

⁹ <https://emergency.unhcr.org/>

¹⁰ KoBoToolbox is a suite of tools for field data collection in challenging environments <http://www.kobotoolbox.org/>

¹¹ Questions can be added or skipped in assessments on the basis of the answer to a previous question: for example 'If respondent answers "no", skip question'.

¹² http://syrianrefugees.eu/?page_id=87 17 June 2016

Table 3.1: Needs assessment tools and technical guidance that can be adapted for post-crisis urban contexts

Document name, organisation and date	Brief description	Disaster phase and sectors covered	Conflict specific?
Urban-appropriate needs assessment tool Technical guidance to accompany existing assessment methodologies	Technical Guidance Sheet (TGS) on urban food security and nutrition assessments WFP (2008).	Phases: All disasters, post-crisis and early recovery phase. Sectors: Food security and Nutrition.	Not specifically designed for conflict contexts. Little/no questions related to conflict contexts.
Emergency Handbook UNHCR (online tool). This handbook does contain some urban guidance but seems to focus primarily on rural-orientated guidance that may need adapting to an urban context.	The online Emergency Handbook guidance (of which the NARE ¹⁶ is part) is published in the form of 'Entries', self-contained units of content. Entries are structured along seven main topic areas including: 'Delivering the response': Programme planning and management, sector guidance and good practices by operational context (urban, rural, camps), standards and indicators, UNHCR management procedures for administration, finance, human resources, supply and information and communication technology.	Phases: Significant sudden forced displacement of populations across borders. Sectors: Multiple sectors.	The section related to 'Protecting and empowering' includes links to numerous assessment tools and methodologies across sectors, including: health, food security and nutrition. Links to joint or recognised tools such as the MIRA and NARE are made.
Chapter 6: Adaptations of HEA; The Practitioners Guide to the Household Economy Approach (HEA). RHVP, FEG and Save the Children UK (2008).	There are seven chapters included in the Practitioner's Guide and two supplemental guides. Urban guidance is within Chapter 6 (Adaptations of HEA). The chapters are presented in an order sequential to the implementation of the HEA framework, starting with an overview of the framework and moving through practical fieldwork to outcome analysis and response planning.	Phases: Preparedness and recovery. Rapid HEA available for rapid onset contexts (see Chapter 6). Sectors: Food Security and Livelihoods.	No specific guidance on conflict contexts is included in the technical guidance sheets. However, conflict-related information is available in the main guidance.

¹³Emergency Food Security Assessment Handbook (EFSA), WFP (2005)

¹⁴Comprehensive Food Security and Vulnerability Analysis (CFSVA) Handbook, WFP (2009a)

¹⁵Joint Assessment Mission Guidelines (JAM) Guidelines, UNHCR/WFP (2008)

¹⁶Needs Assessment for Refugee Emergencies (NARE) is designed to assist UNHCR operations with initial multi-sectorial needs assessments when there has been a significant sudden forced displacement of populations across borders.

Document name, organisation and date	Brief description	Disaster phase and sectors covered	Conflict specific?
Urban-appropriate needs assessment tool Technical guidance to accompany existing assessment methodologies	Humanitarian Assessment in Urban Settings, Technical Brief. Paul Currión for ACAPS (2015)	Phases: All disaster phases. Sectors: Multiple sectors.	Not specifically designed for conflict contexts. References the importance of a conflict lens, providing numerous question prompts, case studies and examples.
Cash Transfer Programming in Urban Emergencies. Cross and Johnston for CaLP (2011).	Although developed as a guide to implementing cash transfers in urban contexts, Topic 1 of the toolkit includes a guide on how existing assessment tools can be applied to urban contexts. The section also provides guidance on urban mapping and defining urban communities, and vulnerability criteria.	Phases: All disaster phases. Sectors: Multiple sectors.	Not specifically designed for conflict contexts. References the importance of a conflict lens, providing numerous case studies and examples.
SADC RVAA (Regional Vulnerability Assessment and Analysis) Urban Vulnerability Assessment and Analysis Guidelines (WFP 2015).	The purpose of the guidance document is to support Member State NVACs (National Vulnerability Assessment Committees) with a harmonised framework for integrating a range of tools and approaches for vulnerability assessments in urban and peri-urban contexts. For the SADC RVAA (Regional Vulnerability Assessment and Analysis) Programme, the main objective is to support harmonised VAA in both rural and urban areas.	Phases: All disaster phases. Sectors: Food Security and Nutrition.	Not specifically. Annex 5 (Hazard mapping and response strategies) includes tools that document when conflict took place and the impact that it may have had on vulnerability.
REACH Assessment Tools (http://www.reach-initiative.org/tag/assessment)	REACH combines the utility of modern information technology with tailored assessment methodologies, tools and processes that are adapted to each emergency context and to the requirements of aid actors and coordination mechanisms. There does not appear to be one approach to assessments or a specific methodology as such.	Phases: All disaster phases. Sectors: Multiple sector and single sector depending on context and request.	Reach assessment tools can be and have been adapted to conflict contexts.
Joint IDP Profiling Services Essential Toolkit (JIPS JET) http://jet.jips.org/	JET is a compilation of generic tools and guides for profiling exercises in IDP situations. The JET represents the JIPS best practice tools and assessments (stored in PARK - Profiling and Assessment Resource Kit http://www.parkdatabase.org/) an independent database. JIPS JET includes a household questionnaire for use in paper or electronic formats (on a hand-held device). JIPS's online data analysis platform DART (Dynamic Analysis and Reporting Tool http://www.dart.jips.org/) is a great resource enabling the visualisation of assessment findings and data analysis.	Phases: All types of emergency, post-crisis phase involving displaced and host populations. Sectors: Multiple sector and single sector depending on context and request.	Not specifically conflict-focused. The focus is more on displacement. However, the questionnaire or suggested focus Group discussions could be modified to accommodate this.

aligned to data collection platforms also facilitates faster analysis of large volumes of data. The JIPS-DART¹⁷ tool is an example of a web-based data management system that allows the visualisation and exploration of profiling data online. JIPS also provide assessment formats suitable for use on platforms such as Kobo.

REACH and JIP's assessment tool, JET (JIPs Essential Toolkit), demonstrate how more recent assessments in urban conflict and post-conflict contexts are being tailored, using specialist knowledge, skills and modern approaches such as satellite imagery and mapping technology, hand-held data collection devices and data analysis packages. Although not specifically designed for urban contexts, these two tools are listed in Table 3.1 due to their flexibility and application in urban areas.

3.1.2 Needs assessment tools: strengths, weaknesses and gaps

On analysis of all available needs assessment tools (see Annex C), the following overarching strengths, weaknesses and gaps have been identified and summarised, see Figure 3.1. Creti (2010) provides more detailed analysis, providing an overview of strengths and weaknesses of specific urban adapted/specific food security assessment tools.

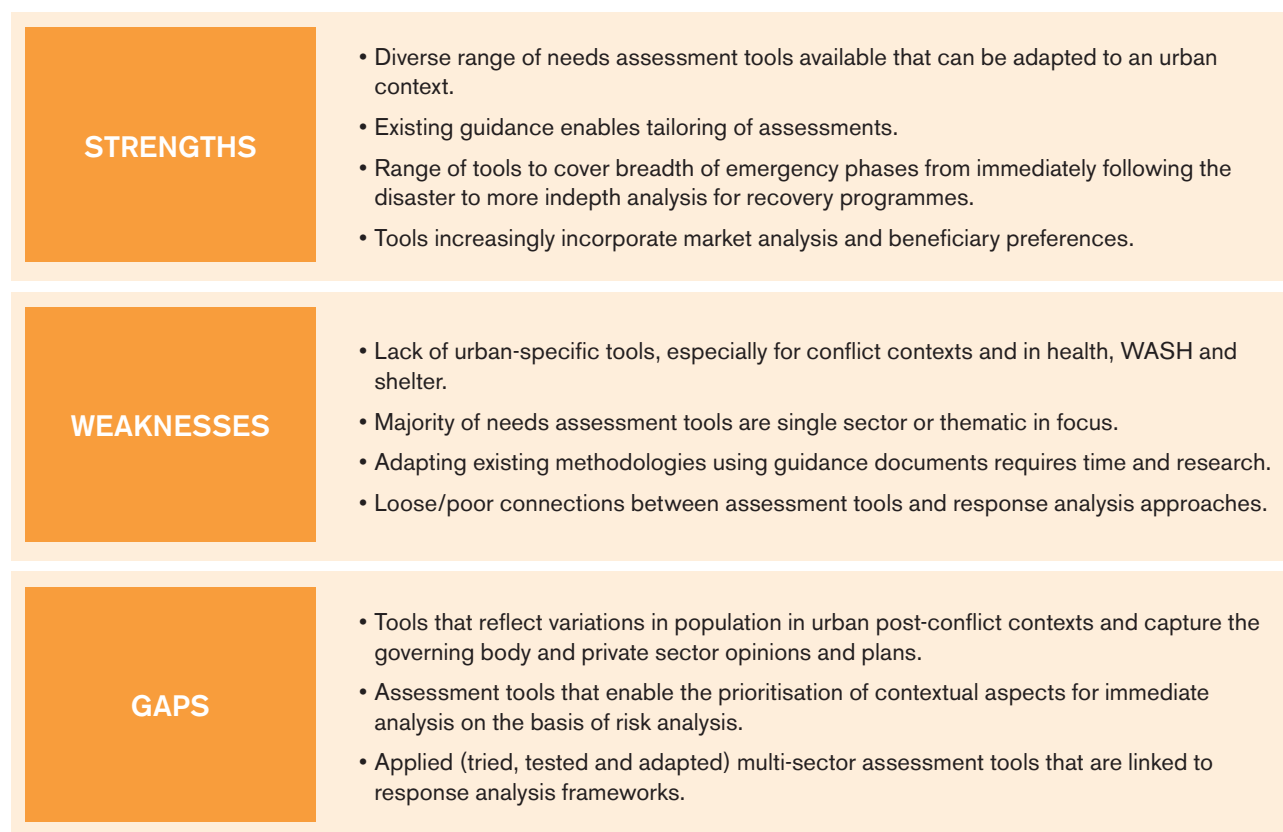
3.1.3 Needs assessment tools: work in progress

On the basis of key informant communication and the Inter-Agency Standing Committee Reference Group 'Meeting Humanitarian Challenges in Urban Areas' work plan for 2015–2016 (see Annex B), the following projects (see Table 3.2) are under way in relation to assessments. Please note that despite the efforts to capture work in development, this list may not reflect all work in this regard.

3.1.4 Needs assessment tools: a reflection

Despite the plethora of needs assessment tools, especially in food security and livelihoods, there is a gap with regard to urban multi-sector needs for post-conflict contexts. In an update of the 2010 IASC audit of urban food security and livelihood needs assessment tools the author states: *'There are more desk reviews and cataloguing than the development, testing and standardization of tools', reflecting the need within the sector to develop and test tools* (Nyemah 2015: 4).

Figure 3.1: Needs assessment: strengths, weaknesses and gaps



¹⁷ Dynamic Analysis and Reporting Tool.

Table 3.2: Needs assessment tools: work in progress

PRODUCT	EXPECTED OUTCOME	STATUS	LEADING AGENCY
Rapid City and Neighbourhood Profiles (Syria)	Rapid multi-sectoral urban assessment methodologies to assess up-to-date impacts of crisis on cities for the Syrian context (Homs, Aleppo, Dara'a and Latakia and neighbourhood profile for Old Homs).	Ongoing	UN Habitat
Adapting to an Urban World	'Adapting to an Urban World' to develop a toolkit of vulnerability indicators, food security assessment tools and guidelines and an early warning system specific to urban settings. The tools will be piloted across various urban contexts with case studies developed to capture lessons and contribute to guidance materials.	Ongoing	GFSC ¹⁸ and WFP/VAM ¹⁹ (in collaboration with 7 other international agencies)
NRC	NRC is in the process of finalising the development of a multi-sector needs assessment tool for urban areas and displaced populations.	Ongoing. Piloted in Ethiopia in 2015	NRC

ACAPS, an organisation specialising in assessments acknowledging the gap in urban assessments have developed guidance on how to undertake good enough humanitarian assessments and technical briefs for assessing in urban areas (ACAPS 2014; Currión 2015). However, these are guidance documents and not complete approaches with templates that take the user from needs assessment to response analysis and targeting. Over the duration of the desk review the following recommendations in relation to needs assessment content were identified and are listed in no specific order:

- **Poor inclusion of contextual/situation analysis in needs assessments.** Needs assessments and subsequent analysis (and their application in response analysis) would benefit from a better understanding of the wider operational context, and the wider situation in which the displaced populations originate and reside in. There appears to be a lack of robust and consistent analysis of the political economy, governance structures or power dynamics in the tools applied.
- **Identification of priority needs across sectors.** Multi-sector needs assessments could be used to prioritise needs across sectors informing immediate responses and guide more detailed sector-specific assessments. This is the approach the MIRA aims to undertake within the first weeks of an emergency. The value of understanding household needs from

a holistic multi-sector approach, as opposed to a single sector silo approach, is gaining momentum. This has been largely due to the rise of cash transfer programming and multi-purpose cash grants²⁰ in particular.

- **Nuances between displaced population types needed.** Assessments should provide data needed to have an understanding of the nuances between different types of displaced populations across sectors within a city. Agencies need to be able to distinguish between displaced population groups within a city to enable the identification of types and scale of needs. Some groups may already have urban coping mechanisms and 'city skills'; others may have been displaced into a city for the first time (Crawford *et al.* 2010).
- **Identifying sources of urban vulnerability and diversity in needs across urban population groups.** The identification of immediate needs of crisis-affected people tends to be based on a presumed link between vulnerability and social identity, therefore overlooking the underlying sources of acute and chronic urban vulnerability between distinct population groups such as the urban poor and IDPs. This tends to be the case when displacement is of a protracted nature and both categories compete for the same finite resources and jobs (Brown *et al.* 2015).

¹⁸ Global Food Security Cluster

¹⁹ World Food Programme Vulnerability Assessment and Mapping Unit

²⁰ 'Multipurpose Cash Grants are **unrestricted** cash transfers that 'place beneficiary choice and prioritisation of his/her needs at the forefront of the response'. MPGs recognise that people affected by crisis are not passive recipients of aid who categorise their needs by sector. Any provision of direct assistance (whether cash, voucher or in-kind) is a form of income for aid recipients, who must make difficult decisions to prioritise various and changing needs over time' (ERC 2015).

- **Capturing the voices and needs of the vulnerable.** Needs assessment methodologies may not capture the voices and needs of vulnerable groups, for example urban IDP needs tend to be less understood. This includes those affected by disability (physical and psychosocial) and those excluded for economic, ethnic and religious reasons. Humanitarian agencies have better developed skills and mechanisms for identifying refugee needs compared to IDPs (Brown *et al.* 2015).
- **Urban mapping is vital and informative.** Mapping should become a vital and very informative part of urban assessments (and monitoring of needs) especially in dynamic contexts such as those affected by conflict (Parker and Maynard 2015). The Caerus 'Mapping the conflict in Aleppo, Syria' project provides area-specific data on needs and the evolving context in relation to conflict and other humanitarian determinants such as market closure and assistance access and coverage.²¹ The REACH Initiative has also harnessed the potential of satellite imagery and mapping in shelter and WASH needs assessments, although these approaches have not been documented as a specific approach.
- **Include local government as a potential target in needs assessments.** The capacity and needs of local governments is not well included in needs analysis and is vital for response analysis. Tools developed for the development sector such as USAID's programme 'Making Cities Work' Toolkit could be adapted and utilised for humanitarian contexts. The Toolbox includes assessment methodologies, implementation toolkits, and other resources for three core areas: Managing Municipal Service Delivery, Municipal Finance Services, and Local Economic Development (USAID).
- **The use of tailored assessment approaches created by professionals for specific contexts.** The REACH Initiative is an example of an organisation with specialist skills that are being used by organisations including: UNICEF, UNHCR, The Shelter Cluster and IOM. '*REACH combines the utility of modern information technology with tailored assessment methodologies, tools and processes that are adapted to each emergency context and to the requirements of aid actors and coordination mechanisms to develop and implement context and sector specific needs assessment tools*' (REACH²²). In doing so, the complexity of a specific urban context, and the interests of an organisation, can be reflected in the tools developed. However, this approach does not render the role of a standard needs assessment tools that can be tailored accordingly obsolete.

