Urban multi-sector vulnerability assessment tool for displacement contexts (UMVAT)

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 inputs by 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. www.iied.org/stronger-cities-initiative

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The development of the assessment application for mobile devices (APP) and related guidance would not have been possible without the patient guiding hands and contributions of Hugh Earp and Matthew Pritchard. Assanake Koedam and Melissa Weihmayer at the Joint IDP Profiling Service (JIPS) have provided significant timely assistance to all involved in the data collection, data preparation and analysis process.

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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 the Department for International Development (DFID), the fund aims to build an in-depth understanding of how the humanitarian sector can most effectively operate in urban contexts.

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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The urban multi-sector vulnerability assessment tool for displacement contexts (UMVAT) guidance note has been developed by NRC for use in urban environments where there has been a significant displacement of populations due to conflict and other causal factors. The UMVAT can be used by other humanitarian organisations working in similar contexts.

The UMVAT includes a multi-sector questionnaire, developed for use in KoBo for mobile devices; a guidance document (including assessment methodology, sampling technique approaches, aspects to consider during contextualisation, data collection technique support, and trend and data analysis approaches); focus group discussion and key informant checklists; training materials and additional guidance to support users in applying the tool. The multi-sector assessment questionnaire can be tailored to meet specific information needs, by including or excluding specific sectors and expanding the questionnaire to include additional probing questions in specific sectors. With some contextualisation and methodological modifications, the guidance and tools can be applied in protracted and rapid onset disaster contexts.

The UMVAT was developed in response to a lack of urban specific multi-sector tools. It is part of a suite of complementary urban tools to enable appropriate urban responses for displaced and host populations. The UMVAT and associated guidance complement three other tools which have been developed under the Stronger Cities Initiative for use in the programme cycle. These include: i) a contextual analysis tool[1] (IRC, 2017); ii) a response analysis framework for urban contexts (URAF)[2] (Mohiddin et al., 2017); and iii) guidance on targeting in urban displacement contexts[3] (Smith et al., 2017).

[1] http://pubs.iied.org/10819IIED
[2] http://pubs.iied.org/10824IIED
[3] http://pubs.iied.org/10826IIED

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Acronyms and abbreviations

ABA	Area-based approach
APP	An application, typically a small, specialised programme downloaded onto mobile devices
CBO	Community-based organisation
CSI	Coping Strategies Index
DART	Dynamic Analysis Reporting Tool
DRC	Democratic Republic of Congo
ERT	Emergency Response Team
FCS	Food consumption score
FGD	Focus group discussion
GBV	Gender-based violence
GPS	Global Positioning System
HH	Household
HLP	Housing, Land and Property
ICLA	Information, Counselling and Legal Assistance
IDP	Internally displaced person
IFAD	International Fund for Agricultural Development
IIED	International Institute for Environment and Development
INGO	International non-governmental organisation
IOM	International Organisation for Migration
JIPS	Joint IDP Profiling Service
KI	Key informant
KII	Key informant interview
MEB	Minimum expenditure basket
MPG	Multi-purpose cash grant
NGO	Non-governmental organisation
NRC	Norwegian Refugee Council
OCHA	Office for the Coordination of Humanitarian Affairs
UMVAT	Urban multi-sector vulnerability assessment tool for urban displacement contexts
UN	United Nations
UN-Habitat	United Nations Human Settlements Programme
UNHCR	UN High Commissioner for Refugees
URAF	Urban response analysis framework
WaSH	Water, Sanitation and Hygiene
WFP	World Food Programme

1. Document purpose and audience

Humanitarian agencies are strategically moving towards more integrated programming across sectors, whilst also strategically increasing urban programming coverage for persons affected by displacement and host communities, including Internally Displaced Persons (IDP), refugee and host populations. NRC has invested in the development of this multi-sector urban assessment tool due to a lack of both urban-specific multi-sector assessment tools within the humanitarian sector and reliable data on the vulnerability of urban displaced and host populations.

The purpose of this document is to provide users of the urban multi-sector vulnerability assessment tool for displacement contexts (UMVAT) with step-by-step guidance – from initial assessment planning and tool contextualisation through to data analysis and report writing.

This guidance document has been developed for assessment team leaders, managers and advisers supporting the assessment process, but can be used by practitioners in other organisations.

Multi-sectoral approaches and vulnerability assessment 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.

1.1 How to use this document

This guidance should be read alongside the Annexes that provide key documents and tools including:

Annex 1	Secondary data checklist
Annex 2	Assessment team leader's terms of reference
Annex 3	Mapping urban populations affected by displacement
Annex 4	UMVAT household assessment questions
Annex 5	KoBoCollect APP guidance
Annex 6	Assessment APP training materials
Annex 7	Key informant interview and focus group discussion checklists
Annex 8	Report format
Annex 9	Needs severity score overview
Annex 10	Needs severity scores
Annex 11	Tool development methodology

1.2 Prerequisites for use

The document assumes the following:

1. As the household assessment questions have been developed into an application (APP) for mobile devices it is assumed that most assessment teams will be using mobile devices for data collection.[4]
2. The assessment team will have technical knowledge and experience in the use of online digital data collection and analysis tools such as KoBoCollect (referred to as KoBo), the digital data gathering applications (KoBo or Enketo provided by UN OCHA) or the Dynamic Analysis and Reporting Tool (DART – the data analysis tool provided by the Joint IDP Profiling Service (JIPS)).[5] Additional detailed advice on using the assessment APP in KoBo is provided in Annex 5.
3. The assessment team leader (and ideally most assessment team members) will have a humanitarian technical background and experience in assessments (assessment data collection tool methodologies including household interviews, focus group discussions (FGDs) and key informant interviews (KIIs)), data analysis tools and report writing. This is highlighted in the draft Assessment Terms of Reference that can be modified accordingly (Annex 2).
4. The assessment data collection tools (household interviews, FGD and KII checklists) will be contextualised prior to their use. Guidance on what aspects need to be considered in this process in provided in Section 3.2.7.
5. The assessment team will have access to specialised technical expertise and advice. This is especially the case with regards to the following topics that can be of particular interest, as well as being potentially problematic in urban displaced population contexts:
    - Gender and protection
    - Security and access
    - Information, counselling and legal assistance (ICLA), housing land and property (HLP) and legal status.

    The household questionnaire, key informant interview checklists and focus group discussion guidance include these topics. The associated questions have been selected and worded in a manner that should not require a specialist to be involved in door-to-door data collection. **However, it is acknowledged that in certain contexts specialist involvement may be required to lead the adaptation of sector specific questions and support the data analysis for that sector; or undertake more detailed, specific analysis that exceeds the remit of this assessment tool.**

[4] However, a paper-based data collection is also possible with these questions, if required.
[5] See Section 3.3.1 for more information on the JIPS DART tool.

1.3 Document linkages

As part of a broader suite of urban-specific guidance and tools the UMVAT builds on the information generated in the context analysis tool and generates data for response analysis and targeting.

Figure 1: UMVAT complementing other urban tools

URBAN CONTEXT ANALYSIS TOOLKIT

Guidance on how to undertake a comprehensive context analysis along with stakeholder analysis. The tools will support the design and implementation of responses in urban settings.

URBAN MULTI-SECTOR VULNERABILITY ASSESSMENT TOOL FOR URBAN DISPLACEMENT CONTEXTS (UMVAT)

IRC context analysis supports the orientation and contextualisation of the UMVAT. UMVAT includes guidance for (a) mobile application tool to conduct multi-sector needs assessments and (b) the collection of qualitative data through FGD and KIIs.

URBAN RESPONSE ANALYSIS FRAMEWORK (URAF)

Response options are identified for potential target group(s) on basis of needs (using a needs severity score), gap and context (operational and contextual) analysis using a five-step flow chart that includes a check ist of aspects to consider, guidance, recommended tools and references.

TARGETING IN URBAN DISPLACEMENT CONTEXTS GUIDANCE DOCUMENT

Guidance to adopt coherent, consistent, practical and flexible approaches to targeting in urban displacement contexts. Includes: guiding principles; guidance and decision-making tools for selection of targeting criteria and targeting mechanisms; guidance on methodological processes to implement community-based targeting and scorecards; and case studies highlighting lessons learned.

2. Overview: objectives, tools and steps

2.1 Objectives and relevant contexts

The overall objective of the tool is to: **to undertake urban population profiling and multi-sector needs assessments to support the understanding of displaced and host population vulnerability, response analysis and targeting**.

Specific objectives include:

- **To profile urban displaced, host and resident groups in relation to shelter, WaSH, education, HLP, ICLA, food security, income and expenditure and health.**
  In order to ascertain vulnerability and needs of displaced and host populations, as well as factors that may be contributing to their vulnerability, profiling will collect data related to household resources, capacities, needs, access to services, use of coping strategies, and challenges faced.
- **To inform urban programme response analysis and urban programme design using a 'systems approach'.**
  Information collected in the profiling exercise will inform the identification of multi-sectorial priorities for responses based on needs and gaps. The Urban Response Analysis Framework (URAF) utilises this data and provides step-by-step guidance to enable the identification of potential complementary multi-sector responses (including advocacy, access to information, and resilience building) in terms of: target group assistance preference; response option; coherence; feasibility and appropriateness. A systems approach enables a focus on the linkages, connections and relationships between factors related to vulnerability and basic needs within the urban system.
- **To support targeting on multi-sectorial urban programmes through the provision of vulnerability indicators.**
  Analysis of data collected in the profiling exercise will serve to identify vulnerable groups and key characteristics of vulnerable groups that are useful indicators for targeting.

The tool is designed to be applicable to a range of programme contexts including:

- **Arrival in a new country:** a new emergency where an agency lacks information.
- **Scale-up of programme activities**: in an existing country/programme area.
- **Use in a protracted crisis:** where an agency has engaged for a longer period but where there is interest in engaging in urban areas with people affected by displacement.

The tool is also applicable in contexts where there are security concerns and access limitations. This guidance proposes methodologies to manage such contexts.

The tool identifies 'essential' (or mandatory) information to collect, for each sectoral area. **It must be noted that this assessment does not aim to provide a full and detailed dataset for each sector, but instead the questions selected are viewed as the most relevant for each sector.** It is likely that depending on the recommendations of the assessment, further detailed sector-specific analysis may be required; or if a certain sector requires more detailed analysis from the beginning, a sector-specific programme manager can support with the tool adaptation and analysis.

2.2 Assessment tools

The UMVAT includes five tools, detailed below. The use of these tools will vary depending on limitations and opportunities within the assessment context (see Section 3 for more information on this).

Tool 1: Secondary data checklist (see Annex 1)

This checklist consists of three worksheets which support teams to collect data with regards to: the general (or pre-crisis) context; the crisis specifically; and the financial infrastructure – should cash programming be a likely response option. Use of these tools could be included in preparedness activities. The checklist is to ensure some initial contextual secondary data is collected prior to the assessment process. It is recommended that sufficient time and energy are spent reviewing secondary data before initiating assessment thematic content and contextualisation discussions.

Where additional primary data collection is needed on the context, the urban context analysis tool[6] (IRC, 2017) provides user-friendly `pick up and go' tools that can be utilised to collect urban-specific information from stakeholder and power analysis to mapping service providers, assessing dividers and connectors, identifying vulnerability in urban populations and identifying financial service providers.

Tool 2: Key informant interview (KII) checklists (see Annex 7)

Key informant interviews provide the opportunity to collect detailed and nuanced information on specific topics. The tools provide a series of questions (and additional probing questions) in a checklist format that should be edited and contextualised prior to use.

There are several KII forms, each aimed at a different stakeholder:

1. Local government representative: at municipal or sub municipal level.
2. Government service providers: the district/municipal department responsible for education, housing, water, legal documentation and social services; access to employment, amenities.
3. Private sector service providers: for education; water; waste; housing (landlords); finance.
4. Traders: general market performance; distance; security; supply chain; access challenges; seasonal and basic prices.
5. Community representatives: working in service provision for the population as a whole or for vulnerable groups.

Each KII form includes some guidance for the user under the following headings:

- Why use the checklist
- Objective of the checklist, and
- How to use this checklist; with subheadings: getting started, tools to use, checklist thematic content, getting started: key informant details.

