



URBAN
CRISES



Urban Response Analysis Framework (URAF)

Guidance Note for Humanitarian Practitioners

Stronger Cities Consortium



Preface

The *Stronger Cities Initiative* is a consortium of the International Rescue Committee (IRC), the Norwegian Refugee Council (NRC) and World Vision International (WVI), with technical advice from David Sanderson, University of New South Wales. The purpose of the initiative is to produce practical field-tested guidance for humanitarian organisations working in urban conflict, displacement, and natural-hazard settings.

This guidance note was developed by the NRC (www.nrc.no), an independent, international humanitarian non-governmental organisation which provides assistance, protection and contributes to durable solutions for refugees and internally displaced people worldwide.

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The Human Settlements Group at the International Institute for Environment and Development (IIED) 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.

This paper is part of a series of research pieces produced under the 'Urban Crises Learning Fund' managed by IIED. Funded by DFID, the 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 Urban Response Analysis Framework (URAF) aims to support the identification of appropriate multi-sector responses for urban programmes. The URAF endorses, where appropriate, the use of multipurpose cash grants alongside complementary sector-specific responses, including advocacy and technical support. Therefore, the URAF recommends assistance that meets the basic needs of the displaced and host populations whilst addressing sector-specific needs. By recommending a systems approach to understanding the urban context and the wider response analysis process, the URAF also aims to encourage the identification of resilience-building responses.

Following an introduction to response analysis and brief overview of cash programming in urban contexts, the URAF takes the user through a series of six steps; from the collection of multi-sector needs assessment data, to the identification of responses for potential target groups. The six steps include key questions, expected outputs, and guidance and support on topics that require consideration and inclusion in response analysis discussions. Links to existing guidance and toolkits are provided to further assist the user.

This document is part of a suite of complementary urban tools to enable appropriate urban responses for displaced and host populations. They include the urban multi sector assessment tool (UMVAT), this urban response analysis framework (URAF) and the targeting in urban displacement contexts guidance note. More information is available at www.iied.org/stronger-cities-initiative.

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Abbreviations and acronyms

ABA	Area-based approaches
ALNAP	Active Learning Network for Accountability and Performance in Humanitarian Action
CaLP	Cash Learning Partnership
CDM	Cash delivery mechanism
CDMAT	Cash Delivery Mechanism Assessment Tool
CfW	Cash for work
CTP	Cash transfer programme
DRC	Danish Refugee Council
ERC	Enhanced response capacity
FGD	Focus group discussion
FSP	Financial service provider
HLP	Housing, land and property
ICLA	Information, counselling and legal assistance
ICRC	International Committee of the Red Cross
IDP	Internally displaced person
IFRC	International Federation of Red Cross and Red Crescent Societies
IIED	International Institute for Environment and Development
JIPS	Joint IDP Profiling Service
KII	Key informant interview
M&E	Monitoring and evaluation
MEB	Minimum expenditure basket
MPG	Multipurpose cash grant
NRC	Norwegian Refugee Council
PCM	Programme cycle management
UMVAT	Urban Multi-sector Vulnerability Assessment Tool for displacement contexts
UNDP	United Nations Development Programme
UNHCR	United Nations High Commissioner for Refugees
UNOCHA	United Nations Office for the Coordination of Humanitarian Affairs
URAF	Urban Response Analysis Framework
USAID/OFDA	United States Agency for International Development Office of Foreign Disaster Assistance
WASH	Water, sanitation and hygiene

Introduction

Urban inhabitants can have access to a range of diverse, robust, and well-integrated markets for goods and services that tend to respond quickly to changes in consumer demand and recover quickly post disaster. Urban displaced and host households rely on multiple systems (including livelihoods, society, and culture) and communities that connect and intersect with one another for various social and economic exchanges. Humanitarian response decision making should embrace opportunities provided by this context, taking a broader systems approach to identifying response opportunities, by going beyond sector-specific objectives to a more holistic understanding of how assistance can meet immediate basic needs whilst contributing to building the resilience of households and more broadly, economic recovery.

The purpose of this Urban Response Analysis Framework (URAF) is to support the identification of appropriate multi-sector programme responses for urban contexts taking into consideration the needs and vulnerabilities of the population, and the wider internal and external operational context in which organisations operate and the displaced population lives.

Multi-sectoral approaches and vulnerability assessments are evolving areas of practice and evidence on definitive 'best practices' is still emerging. This guidance should be taken as a starting point and be built upon and/or revised as further evidence emerges.

How this document is structured

The URAF is divided into two parts:

Part 1: An introduction to response analysis, the URAF as a tool, and the use of cash transfers in urban contexts.

Part 2: A presentation of the six steps in the URAF, following introductory information related to the URAF. Each step includes key questions, outputs and support on topics that require consideration and inclusion in response analysis discussions.



Baghdad. Credit: Husain Yousif

Part 1. Introduction to the Urban Response Analysis Framework

1.1 Introduction to multi-sector response analysis

Response analysis frameworks and processes can be used to foster greater accountability and transparency in humanitarian response decisions (Maxwell *et al.*, 2013). A recent desk review of urban response analysis frameworks highlighted the lack of comprehensive integrated or multi-sector response analysis frameworks for urban contexts. The majority of available response analysis frameworks were either modality or sector-orientated, therefore not providing the user with a full range of response options (Mohiddin and Smith, 2016).

Response analysis is the link between situation analysis¹ and programme planning and implementation. Although there is no formal definition of response analysis, the following is understood (Maxwell *et al.*, 2013: 7):

- It involves the selection of programme response options, modalities and target groups, and
- It should be informed by considerations of appropriateness and feasibility, and should simultaneously address needs while analysing and minimising potential harmful side effects.

As households demonstrate varying levels of need across sectors, a multi-sector needs assessment and response analysis are required. Although agency country offices may have technical specialisations in several core competencies, a multi-sector approach to understanding and quantifying needs is still needed for the following reasons:

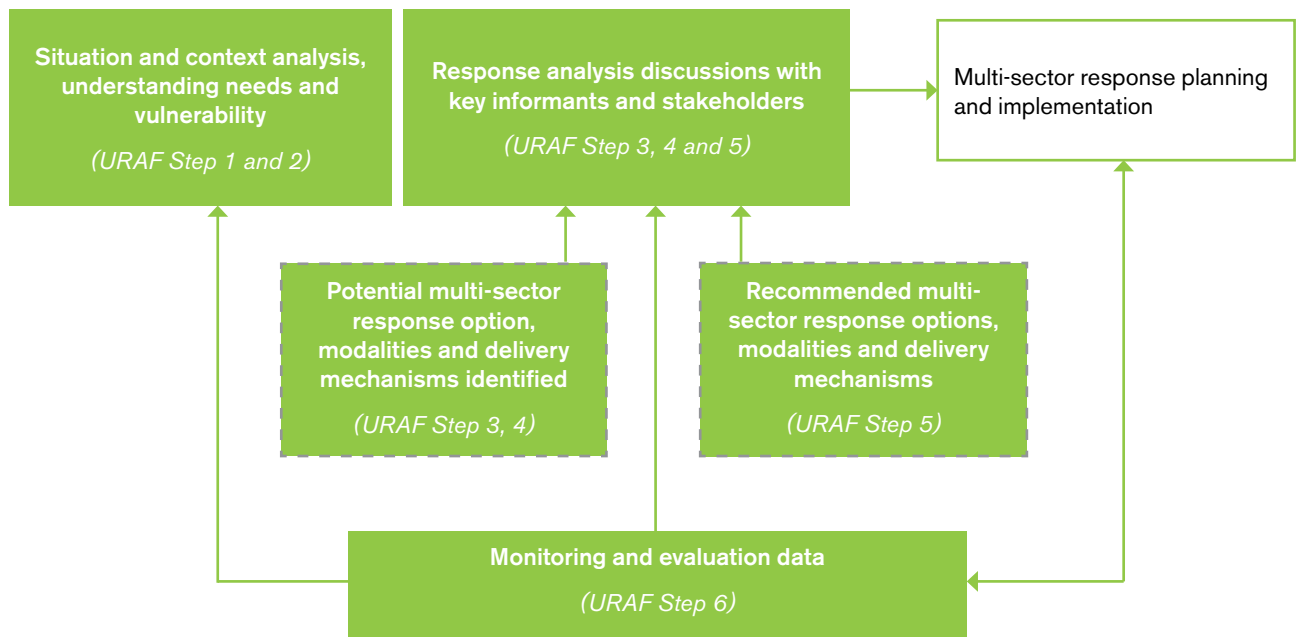
- The outcomes of single sector responses can be compromised by unmet needs in other sectors (for example, the sale of in-kind food assistance to pay school fees, diversion of cash assistance for education for the purchase non-food items, or the inability to attend vocational trainings due to the need to earn an income to meet basic needs).
- By looking more widely at household needs and taking a more holistic multi-sector approach, agencies can gain a better understanding of household, neighbourhood, and sub-city needs and priorities.
- Even if agencies can only respond in one sector, they could advocate for additional funds or advocate to other agencies to respond.

As illustrated in Figure 1, programme teams should review response options, modalities, and delivery mechanisms regularly on the basis of the monitoring and evaluation data. Adaptive programme management principles² should be applied when designing programmes to enable modifications to responses, modalities, and delivery mechanisms if required.

¹ Needs assessments are part of a situation analysis.

² Adaptive management enables programmes to achieve greater impact in complex, fluid environments. Although it has multiple interpretations and uses a range of methods, depending on the situation and goals, the overarching principle is the importance of being analysis driven and sufficiently agile in order to drive iterative improvements to programmes and operations as contexts change (adapted from Mercy Corps/IRC, n.d.).

Figure 1: Response Analysis Framework



Source: Adapted from FAO (2011)

1.2 Response analysis in urban contexts

Designing humanitarian responses for urban contexts can present a challenge for non-governmental organisations such as NRC. In part this is due to the complexities of an urban context, the scale and severity of chronic and acute needs within densely populated (often informal) settlements commonly characterised by high rates of population density and mobility, un/under employment, vulnerability and social marginalisation.³ The lack of formally defined community representation or structures can also pose a challenge. Additional challenges are institutional with humanitarian organisational decision making tending to be hindered by ‘path dependence’, meaning that the range of options is limited to previously decided priorities and parameters that can be set by donors, governments and implementing agencies themselves (Darcy *et al.*, 2013). Decision makers should be mindful of path dependence when designing urban humanitarian programmes, as they need to be innovative and flexible, reflecting the context in which they operate and the people they serve (Campbell, 2016: 25). A comprehensive description of response analysis challenges in urban contexts is available in Mohiddin and Smith, 2016, summarised in Section 1.2.1.

Recent urban responses demonstrate the efficiency and effectiveness of cash responses (such as multipurpose cash grants (MPGs))⁴ in meeting the basic needs of displaced populations in areas where markets work and are accessible (see Box 1). As MPGs are calculated on the basis of gaps within the target population’s household minimum expenditure basket (MEB), basic needs across sectors are represented and quantified in monetised terms. Significant learning on the use of MPGs to meet needs alongside sector-specific interventions has been gained from Lebanon as part of the Syria crisis response (see Box 11).⁵

The ODI High Level Panel publication on humanitarian cash transfers urges the humanitarian community to “give more aid as cash, and to make cash central to future emergency response planning” (ODI, 2015: 7), and includes the following recommendations that are relevant to urban response analysis (*ibid*: 6):

- “Implement cash programmes that are large scale, coherent and unconditional, allowing for economies of scale, competition and avoiding duplication
- Leverage cash transfers to link humanitarian assistance to longer-term development and social protection systems, and
- Where possible, deliver cash digitally and in a manner that furthers financial inclusion.”

³ For more information on urban contexts and crisis refer to Brown *et al.*, 2015.

⁴ See Section 1.3 for additional information.

⁵ MPG programme evaluations are available at www.cashlearning.org/

BOX 1: CASH AS A RESPONSE MODALITY IN URBAN CONTEXTS

Although the dominance of cash interventions in meeting basic needs in urban contexts is openly acknowledged in this document, it also recognises:

Cash responses may not be appropriate in all contexts, or applicable in meeting the needs of all assisted populations (displaced and host).

Populations can be supported with a range of responses (cash and/or in-kind and/or advocacy) that can be implemented at the same time or in sequence, depending on the needs of the target population.

Displaced populations may require complementary sector-specific responses in addition to basic needs support that may be met through MPGs. These complementary responses may – or may not – include cash transfers and may include legal representation and support, and housing supply stimulation through landlord construction grants (see Figure 3 for other examples).

1.2.1 Main challenges faced in urban response analysis

Although some of the available response frameworks could be adapted to urban contexts, none had been developed for urban contexts in which a number of additional elements need to be considered or highlighted. These include but are not limited to:

- **Active inclusion of key urban stakeholders, including public administration institutions, municipalities (administrative and legislative bodies), business and business associations (can be non-profit but represent business interests), NGOs, non-institutionalised civic initiatives (which usually are networks of civic activists).** Urban contexts demand the active inclusion of these stakeholders in the vulnerability and needs assessment and response analysis, especially those from the sector who supply basic services (water, housing, electricity, health, waste removal, etc.) and provide information and legal assistance in urban contexts. The impact and sustainability of urban programmes can be significantly influenced by government bodies and influential stakeholders and gatekeepers⁶ that may also require some assistance (see Box 5) (Cross and Johnston, 2011).
- **Existence of acute and chronic needs within population groups at the same time.** Vulnerability and needs can vary across socioeconomic and cultural groups. Many humanitarian response analysis frameworks tend to focus on acute needs for specific sectors. Recommended responses include multi-sector responses to meet immediate needs, and sector-specific responses that can address medium- to long-term needs.
- **High numbers of heterogeneous groups often living in densely populated informal, insecure housing with poor access to basic services including education, government and legal representation.** An urban response analysis framework requires a broader, systems approach⁷ in its analysis of contextual data to ensure the bigger picture is considered prior to designing a programme and undertaking targeting.
- **Urban poor population vulnerability and protection needs can be chronic and complex, significant and overwhelming, requiring long-term engagement** with the government and/or private sector. Recommended responses include longer-term programmes that involve addressing local government needs, capacity building, advocacy and working with the public and private sector.
- **High dependence on formal and informal markets for livelihoods, basic needs, information, transport, etc.** Urban responses should utilise markets (using supply and demand side responses) where possible, without putting the targeted population at risk. Urban responses need to reflect that households are often engaged in multiple livelihood activities and engage in multiple markets as consumers and suppliers of services simultaneously.