3.2 Response Analysis Frameworks

3.2.1 Audit of existing frameworks

Although there is no formal definition of response analysis, it is understood to be the following (Maxwell *et al.* 2013):

- Being the link between situation analysis (where needs assessments are one of many sources of information) and programme design;
- Involving the selection of programme response options, modalities and target groups based on the information collected during situation analysis; and
- Decision making informed by considerations of appropriateness and feasibility, to simultaneously address the needs identified whilst analysing and minimising potential harmful side-effects.

Response analysis frameworks and processes should foster greater accountability and transparency in humanitarian response decisions as they should provide '*a way of linking situation analysis with response planning, conceptually, analytically and in terms of process – given prevailing institutional architecture. It must do this in a way that builds on existing processes, tools and frameworks and not re-invent them. It should avoid bias, foster dialogue and ensure an acceptable level of analytical rigour so that response options pass tests of appropriateness and feasibility*' (FAO 2011a: 13).

Therefore, response analysis process carries with it inherent consultation, collaboration and coordination obligations inside and outside an organisation, involving stakeholders that include governing bodies, donors, private sector entities and other implementing agencies. Decision makers have to consider available experience, resources, opportunities and response strategies and in doing so consider short-, medium- and long-term responses. As highlighted by Levine and Chastre (2011), response analysis requires the application of various '*lenses*' such as feasibility analysis (technical, political), cost efficiency and effectiveness and aspects relating to capacity (technical and resources) as well as acceptance of the community (targeted and non-targeted).

²¹ Visit <http://aleppo.firstmilegeo.com/> to see an online version of the report.

²² Visit: <http://www.reach-initiative.org/reach/about-reach/what-we-do> (6/4/2016)

BOX 3.2: HUMANITARIAN PROGRAMME CYCLE AND REFUGEE RESPONSE PLANS

The Humanitarian Programme Cycle (HPC) runs from assessment and analysis of needs to strategic response planning, resource mobilisation, implementation, monitoring and evaluation of operations. In both OCHA and UNHCR managed crisis,²³ needs assessment tools and needs assessment reports are utilised to inform strategic response planning and appeals.

In the case of refugee crises, sector leads in close collaboration with UNHCR undertake programme response analysis, developing a Refugee Response Plan (RRP). RRP are comprehensive inter-agency plans for responding to refugee emergencies and are a key feature of the RCM (Refugee Coordination Model) providing the vehicle through which leadership and coordination of a refugee response may be exercised. An RRP articulates the protection and solution priorities and describes the needs of refugees, host communities, and other persons of concern, states how and by whom these needs will be addressed, and defines the financial requirements of all the humanitarian actors involved. RRPs build on national preparedness measures and prior contingency plans.

A number of steps are followed in the development of a RRP in which the development of sector-level responses takes place under the leadership of the UNHCR Representative/Refugee Coordinator including:

- the convening of a core strategy group and establishment of a coordination structures;

- analysis of the situation and development of the overall planning assumptions that should guide the response, including protection priorities;
- convening of a multi-sector operations team that includes all sector co-coordinating agencies and the head of the Refugee Protection Working Group.

Sector-level planning and objective setting is undertaken under the high-level guidance of the Representative/Coordinator, utilising needs assessment findings and based on pre-identified protection priorities and strategic objectives. In doing so, this ensures that the collective response meets the needs of refugees and uses the capacity of all actors.

Sector plans should include: a sector-specific situation analysis including an overview of needs and vulnerabilities, overall planning figures for targeted populations (broken down by region or location where relevant, and disaggregated as a minimum by gender and age), identified key geographic locations in which partners should develop interventions and key assumptions that may affect the work of the sector (such as government policies, refugee-specific needs and protection related risks, security issues, etc.).

The RRP should be inclusive and involve all key actors, including representatives of the host Government, members of the UN/Humanitarian Country Team, development actors, and participating responders. Step-by-step guidance of developing RRP are available, with the roles and responsibilities of coordinators and sector leads clearly articulated.

Source: <https://emergency.unhcr.org/entry/65138/refugee-response-plans-rfps-interagency>

As can be seen in Table 3.3 there are only a handful of humanitarian response analysis frameworks, none of which have been developed specifically for urban contexts, and none following conflict. One recently developed response framework not included in Table 3.3 is the Situation and Response Analysis Framework (SRAF) published by Save the Children in 2015. The framework is not included due to its application in preparedness for slow onset disasters in arid and semi-arid environments, making it less adaptable to urban sudden onset post-conflict contexts.

However, in the development of a response analysis, it would be worth consulting to gain insights and lessons learned in response analysis approaches.

Although processes can be modified to specific contexts, due to the variety of elements specific to urban contexts, having an urban post-conflict response analysis framework may be judicious to ensure all key aspects are included. Table 3.3 below summarises the tools that can be adapted to urban contexts, although not necessarily for post-conflict contexts.

²³ To ensure humanitarian coordination is streamlined, complementary and mutually reinforcing, in 2014 UNHCR and OCHA signed the 'OCHA-UNHCR Joint Note on Mixed Situations: Coordination in Practice'. The documents articulates mutual roles and responsibilities, and outlines respective leadership and coordination functions in mixed situations: where a complex humanitarian emergency or natural disaster is taking place, a Humanitarian Coordinator has been appointed, and a UNHCR-led refugee operation is also underway <https://emergency.unhcr.org/entry/60930/refugee-coordination-model-rcm> (11/04/2016).

Table 3.3: Response analysis frameworks that can be adapted to urban post-conflict contexts

RESPONSE ANALYSIS FRAMEWORK	BRIEF DESCRIPTION	DISASTER PHASE AND SECTORS COVERED	CONFLICT SPECIFIC?
<p>Refugee Coordination Model (RCM); UNHCR</p> <p>UNHCR Handbook (online): https://emergency.unhcr.org/entry/60930</p>	<p>Sector leads undertake response analysis in close collaboration with UNHCR, developing the Refugee Response Plan. The role of UNHCR in ensuring an appropriate implementation of the response analysis process is not very clear (see Box 1 for additional information).</p> <p>OCHA follow a similar decentralised approach whereby cluster leads in consultation with their members identify responses.</p> <p>Although the RCM is not designed for urban contexts, it would utilise information from the analysis of urban contexts. However, there is no guidance on how to apply these processes to an urban context in which the stakeholders and contextual aspects such as conflict and protection may require greater sensitivity.</p>	<p>Phases: All refugee situations and throughout a refugee response, whether it is in a new or protracted emergency, or located in a camp, rural dispersed or in urban settings or in mixed situations.</p> <p>Sectors: Multiple sectors depending on results from needs assessments.</p>	<p>Inherently as UNHCR has a protection mandate. However, the NARE and related needs assessment guidance does not provide robust guidance on how to respond in such contexts.</p>
<p>Multi-Sector Response Analysis Framework (draft); Save the Children 2015 (not available online)</p>	<p>The MSRA is designed to facilitate the consolidation of sector assessment data into a multi-sector analysis process, and as such responsibility lies with sector specialists or assessment and analysis specialists, in line with standard humanitarian programme planning. Therefore, ensuring the engagement of any additional leadership and/or decision makers in the process. The MSRA is relatively new and has not yet been field tested.</p> <p>To be used in conjunction with the Operational Guidance and Toolkit for Multi-Purpose Cash Grants (ERC 2015).</p>	<p>Phases: All phases.</p> <p>Sectors: Multi-sector approach using expenditure basket calculations.</p>	<p>Not specifically. However, relevant tools are suggested.</p>
<p>Response Management Procedure; Save the Children 2016 (not available online)</p>	<p>Although not a framework per se, this procedure is designed to guide Response Team Leaders and Deputy Response Team Leaders through the key actions and processes of managing a Save the Children response, from launch to close or transition.</p> <p>Essentially an internal tool, providing step-by-step guidance and checklists to support the implementation of an accountable, quality and timely response. There is clarity as to who is involved in the various stages of developing a response strategy, however, less information on how the decisions related to responses are made.</p>	<p>Phases: All phases.</p> <p>Sectors: Multi-sector approach.</p>	<p>Not specifically. However, relevant tools are suggested.</p>

RESPONSE ANALYSIS FRAMEWORK	BRIEF DESCRIPTION	DISASTER PHASE AND SECTORS COVERED	CONFLICT SPECIFIC?
<p>Integrated Phase Classification (IPC);</p> <p>Food Security and Nutrition Analysis Unit (FSNAU) 2009</p> <p>http://www.fsnau.org/ipc/user-guide</p>	<p>The IPC tool is a standardised scale that integrates food security, nutrition and livelihood information into a clear statement about the severity of a crisis and implications for humanitarian response. Severity indicators include water access and health status. Aligned to the severity scale is a strategic response framework that varies according to the severity of the situation.</p> <p>The response options are aligned to the classification of the context and are broad in scope. The IPC approach requires consensus and buy-in from a range of actors.</p>	<p>Phases: All phases.</p> <p>Sectors: Mainly food security and livelihoods with some water and health.</p>	<p>Yes, although limited and dependent on the findings from needs assessments. Conflict is one of the indicators within the phase classification table.</p>
<p>FAO Response Analysis Framework (RAF);</p> <p>FAO 2011</p> <p>http://www.fao.org/fileadmin/user_upload/emergencies/docs/Response_Analysis_Framework_Discussion_Papers.pdf</p>	<p>The core of the RAF process involves multi-stakeholder meeting in which various responses are scored according indifferent categories in a 'Response Analysis Matrix'. Individual item scores are examined and the cumulative scores summed up. Any response with an individual score above a certain level is excluded from consideration. The categories for consideration are security, technical appropriateness, timeliness, capacity (technical and logistical), likelihood of adverse impacts, and budget. The Framework proposed under the RAF spans the conceptual, analytical and institutional space between situation analysis and response planning. The roots of the RAF are in situation analysis and the 'fruits' in response planning. The RAF has been designed to build on the outputs of the IPC where this is being used.</p> <p>In order to make the link with response planning, the RAF provides a tool for evaluating the appropriateness and feasibility of different response options. This tool is called the Response Analysis Matrix (RAM), on which there is mixed feedback, mainly due to the drawn-out consensus building processes involved.</p>	<p>Phases: All phases.</p> <p>Sectors: Mainly food security and livelihoods.</p>	<p>Yes, has been piloted in Somalia.</p>
<p>IDPS in Host Families and Host Communities: Assistance for hosting arrangements;</p> <p>Anne Davies UNHCR 2012</p> <p>http://www.refworld.org/pdfid/4fe8732c2.pdf</p>	<p>The documents provides a 'scenario framework' to guide decision makers in choosing the kind of assistance programme that is appropriate to their particular context. The overriding objective is to improve the protection of IDPs who opt to stay with host families rather than staying in camps, or who have little other choice because camps are not available.</p> <p>Response options and modalities are fairly generic and not detailed. Urban aspects are integrated in the document. The report recommends the development of a framework for future hosting assistance programmes.</p>	<p>Phases: The scenario framework is applied to stable, semi-stable and unstable contexts.</p> <p>Sectors: Multiple sectors depending on needs identified.</p>	<p>Not specifically - document and framework is orientated towards IDPs and host families.</p>

One tool listed in Table 3.3 that is not a framework per se, but considers multi-sector responses and includes valuable supporting documents is Save the Children's recently completed institutional Response Management Procedure. Documents supporting the process of response strategy development provide tips and examples of programmes with a multi-sector focus, encouraging users to consider interventions from a child protection or education lens in WASH and food security, for example. However, it lacks clarity as to the process of decision making regarding response programme choices and weighting of responses between sectors.

It is clear that UN agencies such as UNHCR play a key role in coordinating and undertaking needs assessments, response analysis, coordination and targeting, as articulated in Box 3.2, providing an intervention 'one-stop-shop'. However, recent Syria refugee crisis urban responses have highlighted the challenges faced by a single organisation undertaking all key roles in an impartial manner (Voon 2013). Box 3.3 reflects upon UNHCR in this regard, summarising a recent evaluation of its role in the Syria crisis response.

3.2.2 Response analysis framework: strengths, weaknesses and gaps

Save the Children (2015) identified the lack of response analysis frameworks in a recent draft document proposing a framework for multi-sector responses using cash transfers. They state that '*Multi-sector response analysis is challenged by different approaches to analysing needs and seeking solutions, but it presents an opportunity to consider "problems" as they affect populations, rather than "sector specific" needs*' (Save the Children 2015: 1).

FAO's work on developing a response analysis framework for food security and livelihoods included a mapping of existing frameworks alongside a reflection of the learning from their application. The document states that although response analysis is supposed to be incorporated into all programme design choices, there is in fact limited evidence of this even in organisations that have developed their own tools (FAO 2011b). This includes:

- The rapid/pre post disaster needs assessment (PDNA) process led by the Needs Assessment Task Force, chaired by OCHA. Weaknesses to this approach are outlined by FAO (2011b) and include: the lack of technical response analysis in the processes used to develop emergency and recovery plans.

BOX 3.3: CONFLICT IN SYRIA RESPONSE; REFLECTIONS FROM UNHCR'S EVALUATION

The conflict in Syria and displacement of refugees to mainly urban contexts has highlighted gaps that require consideration in response analysis. A recent evaluation of UNHCR's response provides some reflections relevant to response analysis including:

Coherent response: The importance of developing a coherent, longer-term refugee response strategy under a set of common objectives that facilitates effective response coordination across all stakeholders.

Local communities/ government: The local/ hosting governments and communities play a significant role in identifying, providing and delivering responses. The needs of host communities and local governments should be considered and included as a response.

Capacity of local services and economy: Understanding the capacity of local economies and infrastructures is vital in response analysis due to the

impact displaced populations, their activities and the humanitarian assistance that they receive has on the economy and available (and potentially insufficiently resourced) services. Considerations of the potential impact on costs of living, access to employment and community relationships and complex protection needs (which vary across population groups) is needed.

Information is a vital response: Establishing outreach and information provision services that reach scattered and invisible populations.

Legal and policy frameworks: Understanding legal frameworks with regards access and use of land and housing is a required in response analysis as are elements related to policies related to social protection.

Source: Voon 2013

- The PDNA is also chaired by OCHA. This takes a multi-sector perspective, identifying inter-relationships and dependencies between sectors. However, limitations include a lack of analytical framework, difficulties in reaching consensus and prioritising actions.²⁴
- Consolidated Appeals Processes (CAPS) are also implemented by OCHA. In 2005 OCHA unsuccessfully introduced the Needs Analysis Framework (NAF) tool to try and improve the identification of multi-sector humanitarian needs. The NAF failed due to a number of reasons including poor and inconsistent use as it was not mandatory, and challenges in prioritising response options.

On analysis of the available response analysis frameworks, Figure 3.2 summarises strengths, weaknesses and gaps that should be considered in assessments and response analysis in urban conflict contexts. Box 3.3 highlights some learning related to response analysis and strategy development from the conflict in Syria.

3.2.3 Response analysis framework: work in progress

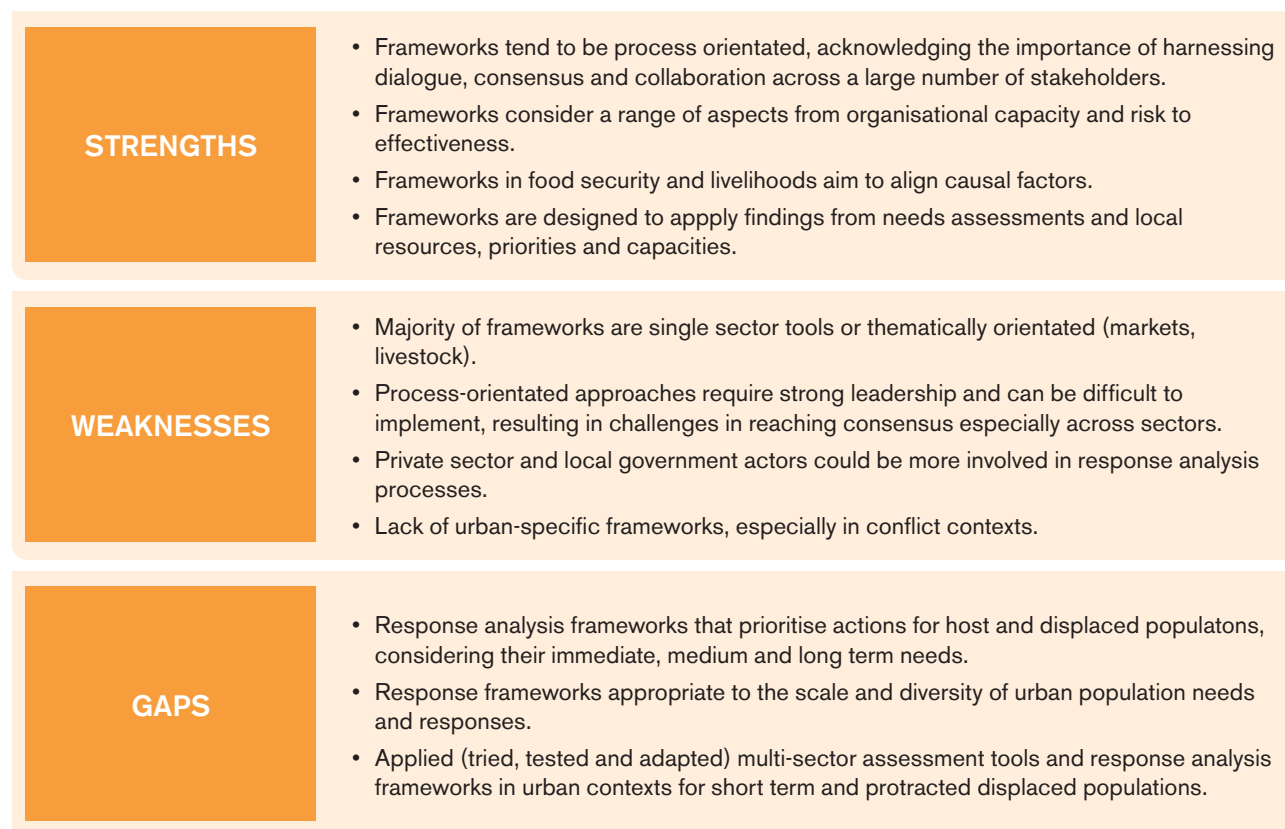
On the basis of key informant communication and the Inter-Agency Standing Committee Reference Group 'Meeting Humanitarian Challenges in Urban Areas' work plan for 2015–2016 (see Annex B), the following projects (see Table 3.4) are under way in relation to response analysis frameworks. Please note that despite the efforts to capture work in development, this list may not reflect all work in this regard.