[6] http://pubs.iied.org/10819IIED

Tool 3: Focus group discussion (FGD) tool (see Annex 7)

The FGD tool is applicable in various stages of the assessment process including:

- **Pre-assessment:** FGDs can be used to contextualise and finetune the household assessment tool by enabling an understanding of: (a) the context in which the displaced population inhabit (for example relationships with host populations, living arrangements such as hosting and pooled resource households, displaced population patterns and trends); (b) urban vulnerability and causal factors of vulnerability; and (c) language use and meaning within that context (for example, words used to describe specific groups or people or areas).
- **Assessment:** To delve deeper into issues than is possible or appropriate in the household survey; to discuss more sensitive issues particularly around protection, security, discrimination and people's perceptions.
- **Post assessment:** To validate assessment findings and recommendations.

FGDs also provide an opportunity to collect information that has been missed out or poorly answered using the household assessment tool. **For this reason, it is recommended to plan some FGDs for after the household assessment has started and following a team reflection of data collected**. In doing so, this enables application of findings from the team reflection, in terms of data trends, gaps and findings that may require additional probing in the next round of household interviews and FGDs.

The FGD and KII tools in Annexes 6 and 7 are made up of seven templates which include checklists for interviewing: (i) initial key informants; (ii) host community groups; (iii) groups of displaced adults (segregated male/female); (iv) groups of displaced youth 15–24 years (segregated male/female).

Tool 4: Household assessment tool (see Annex 4)

This tool is available for use on hand-held data collection devices and in paper format. The tool includes a series of sector-specific modules in which mandatory and additional suggested questions are available for application, depending on the focus and depth of the assessment. These reflect the core competencies of NRC, as well as issues relating to health, protection and governance. Cross-cutting themes (gender and environment) are present in all sector-specific modules. The assessment questionnaire and set up for KoBo Toolbox is available at http://cash.nrc.no/urban.html. Additional step-by-step support on how to use the data collection APP on handheld devices is included in Annex 5 of this document.

Tool 5: Report format outline (see Annex 8)

Understanding that report writing can be a time-consuming challenge following a detailed assessment, the report format outline provides headings, subheadings, as well as analysis prompts for the user to consider.

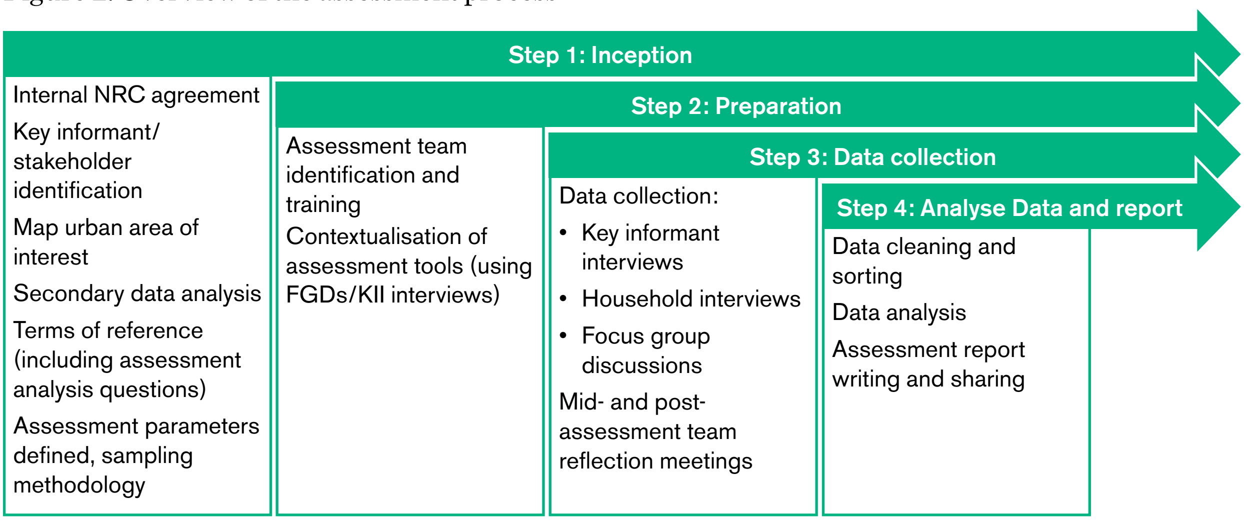
Although the user is encouraged to use the format, it is understood that challenges in data collection may affect the team's ability to complete all the sections of the format.

2.3 Overview of assessment process

The steps in the assessment process are outlined in Figure 2. Each step is elaborated in detail in Table 1, Section 3 below. Each step will require a differing length of time to complete, depending on the scale and coverage of the assessment, the number of enumerators used, the length of the assessment, distance to assessment areas, availability of households, number of KIIs and FGDs organised, the size of the assessment team, and availability of resources.

Although Figure 2 represents a linear process, it should be noted that considerations related to data analysis should be considered during the pre-assessment preparations stage. In the establishment of assessment questions, it is recommended that **'an analysis action plan' be undertaken. The analysis action plan** outlines a number of elements including importantly how data collected is connected to the assessment question and the analytical depth and breadth.

Figure 2: Overview of the assessment process



As a guide, and based on the pilots undertaken, the time required to undertake the whole process is represented in Figure 3. The timeframe assumes the availability of a dedicated team to undertake the assessment from start to completion. The resources and time required to complete data cleaning and preparation for analysis and report writing should not be underestimated.

Figure 3: Assessment timeframe

3. Assessment approach

The assessment approach is presented below as a step-by-step guide. This section also presents further additional, detailed guidance for particular issues (for example, regarding security analysis and sampling approaches – in Section 3.2.4 and Section 3.2.10 respectively).

3.1 Implementing the UMVAT: overview of the step-by-step assessment approach

The detailed steps involved in the implementation of the UMVAT are highlighted in Table 1, including consideration for those contexts in which there may be implementation constraints due to insecurity and/or poor access.

Table 1: Step-by-step snapshot of the assessment approach

STEP	OUTPUT	GUIDANCE DOCUMENT SECTION AND RELEVANT ANNEXES	KEY ACTIVITIES
Step 1.1	Internal agreement to undertake a multi-sector urban assessment for programme and advocacy purposes.	Guidance document: *Section 3.2.5 (Key informants)*	1. Liaison with relevant strategic partners / key stakeholders and key informants (government, UN, INGO, civil society etc.) to gauge: • Information and programme needs and gaps. Likely use of information • Interest in collaboration/ resource sharing with other agencies • Availability and reliability of secondary data • Political 'openness'/ sensitivity to the assessment and potential assessment areas • Knowledge of affected area and population, gender, ethnic and cultural aspects • Potential challenges and constraints (such as in accessing population of interest, geographical area) **Additional considerations in contexts of insecurity and/or poor access:** 1. Engage with security focal point to assess security considerations of undertaking an assessment in the areas indicated 2. Review and/or develop security protocols/guidelines for areas identified for assessment

<table>
<tr><th>STEP</th><th>OUTPUT</th><th>GUIDANCE DOCUMENT SECTION AND RELEVANT ANNEXES</th><th>KEY ACTIVITIES</th></tr>
<tr><td>Step 1.2</td><td>Draft assessment terms of reference.</td><td>Guidance document: Section 3.2.1 (What will the collected data be compared against?); Section 3.2.3 (Multi-sector assessment questions); Section 3.2.6 (Identifying enumerators); Section 3.2.8 (Gender)

Refer to: Annex 2 (Assessment terms of reference)</td><td>1. Internal discussions to identify:
• Resources (human and logistical) and budget available.
• Potential partners and/ or interested stakeholders.
• Assessment objectives and analytical questions (what does the team want to know? What will the collected data be used for and compared against?). Consider drafting an ‘analysis plan’ to ensure connectedness between assessment questions and end use of analysis.
• Who are the target audience? What depth of analysis is required?
• Assessment team leader / assessment report writer.
• Assessment location and population of interest based on KI vulnerability mapping of the urban area.
• Timeframe (from desk review to report completion).
• Sampling methodology and assessment methodology (electronic devices or paper based); percentage of women to interview in household interviews.

Additional considerations in contexts of high security and/or poor access:
1. Security and access focal points/advisers review the terms of reference with specific reference to:
• Data collection methodology and equipment
• Logistics
• Assessment team skills and gender balance</td></tr>
<tr><td>Step 1.3</td><td>Identification of key sectors and key informants for data collection and analysis.</td><td>Guidance document: Section 3.2.1 (Questionnaire scene setting); Section 3.2.2 (Secondary data analysis).

Refer to: Annex 1 (Secondary data checklist)</td><td>1. Review of available secondary data; findings and recommendations, gaps and information needs
2. Internal discussion on HH questionnaire sector focus and depth of data collection required
3. Selection of HH questionnaire sectors and depth of analysis (mandatory / suggested questions)
It is possible to defer the selection of specific sectors and depth and collect mandatory data for all sectors. Then, on the basis of these initial findings, the selection of specific sections can take place.
4. Identify key informants and potential FGD groups (focus topics based on gaps)</td></tr>
</table>

STEP	OUTPUT	GUIDANCE DOCUMENT SECTION AND RELEVANT ANNEXES	KEY ACTIVITIES
Step 1.4	General understanding of pre and post emergency context via the collection and review of secondary data.	Guidance document: *Section 3.2.2 (Secondary data analysis); 3.2.4 (Security and access considerations)* *Refer to: Annex 1 (Secondary data checklist)*	1. Desk review of secondary data 2. Follow-up discussions with key stakeholders and strategic partners to get an understanding of the context, needs and priorities **Additional considerations in contexts of high security and/or poor access:** 1. Review past security incidents 2. Review past security protocols and training materials
Step 1.5	Urban area of interest mapped and annotated with descriptions of key features of the area and the resident population outlined.	Guidance document: *Section 3.2.9 (Mapping assessment area guidance); Annex 3 (Mapping urban populations affected by displacement)*	1. Organise a meeting with key informants that can assist with the mapping exercise 2. Map the assessment area – this can be done utilising the NRC guidance note: 'Mapping urban populations affected by displacement' in which a number of methodological steps are recommended **Additional considerations in contexts of high security and/or poor access:** 1. Security and access focal points/advisers participate in the mapping exercise and include any security considerations to the map
Step 1.6	Final assessment terms of reference.	Guidance document: *Section 3.2.10 (Sampling methodology); Annex 2 (Assessment team leader terms of reference)*	1. Finalise data collection methodology approaches (this includes the consideration of paper based data collection methods in areas in which there are security concerns as opposed to electronic) 2. Finalise methodological aspects: (a) sampling methodology (b) % female household interviews 3. Calculate sample number (number of households to interview) and locations **Additional considerations in contexts of high security and/or poor access:** 1. Security and access focal points/advisers review the Terms of Reference and participate in the mapping exercise and discussions relating to data collection methodology 2. Security protocols/guidelines are finalised and shared with the assessment team and management
Step 1.7	Assessment team leader and team members are identified with clear roles and responsibilities.		1. Development of job descriptions for the assessment team members and team leader. 2. Assessment team recruitment. In addition to assessment skills and experience, ensure consideration and representation of the following: gender, religious, cultural and linguistic backgrounds 3. Ensure thought given to the daily assessment team management – such as who and how displaced and host households will be located, purchase of biscuits and drinks and such like

STEP	OUTPUT	GUIDANCE DOCUMENT SECTION AND RELEVANT ANNEXES	KEY ACTIVITIES
Step 2.1	HH questionnaire, focus group discussion forms and key informant interview forms are contextualised and translated (if required).	Guidance document: *Section 3.2.7 (Contextualisation)* Refer to: Annexes 4, 5 and 7 (UMVAT *household assessment questions, KoboCollect APP guidance, Key informant and FGD discussion checklists)*	1. Familiarisation of KoBoCollect functions, HH questionnaire and data collection process 2. Review of all tools to ensure that they reflect the assessment context. With particular attention to be paid to contextualising aspects relating to: food items, shelter types, protection, gender, registration status and ICLA 3. Ensure data collection tools and questions will answer assessment questions at the depth of analysis required 4. Consider the time and resources available for data analysis and report writing. Make sure this is aligned to the assessment objectives and questions 5. Review of tools by advisers and strategic partners/ key stakeholders (as and where applicable) to ensure relevance and applicability 6. Translation of the tools (if applicable)
Step 2.2	Trained assessment team members using the contextualised tools.	Guidance document: *Section 3.2.12 (Assessment team problem solving)* *Refer to: Annex 6 (Assessment APP training materials)*	1. Review the training materials and adapt according to the needs of the training participants 2. Assessment team classroom training using assessment tools to: (a) ensure assessment team knowledge of tools and technology to be used, (b) reflect on why questions are asked and the rationale behind them – and how the response to one question can in some locations effect the next questions asked, and, (c) enable assessment team understanding of assessment questions (especially where technical language is used) and flow ('*journey*') 3. Assessment team members pilot the HH questionnaire APP in a live context to: (a) test team member ability to use the APP and to flag problems/ challenges faced, (b) ensure field worthiness of the APP, (c) enable greater knowledge of the assessment questions 4. Post field-work workshop to: (a) discuss problems and solutions, (b) identify any additional changes to the APP / assessment tools that shall be made **Additional considerations in contexts of high security and / or poor access:** 1. Assessment team receive a security briefing and have signed the security protocols/ guidelines
Step 2.3	HH questionnaires and interview forms are finalised and back translated.		1. Last adaptations and changes made to assessment tools on the basis of experiences during the training 2. Translated documents are back translated to ensure coherence with the original version

