

**REVIEW OF EXISTING APPROACHES, METHODS AND TOOLS
USED BY HUMANITARIAN AGENCIES
TO MEASURE LIVELIHOODS, FOOD INSECURITY AND VULNERABILITY
IN URBAN CONTEXTS**

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LIST OF ACRONYMS

BMI	Body Mass Index
CSI	Coping Strategy Index
EFSA	Emergency Food Security Assessment
EFSL	Emergency Food Security and Livelihood
EMMA	Emergency Market Mapping and Analysis
FAST	Food security Assessment Tool
FCS	Food Consumption Score
FGD	Focus Group Discussions
HEA	Household Economy Approach
JAM	Joint Assessment Mission
MIFIRA	Market Information and Food Insecurity Response Analysis
SWOT	Strength, Weakness, opportunity and Threat Analysis
TGS	Technical Guidance Sheet
VAM	Vulnerability Analysis and Mapping Unit

1. INTRODUCTION

1.1 OBJECTIVES

This review has been commissioned by WFP and Oxfam GB with the aim of providing an overview and analysis of existing assessment approaches, tools and indicators used to measure livelihoods, food insecurity and vulnerability in urban contexts¹. This review attempts to bring together the experiences and guidance from a variety of agencies and propose recommendations to carry these findings forward into concrete assessment guidance. It aims at supporting and facilitating further discussions and decisions within the commissioning agencies concerning the adaptation of their assessment approaches to urban contexts.

Both Oxfam GB and WFP have gone through a process of reviewing their internal guidance and practices in relation to urban assessment.

In 2008, WFP developed a technical guidance² to assist assessments in urban contexts. This has been followed by reviews and workshops³ to learn from the existing field experiences and to define areas where more guidance was needed. A recent internal review brought all this knowledge together and highlighted areas for further guidance. Oxfam GB has also developed some internal briefing papers on assessment and programming in urban areas. Two recent internal reviews look at the challenges and opportunities associated with urban programming and provide examples of how Oxfam GB programmes deal with urban programming challenges⁴.

1.2 STRUCTURE OF THE REPORT

The report has been structured around the components of the Food and Nutrition Security Framework. The report first discusses some of the basic or contextual factors of the framework, like institutions, policies and macro-economy, geographic vulnerability and markets. These components have macro-level dimension and they serve as a link between global and national analysis and households' food security outcomes. The report then analyses the household level food security factors such as household food consumption, access (income, expenditures, and assets), availability (urban agriculture) and coping strategies. The subsequent section logically covers nutrition and health factors, influencing individual food security. The report, then, discusses specific issues which regard response analysis in urban contexts and finally wraps-up by highlighting key conclusions and recommendations.

The review focuses on the components of the assessments that present specific challenges in urban contexts and that have not already been satisfactorily discussed in the previous reviews and guidance. Some of the components are not dealt with in depth, not because

¹ Relevant technical guidance in WFP provides a flexible definition of urban areas. Urban areas are often identified as areas characterised by high number of inhabitants or population density, but the reality is that urban characteristics can be diverse and differs case by case. In the recent WFP/TANGO review, peri-urban and rural are defined as "a continuum held together by their degree of economic and social integration around the city". This review will often refers to slums areas that are considered as areas characterised by a wide range of low-income settlements and poor human living conditions (UN-Habitat State of the World Cities 2006-7)

² Technical guidance sheet (TGS) on urban assessments, (July 2008). The TGS was designed to complement the core WFP FSA guidelines, such as the EFSA and CFSA Handbooks, and as consequence the whole set of WFP documents were taken as reference for this review. .

³ Review of WFP urban assessment practices (May 2009); Workshop in Nairobi (July 2009); TANGO review of targeting in urban areas (March 2010).

⁴ Urban programming in EFSL; EFSL programming opportunities with urban refugees. EFSL Team Oxfam GB

they are less relevant, but because the issues, that they raise, have been widely discussed in the existing guidance. It is assumed that the reader is familiar with the WFP guidance, although a brief introduction to its main recommendations is given in each section. The sections follow a common structure along the report. They start introducing the specific challenges and issues for urban contexts, followed by a review of the existing guidance and how they are put into practice. Each section ends with a summary of the major gaps and it recommends possible solutions / ways forward.

The review has not been structured around urban food security typologies because existing experience is not enough to warrant an exhaustive discussion. Also for a review aiming at providing existing practices and clarifying, such structure may likely be heavy and more confusing than helpful. This does not imply that guidance according to typology would not be possible in the future when more nuanced information will be available. Oxfam GB has developed an online interactive food security assessment tool (FAST)⁵ to guide practitioners in assessing food security in six different types of emergencies: drought, governance crisis, conflict, sudden-impact natural disasters, refugees and IDPs, market failure and food price increases. Although the tool is not specific to urban contexts – it represents an interesting example of a typology assessment map that could be adapted to urban context.