3.2.4 Response analysis frameworks: a reflection

In undertaking the desk review the following reflections in relation to response analysis frameworks were identified and are listed in no specific order:

- **Proof of response analysis value lies in its application.** The value of response analysis will only be seen when the humanitarian sector has evidence

Figure 3.2: Response analysis framework: strengths, weaknesses and gaps



²⁴ For a detailed list of limitations see page 11 of FAO (2011b).

Table 3.4: Response analysis frameworks: work in progress

PRODUCT	EXPECTED OUTCOME	STATUS	LEADING AGENCY
Addressing Displacement due to Urban Violence	New tools and guidance for adapting operational responses to populations displaced by urban criminal violence based on analyses in Mexico and other Central American cities NRC/IDMC, Sebastian Abuja (Sebastian.Abuja@nrc.ch)	Ongoing	NRC/Internal Displacement Monitoring Centre (IDMC)
Preparedness Guidance for Economic Security	Develop and field-test preparedness guidance for food and security and livelihoods responses to conflict in urban areas.	Ongoing	British Red Cross
NRC	NRC is in the process of developing a response analysis framework aligned to the multi-sector needs assessment tool for urban areas and displaced populations.	Ongoing, to be piloted in Ethiopia in 2017	NRC

of better responses as a result of their application (FAO 2011a). This places an onus on humanitarian evaluations including a reflection of decisions relating to programmes implemented and response analysis processes undertaken, elements that are a key component of ALNAP's 'Evaluation of humanitarian action' (ALNAP).

- **Response analysis frameworks have to be fit for purpose for an urban context.** In doing so, they need to be able to accommodate the scale of an urban response and reflect the number of people that should be part of the discussions (O'Donnell *et al.* 2008: 13).
- **Frameworks could foster collaboration in addition to coordination and cooperation between humanitarian actors and governing bodies and the private sector (FAO 2011a; Creti 2010).** Opportunities to collaborate with the private sector are often overlooked, despite the importance of the sector to the lives and livelihoods of the affected population. The contribution of the private sector to Typhoon Haiyan in the Philippines bares testament to this, supporting the rehabilitation of supply networks among other actions (Brown *et al.* 2015). Urban contexts offer more opportunities to collaborate with the private sector (banks, financial institutions) through market interventions (e.g. cash, vouchers).
- **The necessary burden of process.** Response analysis frameworks can be very process orientated involving a large number of processes, tools, key stakeholders and requiring strong leadership, without which the process can fail.²⁵ As with the FAO RAF,

the Multi-Sector Response Analysis Framework (MSRAF) is designed to facilitate the consolidation of sector needs assessment data into a multi-sector analysis process. Therefore the responsibility to undertake this process lies with sector specialists or assessment and analysis specialists, in line with standard humanitarian programme planning. However, there is need to ensure the engagement of additional leadership and/or decision makers in the process (Save the Children 2015).

- **Governing body role in response analysis is overlooked.** The importance of involving governing bodies in urban response analysis, especially in the case of displaced populations, should not be overlooked and can be budgeted and planned for, as in Colombia (Brown *et al.* 2015). Creti underlines the importance of local government involvement in response analysis in promoting the sustainability of responses, harnessing synergies and reducing duplication (Creti 2010).
- **As frameworks tend to be sector and/or thematic specific, this makes it hard to identify priorities between sectors (FAO 2011b).** Inspection of a list of response analysis tools and decision trees by Maxwell *et al.* (2013) indicates a significant number of either modality or sector-specific tools. Only three process-orientated tools were available at the time of their review, two of which were developed by WFP and FAO (included in this desk review) and another by Oxfam that is fairly generic in nature. Recently developed market analysis tools such as Oxfam's EMMA,²⁶ the Red Cross and Red

²⁵ Maxwell *et al.* (2013) indicate the number of processes and tools involved in food security response analysis as well as the number of factors requiring consideration including organisational capacity and risk (see Figure 1 p. 8 and Figure 3 p. 24).

²⁶ Emergency Market Mapping and Analysis

Crescent's RAM,²⁷ WFP's Market Analysis Framework, and CARE US's MIFIRA,²⁸ include response analysis frameworks and decision trees. However, as these are related to market analysis, they only provide one angle in situation analysis and cannot be used in isolation of other response analysis considerations. An additional thematic example is LEGS²⁹ in which the response analysis step uses a Participatory Response Identification Matrix, a tool designed to facilitate discussions with local stakeholders in order to identify appropriate livestock-based responses. There do not appear to be examples of UNOCHA's severity ranking scale being applied in urban contexts to identify the severity of needs, undertake response analysis and design programme activities.

- **Common conceptual frameworks are needed.** A lack of common conceptual or casual framework affects the capacity of agencies to implement complementary multi-sector interventions and identify appropriate responses. FAO reflect that '*... a common conceptual framework and appropriate coordination mechanism can help to ensure that the targeting and sequencing of activities provide mutual reinforcement*' (FAO 2005: 68). The FIVIMS³⁰ framework aims to do this, aligning the causal pathways of nutrition and food security, seen as a complication in inter-sectoral collaboration required to address under-nutrition (Levine and Chastre 2011). WFP have developed a food security and livelihoods conceptual framework as part of their assessment methodology and one that acknowledges the role of markets in achieving food security (WFP 2009a; WFP 2009b).
- **Urban legal frameworks are challenging.** Understanding of legal frameworks including displaced person status, land tenure and property rights are challenges in designing appropriate

humanitarian aid responses (Feinstein International Center 2012). Working within the confines of existing legal frameworks is a challenge, especially when there is an overlap between modern and traditional, written and oral rights in practice (Grünewald *et al.* 2011).

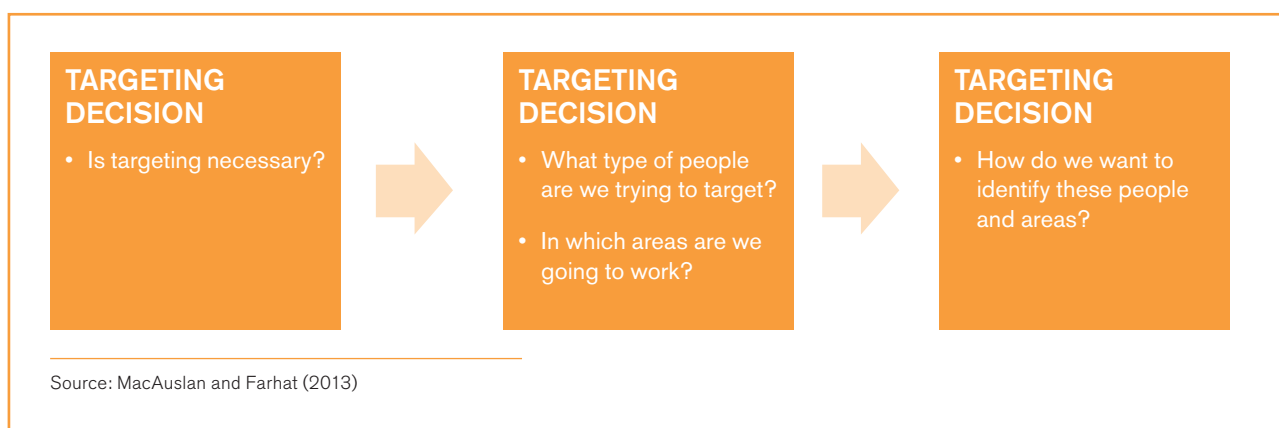
- **Conflict analysis lens is needed.** Response analysis should include conflict analysis to ensure response neither exacerbates or causes conflict or divisions between populations (Creti 2010). The complexity of power dynamics and cultural differences cannot be overlooked, especially in contexts where displaced populations originate from more than one location and where there may be a history of differences and/or clashes.

3.3 Approaches for Targeting

3.3.1 Audit of existing guidance on targeting approaches in urban contexts

Targeting is a way to focus scarce resources on the populations that need support most. Targeting on an emergency programme involves making three major decisions as outlined in Figure 3.3. Targeting comes at the end of the response analysis process that defines the parameters of the intervention. Identifying appropriate targeting criteria and methods will draw on information gathered during needs assessments concerning the geographic, livelihood, demographic and other characteristics of the populations affected by the disaster, as well as being informed by the risk assessment during response analysis.

Figure 3.3: Stages of the targeting process



²⁷ Rapid Assessment for Markets

²⁸ Market Information and Food Insecurity Response Analysis Framework

²⁹ Livestock Emergency Guidelines and Standards

³⁰ Food Insecurity and Vulnerability Information Management

Targeting is not appropriate in every situation, such as the immediate aftermath of a crisis. However in almost all emergency responses, targeting is necessary at some stage. When taking into consideration the urban context, population concentration and size, alongside a reduction in global funding, targeting of assistance in urban contexts will be of greater importance (MacAuslan and Farhat 2013; UNHCR 2016).

It is also becoming increasingly clear that practitioners implementing responses in urban areas generally find targeting the 'most vulnerable' more methodologically and logistically challenging than in rural areas, and studies on this subject have identified several reasons for this:³¹

- Large, dense and fluid populations and a lack of up-to-date data on the urban poor and/or vulnerable populations such as IDPs in most cities.
- The multi-dimensional and dynamic nature of urban vulnerability and extensive chronic poverty in urban areas mean that i) different socio-economic and demographic vulnerabilities co-exist and ii) whilst emergency conditions may transform vulnerability into acute and life threatening situations, it is difficult to identify this within the prevailing day-to-day impoverishment of living conditions.
- The complex pattern and spatial distribution of urban vulnerability means that communities that humanitarian actors seek to target are often geographically fragmented and widely dispersed across a city.
- Some of the most vulnerable urban groups, including refugees and IDPs, or those living in informal settlements are often unregistered/lacking formal ID (and some wish to remain so).
- Urban communities tend to be less cohesive and without clearly designated authority figures, and finding someone to credibly represent the multiple elements within the urban community is difficult.

As pointed out by CaLP in their Urban Toolkit for CTPs, *'best practice in urban targeting requires clear definition of urban-specific vulnerability criteria, a selection process that prioritises the neediest families, and a verification process that can ensure that exclusion and inclusion errors are corrected transparently and quickly'* (Cross and Johnston 2011). Given the challenges listed above, guidance in these areas is clearly of great importance.

As highlighted by MacAuslan and Farhat in their review of targeting approaches in EFSL programmes, most experience with targeting approaches in emergency responses is with food security, livelihoods and nutrition programmes as emergency shelter and WASH activities are more likely to focus at the community level and blanket target wider communities.³² This is also reflected on the findings of this desk review, which uncovered guidance documents, reviews of targeting approaches and ongoing initiatives relating to either the food security and livelihoods sectors or to multi-sector programmes.

Indeed MacAuslan and Farhat reflect that experiences of targeting in urban emergencies are not yet well developed. In their review of documentation they identified no specific guidelines for targeting in urban emergency programmes. This is backed up by the findings of this desk review, which identified only a few guidance documents relating to targeting, some of which have been developed specifically for urban contexts. These are summarised in Table 3.5. A detailed overview of these documents is provided in Annex D. Most have not been developed specifically for conflict/post-conflict contexts but would be applicable to such emergencies. We have included MacAuslan and Farhat's review of targeting in urban contexts here. Whilst published as a report rather than a guidance document it is a useful resource as i) it collates and documents the experiences, best practices and (in some cases) tools developed for targeting on urban programmes by various humanitarian agencies and ii) gives detailed guidance on targeting approaches, best practices and steps to consider when targeting in urban contexts.

³¹ See MacAuslan and Farhat (2013); Grünwald *et al.* (2011); O'Donnell *et al.* (2008); IASC (2010); Creti (2010); Cross and Johnston (2011); Sanderson and Knox-Clarke (2012); MacAuslan and Phelps (2012); and Smith and Mohiddin (2015) for more detailed review.

³² MacAuslan and Farhat (2013) state that some types of interventions (such as shelter or water interventions) are not typically targeted on individuals (but may be targeted on areas) because targeting would reduce the effectiveness of the intervention as disease control requires universal coverage within a geographical area. These interventions are often at a systemic level – such as putting chlorine in water in camps, and providing water supply to an entire camp or area.

Table 3.5: Overview of targeting guidelines

PUBLICATION	DEVELOPED BY	URBAN-SPECIFIC?	CONFLICT RELEVANT?
Draft Operational Guidelines for Targeting (2016)	UNHCR	No – designed for use in all emergency contexts but no mention of urban contexts.	Yes – though only limited specific guidance provided.
Urban Toolkit for Cash transfer Programming (2011)	CaLP	Yes	Should be applicable to any emergency context including conflict settings.
Operational Toolkit for Multi-Purpose Grants (MPGs) (2015)	ERC project	Not specific to urban but MPGs have been conceived in urban displacement contexts and much of the learning underpinning these guidelines will be from relevant contexts.	Explains that MPGs can be used regardless of context – urban and rural, rapid and slow onset, chronic and acute crises, and natural and complex disasters. As such the guidance is relevant for all, but should be informed by a context-specific Situation and Response Analysis.
Review of Urban Food Security Targeting Methodology and Emergency Triggers (2013)	OPM report for Oxfam and ACF. MacAuslan and Farhat (2013)	Urban-specific guidance.	Draws on examples across emergency contexts including natural disaster, economic shocks and conflict/protracted crises.
Emergencies in Urban Settings: A Technical Review of Food-based Program Options (2008)	USAID	Yes – though not only guidance related to targeting but rather the whole project cycle.	Designed to be relevant for sudden-onset natural disasters, protracted conflict or governance-related insecurity and slow-onset economic crises. Little specific guidance provided relating to conflict environments.
Targeting in Emergencies (2006)	WFP	No mention of urban environments, challenges or solutions.	General guidance applicable to all emergency contexts. Specific advice in relation to conflict settings given in some places.

Several other urban-focused reviews of humanitarian practices include lessons and best practice guidance on targeting (Creti 2010; O'Donnell *et al.* 2008). These are not included in the review of tools but their findings are taken into account in the findings cited in sections 3.3.1 and 3.3.2.

These documents introduce a number of common targeting approaches, or mechanisms, for use in urban contexts, which are summarised in Box 3.4.³³

³³ This review follows the definitions of UNHCR (2016); ERC (2015) and Cross and Johnston (2011), which consider household survey-based mechanisms (through census/PMT survey) to be forms of administrative targeting (whereas in USAID (2008), O'Donnell *et al.* (2008) and MacAuslan and Farhat (2013) these mechanisms are classified separately).