STEP	OUTPUT	GUIDANCE DOCUMENT SECTION AND RELEVANT ANNEXES	KEY ACTIVITIES
Step 3.1	Data collection: Household level characteristics, access to services, needs and plans.	Guidance document: *Annex 4 (UMVAT household assessment questions)*	As mentioned in step 1.4, there are two possibilities: 1. Undertake household interviews according to the pre-identified sectors of interest and depth of analysis (mandatory and suggested questions) *Or* 2. Collect all mandatory data in all sectors from a pre-agreed number of households. Review initial results and on the basis of this, revise the sectors identified and the depth of information collected
Step 3.2	Data collection: Government policies and service provision at local Government level.	Guidance document: *Annex 7 (Key informant and focus group discussion checklist)*	1. Organise KII 2. Undertake KII with local government to gain a better understanding of the policy/institutional level, the actions (or non-actions) of the government and other key institutions of influence 3. Use this information to inform further KII discussions and FGD topics
Step 3.3	Data collection: Civil society and community representative opinions.	Guidance document: *Annex 7 (Key informant and focus group discussion checklist)*	1. Undertake KII with civil society/community representatives to gain an understanding of the impact of government policy, actions/ non-actions, wider social processes on the vulnerability of population being assessed 2. Use this information to inform further KII discussions and FGD topics
Step 3.4	Data collection: Service provision and market access from the private sector perspective.	Guidance document: *Annex 7 (Key informant and focus group discussion checklist)*	1. Undertake KII with private sector representatives to gain an understanding of the service provision (access and availability) within the area under analysis and for the population being assessed 2. Use this information to inform further KII discussions and FGD topics
Step 3.5	Mid-assessment review and discussions to identify data gaps and potential topics for further analysis in the FGDs or that may require a separate, more detailed and/or specialist assessment.		1. Organise a meeting with some assessment team members 2. Review the coherence of some of the data collected (*ie: does it all make sense?)* against the objectives of the assessment, the Terms of Reference and information needs 3. Identify any aspects that are still pending or unclear. Distinguish between: (a) Pending/ unclear aspects that will require deeper, specialist analysis – ie a separate assessment (b) Pending/ unclear aspects that can be addressed in this assessment via additional KII or FGDs or additional household interviews
Continue data collection (Steps 3.1, 3.2, 3.3, 3.4) making any adjustments based on mid-assessment review (Step 3.5).			

STEP	OUTPUT	GUIDANCE DOCUMENT SECTION AND RELEVANT ANNEXES	KEY ACTIVITIES
Step 3.6	Data collection: Focus group discussions adults, youth and host communities.	Guidance document: *Section 3.2.11 (Methodological guidance for FGDs)* *Refer to: Annex 7 (Key informant and focus group discussion checklists)*	1. Review FGD questions on the basis of the mid-assessment review findings 2. Form focus groups and undertake discussions 3. Use this information to inform further FGD topics and to enrich household data 4. Keep track of information gaps and ensure they are fulfilled
Step 3.7	Data collection phase is completed.		If required and depending on the outcome of Step 3.5: 1. Organise additional data collection visits (KII, FGD, specific households) to clarify any pending issues 2. Data collection 3. Repeat until a satisfactory understanding of the pending/unclear issues reached
Step 3.8	Post-assessment reflection meeting to gather ideas, thoughts and perceptions.	Guidance document: *Section 3.3.2 (daily reflections and mid-assessment reviews).*	Assessment team members reflect on their experiences collecting data and undertaking FGD and KII and suggest potential: (a) programme responses, (b) priority programme areas and populations, (c) targeting criteria, (d) additional mapping and area information and, (e) recommendations for future assessments.
Step 4.1	Initiate data cleaning, sorting and analysis.	Guidance document: *Section 3.3 (Data analysis)* *Refer to: Annex 9 and 10: Needs severity score overview and needs severity scores*	1. FGD and KII critical /key findings are documented (summaries elaborated for the assessment report and more detailed findings for annex) 2. Meta data is cleaned and sorted as per the requirements of the analysis tool. **DO NOT UNDERESTIMATE THE TIME AND RESOURCES NEEDED FOR THIS** 3. Household data is reviewed considering assessment objectives, specific technical areas of interest and contextual anomalies using DART. Key findings are documented and charted for the report 4. Reflection of FGD, KII and HH data: identification of gaps, areas requiring further analysis, contradictions etc.
Step 4.2	Assessment report is completed and shared with strategic partners and key stakeholders (including community representatives) to ensure validity of findings and recommendations.	Refer to: *Annex 8 (Report format)* *Annex 9 and 10: Needs severity score overview and needs severity scores*	1. Draft report elaborated and comments on content sought prior to finalisation 2. Check report findings and recommendations in community and key stakeholder and informant consultation meetings 3. Finalise report on the basis of consultations and feedback received **Additional considerations in contexts of high security and / or poor access:** Ensure any data collection and analysis constrains related to security and/or access is well reflected in the report

3.2 Methodological guidance

This section provides further methodological guidance expanding on the detailed steps from Table 1.

3.2.1 STEP 1: What will the collected data be used for and compared against?

In Step 1.2 of the assessment methodology the assessment team are asked to consider assessment objectives and questions (see 3.2.2 for guidance) and are advised to develop an analysis plan to ensure connectedness between assessment questions and end use of analysis.

Having clarity over the depth of the analysis to be undertaken and the utility of the information informs:

- The depth of analysis required, and therefore the scale and scope of the assessment
- The target audience the analysis will be aimed at, and therefore the level of technical language the report should use, and
- The assessment questions, and therefore the baseline or comparative data sets needed to support the answering of these questions.

To get a sense of difference or change in the assessed population (with regards household needs, capacity and displacement status amongst other aspects), collected data can be compared against another population, a baseline, thresholds or standards. In the instance of two population groups being compared in the assessment, the data for both populations can be collected at the same time so long as the tools are suitably contextualised for those populations.

As stated in Box 1, comparison is at the core of the analysis process and as such needs to be considered early, to ensure that:

- The 'comparative' dataset is accessible and available. If the dataset is not available, the assessment team should consider collecting it in the assessment.
- The data collected is in a format that enables the comparison.
- The comparative dataset is suitable for the context and the population being assessed.

BOX 1: COMPARISON IS AT THE CORE OF THE ANALYSIS PROCESS

Comparison is at the core of the analysis process. It is used to identify how things are alike and how they are different. Comparing requires thinking about the specific attributes or characteristics of the things that are observed and studied, and uses these characteristics as the basis for identifying similarities (comparing) or differences (contrasting). The following types of comparison are often used in needs assessments:

- Humanitarian standards (for example the Sphere standards of which there are urban standards)[7]
- Geographic comparisons
- Social groups (including host, specific displaced groups, age groups, displacement duration etc.)
- Season and time (such as pre- and post-disaster, pre- and post-winter)

Source: ACAPS, 2013:12

In the instance that social group comparative analysis will be taking place, ensure that the assessment team have undertaken some pre-assessment analysis of the various social groups of interest and have outlined an approximate socioeconomic profile of the groups. The profile of these groups can be reviewed over the assessment duration, but is necessary especially if they are to be identified for interview using purposive sampling techniques.

[7] www.sphereproject.org/news/using-sphere-standards-in-urban-crises/

3.2.2 STEP 1: Secondary data analysis8

Undertaking desk reviews of secondary data – not only of data generated from the existing emergency but of the pre-emergency context and past emergencies is often overlooked as a key step in emergency responses. Secondary data collection and analysis contributes to a better understanding of the context, and helps:

a. The identification of information gaps relating to a sector and/or group of people.

b. The prioritisation of additional data collection – based on the gaps identified but also our information needs and organisational priorities and strategic plans.

Therefore secondary data collection and analysis can play a key role in making the household assessment, key informant interviews and focus group discussions more focused and should not be overlooked.

The secondary data analysis tool in Annex 1 supports this process. Available in an Excel table format, the tool includes headings and sub-headings of information as well as potential information sources, including websites.

It is recommended that the '*Secondary data checklist*' (Annex 1) be applied prior to defining the parameters of the assessment. See Section 3.2.2 for additional information.

3.2.3 STEP 1: Elaborating multi-sector assessment questions

In the Assessment terms of reference, the identification of assessment objectives and analytical questions is included (Step 1.2 in Table 1). It is important to keep in mind that this assessment collects and analyses data from a number of sectors (ie multi-sector analysis). The elaboration of multi-sectoral analytical questions can ensure that a multi-sector approach is applied in the data collection and analysis processes. An example of an assessment objective and relevant multi-sector analytical questions is provided in Box 2.

Photo credit: Meredith Hutchison/IRC

[8] Although the secondary data analysis tool was not piloted in Ethiopia, reflections of the pilot indicated that there would have been value gained from the application of this tool prior to the arrival of the assessment team.
[9] These questions were considered during the UMVAT pilot in Ethiopia in 2016.

BOX 2: ASSESSMENT OBJECTIVE AND ASSESSMENT QUESTION EXAMPLES[5]

Assessment objective (NRC Ethiopia pilot 2016)

1. To use the results from the assessment to inform NRC Ethiopia's urban food security and livelihoods, education and ICLA programme design.

Programme questions that the assessment seeks to answer:

All questions should seek to identify issues specific to women, men, children, youth, elderly, disabled, as this is a donor interest. Qualitative data from the FGDs and quantitative data from the household assessment will be used to answer these questions.

1. How are refugee households (according to living arrangement types) earning an income and what are their main expenditures? (ie a profile of households according to living arrangement type, with quantified income and expenditure (can use ranges)).
2. What livelihood activities hold the most potential for women and what could be done to increase their access to these activities?

   Note: Will need to check women's activities against childcare / education questions.
3. Do households receiving frequent remittances (more than ten times a year) engage in income generating activities, have better access to information and fewer protection concerns?
4. What is the impact of protracted displacement (more than five years) on the food security and livelihoods of Eritrean households? What coping mechanisms are frequently used?

   Notes: Be aware of Food Consumption Scores (FCS) and Coping Strategy Index (CSI) scores not being as aligned as expected due to the normalisation of poor eating habits in cases of long term, protracted displacement.
5. What living arrangements are most favoured and what do they imply in terms of: protection issues and ICLA (specifically access to information), access to income, employment, education and remittance?
6. To what extent are refugees utilising the skills and knowledge that they have? What are the main limitations to them using these skills?
7. What information do most refugees receive and what are the main sources of information? Do men and women receive this information equally?

   Notes: Consider female access to information sharing meetings.
8. What documents do most refugees have access to and how easy do they find it to access the documents they need and justice?
9. Are refugees able to access education (pre-school, primary, secondary and vocational)? What are the main challenges faced in accessing education, with specific reference to documents held?

3.2.4 STEP 2: Security and access considerations

An understanding of the security and access context is critical in the early stages of assessment planning for two reasons:

1. The security and welfare of staff and persons included in the assessment is of vital importance.
2. The security and access status affects the design of the assessment: from technology use (can mobile devices be used, or are paper questionnaires preferable) to geographical scope of analysis and the time available in the field.

Guidance and advice:

1. Include access and security advisers in assessing the security level of the assessment area.
2. Include non-governmental actors as key contacts in assessing and accessing information on the context. Consider the relationships between actors, militias, community groups and characters of influence.
3. Assessment team recruitment processes. Consider the gender, ethnicity and languages of the team hired to undertake household interviews.
4. Consider security measures and procedures that may be required for the duration of the assessment – for example: NGO security actors, forum leaders, staff/vehicle tracking systems and security training.
5. Security context pre- and post-emergency. Consider recent incidents of relevance: border crossing conditions and behaviour, checkpoints, armed actors and equipment seen, child soldiers, incidents targeted against INGO community, or involving peace keeping forces etc.