1.3 METHODOLOGY

Various agencies with experience and interest in urban food security have been consulted. Feedback was obtained from advisers and technical staff in Oxfam GB, FAO, WFP, Care International, Concern, Action contre la Faim, Action Against Hunger US, Save the Children UK, IFRC, World Vision, ECHO and HEA consultants⁶. Documentation related to urban food security assessments and policy documents has been gathered from all the above agencies, ODI and DFID. The list of urban food security assessment reports, which have been reviewed, is given in annex (Annex 3)⁷. Most of the assessment reports have been made available by the commissioning agencies, while the remaining assessments were gathered from other agencies and practitioners, in particular the ACF and HEA urban assessments. Most of the urban assessments were conducted to evaluate the impact of the food price crises between 2008 and 2009. Therefore, the documentation available is slightly biased towards this urban food security typology. Despite the increasing interest in urban programming, only a few agencies have developed specific guidance on food security and nutrition assessments in urban contexts. The review is based mainly on the experiences of WFP, ACF, Oxfam GB and the FEG group. This narrow focus is not by choice but the result of a general lack of documentation, knowledge, and hands-on experience within the agencies contacted.

2. MACRO-LEVEL ANALYSIS

This section deals with the macro and meso level analysis of urban assessments. The Food and Nutrition Security Framework (FNSF) groups these factors under the context framework. These factors influence community and household livelihood assets and outcomes. A few key themes are discussed in this section, related to typical urban setting paradigms: these refer to the urban political economy, refugees, macro-economic conditions, urban vulnerability mapping and markets. These components have been chosen for their relevance and specificity to urban contexts.

⁵ Oxfam Food Security Assessment Tool for emergency responses is accessible at the following webpage: <http://www.oxfam.org.uk/resources/learning/humanitarian/fast.html>

⁶ The list of those interviewed and other contributors is in annex 2.

⁷ The table in the annex specifies the type of assessment: economic crises/slow onset, sudden onset, conflict/IDPs.

2.1 THE POLITICAL ECONOMY OF URBAN CONTEXTS

Urban contexts often host networks of institutions with more or less defined roles, responsibility and political interests. Those institutions can have well-defined policies, priorities and their own plans to implement and enforce regulations. Urban constituencies are also likely more organised and vocal in claiming their rights to politicians.

The ability to map these structures, their power relations and to identify specific interests at the very beginning of an assessment helps in figuring out possible political implications, opportunities and threats within a specific context.

2.1.1 WHAT SPECIFIC CHALLENGES AND ISSUES DOES POLITICAL ECONOMY RAISE IN URBAN CONTEXTS?

- Institutions, in urban contexts, can have developed policies on urban planning, regulations, codes and procedures that agencies need to be aware of. They provide opportunities for partnership and collaboration in the assessment, but also present a challenge as humanitarian needs and responses can collide with their own interests and plans.
- Weak governance and corruption can be common and widespread. They are at the origin of power struggles and patron-client networks, which create political and economic advantages for certain groups as opposed to others. Political analysis can create risks for both agencies and population groups.
- Weak governance can enhance informal systems, informal/hidden economies and illegal settlements. It can also lead to low capacity to enforce legal rights, provide legal and institutional support to IDPs and to protect refugees and the disabled.

2.1.2 HOW DO SOME OF THE EXISTING GUIDELINES DEAL WITH POLITICAL ECONOMY?

WFP TGS highlights the more pronounced need to understand the status of key institutions in urban contexts. This includes the factors that determine which urban poor households have access to them and why. The guide does not indicate the information needs and how to gather and analyse information on policies, institutions and governance in urban contexts.

ACF urban guidelines provide a list of secondary sources (master plans and national policies) of where to gather information related to public policies and urban planning. Practitioners would benefit from more information on how to analyse this information (type cause / effect diagrams). The ACF urban assessments reviewed tend to analyse more in depth issues of governance, policies and institutions.

Box. 1. An example of governance analysis - ACF Food Security Assessment in Monrovia (2007).

The assessment report mapped out the responsibilities and functions of key ministries and institutions in different policy sectors. It sought to understand which Ministries were in charge of urban planning, land management, waste management and infrastructure. It provided an outlook of the existing means and competences as well as explored the existence of urban regulation, building and codes.

At a local level, the analysis of governance focused on the decentralised role of official administrative systems, community based networks, NGOs and CBOs in providing services and supporting communities. Finally, the report explored the political priorities of the government, which included government official strategic plans (like poverty reduction and social protection policies) as well as informal policy priorities. Interviews conducted with key informants pointed out the government real priorities towards rural-urban migration.

IFRC / ICRC emergency guidelines⁸ look at policy and institutional factors as part of the external environment influencing the vulnerability and resilience of households. The set of issues taken into account does not differ between urban and rural contexts and the guidelines do not provide guidance about the challenges in urban contexts. [These](#)

⁸ Guidelines for Assessments in Emergency – ICRC & IFRC 2008. (The guidelines are not specific to urban contexts).

guidelines, however, provide a very practical and user-friendly review of participatory tools that can be adopted to capture people's perceptions on the role and power of institutions and governance in urban contexts.

Oxfam GB Food Security Assessment Tool (FAST) recommends adopting a 'political economy' analysis as a suitable approach to assess contexts characterised by complex political situations, conflict and governance crisis. This approach can be particularly relevant in urban contexts, as the influence of politics, processes and institutions on food security outcomes can be more widespread and intrusive than in rural areas. A political economy approach adds questions such as why certain groups have either more or less access to assets, services and economic opportunities than others (Annex 4). This review did not find field experience in integrating political economy analysis with urban food security assessments.