BOX 3.4: SUMMARY OF TARGETING CRITERIA AND APPROACHES IN URBAN CONTEXTS

Criteria

Most targeting approaches in urban contexts will use variations of the following indicators:

- Food security. Household hunger score and dietary diversity are comparatively easy and fast to measure, though can be hard to get reliable information.
- Demographic indicators. Often (but not always) relevant and quite easy to collect.
- Livelihoods and income. Income is critical in urban areas but hard to measure directly, hence the use of proxies. Questions on type of employment are more likely to succeed and are often useful. Questions on debt are important but can be unreliable and sometimes ambiguous.
- Expenditure. Highly relevant but hard to collect and time consuming. Proxies are better.
- Assets and housing. Easy and reliable because can be verified by visiting targeting teams, but not always well correlated to poverty following an emergency (therefore weakening the usefulness of proxy means tests).
- Nutritional status. Reliable and highly relevant but can be expensive to collect.
- Health status. Relevant but not always reliable.
- Receipt of assistance from formal or informal sources. Usually highly relevant but can be difficult to interpret in contexts where informal sharing is very common.

Source: MacAuslan and Farhat (2013)

Approaches

- Geographic targeting. Beneficiaries are selected on basis of geographic location by poorest or most vulnerable districts.
- Self-targeting. Beneficiaries 'self-select' to participate. Aspects of programme design encourage target group to participate and others not to.
- Community-based targeting. Beneficiaries are identified through community leaders' knowledge based on vulnerability criteria predetermined by community (using categorical indicators).
- Administrative targeting. Beneficiaries are selected from a population list using standard observable criteria. Often makes use of quantitative mechanisms such as means testing and proxy means testing (below).
- Means testing (where beneficiaries are selected on basis of income, expenditures, wealth, or assets).
- Proxy means testing and/or scoring (where beneficiaries are selected on basis of observable characteristics that are strong indicators of poverty and/or vulnerability) and which are used to develop a household score.
- Institutional targeting. Beneficiaries are selected based on affiliation with a selected institution.

Source: MacAuslan and Farhat (2013), O'Donnell *et al.* (2008) and UNHCR (2016)

3.3.2 Targeting approaches and guidelines: strengths, weaknesses and gaps

The strengths and weaknesses of the various targeting approaches applied in urban contexts have been documented in several of the aforementioned guidance papers plus a number of review papers (USAID 2008, O'Donnell *et al.* 2008; Cross and Johnston 2011; IASC 2010). The conclusions are consistent across the

documents reviewed and are summarised in Table 3.6. All guidance and reviews point to there being no single approach which is 'best' for urban contexts, rather all have pros and cons according to the context and it is likely that several approaches will need to be used simultaneously.

This review also assessed the strengths, weaknesses and gaps in the existing guidance and these findings are summarised in Figure 3.4.

Table 3.6: Documented strengths and weaknesses of targeting approaches in urban contexts

APPROACH	ADVANTAGES	DISADVANTAGES
Community-based targeting	<p>Community engagement</p> <p>Not limited to small number of proxy criteria.</p>	<p>Difficulties in defining what constitutes a 'community'.</p> <p>Community cohesion weak in urban areas and lack of accountable community structures with knowledge of the vulnerable.</p> <p>Risk of exclusion of marginal social or political groups or new arrivals.</p> <p>Social pressure on those representing the community.</p>
Self-targeting	Avoids time and resource expenses of other targeting approaches.	Risk of significant leakage to those who are less vulnerable.
Geographical targeting	<p>Easy and quick.</p> <p>A pragmatic first stage of targeting in order to focus resources.</p>	Low targeting accuracy if vulnerable households are widely dispersed.
Administrative targeting	<p>Simple to use when lists are available.</p> <p>Can reduce risk of bias if selection is undertaken by an independent authority (e.g. humanitarian agency).</p>	<p>Risk of exclusion if lists are incomplete or out of date.</p> <p>Prone to exclusion if community leaders undertake selection.</p>
Means testing	High potential targeting accuracy where such data can be obtained.	<p>Time/resource intensive; requires detailed (registration/ other) data for, or census of, all potential beneficiaries.</p> <p>Accurate data on income is difficult to obtain. Expenditure data may be better.</p>
Proxy means testing (PMT)/use of score cards	<p>Provides an objective approach to selecting beneficiaries.</p> <p>Easy to implement once proxies and scoring formulas are identified.</p> <p>Multi-proxy targeting increases targeting accuracy.</p> <p>Could enable use of national poverty scorecards in contexts where these have been developed, for consistency and coordination with national approaches.</p>	<p>Time and resource intensive; requires detailed (registration/other) data for, or census of, all potential beneficiaries.</p> <p>Risk of exclusion errors if proxies do not capture true vulnerability.</p> <p>Complex to identify suitable proxies and design surveys and may require statistical/ econometric expertise.</p> <p>PMT identifies indicators that are good predictors of consumption expenditure poverty that does not provide a comprehensive picture of urban poverty and vulnerability such as isolation, remoteness and poor social capital.</p> <p>Hard for the population to understand why they have or have not been selected.</p>
Institutional targeting	Relatively easy – only institutions are selected and beneficiaries are those that attend the institution	Excludes people that are vulnerable but who are not registered to receive services at targeted institutions eg IDPs,

Source: adapted from MacAuslan and Farhat (2013) incorporating findings from UNHCR (2016); IASC (2010); USAID (2008); Creti (2010); ERC (2015); O'Donnell *et al.* (2008); Cross and Johnston (2011); and Grünewald *et al.* (2011)

Figure 3.4: Strengths, weaknesses and gaps in the targeting guidance

<p>STRENGTHS</p>	<ul style="list-style-type: none"> • There is no 'right' or 'wrong' approach to targeting, rather detailed guidance is provided on the pros and cons of different approaches to inform agency decision making. • Guidance and checklists are provided for each targeting activity of the programme management cycle from determining appropriateness of targeting to establishing targeting criteria, identifying eligible cases and managing errors. • Several of the guidance documents are urban specific.
<p>WEAKNESSES</p>	<ul style="list-style-type: none"> • Whilst most are designed for use in multiple emergency contexts including conflict/protracted crises there is little if any guidance relating specifically to the needs and challenges in these contexts. • Majority of guidance is oriented to food security and livelihoods sectors. ERC (2015) guidance is the first focusing on multi-sector approaches. • Whilst a couple include simple SOPs and examples of tools/templates that can be adapted by agencies, the guidance does not provide technical details on the 'how to do' which would be useful particularly for targeting through score cards which can be complex.
<p>GAPS</p>	<ul style="list-style-type: none"> • Guidance on development of vulnerability maps. • Guidance on how to do political economy (or power) analysis around vulnerable groups, in order to identify and develop targeting strategies that acknowledge power imbalances and better ensure the inclusion of 'hidden' and socially or politically marginalised groups. • Technical guidance on how to design and implement administrative targeting systems based on household profiling or surveys.

3.3.3 Targeting approaches: work in progress

This review identified the following projects under way in relation to urban targeting. These are summarised in Table 3.7. Please note that despite the efforts to capture work in development, this list may not reflect all work in this regard. The targeting initiatives in relation to the Syrian refugee crisis response in the MENA region have been extensive and are summarised in Box 3.5.

Table 3.7 Summary of ongoing targeting initiatives

INITIATIVE	EXPECTED OUTCOME	STATUS	LEADING AGENCY
Comparing the Proxy Means Test (PMT) and VaSyr ³⁴ for targeting urban refugees (Lebanon)	Defining statistical methods to identify economic vulnerability in the urban displacement contexts of the Syria refugee crisis response.	Ongoing (operational since end 2014)	UNHCR/ World Bank
Developing the Vulnerability Assessment Framework (VAF) for targeting urban refugees (Jordan)	A lessons learned document is publically available (Sharp 2015). This aims to document the process and capture the viewpoints and reflections of the people involved, and to examine emerging issues and lessons which should be considered in future guidance and operations. No further technical guidance has been developed (Sharp 2015).		
Improving Systems to Assess and Target Household Vulnerability in Cash Transfer Programming (Turkey)	Defining non-statistical methods to identify economic and protection vulnerability in the contexts of the Syria refugee crisis response. A weighted vulnerability index was used to compute a vulnerability score for each household based on questionnaire responses. A lessons learned document is publically available, which contains the targeting tool in the Annex (Armstrong and Jacobsen 2015).	Ongoing (operational since 2014)	DRC
Defining indicators of vulnerability to slow onset crises in urban areas (Kenya)	The project is designing indicators sensitive to changes in the urban context that have a predictive capacity and a surveillance tool to enable frequent and routine monitoring of the urban situation, in order to develop thresholds to trigger early action and identify hotspots for geographical targeting. The project is compiling evidence to influence government and donor policy. It has produced newsletters providing updates on progress and lessons learned. Final report and guidance are planned.	Ongoing since 2013	Concern Worldwide Kenya
Targeting refugees through national safety net programmes (Turkey)	Plans to pilot provision of cash assistance to Syrian refugees in Turkey through the national Conditional Cash Transfer programme, following standard or slightly adapted targeting procedures (eligibility criteria and methods) used on the national programme for identifying beneficiaries. No guidance is planned at the present time.	Ongoing since Feb 2016. Approach still TBC	UNICEF
UNHCR/WFP joint operational guidance on targeting (global)	Both agencies are in the process of developing organisational tools and guidance to assist their operations in the targeting process and the aim is to align these as much as possible so as to develop a common approach to targeting. The draft UNHCR Targeting Guidelines listed in section 3.3.1 (Table 3.5) is the first output from this. WFP will produce a Reference Kit on Targeting (UNHCR/WFP 2016). These are not urban specific.	Ongoing	UNHCR/WFP

³⁴ Vulnerability Assessment Syrians

BOX 3.5 STATISTICAL APPROACHES TO TARGETING BASED ON ECONOMIC VULNERABILITY IN JORDAN AND LEBANON

In 2014 in Lebanon and Jordan, UN and other agencies worked together to develop a common methodology for defining vulnerability and therefore targeting multi-sector material assistance through common criteria. A major goal of the work was to improve understanding of economic vulnerability for the targeting of cash assistance. This is a relatively new approach in refugee contexts. In both contexts the aim was to undertake statistical analysis of UNHCR's ProGres database³⁵ and existing household surveys to develop an index of weighted indicators and a formula to give each household an overall score, to more objectively determine inclusion/exclusion of households on cash assistance programmes.

UNHCR engaged technical support from the World Bank econometricians in both countries, who reviewed the household survey data. Vulnerability in both contexts was commonly defined as 'economic vulnerability', or 'welfare' to use the World Bank terminology, measured by household expenditure.

Jordan provides an illustration of the process. There, efforts focused on developing a common multi-sector Vulnerability Assessment Framework (VAF) for targeting, led by the VAF Steering Committee. The World Bank established a poverty line of estimated per capita expenditure of less than 50JD. A workshop of all stakeholders in Jordan came up with a standard set of 16 or 17 questions. These indicators were then tested with refugee focus groups and most of them were considered relevant. Regression analysis then identified which combination of variables had the highest predictive value for expenditure and identified 6 or 7 indicators which could be taken as proxies for expenditure. This included house crowding, the debt-to-expenditure ratio, family size, coping strategies to meet basic food needs, the saving ratio, and income per capita. This was used to develop a standard VAF questionnaire with a core set of questions and UN agencies encouraged partners to use this, to which they can add sector-specific questions as needed. In this way the VAF tool was incorporated into household visits (about 20,000 – or 18 per cent – of household visits were made with the VAF questionnaire. The VAF questionnaires were entered into the database and algorithms produce a score for each household.

In Lebanon UNHCR established the Interagency Targeting Task Force (TTF). However, several different indexes were proposed. World Bank worked with UNHCR to develop a PMT based on proxy indicators identified through statistical analysis of almost 30,000 household records that correlated to expenditure. This led to inclusion of family size, disability-adjusted dependency ratio, shelter type, occupancy type, toilet type, luxury assets, basic assets, extreme negative coping, and number of working adults in the PMT.

Simultaneously WFP were investing in their VASyr verification index in Lebanon. This also uses proxies, but instead of being for expenditures are proxies of multi-sectoral vulnerability. Indicators have been developed based on a mix of expert opinion and statistical analysis. The VASyr index is made up of sub-indexes of multiple indicators regarding economic vulnerability, education vulnerability, food security, health score, NFI, protection vulnerability, shelter score, and WASH. Those indicators from the VaSyr that correlated with economic vulnerability as defined by expenditure included family size, dependency ratio, and single headed household.

In the end the approach taken was to develop a 'minimum' questionnaire that included expenditures and proxy indicators and use of the PMT for agencies targeting cash assistance, along with full VaSyr verification for those targeting food assistance. The PMT formula was effectively a 'reduced' VaSyr formula that focuses on economic vulnerability (rather than broader vulnerabilities described by the VaSyr).

This can be compared to approaches in neighbouring Turkey, where agencies did not have the capacity to devise a vulnerability formula or apply statistical analysis, and instead developed an index based on expert opinion and using scores that could be easily adjusted with input from non-technical staff.

Source: UNHCR (2014a); (2014b); Sharp (2015); Armstrong and Jacobsen (2015)

³⁵This is UNHCR's IT platform for registering and managing data on refugees.

3.3.4 Targeting approaches in urban areas: a reflection

In undertaking the desk review the following reflections in relation to targeting were identified:

There is no one best way to target. Rather, as emphasised by Sharp (2015), targeting 'advice' should present options that can be selected based on context, resources and capacity available. Sharp (2015) recommends that for each of these options, the advantages and risks should be highlighted and risk mitigation strategies proposed. More than one targeting tool and process may be used, to triangulate the decision and to catch needy people who fall through the net. Sharp also recommends that it is also possible to combine continuous (e.g. economic scores) and categorical (e.g. protection/demographic) targeting criteria.

In a displacement setting, and in urban settings, community-based targeting will need to be adapted. The essential step of understanding who represents the 'community', to ensure inclusion of potentially marginalised groups, is problematic in urban contexts (Sharp 2015; MacAuslan and Phelps 2012; MacAuslan and Farhat 2013; Smith and Mohiddin 2015). Also if standardised targeting criteria are needed (e.g. if one poverty line or MEB is to be used across a large refugee population), this is not compatible with empowering local communities to decide criteria. However, there are ways in which both refugee and host communities can still participate in targeting, such as ground-truthing concepts of vulnerability through validating indicators or criteria from statistical analysis or expert task forces; developing the Minimum Expenditure Basket; testing questionnaires (ERC 2015; Sharp 2015; MacAuslan and Farhat 2013).

Consider the time and resources that are required to improve targeting approaches. The ERC paper and other reviews highlight that the complexity and the resource requirements of collecting, managing and analysing reliable socio-economic survey data had been widely underestimated both within UNHCR country offices and by their implementing partners (Sharp 2015; Maunder *et al.* 2016; UNHCR/WFP 2016). As highlighted by Sharp, a great deal of the time and effort spent on targeting in the MENA region involved profiling the population and choosing targeting criteria. This is an essential component of the targeting system, but it is only one component. Many stakeholders involved did not realise at the beginning that the extensive data-collection and analysis exercises undertaken would not directly result in a useable targeting tool

(i.e. questionnaire or scorecard) and this led to widespread frustration at the perceived slowness of the process. The cost of data collection can also run to hundreds of thousands of dollars. These costs need to be considered in relation to the potential benefit of improved targeting, and the value of the transfer.

Sharp reported that in Lebanon stakeholders were frustrated that the indicators used in the final formula were very similar to those that would have been used in traditional vulnerability targeting (family size, dependency ratios and living conditions) and did not feel that the elaborate process constituted value for money. A related challenge identified in Jordan was that this extensive process gives households a score according to their economic circumstances at a point in time, but economic vulnerability is a dynamic concept meaning other households will fall into poverty and/or become extremely poor in the future. However, updating registers of the most vulnerable as and when household circumstances change requires repeated rounds of data collection, which is time consuming and expensive (Sharp 2015). This is a challenge that is well known in the social protection sphere where social assistance programmes have used score-based mechanisms to target the poor and vulnerable (Smith 2016; MacAuslan and Farhat 2013; Smith and Mohiddin 2015).

Need for investment in capacities. As highlighted in several papers, the development of economic targeting criteria in the Syria crisis by UNHCR relied on significant assistance from the World Bank, in methods of econometric analysis (i.e. identifying reliable predictors of consumption poverty through statistical analysis) and applying a PMT approach well tested in poverty-reduction programmes. Such skill sets are not common in humanitarian agencies. It was reportedly difficult for non-specialists to engage with the debates and decision making around the highly technical analytical models (Armstrong and Jacobsen 2015; Maunder *et al.* 2016; Sharp 2015; UNHCR 2014a; UNHCR/WFP 2016). Sharp recommends that UNHCR should consider establishing a cadre of experts within the organisation who could be called on as needed to provide more consistent technical support. Furthermore despite the intense time and effort that has gone into developing these approaches in the MENA region there is as yet no guidance on 'how to' develop and implement economic targeting criteria that could be used to implement the same approach elsewhere. Sharp reports that some of this will be addressed under UNHCR's forthcoming 'Use of Income and Expenditure Data in Socio-economic Targeting' guidance (Sharp 2015).