Depending on the outcome of the security and access context analysis, the assessment team have to decide the following:

- **Security training requirement:** Do the teams require security training and if so, what topics?
- **Security protocols:** Are there any security related protocols needed such as curfews?
- **Assessment team profile:** Is a specific profile required in terms of proportion of men: women, language, origin, ethnicity etc?
- **Technology use:** Should the assessment teams use hand held devices or paper based questionnaire?
- **Geographical scope:** What areas can / can't the assessment team visit?
- **Key actors:** Are there some actors that should be included in the assessment due to political/ security considerations?
- **Analytical depth:** Will the assessment team be able to interview households, or just key informants and focus groups?

3.2.5 STEP 2: Identifying key informants and stakeholders

Consultations with key informants and stakeholders at the start of the assessment process can help to orientate and contextualise the assessment (as well as identify end-users of data collected).

When undertaking assessments, there can be a significant number of key informants and stakeholders to meet. The inclusion of a breadth of key informants allows for building a wider perspective of the context, whilst better ensuring neutrality and inclusion – aspects that can be critical in certain contexts. Potential key informants and stakeholders are listed below:

- Local/regional government and related ministries and departments responsible for the provision of services
- UN: OCHA, UNHCR, IOM, UN-Habitat, Clusters
- INGOs/NGOs
- Donors (traditional and emerging)
- Civil society groups and organisations
- Community leaders

- Community based organisations
- Faith / ethnicity / gender / youth centred groups and organisations
- Technical working groups (such as cash working groups)
- Private sector entities, service providers and organisations: from traders, schools, bankers, private service providers to such as trade/ worker unions, associations of producers etc.
- Health centres, clinics
- Legal aid organisations
- Research entities – such as universities
- Housing agencies and associations
- Use -groups (such as those for water)
- Representatives of specific groups (formal and informal groups), and
- Landlords/ hostel owners / camp managers.

Due to political sensitivities related to supporting displaced populations in urban contexts, when identifying urban key stakeholders, keep the following in mind (adapted from Campbell, 2016: 41, 42):

- **Undertake key stakeholder matrix and mapping.** Undertake a stakeholder analysis to understand the interest and incentives of the key informants. This will help to inform how to approach them for an interview and to assess the credibility of information provided. This will also help to ensure do no harm and to avoid discussing issues that may cause conflict with the KII. Undertake a context or conflict analysis to understand the social groups and dynamics in the area of the assessment. This will be important for understanding the point of view of the KII and to ensure appropriate questions are adapted for the KIIs based on sources of tension or dividers in the community.
- **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 do the population of interest have a similar opinion? Do 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).

Identification of, and consultations with key informants and stakeholders is a continual process for the duration of the assessment, providing the assessment team with: (a) additional background to sensitive or critical information; (b) an opportunity to discuss emerging data; and (c) identification of additional key informants on the basis of emerging information/ lines of enquiry.

3.2.6 STEP 2: Identifying enumerators

When identifying enumerators, it is worth keeping in mind the following ideal profile:

- Enumerator flexibility in terms of working hours and travel (accessing some urban displaced and host households may require evening or early morning visits depending on their activities).
- Gender, age, language and ethnicity representation to support access to a wider spectrum of the displaced and host community.

- Knowledge of technology and ability to manage the tablets on which the APPs are hosted.
- Communication and social skills (verbal and non-verbal) are required to put interviewees at ease and to ensure an ability to interpret questions that may be poorly understood and/or sensitive.
- Literacy skills as a number of questions require text responses.
- Enumerator knowledge of technical areas included in the assessment (WaSH, shelter, food security, protection and such like). Lack of knowledge of these sectors and some of the basic terminology and concepts results in significant additional explanations during the training. It may be worthwhile having a proportion of enumerators with this knowledge to provide internal knowledge that can be accessed as and when required.
- Considerations of the occupation of the enumerator and how the interviewee will perceive this. This was evident in the Ethiopia pilot where Eritrean refugees were themselves the enumerators in the assessment and where there was an instance where the past occupation of the enumerator was not favourably perceived by some interviewees (and other enumerators).
- The availability of the enumerators for the duration of the assessment and for part of the analysis if their input is required.

In the instance that community representatives are used to identify individuals or households for FGD, KII, or household interviews alongside enumerators, it is important that the community representatives leave the enumerators alone with individual(s) to undertake the household interviews. This is to enable (as much as is possible) an open and free discussion, without fear of any post-discussion reproaches.

The employment of refugees as enumerators was a positive experience in Ethiopia and enabled greater access to refugee households and to neighbourhoods of interest. However, keep in mind national and organisational policies regarding refugee employment and remuneration rates as these can create disincentives and challenges.

Husain Yousif/NRC

3.2.7 STEP 2: Contextualising assessment tools

The importance of this step cannot be emphasised enough as well-contextualised assessment tools can have a significant impact on the success of the overall assessment (in terms of the quality of data collected), and the experience of the respondents and the enumerators. Assessment questions should be contextualised before the training of the enumerators (when they are field tested as part of their training) and at the end of the APP training if enumerators have identified significant errors or aspects that need contextualising.

A number of elements will need to be contextualised – including job titles, government ministry names, currencies used, question wording and response options used. This section of the guidance highlights some elements that require consideration during the contextualisation process.

1. **Understanding the language and nuances used within the urban context, especially referring to long-term and short-term displaced communities***.* This can have a significant effect on the assessment and analysis if terms are not consistently understood. One such example is the use of the word 'host', which can have various meaning depending on the context and in protracted situations. Another example is the term 'long-term displaced', which may be commonly recognised to mean those who have been displaced for a particular duration of time, or following a particular crisis.

2. **Understanding hosting relationships and what is meant by 'hosting'.** The relationship between displaced populations and the population that 'hosts' them has to be understood as part of the pre-assessment contextualisation process. Hosting can be understood in a number of ways including:

    - Host community: the community in which the displaced reside – in which there are varying degrees of social relations and common use of services.
    - Host households: where the displaced are hosted and aspects of their basic needs are met by the host. In this instance there may be a pre-existing relationship between the displaced household and their host – or – the presence of the displaced household may provide some benefit to the host household (financial, social or moral).
    - In protracted crises, where the displaced and host can overlap – since long-term displaced may play a role in supporting (or 'hosting') newly displaced households.

    Understanding the hosting relationship prior to utilising the assessment tools enables the assessment team to edit the assessment questions to reflect this relationship.

    The inclusion of host households in the assessment will be necessary in some contexts, where the displacement is negatively impacting upon the poor or vulnerable sections of the host community, or where they are exposed to specific risks – for example due to hosting displaced households or individuals inside the household. The household assessment tool, KII and FGD checklists are applicable to host households with some modifications. The assessment team will need to consider if their assessment questions are the same for both the host and displaced households and modify the tools and approaches accordingly.

3. **An understanding of the various meanings of 'household' in that context.** This requires discussion in the assessment team due to the range of household types that may occur in urban displacement settings; from traditional households (of a mother and father and children), to the co-habiting of distantly related people, or unrelated people, who share some resources.

    Currently, this household assessment tool uses the following definition: *'By household we mean yourself, plus any other people (not necessarily family members), living at the same address and who share your living expenses (food, rent etc.) and living spaces (such as sleeping, living and cooking areas)'.* This definition can be modified accordingly to the context. It is important that the assessment team is fully aware and agrees with the definition.

4. **Familiar terms such as 'relatives', 'friends' and 'immediate family' should also be unpacked to gain full understanding of how they are being applied in that context.** This is important for understanding how different social relationships affect vulnerability. The assessment aims to understand the financial and in-kind support from these various social networks.

5. **'Vulnerability' is a term that is used frequently in humanitarian and protracted displacement contexts**. However, it can have multiple meanings depending on how, where, and to whom it is applied. Where possible:
   - Seek a clear understanding of what vulnerability means in the local context, from the perspective of the displaced and affected population.
   - When applying the term in the assessment and analysis process, qualify its meaning, indicating what the population/household referenced are vulnerable to.
6. **In-kind assistance from host families, friends, relatives and organisations is important, but can be challenging to capture.** Data relating to in-kind assistance is included in the income and expenditure section of the household assessment tool.

   If in-kind assistance plays a vital role in meeting the needs of the assessed population then the assessment tools need to be contextualised sufficiently to reflect this, so that there is a better understanding relating to:
   - What in-kind resources are being provided?
   - Who is providing these resources? Why are these resources being provided? In the case of a hosting relationship, an understanding of resource sharing and financial relationships between the household and the host household will be needed.
   - What is the frequency and duration of in-kind resources being provided?
   - How important are in-kind resources to the household's capacity to meet their needs?
   - How prevalent is the provision of in-kind assistance across the assessed population?

   NOTE: 'payment in kind' is not the same as receiving in-kind assistance. Payment in kind is for example when a bar or restaurant worker receives accommodation (perhaps in the bar/ restaurant area) as part payment of their labour.
7. **Debt and the role it plays in a household's capacity to manage living costs and meet social obligations is also important but can be challenging to understand.** Households can borrow cash and in-kind resources for multiple reasons and from numerous sources, with diverse repayment arrangements (in terms of interest rates and loan duration). Households manage these various types of debt differently. It is not uncommon for poor urban households to borrow small amounts of money on credit from local shopkeepers with the understanding that a certain amount is paid back on a regular basis (on receipt of remittances of access to employment, for example).

   Additionally, the inability of a household to access credit can be an indication of higher financial vulnerability, as they are not perceived to be creditworthy – ie no one is willing to lend the household money as they lack the resources (financial and human) to repay it. Therefore, the ability of a household to access debt, as well as the amount borrowed, can provide an insight into the financial vulnerability of the household, as well as the capacity of the household to incur and manage financial risks.

   This requires investigation in the pre-assessment phase to ensure that it is accurately captured in the household assessment tool. The role of debt in the livelihoods and coping strategies of displaced households is best explored in FGDs before and during the household assessment, to complement any data collected via the household interviews.
8. **Focus on understanding expenditure.** As households are more likely to provide information related to their expenses than their income, the assessment team should ensure this data is collected. Additionally, the urban response analysis framework (URAF) requires the elaboration of a minimum expenditure basket (MEB)[10] as cash assistance to meet basic multi-sector needs via multi-purpose cash grants (MPG)[11] may be one of the options identified as appropriate.

[10] 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: 3).
[11] MPGs are unrestricted cash transfers that 'place beneficiary choice and prioritisation of his/her needs at the forefront of the response'. 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 (ERC, 2015: 3).

9. Specific parts of the household assessment template (Annex 4) that need to be contextualised:

1. Questionnaire scene-setting section:

   The purpose of this section of the assessment is enable the assessment team leader and/or assessment APP user to determine which thematic areas (eg health, income and expenditure, shelter, and education) should be included in the assessment and the depth of data analysis per thematic area (eg does the assessment team want to include essential and/or non-essential questions per theme?).

   This section of the assessment tool is critical as it programmes the content (sectors and breadth) of the whole assessment. Therefore the following is recommended:

   - Undertake secondary data analysis to identify information gaps (see Section 3.2.4 above).
   - Review the assessment objectives and the information needed to achieve these objectives. Make sure they are coherent and not too ambitious for the time and resources available as well as the assessment context.
   - Undertake some key informant interviews to get a better understanding of the context, the information gaps identified, the assessment objectives, and such like.
   - Ensure the assessment team either has, or has access to technical specialisations that may be needed. Having technical expertise within the assessment team (such as an ICLA adviser) may influence the depth of analysis in that technical area.

   The use of this section of the assessment could enable the assessment team to undertake a more generalised assessment (eg the selection of only essential questions in most sectors) that, following some initial analysis of findings, could be modified to collect more detailed information in certain sectors (eg essential and non-essential questions in specific sectors).

2. Demographic section:

   a. In each context and for each population being assessed, there can be a range of registration status options. Local names may be used to reflect the various status options. Keep this in mind when contextualising questions related to status.

   b. The question on residence status includes the category 'long-term displaced', which requires further qualification as to how many months/years of displacement are considered as 'long term'.

   c. Questions concerning movements within a time period may need further clarification in terms of locations and timeframe of reference.

   d. Asking about future plans, or reasons for not returning to place of origin could be seen as sensitive questions and may require re-wording.

   e. Living arrangements of the urban displaced can be diverse, with an array of potential sharing arrangements, reflecting a variety of social capitals. The assessment team should seek to identify all the various living arrangements relevant to the context, as well as building an understanding of what these living arrangements imply about a household's vulnerability in this context. If local names are given to different types of living arrangements, these should be utilised.

   f. In a context where homelessness is a common occurrence, investigate the various ways in which homelessness manifests itself to ensure the response options on questions about living arrangements capture this. Consider undertaking a FGD specifically on this topic. Homelessness can be represented by the following:

      - Sleeping rough in the streets
      - Squatting
      - Sleeping on friends' sofas/floors for a few days at a time
      - Sleeping in shelters
      - Seeking shelter in charitable/ religious institutions, or
      - Sleeping at their place of employment.