2.1.3 WHAT ARE THE GAPS AND THE SPECIFIC RECOMMENDATIONS FOR URBAN POLITICAL ECONOMY ANALYSIS?

- WFP urban guidance needs to strengthen emphasis on mapping and understanding the role of policies, institutions and the political interests at stake. The issue is not so much about developing 'ad hoc' assessment lists, since political contexts can be very different, situations change time from time and the objectives of the assessments can vary. It is more about adopting suitable methodologies and participatory tools. For example, participatory mapping can be used to understand the role and power among institutions and political actors in urban contexts.
- In other cases, guidance exists but it has not been applied in practice (i.e. Oxfam's political economy analysis). It becomes important for Oxfam to undertake urban case studies to pilot this approach. There is a need to learn about how to apply the approach, how effective it is and what the inborn risks are, before widely recommending its use.
- Urban guidance needs to highlight the potential challenges and risks of looking into political issues. Inquiring into political and socio-economic issues is not only difficult but can be sensitive and potentially dangerous. It needs to be undertaken extremely carefully, taking into account reliable local advice about the safety and advisability of certain lines of enquiry. Such analysis also needs to take into account ethical and 'do-no-harm' concerns, as it can exacerbate tensions in societies. (This is a general issue in urban contexts that also applies to illegal settling, IDPs, informal sectors etc.)

2.2 CONTEXTS OF IDPs AND ILLEGAL MIGRATION

2.2.1 WHAT SPECIFIC CHALLENGES AND ISSUES DOES DEALING WITH IDPs AND ILLEGAL MIGRANTS RAISE IN URBAN ASSESSMENTS?

- In urban contexts IDPs and illegal migrants are likely to live mixed together with host communities and it can be difficult to identify them.
- Dealing with IDPs and illegal migrants can raise tensions with official institutions, if they are not recognised by the local authorities.
- Assessing these groups can be difficult as people can be reluctant to talk about their illegal status.
- Illegal migrants can make a living from informal activities. Very often this reality is not captured in the official statistics available from local governments and in the national census.
- The illegal status of poor households and the uncertainty of being evicted by local authorities can lead them to engage in risky behaviour.

2.2.2 HOW DO SOME OF THE EXISTING URBAN GUIDELINES DEAL WITH IDPs AND ILLEGAL MIGRANTS?

WFP/UNHCR Joint Assessment Mission (JAM) guidelines include a chapter on urban household food security that refers to the urban / rural differences in people's access to food and coping strategies but **does not differ from what is recommended in the EFSA** guidance and urban **TGS**.

Oxfam GB has conducted a literature review on urban refugees highlighting their vulnerabilities and coping strategies and specific livelihood interventions. However, the document does not provide recommendations on how to assess urban refugees when they live mixed with local communities. Studies on urban IDPs profiling⁹ recommend [not to undertake separate assessments for illegal groups \(IDPs / migrants\) from residents, but to assess them as one group using proxy indicators to identify specific characteristics of IDPs](#). Specifically assessing and targeting IDPs can create stigma, tensions and undermine integration within the local community.

'Do No Harm' DNH analysis has been developed to avoid that assistance interventions contribute or worsen existing conflicts. The **DNH framework**¹⁰ can be useful to assess urban contexts. The DNH analysis involves **mapping and understanding the sources of tension** between groups, **identifying conflicts, discriminations and tensions** existing in a society. These tensions may arise from many sources including economic relations, geography, demography, politics or religion. The DNH analysis helps with understanding what divides people and in informing us about the risks of triggering or exacerbating violence and discrimination. The DNH analysis also **analyses factors that link and positively connect people**. Markets, infrastructures, common experiences, historical events, symbols, shared attitudes, formal and informal associations, all connect people living in the same urban neighbourhoods . Conducting this level of analysis in an urban assessment would facilitate the subsequent response analysis and decisions.

2.2.3 WHAT ARE THE GAPS AND THE SPECIFIC RECOMMENDATIONS?

- The approach needs to be [similar to the political economy analysis](#) – understanding 'why' certain groups are in certain situations. The same methodology needs to be based on [participative methods](#) in order to understand reasons behind the problems of integration.
- Urban guidance could also integrate components of the DNH analysis. This is in order to map and assess sources of conflict and divide as well as potential connectors among different groups in the urban setting.

2.3 MACRO-ECONOMIC CONTEXT

2.3.1 WHAT SPECIFIC CHALLENGES AND ISSUES DOES MACRO-ECONOMIC CONTEXTS RAISE IN URBAN ASSESSMENTS?

- Urban markets are more dependent than rural ones on international trends and commodities and their prices and availability are more reliant on international markets. Liberalisation policies have made urban markets more dependent on import/export and international conditions.
- Some urban contexts can be classified as more import dependent than others relying on local productions. Other urban markets can be strongly linked with rural production and access and availability can follow the same seasons and fluctuations as of rural areas.