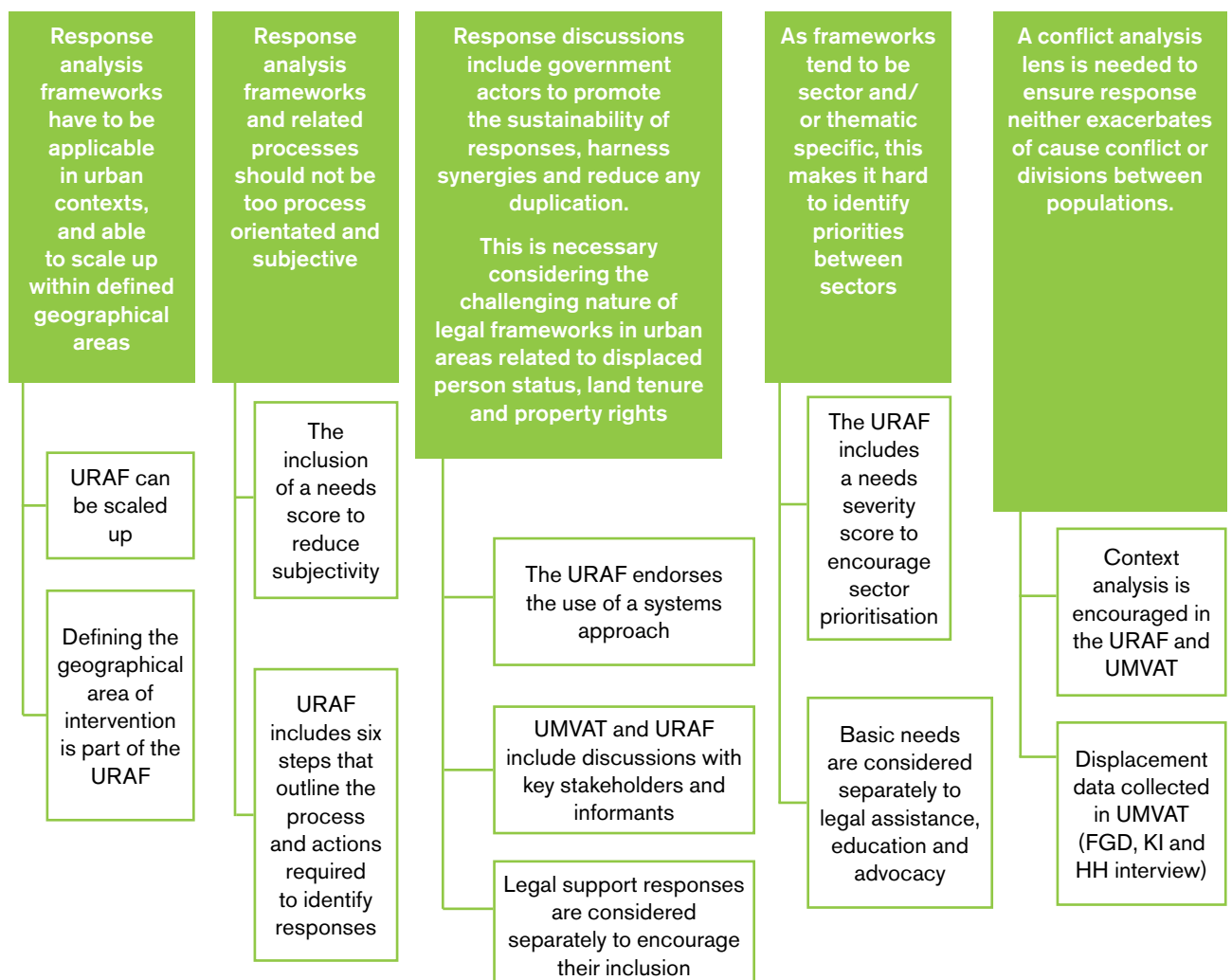
⁶ "A person or thing that controls access to something, or that monitors, selects, and can withhold, information, etc." (Tana and iDC, 2013: 10)

⁷ "A systems approach focuses on the linkages, interconnections and interrelationships between different parts of a system. The urban system includes economics and livelihoods, politics and governance, society and culture, infrastructure and services, and finally space and settlements. These aspects of the urban context are all interconnected, dynamic and changing" (Campbell, 2016: 6).

- **Poor demarcation of urban boundaries within fast growing highly populated urban areas and challenges in identifying representation or leadership at a community level.** Urban response analysis recommends the identification of specific geographical area(s), such as area-based approaches (ABA and/ or the identification of specific group(s) to target. ABAs are endorsed by the Inter-agency Steering Committee (IASC); and the Global Alliance Urban Crisis, recommended in the urban Sphere Guidelines (Mountfield, 2016), and are outlined in Parker and Maynard, 2015. Community participation and engagement are vital in the collection and sharing of information, the identification of urban community groups, as well as to gauge community sensitivities to displaced populations and mitigate potential risks. Urban community typologies are discussed in Step 1.
- **Engagement with some urban populations or specific geographical areas can result in heightened political interest or aggravate negative feelings of members of the host community.** An understanding of political and cultural sensitivity must be included in an urban response analysis.

Figure 2 highlights five challenges (in shaded boxes), with examples as to how the URAF and the associated Urban Multi-sector Vulnerability Assessment Tool for displacement contexts (UMVAT) aims to mitigate them.

Figure 2: Challenges of urban response analysis and URAF mitigation



Source: Mohiddin and Smith, 2016

1.3 Urban contexts and cash transfer programmes

As urban economies are primarily cash based, with urban populations 'consumption driven' (ie individuals and households rely on markets for all their needs from labour to food and basic services) (Campbell, 2016:25) depending on the context and identified gaps in assistance, **urban responses increasingly provide displaced and host households with cash assistance for a range of basic needs alongside sector-specific responses.**

The calculation of minimum expenditure baskets (MEBs) has resulted in the acknowledgement of the range of goods and services across humanitarian sectors required by a household over the duration of a month. The MEB is defined as "what a household requires in order to meet basic needs – on a regular or seasonal basis – and its average cost over time. Basic needs are defined by affected households themselves (International Humanitarian Law and Sphere Standards)" (ERC, 2015: 4).

Therefore, the formulation of a MEB demands discussion between sectors. Basic needs listed in MEBs include: food and non-food items; water and sanitation supplies and costs associated with education; health; transportation; cooking; rent; and communication (UNHCR, 2015: 22). Displaced urban households often require support to access basic needs for numerous reasons including: the absence of income-generating opportunities; displacement status affecting their right to work; lack of documentation; legal representation and recourse.

The urban environment both opens up opportunities and poses constraints for humanitarian assistance in response to crises in urban areas. Response options need to consider factors such as well-developed financial services, cash-based economies, mobile network coverage, access to competitive and integrated markets, and strong governance systems. Consequently, urban contexts have the potential to enable the use of cash transfers as a multi-sector response tool and opportunity to move from a single sector orientated response system to something more cohesive, integrated and tailored to needs and national context specifications (Humanitarian Futures Programme, 2014; Smith and Mohiddin, 2015). Cash assistance will have value as a stand-alone humanitarian response tool, but when considering the complexity of needs, other forms of assistance are also relevant, such as mixed modality interventions (Smith and Mohiddin, 2015). In fact, "the question is less about whether cash is appropriate but more about the conditions needed for CTPs (cash transfer programmes) in urban contexts to be more effective" (ibid: 48).

Cash interventions play a significant role in urban responses as has been seen in recent urban crises, most notably the Syria refugee crisis. The urban environment lends itself to the use of CTPs, especially in first phase humanitarian responses, as highlighted in Smith and Mohiddin, 2015. Multiple benefits can also be attained from using cash as a response modality, potentially increasing the cost efficiency and effectiveness of a response (Bailey and Pongracz, 2015).

Agencies should consider cash-orientated response modalities where appropriate, in meeting **basic needs via MPGs (see Box 2) and in complementary sector-specific responses** (See Figure 3) **that can build the resilience** of poor and vulnerable urban displaced and host populations. Organisational internal policies and capacities regarding the use of cash transfers should be referenced during Steps 4 and 5 of this framework and when designing programmes. Links to tools such as decision trees that have been developed with cash programming in mind are provided and should be adapted for purpose and applied to support decision making (see Step 4 for additional guidance).

This framework acknowledges the effective role cash transfers (such as MPGs) can have in urban areas to meet the basic needs of the displaced, but **does not assume the feasibility and appropriateness of cash in all urban contexts and for all sectors** (Global Shelter Cluster, 2016). The effectiveness of MPGs depends on the context, as not all beneficiary needs or programme objectives may necessarily be best met through a single fungible grant, for example support for shelter needs and livelihoods asset recovery. The MPG value should be based on the assistance gaps in the target population's MEB.

1.4 Urban response option menu

The URAF encourages the user to **consider a wide range of response options on the basis of the appropriateness of the response modalities according to the programme objective, context, and the needs and preferences of the population assisted.** Therefore the response to a specific population group could consist of the provision of basic needs alongside tailored responses in livelihoods, education, and WASH. A list of potential complementary sector-specific responses that should be considered alongside basic needs provision (if required) and coordination assistance and community governance strengthening is provided (see Figure 3).

Complementary responses that can increase the resilience of households should be considered. As resilience building requires more than the possession of material assets and depends on the interplay of factors, including access to power structures, social organisation, governance, and the nature and role of institutions in a society, a systems approach to urban response analysis is further endorsed. The importance of **non-material aspects of livelihoods** is underestimated by humanitarian agencies according to the Overseas Development Institute's (ODI's) research on humanitarian assistance and livelihoods.⁸ The Hyogo Framework for Action (HFA) to build the resilience of populations to disasters highlights five priorities that humanitarian and development actors should integrate into their work. These include:⁹

- Ensure that disaster risk reduction is a national and a local priority with a strong institutional basis for implementation
- Identify, assess and monitor disaster risks and enhance early warning
- Use knowledge, innovation, and education to build a culture of safety and resilience at all levels
- Reduce the underlying risk factors (social, economic, and environmental conditions that can lead to a disaster), and
- Strengthen disaster preparedness for effective response at all levels.

The registration of poor and vulnerable displaced households into existing social safety nets is a response option increasingly considered and applied by humanitarian agencies in protracted contexts. The Cash Learning Partnership has a dedicated page on social protection where on-going research and papers are shared.¹⁰ Research papers include Slater and Bhuvanendra (2014) and Kukrety (2016).

BOX 2: WHAT ARE MULTIPURPOSE CASH GRANTS?

Multipurpose Cash Grants (MPGs) are **unrestricted** cash transfers that “place beneficiary choice and prioritisation of his/her needs at the forefront of the response”.¹¹ MPGs can be conditional or unconditional.

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. Assistance that is less fungible (exchangeable) risks being sold or converted to meet other, more pressing, needs. When people are not able to meet priority needs, they engage in negative coping mechanisms to increase their income or reduce their expenditures, such as taking on dangerous or illegal work, or taking children out of school.

Source: ERC, 2015: 3

⁸ See www.odi.org/projects/2359-resilience-humanitarian-livelihoods

⁹ See Humanitarian Coalition; Building Resilience at <http://humanitariancoalition.ca/media-resources/factsheets/building-resilience>

¹⁰ www.cashlearning.org/thematic-area/social-protection

¹¹ 'Unrestricted' denotes that the cash is not restricted to certain types of expenditures or vendors (sector specific). 'Unconditional' refers to the fact that beneficiaries do not need to meet conditions (attend a training, produce receipts, etc.) to receive cash, only be eligible based on vulnerability criteria. MPGs can be conditional or unconditional (ERC, 2015: 3).

Figure 3: Urban response menu example, multi-sector cash + sector-specific responses



Source: Developed by Lili Mohiddin

1.5 The URAF: purpose and outputs

1.5.1 What is the URAF?

The URAF consists of six analytical steps – from the collection of assessment data to the identification of potential responses and target groups (see Figure 4). Each step includes a checklist of aspects for consideration, some guidance and tools that can be applied. The steps also encourage the utilisation and consideration of the humanitarian sector's best practice examples tried and tested tools and lessons learned.

Figure 4: URAF six steps and outputs



Users are encouraged in the application of the six steps to:

- Utilise operational context analysis and vulnerability and needs assessment data to get a sense of the 'big picture' that includes information from multiple sectors and, public bodies and private service providers.
- Build on context analysis using tools such as the urban context analysis toolkit (IRC, 2017). Contextual factors internal and external to the implementing agency need to be assessed. Internal, operational context analysis includes organisational elements such as strategy and resources (human and financial). External elements range from an understanding of government and UN response policies and strategies, socio-cultural factors including social cohesion, legal frameworks and policies pertinent to displaced populations, and elements related to cash transfer programme pre-conditions (such as market assessments, beneficiary preference, security, protection and risk analysis).
- Undertake broader needs analysis prior to a focus on sector-specific needs and the identification of groups with significant needs and/or higher levels of vulnerability. This can be supported using a sector-orientated 'needs

severity score' (calculated using data from the UMVAT) that provides objective data regarding needs per sector for consideration alongside information related to gaps in assistance, organisational capacity and such like (see Annexes 2A and B).

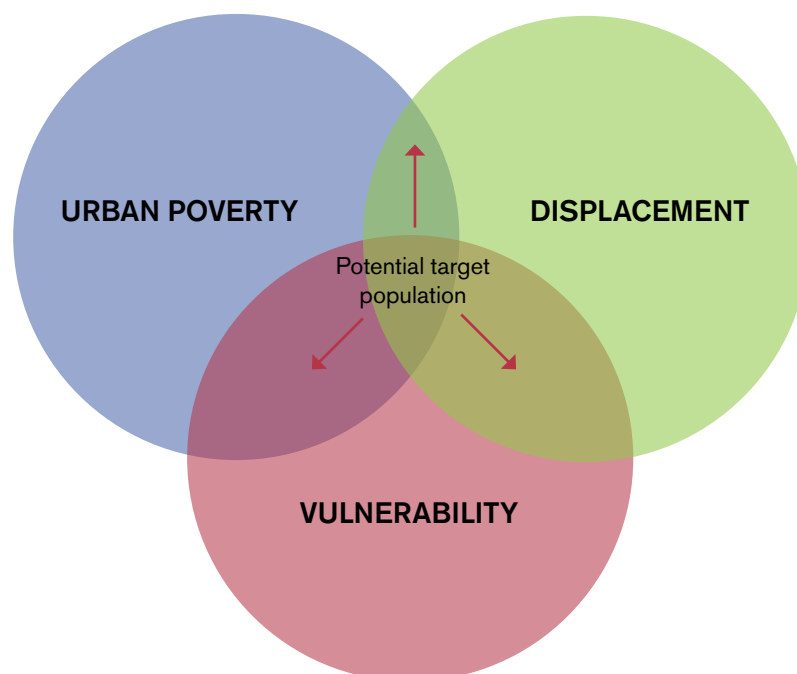
- Identify responses that meet needs across sectors (such as MPGs) and utilise existing systems (markets and financial systems) that have multiplier effects and benefit a wider population (improving the access and availability of services for example).
- Harness the role of coordination (vertically and horizontally) to ensure and support coherence and consistency in response options chosen and to optimise programme impact.
 - Websites such as Humanitarian Response (www.humanitarianresponse.info) provide key information and resources: cluster and sector coordination group meeting times, meeting minutes, needs assessment reports, response strategies, coordination focal points, etc.
 - Organisations including the Cash Learning Partnership (www.cashlearning.org) support regional- and country-level cash working groups in which response strategies and cash feasibility analyses and research are often undertaken.

1.5.2 Assessment data needed to use the URAF

Although the URAF can be applied with needs and vulnerability assessment data collected from a number of sources (including secondary data), this document recommends the application of the UMVAT.

The UMVAT collects and analyses qualitative and quantitative data across sectors related to vulnerability and basic needs, including information counselling and legal assistance (ICLA), housing land and property (HLP) governance and protection. As not all displaced households are poor and will require assistance, the **UMVAT assists the identification of potential target households** through the collection of data related to displacement, urban poverty, and vulnerability (see Figure 5).

Figure 5: Potential target population



1.5.3 The purpose of the URAF

The URAF supports the identification of appropriate multi-sector urban programmes for urban displaced and vulnerable populations (see Figure 3) in a participatory workshop type environment. The URAF will do this taking into consideration the needs and vulnerabilities of the population, and the wider internal and external operational context in which organisations operate and the displaced population lives.

