REVIEW OF URBAN FOOD SECURITY TARGETING METHODOLOGY AND EMERGENCY TRIGGERS

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Appendix 1: Definition of Terms

This appendix defines the key terms used throughout the report and discusses some of the theory around them. It is intended to provide a general introduction to the issues around emergency programming in <u>urban areas</u> (A.1), <u>triggers</u> (A.2), and <u>targeting</u> (A.3).

A.1 Urban areas

Development emergency work is complicated by several features of urban areas and this means that rural emergency techniques cannot be imported wholesale. This section briefly considers three urban features and discusses how emergency programming can adapt to these.

No globally agreed definitions for urban contexts

In some countries, settlements with a population of over 2,000 are formally recognised as 'urban'; in others, this is 20,000. Administrative definitions also vary across countries, often making cross-country comparisons very difficult. The UN-HABITAT and World Bank calculate urban populations based on definitions provided by national statistical offices. UN-HABITAT also uses the concept of urban agglomerations, which refers to cities and the urban and peri-urban or sub-urban areas that are contiguous to the main city. However population is not the only indicator of urbanisation and in practice settlements with urban characteristics, such as multi-story buildings, transportation infrastructure, municipal services, and multiple economic opportunities are considered as urban by many humanitarian organisations (CaLP, 2011).

A major consideration to begin with is the uncertainty about urban population and administrative boundaries. This is driven by definitional issues, and the difficulty of conducting censuses and surveys in extremely high population densities, unplanned housing, and the comparatively high number of undocumented households, homelessness and rapid turnover of populations.

Urban contexts have large scale

The humanitarian imperative to respond is no different in rural or urban areas, but the added complexity of urban responses is the sheer population size and concentration of dwellings. This means that often urban emergency responses are much larger. Moreover this urban mass often makes it harder to detect and target the most vulnerable population groups. These may include children, women, the disabled, ethnic minorities, the homeless, illegal settlers, newly arrived rural migrants, refugees and internally displaced individuals (Grünewald, et al., 2011).

Urban vulnerability is concentrated in slums

There is substantial inequality in urban areas, and while cities contain very wealthy areas that attract migrants and job-seekers, an estimated one billion (and rising) people live in slums (UNFPA 2007). Slums are areas of high population density and significant vulnerability resulting from poor service provision, poor infrastructure, poor governance and heightened risks from disease, natural disaster, and physical, food and livelihoods insecurity. Urban emergency responses will very likely be concentrated in slums, which are very difficult to work in.

Urban contexts are complex and diverse, different from rural areas

Urban areas also differ from rural areas in the degree of complexity and diversity found in livelihoods, sources of vulnerability, social structures and institutions. Urban areas are typically characterised by:

Heavy reliance on commercial exchange, less self-sufficiency in food production

- Poor sanitation and health, particularly in informal settlements and densely populated inner cities
- Fragmented social networks, with weaker social cohesion and higher levels of crime and personal insecurity
- Lack of documentation and regularity in the job market
- Complex political economy, with numerous official and non-official actors exerting influence
- Greater labour and geographic mobility for those in the informal sector

Urban emergency response should differ from rural emergency response

As populations and poverty urbanise, so do disaster risks and humanitarian crises. The global assessment report on disaster risk reduction identifies urbanisation as one of the three key drivers of future disaster risk (UNISDR, 2011).

The factors identified above suggest that urban emergency response programming should differ significantly from rural responses. While all humanitarian response is based on need, urban emergency programming will differ from rural programming in the following ways:

- Identification of vulnerable and/or affected populations; and way in which vulnerability is prioritised
- Targeting of identified populations
- Choice of type of response/intervention
- Scaling up and scaling down strategies
- Greater time spent coordinating with the numerous administrative agencies
- Need for higher staffing requirements and logistics support

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A.2 Triggers for scaling up and scaling down emergency response

This section provides an introduction to triggers. Detailed guidance is in section 2 of the main document.

Triggers are events or indicators that precipitate the beginning or end of an emergency response. These can often be quite straightforward: a tsunami triggers a response. However, triggers are often complex. For instance, in slow onset emergencies, when does a chronic situation become an emergency situation? In deciding when to stop an emergency response, when does an emergency situation return to a chronic situation?

Using objective and valid triggers is vital for efficiency and effectiveness. Having clear and established triggers will help to achieve consensus on the resources required and the correct organisational structures to deploy. In urban areas, these triggers are not globally agreed upon or routinely applied. In rural areas, there is stronger agreement on triggers for emergency responses. A framework for analysis is set out in the Integrated Phase Classification (IPC), which is used by organisations like the Famine Early Warning Systems Network (FEWSNET) to provide early warning and vulnerability information on evolving food security issues to help decision-makers respond to disasters. More details on the IPC are provided in section 2 of the main report.

This section sets out some background to triggers in urban emergency work.

Emergencies are most commonly classified into rapid and slow onset emergencies.

- Rapid onset emergencies usually result from sudden natural events such as floods and earthquakes. Reponses are usually large scale and very fast (such as large camps, widely available food, and water).
- A slow onset emergency is "one that does not emerge from a single, distinct event but one that
 emerges gradually over time, often based on a confluence of different events." (OCHA, 2011).
 The most commonly cited example of slow onset emergencies are droughts but a combination
 of adverse trends such as climate change effects, food and energy price spikes,
 macroeconomic shocks, irregular migration, rapid population growth, and urbanisation can all
 contribute to increased vulnerability and humanitarian need, resulting in slow onset
 emergencies.

Trigger indicators are a set of criteria that informs decision making on when to activate emergency response interventions.

This forms part of the wider early warning and surveillance systems for emergencies, which are developed at a national or regional level by governments and international humanitarian organisations. While it is easy to assess when to engage in response to some rapid disasters, such as floods and earthquake, it is more difficult to know when to start preparing and responding to slow onset disasters, such as drought. Depending on the data available, triggers will probably contain some universal aspects with differences for each country or region.