⁹ Davies and Jacobsen 2009

¹⁰ DNH Project 2004

Differences are blurred and depend on several factors including the type of key markets in consideration.

- Urban households rely on markets to access food and services, and household economy is highly vulnerable to price fluctuation caused by economic shocks.

2.3.2 HOW DO SOME OF THE EXISTING GUIDELINES DEAL WITH MACRO-ECONOMIC CONTEXT?

WFP TGS for market analysis highlights the importance of assessing government policies and regulations and of considering the possible implications that they can produce on the efficient flow of food commodities. This recommendation is not specific to urban contexts, as government policies will also affect rural areas. However, this falls exactly in line with the 'urban TGS' recommendations about the need to link macro-policy analysis to the potential impact on households livelihood outcomes.

The CARE MIFIRA macro scale analysis looks at major markets within a country and their relation to regional markets. Analysis at the national market level (inflation, import parity prices, availability and government policies) can be a useful starting point to explore the causes of economic crises. The main drawback with this analysis is its complexity and requirement for a high level of expertise.

2.3.3 WHAT ARE THE GAPS AND THE SPECIFIC RECOMMENDATIONS FOR MACRO-ECONOMIC ANALYSIS?

The high level of expertise required to conduct this type of analysis is often the main constraint during emergency food security assessments. In order to facilitate a basic analysis it would be helpful to produce simple conceptual definitions¹¹, develop checklists of questions and cause/effect diagrams to help in assessing the potential impact of macroeconomic policy on household food security. A good market analysis integrated in the food security assessment can help assess these external economic factors (see market section). These tools could be developed as part of market tools and used 'ad hoc' in food security assessments according to contexts, needs and capacity.

2.4 URBAN MAPPING

Urban mapping consists in identifying the urban neighbourhoods of a city that face similar levels of structural vulnerabilities. These are zones that share the same access to infrastructure, services and other livelihood characteristics. The analysis of the entire urban population can mask significant differences within socio-economic groups.

Urban mapping can guide the assessment to focus on the most vulnerable areas. It contributes towards defining the specific constraints experienced by the most disadvantaged neighbourhoods. Developing this profile is the successive step to context analysis and precedes the selection of the geographical areas to assess¹².

2.4.1 WHAT SPECIFIC CHALLENGES AND ISSUES DOES URBAN MAPPING RAISE?

In rural contexts, agro-ecological factors and the types of income/food sources are often used to determine livelihood zones. In urban contexts, different factors are more suitable in defining areas with homogeneous vulnerability, considering the heterogeneity of urban settings, and the fluidity of urban dwellers' livelihoods. Among these, indicators like the type of 'community assets' present in a given neighbourhood (i.e. services, infrastructures or housing) can tell us a lot about urban households' access to resources and their resilience to shocks.

¹¹ These are now available in the EMMA and HEA guidelines.

¹² Urban mapping refers usually to identifying vulnerable neighborhoods in a city.

2.4.2 HOW DO SOME OF THE EXISTING GUIDELINES DEAL WITH URBAN MAPPING?

The WFP urban technical guidance gives advice on how to refine the population of interest and to define the sampling frame. It recognises that assessing entire urban populations would unnecessarily include comparatively wealthy neighbourhoods and households that are extremely unlikely to be food insecure. The WFP urban assessments show that geographic selection is very common due to limited time, resources and the need to focus only on the most vulnerable areas. This selection was done through discussions with key persons and using various indicators obtained from secondary data such as nutrition surveys, statistics and World Bank studies. However, there seems to be a guidance gap in defining criteria for the geographic selection of vulnerable neighbourhoods. A table with the description of the reasons for geographic selection and criteria used is provided in annex 5.

ACF urban guidelines. A more systematic approach to mapping vulnerable and homogeneous urban zones is provided in the ACF urban guidelines. This approach suggests **four types of criteria** to be taken into account when conducting urban profiling: the living environment, access to services, social capital and environmental risks. ACF guidelines **provide a detailed list - including indicators and sources** of information (annex 6). The list is neither exhaustive nor prescriptive as the guidelines suggest adapting it to the specific context, but it is very helpful in visualising the information needs. Urban zoning is not always easy to conduct. A half-day workshop would assist in overcoming the problem of incomplete information and involves stakeholders in the process. There is some issue about the applicability of this approach in sudden-onset emergencies¹³. However, although time is usually a constraint in emergency contexts, the limited resources compared to the high needs make the identification of the most affected areas crucial. In sudden-onset emergencies caused by natural disasters, different types of criteria and indicators would need to be taken into account (areas affected by disasters, level of destruction, displacement).

HEA adaptation to urban areas – suggests adapting the zoning exercise according to local circumstances. It does not give practical indications and criteria on how to conduct the profiling but it provides two practical examples. In Harare an existing zoning into areas of high-, medium- and low-density housing was adopted, supplemented by further information on employment (key informants) and on rent levels throughout the city (estate agencies). In Djibouti, a combination of a preliminary mapping exercise with assessment participants plus detailed key informant interviews with arrondissement authorities was used to classify different quarters of the city according to their overall level of wealth.