3. Food security section:

    a. Be mindful of any religious festivals occurring at the same time as the assessment as this may affect the types of food consumed and also the expenditure patterns.

    b. Questions related to food consumption score (FCS) food weights: in the weighting of food groups such as sugars and oils may differ in some contexts. Check with WFP / Food Security Cluster in the country the assessments are taking place (refer to Section 3.3.5 for more information).

    c. The inclusion of local food names in the food items listed in the food consumption score questions may be beneficial to the enumerators and respondents (see Section 3.3.5 for more information).

    d. To enhance the respondent's ability to answer questions related to markets and shops visited to purchase food and non-food items, consider using local names for types/ sizes of shops and markets. Where possible try and keep the number of types of shops and markets within a manageable range by using the names of the markets.

    e. The currency and currency ranges for income/ expenditure data will need to be adjusted according to the context.

4. Income and expenditure section:

    a. Keep in mind any seasonal variations that need to be considered in the assessment. For example if there is a need to include expenses due to winter needs.

    b. Currency and currency ranges for income/expenditure data including remittance and debt will need to be reviewed and edited.

    c. Income and expenditure timeframes will need reviewing to ensure they reflect the income and expenditure patterns of the assessed population. In Annex 4, they have been set as:

        i. Income = monthly

        ii. Remittance = over a three-month period

        iii. Expenditure = weekly; except for rent and utilities (monthly), health and livelihood asset costs (over a three-month period) and education (per school term).

    d. Make sure you are using a locally understood definition of what remittance is. In the assessment document, remittances are considered as financial assistance received from outside the country of analysis, the country in which the household is residing. Assistance that is received from friends and family residing in the same country and the household would be acknowledged in the question related to assistance from friends and family.

    e. When considering what timeframe to allocate for the receipt of remittances, keep in mind the frequency and seasonality of religious festivals. A higher volume of remittance tends to be provided on or close to religious holidays.

    f. Questions related to types of income generation/ employment will need to be contextualised. If the emphasis of the assessment is to reflect on past/previous livelihood activities, then response option ranges to questions related to past employment will have to be reviewed and edited. In doing so, consider the predominant age group of the population that will be assessed and ensure that the response options (income-generation activities) identified are relevant to them.[12] For example, if the assessment will include youth of school leaving age, ensure that response options will capture their education levels and potentially limited work and skills experiences.

    g. As coping strategies can vary depending on the location and the livelihoods of the persons affected by displacement, the list of coping strategies available to choose from will need to be reviewed.

    h. Debt can be hard to capture (see above for guidance). Currently the question asks how much debt the household has, providing a range of response options for the enumerator to select. The ranges of debt amount will need to be edited to reflect the context.

    i. In this section of the assessment, business and livelihood assets are treated equally as they are both utilised to generate an income for the household.

[12] For examples of economic activities in production, service and retail, see UNHCR, 2012: 49.

5. Education section:
   a. Holiday/term times may need to be taken into consideration (the assessment timing may coincide with the holiday season, therefore children may not be in school at the time of the assessment).
   b. The use of the word 'displacement' may need clarification especially if the population have been subjected to a number of voluntary or forced movements – or if there are some populations that have been displaced for longer than others (see above).
6. Shelter and HLP sections:
   a. It should be noted that there are no essential questions in the shelter section of the household assessment due to information overlaps between HLP and Shelter sections. Therefore assessment teams interested in Shelter should review questions in the HLP section too.
   b. To ensure that questions related to how many rooms are in the dwelling are answered properly, the assessment team need to agree if a room with only a toilet in it is a separate room.
7. WaSH, Shelter, ICLA direct observation sections:
   a. Use locally acceptable terms for locations – quartier, ward, etc., and ensure that questions that refer to movements from one location to another are clear to the respondent (within the city, from outside the city/country to this location etc.).
   b. Make sure local terminology for new arrivals, homeless, 'sofa surfers' (those that move from one home to another as perpetual visitors due to a lack of accommodation) are represented.
   c. Include locally-accepted names for types of housing such as condominium or studio to enhance understanding.
   d. If the assessment is taking place during the winter, questions will need to be edited to include winter needs such as: suitability of accommodation; access to hot water; adequate heating, clothing, etc.
   e. Consider the local acceptance of words such as 'latrine' or 'toilet' and edit accordingly.
   f. In some contexts rental payment includes access to services such as water, electricity and waste disposal – in others it does not. Prior to the assessment, check what the rental payment commonly includes.
   g. The term used for local representatives varies from one country to the next, and from one cultural community to another. Edit the titles used in the assessment from elders/ community leaders to more appropriate terms.
8. Protection and governance section:
   a. There may be some sensitivity related to questions asking about: (a) armed forces in the area and the quality of their services; and (b) payment of tax.

It is recommended to engage staff from across a number of technical sectors to contextualise the household questionnaires. During the enumerator training and field practice, the questionnaires can be revised to ensure all elements requiring attention have been captured prior to their finalisation.

3.2.8 STEP 2: Inclusion of gender and protection questions

Household questions need to provide differentiated views on access and protection and if women are not interviewed, nor their opinions considered, this will not be possible. **Therefore a recommendation is that a percentage (to be decided by assessment team/gender advisers) of the households interviewed specifically question the women in the household**. In doing so, teams are able to use a standard survey for use with all respondents, but safeguard a certain percentage of interviews for female participation.

Additionally, some gender-specific coping strategies such as 'early marriage of girls', if cited by households, should be referred to a gender adviser, as additional, specialist questioning may be needed. Please note GBV questions have purposefully not been included in this tool due to their sensitivity, requiring specialist training, whereas the household assessment data is being collected by generalists. **Please refer to agency protocols and referral systems should sensitive, protection-related issues arise in conversations.** In a context where there is a high prevalence of sensitive protection issues, the inclusion of a trained member of staff in the assessment team should be seriously considered.

The identification of economic activities undertaken by women/female youth and girls will require particular attention as they can be hard to capture or are not perceived as income generating. An example being the provision of childcare, housework and cooking; although often seen as a default unpaid activities, these are also activities that can earn an in-kind/ cash income for women.

3.2.9 STEP 3: Mapping the assessment area

Area-based approaches[13] are key in large sprawling urban contexts where a geographical focus is required. NRC's guidance note 'Mapping urban populations affected by displacement' (see Annex 3) has been developed to support assessment teams in the identification and mapping of displaced and host households as this can pose a challenge, especially in assessments that are trying to understand the needs of groups that want to remain hidden or invisible. Refer to Annex 6 for an overview of the methodological process recommended in this guidance note.

Before embarking on identifying these population groups, teams must take into consideration the following:

- Why do these population groups want to remain hidden? **Can teams ensure that a full understanding of their concerns is taken into account and that their safety will not be jeopardised by participating in the assessment?**
- Consider use of personal data – **what data security measures will be put in place to ensure the anonymity of the assessment participants, if this is something that matters to them and will increase their participation?**
- What will happen to participant data following the assessment and analysis of findings? What data protection and storage policies are in place?

Organisations have had to be creative and use more than one methodology to identify displaced households for assessments, some of which are listed below. When applying these methodologies, keep in mind the bias and risks associated with each approach. Additional detailed guidance is available in the form of a guidance document.

1. **Identifying stakeholders who the displaced population may have developed a relationship with.** Certain service providers and community-based organisations (such as support groups, remittance/ hawala companies/ religious centres etc.) may have established relationships with the displaced population. These groups could assist in:
   - Developing an approach that enables the group to come forward. For example, the use of trusted intermediaries or spokespeople as a first step.
   - Identifying meeting areas in which the displaced population feels safe and comfortable to engage in initial discussions.
   - Identifying other service providers or community based organisations that could be approached for additional information.

[13] 'Rather than assess entire metropolitan areas, an area-based approach involves mapping affected urban areas as a collective of smaller, more manageable units – such as neighbourhoods or communes, including such factors as infrastructure and services, local economic factors and environmental features so as to identify the most affected areas. Proponents of this approach argue that this can allow more in-depth understanding of communities. However, there is a lack of evidence to date. One challenge is coming to a common understanding of how to define the unit of analysis (ie the community)' (Smith and Mohiddin, 2015).

2. **Identifying cultural networks between local and displaced populations.**
   Displaced populations may have gravitated to a specific area due to the existence of cultural, linguistic and religious networks and historical family ties and relationships. Communicating with the local (potentially host) population to raise awareness of assessment objectives and information use increases assessment participation.
3. **Asking local government officials/representatives for information.**
   Government officials may have some knowledge of displaced population location and also contact details of displaced population representatives. It should be noted, however, that their depth of knowledge may vary as in some locations, displaced population are hesitant to share their details with local officials.
4. **Raising public awareness in areas where a significant population density of displaced population is assumed.**
   Prior to launching the assessment, information relating to the assessment (including information use and meeting points/ contact details) could be shared via various relevant communication mediums: such as leaflets, posters, radio messages. In doing so, the displaced population are made aware of why their information is needed and where they can go if they would like to take part.
5. **Displaced population referral – the 'snowball technique'.**
   Although the snowball technique is a sampling methodology (see Section 3.2.10), the same approach can be used to identify additional households. This technique involves asking a household that meets assessment criteria to identify another household, and so forth.
6. **Adapting approaches according to the cultural background and origin of the displaced population.**
   In contexts where there may be more than one displaced population nationality, a tailored approach that is appropriate to the cultural and linguistic background of the displaced population should be considered.

3.2.10 STEP 3: Sampling techniques for household interviews

BOX 3: SAMPLING

When collecting data, it is often not possible to consult every beneficiary, to observe every service provided, to visit every project site, or read every available document. Therefore, a programme must decide who or what will be included in the data collection activity.

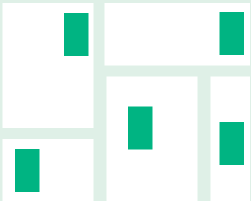
This process of using a smaller group of people, locations, or documents to draw conclusions about or understand a larger population is called sampling. The sample is a 'subset' of a group or population that is intended to represent that group or population. Sampling aims to:

- Reduce the time and financial resources required to collect and manage data
- Protect and improve data quality

Source: NRC M&E Guidelines – Module 4

Three sampling techniques are recommended for use with this household questionnaire. These techniques are outlined below in descending order of statistical validity, and relate to the context and the ability of the assessment team to identify displaced populations – and more specifically displaced/ refugee and host households.

Table 2: Recommended sample techniques and selection processes

TECHNIQUE	PROCESS FOR SAMPLE SELECTION
Probability sampling technique	
Cluster sampling  **Working context: Urban 'camp' setting – displaced population can be located with relative ease.**	A sample of villages/neighbourhoods to be served by the project is randomly selected, and then within each of these, a number of households is randomly selected. • The population is divided into different geographic groups or other physical unit (such as camp sections and villages, or schools and health clinics, etc.). • Clusters are randomly selected from the chosen geographic groups. • All households or people living in the selected clusters form the sample frame. • Selection within the cluster is made through a systematic rule, eg spin the pen method, select the nearest house in the direction where the pen is pointing, continue selecting every 10th house in the same direction. • Selections can also be made through the use of grid coordinates, or GPS and satellite photos. • Population size for each cluster should be known. • Used where there are budget constraints, less time, the population is large and spread over a large area. • Many surveys done in humanitarian programming involves some form of cluster sampling. • Used in large surveys where complete lists of beneficiary households or individuals are not available and are too expensive to construct. • Communities selected may not be representative.
Sample selection process:	• Drawn from a geographical sample frame. Typically through 'spin the pen' method, grids coordinates, or Global Positioning Systems (GPS) and satellite photographs. • **It is important that no sample units[15] are left out of the selection process.** • Randomly selected
Non-probability sampling technique	
Snowballing **Working context: Urban 'non-camp' settings – displaced and host population are less visible and harder to locate and/or identify.**	Key informants are sought for their specific knowledge of the situation and identify initial households to interview. Initial informants then identify other possible informants, who have experience in the relevant issues. As new informants are found, the 'snowball' grows. Useful for identifying specific kinds of cases, eg critical, typical, extreme, etc. Especially useful when collecting data from small or otherwise hard to find populations.
Sample selection process:	• Selected from an unknown population on the basis of identification and categorisation by others. • Selection according to criteria defined by the project.
Convenience sampling **Working context: poor access/high security concern settings – displaced population is very mobile and the context is dynamic.**	Respondents are chosen because they are accessible or `convenient', not because of an underlying strategy. Often used as a practical solution. This approach can have high bias if those who are 'convenient' to sample are not typical of the larger population. For example, interviewing beneficiaries who have better relationships with the agency and are easy to call for an interview might also experience better outcomes than those who are difficult to locate.
Sample selection process:	• Selected from a known population identified in registration lists, attendance records, etc. • Selected from an accessible and present population, eg selecting 5 people to talk to immediately after a training workshop of 20 attendees. • Selection according to criteria defined by the project.