Exhibit 1: Examples of typical emergency trigger indicators Crude mortality rate Morbidity, Mortality <5 Malnutrition rate Distress asset sales Death or distress sale of livestock Increased market prices Distress migration Increased political violence

Source: OPM

Trigger indicators should also be used to plan strategies to scale down to development programming

Scale down strategies and cutoffs should be conceptualised in the early stages of an emergency response, probably based on similar criteria to those for triggering the beginning of the response. WFP¹ often uses the following sorts of scale-down triggers:

• Programmatic: progress towards clearly defined objectives, such as reduced malnutrition

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¹ http://docustore.wfp.org/stellent/groups/public/documents/eb/wfp043683.pdf

- Contextual: whether shocks are a one-off or recurrent; whether emergencies are slow or rapid onset; the extent of vulnerability; the scale and intensity of impact; and regional context such as a macroeconomic crisis
- Systemic: Such as government's capacity to meet needs and for emergency response
- External: Such as diminished donor contributions.

These can of course be modified to reflect any humanitarian organisation's response strategy in urban emergencies.

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A.3 Targeting

This section provides an introduction to targeting. Detailed guidance is in <u>section 3 of the main</u> <u>report</u>.

Targeting is vital to ensure that scarce resources are focused on individuals, households, groups or areas that need those resources most and to avoid duplication between organisations. At the start of urban emergency responses it may be appropriate to provide blanket support (often for the first 4-6 weeks), during which time targeting can be conducted. This is not straightforward in urban areas due to the features outlined above. This section provides more detail on the difficulty of targeting in urban contexts, and on different targeting approaches and methodologies.

Targeting interventions in urban areas is particularly difficult

Targeting in urban areas differs from targeting in rural areas in that:

- It is more time and resource intensive in urban areas because indicators of socio-economic status are not as straightforward and it takes more time to cross-reference and verify in a context where communities are often seen as political constituencies (CaLP, 2011)
- Targeting can have security considerations. In highly populated areas riots can quickly start if communities feel excluded from a targeting process .(Grünewald, et al., 2011).
- Urban areas often have 'gate-keepers' such as local administrators, elders, or community
 workers who are often less representative or trusted by community members than in rural
 areas. Gate-keepers expect to be involved at some stage of the targeting process and could
 destabilise the programme if they are excluded (because their position or power within the
 community may be undermined). It is a challenge to agencies to involve these individuals
 without compromising the quality of targeting.
- Urban heterogeneity and scale implies that in areas with high populations additional resources or prioritisation may be required.
- Households with very different levels of vulnerability may live very close to each other, so geographical targeting may be challenging.
- Urban populations are highly mobile and targeting needs to be responsive to this.
- Communities are not as easily defined or as strong as in rural areas, which makes community based targeting even more difficult to implement fairly (CaLP, 2011).
- In urban areas there is usually a larger number of agencies operating simultaneously, including government stakeholders at a variety of levels (local, municipal, district, central) and the private sector. Coordination is vital to ensure an efficient allocation of resources and the use of all the various accumulated knowledge.

- Among the most vulnerable people in urban areas are those who are homeless, unregistered/undocumented, refugees or migrants, and those who are poorly connected to most social networks. These should be a key priority if targeting is based on vulnerability, but are much more difficult to find than any comparable rural group.
- Incomes are much more important as a measure of vulnerability but are hard to measure
 accurately as most households are employed in the informal sector and have part-time or
 casual jobs or run small enterprises, all with unstable income flows. Moreover, asking directly
 about incomes is also prone to manipulation by respondents who may wish to remain untaxed
 and under the radar.

The first step is to identify targeting criteria: should the response target vulnerability, poverty or affectedness?

Following a decision to target resources the key issue in targeting is firstly identifying the criteria of eligibility for an intervention and then the targeting mechanism. The selection of who to target in urban areas is not easy: typically, most agencies attempt to provide support to 'the most vulnerable', the 'poorest of the poor', the 'food insecure' or those most affected by the disaster. While populations in these groups often overlap, they are not the same. Some definitions are useful:

- Vulnerability describes those who both face a high probability of suffering shocks and are very
 likely to be severely and negatively affected by those shocks. In the sense that it concerns the
 future, vulnerability is a dynamic concept, which makes it difficult to measure directly. The
 rationale for targeting the vulnerable is that it may be possible to prevent a future deterioration
 in their well-being.
- Poverty is a static concept and describes a current level of deprivation. There is some
 disagreement about both what types of deprivation count as poverty and whether poverty is an
 absolute or a relative measure. The most widely accepted approach to measuring poverty is to
 measure consumption expenditure on food. This is typically used to classify poverty levels into
 three grades:
 - Food poverty describes households or individuals in households whose consumption expenditure on food is below the amount estimated to provide a minimum number of calories per day per adult equivalent, (1200 kcals / p / d), with the cost of a basic food bundle calculated at local prices.
 - Absolute poverty describes households or individuals in households whose consumption expenditure falls below that required to provide a minimum number of calories per day per adult equivalent and a basic package of non-food items, such as shelter, clothing and hygiene.
 - Hard core poverty describes households or individuals in households whose consumption expenditure overall (including both food and non-food items) falls below that required to provide a minimum number of calories per day per adult equivalent.

However, poverty is often seen as multidimensional concept and could also include poor housing and sanitation, poor education, poor social networks, low food intake, and so on. In urban areas low income is one of the most significant causes of poverty, but also one of the hardest to measure.

• Food insecurity broadly refers to those who are unable to obtain enough food to lead a healthy and productive life. This means both having enough food in the aggregate, and having nutritionally appropriate diet. Except in the case of severe emergencies food access rather than food availability is a more prevalent problem in urban areas. The attraction of targeting food insecure households is that malnutrition results in both short term and long term damage to health and productivity. However, asking households about their consumption directly can be

difficult as individuals tend to be embarrassed by their lack of dietary diversity or overemphasise their poor intake.

- Targeting those most affected by a disaster seems natural if the rationale for intervention is to restore the pre-disaster situation. However, this may not be appropriate as this takes no account of the underlying and eventual vulnerability (CaLP, 2011). Additionally, those who have lost the most in a disaster may have been those who were best off to begin with (and had most to lose).
- Targeting based on categorical vulnerability includes (usually Government led) approaches which typically aim to transfer resources to identifiable groups of households who are likely to have higher needs or greater vulnerability, but are not necessarily poorer, more food insecure or more affected by disaster than other households. These groups include the elderly, orphans, widows or those with disabilities. Due to their universality these approaches are usually more politically viable than approaches targeted specifically on poverty (although they can be administered with an additional poverty criterion).