Integration of protection concerns into economic targeting of refugees. The discussions in the MENA region on targeting cash assistance for urban refugees drew consensus on targeting the ‘economically vulnerable’, defined as people who, for lack of money, are unable to meet their basic needs. Whilst this group is very likely to overlap with people who are ‘at-risk’ in terms of UNHCR’s protection criteria it is not identical. UNHCR aim to develop operational guidance to bring out protection considerations more centrally in general and to provide examples on targeting using socio-economic indicators through a protection lens (UNHCR/WFP 2016; Sharp 2015).

Targeting refugees in urban areas through national social protection systems is not necessarily straightforward. UNICEF’s feasibility study outlines a number of challenges in using targeting criteria designed for a particular purpose (in this case the identification of poor and vulnerable families with children) to achieve these new objectives (identification of vulnerable refugees). Furthermore the methods used to identify households fitting these criteria may not be directly applicable to the refugee caseload on account of time and capacity constraints.³⁶

The use of scores and thresholds are not well understood by communities and can generate complaints. One lesson learned from Lebanon and Jordan is that when working with a ‘score’ it is important to find a balance and allow for some exceptions when vulnerable households are borderline. Sharp cites the example of the appeals process in Lebanon which re-included 23 per cent of cases who appealed after being excluded from food assistance, based on a household interview, and an additional 5 per cent were re-included based on the subjective evaluation of team members including protection staff. In Turkey, evaluation of DRC’s targeting approach found that in cases where households excluded based on small decreases in their vulnerability scores were called individually, and had the reasons for their exclusion explained to them, they overwhelmingly reacted in a more understanding way. This emphasises the importance of explaining the system to beneficiaries as well as host communities.

There are benefits and limitations seen in the process of developing targeting multi-sectoral assistance through proxy means testing in Lebanon and Jordan (UNHCR 2014a; 2014b; Sharp 2015; Maunder *et al.* 2016).

Benefits identified include:

- The ProGres data were demonstrated to be useful in targeting poor refugee households without a household visit, something that can then reduce the cost of targeting without compromising accuracy. Meanwhile targeting criteria using both ProGres and household data derived from statistical analysis are allowing for more accurate targeting of cash assistance (95 per cent predictive value).
- The process improved understanding of refugee vulnerability and the characteristics that predict whether or not a household is likely to be able to meet its basic needs.
- It contributed to a refined understanding of food insecurity – that it is largely but not entirely the result of economic vulnerability.
- It allowed for the testing of assumptions about ‘traditional’ vulnerability indicators including female headed households and households with disabled members.

Limitations and challenges include:

- Agencies have experienced challenges in the development of a common framework for targeting (specifically there are differences in the analytical methods of World Bank and WFP for identifying the ‘most vulnerable’, despite conceptual linkages between approaches). Household food security is a function of economic access to food, and whilst food assistance contributes to overall household budgets, there is some overlap in the conceptualisation of vulnerability of these two organisations. However, the analytical methods are very different. In Jordan WFP bought into the welfare score through the VAF whereas in Lebanon WFP had invested heavily in developing the VASyR. Whilst effectively targeting the economically vulnerable and, by proxy, a large proportion of the food insecure, the PMT formula does not include food security indicators. In the end a dual targeting system was developed in Lebanon that combined the PMT and the VaSyR.

³⁶ Smith (2016) provides further detail.

- It is recognised that the development of proxy indicators for vulnerability in urban contexts requires a new way of thinking– in terms of cash or equivalents – which works for generic material assistance (cash, vouchers, NFIs). However those developed to date have proved not so useful for sectors such as WASH in that the economic vulnerability score does not tell you which households to help. However, it does provide information on the geographic spread of households with a high chance of facing WASH-related problems, to inform strategy.
- Socio-economic data is normally collected and analysed on the basis of a household unit, which can be defined in a variety of ways (e.g. people who ‘eat from the same pot’) but is basically the smallest economic unit within which income, assets, food supplies, shelter etc. are shared. UNHCR, however, registers refugees as a ‘case’, usually the principal applicant plus dependents. As such a ‘household’ (people living together and pooling resources) may be comprised of multiple cases. ProGres data are collected at individual level and grouped into cases. It is technically possible to combine cases to give household-level data, but the challenge is establishing which cases are living together as households. This issue has caused confusion and potentially targeting errors at assessment interviews (Sharp 2015).

4

Key Conclusions and Recommendations

The development of tools for needs assessment, response analysis and targeting relevant in urban and post-conflict contexts evidently still necessitates investment. The following overarching conclusions and recommendations can be drawn:

Urban programming is taking place but tools and guidelines are lagging behind. Many multi-sector displaced population needs can be met through markets. This has implications for urban response programming, with growing interest in multi-sector approaches, the provision of multi-purpose cash grants to meet all manner of needs, and targeting based on 'multi-sectoral' economic vulnerability. However, development of tools or guidelines to support this is lagging behind. For example, frameworks tend to be sector and/or thematic specific, making it hard to identify priorities between sectors, whilst targeting approaches that have been invested in the MENA region have not been translated into detailed guidance for the sector.

With this in mind, **urban developed tools and approaches should take into consideration the opinions and needs of key stakeholders (such as governing bodies, employers and service providers) as well as hosting, non-displaced populations.** As displaced population urban programmes increasingly support non-displaced populations and local government structures and service providers that facilitate access to basic needs, the inclusion of these actors in assessments, response analysis and targeting processes is required.

There is a need to move forward with developing and standardising urban tools on the basis of tried and tested approaches, creating templates for tools that can be tailored per context.

In the food security sector, a follow-up of a desk review of urban tools concluded that deliberative tool development, field testing and standardisation (especially harnessing the skills and approaches of various agencies) was still lacking, compared to the undertaking of desk reviews and cataloguing (Nyemah 2015). It is important to take stock of what exists but there is a need to go beyond this, to take action to fill the gaps identified.

Urban needs and response analysis tools and approaches developed have to be coherent due to their interdependency in as much that most of the information required for good response analysis and targeting can be collected in needs assessment data and operational contextual analysis, especially that related to the political economy and power dynamics. Ensuring that these approaches and tools relate to one another could result in a more cost-efficient approach. For example, as stated by FAO *'Improved Response Analysis and Planning is itself limited by the quality of situational analyses and needs assessments'* (FAO 2011a: 12), and it can be supposed that targeting methods are also limited in this regard.

Investment in assessments, response analysis and targeting must strike a balance between accuracy, timeliness and cost. Although this is not an urban-specific recommendation, it is particularly valid in urban humanitarian contexts since the dynamism of urban contexts and highly mobile urban populations (such as refugees) demands the use of tools that enable quick decisions. Ensuring that there is availability of sufficient, updated, good enough information regarding the needs, gaps and priorities and immediate future trends following any shock can be a challenge. ACAPS reviews of four recent disasters (Nepal, Syria, Nigeria and Ebola-affected countries) indicate varieties of information gaps (Benini *et al.* 2016). However, compilation of data on needs is a time consuming and costly process that can prevent a rapid response. Similarly in the case of targeting in urban areas, good approaches take time, resources and good preparedness (MacAusland and Farhat 2013). Efforts to develop approaches based on the extensive household surveys or proxy means tests can improve objectivity and perhaps also accuracy but is very costly and time consuming, which must be taken into consideration when deciding approaches. In their report Benini *et al.* propose that such compromise may be the best approach: 'if an assessment covers the areas affected (and the affected social groups living there), speaks to key concerns of preserving life and dignity, enables comparisons by areas, social groups or sectors, and is available within useful time, then its information is sufficient' (Benini *et al.* 2016: p.13).

Monitoring and evaluation processes must capture evidence of effectiveness, efficiency and relevance of new urban tools and approaches to improve the uptake of response analysis and of new targeting approaches in urban contexts.

The contribution of these tools and processes must be measured in terms of the extent to which they improve the overall effectiveness of responses. Humanitarian evaluations should include a reflection of decisions relating to programmes implemented, response analysis processes undertaken and targeting approaches (timeliness, cost and inclusion and exclusion errors) to enable this valuable advocacy and awareness raising.

Specialist organisational leadership in coordinating need assessments, response analysis and targeting approaches in complex, protracted post-conflict urban contexts is required. This not only ensures that specialist resources from organisations are utilised, but also to ensure that what is 'good enough' is applied. This is already happening in an ad hoc manner with UNHCR taking a lead in the development of targeting approaches based on economic vulnerability and in coordination with WFP to align this with targeting approaches for food assistance. In urban displacement contexts they are therefore a natural stakeholder to take the lead in such coordination.

Community awareness of urban tools and approach development could be improved to harness cross-fertilisation, piloting and application of new approaches. Despite warm and timely responses from the IASC and gFSC in undertaking this desk review, a challenge was faced in accessing sufficient information related to ongoing and/or planned work in urban post-conflict contexts. The authors are in favour and see the benefit of specialist groups undertaking specific pieces of research and development, but would encourage greater transparency via discussion groups and learning portals, such as ALNAP's urban portal.

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Annex A

Stakeholders contacted

NO	KEY INFORMANT NAME	ORGANISATION / POSITION
1	Paul Currion	Urban consultant
2	Patrice Chataigner	ACAPS Assessment lead
3	Liz Babbister	Habitat for Humanity
4	Joseph Ashmore	IOM
5	Marina Angeloni	Food Security Urban Cluster
6	Gaia Vanderesch	IMPACT
7	Esteban Leon	UNHABITAT
8	Michelle King	Part of the targeting systematic review – Stanford University
9	Assanke Koedam	JIPS
10	Quentin Legallo	NRC Nairobi
11	Matthew Wencel	REACH
12	Isabelle Pelly	CaLP Technical Coordinator and involved in all ERC grant tool development in Lebanon
13	Paula Armstrong	DRC
14	Louisa Seferis	DRC
15	Joanna Friedman	UNHCR
16	Carla Lacerda	UNHCR
17	Kerren Hedlund	Independent, previously UNHCR cash lead
18	John McHarris	WFP VAM
19	Sara Pavanello	ODI
20	Jenny Lamb	Oxfam WASH – TwiG Markets lead
21	Jake Zarins	Habitat for Humanity
22	Sam Carpenter	British Red Cross urban delegate
23	Alan Brouder	Habitat for Humanity, Urban Crises Learning Manager
24	Jessica Saulle	SCUK/Senior advisor EFSL

Websites researched

WEBSITES:		
1	Cash Learning Partnership	www.cashlearning.org
2	UNHCR Emergency Information Management Toolkit	http://data.unhcr.org/imtoolkit/
3	ALNAP	http://www.alnap.org/what-we-do/urban
4	PARK database (part of JIPS)	http://www.parkdatabase.org/
5	World Bank	http://www.worldbank.org/en/topic/urbandevelopment/publication/urban-risk-assessments
6	USAID - Making cities work website	http://www.makingcitieswork.org/toolkit
7	IIED website	http://www.iied.org/
8	ERC project samepage website	Restricted access

Annex B

Inter Agency Standing Committee Working Group Subsidiary Bodies

Update on progress and upcoming priorities January 2016 Reference Group: Meeting Humanitarian Challenges in Urban Areas

Work Plan for 2015–16

STRATEGIC OBJECTIVE	INTERVENTION AND INTENDED RESULT/ PRODUCT	EXPECTED OUTCOMES OF INTERVENTION	IMPLEMENTING AGENCIES	UPDATE JANUARY 2016	PRIORITIES FOR 2016
Strategic Objective 1. Develop Operational Strategies early-on that ensure multi-stakeholder partnerships for enhanced coordination, impact and effectiveness of humanitarian assistance in urban areas	1a. World Humanitarian Summit Urban Segment: Enhanced Coordination	<p>1a. New norms and guidelines for support to humanitarian agencies to improve humanitarian operations in urban areas through better coordination with critical urban partners at community, local government, private sector and external development partner levels and through building upon related SDGs.</p> <p>UN-Habitat, Filip Decorte; OCHA/NY, Kathryn Yarlett, Hansjoerg Strohmeyer</p>	1a.UN-Habitat (lead), OCHA, IASC	Urban Alliance is leading on the coordination of humanitarian, development and governance stakeholders within the framework of the WHS.	<p>Launch of Urban Alliance in March 2016.</p> <p>Organisation of side events during the WHS focusing on urban responses.</p> <p>Follow-up on WHS recommendations post-May 2016.</p>
	1b. Community Outreach and Coordinated Service Delivery in Urban Responses	<p>1b. Pilot a new operational approach for community outreach to facilitate assistance and protection of affected urban populations through community engagement, coordination and service delivery.</p> <p>UNHCR, Annika Sjoberg (sjoberg@unhcr.org/Steven Corliss (corliss@unhcr.org)</p>	1b. UNHCR, gCCCM Cluster	<p>UDOC has been established:</p> <ul style="list-style-type: none"> • Dedicated WG in place. • Pilots close to finalisation, lessons learned. document to be finalised by early 2016. • Multi-stakeholder training to be piloted in Gaza. 	
	1c. Settlement strategy guidance	<p>1c. Guidance to country clusters on enabling an area/settlements approach through the cluster-related tools and mechanisms incl. SRPs, the intercluster coordination process, cross-cluster interventions, etc.</p> <p>IFRC, Graham Saunders (Graham.Saunders@ifrc.org), Shaun Scales (scales@unhcr.org)</p>	Global Shelter Cluster		

STRATEGIC OBJECTIVE	INTERVENTION AND INTENDED RESULT/ PRODUCT	EXPECTED OUTCOMES OF INTERVENTION	IMPLEMENTING AGENCIES	UPDATE JANUARY 2016	PRIORITIES FOR 2016
Strategic Objective 2. <i>Strengthen Technical Capacity for Emergency Response in Urban-based Challenges</i>	2a. Improved Post-Disaster Urban Informal Housing Responses	2a. Recommendations of good practices and increased awareness of humanitarian actors in disaster response and prevention in urban informal housing. IDMC/NRC-CH, Sebastian Abuja (Sebastian.Abuja@nrc.ch)	2.a. IDMC		
	2b. Online self-learning on post-disaster shelter and settlements	2b. No fee self-learning course widely available on different platforms to raise awareness and understanding of post-disaster shelter and settlement issues including in urban areas. Graham.Saunders@ifrc.org	2.b Global Shelter Cluster		
Strategic Objectives 3. <i>Develop or Adapt Humanitarian Approaches and Tools</i>	3a. Housing Policies and Practices in Support of Durable Solutions for Urban IDPs	3a. Best Practices to support achievement of durable solutions for urban internally displaced persons by making available to policy makers and practitioners comparative analyses of approaches, policies and practices that have improved tenure security and housing and can guide the design, funding and implementation of housing policies/programmes in urban settings. IDMC/NRC, Barbara McCallin (Barbara.Mccallin@nrc.ch), Huma Gupta (guptah@mit.edu)	3a. IDMC with MIT-DRAN (Displacement Research and Action Network)		
	3b. Rapid City and Neighbourhood Profiles (Syria)	3b. Rapid multi-sectoral urban assessment methodologies to assess up-to-date impacts of crisis on cities, developed in Syrian context for Homs, Aleppo, Dara'a and Latakia, and neighbourhood profile for Old Homs. UN-Habitat, Szilard Friczka, Andre Dzikus	3b. UN-Habitat		