[14] 'Sample units' are simply people, households, places, service points, goods provided, etc., that are included in the sample for data collection. It is the element selected in the sample which acts as the source of data or unit of analysis.

Choosing the right sample technique

The choice of a sample technique is **often practical**. Sampling **technique affects sample size,** with implications for a project's time, available technical capacity, and financial resources. Also, **some techniques require information** that a project might not have. For example, a simple random sample requires a beneficiary list with contact information. Consider the following:[15]

- What are the **information and analytical needs** of the data collection exercise?
- Does the project **know or have a list of the names and contact information** of the people, goods or service sites, or documents included in the sample?
- What is the **size of the entire group** from which the sample is taken?
- How **geographically dispersed or centralised** is the entire group?

Sample sizes[16]

From a technical perspective, the process of calculating sample size depends on the sample approach, eg if a project is using probability sampling or non-probability sampling.

For **probability sampling**, it comes down to *desired level of data accuracy and precision* and the *sampling technique* used. For **non-probability sampling,** it is a matter of the *data collection method* and *information saturation*.

Practically, however, humanitarian operations will **choose a sample size according to cost and time limitations**. This is not ideal, but it is often acceptable. When this happens, it should be made clear during data analysis and interpretation, and reflected in how the data are used.

Please note that most on-line calculators are not appropriate for calculating sample sizes when using 'snowball' sampling techniques as they assume a larger population and are largely developed for random sampling techniques.

Sample size calculators that projects can use include:

- Dimension research:
  www.dimensionresearch.com/resources/calculators/conf_prop.html
- Custom insight:
  www.custominsight.com/articles/random-sample-calculator.asp

For further information on sampling techniques, confidence levels and margins of error – please see NRC M&E Guidelines Module 4.

3.2.11 STEP 3: Conducting FGDs

It is recommended that where feasible a series of FGDs within the targeted communities are arranged as part of the assessment. These will complement the data collected at household level, providing both a means of triangulating information collected through the survey and for drilling down into issues that it may not be possible or appropriate to discuss from a personal household perspective. In certain circumstances where household visits are difficult to undertake, this qualitative data collection may form a more substantive portion of the assessment.

Depending on time and resources and the context, FGDs could take place with:

- The displaced adult population: exploring in an in-depth fashion the more sensitive issues relating to such things as discrimination and vulnerability that it is difficult to probe at the level of the household, across the core competencies. This could include, for example, who in the community has less access to services, faces governance challenges; the factors contributing to access to social capital, etc.

[15] This section is truncated. For more detail, see NRC M&E Guidelines, Module 4.
[16] Adapted from NRC M&E Guidelines, Module 4.

- The displaced youth population: exploring the same issues as for displaced adults but from the perspective of young people aged 15–24, particularly concerning youth-specific exclusions and aspirations.
- The host adult population: exploring vulnerabilities of the host community, socio-economic impacts (both positive and negative) of the influx of displaced persons to their community; and trends in perceptions and attitudes of the host community towards the displaced population. Depending on the context, there may be a need to differentiate between (i) the broader host community and (ii) actual host families within the community who have taken in and who are living with displaced people, and to include perspectives from both in the FGDs.

Group size and composition

Whilst there is no hard and fast rule for the size of the FGDs, the aim is to have enough participants to facilitate a full and interesting discussion whilst keeping the numbers manageable to ensure all voices are heard. The optimum size is likely to be around 8–10 participants. It is recommended that group size be maintained between 6–12 people.

Where feasible it is recommended that the FGDs participants are generally separated on gender lines, to ensure perspectives of both men and women are heard. Depending on the context it may be considered important to take additional measures to manage group composition, for example if there is a worry that the inclusion of certain individuals or groups may deter the participation of some members, or where it is important to capture the voices of a particular group in society. Examples of further segregation of FGD include:

- According to age
- According to livelihood/occupation, and
- According to ethnic group.

Good practices for qualitative research

The guidelines below address broader issues to do with qualitative research approaches more generally.

Creating a comfortable research setting

The choice of physical locale for the focus groups is important and will depend on a number of factors that the programme team – ideally in collaboration with any local facilitators – should take into consideration and plan for in advance. Key decisions are needed on the following:

1. **Should gatherings be held inside or outside?**
   Are there open spaces outside that would be conducive for group gatherings, or is there too much noise/wind/dust/rain/crowds listening in, to enable open-air discussions?

   Are there instead, public buildings such as schools or town halls or community meeting places where it would be better to gather groups? What is most convenient to study participants?

2. **How to establish conditions of privacy/confidentiality as well as confidence in speaking without fear of repercussion from others?**
   Certain groups – such as women and girls in gender-segregated societies, displaced populations, some minority groups in contexts where there is a protection concern – may feel more comfortable speaking out in spaces sheltered from public scrutiny.

   Small groups of women, for example, may feel more comfortable gathering to talk in the courtyard of someone's home. Alternatively, the office of a women's group or school could be used, if these exist. The facilitator should explain the purpose of the meeting to any men who are around and ask them politely to allow discussions among women only. It may be useful in this case – in order to allay potential suspicions – to hold any FGD for male participants first (where such activity is being arranged) to reassure them about the topics being discussed.

   A similar approach – using the offices of an appropriate community-based organisation, school, or municipal building – can be followed for arranging discussions with other groups where privacy is preferred.

   The presence of local authorities – while welcomed in any introductory meetings at the outset of the team's arrival in the community – should be discouraged in the actual FGD so that people can feel free to speak their minds.

Obtaining informed consent

Before the meetings take place, it is essential to gain informed consent from participants for their participation in the study. This involves explaining what the study is about, what the results are intended to be used for, and where the information will be shared. Informed consent can be provided orally or in writing, depending on the protocol considered appropriate in the study country. Participants should understand that even if they agree to participate in the study at the outset, they can 'opt out' at any time they wish.

Establishing trust, rapport, and a relaxed atmosphere

In addition to the physical setting, it is important for the research team to create a comfortable and relaxed social environment – to reassure the study participants that they are valued for their participation and to attempt to break down – as far as possible – the barriers that separate you as data collector from study participants.

Time should be taken with introductions, and researchers should fully explain who they are, where they are from, and how happy they are to have the chance to listen to participants.

For group exercises, a circular formation is best – rather than a classroom-type arrangement. If study participants are seated on the floor rather than in chairs, the researchers should also sit on the floor.

Smiles, laughing and jokes can go a long way to breaking the ice. Particular groups of participants (for example older people or women) may need particular encouragement and gentleness in setting them at their ease.

Specific 'warm-up exercises' or 'ice breakers' may be used at the outset to create a sense of fun and to put participants at their ease. Box 4 has some examples of ice breakers that can be used for this purpose.

BOX 4: SOME ICE BREAKERS TO CONSIDER

Soft rubber ball name toss: A small soft rubber ball (or similar soft object) is tossed around and open circle and when someone catches it they introduce themselves until everyone has been introduced. They may like to add where they are from or other info in addition to their names. Continue the exercise until everyone has had a chance to introduce themselves.

An alternative version (instead of introductions) is for the facilitator to announce a particular topic relevant to the issues at hand. When the ball is tossed around, each person catching it must shout out something related to the topic and then toss the ball to someone else. Continue the exercise until everyone has had a chance to speak.

Telephone: Participants should sit or stand in a circle. The facilitator quickly whispers a message to one participant. This participant passes the message in a whisper to the next person and so on. The last person shouts out the message. Chances are the final message will be different from the original.

Human knots: Great cooperative game for up to 12 in a group – involves physical touching, so only appropriate in single gender groups. Divide into smaller groups if working with more than 12. People in circle cross their outstretched arms and step forward until everyone is touching shoulders. Each person reaches across the circle and holds the hand of someone opposite to them. Hold a different person in each hand. The group is tasked with undoing the knot without letting go.

Maintaining flexibility in question sequencing and pace

Qualitative research differs in both form and intent from quantitative research and this should be kept in mind when conducting the study. The key is flexibility and active responses to study participants' lines of thought and insight.

The type of discussions should be 'semi-structured' – not fully structured. The question guides that have been developed should therefore NOT be used as formal questionnaires (reading each question in sequence and noting down responses); rather they should be considered as guides to help the researchers cover the main research issues of importance, according to the knowledge of the context and the direction of the conversations with study participants. While it is important to cover all of the thematic areas of interest these also do not have to be in order, but can follow the line of responses given by study participants).

The full list of questions provided in the FGD tool is quite lengthy and it is unlikely that each question will be able to be included. Prior to beginning the FGDs it is useful for the interview team to take some time to agree upon which thematic areas, or questions, that should be prioritised during the discussions. This could take into account any gaps in the information that still exist following the household surveys.

There are some issues that it is critical to gain a gendered perspective on – such as issues related to protection, health, relationships, access to remittances/credit, child care and vulnerability. It is recommended that these areas are highlighted in FGDs with women.

Going 'deeper' – prompting

It is important for all questions to encourage study participants to provide details and – perhaps – to go beyond their initial responses. Otherwise, the interviews can turn into rather sterile question-response types of exercises, where what we are looking for is a conversation.

The researcher will facilitate this process by systematically using 'prompts' such as "Tell me more about that….''; or "I'm not sure I understand – can you tell me more"; or "How did that make you feel?", etc.

In group exercises the responses of one participant should be used to stimulate responses from others and – again, the researchers should facilitate this process with prompts such as "Did anyone else have the same or different experience?"; or "What do others feel about this?", etc.

In discussion of the issues, it is useful to always ask the participants about whether there are any differences to note between how issues affect men and women, young people, and older people.

Being non-judgemental

We are approaching communities to learn from them – to gather their perspectives and insights and to record their experiences of what can be sensitive issues. We are NOT there to teach them anything, pass judgement on what they say, or contradict them – even if we might disagree with some of the views they hold. Participants must also be reassured that there are NO right or wrong answers.

Being respectful of participants' time

Assessment teams are asking study participants to give freely of their time – without compensation – so that we can understand their views and perspectives. It is imperative to consider the opportunity costs of their participation (work at home or away from income generation activity etc.) and to observe a few simple principles:

1. Being on time for the scheduled meeting and ready to start right away.
2. Scheduling times according to the convenience of study participants. If this means, for example, either early in the morning or later in the evening, this should be accommodated. Timings may also vary according to the type of study participant (working age adults might only have time later in the day).
3. Keeping sessions to reasonable time limits – an absolute maximum of two hours, generally less for some exercises.

Particular care with time should be given to participants who may be old or frail (older persons), coming from long distances, or who are engaged in multiple activities.

Capturing the real voices of study participants

It is important to maintain eye contact and a rapport with the group. It is recommended that each FGD is facilitated by two researchers, one who is responsible for facilitating the group interaction and leading the questioning and discussions and a second who is responsible for taking detailed notes. In some contexts, a third person may be required for translation purposes.

If appropriate, it is recommended that notes are recorded directly into a laptop or tablet using an Excel or Word template based on the FGD question guide. Mobile devices are likely to be too small to allow the notetaker to adequately capture the information. Depending on the time available, or in contexts where visible notetaking is considered difficult, recordings of the discussion can also be taken, for playback and recording of the key findings at a later date.

One of the things the FGD aims to do is to 'give voice' to vulnerable groups of people or individuals who may not have much of a say in the society. It is extremely important, therefore, in qualitative research of this nature, that the translator (where one is used) translates accurately and the notetaker captures accurately – as much as possible – the real opinions of study participants. This should include some verbatim (word-for-word) quotes of particularly illuminating responses.

Considering compensation for participants' time

It is generally NOT the practice to pay participants for participation in such studies. However, it IS frequently that case that refreshments (for example soft drinks) may be served at the end of an exercise – particularly if the exercise takes a long time or participants have had to travel some distance to attend – or bottled water offered if weather conditions are very hot. Prevailing norms in country should be observed.