2.4.3 WHAT ARE THE GAPS AND THE SPECIFIC RECOMMENDATIONS FOR URBAN MAPPING?

- Urban TGS does not provide enough information regarding the type of criteria and indicators used to identify vulnerable areas as well as where to find this information and how to gather it. The best option would be to review the **urban profiling approach included in the ACF guidelines and to consider its adaption**.
- **Further investigation on how to conduct urban zoning in sudden-onset emergencies is needed. This will require different criteria (areas affected by disasters, level of destruction, displacement) and the use of rapid participatory approaches, to conduct profiles with key informants in the short time available.** Participatory mapping tools (as those suggested in the market analysis section) can be suitable for this purpose.
- Urban mapping could be part of the baseline surveys conducted in urban settings that are prone to sudden-onset disasters.
- Involving local authorities, CBOs / local KIs in the exercise or getting existing zoning information may be an effective first step, which an eventual guidance could recommend.

¹³ Urban profiling has been conducted in 4 of the 7 ACF urban assessments reviewed¹³. All these assessments were related to food prices and slow onset crises.

2.5 MARKET ANALYSIS

The objective of this chapter is to assess how market analysis could be better integrated in urban food security and nutrition assessments. This is in consideration to the particular relevance of markets in urban contexts. The importance of this question is also echoed in most of the recent WFP internal reviews. However, this section does not intend to be either a comprehensive review of the existing market assessment approaches or to recommend how to assess urban contexts, as this would be beyond the scope of this review.

The paramount role of markets in urban settings does not diminish the need for the same type of analysis in rural areas. Many of the issues that will be reviewed are similar in rural areas. This chapter will try to highlight issues that are specific to urban contexts but it is impossible to separate the two contexts completely.

2.5.1 WHAT SPECIFIC CHALLENGES AND ISSUES DOES MARKET ANALYSIS RAISE IN URBAN CONTEXTS?

- Urban households are net food buyers and rely on markets for their food and non-food purchases. For many urban households, affordability (food access) is a more serious problem than food availability.
- In urban contexts, households also need to pay for basic items and services that tend to be free in rural areas. Urban dwellers often have to pay for water, gas and cooking fuel, and access to services like education, health and transportation can be expensive. These additional expenditures present a strain to the already limited budget of households.
- The structure of urban markets differs from that in rural areas. Commodity chains can be less linear than rural ones and market prices more heterogeneous and difficult to interpret. The cost of basic goods for urban households can vary according to the area in which they live, the type of traders they access and their capacity to buy in bulk.
- Urban households also gain their earnings from markets. Labour and petty trade are among the main income sources for food insecure households. The labour market can be complex to assess as many labourers, in particular illegal migrants, are often employed in the informal sector.

2.5.2 HOW DO SOME OF THE EXISTING GUIDELINES DEAL WITH MARKET ANALYSIS?

WFP Sets of Guidance: that.

The technical guidance sheet for urban assessments says relatively little about market analysis. It provides a set of key market indicators to survey, and urges integration of market analysis into food security assessments.

In addition, two technical guidelines on market analysis are available to WFP assessors: the TGS for market analysis and the market analysis tool to conduct traders' surveys. These are not specific to urban settings. The WFP technical guidance sheet (TGS) for market analysis provides a very useful description of the components of a market profile (structure, accessibility and connectivity, integration and the government policies and regulations). The guidance recommends that before conducting an analysis it is important to understand how a market is structured and how it operates and influences the food security situation of those who depend on the market. This recommendation, even if not specific to urban contexts, [should be made one of the 'guiding principles' of urban market assessments](#).

The WFP Trader's Survey is a very practical guide that focuses on understanding market food availability as well as sale and purchase conditions for households. This is linked to people's access to food and the capacity of markets to respond to shocks. Trader's surveys have been integrated in most of the WFP urban assessments reviewed, although most of them were conducted in response to the high commodities price crisis. The slow onset nature of this crisis allowed time for structured surveys, while rapid-onset emergencies would give less time to do so. Traders' surveys add helpful information to food security analysis. They are able

to predict the capacity of traders to respond to increased demand and to give a picture of the existing volumes and flow of commodities. The analysis is also useful to understand credit strategies and transaction costs. On the other hand, the review of WFP assessments shows some gaps in the selection of critical markets and the development of market profiles. This resulted in some surveys not assessing market integration, competitiveness, connectivity etc. This can mask major differences in prices, availability and capacity to respond among the different market actors. Market guidelines could enhance the use of market profiling by providing tools and examples that can be used by generalist, but trained, staff in the limited time available in a food security assessment.

The Emergency Market Mapping and Analysis (EMMA) tool. The market systems maps¹⁴ are central to the approach. The tool includes the analysis of the key market actors in the supply/consumer chain (their numbers, sizes, roles, etc.). It also adds the analysis of the market environment, infrastructure, inputs and market support services. This is particularly important in urban contexts, where external factors are felt more directly by vulnerable people. EMMA has been designed to assess critical market systems in sudden-onset emergencies. Therefore one of the main differences from the WFP 'traders' survey' is that it is adaptable and quick-to-use. The EMMA tool is designed to reflect the information constraints and the urgency that decision-makers require in the first few weeks after a sudden-onset emergency. Most of the information is gathered through key informants (market actors) and focus group discussions with traders. A better understanding of the most critical markets in urban emergency situations enables decision-makers to consider a broader range of responses options.