STRATEGIC OBJECTIVE	INTERVENTION AND INTENDED RESULT/ PRODUCT	EXPECTED OUTCOMES OF INTERVENTION	IMPLEMENTING AGENCIES	UPDATE JANUARY 2016	PRIORITIES FOR 2016
<p>Strategic Objectives 3. Develop or Adapt Humanitarian Approaches and Tools (cont.)</p>	<p>3.c Urban displacement profiling tools and approaches</p>	<p>3c.1. Improved capacity of humanitarian community to conduct urban profiling of displacement situations, with particular focus on survey methodology in urban settings.</p> <p>3c.2. Development of a comprehensive urban profiling approach to facilitate coordinated and evidence-based responses to urban displacement situations.</p> <p>UN-Habitat: Szilard Friciska; JIPS: Natalia Baal; FIC: Karen Jacobsen</p>	<p>3c.1 JIPS</p> <p>3c.2. UN-Habitat, JIPS, Feinstein International Centre</p>	<p>JIPS urban profiling guidance launched in 2014 and continuous dissemination during 2015, including urban profiling coordination training materials and delivery.</p> <p>Support provided to urban profiling exercises in Somalia, Honduras, Iraq, Yemen and elsewhere.</p> <p>A technical workshop organised in Beirut, Lebanon in November 2015 to discuss urban data challenges and refine project objectives.</p>	<ul style="list-style-type: none"> Continued availability of JIPS support for partners in urban settings. Delivery of regional and global training with integrated urban profiling element. <p>Launching the project, including desk review of existing urban analysis methodologies and tools; development of new, consolidated profiling approaches; piloting in different urban contexts.</p>
	<p>3d. Systematic sharing and uptake of good urban refugee programme practices</p>	<p>3d. Ensure the systematic sharing and uptake of new ideas, approaches, tools and good practices through the promotion and maintenance of the Urban Good Practices website (www.urbangoodpractices.org) as a rich resource of good practices from urban settings targeting practitioners.</p> <p>UNHCR, Annika Sjoberg (sjoberg@unhcr.org)</p>	<p>3.d. UNHCR and Urban Refugee Task Team</p>	<p>JIPS urban profiling webinar conducted in Nov 2015.</p>	
	<p>3e. Indicator Development for Surveillance of Urban Emergencies – Next Phase</p>	<p>3e. New set of thresholds established to determine the earliest point of entry of humanitarian assistance to avert crises and to graduate urban communities in Kenya. Indicators and thresholds to be determined with potential replicability to other urban areas with potential crises.</p> <p>Concern-Kenya, Wendy Erasmus (Wendy.Erasmus@concern.net)</p>	<p>3.e. Concern Kenya; Red Cross Kenya, Somalia and Ethiopia; World Vision; UN-Habitat</p>	<p>In November, Concern set thresholds against which to analyse the data collected on urban emergencies indicators, and analysis is ongoing.</p>	
	<p>3f. CMAM Surge in urban settings</p>	<p>3f. Adaptation of the community management of acute malnutrition surge model in the urban context of Kenya.</p>	<p>3f. Concern Kenya</p>	<p>Funding secured from the START network; programme to be launched in the coming months.</p>	

STRATEGIC OBJECTIVE	INTERVENTION AND INTENDED RESULT/ PRODUCT	EXPECTED OUTCOMES OF INTERVENTION	IMPLE- MENTING AGENCIES	UPDATE JANUARY 2016	PRIORITIES FOR 2016
Strategic Objectives 3. Develop or Adapt Humanitarian Approaches and Tools <i>(cont.)</i>	3g. Shelter recovery/urban planning surge support	3g. Inclusion of dedicated technical capacity/expertise in shelter recovery/urban planning in country cluster coordination teams. (Graham.Saunders@ifrc.org)	3.g. Global Shelter Cluster		
	3h. Revised Health Equity Assessment Response Tool (HEART)	3h. Set of validated, standardised core indicators (health and non-health as determinants of health) for urban officials to identify and monitor inequities at neighbourhood level. New health emergency management module will be added. http://www.who.int/kobe_centre/measuring/urbanheart/en/ ; http://www.who.int/kobe_centre/en/ ; http://www.who.int/kobe_centre/measuring/en/ WHO, Alex Ross (rossa@who.int), Guillaume Simonian (simoniang@who.int)	3.h. WHO Kobe Center	HEART is being revised to include module on emergencies and urban responses, and will be finalised by end 2015. WHO-UNHABITA global report on urban health to published early 2016.	
Strategic Objective 4. Promote Protection and Conflict Mitigation among Vulnerable Urban Populations against Violence and Exploitation.	4a. City Labs for Safer Cities: Towards an Integrated Approach to Urban Safety and Peacebuilding	4a. Pilot programme to establish locally led innovative policies and practices to prevent and reduce violence and crime in 10 urban areas; to build lasting relationships between residents and authorities; and to facilitate exchange of best practice/ learnings across urban safety and peacebuilding expert communities in pre/post/current crisis contexts. UN-Habitat, Juma Assiago; Geneva Peace-building Platform, Achim Wennmann (Achim.Wennmann@graduateinstitute.ch)	4a. UN-Habitat, UNOG and Geneva Peacebuilding Platform		International Review Conference on Safer Cities +20 to take place in Geneva on 6–8 July 2016.
	4b. Addressing Displacement due to Urban Violence	4b. New tools and guidance for adapting operational responses to populations displaced by urban criminal violence based on analyses in Mexico and other Central American cities. NRC/IDMC, Sebastian Abuja (Sebastian.Abuja@nrc.ch)	4b. IDMC		
	4c. Peace-building through youth-led development activity	4c. Pilot programme building on early youth intervention led by UN-Habitat (One Stop Youth Resource Centers) and new research under way by World Bank and UN-Habita, the pilot will identify modalities for youth to be catalytic agents of positive change, with initial focus on internally displaced youth and urban youth refugees fleeing protracted conflicts. UN-Habitat, Dan Lewis and Doug Ragan	4c. UN-Habitat, World Bank, UNICEF		

STRATEGIC OBJECTIVE	INTERVENTION AND INTENDED RESULT/ PRODUCT	EXPECTED OUTCOMES OF INTERVENTION	IMPLE- MENTING AGENCIES	UPDATE JANUARY 2016	PRIORITIES FOR 2016
Strategic Objective 5. Restore Livelihoods and Economic Opportunities, including Food/Nutrition Security, in the Emergency Phase for Expedited Early Recovery.	5a. Adapting to an Urban World	5a. Ongoing project co-managed by the gFSC and WFP/VAM: 'Adapting to an Urban World' to develop a toolkit of vulnerability indicators, food security assessment tools and guidelines, and an early warning system specific to urban settings. The tools will be piloted in case studies across various urban contexts to capture lessons and contribute to guidance materials. WFP, Aysha Twose (aysha.twose@wfp.org)	5a. gFSC, WFP, UNHCR, IFRC, ALNAP, WVI, Samaritan's Purse, Oxfam, World Animal Protection		<ul style="list-style-type: none"> Finalise lessons learned and reports for Somalia and Haiti assessments. Consolidation of lessons from assessments to date. Fundraising for future project activities, including specific urban innovations and development of guidance.
	5b. Enabling Sustainable Livelihoods	5b. Roll-out of the Graduation Approach as a proven approach to building sustainable livelihoods to move affected populations out of extreme poverty through time-bound, sequenced interventions to meet basic consumption needs, build savings and develop livelihood assets. Approach enhances economic opportunities for displaced but also host communities. Based on pilots in Cairo and San Jose. UNHCR, Annika Sjoberg (sjoberg@unhcr.org) and Steven Corliss (Corliss@unhcr.org)	5b. UNHCR		Partners to further pilot this approach in other contexts (countries and timeframe to be confirmed).
Strategic Objective 6. Strengthen Preparedness and Resilience into Humanitarian Assistance Policies and Programmes for more Effective Emergency Responses and Save More Lives in Urban Areas	6a. Building More Resilient and Sustainable Cities in Post-Crisis Contexts and consistent with the Post-2015 Framework for Disaster Risk Reduction	6a. Programme of pilot projects to provide advisory/technical support and capacity building to partners and local authorities on urban risk reduction, preparedness, contingency planning, resilience, settlement rehabilitation and reconstruction by addressing immediate needs of land and tenure, shelter/permanent housing, environmental remediation, basic infrastructure rehabilitation and immediate economic recovery and restoration of livelihoods. UN-Habitat, Dan Lewis & David Evans	6a. UN-Habitat (lead) with World Bank, GFDRR, UNOCHA and IFRC		

STRATEGIC OBJECTIVE	INTERVENTION AND INTENDED RESULT/ PRODUCT	EXPECTED OUTCOMES OF INTERVENTION	IMPLEMENTING AGENCIES	UPDATE JANUARY 2016	PRIORITIES FOR 2016
Strategic Objective 6. <i>Strengthen Preparedness and Resilience into Humanitarian Assistance Policies and Programmes for more Effective Emergency Responses and Save More Lives in Urban Areas</i> (cont.)	6b. City Resilience Profiling Project	6b. More effective humanitarian-development planning and delivery based on verifiable assessments of resilience capacity and production of urban resilience action plans through addressing gaps/ weaknesses in urban systems, and capacity constraints with partners and local authorities. UN-Habitat, Dan Lewis and Filiep Decorte	6b. UN-Habitat (lead) with World Bank/ GFDRR, Rockefeller, IADB, C40, UNISDR, ICLEI, UCLG		
	6c. Fragile Cities Programme	6c. Improve humanitarian-development delivery effectiveness by introducing new mechanisms for linking humanitarian and development actors through an urban systems resilience framework. UN-Habitat, Dan Lewis & Filiep Decorte	6c. UN-Habitat (lead) with Rockefeller Foundation, World Bank and others (TBD)		
	6d. Preparedness Guidance for Economic Security	6d. Develop and field-test preparedness guidance for food and security and livelihoods responses to conflict in urban areas. British Red Cross, Sam Carpenter (Scarpenter@redcross.org.uk)	6d. British Red Cross and partners		

Annex C

Needs Assessments

URBAN GUIDANCE OR TECHNICAL SHEET TO AC-COMPANY EXISTING GUIDE-LINES	DESIGNED FOR URBAN CONTEXTS	NOT DESIGNED FOR URBAN CONTEXTS	NAME OF TOOL/ APPROACH/ METHODOLOGY, AGENCY (PUBLICATION YEAR)	BRIEF DESCRIPTION	USE IN WHICH PART OF THE EMERGENCY?	DESIGNED FOR POST-CONFLICT CONTEXTS?	ASSESSMENT CHARACTERISTICS:			WEBSITE	
							SECTORS COVERED*	INCLUSION OF MARKET ASSESSMENT COMPONENT?	METHODOLOGICAL ASPECTS OF NOTE		ADDITIONAL COMMENTS
Guidelines for Assessment in Emergencies' ICRC, IFRC (2008)				Community and Household levels of analysis. ICRC summary guidelines on the household economy approach. IFRC provides checklists on what to look at in two specific time periods: 24 hours, and 48–72 hours after a disaster.	Covers different depths of assessment, therefore useful for immediate aftermath and later assessments.	Not specifically designed for conflict contexts.	Multiple sectors	Highlights relevance and importance of inclusion of key elements. Detailed guidance on market assessment and analysis not included.	Lots of methodological guidance is made available as are data collection templates.	Does not contain lots of guidance for urban contexts. Diagrams and figures are more orientated to a rural context.	http://www.ifrc.org/Global/Publications/disasters/guidelines/guidelines-emergency.pdf
Multi Cluster Rapid Assessment Mechanism (McRAM) household and community questionnaires (Pakistan). McRAM was UNICEF initiated in 2008 and is now multi-agency initiative.				The aim of the project is to have a well-designed, multi-cluster assessment mechanism in place and a system prepared to implement this mechanism at very short notice. It is used to obtain accurate information about the ground reality in a post-emergency situation.	Sudden onset shock.	Not specifically designed for conflict contexts. Little/no questions related to conflict contexts.	Multiple sectors	Not in the questionnaire formats reviewed. A reviewed report: UNICEF <i>et al.</i> (2009) 'Assessment of Internally Displaced People (IDPs) from conflict affected areas of NWFP, Pakistan' only included scant market related information.	Household template more orientated towards a rural setting, but could be modified.	Not tested extensively (as far as we can tell – mainly Pakistan). Urban appropriateness is questionable. The McRAM project was commenced in Pakistan in March 2008 with the aim of designing a post-emergency assessment by utilising Personal Digital Assistant (PDA) technology.	http://documents.wfp.org/stellent/groups/public/documents/ena/wfp208647.pdf

URBAN GUIDANCE OR TECHNICAL SHEET TO AC-COMPANY EXISTING GUIDE-LINES	NAME OF TOOL/ APPROACH/ METHODOLOGY, AGENCY (PUBLICATION YEAR)		BRIEF DESCRIPTION		USE IN WHICH PART OF THE EMERGENCY?	DESIGNED FOR POST-CONFLICT CONTEXTS?	ASSESSMENT CHARACTERISTICS:			WEBSITE	
	DESIGNED FOR URBAN CONTEXTS	NOT DESIGNED FOR URBAN CONTEXTS	DESIGNED FOR URBAN CONTEXTS	NOT DESIGNED FOR URBAN CONTEXTS	SECTORS COVERED*	INCLUSION OF MARKET ASSESSMENT COMPONENT?	METHODOLOGICAL ASPECTS OF NOTE	ADDITIONAL COMMENTS			
			Comprehensive Food Security and Vulnerability Analysis (CFSVA) Handbook, WFP (2009a).	Guide to analyse food security status of various population groups over various parts of a country or region, to indicate underlying causes of vulnerability and recommend appropriate interventions. A CFSVA can provide a baseline profile of the food security and vulnerability situation of households in normal (pre-crisis) situations. Sensitive to special issues such as gender, HIV/AIDS and IDPs. Includes a broad range of vulnerability causes: physical vulnerability (disabled and those living with HIV/AIDS), socio-economic (women, children and other potentially disenfranchised groups), political (ethnic or gender discrimination), physical insecurity or limited governance (IDPs). CFSVAs are generally undertaken in partnership with other UN system agencies, government counterparts and key civil society organisations.	It is conducted at normal times, and not during a crisis, in countries in which the food-insecure 'normal' (stable) situation. Applicable in camps, host families, dispersed populations.	Although not specifically designed for conflict contexts, post-conflict contexts were considered as one of the situations in which the guidance may be used. Therefore the document highlights the importance of a conflict lens, providing numerous question prompts.	Food security related to livelihoods and underlying causes of vulnerability included.	Inclusion of market-related data is encouraged from initial desk review/secondary data analysis and throughout the document. A section suggests the relevance of market information to the CFSVA process and what type of market information needs to be collected and analysed for a CFSVA.	CFSVA application requires highly skilled and trained staff as well as time.	Advice on how to apply the CFSVA methodology to urban contexts is available throughout the document.	http://documents.wfp.org/stellent/groups/public/documents/manual_guide_proced/wfp203208.pdf

NAME OF TOOL/ APPROACH/ METHOD- OLOGY, AGENCY (PUBLICATION YEAR)	BRIEF DESCRIPTION	USE IN WHICH PART OF THE EMERGENCY?	DESIGNED FOR POST- CONFLICT CONTEXTS?	ASSESSMENT CHARACTERISTICS:			WEBSITE
				SECTORS COVERED*	INCLUSION OF MARKET ASSESSMENT COMPONENT?	METHODOLOGICAL ASPECTS OF NOTE	
URBAN GUIDANCE OR TECHNI- CAL SHEET TO AC- COMPANY EXISTING GUIDE- LINES	DESIGNED FOR URBAN CONTEXTS BUT ADAPTABLE	NOT DESIGNED FOR URBAN CONTEXTS					
Emergency Food Security Assessment Handbook (EFSA) WFP (2005)	An Emergency Food Security Assessment (EFSA) analyses the impact of a crisis on the food security of households and communities. An EFSA is conducted when a natural disaster, a conflict or an economic shock causes food insecurity due, for instance, to population displacements. An assessment can be triggered by a sudden event such as an earthquake or a flood or by a slow onset crisis, for example a progressive deterioration of the economic situation. An EFSA answers the following key questions: Does the crisis have an impact on the population's food security and their livelihoods? How severe is the situation? Has the level of malnutrition been exacerbated by the crisis? How are people coping? How many people are food insecure and where are they? An EFSA includes a forecast of how the situation may evolve and an analysis of possible food and non-food responses.	The EFSA can be in the form of an initial (6 to 10 days after the crisis), rapid (3 to 6 weeks after the crisis) or an in-depth (6 to 12 weeks) assessment.	Although not specifically designed for conflict contexts, conflict contexts were considered as one of the situations in which the guidance may be used. Therefore the document highlights the importance of a conflict lens, providing numerous question prompts, case studies and examples.	Food security (with a watch on malnutrition levels). A chapter of the EFSA Guidance document is devoted to understanding markets and their linkage to the food security of households.	Methodological approaches are suitable for most FS technical staff, enhanced by the availability of templates and formats.	Notes on urban considerations are included throughout the guidance document.	https://www.wfp.org/food-security/assessments/emergency-food-security-assessment