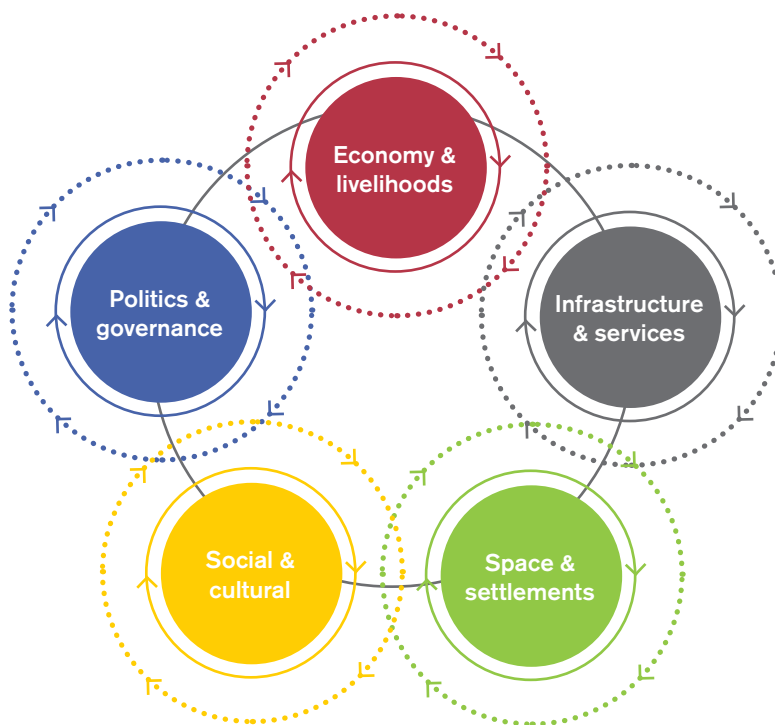
1.5.4 Added value of the URAF

The URAF takes into consideration the challenges faced in urban response analysis (as outlined in Section 1.2.1). In doing so, the URAF takes a systems approach **to urban response analysis, by focusing on the linkages, connections and relationships between factors related to vulnerability and basic needs within the urban system**. Figure 6 outlines a typology of five urban systems. The URAF collects qualitative and quantitative data from all five systems outlined, and the URAF utilises information from these five types of system over its six steps. These six systems include (Campbell, 2016:26):

- 1. Urban economic and livelihood systems** which depict the production, consumption and balance of resources in an area. Urban economies are primarily cash based, with populations typically relying more on wage labour than on agricultural production.
- 2. Urban politics and governance** which are about decision making and power, and may be why some have described them as “the processes and structures that form the institutions through which people are excluded and included in cities”.
- 3. Urban social and cultural systems** which describe the beliefs and behaviours of urban populations. The large number of diverse people concentrated in an urban area creates a cosmopolitan urban culture and social system, which is spatially organised and to some degree spatially segregated.
- 4. Urban infrastructure and services** which can be understood as “the provision of commodities, actions or other items of value to an urban population”. They include water, sanitation, waste management, transportation, energy, health, emergency services, education, public safety, and social welfare systems.
- 5. Urban space and settlements** are the diverse range of natural (including green space, geology, water, etc.) and physical (streets, buildings, public spaces) environments and human settlements that comprise any urban context. Urban space and settlements are by their nature different from rural, agricultural contexts on a physical level, and also because urban environments shape the social, political and economic aspects of urban living.

As each urban context is unique and dynamic, a systems approach helps us to approach the context in a way that can be practically useful and easily understood, as most urban areas share similar attributes when it comes to their economy, politics, social, infrastructure and physical spaces. Please refer to Campbell, 2016 for additional information and examples.

Figure 6: Types of urban systems



Source: Campbell, 2016: 25

1.5.5 Contexts in which to apply the URAF

The URAF is applicable in protracted and sudden-onset emergencies in urban contexts. Although the focus is on displaced urban populations, the URAF six steps could be applied with some modifications to non-displacement contexts.

1.5.6 URAF outputs

The URAF endorses the documentation of discussions to make decisions more accountable and improve programme evaluations and learning. By the end of Step 6 of the URAF, programme teams should have the following outputs:

- **Identification of which needs should be prioritised in multi-sector programmes.** On the basis of needs and vulnerability assessment data, a prioritisation of needs is undertaken with the help of a needs severity score (see Step 2).
- **A broad idea of the populations to be targeted,** for further identification using NRC's guidance on targeting in urban displacement contexts (Smith, Mohiddin and Phelps, 2017). Needs are rarely homogenous across displaced and vulnerable populations. Step 2 of the URAF supports initial investigations into potential target groups.
- **Defined programme objectives, response modalities and delivery mechanisms** that can be utilised to provide a comprehensive response using integrated multi-sector programming. A systems approach enables practitioners to consider the impact and influence of the planned intervention, and in so doing, identify complementary, mitigation or risk management activities should they be required. The identification of response recommendations takes place in Steps 3, 4 and 5.
- **Programme and context-related indicators for monitoring** to ensure the on-going appropriateness of the programme responses selected.

1.5.7 URAF link to programme cycle management (PCM)

The URAF has been designed for use in the programming, identification and preparedness phases of PCM processes whereby country strategies are developed on the basis of needs assessments. These phases of the PCM bring support function programme management teams together in order to jointly discuss programmatic response options for the needs of the displacement-affected communities in country.

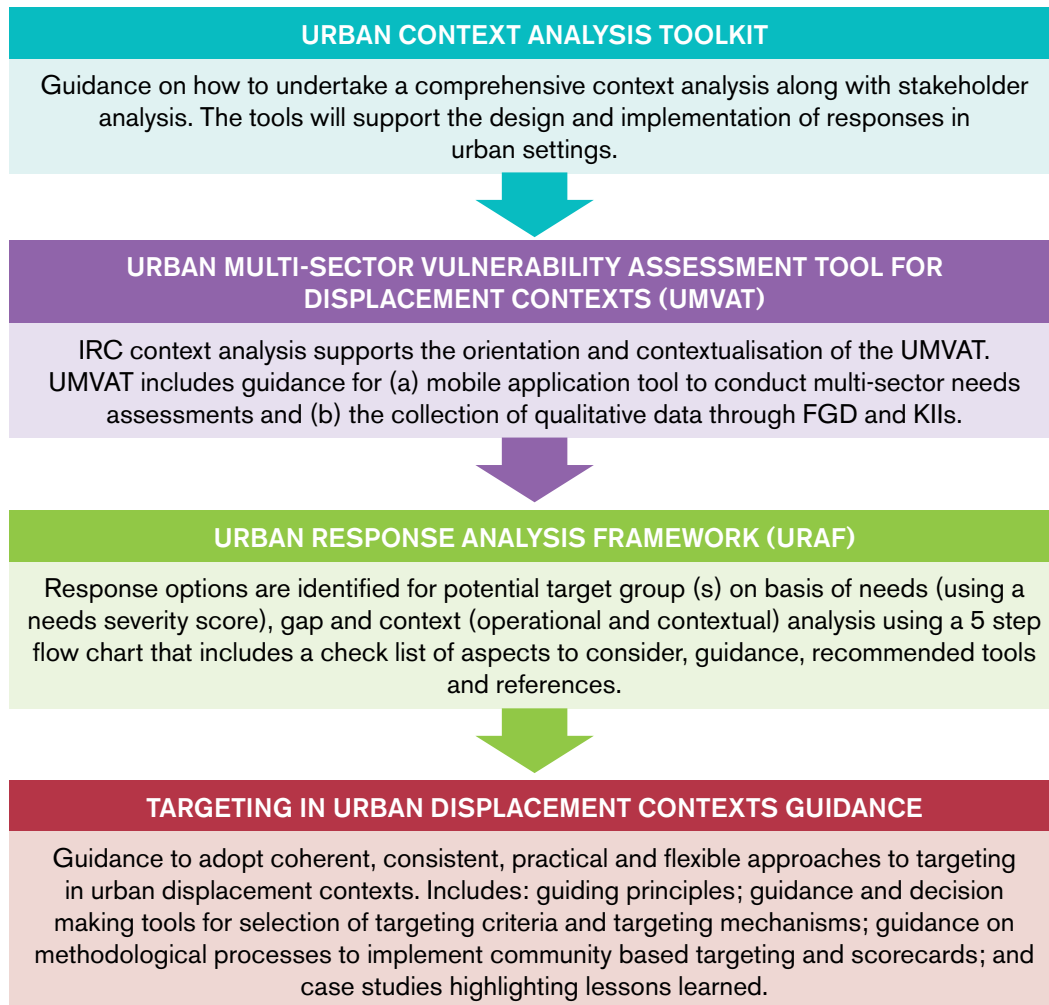
1.5.8 Target audience

The URAF is targeted at decision makers, be they technical specialists or programme managers. This framework should be applied in a workshop/interactive meeting led by programme managers, with crucial input from technical team members and support functions. Assuming the information required to answer the questions posted in the URAF framework is available, it is estimated that the time required to complete the URAF is between four to six hours, ideally spread over two days to enable reflection and additional information gathering. The framework assumes the application of a gender and protection lens to the analysis.

1.5.9 When to apply the URAF

The URAF should be applied before targeting and after undertaking needs and vulnerability assessments, during the programming phase of the PCM. The URAF is part of a broader suite of urban-specific guidance and tools, which may be accessed at www.iied.org/stronger-cities-initiative (see Figure 7).

Figure 7: The response framework as part of a broader suit of urban tools



Part 2. The Urban Response Analysis Framework for programming flow chart and guidance

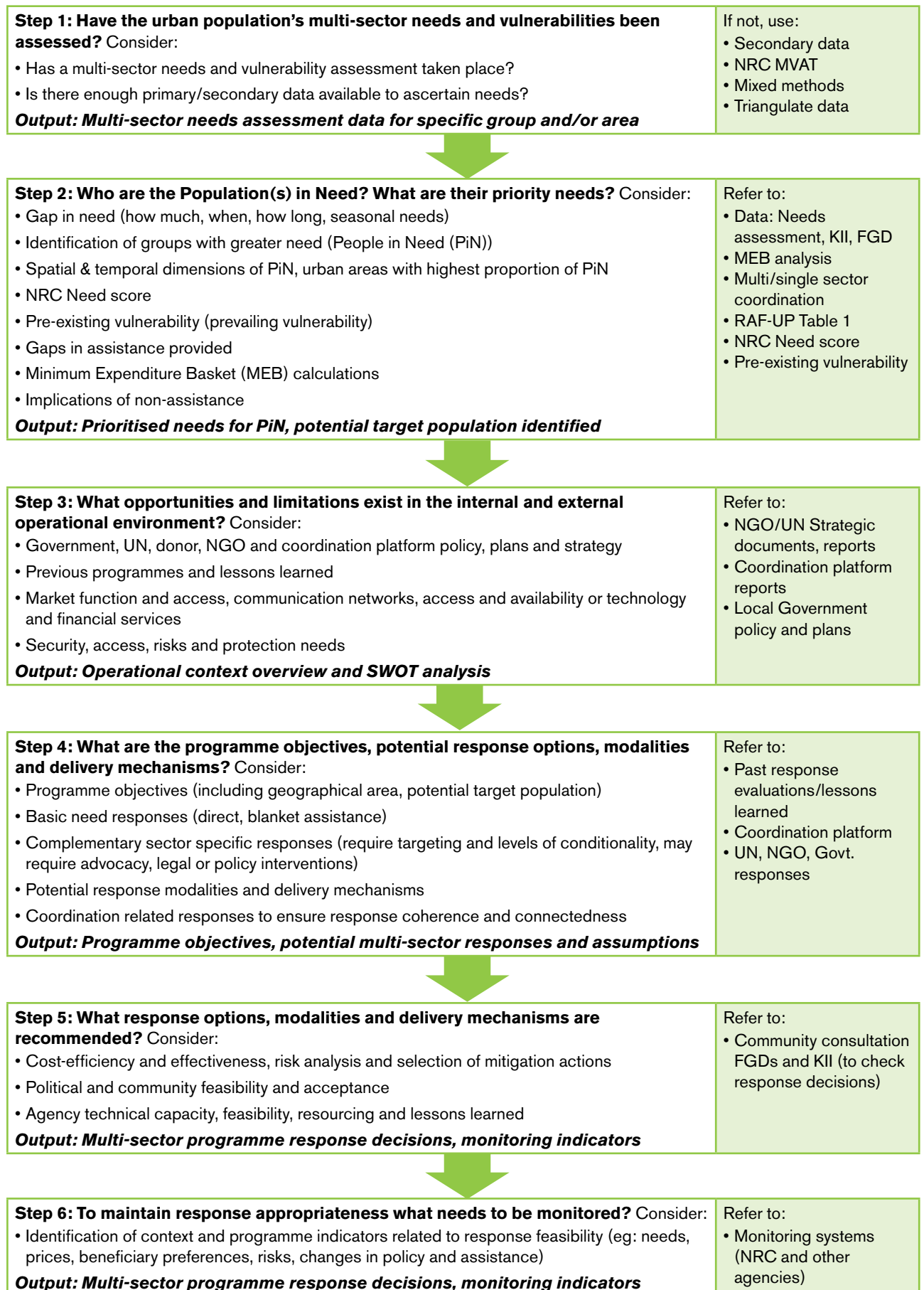
2.1 The Urban Response Analysis Framework for programming flow chart

The URAF flow chart (Figure 8) provides a step-by-step approach to response analysis decision making from needs assessments to finalising response options.



Monica, South Sudan. Credit: Christian Jepsen NRC

Figure 8: URAF flow chart



2.2 URAF Step 1 to Step 6 guidance

Step 1: Have the urban population's multi-sector needs and vulnerabilities been assessed?

Discussion key question checklist:

- Has a multi-sector vulnerability or needs assessment taken place?** What qualitative and quantitative methodologies have been used? Has data collection taken place at a household and community level?
- Is the assessment focused on a **specific geographic area and / or a specific community?**
- Is there sufficient **primary or secondary data available** to ascertain needs and vulnerability?¹²
- Have needs **assessment findings been triangulated?** Quantitative findings can be verified using community consultations and focus group discussions with key informants and stakeholders.

Output:

- Multi-sector needs and vulnerability assessment data for assessed urban population

Keep in mind:

A key pre-requisite to response analysis is vulnerability and needs assessment data. Having an understanding of multi-sectoral vulnerabilities and needs across sectors within the population an agency has interest in supporting is an important pre-requisite to undertaking response analysis. If this data has not been collected and analysed, it needs to be. Guidance on undertaking urban needs and vulnerability assessments is available, including but not limited to JIPS, 2014 and Currión, 2015. For a comprehensive review of other needs assessment tools for application in urban contexts see Mohiddin and Smith (2016).

The urban needs and vulnerability assessment should consider certain geographical areas and/or specific communities that either inhabit or utilise them. Guidance on identifying geographical areas to focus the needs and vulnerability assessment is available as part of the UMVAT and on the ALNAP urban portal website (see Annex 1). The assessment team need to keep in mind the mobility of the urban displaced population of interest and maintain some flexibility regarding geographical focus and choices. Urban populations can be highly mobile, residing in one geographical area, working in another, and participating in a number of community groups in both locations (see Box 3).

BOX 3: URBAN COMMUNITY CONSIDERATIONS TO KEEP IN MIND

Identifying urban communities can be a challenge as urban populations are part of a diverse range of communities, most of which are not geographically bound. It is not uncommon for the urban poor and displaced to live in one area and seek services and/or employment in another.

It cannot be assumed that a spatially-defined neighbourhood equals a community. Urban areas consist of a multitude of communities operating on different levels and across spaces

When identifying urban communities to engage in, consider these six typologies which overlap:

1. Communities of place: common spatial connection
2. Communities of interest: formed around a common issue/concern
3. Communities of resistance: shared experience of crisis/displacement
4. Communities of culture: shared language, beliefs, values
5. Communities of practice: common livelihoods, and
6. Virtual/digitised communities: connected through new/social media.

Source: Adapted from Campbell, 2016: 16

¹² Getting a sense of having enough information can be gained from using checklists and guidance, including Currión (2015; 2014).

Keep in mind the link between needs assessments and identifying potential target groups. Unless the needs assessment is integral to the continuation of a programme in which the same population is targeted but potentially with different activities (on the basis of the needs assessment), generally speaking at this point in time no final decision has been made regarding the population group that an agency will target. Targeting decisions are based on a number of factors, including needs assessments findings, gaps in assistance, and organisational strategy.

Ensure the needs assessment data include demographic groups of interest. For example, the needs of the elderly may be different to those of the youth or families with multiple children. To enable the identification of potential target groups, what is needed is data disaggregated by different characteristics, including by age, sex, dependency ratio, etc.

Include host communities in needs and vulnerability analyses and consider them as potential beneficiaries. Include a comparative analysis of needs between the displaced population of interest and the host population to get a sense of comparative vulnerability and need within the host community, and to enable the inclusion of host community households in the urban programme to reduce any social tension and increase social cohesion and interrelationships (see Box 4).