There are no hard and fast rules about which targeting criteria to apply in a given situation. The choice will depend on the nature of the disaster and the political, economic and social context. But it is worth being clear about which option is being chosen, as they have different implications for the specification of the targeting method.

The second step is to specify a targeting method, choosing from the range of options

The following step is a choice of targeting methods, which as identified in recent literature, will vary considerably from what is suitable in rural areas. This will also be determined by the choice of interventions and the type of response following scale-up of the emergency response. Typically targeting is two-step process of geographical and household targeting. The chosen targeting method should be identified and communicated with field staff at the earliest possible stage. Common targeting methods identified in the literature and applied in practice are given in exhibit 2:

Exhibit 2: Examples of common targeting methods
Administrative Targeting
Community-based targeting (CBT)
Geographic Targeting
Institutional Targeting
Means Testing
Proxy Targeting
Self-Targeting

Source: OPM

The choice of targeting approach depends on the context of the emergency

Targeting in urban areas should naturally consider issues of urban heterogeneity and scale, and be aware of differences in the usual definitions of key concepts such as "community," "household," "poor" and "vulnerable" (FANTA-2, 2008). Some common considerations in the choice of a targeting approach include:

- Scale of disaster impact: blanket targeting may be appropriate if the entire community has been affected
- Type of program or program design: the program design may automatically restrict targeting to certain population categories
- Trade-off between targeting costs and accuracy: universal targeting in a densely populated urban community may be more cost efficient than identifying households based on poverty criteria
- Feasibility of implementation given local context and time lines: again, universal targeting may be more appropriate and time efficient, especially in a rapid onset emergency or politically tense environment

Graduation criteria and mechanisms should also be considered

Targeting for graduation or scaling down in humanitarian responses is often less well-planned and researched, often due the absence of clearly identifiable indicators which determine the appropriate end to the overall programme. At a programme level, graduation criteria determine when individuals and communities are transitioned out of the program and may include indicators based on age, physiological status and nutritional status. In contrast, scaling down criteria determine when a program is phased out entirely. Programs may scale down when the external support is no longer needed, when local communities or national institutions can assume responsibility for providing the services, or when multi-year development assistance programs can be implemented to provide continued support for recovery (FANTA-2, 2008).

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Appendix 2: Assessment tools

This appendix summarises assessment tools for emergency response. It provides a summary, examples from the IPC, and details on IDSUE, NICS and other frameworks.

A.4 Assessment tools summary

Table A.1 Assessment tools summary

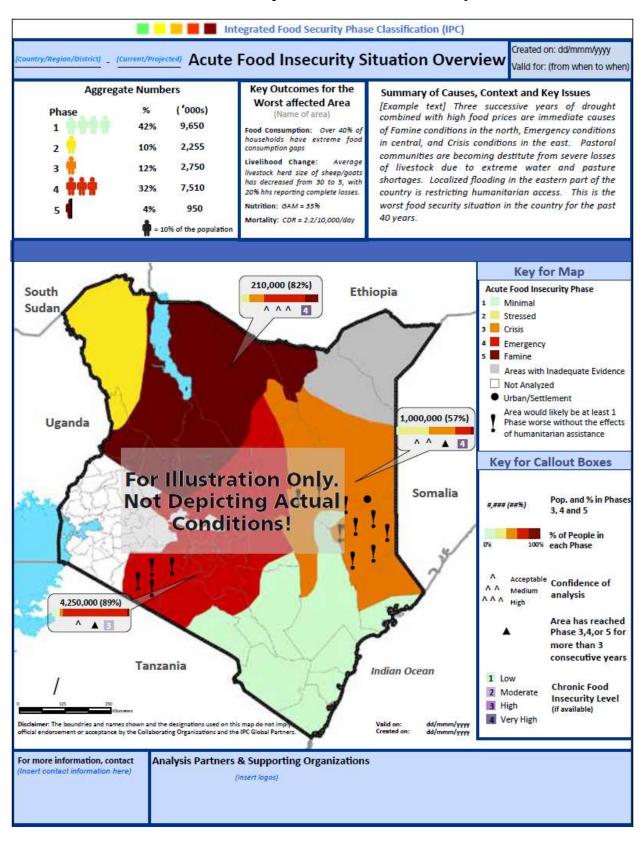
Sector	System name						
Pre-Crisis	Comprehensive Foo	d Security and Vulnera	ability Analyses (CFSVAs)				
Vulnerability and	Multiple Indicator Clu	ister Survey (MICS)					
Risks	Risk Mapping and Sl	nelter Response Plann	ing (UN HABITAT & GRIP)				
Multi-Cluster/ Multi-	ICRC and IFRC Eme	ergency Assessments					
Sectoral Tools	Multi-sector Initial Ra	apid Assessment (MIR.	<u>A)</u>				
Camps	Camp Coordination a	Camp Coordination and Camp Management (CCCM) Assessment Framework					
Education	Rapid Assessment in the Education Sector (UNICEF). Rapid Assessment Field Data Checklist followed by Rapid Education Assessment of Learning Spaces (RALS) tool						
EFSL	WFP's Emergency F	ood Security Assessm	nent (EFSA) Tools				
	The Livelihood Asse	ssment Tool-kit (LAT)	(FAO and ILO)				
	Adapted Household	Economy Approach (H	IEA)				
IDPs	Guidance on Profilin	g Internally Displaced	Persons (IASC)				
Health	Health Resources Availability and Mapping System (HeRAMS)						
Protection	Protection Cluster Monitoring/Assessment Systems						
Shelter	Shelter Assessment Tools (post disaster)						
WaSH	WASH Cluster Surve	ey Tool					
Source:	Adapted	from	OCHA	(2009)			