Household Economy Approach (HEA) market tool has been developed to complement the Household Economy Approach. It is an integral part of the HEA guidelines and provides; clear indications on how to determine market flow and mapping, an overview of response options and how these should be used on the market analysis. It provides guidance on how to determine if traders will respond to changes in demand. These indications are not specific to urban contexts. Because the tool is based on HEA analysis, it is not easily adaptable to rapid-onset emergency situations and is not suitable for agencies that do not use the HEA approach.

CARE - Market Information and Food Insecurity Response Analysis (MIFIRA). MIFIRA addresses two fundamental questions: **are local food markets well functioning? And if not, is there sufficient food available in nearby markets to fill the gap?** (I.e. through local procurement)? MIFIRA response option questions can be better suited to the WFP response analysis, as they assess whether food can be sourced locally, should cash transfer interventions not be appropriate. MIFIRA addresses the **importance of regional markets and integration between markets at macro, meso and micro level** (see context analysis), which is particularly relevant in urban contexts. Its limitation for use in urban contexts can be the inability to assess other non-food markets, which are often important in urban contexts. MIFIRA seems to be also highly demanding in terms of human and financial resources. However, the tool is still at the stage of piloting and more time is needed to verify its suitability to different contexts.

2.5.3 WHAT ARE THE GAPS AND THE SPECIFIC RECOMMENDATIONS FOR MARKET ANALYSIS?

- The main limitation in the integration of market analysis into urban assessments seems to be the need for technical expertise and the lack of simple tools that could be used also by non-market specialists (general to all agencies).
- WFP's set of guidance would benefit from practical indications on how to develop a market model (a problem both in rural and urban contexts). It is helpful to provide guidance on how to analyse the external market environment (shocks, policies, external aid) and market services (such as credit and information).

¹⁴ An example of a market model map for urban labour markets is provided in annex 7

- Another aspect that needs further clarification is the selection of critical markets. While this approach is recommended in the traders' survey, not much advice is given on how to conduct this selection.
- [EMMA tool could help in complementing these gaps](#) as it provides a set of tools that could be adapted to WFP's needs. It should be noted that EMMA consists of a set of tools and guidance on their use and that they can be independently adapted according to needs¹⁵. [The critical market selection provides a set of key practical questions and frameworks that could help WFP staff to identify which markets are the critical ones](#) (annex 7.6). [The market model maps](#) are descriptive and easy to interpret tools. They give a [visual picture](#) of the market-system to non-experts for quick decisions (essential in urban contexts where there is more need to explain the complexity of markets). They also allow for broadening of the analysis to different urban critical markets, beyond food markets, and from market actors' chains to services and external factors.
- EMMA tool is suitable to assess urban markets sudden-onset crises. EMMA analysis can start either 1 or 2 weeks after the emergency and it can take 2 weeks time to be conducted.
- EMMA tools could also be used to analyse a wider range of critical markets that go beyond food commodities. This is particularly relevant in urban contexts where assessing labour, financial and credit markets can be very essential to poor households' food security.

3. HOUSEHOLDS FOOD SECURITY

3.1 FOOD CONSUMPTION

In assessments conducted by WFP, the Food Consumption Score (FCS)¹⁶ is used as a key measure of diversity and food frequency which is used as a proxy indicator of household food security, and it is usually combined with other proxies of food access and level of stress, to create food security classifications.

3.1.1 WHAT CHALLENGES AND ISSUES DOES FOOD CONSUMPTION RAISE IN URBAN CONTEXTS?

- In urban settings, this indicator is supposed to score higher (greater diet diversity and food frequency) because the urban population has potential access to a wider variety of food on a regular basis. The tendency of poor urban households to consume a wide variety of foods compared to rural ones, does not necessarily reflect their ability to have adequate food security during periods of crisis.
- Recalling the food components for the entire household can be more difficult in urban contexts, if a number of household members eat outside the household on a regular basis: in this case, the HH FCS can underestimate total consumption.

3.1.2 HOW DO SOME OF THE EXISTING URBAN GUIDELINES DEAL WITH FOOD CONSUMPTION?

WFP urban TGS. When food consumed outside the home is significant and cannot be neglected, the WFP urban TGS suggests adapting the FCS as follows:

- To consider the **individual** consumption of the respondent including food eaten outside the home, when there are no significant differences between household members.

¹⁵ Specifically, the tools referred to are the 'baselines and emergency market systems maps'.

¹⁶ FCS is a score based on the utilization of weighted food categories consumed seven days prior the survey. Standard thresholds are used to classify populations into three food consumption groups: 'poor', 'borderline', 'acceptable'. The three categories are defined according to the value of the score: poor <=21; borderline/moderate 21.5 – 35 and acceptable >35.

- To consider **household** consumption without the food eaten outside the home, when the difference in consumption patterns within households is similar across households.

Two alternatives are also suggested to include multi-ingredient street food in the calculation of FCS:

- To classify common street foods by their main ingredients prior to data collection.
- To treat common street food as discrete food types during data collection.