BOX 4: CASH IN URBAN AREAS LITERATURE REVIEW RECOMMENDATION

A recent literature review (Smith and Mohiddin, 2015) highlighted and recommended the targeting (directly as beneficiaries, or indirectly as recipients of benefits in service provision or increased income) of poor and vulnerable urban host households and service providers. The review underlines the importance of understanding if the impact of humanitarian assistance for displaced populations is at the expense of host communities, and of social cohesion and security. If so, agencies should design accompanying measures to support host communities, as well as activities (through or alongside cash and/or in-kind assistance) that bring host and displaced communities together based on a careful analysis of local attitudes, behaviours and power dynamics. Examples of activities from the review include:

- Unconditional and conditional cash assistance to hosting families, including MPGs (an example of direct assistance).
- Cash grants to landlords to repair existing housing stock and create new housing stock for temporary, semi-permanent, transitional or other forms of intermediate shelter (an example of in-direct assistance).
- Implementing quick impact projects (QIPs), in partnership with local authorities, the private sector and community-based organisations to deliver labour-intensive projects in refugee-populated areas.

Engagement with host governments on ways to increase the capacity of local governments and associated service providers to provide basic services to local and displaced populations. See Box 5 for an example.

Explore possibilities of conducting a joint needs and vulnerability assessment with local authorities and other key stakeholders if feasible and/or if they have not already conducted any needs assessment in the targeted area. Involving local government and key stakeholders in the assessment process can result in a higher level of institutional engagement and acceptance of responses. Box 5 illustrates such an approach.

BOX 5: MERCY CORPS LEBANON'S WORK WITH REFUGEES: ENGAGING MUNICIPALITIES

Mercy Corps Lebanon identified an enormous potential to address pressing social-economic needs in collaboration with municipal actors who they saw as understanding and prioritising community and refugee needs, despite a lack of resources. To encourage the humanitarian sector and donors to provide local municipalities with the resources they lacked, Mercy Corps developed a policy brief that outlined the needs of the refugee and host communities as well as those of the municipalities. The brief includes details as to how the wider humanitarian sector and central government can better support and engage municipalities in reconciling the growing challenges of the refugee crisis. Data that supported this brief were collected in partnership with municipal unions.

Source: Mercy Corps Lebanon, 2014

Triangulate and check vulnerability and needs assessment data. If there are concerns regarding the quality of the data, the methodology used to collect the data should be examined. Triangulating or 'ground truthing' data with other primary/secondary data – including undertaking community consultation meetings, FGDs with key informants and stakeholders – can be useful approaches to verifying data.

Due to political sensitivities related to supporting displaced populations in urban contexts, keep the following in mind when identifying urban key stakeholders, as power, incentives and interest are not the only aspects to consider when identifying whom to contact (adapted from Campbell, 2016: 41; 42):

- **Undertake key stakeholder matrix and mapping.** Included in the context analysis toolkit for urban contexts developed by IRC, is a matrix that identifies, summarises, and ranks stakeholder interest and incentives in relation to categories such as types of institutions, key services, etc. (See Annex 1).
- **Understanding the inter-relationships between key stakeholders** and any potential (hidden) **agendas linked to their engagement** in decision making will be a worthwhile exercise, especially if there could be a conflict of interest.
- **Functions and responsibilities.** Who are the key stakeholders and what are their relative roles and responsibilities? Their titles may give them automatic credibility within the international community, but does the population of interest have a similar opinion? Does the displaced population identify someone else as a key stakeholder?
- **Do the key informants have a political/social agenda** that may not be apparent? Are their motives clear and transparent when you started engaging with them?
- **Do you have an understanding of their capacity** (presence, visibility and credibility of the actor, **and resources** available (including financial and human resources and networks) and vulnerability (mental, physical, financial and emotional aspects, including their position and whether or not it could be compromised)?

The prioritised needs of a population group will not remain static and will require monitoring. Analysis should appreciate how **contextual and seasonal changes can affect needs and priorities.** Contextual changes include the operational context, such as the provision of assistance and the political and socio-cultural context in which the populations reside, ie sudden policy change regarding cash transfer programming, data sharing, etc. Monitoring can play a key role in keeping track of changes in needs and the wider context.

Assumptions are made in analysing data and reaching conclusions regarding needs and priorities. Assumptions should be informed and realistic, based on likely trends and past events. Any assumptions made should be **documented and monitored.**

Tools to use in Step 1:

What assessment tools are available? Assessment tools that can be applied in urban contexts have been collated and are outlined in Mohiddin and Smith, 2016.

A number of online assessment resource banks that share assessments, context analysis, and related documents should be referenced including:

- Profiling and assessment resource kit (PARK) by JIPS and ACAPS, 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 (www.acaps.org/park-profiling-and-assessment-resource-kit).
- UNHCR's online handbook where users are able to navigate handbook webpages and seek guidance on specific topics at the click of a button (<https://emergency.unhcr.org/>)
- The Humanitarian Response website, which also provides country specific reports (www.humanitarianresponse.info).
- The Active Learning Network for Accountability and Performance in Humanitarian Action (ALNAP) / UN-Habitat urban humanitarian response portal (www.urban-response.org).
- UNHCR Good Practice for Urban Refugees (www.urbangoodpractices.org).

The publication 'Using the Sphere standards in Urban Settings' (Mountfield, 2016) can assist the assessment team in contextualising assessments to urban contexts.

Understand social networks throughout the response analysis process using a tool such as the IRC's Social Network Analysis Handbook (IRC, 2016). "Social networks exist wherever people are connected: within organisations, communities, between clients and service providers, within markets, and even within and between conflicting parties. Put simply, a social network is made up of a number of actors who are connected by some type of relationship. Social network analysis is the process of mapping these relationships, and analysing the structure of the network and the influence of different actors" (ibid: 1). See Box 6 for more information.

BOX 6: VALUE OF SOCIAL NETWORK ANALYSIS

Social network analysis is valuable for better understanding:

- i) Which actors are involved in a network
- ii) How they are linked
- iii) How influential each actor is
- iv) What their motivations are, and
- v) How the network is structured.

This information can enable:

- i) Better informed project design
- ii) Client / partner input in project design and/or evaluation
- iii) Partner / stakeholder mapping
- iv) The development of advocacy strategies
- v) Informed programme transitions, and
- vi) Programming in a conflict-sensitive manner.

Source: IRC, 2016: 1

Step 2: Who are the population(s) in need and what are their priority needs?

Discussion key question checklist:

- In which sectors do the assessed population have unmet needs?**
- Which sectors should be prioritised for assistance?** Does the 'needs score' indicate a sector with higher needs than another?
- How severe are the needs experienced by the assessed population?** Do we know approximately what percentage of the population has these needs and where they are concentrated?
- Who are the displaced and host community? What is the pre-existing vulnerability of this community?** What is the social structure or demographic characteristics? (eg ethnic/religious composition, percentage of youth, percentage of male/female, etc.)? Are there some groups within the population that have greater needs (of a higher priority) than others?
- What is the scale and duration of needs?** Does the needs assessment include seasonal trends and compare the situation at the time of the assessment to longer-term trends (to get a comparative understanding of the current situation)?
- Has a gap in needs been estimated using the minimum expenditure basket (MEB),** and considering the capacity of displaced and host households to meet own needs and assistance from other agencies?
- What is the pre-existing vulnerability of the displaced and host community?**
- If no assistance is provided, what are the implications** to the unassisted and host populations?

Outputs:

- **Prioritised needs for the population in need**
- **Potential** target population identified



Mirjam Lebanon. Credit: NRC

Keep in mind:

Understanding needs and prioritised needs. Data from the multi-sector vulnerability and needs assessment (such as the UMVAT) should be used to gain an understanding of priority needs within the assessed population. Priority needs may be unmet needs, or needs that are only partially met by other agencies but perceived as being vital (for example insufficient food or rental assistance).

*Agencies should **not assume**:*

- **That assistance being provided by other agencies meets all needs** faced by the displaced households, within a sector, or across sectors.
- **Community and households priorities.** Consultations should be undertaken to gain a good understanding of priorities and reasons behind these choices.

The minimum expenditure basket (MEB) for the population in need should be calculated. This can be done using the data collected from the needs assessment, secondary data and from inter-cluster coordination and working group meetings. The MEB is 'defined as what a household requires in order to meet basic needs – on a regular or seasonal basis – and its average cost over time. Basic needs are defined by displaced households themselves, International Humanitarian Law and Sphere Standards' (ERC 2015: 4).

The MEB provides agencies with a monetised calculation of essential household expenditures and is very useful when determining cash transfer values, such as MPG value. By considering all household needs (across sectors), household needs are considered and included in the MEB value. The process of defining the MEB brings sectors together and enables agencies (internal and coordination meetings) to identify gaps in assistance. Part 1.2 of the 'Operational Guidance and Toolkit for Multipurpose Cash Grants' (ERC, 2015) provides useful guidance on how to calculate the MEB.

Calculate gaps in need considering the MEB and assistance provided by agencies/government/NGOs/UN and the capacity of the population to meet their own needs. A second calculation may be required to reflect seasonal gaps. When calculating the gap:

- (a) Understand what households need to meet their basic needs (the MEB)
- (b) Assess the capacity of households to meet their own needs without the use of irreversible or damaging coping strategies, and
- (c) Estimate what assistance is provided by agencies/ the hosting government.

Therefore the gap in needs can be seen as:

Total need = (MEB) Capacity of population to meet needs Assistance from others

Be mindful of the value of the MEB and MPG as this could lead to tension between poor host and displaced households. Challenges have been faced in Lebanon and Jordan during the Syrian refugee crisis response due to the relatively high value of the cash assistance given in MPGs compared to the wages of the urban poor in the host communities (Smith and Mohiddin, 2015).

An understanding of severity of need is required. Within the population in need, there will be various groups or types of people that have greater needs or higher levels of vulnerability than others. By understanding the severity of need within the assessed population, agencies are able to:

- Understand response urgency as the more severe the need and associated implications, the more urgent a response required
- Distinguish between assessed groups of people according to the type and severity of need and level of vulnerability (for example number of children, living arrangements, household dependency ratio), and
- Compare needs between these groups to get an understanding of what profile of household may require assistance.

An outline of the needs severity score is provided in Box 7 and in Annexes 2A and 2B.

A 'bigger' picture regarding needs is required before identifying priorities. Although a multi-sector response is planned, an understanding of severity of need and the prioritisation of specific sector(s) is required to identify any additional sector-specific responses (see Table 1), and for advocacy purposes (regarding funding and justification for planned responses). Therefore, when undertaking response analysis, it is vital to get a sense of need taking into consideration a number of factors including:

- The scale, severity and duration of need.
- What should the multi-sector response include? What are the gaps in assistance?
- The implications if the need is not met.

Preliminary potential target population(s) identification is needed for initial response analysis discussions. Unless previously determined, agencies can also identify specific groups within the population in need that they may want to potentially target based on this analysis. This is driven by the fact that most programmes in urban contexts will not have the funding or resources to meet all identified needs for the whole population in need.

Whilst assessing needs of the assessed population, the implementing organisation should consider if there are specific groups residing or working within particular geographical areas that they would like to target. These groups would then be further assessed using Targeting in urban displacement contexts guidance (Smith and Mohiddin, 2017) or other such documents. Consider the following when identifying the potential target group:

- Severity and duration of need within and across sectors.
- Unsupported groups due to reasons including displacement duration, location, gender, living conditions, living arrangements, religious or cultural backgrounds.
- Existing relationships with specific groups from on-going/past programmes.
- Potentially marginalised/hidden groups such as elderly, female/child-headed households and youth.

Profile the potential target population and their needs. The potential target population once identified should be **broadly profiled for further analysis using the guidance** (ibid) and their needs outlined in terms of:

- Who the target population are: what are their defining characteristics (this can include living arrangements, number of household members, etc.)? Would any of these characteristics influence the type of response modality identified?
- Where are the target population located? If highly mobile, list likely locations.
- What are their needs (quantified in monetary terms), for how long and when? Are there differences in seasonal needs that should be considered?

Tools to use in Step 2:

The needs severity score will give decision makers objective data regarding the severity of needs of the population assessed, and of specific groups within this population. Critically, the needs severity score is a key ingredient for use in comprehensive discussions between technical advisors relating to needs. **The needs score is not definitive; it is only indicative of where needs could be, and should be part of wider discussions regarding need.** (See Box 7 and Annex 2A for additional information regarding needs severity scores).

Needs scores from sectors that require immediate response due to their life saving responses (food security, income and expenditure, WASH, and shelter, for example) can be compared to gain a sense of priority between the sectors. The need severity score can be used to:

- **Ascertain differences in severity of need** within sectors included in the multi-sector needs assessment or for sectors that are likely to be included in an intervention.
- **Get a sense of overall vulnerability** within the assessed population. For example, scores related to education may be used as a proxy to understanding wider vulnerability in households with children.

BOX 7: USING THE 'NEEDS SEVERITY SCORE' TO GAIN AN OBJECTIVE PERSPECTIVE OF NEED.

What determines the needs severity score? The needs severity score is derived from answers to pre-selected essential questions¹³ from the sector-specific sections of the UMVAT (see Annexes 2A and 2B).

Sector specialists selected questions that can assist in understanding the severity of needs (level of unmet needs) that considered the following:

- **Vulnerability:** this can be understood to be a household/ individual at risk of exposure to a natural or manmade shock, and their ability to cope with it (Smith, Mohiddin and Phelps, 2017).
- **Intensity:** refers to the strength, at a given time and location, of the harmful event (adapted from Benini, 2016).
- **Exposure:** scope and scale of affected households, expressed chiefly as population or area (adapted from Benini, 2016).

Sector specialists assigned values to predetermined response options of the pre-selected questions (see Annexes 2A and 2B). Each sector has a maximum score of 5. A higher score is assigned to answers that reflect a deteriorating or alarming situation. For example, a household reporting no access to drinking water will have a higher score compared to a household that does have some access to water.

How is the needs severity score generated? The questions and scores associated with the needs severity score can be summarised from the UMVAT using tools such as the KoBo Toolbox Excel Data Analyser (UNOCHA, n.d.) and Excel). For this to be possible, the pre-determined questions and associated scores need to be identified as part of the data preparation and cleaning process prior to uploading into the Dynamic Analysis Reporting Tool (DART).

Should all sectors be treated equally? As Education, ICLA and Protection scores do not relate to immediate basic needs that can affect a household's survival they should not be compared against the other scores, but assessed separately and alongside those related to basic needs. This is particularly true of protection that is a vital component in most agency programmes. ICLA responses tend to require long-term programmes with strong advocacy related responses.

The scores should not be taken at face value. To validate and triangulate the needs severity scores, community consultations are recommended. As mentioned above, the score is not definitive; it is only indicative of where needs could be, and should be part of wider discussions regarding need.

For additional information on the needs severity score and questions see Annexes 2A and 2B.

¹³ The UMVAT includes essential and non-essential questions (more probing questions).

Table 1 can be used to gain an understanding of needs and priorities across potential target groups. After generating a table per potential target group, Table 2 can aid the comparison of needs across groups, discussion of findings and, the identification of additional potential target groups (as seen in Table 2 below). Table 1 requires the following information:

- The identification of potential target group should use using demographic data (such as age/ displacement duration, number of dependents, household head type, etc.) and data from other sectors such as income and expenditure (level of income or debt for example), ICLA (documentation ownership for example), WASH (such as access to sufficient drinking water or safe latrines) and so forth for all sectors included in the assessment. Potential target group identification can be triangulated against FGD and KII discussions. An iterative approach to identifying additional potential target groups can be used, whereby the scores and analysis of one potential target group informs the profiling of the next, on the basis of findings (see Table 2).
- The needs score shall be generated for each of these groups so they should be made as distinctive as possible. Assess at least 3 to 4 potential target groups in an iterative fashion using the findings from one group to inform the identification of another.
- The 'needs severity score' for each sector and group alongside an understanding of what the score implies in terms of necessary action, from situation monitoring to the requirement of immediate action (see Box 7 and Annex 2A and 2B for additional information). Note that scores for ICLA, education and protection and governance are not combined to those of the other sectors.
- Estimation of scale of need, ie how many households are experiencing this need?
- Estimation of duration of need (including seasonal factors)
- Listed short and long term implications if assistance is not provided. Considering:
 - Increased rates of morbidity and mortality,
 - Use of damaging and irreversible coping mechanisms including migration, child labour and early marriage,
 - Deterioration in living conditions/ public health conditions that could precipitate future needs of greater severity.
 - Identification of agencies that will provide this assistance. Gaps in the provision of this assistance in the areas in which the agency wants to intervene.
 - UN/ Government priorities and strategic interests.
 - Specific groups within the population assessed that have a particularly high need. This information can support the identification of a target group.