Using photos

The team should decide in advance whether it will be useful to take photos of study participants, environmental and living conditions, or everyday life.

The decision should take into account prevailing sociocultural and political norms on the use of photography – including gender issues and considerations about whether photos will disrupt rather than add value to the research processes.

If photos of participants are to be taken, informed consent must be obtained at the outset, with assurances that real names will not be used in any captioning.

Ensuring confidentiality

While names of FGD participants may be noted in the reporting instruments, this is not essential. If names are collected these should at all times be maintained as confidential by the researchers and real names should not be used in any reporting formats (pseudonyms should be used instead).

Reporting

At the end of the activity, the information collected as notes during the FGDs must be recorded. The level of detail required will depend upon the time and resources that are available for the assessment. Typed transcripts of notes are obviously more detailed but require more time and resources to complete. A quicker alternative is for the interviewer and notetaker to summarise the critical points from each FGD as bullet points under each core competency or thematic area covered. This should highlight any useful quotes from participants that particularly highlight an issue.

It is also recommended that the team records their overall reflections from the FGD in a similar fashion – highlighting the critical issues coming up in the discussion, including any differences according to gender, age or ethnicity. Depending on the number of FGDs that are planned for, this could be done for each FGD, or through a group exercise to reflect on the findings from all interviews.

3.2.12 STEP 3: Assessment team problem solving

During the assessment, enumerators are likely to face a number of problems with the APP, locating interviewees and such like, especially in the first few days. In light of this, the following are advised:

a) During the training and first few days of the assessment ensure IT and technical support is readily available (on site) to ensure a quick and easy fix to any problem faced or question asked.

b) Have daily feedback sessions where problems and solutions can be discussed. In Ethiopia this took place every morning before enumerators started work and every evening. The assessment team leader was able to:

   a. Convey positive and constructive feedback on the previous day's work, having had a quick look at the downloaded datasets, therefore highlighting and discussing sections of the assessment that were poorly/well-completed etc. This is especially helpful in reviewing the completion of non-essential questions.

   b. Provide an opportunity to enumerators to discuss their opinion regarding challenging questions, interviewee reactions, and such like.

   c. Create an atmosphere of teamwork and mutual support.

c) Ensure the assessment team leader is available on site to provide support and ensure the daily plans are in progress.

d) Throughout the assessment, IT and technical support should be available either in person or via phone.

e) Ensure logistics are well-organised – especially regarding (a) transportation to and from the assessment areas and, (b) the purchase and distribution of biscuits and drinks provided to interviewed households.

Photo credit: NRC

3.3 Analysis: aspects for consideration

This section provides guidance and recommendations concerning some of the key aspects to consider in the data analysis process including: deciding what tool to use and data analysis approaches and questions.

Decisions related to data analysis should not be left until after the assessment data has been collected; but must be considered as part of the assessment design.

3.3.1 Deciding on the data analysis tool

Ideally the assessment team should decide on which data analysis tool will be used to analyse the assessment data before the start of the assessment, to ensure that the appropriate resources, skills and knowledge are available. A growing number of analytical applications are available, including: Excel, SPSS (Statistical Package for the Social Sciences), the JIPS' DART tool and KoBo Toolbox Excel Data Analyser.[17] NRC utilised the JIPS' DART tool during the pilots of the household assessment tool.

Which data analysis tool to use? JIPS, Kobo Analyse, Excel, etc.

Although the piloting of the UMVAT used the JIPS DART tool to analyse the data collected, and some guidance on using this tool is provided, it is acknowledged that there are a number of tools that can be utilised. Irrespective of the tool applied, the analysis requires the following:

- Analysis across sectors. This is vital for a multi-sector analysis tool to enable the analysis of a data set from one sector (Shelter for example) against another (ICLA for example).
- Ability to distinguish between groups within the target population. This is required to enable the identification of a population that may have a greater need or vulnerability.
- Identification of trends (percentage of group within the population assessed) engaging in a specific activities or activities.
- Ability to produce tables/ graphs etc., to enable the communication of information in a user-friendly manner.

Using the JIPS' DART tool

In the DART, users can explore and analyse 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.[18]

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 subgroup, 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,[19] 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.[20] In some cases, JIPS can also support with preparation of the displacement data for the DART if it fulfils certain criteria,[21] such as if 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.[22]

[17] www.humanitarianresponse.info/en/applications/kobotoolbox/document/kobotoolbox-excel-data-analyser-v123
[18] 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.
[19] www.jips.org/en/field-support/request-support
[20] www.jips.org/en/profiling/about-profiling
[21] See www.dart.jips.org/about
[22] JIPS can provide detailed instructions on how to prepare the description of variables (`metadata') for adding a dataset onto the DART if needed; it typically does so on a case-by-case basis rather than including them on the website because some discussion is helpful when reviewing the instructions.

3.3.2 Daily reflections and mid-assessment reviews

Both daily reflections and mid-assessment reviews can be helpful in keeping track of the assessment team findings and arising questions.

Daily reflections

Daily feedback sessions are vital in identifying and solving problems and creating a sense of team spirit and mutual support. Daily reflections following data collection are also vital in providing an insight into on-going assessment findings and analysis.

Ensure the assessment team daily routine gives enumerators the opportunity to discuss their opinions regarding the discussions held with the respondents and the information collected. Explore the representation of such information and any anomalies that may have transpired (that may require further analysis in FGDs or KIIs). Triangulate enumerator opinions with observations and secondary data.

Mid-assessment reviews of household data to inform FGDs

Initial findings and reflections from enumerators using the household tool should be gathered to better orientate the focus group and key informant interviews.

This guidance note recommends a mid-assessment review and discussions to:

1. Identify data gaps and potential topics for further analysis in the FGDs or that may require a separate, more detailed and/or specialist assessment. It is important to identify any aspects that are still pending or unclear and to distinguish between: (a) aspects that will require deeper, specialist analysis – ie a separate assessment; (b) aspects that can be addressed in this assessment via additional KII or FGDs, or additional household interviews.
2. Review and modify assessment questions in light of additional or new information.

A similar process of reflecting on findings and potential responses is recommended for the end of the data collection process (see Step 3.8). There is considerable value in having the opinions and reflections of the enumerators as they may have gained insight into nuances between households that may be valuable in understanding needs, vulnerability and designing programmes, for example.

3.3.3 Qualitative and quantitative data analysis

Qualitative and quantitative data collection approaches are complementary and should be used interchangeably to enable a richer, more detailed understanding of the assessment context.

Qualitative data analysis

There are a number of reasons why qualitative data is vital in assessments that include strong components of quantitative data, these include:[23]

- The quantitative survey gets more precise descriptive data on levels of vulnerability and associations between vulnerability and different aspects of the livelihoods, health, education, etc.
- Further qualitative research is able to explore unexpected or anomalous findings, or just tries to provide further causal analysis of the findings of the quantitative survey.
- Qualitative data collection processes are very strong at explaining causes of food insecurity, vulnerability or poverty, and explaining links between household, community and macro issues; they are not well-suited for estimating or predicting levels of food security.

[23] FEG Consulting and Save the Children (2008).

Qualitative data collected via the FGDs and KIIs provide vital contextual information for the assessment, so long as it has been well understood and documented. Analysing qualitative data can be problematic and time consuming, requiring a level of skill that is often not widely available in assessments. This guidance note proposes the following to support the smooth analysis of qualitative data:

1. Enumerators who are collecting qualitative data agree on interview techniques, general content and data recording approaches in advance.
2. The team record their overall reflections from the FGD and KII in a similar fashion: highlighting the critical issues coming up in the discussion (in relation to the objectives of the assessment), including any differences according to gender, age or ethnicity. Depending on the number of interviews planned, this could be done for each interview, or through a group exercise to reflect on the findings from all interviews in a particular day, location or with a particular group.
3. The qualitative interview write up should include the identified critical issues and aspects to explore further at the top of the first page. Details relating to the discussion held can be summarised and bullet pointed for future reference. This enables a rapid identification of key issues and additional understanding of the discussion held if required.
4. Ideally, at the end of each day of data collection, enumerators engaged in FGD and KII interviews share their critical issue findings, drawing conclusions and comparisons where possible. Areas for further investigation can be identified and prioritised, and areas where there is sufficient information, can be dropped.
5. Inform the content of future KII and FGDs with information from secondary data sources, past interviews if any have taken place) and input from the enumerators (see mid-assessment review Section 3.3.2).

Quantitative data analysis

Although the quantitative meta data will need to be cleaned and sorted[24] (see Section 3.3.4) as per the requirements of the analysis tool, some analysis of the data collected is possible over the duration of the data collection period.

Assessment team leaders can review the raw data collected on a daily basis to: get a sense of what information is being collected; undertake some preliminary rudimentary analysis; triangulate against FGD or KII data; and identify questions that the enumerators are struggling with. Daily feedback sessions can provide the opportunity to share initial data analysis and present any problems identified in APP usage from the perspective of the database.

Quantitative data can be used to calculate a needs severity score for specific population groups within the assessed population (see Annexes 9 and 10). The calculation of this score is recommended in the guidance on the urban response analysis framework (URAF) (Mohiddin *et al.*, 2017) and targeting in urban displacement contexts (Smith *et al.*, 2017). If a needs severity score is likely to be calculated the assessment team should:

- Ensure the questions included in the needs severity score list are relevant to the context. Adjustments can be made where necessary.
- Ensure the scores for the questions included in the needs severity score list are relevant to the context. Some scores will require contextualising.
- Consider how the score will be calculated and collated using the data analysis tool identified.
- Consider how the data from the needs score will be used, and, whether or not the application of the score will require any adjustments in its design.

Further guidance on the development and use of severity scores and the application of heat maps is available from ACAPS (2013: 4).[25]

[24] It is vital that this step is resourced sufficiently; do not underestimate the time and resources needed for this.
[25] www.acaps.org/resources/assessment

3.3.4 Data cleaning and preparation

Before the data can be analysed, they need to be cleaned and prepared for the data analysis tool. Any inconsistencies in the data need to be identified and rectified. Inconsistencies can be due to human error, poorly designed recording systems, or simply because there is incomplete control over the format and type of fata imported from external data sources such as a database, text file, or a web page (ACAPS, 2013). For example, a column that contains types of transport used to access markets may contain multiple values that have a similar meaning, such as car, vehicle, transport, motorcar.

Data analysis tools (such as KoBoToolbox Excel Data Analyser)[26] will provide guidance on how data should be cleaned and prepared – and have online helplines to support users.

ACAPS provide guidance on data preparation as part of their 'How to approach a dataset' series of guidance documents.[27]

3.3.5 Data analysis approaches and questions

The time and resources needed to undertake data analysis should not be overlooked or underestimated. Box 5 outlines the aspects that will require attention.

BOX 5: ANALYSIS OF HUMANITARIAN NEEDS ASSESSMENT DATA

Analysis generally includes:

- Comparing the severity of the conditions between various affected groups and locations
- Explaining association and underlying factors
- Predicting/forecasting the evolution of the impact of the disaster
- Prioritising most important issues and target groups, and
- Supporting the definition and selection of appropriate and proportionate response modalities.

Source: ACAPS (www.acaps.org/resources/assessment)

The assessment team leader terms of reference (Annex 2) should include assessment objectives and questions (see Section 3.3.1) and will help the assessment team get a sense of analysis depth and breadth.

Data analysis should take into consideration these questions as well as any that have arisen through the assessment process. The review and modification of assessment questions is recommended during the mid-assessment review. It is also recommended to share analysis questions with key informants and stakeholders to ensure their relevance to that context.

Methodological steps in undertaking analysis

The following section provides basic guidance on the key steps for consideration when analysing the assessment data as it was assumed that the assessment team would have data analysis experience, the guidance provided here is brief, and summarised as a step by step process set out in Table 3. Knowing when to stop analysing can be a challenge. If the assessment questions have been answered at the depth required, then analysis can stop.

For additional support on analysing data, refer to ACAPS resources pages,[28] where a number of technical guidance documents dedicated to analysis are provided. The table below utilises some of their advice.