URBAN GUIDANCE OR TECHNICAL SHEET TO AC-COMPANY EXISTING GUIDE-LINES	NAME OF TOOL/ APPROACH/ METHODOLOGY, AGENCY (PUBLICATION YEAR)		BRIEF DESCRIPTION	USE IN WHICH PART OF THE EMERGENCY?	DESIGNED FOR POST-CONFLICT CONTEXTS?	ASSESSMENT CHARACTERISTICS:			WEBSITE	
	DESIGNED FOR URBAN CONTEXTS	NOT DESIGNED FOR URBAN CONTEXTS BUT ADAPTABLE				SECTORS COVERED*	INCLUSION OF MARKET ASSESSMENT COMPONENT?	METHODOLOGICAL ASPECTS OF NOTE		ADDITIONAL COMMENTS
		Joint Assessment Mission Guidelines (JAM) Guidelines, UNHCR/WFP (2008).	JAM is a joint UNHCR/WFP needs assessment. The JAM seeks to understand the situation, needs, risks, capacities and vulnerabilities of refugees and IDPs (and host populations) with regards to food and nutritional needs.	All kinds of emergency, post-crisis phase involving displaced refugee populations.	<p>Recommendations: for an effective and comprehensive response to refugee crisis and conflict-related internal displacement, joint UNHCR/WFP needs assessment is crucial. Guidelines highlight areas where conflict may occur.</p>	Mainly food security and nutrition. The JAM is not a comprehensive nutrition, food security or livelihoods survey nor does it include health, education, shelter or other sectorial issues unless they are directly related to the nutrition and food security situation.	Markets referenced throughout the document and the reader is recommended to refer to a specific technical guidance sheet 'Market Analysis Technical Guidance Sheet'.	It can take up to 6 months to complete the processes included in a JAM. Provides gender analyses and gives special consideration to women empowerment and protection/safety issues for programme planning. Partnerships can take place with: governments, UN agencies, national and international NGOs.	Importance of urban considerations are highlighted in the Guidelines and the reader is recommended to refer to a specific technical guidance sheet 'Refugees in Urban Areas Technical Guidance Sheet' which is part of a number of technical guidance documents that include: Refugees in urban areas; Market analysis in a JAM; Protection, transfer modalities, environment and energy, UNHCR WFP (2013) 'Joint Assessment Missions, Technical Guidance Sheets' http://www.unhcr.org/521617009.pdf	http://www.unhcr.org/521616c69.pdf

NAME OF TOOL/ APPROACH/ METHOD- OLOGY, AGENCY (PUBLICATION YEAR)	BRIEF DESCRIPTION	USE IN WHICH PART OF THE EMERGENCY?	DESIGNED FOR POST- CONFLICT CONTEXTS?	ASSESSMENT CHARACTERISTICS:			WEBSITE
				SECTORS COVERED*	INCLUSION OF MARKET ASSESSMENT COMPONENT?	METHODOLOGICAL ASPECTS OF NOTE	
URBAN GUIDANCE OR TECHNI- CAL SHEET TO AC- COMPANY EXISTING GUIDE- LINES	DESIGNED FOR URBAN CONTEXTS NOT DESIGNED FOR URBAN CONTEXTS BUT ADAPTABLE						
Technical Guidance Sheet (TGS) on urban food security and nutrition assess- ments, WFP (2008).	The purpose of the TGS is to identify and provide guidance for addressing a number of substantive and methodological issues associated with conducting food and nutrition security assessments in urban areas. The TGS focuses on information needs, data collection methods, indicator measurement issues, sampling issues rather than beneficiary identification. Applicable as a complementary guidance to EFSA, CFSVA and JAMs.	All disasters, post-crisis and early recovery phase.	Not specifically designed for conflict contexts. Little/no questions related to conflict contexts.	Food security and Nutrition	A section on how to integrate markets in urban assessments is included.	The TGS stresses the need to consider HIV/AIDS, gender and age composition of households, immigrants, IDPs and host families.	http://www.alnap.org/resource/7028

NAME OF TOOL/ APPROACH/ METHOD- OLOGY, AGENCY (PUBLICATION YEAR)	BRIEF DESCRIPTION	USE IN WHICH PART OF THE EMERGENCY?	DESIGNED FOR POST- CONFLICT CONTEXTS?	ASSESSMENT CHARACTERISTICS:			WEBSITE	
				SECTORS COVERED*	INCLUSION OF MARKET ASSESSMENT COMPONENT?	METHODOLOGICAL ASPECTS OF NOTE		ADDITIONAL COMMENTS
URBAN GUIDANCE OR TECHNICAL SHEET TO AC- COMPANY EXISTING GUIDE- LINES	Local Estimate of Needs for Shelter and Settlement (LENS) Tool Kit. UNHABITAT (2009).	All disasters, post-crisis and early recovery phase.	Not specifically designed for conflict contexts, but has incorporated conflict elements into the assessment format.	Shelter	Referenced in the document but not in any great depth.	The toolkit was designed with field users in mind, with data collection flow charts and data collection tools available for use.	Designed to be compatible with other shelter assessment resources. Local actors can use the tool kit without involvement of 'professional' shelter actors.	http://unhabitat.org/books/ens-tool-kit-local-estimate-of-needs-for-shelter-and-settlement-field-version-iasc-emergency-shelter-cluster/

NAME OF TOOL/ APPROACH/ METHOD- OLOGY, AGENCY (PUBLICATION YEAR)	BRIEF DESCRIPTION	USE IN WHICH PART OF THE EMERGENCY?	DESIGNED FOR POST- CONFLICT CONTEXTS?	ASSESSMENT CHARACTERISTICS:			WEBSITE
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URBAN GUIDANCE OR TECHNI- CAL SHEET TO AC- COMPANY EXISTING GUIDE- LINES	DESIGNED FOR URBAN CONTEXTS BUT ADAPTABLE	NOT DESIGNED FOR URBAN CONTEXTS					
Rapid Health Assessment of Refugee or Displaced Populations' Medicins Sans Frontieres (2006)	The objective is to evaluate the magnitude of an ongoing emergency and to determine the major health and nutrition related needs of the displaced population.	Sudden on-set shock.	Not specifically designed for conflict contexts. Little/ no guidance is provided on how to approach conflict contexts.	Multiple sectors; mainly due to the influence other sectors have on health outcomes or mortality and morbidity. Shelter, WASH and food security- related content is not as in-depth as health related aspects.	None	Technical, specialist skills and knowledge is required to utilise the tool.	http://refbooks.msf.org/msf_docs/en/rapid_health_rapid_health_en.pdf
The Livelihood Assessment Tool-kit: Analysing and Responding to the Impact of Disasters on the Livelihoods of People', FAO ILO (2009).	An assessment tool that captures capacities and opportunities for recovery and increased resilience. LAT should be integrated as much as possible into country-level disaster preparedness systems and structures and supported by global level capacities where relevant. The approach is aimed to set up response analysis framework and can be used by Country Teams, national and local governments and NGOs. Addresses vulnerability according to the asset base that people have prior to the crisis and their ability to engage in various coping strategies (sustainable livelihoods framework).	Sudden onset disasters, emergency phase. Applicable for camps, host families and dispersed populations.	Not specifically designed for conflict contexts. Little/ no guidance is provided on how to approach conflict contexts.	Livelihoods	Markets referenced through out the document but no detailed data collection or analysis is included.	Notes on urban considerations are included throughout the guidance document.	http://www.fao.org/fileadmin/user_upload/emergencies/docs/LAT_Brochure_LoRes.pdf

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The Practitioners' Guide to the Household Economy Approach (Chapter 6: Adaptations of HEA). RHVP, FEG and Save the Children UK (2008).		This guide is aimed at those carrying out HEA assessments. The Practitioners' Guide is presented as a series of chapters; the expectation is not that this guide will be read cover to cover, but rather that individual chapters will be used as 'modules', each self-contained and specific to a particular aspect of HEA. This is not meant to be used as a 'do-it-yourself' guide for those with no exposure to HEA. There are seven chapters included in the Practitioner's Guide and two supplemental guides. The chapters are presented in an order sequential to the implementation of the HEA framework, starting with an overview of the framework and moving through practical fieldwork to outcome analysis and response planning.	Preparedness and recovery. Rapid HEA available for rapid onset contexts (see Chapter 6).	No specific guidance on conflict contexts is included in the technical guidance sheets. However, conflict related information is available in the main guidance.	Food Security and Livelihoods	Market assessment elements are included in relation to food security and livelihood activities and outcomes of the populations being assessed. The guide includes a 'Market Assessment Supplement' that provides an introduction to the use of market analysis in determining the appropriate range of responses to acute food insecurity.	Significant volume of information is collected and thorough data collection and analysis can be time consuming, unless a rapid approach is applied. May be better applied for thorough analysis prior to significant food security and livelihood programming or as a baseline in contexts that experience frequent disasters.	HEA is a tried and tested methodology that has been adapted to a number of contexts including urban and humanitarian. See the HEA website (http://www.heawebsite.org/), which hosts over 200 HEA reports.	http://www.savethechildren.org.uk/resources/online-library/practitioners%E2%80%99-guide-household-economy-approach

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<p>URBAN GUIDANCE OR TECHNICAL SHEET TO AC-COMPANY EXISTING GUIDE-LINES</p> <p>DESIGNED FOR URBAN CONTEXTS BUT NOT DESIGNED FOR URBAN CONTEXTS ADAPTABLE</p>	<p>The Rapid Assessment for Markets (RAM) provides a quick and basic snapshot of how key markets operate immediately after a shock, to support initial decisions on the feasibility of response options (cash vs in-kind, initial market support) and to identify whether or not more detailed market system analysis is needed, and if so, for what. Guidance involves a step-by-step guide through the process of market analysis immediately after the shock. Greater emphasis on geographical locations, but also considers market systems to an extent. Supports an understanding of commodity demand. Provides some technical information on market concepts and guidance on reporting. Annex includes worksheets and questionnaires to support all steps of the process.</p>	<p>Sudden onset (although could potentially be adapted to a slow onset crisis).</p>	<p>Not specifically designed for conflict contexts. References the importance of a conflict lens, providing numerous case studies, question prompts and examples.</p>	<p>Relevant for all, although orientated more towards basic need commodities.</p>	<p>Yes, this is a market assessment tool that includes guidance on response analysis and reporting.</p>	<p>Data collection forms can be adapted and used for longer term analysis and for multiple contexts, including urban.</p>	<p>Applicable to both urban and rural contexts. Some RAM questionnaires were edited and developed to collect data on markets in Nepal in response to the 2015 earthquake.</p>
<p>48-Hour Assessment tool, Oxfam ECB 2012.</p>	<p>The purpose of the 48-hour assessment tool is to obtain a quick understanding of the emergency food security and livelihood (EFSL) situation within the first few days after a rapid-onset disaster. The toolkit comprises questionnaire templates, guidance notes and a response analysis decision tree.</p>	<p>Immediate aftermath of a shock.</p>	<p>Not specifically designed for conflict contexts</p>	<p>Food Security and Livelihoods</p>	<p>Minimal</p>	<p>This is meant to be a tool that non-technical staff can utilise.</p>	<p>http://www.ecbproject.org/ecb/efsl-48-hour-assessment-tool</p>

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Emergency Market Mapping and Analysis' (EMMA), Albu, M. (2010).					<p>The Emergency Market Mapping Analysis (EMMA) toolkit provides guidance on the selection and analysis of critical market system(s) after a shock to inform response options, including both direct and indirect support to markets, from relief to recovery. Guidance involves practical 10-step process for preparing for and carrying out fieldwork for market analysis, with thorough explanations. Provides detailed technical information on market concepts and on reporting of recommendations for response options.</p>	All disaster phases as the scale and depth of information can be varied accordingly. Application in preparedness contexts has given rise to a tool PCIMA (Pre-Crisis Market Analysis).	Not specifically designed for conflict contexts. References the importance of a conflict lens, providing numerous question prompts, case studies and examples.	<p>Relevant for all; although less tested for service market systems.</p>	<p>Yes, this is a market assessment tool, that includes guidance on response analysis and reporting.</p>	<p>With regards resources required; this varies but is governed by how many market systems are being analysed and how many geographical locations are being visited. The team size can vary from 2 to 10 people. The duration of an EMMA can be 2-4 weeks depending on the scope of the analysis. The team leader should have technical knowledge of market analysis, and is normally responsible for building the capacity of the team.</p>	<p>Applicable in both urban and rural contexts. The approach and tools have been used for assessing/developing/ opportunity</p>	www.emmatoolkit.org

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URBAN GUIDANCE OR TECHNICAL SHEET TO AGENCY COMPANY EXISTING GUIDE-LINES	DESIGNED FOR URBAN CONTEXTS	NOT DESIGNED FOR URBAN CONTEXTS BUT ADAPTABLE			SECTORS COVERED*	INCLUSION OF MARKET ASSESSMENT COMPONENT?	METHODOLOGICAL ASPECTS OF NOTE	ADDITIONAL COMMENTS
Rapid Humanitarian Assessment in Urban Settings, Technical Brief' Currtion, P. for ACAPS (2015).			All disaster phases.	Not specifically designed for conflict contexts. References the importance of a conflict lens, providing numerous question prompts, case studies and examples.	Multiple sectors	Importance of including market analysis is highlighted and the reader is advised to apply specific tools such as EMMA.		
Cash Transfer Programming in Urban Emergencies' Cross T. and Johnston A. for CaLP (2011).			All disaster phases.	Not specifically designed for conflict contexts. References the importance of a conflict lens, providing numerous case studies and examples.	Multiple sectors	Guidance on the inclusion of market-related information is provided, as are links to potential tools and checklists of aspects that require consideration.	The toolkit has extensive annexes of useful resources including: FGD questionnaires, household surveys and, assessment reporting formats.	The document takes the user from assessing a context to planning an intervention, making this a useful guide to those who are likely to implement a cash intervention in an urban area.

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Needs Assessment for Refugee Emergencies (NARE) Checklist' Draft document. UNHCR	As the lead coordinator in a refugee emergency, UNHCR has a responsibility to coordinate a multi-sectorial needs- based response. The NARE is principally designed to assist UNHCR operations with initial multi-sectorial needs assessments when there has been a significant sudden forced displacement of populations across borders. The NARE can also be used when there is a sudden influx of a population into an existing operational refugee environment or in a refugee operation where inadequate assessments have been conducted. The NARE highlights information that is derived from pre-crisis and post-crisis secondary data analysis, before primary data collection begins. For primary data collection, the NARE suggests data elements that may be derived from facility visits, observations, key informants and focus group discussions. It promotes the cross-analysis of information derived from multiple methodologies across multiple sectors to ensure a rapid, relatively complete picture of needs in a refugee emergency.	Significant sudden forced displacement of populations across borders.	Not specifically designed for conflict contexts. Little/ no guidance is provided on how to approach conflict contexts.	Multiple sectors	Questions related to markets are incorporated across sectors.	Each sector has a dedicated checklist of questions for inclusion, including camp management and communal living, education and cross-cutting elements such as protection.	References urban contexts and is adaptable due to the breadth of the aspects listed in the checklists.	https:// emergency.unhcr. org/entry/50209/ needs- assessment- for-refugee- emergencies-nare

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Emergency Handbook UNHCR (online tool) **This handbook does contain a lot of urban guidance but seems to include more rural- orientated guidance that may need adapting to an urban context.			The online Emergency Handbook guidance (of which the NARE is part of) is published in the form of 'Entries', self-contained units of content. Entries are structured along seven main topic areas including: - 'Protecting and empowering': Community-based protection; protection interventions, asylum, specific needs, registration, legal standards and principles. - 'Delivering the response': Programme planning and management, sector guidance and good practices by operational context (urban, rural, camps), standards and indicators, UNHCR management procedures for administration, finance, human resources, supply and information and communication technology (ICT).	Significant sudden forced displacement of populations across borders.	In the assessment chapter (and tool - see UNHCR NARE) there is limited advice on conflict contexts is provided in a number of urban specific documents for example: Health in urban areas. A specific section on security looks at civil-military coordination. A section of the handbook on Protecting and Empowering provides guidance on working in conflict contexts.	Multiple sectors	Guidance on the inclusion of market related information is provided, as are links to potential tools and checklists of aspects that require consideration.	The section 'Delivering the response' includes guidance on urban contexts in relation to a number of sectors including: health, food security, livelihoods, nutrition and WASH.	The section related to 'Protecting and empowering' includes links to numerous assessment tools and methodologies across sectors, including: health, food security and nutrition. Links to joint or recognised tools such as the MIRA and NARE are made.	https:// emergency.unhcr. org/