Table 2 can be used to summarise and compare the scores of the various potential target groups that were analysed. When using Table 2 do not forget useful information from Table 1 relating to duration of assistance, implications if needs are not met and gap in assistance, etc. This analysis can lead to the identification of additional potential target groups. Annex 2B, Table A1 (summarised score recommendation) should be modified and referenced when completing this table. Response decisions should not be made on the basis of a comparison of these scores, other factors such as support from other agencies, the implication if no support is provided should also be considered (see Table 1).

Table 1: Need severity scores per potential target groups within the population of interest

Group characteristics	Potential target group characteristics. On the basis of FGDs/ KII, consider if there are potentially specific groups that may have higher needs? eg HH size: 6–8 members; Children between 0–17; 3; Living arrangement: Host family This can include the total population assessed to create a comparison						
Group as % of total group assessed	47% of the total group assessed 100% – in the case of the total group						
	Sector included in need assessment (Delete as applicable)						
	Food security	Income and expenditure	Shelter and HLP	WASH	Protection and governance	Education	ICLA
Score (Maximum score per sector = 5)	eg 3/5						
Total scores (Adjust total according to number of sectors included)	Basic needs score: / 20						
Use the following questions to assist discussions related to priority							
Likely duration of need? (In months)	eg Long term – at least 12 months						
Implication if need not met?	eg Pre-existing levels of chronic malnutrition in children						
Can another NGO provide this assistance? (Yes/ No)	eg Yes – Oxfam planning response						
Need identified by UN/ government as priority (Yes/ No)	eg Yes – UN Yes – Government						
Considerations from FGD and KII discussions							
Additional notes							
Summary							
SECTORS TO PRIORITISE IN RESPONSE (Yes/ No)							

Table 2: Summary of scores (with example)

GROUP	SECTOR INCLUDED IN NEED ASSESSMENT						
	FOOD SECURITY	INCOME AND EXPENDITURE	SHELTER AND HLP	WASH	PROTECTION AND GOVERNANCE	EDUCATION	ICLA
Total population assessed	3	4	2	1	4	2	3
	<i>Basic Needs Score: 10/20</i>					<i>Additional needs: 12/15</i>	
Less than 6 months displaced	4	3	4	1	5	4	5
	<i>Basic Needs Score: 12/20</i>					<i>Additional needs: 14/15</i>	
Conclusions, discussion points and further analysis							
<p>When assessing the scores of the 'total population assessed', basic needs require monitoring and additional needs, especially protection and governance.</p> <p>With regards the population group 'Less than 6 months displaced population': this basic analysis indicates how this group may require immediate support in ICLA, protection and governance and education. The basic needs of this population group will need to be monitored, especially those related to Shelter/ HLP and Food Security. Linkages between ICLA, education, shelter and HLP and protection and governance will need to be explored further to assess if lack of legal documentation and access to legal support is having an effect on household access to education and shelter and their protection and governance. Check FGD/ KII data.</p> <p>Additional analysis? Considering the findings of the 'Less than 6 months displaced population', analyse the needs severity score of households with children and that have no documentation. This has been identified as a gap in needs and a priority by the UN.</p>							

Step 3: What opportunities and limitations exist in the internal and external operational environment?

Discussion key question checklist:

The operational context can influence responses identified, especially response modalities. Consider the following:

- Government, UN and donor policy:** Is there a policy or strategic position on responses allowed for this population group, geographical area? How might a response be aligned with ongoing local or national government plans and initiatives?
- Agency's strategy, organisational priority and capacity:** Is this aligned to the needs identified? Are there sufficient resources, organizational and technical capacities to support a programme? What size a programme could the implementing agency support? Do the agencies partners (current and potential future) have any limitations that need to be considered?
- Previous programmes:** Are there any lessons learned to take into consideration?
- Target population preferences:** What response modalities would they prefer? Is this based on exposure to one type of response modality or multiple?
- Market function and access:** Are markets functioning in the area? Are markets accessible to the assessed population? Is a cash transfer programme or income generating livelihood programme feasible?
- Financial services and communication networks available and used:** In insecure, conflict prone contexts, there is potential to use of electronic cash transfers if the infrastructure is in place and widely used.
- Do No Harm, Security, risks and protection needs:** How will this influence response options in ways that do not lead to unintentional negative consequences?
- Access:** Are there any access issues that will influence response design?
- Coordination platform activities and strategies:** What are the gaps and strategies of other organisations? What value is there in taking a cohesive approach? Who is leading on multi-sector responses?

Output:

- Operational context overview and summary of limitations for consideration when identifying potential response options (needed for Step 4).

Keep in mind:

Protection and security risks and concerns must be included in contextual analysis due to the significance of these concerns in designing responses. Risks and concerns should be identified for the potential target population, agency and partner staff. Collect relevant data through the following:

- Protection groups such as the Child Protection Working Group of the Global Protection Cluster¹⁴ can provide information including, primary/ secondary data, key contacts, tools, checklists and guidance for application.
- The UMVAT collects information related to protection, not only in the household interviews but also in FGD and KII. These formats enquire into protection concerns and risks as well as mechanisms utilised by the displaced to address concerns or seek recourse.
- It is important to consider how social structures (eg ethnicity, religious affiliations, etc.) may limit or increase the risk of an intervention by understanding the dividers and connectors within and between different groups living in the area of interest.

¹⁴ www.globalprotectioncluster.org

An understanding of the availability, access and utilisation of communication networks and financial services is required in all urban contexts but especially in those affected by conflict and insecurity. The use of mobile communication to disseminate and receive information, and the use of electronic cash transfers provide opportunities to support populations in need, regardless of their movements within urban areas.

Government policy (written, verbal and implemented) regarding humanitarian assistance and displaced population rights should be prioritised; recognise the authority Governments may have in authorising implementing agencies programmes. The position of the Government should be understood and included in the analysis of the contextual opportunities and limitations.

Coordination meetings can provide useful information and contacts. Crucial information regarding the operational context can be gained from attending formal and informal coordination meetings (within and across sectors). In addition to providing vital contextual information these meetings can provide agencies with:

- Key informant or stakeholder contacts
- On-going needs assessment data and gap analysis discussions
- Insights into strategic positioning of the government, donors, UN, agencies, etc.
- Implementation approaches being applied within the sector and the rationale behind decisions (including lessons learned)
- Access to secondary data and primary data collection plans, and
- Access to information regarding beneficiary preferences, contextual opportunities and limitations.

Tools to use in Step 3:

The opportunities and limitations of the context can be summarised using a Strength, Weakness, Opportunities and Threats (SWOT) analysis. Understanding the opportunities and limitations within the operational context before identifying programme objectives and potential response options is a crucial step in ensuring that responses identified are coherent, aligned, feasible and appropriate. Agency responses should 'do no harm' and not result in additional protection concerns or put beneficiaries or staff at risk. Responses should also be aligned with the responses of other organisations (to maximise any multiplier effects) and with the policies of the governing bodies. Factors that are seen to have a significant influence on response decisions should be included in risk analysis and included as part of contextual monitoring (Step 6).

Useful guidance and tools to collect contextual information required for this step:

- **Context analysis** helps to identify the underlying or systemic issues that may be contributing to the current situation or crisis. The Urban Context Analysis Toolkit developed by IRC is specifically tailored to analysis in an urban area that may help the user in understanding the political and social dynamics in a particular geographical location. Understanding these dynamics can help the user design a conflict sensitive intervention. Meaux and Osofisan, 2016 provides an overview of other context tools that may be useful to consider too.
- **Markets must be assessed** to ensure they are functioning, accessible and sell the goods and services required by the population in need. A number of market assessment tools can be applied including (see Annex 1 for weblinks):
 - Rapid Assessment for Markets (RAM)
 - Pre-Crisis Market Analysis (PCMA)
 - Emergency Market Mapping and Analysis (EMMA)
- The **need for in-depth market analysis depends** on the context and scale of the planned response in comparison to the existing market capacity. Guidance can be found in the CaLP minimum standards for market analysis¹⁵ (see Box 8 below for urban-related guidance).
- The Cash Learning Partnership (CaLP) website includes thematic pages¹⁶ on **market analysis and protection**. Tools found on these pages support the identification of appropriate response modalities including but not limited to cash transfers.
- **Use secondary data where possible including past assessments and reports if relevant:** A significant amount of data is available on-line. Consider utilising UN reports, agency past assessments and evaluations and so forth, which can be found on a number of websites.¹⁷ Lessons learned documents can provide an insight into contextual aspects that may have been overlooked or under-estimated. The ALNAP urban portal¹⁸ and UNHCR Good Practices for Urban Refugees¹⁹ websites include a vast resource library for referencing.

BOX 8: UNDERSTANDING EFFECTIVE DEMAND AND KNOWING HOW TO DECIDE ON THE DEPTH OF MARKET ASSESSMENT

If it is likely that the urban intervention will include a large proportion of the population, or if the volume of goods and/or services needed and likely to be purchased by the population in need will represent a large proportion of supply entering the area, then the intervention should be considered as high risk and an in-depth market analysis is required.

A consideration of the types of goods and services likely to be purchased is also needed – goods and services that tend to be used on a daily basis are less risky compared to those less frequently required.

Therefore, some analysis of what goods and services the potential target population are likely to purchase (for the duration of the programme taking into account seasonal changes) is needed. Irrespective of a needs assessment and gap analysis, it is worthwhile triangulating that information with an understanding of what households would actually buy. Knowledge of potential target population 'effective demand' is needed to ensure markets have the capacity to respond to an increase in demand.

The CaLP minimum standards for market analysis (Juillard, 2017: 23) identify the following guidance for determining a large intervention:

- Beneficiaries (from your programme and other agencies programmes combined) represent more than 20 per cent of the total population in the programme area.
- The induced demand (from your programme and other agencies programmes combined) represents more than 10 per cent of normal trade flows in a rural area or 25 per cent in an urban area.

¹⁵ www.cashlearning.org/resources/library/351-minimum-standards-for-market-analysis

¹⁶ www.cashlearning.org/thematic-area/thematic-area-1

¹⁷ www.humanitarianresponse.info/; <http://reliefweb.int/>; www.acaps.org/; www.urbangoodpractices.org/

¹⁸ www.alnap.org/what-we-do/urban

¹⁹ www.urbangoodpractices.org/

Step 4: What are the programme objectives, potential response options, modalities and delivery mechanisms?

Discussion key question checklist:

- What are the programme objectives** considering potential target population needs, gaps in assistance provided, potential programme duration and UN/ Government/ agency strategic documents?
- What are the potential response options and modalities** considering target population needs and contextual factors (security, protection, conflict, cash feasibility, market capacity to respond to a cash intervention, government/ UN policy and strategy, etc.)?
- What delivery mechanisms should be considered?** Can existing financial and communication service providers be used? Are the services provided accessible and utilised by the potential target population? Could they provide the reach and scale required within reasonable time?
- What risks associated with the response options and delivery mechanisms have been identified?** Including monitoring, what can be done to mitigate these risks?
- Are responses for host communities being considered? Keep in mind levels of social cohesion between the host population and target population and comparative levels of poverty and vulnerability between the host and displaced communities.
- What assumptions have been made regarding operational context** (internal and external factors) during the brainstorming of the response options?

Output:

- Programme objectives, multi-sector response options, including a list of assumptions, risks and mitigation activities.

Keep in mind:

An identification of programme objectives is required before response options can be identified. The objectives should take into account the needs of the potential target population that implementing agency wants to address and the duration of the programme. Coherence to the agency/ UN and Government programmes is also required to ensure the response is aligned to wider responses and addresses any gaps in assistance currently provided or planned. Sector-specific urban programme objectives can be found on page 23 of 'Cash Transfer programming in urban emergencies: A toolkit for practitioners' (Cross and Johnston 2011).

Is cash an appropriate response? As demonstrated in Section 1.3 cash programmes can play a key role in urban responses. However, this will depend on the feasibility of cash in that context and for the potential target group. The decision tree (Figure 9) can support discussions related to cash feasibility.

Urban cash responses do not just mean MPGs and can be used in combination with other kinds of assistance such as in-kind or advocacy based responses in urban areas. IIED's 'A review of evidence of humanitarian cash transfer programming in urban areas' (Smith and Mohiddin 2015) provides case studies and examples of how cash programming has been applied in single and multiple sectors in urban contexts. Keep in mind the following: (a) cash can be combined with other types of assistance; (b) that cash assistance for multi-sector programming doesn't necessarily mean a single cash grant, i.e.: MPG to meet all needs, it is sometimes necessary to combine MPG with a sector-specific cash grant for example MPG plus cash for shelter or livelihoods support (see Figure 3 for examples).

Do not assume cash is appropriate in all contexts; undertake feasibility analysis. Decision trees (for example Figure 9) can be used to ascertain the feasibility of cash for specific groups in the urban area.

Cash responses can be feasible in insecure, remote and fragile contexts where access can be problematic. Guidance on programming in remote contexts is available and should be consulted to enable a good understanding of response options possible in such contexts (NRC, 2016). It should not be assumed that cash programmes are not applicable in remote and insecure contexts. Cash programmes have been implemented

in conflict affected areas including Somalia, Afghanistan and Syria. The use of electronic transfers can provide discreet assistance to those that need it. Refer to guidance available on the CaLP website.²⁰

Assess and identify potential delivery mechanisms. Utilise existing service providers where possible. Irrespective of the response being cash and/or in-kind orientated, the delivery mechanism identified should be not increase protection risks for the potential target population. The demands of an **urban context require the delivery mechanism(s) to be:**

- **Accessible and flexible**, allowing not hindering population movements and choices regarding where and how they access their assistance.
- **Provide good coverage and ability to scale up**, capable of reaching a large number of people and able and increase coverage if needed with ease.
- **Focus resources based on need**, where funding or capacity is limited then there needs to be clear justification for targeting the most vulnerable households in the most affected neighbourhoods.
- **Inclusive to other agencies**, delivery mechanisms that other agencies may want to join can be considered. Although this can reduce the costs of the delivery mechanism, and streamline assistance, beneficiary preferences should also be sought as in some contexts more than one delivery mechanism may be preferred especially if problems related to specific mechanisms have been encountered in the past and resulted in a delay in assistance.

Undertake initial risk analysis for brainstormed response options. Brainstorming potential risks associated with the response options and their likelihood and impact is necessary for agencies to: (a) to identify mitigation actions, (b) ensure risks are not beyond the organisational risk appetite and, (c) identify risk 'indicators' for monitoring. The Red Cross Movement market analysis guidance (ICRC and IFRC, 2014) risk analysis tool (Tool 2.3: Analysing market related risk) provides useful guidance and matrixes (ibid, 2014: 49). Keep in mind that detailed risk analysis will take place in Step 5 with short listed responses. In this step, an initial identification of risks is required.

Identify methodologies to mitigate potential risks and protection concerns, especially those related to cash programming. Organisations including UNHCR, Oxfam, Concern, Save the Children and DRC have undertaken extensive research into potential protection risks associated with cash programming. Applicable resources are available on the Cash Learning Partnership protection thematic page and also in the ERC 'Operational Guidance and Toolkit for Multipurpose Cash Grants' Annex 2 'Protection Risks and benefits analysis tool' (ERC, 2015) in which for each protection area (including data protection) the risks and benefits are outlined alongside available evidence. See Box 9 for essential questions related to protection risks.