A.5 IPC Acute food insecurity reference table for area classification

		Phase 1 Minimal	Phase 2 Stressed	Phase 3 Crisis	Phase 4 Emergency	Phase 5 Famine
	Phase Name and Des <i>c</i> ription	More than four in five households (HHs) are able to meet essential food and nonfood needs without engaging in atypical, unsustainable strategies to access food and income, including any reliance on humanitarian assistance	Even with any humanitarian assistance at least one in five HHs in the area have the following or worse: Minimally adequate food consumption but are unable to afford some essential non food expenditures without engaging in irreversible coping strategies.	Even with any humanitarian assistance at least one in five HHs in the area have the following or worse: Food consumption gaps with high or above usual acute malnutrition OR Are marginally able to meet minimum food needs only with accelerated depletion of livelihood assets that will lead to food consumption gaps.	Even with any humanitarian assistance at least one in five HHs in the area have the following or worse: Large food consumption gaps resulting in very high acute malnutrition and excess mortality OR Extreme loss of livelihood assets that will lead to food consumption gaps in the short term.	Even with any humanitarian assistance at least one in five HHs in the area have an extreme lack of food and other basic needs where starvation, death, and destitution are evident. (Evidence for all three criteria of food consumption, wasting, and CDR is required to classify Famine.)
	Pnority Response Objectives	Action required to Build Resilience and for Disaster Risk Reduction	Action required for Disaster Risk Reduction and to Protect Livelihoods	Protect livelihoods, reduce food consumption gaps, and reduce acute mainutrition	Save lives and livelihoods	Prevent widespread mortality and total collapse of livelihoods
ss inferred)	onsumption and ood Change	More than 80% of households in the area are able to meet basic food needs without engaging in atypical strategies to access food and income, and livelihoods are sustainable	Based on the IPC Household Group Reference Table, at least 20% of the households in the area are in Phase 2 or worse	Based on the IPC Household Group Reference Table, at least 20% of the households in the area are in Phase 3 or worse	Based on the IPC Household Group Reference Table, at least 20% of the households in the area are in Phase 4 or worse	Based on the IPC Household Group Reference Table, at least 20% of the households in the area are in Phase 5
Area Outcomes ectly measured or inferred)	⊇ ∨,	Acute Malnutrition: <5% BMI <18.5 Prevalence: <10%	Acute Malnutrition: 5-10%, BMI <18.5 Prevalence: 10-20%	Acute Malnutrition: 10–15% OR > usual and increasing BMI <18.5 Prevalence: 20–40%, 1.5 x greater than reference	Acute Malnutrition: 15–30%; OR > usual and increasing BMI <18.5 Prevalence: >40%	Acute Malnutrition: >30% BMI <18.5 Prevalence: far > 40%
(direct	Mortality*	CDR: <0.5/10,000/day USDR: <1/10,000/day	CDR: <0.5/10,000/day USDR: ≤1/10,000/day	CDR: 0.5–1/10,000/day USDR: 1–2/10,000/day	CDR: 1–2/10,000/day OR >2x reference U5DR: 2–4/10,000/day	CDR: >2/10,000/day U5DR: >4/10,000/day

Source: IPC (2012: 32)

A.6 IPC acute food insecurity communication template



Source: IPC (2012:50)

A.7 Indicator Development for the Surveillance of Urban Emergencies (IDSUE)

Concern Worldwide, in partnership with the African Population and Health Research Centre (APHRC), is currently undertaking an operational research study to develop and empirically test a set of slow-onset emergency indicators for an urban slum environment in Kenya. In Korogocho and Viwandani slum settlements in Nairobi, quantitative data was collected in three rounds from randomly selected households, through APHRC's regular data gathering. These rounds were preemergency (January-December 2007), emergency (January 2008-June 2009), and postemergency (July 2009-October 2010). The emergency period covered two months (January-February 2008) of violence following the election and a further 16 months of post-election violence and global food price rise effects. Data were not collected in some months following the election due to the violence. The magnitude of change in these indicators in the emergency period suggests their usefulness as emergency indicators (though not necessarily as early warning indicators). Qualitative data was also collected using a framework similar to the HEA: asking what constitutes the norm, a crisis, and coping strategies in an urban informal setting, and to identify early warning signs of crisis.

These data were used to develop indicators in eight domains that were then tracked over several rounds as a basis of emergency surveillance under IDSUE, which began in late 2010. The eight domains were food security, markets, water and sanitation, health and health facilities, interpersonal relationships, security, employment and socio-economic status, and coping strategies, and markets have subsequently been folded into food security.

17 indicators in these eight domains are being tracked, and five roughly quarterly rounds of data collection have been collected so far (to January 2013), with a further seven planned until 2015. The first three rounds were collected in two slum locations in Nairobi, and from round 4 five other locations were progressively added (two Nairobi slums in round 4, one Nairobi non-slum in round 5, and two slums from another Kenyan city (Kisumu) planned from round 6). These five founds were conducted in the following dates:

- Round 1: March / April 2011
- Round 2: July / August 2011
- Round 3: December / January 2012
- Round 4: April / May 2012
- Round 5: August / September 2012

These rounds covered different seasons, which even in urban areas offer different opportunities and constraints as prices, labour markets, disease profiles, and social demands (e.g. through festivals) change. This is summarised in the seasonal calendar below:

Table A.2 Seasonal Calendar of disease, food scarcity and migration in Nairobi informal settlements

July	August	September	October	November	Dec	Jan	Feb	Mar	April	Мау	June
				Diarrhea		Diarrhea	Diarrhea		Diarrhea	Diarrhea	
ARI			ARI			ARI			ARI		ARI
		Malaria	Malaria	Malaria		Malaria				Malaria	
Hunger	period					Hunger					
	Migration-				Migration				Migration		
	up				n-up				n-up		
	country				country				country		

(Source: Concern 2011)

At the time of writing, a draft year two research report was available from Concern. This report notes that the indicator set is being revised, but the expectation is that these indicators will be monitored regularly and thresholds for each will be assigned (in the next three years) to denote emergencies. It was suggested that no more than 10 indicators be chosen eventually. Available data for the indicators from Viwandani and Korogocho (the two areas for which data are available for all five rounds) are presented in Table A.3 (which lists other indicators for which data for all rounds are not available). Indicators that have varied more than 50% from the round one value are shaded. Concern has not yet provided explanations for these changes or indications whether any changes should be treated as statistically significant. It is also possible that some data errors remain and these are currently being checked.