[26] www.humanitarianresponse.info/en/applications/kobotoolbox/document/kobotoolbox-excel-data-analyser-v123
[27] www.acaps.org/search?search_query=how+to+approach+a+dataset
[28] www.acaps.org/resources

Table 3: Data analysis: four key steps[29]

STEP 1: PURPOSE OF THE ANALYSIS: WHAT ARE THE RESEARCH QUESTIONS AND THE PURPOSE OF UNDERTAKING THE ASSESSMENT		
CONSIDER	**REFLECTION**	**ACTION**
What are the assessment objective and questions?	Have any of the questions been modified? Are there new questions? Keeping sight of the assessment questions can assist in knowing when to stop the analysis process.	What are the main questions that need to be cross referenced/ analysed in order to answer these questions?
On what basis is this information required? What are the information gaps?	What vulnerability, situation and risk analysis information already exists? What additional information is needed for programming purposes? What is the best methodology and approach to collect this missing information?	Collate available secondary data relevant to the assessment questions. Finalise assessment questions, approach and methodology. Initiate identification of key informants and stakeholders.
Who are the target audience and how deep does the analysis have to be?	What level of detail does the target audience require? What decisions do they need to make? What information is needed to make these decisions? In what format is the information required? What formats would enable an understanding of both qualitative and quantitative data? How soon is the information required?	Chose a data analysis tool that gives you the level of analytical depth that you require. Identify questions for analysis that reflect the depth of analysis required. Develop an **'analysis action plan'** that outlines: key questions, how data collected is connected to the assessment question, analysis report format, deliverable timeframe, target audience etc.
STEP 2: ORGANISE AND SUMMARISE DATA TO ALLOW FOR THE DISCOVERY OF MEANINGFUL FACTS		
CONSIDER	**REFLECTION**	**ACTION**
Is there a hierarchy within the assessment questions?	Are some questions more general than others? Are any of the assessment questions linked – ie is the answer to one question necessary for another?	Organise the questions in a logical order for analysis. Impose a common structure on the data collected that will enable the user to undertake data comparisons and enquiry. Identify assessment questions (and their data sets) that provide information for other questions.
Organising the data so that it is easier to handle.	Organising the data involves: • Gathering all forms, questionnaires, and observations in one place • Checking for completeness, relevance, quality and usability of the data • Removing, filtering or separating those observations that are incomplete, not of immediate use, or which do not make sense. Recording and documenting your decisions • Assigning a unique identifier to each observation.	Make sure that information related to the broader assessment context, observations (location and implication), season, time and geographical location of the assessment is documented. As the context in which the assessment is vital, having this information documented will be useful at a later stage.

[29] This section draws heavily from ACAPS (2013: 6–21).

<table>
<tr><th colspan="3">STEP 3: IDENTIFY AND DESCRIBE PATTERNS AND RELATIONSHIPS WITHIN THE DATA THROUGH EXPLORATION AND APPLICATION OF SCIENTIFIC REASONING AND ARGUMENT TO THAT DATA</th></tr>
<tr><th>CONSIDER</th><th>REFLECTION</th><th>ACTION</th></tr>
<tr>
<td>
What needs to be compared? Looking for differences or similarities between data sets allows the analyst to identify patterns or trends in the data. In doing so, relationships between data sets can be identified.
Within the assessed population, are there any specific groups that need to be compared?
Are there any groups (with a defined profile) that have been identified as potentially vulnerable?
</td>
<td>
In multi-sector assessments, relationships between data from multiple sectors need to be explored. The assessment team may want to look at the relationships between legal documentation and access to secure shelter and regular employment – or – the relationship between access to education and income generation opportunities.
A relationship is the correspondence, connection, or link between two or more variables of interest whose credibility can be triangulated against other data.
Reflecting on the data:

What needs to be compared against the assessment data? Humanitarian standards, geographic areas, social groups or time? (See Box 1)
What are the trends and patterns in the data? Ask:

What repeats? What goes with what? Look for patterns of repetition and resemblance.
What is opposed to what? One advantage of identifying repetition is that it can lead to identifying opposites.
What does not fit? Are there any anomalies? What could this be due to? Consider: errors, significant new findings, and extraordinary events/ people/ institutions etc.

What are the relationships in the data? Seeking and identifying patterns in the data can lead to the identification of specific relationships within the data that leads to the discovery of the most interesting, relevant or important stories that may be highlighted to decision makers.

</td>
<td>
Iteration is important in data analysis – the analyst will have to review data sets numerous times from different angles and perspectives.
Ask:

Which details seem significant? Why?
What does the detail mean?
What else might it mean?

Look for patterns:

How do the details fit together? What do they have in common?
What does this pattern of details mean?
What else might this same pattern of details mean? How else could it be explained?

Look for anomalies:

What details do not seem to fit? How might they be connected with other details to form a different pattern?
What does this new pattern mean? How might it affect our understanding of the situation?

Most meaningful quantitative relationships that are worth being explored, identified or communicated can be classified into seven types:

Time: how values have changed over time.
Ranking: how values (associated with categorical items) are ranked according to size.
Parts-to-whole: how values and sizes compare to one another and the whole.
Deviation: how two or more sets of values differ
Distribution: how values relate to one another as a matter of proximity.
Correlation: how two sets of quantitative variables associated with a common set of entities behave in relation to one another.
Geospatial: how the spatial positions and distribution off values (eg where they reside geographically) contribute to their meaning.

</td>
</tr>
</table>

STEP 4: DETERMINE WHAT THOSE PATTERNS AND RELATIONSHIPS WITHIN THE DATA MEAN. MAKE CONCLUSIONS ABOUT THAT DATA, INCLUDING UNDERSTANDING WHAT CAUSED IT TO OCCUR, AND IDENTIFY THE NEXT STEPS (SO WHAT? THEREFORE…).		
CONSIDER	**REFLECTION**	**ACTION**
In this next step the assessment team have to interpret the data – they have to attach meaning to the data. This involves understanding what the patterns, trends, and relationships uncovered through analysis mean. This requires outlining explanations and suggestions of which conclusions can or cannot be drawn. This calls for identifying why data indicates a particular condition for one group and not another and why people behave as they do.	Interpretation involves: • Ensuring that findings are useful for decision making. What is important in the data? Why is it important? • Determining why particular conditions are here. Why is this happening? • Putting data into context. Does it make sense? Is it plausible? • Evaluating the evidence put forward in support of the explanations. How sure we are? • Considering where the thesis leads and what conclusions and recommendations follow. So what? Remember to contextualise the data when it is presented. Meaning will always be context-dependent: When it comes to needs analysis, the impact of 50,000 people displaced in Burundi is different to 50,000 people displaced in China. Three practical uses of context are recommended for needs analysis: 1. Mainstream context in your interpretation. 2. Understand how the data was generated – acknowledge how the data was collected, the types of biases involved, the limitations of the methodology and enumerators etc. Recognise the strength and limitations of the evidence. 3. Develop context dependent explanations.	The following actions are suggested: Make sense of the data. 1. What is important? Ask: • What did we find? • What patterns and themes emerge in the results? • What is new, what was expected, and what has changed (since an earlier assessment)? • What is important or different about one group, one time, or one place when compared to another? 2. Why is it important? • What does the observation imply? • What conclusions can we draw? 3. What do we do with the information? • Do the results suggest recommendations for improving the humanitarian response? • What information is missing? Spend time making sure the conclusions are clear and user-friendly. Conclusions are your explanation of why the data look the way they do and should relate back to the assessment questions. Recommendations are based on your findings and conclusions. They generally take three forms: 1. Most severe problems and key priorities 2. Action that should be taken 3. Further information that should be gathered.

Technical aspects for consideration when undertaking analysis

When analysing data from the food security and livelihoods technical sectors, keep in mind the following:

- Adaptive strategies entail 'long-term behavioural changes in response to a shock or stress' (UNHCR, 2012: 48). The adoption of adaptive strategies has to be considered when analysing the food security of households and coping strategies listed in the income and expenditure section of the household assessment.
- The Food Consumption Score (FCS)[30] is a composite **score** based on dietary diversity, **food** frequency, and relative nutritional importance of different **food** groups. The reduced Coping Strategy Index (CSI) (see Maxwell and Caldwell, 2008) measures behaviour, in particular the things people do when they cannot access enough food, which is converted into an index.
- As the CSI asks questions related to a change in household food consumption behaviour over a recent timeframe (the last seven days in contexts of protracted displacement and chronic food insecurity), the score may not illustrate the severity of the coping strategies being utilised as these have not been normalised and have become adaptive strategies.
- In such instances, analysis of household Food Consumption Score (FCS)[31] and CSI would be required to get a better sense of household food insecurity. The FCS represents households' dietary diversity and nutrient intake and is calculated by inspecting how often households consume food items from the different food groups during a seven-day reference period.
- Guidance on the construction of the scores, contextualisation of score weighting (for CSI) and acceptable thresholds can be found in technical guidance sheets on the WFP website.[32]

[30] www.wfp.org/content/technical-guidance-sheet-food-consumption-analysis-calculation-and-use-food-consumption-score-food-s
[31] https://resources.vam.wfp.org/node/13
[32] www.wfp.org/

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Annexes

Annex 1: Secondary data checklist

https://rescue.box.com/s/rdgkfvk2gv1ncv6sgfj4eir7jtnf823w

Annex 2: Assessment team leader's terms of reference

https://rescue.box.com/s/qiutofzgtop0b20754m8652i1t3z7i36

Annex 3: Mapping urban populations affected by displacement

https://rescue.box.com/s/0bejix6ukd73f3o16kocal5zd8zwq3ii

Annex 4: UMVAT household assessment questions

https://rescue.box.com/s/zgijqbkfmn3hkxqnc3jyk8l6gs6obj8a

Annex 5: KoboCollect APP guidance

https://rescue.box.com/s/vnog8iijfwtut84lpn5myrn07ykzkdif

Annex 6: Assessment APP training materials

https://rescue.box.com/s/odtoj01po5pw1iw1ksnnferout0zcukh

Annex 6A: Classroom training (PowerPoint presentation)

Annex 6B: Words and acronyms worksheet

Annex 6C: Facilitator notes

Annex 7: Key informant interview and focus group discussion checklists

https://rescue.box.com/s/20wgazp97n12vgm8ql7p6s8ky91b0e1l

Annex 7A: Key informant interview checklist: Community representatives (IDPs, refugee and host communities)

Annex 7B: Key informant interview checklist: Government service providers

Annex 7C: Key informant interview checklist: Local government representatives

Annex 7D: Key informant interview checklist: Private sector service providers

Annex 7E: Key informant interview checklist: Traders

Annex 7F: Focus group discussion checklist: Initial key informant interview –understanding vulnerability and the context

Annex 7G: Focus group discussion checklist: Host community

Annex 7H: Focus group discussion checklist: Displaced adults

Annex 7I: Focus group discussion checklist: Youth (15–24 years)

Annex 8: Report format

https://rescue.box.com/s/6goetllvp5o2f3beiknzktel7rw98oxp

Annex 9: Need severity score overview

https://rescue.box.com/s/kudqhx1kbai7wbtqdwjumjrmia1dxz0v

Annex 10: Needs severity scores

https://rescue.box.com/s/c2zoc3vrg0k4mmo8jwm93a9o9afrruai

Annex 11: Tool development methodology

https://rescue.box.com/s/iu8zmajax20ktcauzvbmkl9rdco8nuit

Knowledge Products

Toolkit

June 2017

Urban

Keywords:
stronger cities, urban crises, disaster, vulnerability, multi-sector assessment

The urban multi-sector vulnerability assessment tool for displacement contexts (UMVAT) guidance note has been developed by NRC for use in urban environments where there has been a significant displacement of populations due to conflict and other causal factors. The UMVAT can be used by other humanitarian organisations working in similar contexts.

The UMVAT includes a multi-sector questionnaire, developed for use in KoBo for mobile devices; a guidance document (including assessment methodology, sampling technique approaches, aspects to consider during contextualisation, data collection technique support, and trend and data analysis approaches); focus group discussion and key informant checklists; training materials and additional guidance to support users in applying the tool. The multi-sector assessment questionnaire can be tailored to meet specific information needs, by including or excluding specific sectors and expanding the questionnaire to include additional probing questions in specific sectors. With some contextualisation and methodological modifications, the guidance and tools can be applied in protracted and rapid onset disaster contexts.

The UMVAT was developed in response to a lack of urban specific multi-sector tools. It is part of a suite of complementary urban tools to enable appropriate urban responses for displaced and host populations. The UMVAT and associated guidance complement three other tools which have been developed under the Stronger Cities Initiative for use in the programme cycle. These include: i) a contextual analysis tool (IRC, 2017); ii) a response analysis framework for urban contexts (URAF) (Mohiddin et al., 2017); and iii) guidance on targeting in urban displacement contexts (Smith et al., 2017).

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