BOX 9: PROTECTION RISK AND BENEFITS ANALYSIS: ESSENTIAL CHECKLIST²¹

- Include affected communities as participants in all phases of the programme cycle.
- Consider whether MPGs will create or exacerbate protection risks or benefits for individuals, households and communities.
- Engage with individuals with different and specific needs and protection risks.
- Establish two-way feedback mechanisms and focal points to ensure regular communication.
- Protection, cash, and sector-specific colleagues should work together. Include minimum protection questions throughout the programme cycle.
- Do a gender, age and diversity analysis, specifically taking into consideration cultural practices, control and access to resources.
- Design MPGs along with complementary activities and services, particularly if specific protection objectives are part of programme design.

Source: ERC, 2015: 33

²⁰ www.cashlearning.org/

²¹ ERC (2015: 33)

Identify programmes that expand displaced population opportunities to earn an income and make choices, thereby increasing their self-reliance. Despite limitations faced by displaced populations in accessing employment, urban refugees are often economically active, especially in the informal sector. Despite the knowledge, skills and qualifications they may have, barriers to market access means they often engage in unskilled or low skilled work. It is important for all programmes to expand displaced population opportunities so that they can make choices about their well-being and resilience, regardless of whether they stay in their country of refuge, resettle, return home or move to another destination (Women's Refugee Commission, 2011). See Box 10 for recommendations.

BOX 10: SELF-RELIANCE RECOMMENDATIONS

1. **Programmes should address the external environment** that influences internally displaced people's (IDP's) and refugees' ability to accumulate assets, choices of economic strategies and ability to cope with risks.
2. **Programmes should advocate for host government recognition of IDP and refugee rights in policy and practice.** Advocacy for rights should focus on a gradual expansion and enforcement of rights.
3. **Programmes should identify and facilitate access to effective, existing services rather than create parallel systems.** If new services are introduced, they should benefit both the displaced and host community.
4. **Programmes should understand potential market barriers and constraints in order to increase the chances that interventions lead to sustainable livelihood activities** that generate enough income to help families meet their basic needs and minimise their risks.
5. **Refugees and IDPs need to be connected to services specific to their level of vulnerability and resilience through a graduated approach.**
6. **For very poor and poor households, programmes should address IDP's and refugees' immediate needs** while simultaneously developing longer-term livelihood strategies in financial services, skills building and job placement.
7. **Programmes should decrease the risk of gender-based violence** for women and girls by consulting with women and girls who can advise on the scale of risks associated with livelihood activities and suggest ways to manage them.
8. **Programmes should engage experienced economic practitioners** to design and implement livelihood programs and non-traditional actors, such as private sector, public institutions and development agencies, to enhance opportunities for synergy, collaboration and coordination.

Source: Adapted slightly, Women's Refugee Commission, 2011. Additional recommendations can be found on pages 1 and 2 of the document.

Remember duration of needs and type of assistance of needs will vary according to population

groups and locations: responses can support the same or different groups in multiple ways at the same time, or in differing timeframes over the duration of the programme (see Box 9). Seasonality²² is one factor that is often overlooked in urban programme design, as it is wrongly perceived as only applicable in rural contexts. Therefore, in identifying responses consider the following types of responses (adapted from Maxwell et al., 2013):

First-order options: *direct, blanket assistance to protect lives and livelihoods. This includes: unconditional and untargeted cash grants; blanket in-kind distributions of food and non-food items, provision of water and sanitation facilities.*

Example: Humanitarian agency response to the Haiti earthquake in 2010 comprised of a number of in-kind responses including the provision of emergency shelter materials (tents and tarpaulins), full food aid rations, school tents to support the resumption of education (IASC, 2011).

Example: Urban waste management following earthquakes including hygienic disposal of fecal matter in apartment blocks when the water supply and sewerage is broken, the disposal of rubbish and the clearing of rubble (adapted from Maxwell et al., 2013).

Example: Oxfam provided untargeted (blanket distribution) unconditional cash grants to households displaced by Typhoon Ketsana in the Philippines in 2009. This was part of a three phased approach that went on to provide targeted households with conditional cash grants for income generating activities and conditional cash grants for activities that contribute to community livelihoods (Smith and Mohiddin, 2015:21, Box 2.6).

Second order options: *requires targeting and levels of conditionality put in place by the agency (levels of conditionality/restriction can vary according to the context and the group targeted and project objectives). This includes responses such as: cash grants/food assistance to households on the condition that they will send their children to school rather than allowing them to work; renewing civil or refugee status documentation; or other activities which address some of the protection or risky coping strategy related concerns.*

Example: Grants to landlords to upgrade properties not currently inhabitable with the precondition that displaced households can live there rent-free for a set period of time. Due to the levels of conditionality that can be exercised, second order options can also include targeted cash programmes that have high levels of flexibility regarding the use of the assistance provided (NRC Lebanon/Jordan, 2012).

Third order options: *require advocacy, legal or policy interventions. This includes agencies working with/ supporting key stakeholders to improve access to information, documentation and legal assistance, or advocating for a relaxation of the right to work for refugees or stronger labour policy for informal workers.*

Example: Mercy Corps support to municipalities in Lebanon (see Box 3).

Example: NRC Jordan Syrian refugee programme includes a mobile legal assistance and information unit.

Example: The focus is on tenure security information, legal advice, and conflict resolution

Fourth order options: *includes using existing social protection mechanisms. Where feasible, social protection mechanisms should be utilised to deliver assistance.*

Example: In Turkey there is an ECHO-funded three-year programme to provide regular predictable cash transfers to Syrian refugees, which partially replicates the national Turkish social protection system.

²² Seasonality in urban areas relates to variations in climate (that can affect needs, food prices, market access), payments (school fees can be paid quarterly), employment availability (different types of employment such as construction can be seasonal), influxes of competing labour forces from rural areas etc.

BOX 11: EXAMPLE OF LAYERED PROGRAMMING

In Lebanon, agencies are supporting targeted vulnerable households with multipurpose cash assistance. Agencies in the shelter-working group have used the list of vulnerable households and using additional sector-specific analysis, identified additional complementary shelter responses.

Source: NRC Lebanon (2016)

A number of tools and guidance documents can help to brainstorm potential response options, including:

- The ERC Operational Guidance and Toolkit for Multipurpose Cash Grants²³ provides guidance on how to design MPGs: from needs assessments, calculating expenditure baskets to market analysis, protection considerations and monitoring.
- The Red Cross Movement cash toolkit²⁴ is an online resource that has provides resources (checklists, guidance, etc.) along the programme cycle from preparedness to monitoring and evaluation. The chapter on response analysis includes tools including: CTP feasibility, comparisons of cash modalities, transfer value calculations, risk analysis and cost efficiency amongst others.
- **Cash guidance documents** such as those developed by organisations like Mercy Corps, Oxfam and UNHCR. These documents provide useful advice on what contextual data should be considered and why. They also include useful tools, such as decision trees and good practice approaches.²⁵
- **Decision trees**, such as the one developed by Mercy Corps (2015: 30) and Oxfam GB, can help organisations identify modalities according to the context, mainly considering the market function and aspects of protection risks. See Annex 1 for reference tools.
- **Response option frameworks** that tease out response options as well as issues related to activity implementation (See below for an example).
- **Lists of potential multi-sector response options** that enable programme decision makers to keep in mind the breadth of responses that are possible, context depending (See Figure 3).

Tools to use in Step 4:

Identifying responses in HLP and ICLA, both of which are important in urban displacement contexts can be a challenge. Consider the following guidance:

1. The importance of addressing HLP; Challenges in humanitarian response (NRC/IFRC, 2016).
2. Rapid tenure assessment; Guidelines for post-disaster response planning (pilot version) (IFRC, 2015a).
3. 'Minimum elements' for community-based land mapping approaches post-disaster contexts (pilot version) (IFRC, 2015b).
4. Security of tenure in urban areas: Guidance note for humanitarian (NRC, 2017).

The challenges and risks associated with local governance programming in the immediate aftermath of conflict or in contexts of systematic fragility, high criminal violence or protracted conflict, remain immense. This UNDP guidance note on municipal and solid waste management includes lessons learnt and some case studies (UNDP, 2016).

Decision trees and guidance documents. Agencies including the Red Cross and Red Crescent Societies, Oxfam, Action Against Hunger, CaLP and Mercy Corps have developed their own guidance documents and decision trees regarding cash feasibility (Figure 9) and delivery mechanism choice (see Annex 1). Lessons learned documents and programme evaluations (including cost efficiency analysis) regarding modality choices are available on the CaLP website (Box 12 includes an example from UNHCR).

²³ www.cashlearning.org/downloads/operational-guidance-and-toolkit-for-multipurpose-cash-grants---web.pdf

²⁴ <http://rcmcash.org/>

²⁵ These documents can be accessed on the CaLP resources page at www.cashlearning.org

BOX 12: UNHCR CASH DELIVERY MECHANISM ASSESSMENT TOOL (CDMAT)

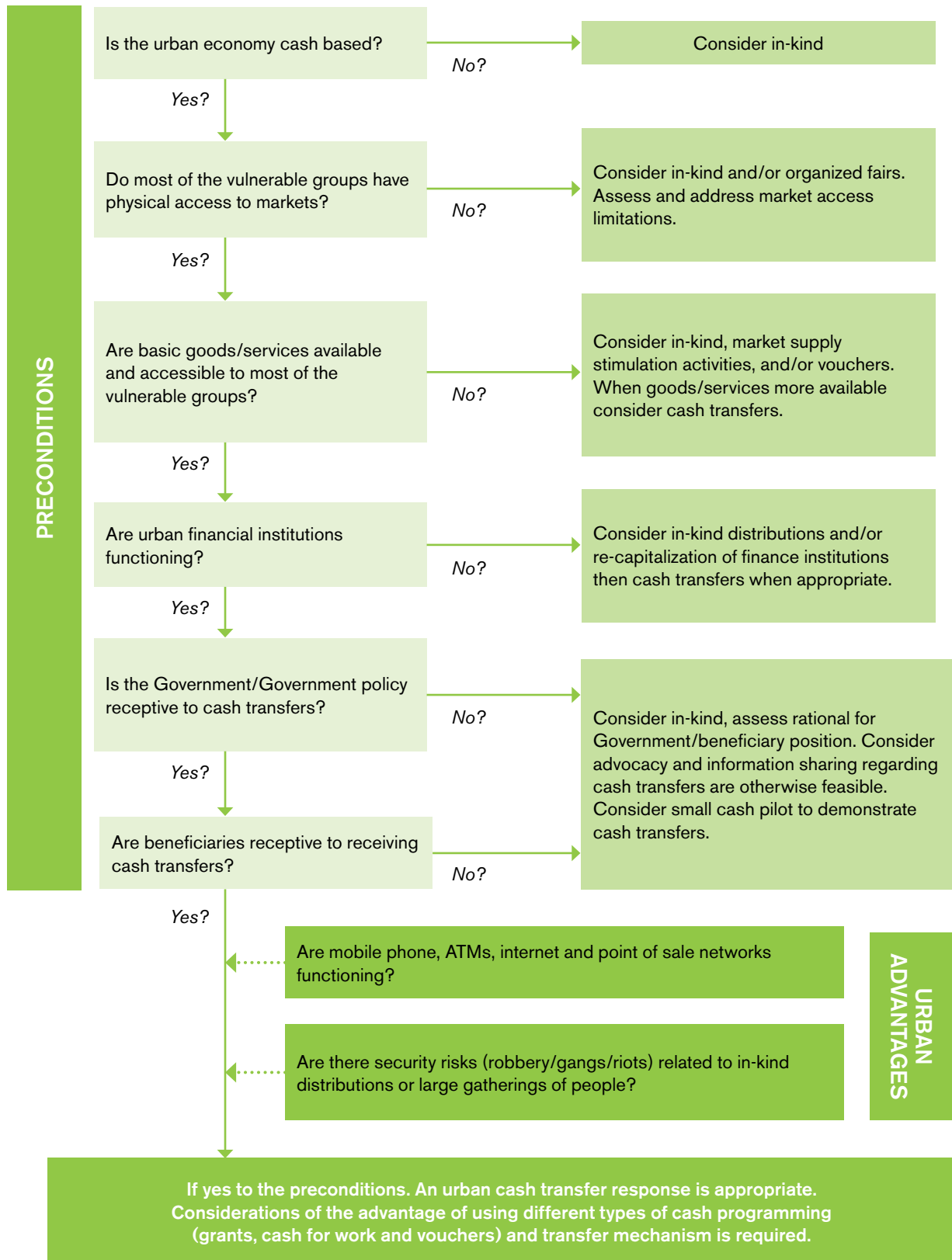
Recognising the need to complement their operational guidance with practical tools that can be used by field practitioners, UNHCR have developed a CDMAT that aims to help assess the adequacy of various cash delivery mechanisms to meet programme needs. The CDMAT does not, however, cover vouchers or any new arrangements on implementing cash-based interventions, such as customised solutions, common platforms, unique funding modality, etc.

See Annex 3 for a high-level decision making tree that provides an **initial framework for considering cash distribution mechanisms**, by asking the most fundamental questions to help guide a more detailed assessment, in the programme planning phase. The UNHCR tool provides more detailed decision trees for each cash distribution mechanism, an overall cash distribution mechanism checklist and an assessment-scoring tool that asks questions related the population of concern as well as the potential financial service provider. This includes questions related to:

- **User registration and experience:** eg “Do refugees have/can they be provided with the necessary documents to meet ‘Know Your Customer’ requirements and register to the service?”
- **Experience:** eg “Will the service be easily understood and used by refugees?”
- **Financial service provider (FSP) capacity:** eg “Does the FSP have sufficient transactions points/agents to meet programme needs?”
- **Speed:** eg “Can all service delivery related procurement be done by the FSP within a timeframe consistent with programme needs?”
- **Resilience:** eg “Does the FSP have a disaster preparedness team and a business continuity plan?”
- **Security and controls:** eg “Does the security policy of the service provide enough guarantees for data recovery in case of system failure?”
- **Data protection:** eg “Does the FSP have a data protection policy that is in line with that of UNHCR?”
- **UNHCR compliance:** eg “Do the provisions to manage traceability of funds meet UNHCR requirements?”
- **Cost efficiency:** eg “Have all the fees been presented clearly (ie no hidden fees)?” and “if displaced and host persons must bear the cost of withdrawal, is the fee reasonable?”
- **Ease of implementation:** eg “Are the processes of the service easy to follow?”
- **Flexibility and scalability:** eg “Can the FSP adapt to changes in programme design including variations in beneficiary numbers and amount transferred in a reasonable timeframe?”
- **Human resource needs:** eg “Is the number and quality of UNHCR staff required to manage the service as per the budget?”

Source: UNHCR 2017: 18

Figure 9: Urban disaster response options



Source: Adapted from Cross and Johnston (2011: 21)

Response options framework²⁶

Use the response option matrix below to brainstorm potential responses. Keep in mind the advice listed in Box 13. Consider advantages, disadvantages, feasibility and timing. List at least five to seven response options and, on the basis of discussions, shorten the list to five responses for further analysis in Step 5.

BOX 13: ASPECTS TO KEEP IN MIND WHILST DEVELOPING THE RESPONSE OPTION LONG LIST

MULTI-SECTOR RESPONSE OPTION	ADVANTAGES	DISADVANTAGES	FEASIBILITY AND TIMING
Response 1			
Response 2			
Response 3			
Response 4			
Response 5			

- **Although the programme objective is multi-sectoral, a number of response options can contribute to the overall objective.** In urban areas MPGs are likely to be implemented alongside a range of complementary single sector interventions (which could be cash or in kind or other types of support) (see Figure 3).
- **The response options are meant to be multi-sector in their design.** Therefore, the identified responses should include activities that will effect change in more than one sector. Income generation activities are an example of such an activity as access to income has influence on access to basic needs, accommodation, education, etc.
- **These response options can be implemented in parallel or phased and can vary in terms of implementation length.**
- **Consider resilience-building activities** (see Section 1.4 for more information).