Korogocho and Viwandani are around 10km from Nairobi's city centre. Both are informal settlements, characterised by poor housing, lack of clean water, poor sanitation, unemployment, poverty and overcrowding. However, Viwandani is very close to the industrial area and is home to many young men who have left their families in rural areas and move for work. Korogocho is a more established slum with more entire families.²

Across the rounds, indicators that changed more than 50% are:

- Proportion of households classified as severely food insecure by the Household Hunger Scale.
 This indicator did not always move in the same direction in each area. For instance, in round 3
 (December and January 2012) it deteriorated very sharply in Korogocho while improving significantly in Viwandani. The improvement may be due to increased employment in Viwandani, but this is uncertain and Concern are looking further at the data to investigate this.
- Proportion of households not consuming more than four food groups in the past 24 hours. This
 also moved in different directions: in round 3, it also deteriorated sharply in Korogocho while
 improving in Viwandani.
- Proportion of households consuming street foods in last 24 hours. This is seen as a bad thing (or as a coping strategy when households cannot afford to buy in bulk or to buy fuel and other inputs) in slums in Nairobi, so is normally an indicator of insecurity. This became more prevalent in Viwandani but remained stable in Korogocho.
- Prevalence of intra-household disputes in last month. This deteriorated significantly in Viwandani and was particularly bad in round 4 and deteriorated much less in Korogocho, and was worst in round 5, though it is not clear to Concern why this is.
- Prevalence of inter-household disputes. This grew generally worse in Viwandani and steadily better in Korogocho. It is not clear to Concern why this might be.

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² Description from Concern's IDSUE year one research report.

• Prevalence of shocks. This improved generally in both Viwandani and Korogocho, with roughly the same pattern.

While the data and analysis are still in development, two important conclusions seem clear. First, the two areas have had very different experiences, and these experiences are not obviously related to the different seasons. This underlines the importance of using small areas to make estimates. Second, these indicators do not appear to co-vary. In other words, in the same period in a single area, one indicator of crisis might improve and another deteriorate, without clear explanation. This may be because there has been no crisis during this period. Overall, it is not clear whether significant variation in an indicator means that it is a good candidate for inclusion in a system of triggers – it may be too sensitive to be useful. More work needs to be done before this research can be useful for developing a trigger system.

 Table A.3
 Emergency indicators in urban Nairobi

Indicator	Location	Round 1 Mar-Apr 11	Round 2 Jul-Aug 11	Round 3 Dec-Jan 12	Round 4 Apr-May 12	Round 5 Aug-Sep 12
Food security		%	%	%	%	%
 Proportion of households classified as severely 	Viwandani	31.9	38.3	28.5	37.8	28.9
food insecure by HFIAS	Korogocho	68.3	60.3	72.5	62.6	53.9
Proportion of households classified as severely	Viwandani	4.4	4.2	2.1	5.4	5.2
food insecure by HHS	Korogocho	4.5	2.7	11.4	17.7	9.4
Proportion of households consuming more than	Viwandani	60.7	72	75.7	67.4	71.9
four food groups in last 24 hrs	Korogocho	65.5	74.1	43.4	60.4	57.4
Proportion of households with members who	Viwandani	32	33.9	50	31.9	31.8
consumed street foods in last 24 hrs	Korogocho	50.9	52	52	50	51.4
Water						
 Access to water in households in last week 	Viwandani					
(Litres/person/day)	Korogocho					
 Average price of 20 ltr of water (Ksh) 	Viwandani					
	Korogocho					
Health						
 Prevalence of illness in last two weeks 	Viwandani	33.4	30.3	41.3	42.9	33.4
	Korogocho	42	31.7	58.4	44.9	48.2
Interpersonal relationships						
Prevalence of intra-household disputes in last	Viwandani	7.1	8.9	12.8	15.6	13.6
month	Korogocho	14	11.4	15.7	16.9	21.7
Prevalence of inter-household/community	Viwandani	5.5	5.2	8	7.1	8.5
disputes in last month	Korogocho	18.5	8.8	7.3	6	4.2
 Prevalence of food sharing between neighbours(received) 	Viwandani Korogocho					
(gave)	Viwandani					
,	Korogocho					
Security	J					

Prevalence of shocks (fire, eviction, mugging,	Viwandani	18.7	14.4	13.7	13.3	4.6
stabbing, rape, etc.)	Korogocho	15.7	6.9	16.5	10.4	6.1
 Proportion who report bad or very bad security 	Viwandani	46	35.9	43.6	32.8	31.3
situation in last month	Korogocho	59.4	52.4	64.7	59.4	62.1
Proportion who felt unsafe in their homes in last	Viwandani	32.7	25.9	30.8	25.8	27.5
four weeks	Korogocho	54.1	54.5	44.9	55.5	57.5
Prevalence of use of avoidance behaviours in last	Viwandani	46	41.2	47	44	48.5
four weeks	Korogocho	63.2	67.3	58.9	73.2	81.2
Socioeconomic status						
Dependency ratio	Viwandani					
	Korogocho					
 Average monthly income of breadwinner (KSh) 	Viwandani					
	Korogocho					
Coping strategies						
Prevalence of use of negative coping strategies in	Viwandani					
last four weeks	Korogocho					

Source: Concern Worldwide 2013. These data are correct as of January 2013, but the project is ongoing in terms of data cleaning and analysis.

Anthropometric data was also collected to identify malnutrition rates, but these were not presented over time. These present no obvious pattern, as GAM is higher in one slum and SAM and oedema are higher in another. In both slums the proportion of SAM to GAM is very high and requires further analysis (which Concern will conduct) to understand if the causes are predominantly WASH or disease related; if there are subsequent high mortality rates; and which age groups are most at risk.

Table A.4 Anthropometric measurements in urban Nairobi, December 2011

	GAM (MUAC<12.5 cm and/or Oedema) (N=384)	SAM (MUAC<11.5 and/or Oedema) (N=384)	Oedema (N=384)
Korogocho	4.8%	2.4%	1.5%
Viwandani	3.8%	3.0%	3.6%
Total	4.4%	2.6%	2.2%

Source: Concern Worldwide 2012

Concern's activities are on-going and the expectation is that all of these indicators will be used to develop a set of thresholds that trigger intervention. So far, they have identified a useful tracking of key indicators, but not yet narrowed down a small set that could be cost effectively monitored over time and given agreed thresholds beyond which an emergency is declared.