It is very important to make these decisions in the preliminary phase of the survey. Interviews with key informants and/or focus group discussions can be used to test the conditions for the choice of options.

None of the other agencies consulted in this review made systematic use of the FCS in the urban context. Thus, it was not possible to add more nuanced information to what was already recommended in the WFP TGS and by field staff.

3.1.3 WHAT ARE THE GAPS AND THE SPECIFIC RECOMMENDATIONS FOR FOOD CONSUMPTION?

- The urban TGS guidelines provide sufficient recommendations on how to deal with issues of consumption of food outside the home and the classification of street food.
- It is important to highlight that often there is not only one solution, as households' behaviour can vary in urban contexts. It is paramount to keep the interview process simple and maintain some flexibility and capacity of judgment.
- Field staff that have applied the FCS in urban contexts recommend focusing on what is the norm in a household and taking out the exceptions. There are too many variations and ways that households deal with food in urban contexts; thus, trying to gather complete and exhaustive information would make interviews last for hours. The additional information that would be gathered would not necessarily be worthwhile.
- In urban contexts there could be the need to refine the list of the foods consumed, as urban households can use different types of foods compared to rural ones (i.e. the use of millet in rural areas but not in urban settings).
- In urban sudden onset emergencies FCS values may remain close to normal values because urban households adopt many unsustainable strategies in order to access food and other basic needs¹⁷. In these cases, it seems to be **good practice to associate FCS with proxy indicators of coping strategies** that go beyond the CSI and account for crisis and distress strategies. The adoption of coping strategy typologies like in the IPC classification can help in this (see coping strategy section). Box 3 gives an example of how this issue was taken into account in Haiti (EFSA 2010).

Box 3. Combining FCS and coping strategies in sudden onset emergencies.

The post-earthquake EFSA assessment in Haiti estimated households in need of aid by adding all those households that adopted compromising strategies to the households with poor FCS. The households falling in the categories of 'poor' and 'borderline' food consumption were considered as food insecure (31%). To this initial group those households adopting compromising food coping strategies (CSI>40) (6%), households adopting non-sustainable (non-food) survival strategies (6%) and non-sustainable food sourcing strategies (4%) were also added. At the end, households with non-sustainable sources of income were also included (5%).

3.2 INCOME.

Income (source and amount) is particularly important in urban contexts because there is a lower likelihood for urban households to be paid in-kind and cash income is used to access most of the food and non-food needs. In the urban setting, more information can be available on 'typical' wages for various occupations from poverty surveys, official statistics

¹⁷ Information from the recent experiences in Haiti (EFSA 2010) and the Philippines (EFSA 2009)

and other mechanisms or systems used to record incomes (e.g. social assistance systems). However, the diversity and heterogeneity of income activities and the widespread informal sector may raise some challenges.

3.2.1 WHAT SPECIFIC CHALLENGES AND ISSUES DOES INCOME RAISE IN URBAN CONTEXTS?

- It can be difficult to obtain precise figures of the households' monthly incomes. Some people are either paid on a daily basis or do not work regularly and households can have diversified sources of income.
- Households and household members can be engaged in multiple occupations and the income earned can vary significantly within the same category.
- Instability is another important feature of income sources in urban settings, where low paying and unstable jobs tend to be the norm for poor households.

3.2.2 HOW DO SOME OF THE EXISTING GUIDELINES DEAL WITH INCOME?

'TGS' guidelines highlight three main issues related to urban incomes:

- The 'main' income may be elusive or misleading as it masks the diversity and complexity of urban livelihoods. The TGS recommends using household surveys to gather information on up to 6 income sources and 'proportional piling' methods to gauge the contribution of each source.
- Wage labour and self-employment are likely to be prominent among the urban poor. This does not mean income homogeneity, as there are many differences within these categories. The TGS suggests developing analytical sub-categories for wage-labour and self-employment based on the level of income earned. The urban assessment in Tajikistan gives an example of how classifications can become very arbitrary when incomes vary within the same activity:

"The amount of income brought by the various sources differed markedly according to the various FGD held... This also reflected variations linked to different levels of qualifications for the same type of activity.... Casual labour earnings varied from 10 to 250 somoni/ month, small businesses from 10 to 200 somoni/ month; government salaries from 40 to 250 somoni/ month and remittances from 100 to 700 somoni/ month. Petty trade gains are also likely to vary a lot depending on the season as well as prevailing prices."

- Wage labour and self-employment (as well as other income sources) should be distinguished by their degree of stability (temporary, seasonal, and stable) and the vulnerability to recent or future shocks.

The problem of the diversity that exists within the same categories remains an unresolved issue. Assessments usually do not ask for more than 3 sources of income per household and cannot divide sources of income into further sub-groups, as this would make the analysis difficult. Most of the assessments limit the analysis to more or less 10 livelihood categories. Furthermore, information should be collected on how many household members have an income-generating or remunerated activity. Some members may share the same income source if they work on the same type of activity.