For example: The programme objective might be to meet a range of multi-sector basic needs and reduce household vulnerability, and the response options might include the following for specific groups within the overall targeted population depending on their level of vulnerability:

- MPG including rent costs (all targeted households)
- MPG excluding rent plus a conditional cash grant for shelter (target group X)
- ICLA and HLP support to assist with secure tenancy (all targeted households)
- Winterisation fuel and clothing vouchers (seasonal) (target group X)
- Education conditional cash grants for primary school fees/ costs (target group Y)
- Technical support to housing agents (target group X, Y and urban population)
- Advocacy to government and donors for affordable and rent fixed housing (all urban poor households), and
- Legal assistance to access documentation from country of origin (target group X).

²⁶ Adapted from Albu, 2010.

Step 5: Considering factors including cost efficiency what response options and delivery mechanisms are recommended?

Discussion key question checklist

- Which potential response options and delivery mechanisms are the most **cost-effective and cost-efficient, politically acceptable and feasible** considering organisational capacity and resources?
- Do the responses chosen **address the problems and needs of the target population**? Consider the direct and indirect impact of the interventions planned. Are there potential any unplanned benefits? If so, can impact be maximised?
- What **risks are associated with these responses** and how can they be mitigated?
- Is there a **sufficient mix of short and long-term programmes**? Are **acute and chronic needs being addressed sufficiently**?
- Is there coherence between the responses selected, the wider response strategies (NRC, government, UN) and those planned by other organisations?**

Output:

- Completed multi-sector programme response recommendations matrix

Support:

When reviewing the list of potential response options from Step 4, consider the following elements, many of which are contextual and would have been discussed in earlier steps, especially Step 3:

- **Cost-efficiency and effectiveness²⁷:** A rudimentary calculation of response cost efficiency is increasingly requested by agencies and donors. Programme approaches to increase cost effectiveness should be considered. Multi-sector responses should ideally be more cost effective than single sector responses, although this depends on the design of the intervention. The cash in emergencies toolkit includes a cost-efficiency calculation tool (ICRC and IFRC (n.d.)). Further support in calculating costs of cash interventions is available on the CaLP website, in this Oxford Policy Management publication 'A guide to calculating the cost of delivering cash transfers in humanitarian emergencies with reference to case studies in Kenya and Somalia'.
- **Political and urban host community acceptance:** Even the most innovative and cost-effective programmes can be stalled if not accepted politically by the government or socially by the community. The inclusion of targeted host communities in a response plan and alignment of the plan with local and national government priorities can assist wider acceptance of an intervention, especially where there are similar dimensions of poverty within the target and host populations.
- **Transparency/ information flow:** If new or less acceptable response options and delivery mechanisms are being introduced, the programme team needs to ensure that the programme is implemented with good information dissemination activities to all key stakeholders. Appropriate feedback mechanisms to ensure the agency's ability to capture feedback and respond accordingly should be established.
- **Undertake further risk analysis and mitigation action identification:** Building on the identification of potential risks of potential response options undertaken in Step 4, undertake further risk analysis of short-listed responses.
- **Partnerships and coordination:** Of significant importance especially when considering multiplier effect of cash interventions or market based interventions.

²⁷ Cost-effectiveness is the extent to which the programme has achieved or is expected to achieve its results (outcomes/impacts) at a lower cost compared with alternatives. Cost efficiency refers to the ability of a programme to achieve its intended objectives at the least cost possible in terms of use of inputs (ie. capital, labour, and other inputs). Source: Cash Learning Partnership Glossary www.cashlearning.org

Tools to use in Step 5:

Response recommendation framework²⁸

Use the matrix below and advice in Box 14 to further short-list potential multi-sector responses on the basis of factors such as cost efficiency and coherence, for example. The number of short-listed responses depends on the size of the urban programme being designed, resources available and number of target groups. Users can apply weights and scores to the factors to enable decision making.

FACTORS TO CONSIDER	MULTI-SECTOR RESPONSE OPTION 1	MULTI-SECTOR RESPONSE OPTION 2	MULTI-SECTOR RESPONSE OPTION 3
Cost efficiency			
Cost effectiveness			
Risk and mitigation			
Coherence			
Target population preference			
Acceptance (host community/political)			
Assumptions			

BOX 14: ASPECTS TO KEEP IN MIND WHEN FINALISING RESPONSE OPTIONS

Although the objective is multi-sectoral, there can be a number of response options contributing to the overall programme objective. In urban areas MPGs are likely to be implemented alongside a range of complementary single sector interventions (which could be cash or in kind or other types of support) (see Figure 3).

Keep in mind non-asset transfer activities that can build the resilience of the displaced and host populations (see Section 1.4 for more information).

Remember that response options can be implemented in parallel or phased and can vary in terms of implementation length.

Recommendation: Shelter programmes should combine cash assistance and HLP components, to be programmed and funded as a package. Shelter actors should systematically include an HLP component in urban cash shelter programmes including information on landlord and tenant rights and referral services, eviction monitoring and dispute resolution, with a particular focus on the discrimination faced by female-headed households (Smith and Mohiddin, 2015: 50).

²⁸ Adapted from ICRC and IFRC, 2014 (Tool 2.2).

Step 6: What indicators require monitoring to maintain response appropriateness?

Discussion key question checklist

- What aspects will need monitoring to ensure the responses remain appropriate and address the needs identified? Consider aspects related to: alterations in the implementation context, changes in household needs, assumptions made regarding the prioritisation of household needs, appropriateness of the response modality and delivery mechanisms and risks identified that may require monitoring.
- Consider grouping elements that require monitoring according to the following headings:
 - *Beneficiary vulnerability and needs*
 - *Beneficiary location and movement patterns*
 - *Beneficiary response modality and delivery option preferences*
 - *Risks, especially protection risks to target populations*
 - *Market access and prices of essential items*
 - *Political and local community acceptance*
 - *Organisational capacity and resources, and*
 - *Conflict sensitive indicators.*

Output:

- Monitoring indicators for inclusion in monitoring frameworks.

Support:

Data collection in urban contexts, harnessing existing sources. Implementing agencies should identify pre-existing sources of data relevant to their monitoring system before establishing new data collection systems and protocols. With the multitude of organisations, institutions, think-tanks, universities and government bodies in the urban areas, each collecting data, it may be possible to utilise their information if not on a frequent basis, but sporadically depending on your information needs. In order to enable adaptations to programmes on the basis of data collected and analysed, the urban monitoring system should not be too data heavy and only collect data that will be used.

Monitor social cohesion and interrelationships between urban non-targeted and targeted beneficiaries. Social cohesion is an important element in creating a secure environment in displacement contexts and should be monitored by being mindful of host community perceptions, needs and priorities. Agencies can develop conflict sensitive indicators based on a dividers and connectors analysis using social network tools such as those included in IRC, 2016.

Keep urban 'emergency trigger' indicators in mind when developing the monitoring system.

Discussions and agreements regarding the monitoring of urban 'emergency trigger' indicators and their cut-off points are critical to ensure invisible acute emergencies in informal high density settings are not missed (Smith and Mohiddin, 2015). Some trigger values will be contextual and may require discussions with target populations and other key stakeholders to establish them. Learning from organisations such as Concern who are in the process of piloting urban triggers in Kenya should be sought in what is a relatively new area of work for humanitarian agencies. Concern's IDSUE project (Indicator Development for the Surveillance of Urban Emergencies) is a piece of action research led by Concern and funded by USAID / OFDA in five informal settlements in Nairobi and Kisumu (Concern USA, n.d.).

Identify and use indicators with breadth. Monitoring frameworks should include indicators and assumptions that not only notify the implementing agency on the progress and impact of the interventions but also those that inform the agency of the appropriateness of the interventions and the well-being of their beneficiaries (using indicators related to well-being and coping strategies). Therefore indicators that relate to the wider context, the preconditions and feasibility of the response options and delivery mechanisms identified need to be monitored alongside household orientated indicators that relate to the objectives of the intervention.

Include indicators beyond those directly related to the programme objective. Considering the interrelated and interconnected nature of urban contexts and systems, oscillations in household needs and priorities from month to month, fluctuations in assistance provided to households and the fungibility of cash, it is recommended to include indicators beyond those directly related to the programme objective.

For example:

- An MPG intervention may be used to meet household needs beyond the items listed in the MEB, and may highlight the need for additional assistance that had not been identified or considered a priority, such as debt repayment, or support to small shop owners who provide the only access vulnerable households have to small informal loans.
- An information, counselling and legal assistance and livelihood programme supporting displaced households to access the legal documentation required to access work alongside livelihood grants could positively impact on household income, increase access to multiple services (health, education, water and sanitation) and reduce the risk of being harassed or deported. This is not only due to the ownership of the legal documentation, but also the increase in earnings and subsequent social capital within the community.

An inability to meet needs identified in sectors not supported by an intervention can negatively affect the achievement of programme objectives as seen here: “Monitoring reports indicate households in receipt of unconditional cash assistance distributed in emergency food security and livelihoods (EFSL) programmes utilise some of the transfer to pay for health items and services, if these goods and services are not available by any other means” (Smith and Mohiddin, 2015: 19).

Tools to use in Step 6:

Action Against Hunger has developed guidance and a tool to develop monitoring frameworks for multi-sector responses (Action Against Hunger, 2016). Although not specifically developed for urban contexts, the tool can be modified accordingly. Highlights of this tool include:

- General M&E introduction (concepts and tools)
- Key indicator lists at outcome, output and activity level
- Measurement guidance for key indicators
- Multi-sector baseline survey tool
- Guidance and tools for FGDs and other assessments
- Templates and tools for indicator calculation
- Market price monitoring tools
- Indicator tracking tables

Annex 1. Reference tools

SUPPORTING DOCUMENTATION FOR REFERENCE	
ACAPS: assessment tools and guidance documents are listed on this website	www.acaps.org/
ALNAP urban-related publications	www.alnap.org/what-we-do/urban
CaLP Organisational Capacity Assessment Tool	http://www.cashlearning.org/strengthening-institutional-capacity/ctp-organisational-capacity-assessment-tool-ocat
CaLP Cash Transfer Programming in urban emergencies; a toolkit for practitioners	http://www.cashlearning.org/resources/library/251-cash-transfer-programming-in-urban-emergencies-a-toolkit-for-practitioners
Global Protection Cluster	www.globalprotectioncluster.org
IIED publications on urban contexts	http://pubs.iied.org/urban
KoBo Toolbox	www.kobotoolbox.org/
Market analysis related tools and guidance including: Rapid Assessment for Markets (RAM), Market Assessment Guidance (MAG), Emergency Market Mapping and Analysis (EMMA), Pre-Crisis Market Analysis (PCMA) and the CaLP Market Minimum Requirements for Market Analysis	http://www.cashlearning.org/markets/humanitarian-market-analysis-tools
Protection, gender and risk related analysis and supporting guidance by multiple agencies	CaLP website protection and risk thematic pages: www.cashlearning.org
Programming in remote contexts	www.nrc.no/resources/reports/challenges-to-principled-humanitarian-action-perspectives-from-four-countries/
Relief web: Secondary data	http://reliefweb.int/
UNHCR Cash Delivery Mechanism Assessment Tool (CDMAT)	http://www.unhcr.org/en-us/protection/livelihoods/5899ebec4/cash-delivery-mechanism-assessment-tool.html
UN Humanitarian response website: secondary data, response strategies, coordination reports, assessment methodologies	www.humanitarianresponse.info/
Urban Multi-sector Vulnerability Assessment Tool (UMVAT)	http://pubs.iied.org/10823IIED/
Urban Context Analysis Toolkit Guidance note for humanitarian practitioners	http://pubs.iied.org/10819IIED/
Using social protection systems to deliver assistance	Multiple publications on the CaLP website social protection thematic pages: www.cashlearning.org/thematic-area/social-protection

Annex 2A. Needs severity scores

This annex supports information provided in Step 2 (including Tables 1 and 2), is linked to Box 7 and should be read in conjunction with Annex 2B.

- 1. Purpose of the needs severity score:** To support unbiased response analysis discussions and the prioritisation of needs in specific sectors (if needed) by providing data regarding the severity of needs within specified groups or potential target groups. The score can be calculated for one or more sectors that are included in the multi-sector needs assessment.
- 2. Should all sector scores be added up and treated the same?** The scores from the following sectors can be added up as they relate to immediate and basic needs:
 - Food security,
 - Income and expenditure,
 - WASH and,
 - HLP and shelter.

Scores for ICLA, education, protection and governance can be calculated **but should be treated separately as they do not relate to immediate needs** (see Box 7) **and relate to protection concerns that should be central to all responses.**

- 3. What is the score based on?** The score is based on responses to pre-selected essential question questions from the UMVAT. **Up to five questions** per sector have been selected (see Annex 2B).
- 4. How have the questions been selected?** Questions have been selected using the following criteria:
 - Questions vital in understanding the severity of needs in their sector (therefore related to vulnerability, intensity and exposure)
 - Questions with pre-determined answers (eg yes, no, big, small, 250) that can be pre-programmed with a representative score, and
 - Questions unlikely to have their pre-determined responses contextualised.

The questions selected for inclusion in the needs severity score matrix should be contextualised as urban contexts are not homogeneous.

- 5. Who does the score relate to?** Target group population profiles can be generated from key questions from the key questions that relate to the household – this can be from the demographic section in addition to questions related to income and expenditure or HLP or ICLA (see Annex 2B). Needs severity score will be generated for each **potential target group profiles**. The generation of scores for at least three to four potential target groups is recommended.

The identification of potential target group should use using demographic data (such as age/ displacement duration, number of dependents, household head type etc.) and data from other sectors such as income and expenditure (level of income or debt for example), ICLA (documentation ownership for example), WASH (such as access to sufficient drinking water or safe latrines) and so forth for all sectors included in the assessment. Potential target group identification can be triangulated against FGD and KII discussions. An iterative approach to identifying additional potential target groups can be used, whereby the scores and analysis of one potential target group informs the profiling of the next, on the basis of findings (see Table 2). This will enable discussion regarding the variations in need (or not) across groups and enable further analysis when targeting takes place (potentially using the Guidance for targeting in urban displacement contexts) (Smith, Mohiddin and Phelps, 2017).

To get a sense of the scale of need and to assist the identification of specific groups that may have higher needs than others, **a comparison between data sets is required**. Therefore assess the needs score for the total assessed population prior to undertaking the analysis for specific groups. Use demographic data and non-demographic data to identify these groups. For this reason, the identification and analysis of three to four potential target groups is recommended.

For example, potential target groups include:

- Total assessed population
- Displaced living less than six months with no remittance income
- Households with dependants (children and elderly) with debts over US\$100, and
- Households with children that have no birth certificates.

6. How have the scores been allocated? Each sector is allowed a total score of 5. The questions in each sector are allocated a total score (between 0 and 5) depending on the question and the implications of the response option. Therefore, a response option, or question with a high value of 3 indicates an unfavourable situation. Due to variations between contexts, these scores can be modified accordingly and contextualised. See below for examples of questions and scores.

See Annex 2B for a list of pre-selected questions, responses and scores pre-response. Remember, these questions and allocated scores should be reviews and contextualised if needed. This is especially so for issues related to protection and governance.

7. How are scores assigned to questions? When assigning a score to an answer, remember that the scores should be assigned on the basis of what **the majority of the population group under analysis answers**.

For example:

Do you face any difficulties with covering the costs of sending your children to school?

Yes = 1

No = 1

A score of 1 is assigned if more than 50 per cent of the population under analysis said 'no' to this question

However, if the population under analysis shows no clear majority of opinion, i.e.: the percentages are very close, the assessment team may be conflicted with what score to provide. The team has to decide what score to assign under these circumstances and continue with the same approach for all populations assessed. For example, the team may decide to give a score that indicates the need within the population.

For example:

Do you face any difficulties with covering the costs of sending your children to school?

Yes = 49 per cent of the population

No = 51 per cent of the population

In this case the assessment team may decide to assign a score of 1 to reflect the closeness of the population's opinion. This decision should be documented and the same approach followed for all assessed populations.