A.8 Nutritional information in crisis situations (NICS)

The UN Standing Committee on Nutrition issues the NICS report (formerly RNIS) quarterly, based on consolidated information from nutrition and mortality surveys submitted (voluntarily) by UN agencies and NGOs. These reports are aimed to cover populations affected by a crisis, including refugees, internally displaced populations and resident populations. They are designed to provide information over time on key outcome indicators from emergency-affected populations, to play an advocacy role in bringing the plight of emergency affected populations to the attention of donors and humanitarian agencies, and to identify recurrent problems in international response capacity.

NICS includes a nutritional risk classification system, which compares information in five areas: nutritional risk, food security, the public health environment, the social and care environment, and delivery of assistance. Situations are classed into five categories relating to risk and/or prevalence of malnutrition. The prevalence/risk is indirectly affected by both the underlying causes of malnutrition, relating to food, health and care, and the constraints limiting humanitarian response. These categories are summations of the causes of malnutrition and the humanitarian response:

The classification is based on either the analysis of the risk of malnutrition (as indicated by underlying factors and trend analysis), the prevalence of malnutrition, and/or high mortality rates. The NICS reports also analyse the underlying causes of malnutrition and the constraints limiting humanitarian response classified in three levels of adequacy (adequate, mixed and inadequate) and recommends appropriate actions. An example of its use in Africa is provided here.

The NICS approach is unique because it is the only system which considers all underlying causes of malnutrition, key constraints in the delivery of humanitarian assistance, as well as the prevalence of malnutrition. It is also the only system that allows for the possibility that malnutrition and mortality rates may not rise in parallel.

However, NICS has limitations for use in emergencies, given its reliance on large scale nutrition surveys, and in urban areas in particular, for the same reason. As with IPC, the usefulness of the NICS classification system relies heavily on the quality of analysis and interpretation of the prevalence of malnutrition in survey reports.³ NICS is also more focused on nutritional issues rather than with emergency needs more broadly considered, and therefore more reliant on anthropometric data than the IPC. Anthropometric data are both difficult to collect (and therefore rare) and hard to interpret in urban areas.

A.9 NICS Classification System example in Africa

	ETHIOPIA Offia Woreda, SNNP Region	KENYA Greater Pokor, Rift Valley Province	SUDAN Kurmuk County, Blue Nile State	CENTRAL AFRICAN REPUBLIC Prefecture Nana Mambéré	DEMOCRATIC REPUBLIC OF THE CONGO Kisanjii, Bandudu Region
Nutritional risk category	III-IV	П	II-III	П	П
Households [†] livelihoods	(a)	8	8	8	⊜
External assistance	?	3	0	8	?
Availability of water and access to potable drinking water	8	8	8	?	8
Health care	©	8	⊕	00	(3)
Sanitation	?	8	8	?	8
Social environment	?	?	?	8	8
Child feeding practices	⊕	⊜	8	⊗	8
Accessibility to population	©	0	8	8	8
Resources for humanitarian Intervention	?	3	0	8	?
		-	+	- 5	

⊕ MIXED
 ⊗ INADEQUATE

Source: NICS Report No. 23. May (2011)

³http://www.ieham.org/html/docs/Acute_malnutrition_benchmark.pdf

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A.10 Other analysis frameworks in use

Different organisations use a range of systems and frameworks, as shown in the table below. None of these is perfect. ACF has gone further in developing urban-specific frameworks but with a limited relationship to response analysis and under-specified guidelines, according to Creti (2010). Oxfam had developed a specific food security assessment tool (FAST) but this has been superseded by more generic tools such as HEA and EMMA.

Table A.5 Food security assessment adaptations to urban contexts

Approach	Strengths	Weakness and Gaps
WFP - EFSA: Approach based on the adapted household food security conceptual framework Urban TGS provides specific guidance relative to urban contexts.	Quantitative analysis: Technical Guidance Sheet (TGS) addresses issues related to food security Indicators (Food Consumption Score, income, expenditures, Coping Strategy Index etc.). Sampling methodology: The TGS provides practical indications on how to deal with issues related to sampling Traders' survey: assess market and traders' capacity to respond to increased demand of basic goods and relative constraints. Suitable for slow-onset emergencies. SWOT analysis and participatory response analysis. Suitable for urban contexts as they allow taking a wide range of response options into account and involve stakeholders.	Qualitative analysis: TGS lacks practical indications on how to systematically integrate and conduct qualitative analysis in urban contexts. Context analysis: Lack of methodological tools and practical indications to assess urban contexts in specific typologies. Selection of vulnerable areas: Lack of indication (process / criteria /indicators) to identify vulnerable areas in a city. Market. Lack of appropriate guidance to integrate market analysis, particularly in sudden-onset emergencies. No guidance on how to assess nonfood markets Response analysis framework — need further guidance on the selection of appropriate responses including aspects of no-harm, reduction of risks, cost-effectiveness.
OXFAM GB HEA approach: food security baselines and monitoring. FAST (food security assessment) tool provides a basic methodological framework to assess food security in different emergency-typologies. Response Analysis framework EMMA (Emergency Market Mapping and Analysis) tool	FAST approach based on food security typologies. Urban typology could be added to the framework. Political economy approach —suitable to assess the complex political environment in urban contexts. Response analysis framework — comprehensive tool that can be adapted to urban contexts. It includes components of risk analysis, do not harm, cost/benefits analysis, institutional analysis in the decision of appropriate response options.	No guidance on how to conduct EFSL assessments in urban contexts, when HEA is not feasible. FAST does not include urban typology. Has been superseded because was not accessible. Lack of field practice. Political economy approach and response analysis framework have not been piloted in urban contexts. Quantitative analysis. No guidance /methods on how to conduct quantitative analysis in urban contexts (both food security and markets).
Household Economy Approach The HEA guide for practitioners dedicates a chapter for adaptation to urban contexts	Provides examples of criteria used in previous urban assessments to monitor food security It gives a broad introduction to the issues and challenges in urban contexts. Clear indication to shift the enquiry from sources of food and income (rural) to expenditure and income patterns.	Not easy to apply in emergency contexts (more baselines and monitoring tool); it cannot completely replace existing tools. Urban adaptation leaves practitioners to make adjustments to context. It requires specific training and expertise – difficult to be widely applied by agencies

ACF Urban Guidelines

These guidelines are specific to urban contexts.