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URBAN GUIDANCE OR TECHNI- CAL SHEET TO AC- COMPANY EXISTING GUIDE- LINES	Sphere Handbook'; The Sphere Project (2011).		From a few days or weeks to many months and even years, particularly in contexts involving protracted insecurity and displacement.	Not specifically designed for conflict contexts. References the importance of a conflict lens, providing examples, question prompts and references for further reading.	Multiple sectors	Only in the food security section. However, the Sphere companion guide: 'Minimum Requirements for Market Analysis in Emergencies' is available for use.	Sphere standards for application in urban areas are under elaboration.	Each chapter covering a sector (such as food security, health, WASH, etc.) has a checklist of assessment questions in appendix.	http://www.spherehandbook.org/

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URBAN GUIDANCE OR TECHNICAL SHEET TO AC-COMPANY EXISTING GUIDE-LINES	Initial Rapid Assessment (IRA)' IASC (Health, Nutrition and WASH Clusters) (2009)	The purpose is to provide a rapid overview of the emergency situation in order to identify the impacts of the crisis, make initial estimates of needs, and define the priorities for humanitarian action in the early weeks of response. It should answer the following core questions: 1. What has happened? Is there an emergency situation and, if so, what are its key features? 2. How have the population and essential services been affected? Who are worst affected and likely to be most vulnerable? Why? How many people are affected? Where are they? 3. Are interventions required to prevent further harm or loss of life? If so, what are top priorities? 4. What continuing or emerging threats could escalate the emergency? 5. What resources and capacities are available? What are the most important, immediate capacity gaps? 6. What are the key information gaps that should be addressed in follow-up assessments?	As soon as possible after the onset of a new sudden-onset crisis (within 72 hours, maximum 1 week). The whole process including analysis and preparation of a report should be completed within 1 to 3 weeks. When an area in an ongoing conflict/complex emergency becomes newly accessible, or in a protracted emergency affected by a sudden, additional shock or deterioration in conditions.	Not specifically designed for conflict contexts. References the importance of a conflict lens, providing numerous case studies, question prompts and examples.	Health, Nutrition and WASH	??	The data collection formats are user-friendly. Forms can be used as a checklist and worksheet for recording observations and taking notes during interviews. Each question has a code suggesting the source(s) from which to collect the data. These codes are explained on the front sheet of the form. Some questions have more than one code, indicating that multiple sources should be used and the data triangulated.	The guidance document recommends customisation of the tools to the country situation while maintaining the basic structure, and be translated, if necessary. Ideally, this should be done in advance as part of inter-agency contingency planning. As such an urban focus could be included.	http://washcluster.net/topics/assessment/

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URBAN GUIDANCE OR TECHNI- CAL SHEET TO AC- COMPANY EXISTING GUIDE- LINES	Guidelines for Assessment in Emergencies' IASC Emergency Shelter Cluster (2006).	Immediate aftermath of a shock.	Not specifically designed for conflict contexts. Little/ no guidance is provided on how to approach conflict contexts.	Multiple sectors	No	The format provided could be adapted to include more urban related elements.	https://www.humanitarian-response.info/en/operations/Colombia/document/emergency-shelter-clusterguide-lines-assessment-emergencies

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<p>URBAN GUIDANCE OR TECHNICAL SHEET TO AC-COMPANY EXISTING GUIDE-LINES</p> <p>DESIGNED FOR URBAN CONTEXTS BUT ADAPTABLE</p> <p>NOT DESIGNED FOR URBAN CONTEXTS</p>	<p>REACH combines the utility of modern information technology with tailored assessment methodologies, tools and processes that are adapted to each emergency context and to the requirements of aid actors and coordination mechanisms.</p>	<p>All disaster phases.</p>	<p>Reach assessment tools are adapted to conflict contexts.</p>	<p>Multi-sector and single sector depending on needs and context.</p>	<p>Depending on the context under analysis.</p>	<p>As assessments are developed according to the context, REACH contextualise the assessment formats accordingly.</p>	<p>In a formalised partnership with the Shelter Cluster, REACH supports shelter cluster assessments in the aftermath of a disaster by (1) providing, upon request, dedicated human resources (2) facilitating assessments coordination and roll-outs in the field (3) ensuring timely assessment data analysis and diffusion of its results to enable quick and informed decision making. As such, the assessments utilised can be made urban specific.</p>	<p>https://www.sheltercluster.org/library/assessments-2</p>

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<p>URBAN GUIDANCE OR TECHNI- CAL SHEET TO AC- COMPANY EXISTING GUIDE- LINES</p> <p>DESIGNED FOR URBAN CONTEXTS</p> <p>NOT DESIGNED FOR URBAN CONTEXTS BUT ADAPTABLE</p>	<p>Household Livelihood Security (HLS) is CARE's basic framework for programme analysis, design, monitoring and evaluation. HLS grows out of a food security perspective, but is based on the observation that food is only one important basic need amongst several, and adequate food consumption may be sacrificed for other important needs. Given that the causes of poverty are complex, HLS provides a framework to analyse and understand the web of poverty and people's mechanisms for dealing with it. HLS is defined as adequate and sustainable access to income and resources to meet basic needs (including adequate access to food, potable water, health facilities, educational opportunities, housing, and time for community participation and social integration).</p>	<p>All phases – the type and mix of HLS assessment tools and methods will vary according to the specific objectives, conditions and constraints of the emergency situation.</p>	<p>Not specifically designed for conflict, includes aspects that can be taken into consideration.</p>	<p>Mainly livelihoods and food security with some consideration of other sectors as they influence household poverty.</p>	<p>Elements of included but no specific tool.</p>	<p>HLS uses an integrated or systems approach to analysis, with recognition that poor households live and interact within broader socio-economic and socio-political systems that influence resource production and allocation decisions.</p>	<p>http://www.scarp.ubc.ca/sites/scarp.ubc.ca/files/Household-Livelihood-Assessment.pdf</p>

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			<p>The JIPS Essential Toolkit (JET) is a compilation of generic tools and guides for profiling exercises in IDP situations. The JET represents the JIPS best practice tools (that are stored in PARK – Profiling and Assessment Resource Kit http://www.parkdatabase.org/) and also an independent database, where users can browse for assistance and inspiration at all stages of an IDP profiling exercise. The JIPS JET includes a household questionnaire for use in paper or electronic formats (on a hand-held device) as well as focus group discussion.</p>	All kinds of emergency, post-crisis phase involving displaced and host populations.	Not specifically. The focus is more on displacement. However, the questionnaire could be modified to accommodate this.	Multi-sector and single sector depending on needs and context.	No, not in any detail. However, this could be added.	The JET documents can be adapted for specific contexts.	JIPS have another product, an online data analysis platform DART (Dynamic Analysis and Reporting Tool http://www.dart.jips.org/) that their assessment formats can be (with support) uploaded to. The DART tool is a great resource enabling the visualisation of assessment findings and data analysis.	http://jet.jips.org/

Annex D

Overview of Targeting Guidance

PUBLICATION	BRIEF DESCRIPTION	RELEVANCE	TARGETING MECHANISMS COVERED	METHODOLOGICAL ASPECTS OF NOTE	COMMENTS?
<p>UNHCR (2016) Draft Operational Guidelines For Targeting (accessed 24 March 2016.)</p>	<p>These guidelines present the global strategic direction for targeting within UNHCR including specific needs analysis, eligibility processes and identification of persons of concern. The purpose of these guidelines is to provide the organisation with a common framework for targeting that will form the basis for sector-based targeting across countries and different operational contexts. The guidance is founded upon a number of principles including: protection/ do no harm; accountability (through communication and feedback with persons of concern); cost-effectiveness; updated regularly to encompass dynamic environments; evidence-based; standards and quality control; data protection and security; and coordination and collaboration with other actors. It defines the entry points for decisions on targeting within the Operations Management Cycle and outlines five key steps in the targeting process along with guidance on implementation of each (1) Understand needs; 2) Choose targeting mechanisms; 3) Establish Eligibility; 4) Manage errors; 5) Monitor and evaluate.</p>	<p>Emergency phase? Relevant to conflict settings? Designed for urban? Sectors covered?</p> <p>Guidelines apply 'in all UNHCR operations and in all phases of displacement from contingency planning and preparedness to emergency response, protracted situations and longer term development'. Therefore they are also relevant to conflict/post-conflict.</p> <p>Designed for all displacement contexts. No specific reference to urban/rural or identification of urban-specific problems or solutions.</p> <p>Aim is to provide the organisation with a common framework for targeting that will form the basis for sector-based targeting.</p>	<p>Introduces several targeting mechanisms - including administrative, geographical, CBT, and self-targeting. Targeting based on score-based systems using household survey data (registration data/PMT/score-cards) is classified under administrative targeting rather than as a separate mechanism.</p>	<p>Emphasises it should incorporate a rights-based approach – but no methodological guidance on how to do this. Provides definitions, guidance and guiding questions relating to: how to assess the appropriateness of targeting and when targeting may not be possible; in refugee contexts, consideration of when targeting groups outside of those with Refugee Status Determination is feasible/appropriate; how to determine needs; how to establish targeting criteria; mechanisms to identify eligible cases based on these criteria; and managing errors. It includes some field 'case studies' in boxes to illustrate certain operational points. The methodological guidance is centred on UNHCR's mandate as working with registered refugees and the UNHCR refugee database is the starting point for all targeting operations. Proposes using a flexible combination of household surveys, ProGres data and community-based targeting.</p>	<p>Not yet finished so as yet not implemented. Guidance is general and no specific tools are included - though some tools developed by other UNHCR offices (in cities) are referenced: Malaysia's Livelihoods Vulnerability Assessment Tool (LVAT) to target cash-based assistance for protection and socio-economic purposes. The tool produces a score of 0 to 100 to sort applications into four groups according to their socio-economic status and their specific needs. The LVAT also suggests an amount for cash support and also the use of Jordan's vulnerability assessment framework (VAF).</p>

PUBLICATION	BRIEF DESCRIPTION	RELEVANCE	TARGETING MECHANISMS COVERED	METHODOLOGICAL ASPECTS OF NOTE	COMMENTS?
USAID (2008) Emergencies in Urban Settings: A Technical Review of Food-based Program Options.	Aims to provide technical information and lessons learned to support USAID and its partners to effectively design and implement emergency food assistance programmes in urban and peri-urban settings.	Emergency phase? Relevant to conflict settings? Designed for urban? Sectors covered? Guidance for food sector interventions that is specific to urban contexts. Designed to be relevant for sudden-onset natural disasters, protracted conflict or governance-related insecurity and slow-onset economic crises. Little specific guidance provided relating to conflict environments.	Mentions CBT and proxy targeting but does not define these or explain pros and cons.	Not focused only on targeting but rather reflects all stages of the programme cycle, therefore guidance relating to targeting is not particularly detailed. Provides an overview of targeting terms and the key things to remember about targeting that are different in an urban as opposed to rural environments.	
CaLP urban toolkit for cash transfer programmes.	The toolkit brings together the collective knowledge of best practices, key issues in programming, and adaptations of CTP programme methodologies for urban settings.	Specific to urban contexts. It aims to reflect the multi-sectoral nature of CTPs in urban contexts and should be applicable to any context including conflict settings.	Introduces several targeting mechanisms - including administrative, geographical, CBT, and self-targeting, along with guidance on the pros and cons of each.	Details the challenges to be aware of when targeting in urban contexts. Provides detailed guidance on the steps to follow when targeting on urban CTPs, including best practices; an overview of SOPs for targeting and the staff to be involved at each stage; and an overview of targeting mechanisms. There is also guidance provided on the pros and cons of using national household poverty scorecards for targeting emergency CTPs and how to adapt these. Annexes tools including i) Sample Vulnerability Criteria Prioritisation Flow Chart (Weighted); ii) Sample Household Applications with Beneficiary Selection Criteria; iii) Sample Verification Spreadsheet; and iv) Sample SOPs for Beneficiary Selection in Urban Programmes.	

PUBLICATION	BRIEF DESCRIPTION	RELEVANCE	TARGETING MECHANISMS COVERED	METHODOLOGICAL ASPECTS OF NOTE	COMMENTS?
ERC (2015) An Operational Toolkit for Multipurpose Cash Grants. UNHCR	Comprehensive and practical guidance for humanitarian actors to assess the feasibility, conceptualise the design and structure the implementation of MPGs. The toolkit focuses on MPGs whose primary objective is to meet basic needs as defined by affected people themselves. It provides guidance on how to implement a multi-sector and often inter-agency approach to assessments, analysis, cash programme design and implementation, beyond sector-specific tools.	The guidance explains that MPGs can be used regardless of context – urban and rural, rapid and slow onset, chronic and acute crises, and even natural and complex disasters. As such the guidance is relevant for all, but informed by a context-specific Situation and Response Analysis. Not specific to urban but MPGs have been conceived in urban displacement contexts. Multi-sector.	Introduces several targeting mechanisms - including administrative, geographical, CBT, and self targeting, along with guidance on the pros and cons of each.	Some best practice guidance is provided on i) the establishment of targeting criteria (as part of vulnerability assessment and response analysis) and ii) targeting mechanisms - how to identify those who fit the criteria. This is general guidance for practitioners on the different activities involved in targeting, providing detail on the pros and cons of different targeting mechanisms, check lists of the essential things to do, how to ensure targeting doesn't do harm, as well as lessons/best practices from international experience of MPGs. It doesn't provide detailed methodological guidance on 'how to implement' the targeting mechanisms as have been used on MPG programmes in Lebanon and Jordan (which both used variations of Administrative targeting through development of a proxy means test), although an Annex provides a working example (from targeting of MPG in Lebanon w) of i) the steps involved in the targeting process and ii) the household questionnaire.	This is based on experiences designing and implementing MPGs in the MENA region during the Syria refugee crisis response. It is newly published.

PUBLICATION	BRIEF DESCRIPTION	RELEVANCE	TARGETING MECHANISMS COVERED	METHODOLOGICAL ASPECTS OF NOTE	COMMENTS?
MacAuslan and Farhat (2013) Review of Urban Food Security Targeting Methodology and Emergency Triggers.	This document is aimed at field practitioners to assist in capacity building and provide guidance during emergency responses in urban areas, focusing on food security, livelihoods, and nutrition. It covers emergency triggers and targeting emergency responses in urban areas.	Urban-specific guidance focusing on food security and livelihoods, drawing on examples across contexts including natural disaster, economic shocks and conflict/protracted crisis.	Introduces targeting mechanisms including administrative, geographical, CBT, self-targeting, categorical targeting and PMT along with guidance on the pros and cons of each according to the context.	Provides field examples of the pros and cons of different targeting approaches and solutions, based on experiences from targeting food security interventions in urban contexts within Oxfam, ACF and Concern. Provides some extensive recommendations on ways to improve targeting in urban contexts including the development of urban coordination mechanisms and vulnerability mapping; power analysis to provide data on vulnerable groups and risks; engagement with local government to take account of local political issues; and establishment of targeting criteria and selecting a targeting mechanism.	
WFP (2006) Targeting in Emergencies.	The paper provides basic principles to guide decision making for targeting of food assistance. It reviews the definitions of targeting and WFP policies related to targeting in emergencies. And it summarises the process of targeting and targeting errors before offering recommendations for good targeting practice.	More general guidance, focusing on food security and applicable to all emergency contexts. Specific advice in relation to conflict settings given in some places. No mention of urban environments, challenges or solutions.	Introduces several targeting mechanisms including geographic targeting as well as mechanisms to identify households or individuals through direct or proxy indicators of economic, physiological, social and political vulnerability.	References WFP's approach to identification of food insecure populations through vulnerability analysis and mapping (VAM). WFP's VAM uses a standard analytical framework that consists of three elements: comprehensive food security and vulnerability analyses (CFSVA); food-security monitoring systems (FSMS); and geographic information systems (GIS) and mapping. The guidance does not go into the 'how to do'. VAM is managed by specialist staff.	

The magnitude of urban disasters, high population densities, and complex social, political and institutional environment has challenged the manner in which humanitarian agencies are used to working. Humanitarian agencies are now grappling with how to change their approaches to this reality. This desk review aims to provide an audit and analysis of existing needs assessments, response analysis frameworks and targeting approaches for use in urban post-conflict emergency response. The review found that despite the increasing number of urban responses, the development of tools or guidelines remain behind. Needs assessment and response frameworks tend to be sector or thematic specific, making it hard to identify priorities between sectors, whilst urban targeting approaches have not been translated into detailed available guidance. There is a need for development of urban tools that are inclusive, coherent, cost-effective, rigorously tested, and build on existing good practice.

IIED is a policy and action research organisation. We promote sustainable development to improve livelihoods and protect the environments on which these livelihoods are built. We specialise in linking local priorities to global challenges. IIED is based in London and works in Africa, Asia, Latin America, the Middle East and the Pacific, with some of the world's most vulnerable people. We work with them to strengthen their voice in the decision-making arenas that affect them – from village councils to international conventions.



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