Remember that **the scores will be used as part of a wider discussion regarding needs and will be used alongside additional information**. Look for trends in the data available to ascertain needs and potential target groups. Ensure that any assumptions and decisions made are documented and included in any analysis reports.

8. Combining sector scores and what they tell us? In essence, the higher the score, the greater the needs (see Table A1 below). As the multi-sector needs assessment can include from 2 up to 5 sectors, the maximum score a potential target group can score is 20. Table 2 (Step 2) provides a useful summarising table that **should be adjusted according to the number of sectors being assessed**.

Depending on the number of sectors being assessed and the context (for example pre-existing level of level of poverty or existence of seasonal malnutrition), **the scores and related recommendations in Table A1 should be modified**. Remember that scores for ICLA, education, protection and governance can be calculated **but should be treated separately as they do not relate to immediate needs**.

Table A1: Summarised score recommendation

FOR SECTORS SCORES BASIC NEEDS AND FURTHER NEEDS		
TOTAL SCORE	RECOMMENDATION	
0–10	No immediate attention needed (unless context changes or situation now is very good compared to the norm)	Situation should be monitored – consider seasonal variations in case situation worsens.
10–15	Attention may be needed – depends on context, coverage by others and implication of non-action.	Sectors do require consideration for assistance. Situation should be assessed and monitored
15–20	Needs require immediate attention and if not addressed could have irreversible consequences on the household	Immediate assistance required. Assess and monitor situation alongside provision of assistance.

9. **What analysis tools can I use?** A growing number of options are available including: Excel, SPSS (Statistical Package for the Social Science), Joint IDP Profiling Service (JIPS) Dynamic Analysis Reporting Tool (DART) and KoBoToolbox Excel Data Analyser (see UNOCHA, n.d.).
10. **What is done with scores related to ICLA, education, protection and governance? As suggested in Tables 1 and 2 (see Step 2),** these scores can be presented alongside those of the sectors to get a sense of wider needs.
11. **Where can I access additional support?** ACAPS have produced a number of documents including step-by-step guidance documents that can be referenced. These include: ACAPS (2013).

Using the JIPS DART tool: In the JIPS DART, users can explore and analyse the data collected in profiling exercises by selecting relevant indicators to create report-ready visuals. These visuals give an overview of the characteristics of a population group and allow users to compare two or more population groups side by side. The graphs, tables, and maps created can furthermore be shared among partners to collaboratively discuss and refine interpretations of the data or to initiate a draft report.²⁹

Limitations: The DART is intended for analysis at a general level; while characteristics of a population can be further disaggregated or filtered to get more in-depth information on a specific sub-group, this may be insufficient for some operational needs. The application is not as flexible as others used for data analysis such as Excel or SPSS that allow users to apply multiple filters, calculate averages, create new variables, and analyse correlations between more than two variables.

Working with JIPS: Upon request,³⁰ JIPS is available to provide more comprehensive support to the methodology development, implementation, and analysis of collaborative assessments in displacement situations, known as profiling exercises.³¹ In some cases, JIPS can also support with preparation of the displacement data for the DART if it fulfills certain criteria: the data was collected through a collaborative process with multiple partners and had a well-documented methodology. Displaying data on the DART requires the dataset to have already been cleaned, and that a description of each variable be prepared to instruct the DART how to read the data.³²

²⁹ The *About* page describes the aim and intended audience of the DART: www.dart.jips.org/about. A video on the homepage demonstrates the different features of the DART. This can be found by going to www.dart.jips.org or can be linked to directly here: <https://vimeo.com/186381706>.

³⁰ www.jips.org/en/field-support/request-support

³¹ www.jips.org/en/profiling/about-profiling

³² JIPS can provide detailed instructions on how to prepare the description of variables ('metadata') for adding a dataset onto the DART if needed.

Annex 2B. Needs severity score questions and score summary table

The needs severity score tables should be used with the URAF. Refer to the URAF or UMAT for an explanation of the purpose of the needs severity score.

Table A2: Sector needs severity score demographics

SECTOR	NUMBER	SURVEY QUESTION FROM UMAT	RESPONSE OPTIONS	SCORING SCALE <i>(adjust according to context)</i>	NOTES
Demographics – these questions are to be used to develop potential target groups	1	Which of these best describes your household's current living arrangements?	Living alone; Living with my family members only; Living with other IDPs (non-relatives) only; Living with other refugees (non-relatives) only; Living with my family members and other IDPs (non-relatives); Living with my family members and other refugees (non-relatives); Living with my family members and local residents; Other (specify)		
	2	Household size	<i>(insert household size ranges suitable to context)</i>		
	3	Household head type	Elderly/disabled headed		
			Male-headed (not single)		
			Single-headed (male or female)		
			Child-headed		
	4	How many children 0–17 usually live in the household?	0		
			1 to 2		
			2 to 4		
			more than 4		
	5	How many of these children are living with disabilities?	more than 1		
			none		
6	How many of these adults are living with disabilities?	more than 1			
		none			

Table A3: Sector needs severity score questions and core summary table

SECTOR	NUMBER	SURVEY QUESTION FROM UMWAT	RESPONSE OPTIONS	SCORING SCALE (adjust according to context)	TOTAL ASSESSED POPULATION	POTENTIAL TARGET GROUP A	POTENTIAL TARGET GROUP B	POTENTIAL TARGET GROUP C	NOTES
Food security	1	Total Food Consumption Score (the FCS is a composite score based on dietary diversity, food frequency, and relative nutritional importance of different food groups)	0–21 (poor)	2					No
			21.5–35 (borderline)	1					
			> 35 (acceptable)	0					
	2	Reduced Coping Strategy Index (RCSI) score	0–3 (no/low)	0					
			4–9 (medium)	1					
			≥ 10 (high)	2					
3	Are the shops and/or markets you go to buy household items accessible to all household members? (Male and female, youth, elderly and adults)	Yes	0						
		No	1						

SECTOR	NUMBER	SURVEY QUESTION FROM UMVAT	RESPONSE OPTIONS	SCORING SCALE (adjust according to context)	TOTAL ASSESSED POPULATION	POTENTIAL TARGET GROUP A	POTENTIAL TARGET GROUP B	POTENTIAL TARGET GROUP C	NOTES
Income and expenditure section	4	Can you pay for all your household needs (such as food, water, rent, education, transport and health) with the income made?	Yes	0					
			No	1					
	5	Do you or anyone in your household have any debt of over US\$ [200] (to be contextualised according to debt range used in UMVAT)?	Yes	1					
			No	0					
	6	In trying to meet all the needs of your household (food, non-food, living costs, education and health needs etc.), what have you had to do in the past three months?	Using up savings; working for food; accommodation and other things (not for cash); selling other assets /articles/ products/ jewellery; using credit to buy food	1					
			Living with host family; Sharing costs with host family; Help from family members; Support from host community; Borrowing money; Reduction in the quantity of food eaten, Reduction in the quality of food eaten; Removing children from school; Child labour	2					
		Scavenging/collecting leftover for food; begging; sending children to other families; sending children to the army; early marriage of girls	3						

SECTOR	NUMBER	SURVEY QUESTION FROM UMWAT	RESPONSE OPTIONS	SCORING SCALE (adjust according to context)	TOTAL ASSESSED POPULATION	POTENTIAL TARGET GROUP A	POTENTIAL TARGET GROUP B	POTENTIAL TARGET GROUP C	NOTES
HLLP and shelter	7	Which of these best describes your present accommodation?	Own home; rented furnished accommodation; rented unfurnished accommodation	0					
			Living with host family; formal camp	1					
			Moving between the homes of residents or other displaced people (ie no fixed abode); living next to damaged home; unofficial camp; squatting	2					
	8	How safe do you feel in your current accommodation?	Very safe	0					
			Somewhat safe	0					
			Often unsafe	1					
			Very unsafe	2					
	9	Do you have an agreement in place for rental of this current accommodation?	Yes	0					
			No; do not know	1					
	10	How common is eviction in this area?	Very rare; infrequent	0					
			Quite common; very common	1					
			Don't know	0					

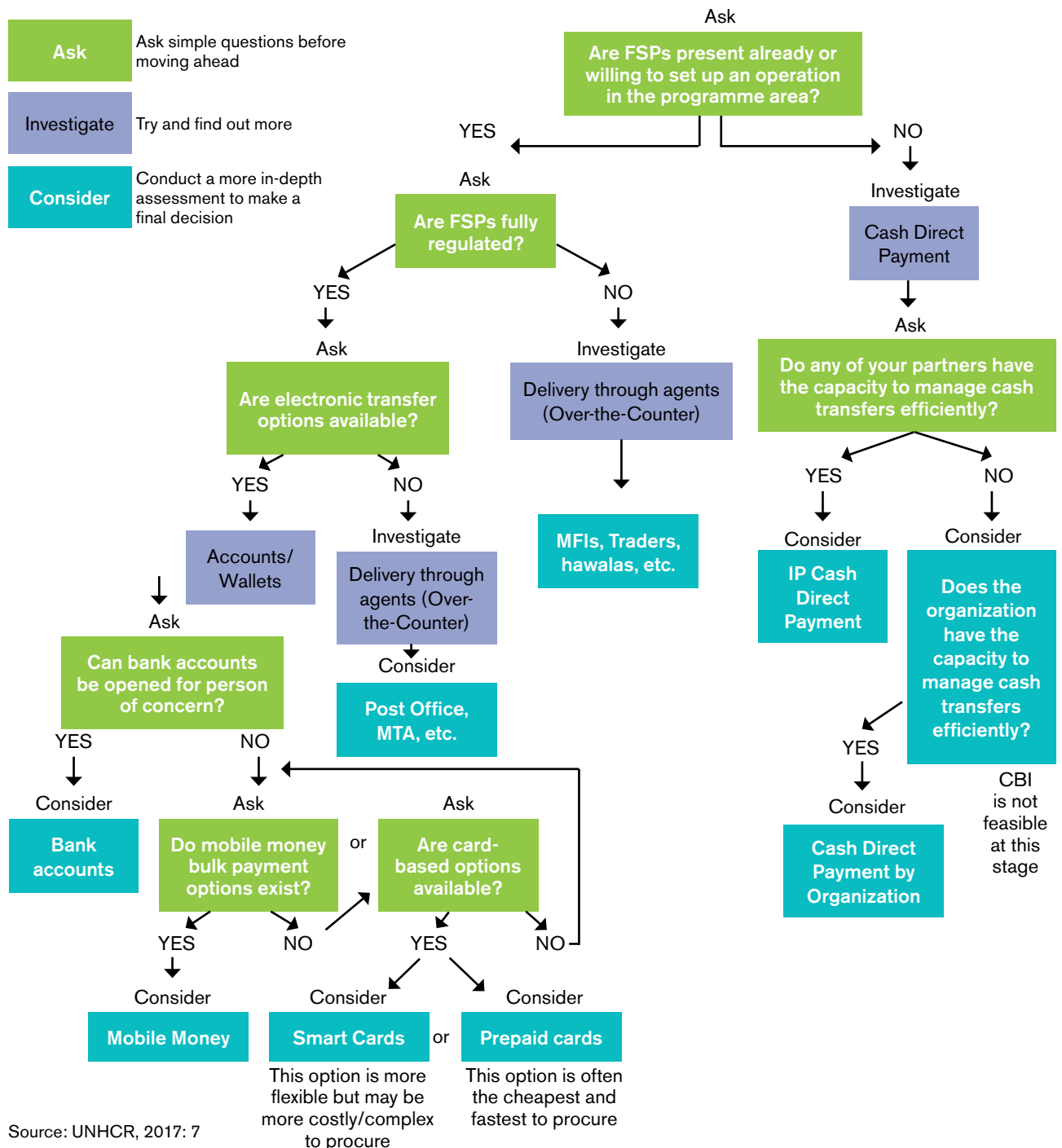
SECTOR	NUMBER	SURVEY QUESTION FROM UMWAT	RESPONSE OPTIONS	SCORING SCALE (adjust according to context)	TOTAL ASSESSED POPULATION	POTENTIAL TARGET GROUP A	POTENTIAL TARGET GROUP B	POTENTIAL TARGET GROUP C	NOTES
WASH	11	Do you have access to enough water for your household needs? Consider the water needed for drinking and domestic use.	Yes	0					
			No	2					
	12	Do you or other family members feel safe in collecting water from usual sources?	Yes	0					
			No	1					
13	Is your household satisfied with the toilets they use?	Yes	0						
		No	1						
14	Do you or other members of your family feel safe when going to, or using, the toilet facilities?	Yes	0						
		No	1						
IMMEDIATE NEEDSSCORE									
Education	15	Do you face any difficulties with covering the costs of sending your children to school?	Yes	1					
			No	0					
	16	Are there any problems with the school environment?	No	0					
Yes			1						
17	Has school attendance of your children been reduced by the displacement?	Yes, cannot attend school	2						
		Yes major change	2						
		Yes some change	1						
		No change	0						

SECTOR	NUMBER	SURVEY QUESTION FROM UMWAT	RESPONSE OPTIONS	SCORING SCALE (adjust according to context)	TOTAL ASSESSED POPULATION	POTENTIAL TARGET GROUP A	POTENTIAL TARGET GROUP B	POTENTIAL TARGET GROUP C	NOTES
Protection and governance	18	Do you feel safe living in this community?	Yes No	0 1					
	19	What are the dangers to safety in this community?	Destruction of housing, terrorist attacks or bombings; Clashes between armed groups; Violence or civil unrest; landmines; Kidnapping; Violence against girls and women; Displacement; Forced recruitment to armed groups; Other (specify)	2					
			Harassment/intimidation by the government/authorities/police; Harassment/intimidation by gangs/ local population; Criminality/crime; Harassment/intimidation by armed groups; Forced evictions; Other (specify)	1					
			No dangers	0					
			Natural disasters	1					
	20	What is your opinion of the delivery of basic services (health, education, water) in this community?	Poor	1					
			Good	0					
			Average	0					

SECTOR	NUMBER	SURVEY QUESTION FROM UMWAT	RESPONSE OPTIONS	SCORING SCALE (adjust according to context)	TOTAL ASSESSED POPULATION	POTENTIAL TARGET GROUP A	POTENTIAL TARGET GROUP B	POTENTIAL TARGET GROUP C	NOTES
ICLA	21	In your opinion, is it easy or difficult to access the documents you need?	Easy	0					
			Difficult	1					
			Do not know	0					
	22	Have you received information about your refugee/legal status?	Yes	0					
			No	2					
	23	Do you know where to go for legal assistance if you need it?	Yes	0					
No			2						
SCORE EDUCATION + ICLA + PROTECTION					0	0	0	0	
TOTAL SCORE					0	0	0	0	

Annex 3. UNHCR Cash Delivery Mechanism Assessment Tool and Guidance Decision Tree

This high-level decision-making tree provides an initial framework for considering Cash Delivery Mechanisms, by asking the most fundamental questions to help guide a more detailed assessment in the programme planning phase. Then, for each CDM, a more detailed decision tree is provided.



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Knowledge
Products

Toolkit

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Urban

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The Urban Response Analysis Framework (URAF) aims to support the identification of appropriate multi-sector responses for urban programmes. The URAF endorses, where appropriate, the use of multipurpose cash grants alongside complementary sector-specific responses, including advocacy and technical support. Therefore, the URAF recommends assistance that meets the basic needs of the displaced and host populations whilst addressing sector-specific needs. By recommending a systems approach to understanding the urban context and the wider response analysis process, the URAF also aims to encourage the identification of resilience-building responses.

Following an introduction to response analysis and brief overview of cash programming in urban contexts, the URAF takes the user through a series of six steps; from the collection of multi-sector needs assessment data, to the identification of responses for potential target groups. The six steps include key questions, expected outputs, and guidance and support on topics that require consideration and inclusion in response analysis discussions. Links to existing guidance and toolkits are provided to further assist the user.

This document is part of a suite of complementary urban tools to enable appropriate urban responses for displaced and host populations. They include the urban multi sector assessment tool (UMVAT), this urban response analysis framework (URAF) and the targeting in urban displacement contexts guidance note. More information is available at www.iied.org/stronger-cities-initiative.

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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