The analytical approach is based upon the sustainable livelihoods framework.

IFRC Food Security Guidelines

Global Food Security Guidelines (GFSG) – include 2-pages on urban food security assessments.

EMMA

Emergency market analysis tool to assess critical market systems and analyses response options

MIFIRA - CARE

Market Information and Food Insecurity Response Analysis Tool– analyses food markets and provides information on appropriate responses and local food sources.

Urban mapping: the approach is well developed with clear criteria and indicators and a process to map vulnerability areas.

Analysis of urban institutions and services: the guide presents qualitative tools to assess formal and informal actors, services, institutional structures and power relations.

Context analysis checklist – the guidelines provide checklists and sources to assess the macro-economic factors, and the role of public policies, governance, health services and social capital.

Participatory tools. IFRC guidelines give good examples about how / when to use participatory tools (even if they are not specific to urban contexts)

List of responses. GFSG provide a list of possible food security responses to urban households.

Approach suitable to urban contexts and sudden onset emergencies.

Tools – can be used individually and are: qualitative, simple, easy to interpret

It guides the analysis of non-food markets – i.e. labour markets

It provides criteria and methods to select critical markets

Response analysis options – taking into account appropriate responses based on market systems functionalities.

It links macro, meso and micro level analysis.

Response analysis framework – includes appropriateness of responses but also source of food.

HEA analysis is based on tracking income and expenditure changes – this can be more difficult in urban contexts.

Food Security Indicators and analysis – it does not provide any guidance on how to adapt/use quantitative indicators and how to analyse findings

Market analysis is limited to a few questions to traders on the impact of high food prices. (The guidelines seem developed for the food crisis context – slow onset crises)

Response analysis. There is no guidance on how to conduct response analysis

IFRC has not developed technical guidance on urban food security assessments.

Gap analysis

Suitable for sudden onset emergency – other market tools (MIFIRA, Traders' Surveys) are more suitable for in depth assessments.

Not suitable for sudden onset emergency.

Requires high technical expertise – therefore less suitable to be integrated in urban food security assessments.

It focuses only on food markets – does not respond to the need to assess other critical market systems in urban contexts.

Source: Creti 2010

Appendix 3: References, bibliography, people consulted and TOR

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A.12 Annotated bibliography

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Comments

This methodological guide is designed for use by **field practitioners**, and is applicable to urban settings in general. It provides guidelines on **primary and secondary data collection** required to **identify vulnerable populations in urban areas**. The guide combines information on **methodology** as well as several **tools of analysis**. These tools can be used at different times to organise second-hand documents; to create a vulnerability and/or livelihoods mapping across the conurbation (a region combining several cities, towns, or other urban areas that, through growth, have merged to form one continuous urban area); or to complete a low-level analysis in one or several districts.

This guide cannot comprehensively address the diversity of urban contexts and humanitarian situations. It is only a first version that will be tested and validated during field work by practitioners from diverse backgrounds.

Provides tools for those involved in fieldwork and analysis of HEA assessments. Central issues in HEA analysis include: how people in different social and economic circumstances get the food and cash they need; their assets, opportunities and constraints; and the options open to them at times of crisis.

This toolkit brings together the collective knowledge of best practices, key issues in programming, and adaptations of cash transfer programme methodologies for urban settings.

It covers cash transfer programmes of all types—including conditional cash grants, unconditional cash grants, cash-for-work, cash-for-training, and vouchers-and includes programs in urban and peri urban areas. This toolkit provides **templates and examples of tools** used in the assessment and response to urban emergencies. This study **focuses exclusively** on cash transfer programs.

HFIAS is an adaptation of the approach used to estimate the prevalence of **food insecurity** in the United States annually. This guide provides a set of questions, a model questionnaire and instructions on how to tabulate the data and create indicator variables from response data (collected through a household) survey.

Review commissioned by WFP and Oxfam GB with the aim of providing an overview and analysis of Agencies to Measure Livelihoods, Food Insecurity and Vulnerability in Urban Context"

Unpublished Draft

FANTA-2 (2008). 'Emergencies in Urban Settings: A Technical Review of Food-based Program Options'

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 IPC Global Partners (2008). 'Integrated Food Security Phase Classification: Technical Manual. Version 1.1'

http://www.ipcinfo.org/attachments/PDF%20-%20IPC%20USER%20GUIDE%20FAO-6.pdf existing assessment approaches, tools and indicators used to measure livelihoods, food insecurity and vulnerability in urban contexts. The report is structured around the components of the Food and Nutrition Security Framework. It discusses

- Macro-level analysis
- Household food security
- Nutrition analysis
- Response analysis

Table 1 provides a useful synthesis of the strengths and weakness/gaps of various agency approaches.

The objective of this paper is to provide technical information and lessons learned to support USAID and its partners to effectively design and implement emergency food assistance programs in urban and peri-urban settings. It defines key terms and concepts, discusses food security and nutrition in urban settings, and characterizes the urban context in terms of urban livelihoods, food access and social dynamics. The report also covers program planning processes and offers tools to decide what type of food-based interventions might be appropriate given a set of circumstances. Lastly it describes 11 types of common food-based programs for which experience exists in urban emergency settings. For each of those approaches common advantages, disadvantages, implementation targeting and modalities highlighted.

The report focuses exclusively on food assistance program options.

A brief description of **Tools and Approaches to identify and target** vulnerable individuals in urban areas. It is annotated with URLs and broken down by theme and sector. This does not purport to be a comprehensive listing but rather a representative array of the various options available to agencies working in urban areas.

The majority of the tools and approaches in this document encapsulate all that is 'different' about working in urban areas as opposed to rural settings and are mainly **community-based surveys**.

Revision of the original Manual Version 1 published in 2006. An updated Version 2 is being planned. The manual begins with a discussion of why a common classification system is needed as well as a brief review of existing classification systems. It also provides technical details of the concepts and use of the IPC, and ends with a discussion on the potential for the broader applicability of the IPC to other country, regional, and global contexts and future challenges

Lawrence & maunder (2007). 'A Review of the Integrated Food Security and Phase Classification (IPC)'

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UN-HABITAT (2011). 'Meeting Humanitarian Challenges in Urban Areas: Review of Urban humanitarian Challenges in Port -au-prince, Manila, Nairobi and Eldoret'

This manual does not address the urban context specifically

Reviews all components (Situation Analysis, Early Warning levels, cartographic protocols, strategic response framework) of the IPC, looking at both strengths and weaknesses of the approach and suggesting ways of addressing a number of the perceived weaknesses

Does not look at urban specificity.

This review assesses the relevance, implementation, impact and sustainability to date of the Urban Livelihoods and Social Protection Programme in Korogocho and Kisumu. It provides recommendations on how the programme could be improved, and on how it can be better aligned with the Kenya Country programme (2011-2016) and the global Food, Income and Markets Strategy.

This report sets out findings from three assessments of Oxfam's urban emergency food security and livelihoods programmes in Nairobi (Kenya), Port-au-Prince (Haiti) and Gaza. The purpose of the assessments was to explore the following areas:

- Appropriateness
- Timeliness
- Targeting
- Impact
- Accountability
- Partners' experience

The Sphere Handbook is designed for planning, implementation, monitoring and evaluation during humanitarian response. It is also an effective advocacy tool when negotiating for humanitarian space and for the provision of resources with authorities.

It prescribes **minimum standards** in four areas: water supply, sanitation and hygiene promotion; food security and nutrition; shelter, settlement and non-food items; and health action. Each section on key standards includes definition of standards; a list of practical actions to attain these standards; key indicators; and guidance notes which include context-specific points to consider when aiming at reaching the key actions and key indicator. Checklists for some sections as well as a list for references and further reading follows each chapter. The handbook does not provide guidance on to **how to implement** a specific activity.

Urban case studies which evaluate the tools, practices, capacities and methodologies employed by humanitarian agencies in responding to humanitarian crises and emergencies in Nairobi, Eldoret and Manila and Port au Prince. The review:

http://www.humanitarianinfo.org/iasc/pageload er.aspx?page=content-subsidi-commondefault&sb=74

UNSCN (2011). 'Introduction to nutrition in emergencies: Technical Notes'

http://www.unscn.org/layout/modules/htp/pdf/M01P 2.pdf

Young & Jaspars (2009). 'Review of Nutrition and Mortality Indicators for the Integrated Food Security Phase Classification (IPC): Reference Levels and Decision-making'

http://www.odi.org.uk/resources/docs/5636.pdf

- outlines key challenges and gaps experienced by humanitarian agencies in these cities
- highlights practices, approaches and tools used in these cities
- provides key transferable recommendations under each area
- provides recommendations to IASC partners in the case study countries on improving delivery of humanitarian response and preparedness in the selected cities.

Discusses nutrition in emergencies and explores various classification systems for food and nutrition emergencies. Where and when nutrition emergencies occur and who are the most nutritionally vulnerable is also reviewed. Different forms of nutrition assessment and responses are outlined. Finally, some of the existing challenges in the area of nutrition in emergencies are discussed.

This review of nutrition and mortality indicators was carried out for the specific use by the IPC and provides guidance to IPC practitioners on the significance and use of nutrition and mortality indicators for the classification of food security. It details the indicators used and provides recommendations on indicators and reference levels for different IPC phases

A.13 Individuals consulted

Person interviewed	Organisation	Country of expertise
Ando Ratsim	Concern	Haiti
Anne-Solenne le Danvic	Action Contre le Faim	Cote d'Ivoire
Camille Donat	Action Contre le Faim	Haiti
Davina Jeffery	Oxfam	Gaza
Elena Qleibo	Oxfam	Gaza/international
Kate Golden	Concern	International
Kudzai Nhongo	Oxfam	Zimbabwe
Laura Phelps	Oxfam	International
Lilly Schofield	Concern	Kenya
Marie Sardier	Action Contre le Faim	International
Philippa Young	Oxfam	Haiti/international
Rick Bauer	Oxfam	International
Sara Almer	Oxfam	Gaza
Tafadzwa Makata	Oxfam	Zimbabwe
Thais Mosquet	Action Contre le Faim	Haiti

A.14 Terms of reference

EFSL Urban targeting methodology and indicators best practice report

Background:

In 2008, for the first time in history, the world's urban population outnumbered its rural population. This population growth mainly takes place in urban areas of developing countries. By 2030, 3.9 billion people are expected to be living in the urban areas of developing countries. The Oxfam EFSL team, like the rest of OGB has concentrated on developing rural -based skills and tools over the last 20 years. Now, there is a need to understand the differences between rural and urban EFSL programming, and to establish adapted assessment methodologies and programme responses.

The EFSL team have led on the following:

- WFP and Oxfam recently commissioned a piece of work to 'Review the appropriateness
 of food security and livelihood analysis indicators, tools and methods for
 programming in urban contexts'. This review identified the limited knowledge and
 application in the area of assessments, and raised many more questions than answers.
- 2. **Urban Learning Event** which focused on **food security, livelihoods and nutrition** for program response, in Oxford 4-5th Oct. This meeting created an opportunity to; Share experience and learning from assessment and response in urban FS/ LL / Nut contexts; outline gaps in knowledge and experience in urban FS/ LL / Nut contexts; and agree a way forward and possible interagency collaboration

3. Evaluation to establish the appropriateness, effectiveness and impact of the EFSL interventions in Nairobi, Gaza and PaP. This evaluation highlighted the need for more field based research and design for targeting indicators and methodology.

Objective of the desk based review:

- To collate (and where necessary further analyse) indicators which have been utilised by Oxfam GB, Concern Worldwide and ACF to compile a list of suitable indicators for urban contexts and recommend which indicators should form the basis of urban targeting processes.
- To summarise the strengths and weaknesses of 3 different targeting approaches which are
 utilised in urban humanitarian responses (community based targeting, proxy means tests,
 'weighted' indicator methodology) according to the context, resources and capacity, and
 objective of the intervention.

Deliverables:

To write a Best Practice (to date) document aimed at field practitioners and focused on food security, livelihoods, nutrition and WASH interventions, which will be used for field staff to assist in capacity building and guidance during urban responses. It will include::

- 1. Trigger indicators and thresholds for urban emergencies
- 2. Targeting indicators and methodologies for rapid and slow onset urban emergencies.