3.2.3 WHAT ARE THE GAPS AND THE SPECIFIC RECOMMENDATIONS FOR ANALYSIS OF INCOME?

- The main gap is: how to capture the diversity of earnings existing within the same type of activities without causing mushrooming of the number of sub-groups and making the analysis unmanageable? The TGS does not solve this problem and field practitioners seem to prefer to keep the level of analysis under control, even at the cost of masking differences. Other assessment approaches, like HEA, face the same difficulties. HEA recommends not using income sources as an indicator to categorise food security groups in urban settings. HEA suggests that the analysis of households' expenditures is a more stable indicator and is preferred in HEA urban assessments.

- In urban areas capturing the diversity of income sources can be as important as the amount of income earned. The more diversified the household's portfolio is, the less likely the household is at risk of losing access to income. Indicators of income diversity could be easy to collect and complement information on income stability.
- Information on income activities can also be gathered through focus group discussions, in which then rank or have proportional piling of income sources according their contribution towards household total income. Qualitative methods can give additional insights on the role of the sources of income on household food security.
- In urban contexts, information on households' incomes can be easier to obtain from secondary surveys than in rural areas. National poverty surveys can provide important baseline references. Concern WW and Oxfam GB (2009) used secondary information to determine the change in income earning in the slum areas of Nairobi.

3.3 EXPENDITURES

The share of expenditure in households' surveys can be a strong indicator of food security in urban areas. When household own production is either absent or insignificant, the higher the share of total expenditure on food, the greater is the likelihood that a household has poor food access. For households that have low levels of income, ensuring that a minimum level of food is procured becomes the main priority. In urban areas, most of the household expenditures are made in cash or on credit, so there is less confusion between what has been produced and what has been purchased.

3.3.1 WHAT SPECIFIC CHALLENGES AND ISSUES DO EXPENDITURES RAISE IN URBAN CONTEXTS?

- Urban households purchase more and more diverse goods from markets than rural households. This makes the recollection of expenditures a difficult and lengthy process. Similarly to consumption, household members can find it difficult to recollect expenditure on street food.
- The type of expenditure is likely to be different from rural areas in particular non-food expenditure and this requires revising the list of items included in the questionnaire.
- In slums and poor urban neighbourhoods, the majority of households spend a pretty similar share of their expenditure on food and this can make this indicator less discriminatory.

3.3.2 HOW DO SOME OF THE EXISTING URBAN GUIDELINES DEAL WITH EXPENDITURES?

WFP urban guidance recommends revising the list of items for urban expenditure and to include information on households' debts, and to whom they owe money or food. TGS also recognises the difficulty of going through a complete assessment of households' expenditures. It recommends estimating the total share of food expenditure (without disaggregating by items). The use of participatory methods like proportional piling can facilitate the gathering of this information.

Household Economy Approach – household's expenditures are the key HEA indicators in urban contexts. HEA focuses on assessing the gap between a standard food basket and household expenditures / incomes expressed in terms of calories. In urban contexts measuring income can be difficult since sources of incomes are different and irregular. Therefore, urban HEA analysis focuses on questions of households' expenditures, as their patterns, within similar wealth groups, are more homogeneous¹⁸. The key step of the HEA is in establishing the minimum acceptable level of expenditure on food and non-food items (a threshold). This represents the level of expenditure below which some kind of intervention is necessary. This method faces the same challenges described above, with regard to the

¹⁸ HEA does not use food expenditure to classify food security groups – as wealth groups are characterised through key informants. Expenditure patterns are used to measure the food security gap that each wealth group is experiencing due to either shock or crisis.

complexity and lengthy process associated with collecting expenditure data. HEA enquiry is conducted through purposive focus group discussions rather than household surveys. This gives more room for a lengthier data collection process.

3.3.3 WHAT ARE THE GAPS AND THE SPECIFIC RECOMMENDATIONS FOR EXPENDITURES IN URBAN CONTEXTS?

- Gathering this information is very time consuming; also, it is difficult for people to have a clear perception of time (i.e. monthly expenditure).
- The urban TGS recommends the [use of proportional piling to capture this indicator](#). This is an interesting suggestion but it has not been followed up in any of the urban assessments reviewed. This suggests the need for practical guidelines on the use of participatory methods and their combination with quantitative surveys, as well as proper cross-referencing with the eventual technical guidance on urban assessments

3.4 ASSETS OWNERSHIP

Physical assets are also considered good proxy indicators for wealth in urban settings. Quantitative surveys usually list the different types of assets that households' own and then create categories.

3.4.1 WHAT SPECIFIC CHALLENGES AND ISSUES DOES IT RAISE IN URBAN CONTEXTS?

- The utilisation of assets as a proxy measure of socio-economic status / wealth is more complex in urban contexts due to different livelihood schemes which leads to blurring reference regarding assets ownership, even for poor households.
- *Non-productive* assets are the true wealth indicators while productive assets relate more to livelihood capacities (resilience), but some items may be seen as belonging to both categories, or change category compared to rural schemes. E.g. mobile phones – in some instances a non productive luxury items and in others a business networking tool, helping to maintain a livelihood.
- Some assets do not sufficiently differentiate poor households so items used should make sure they are discriminatory.
-

3.4.2 HOW DO SOME OF THE EXISTING GUIDELINES DEAL WITH THIS ASPECT?

WFP's urban guidelines (TGS) highlight that assets can be different in urban settings and the assessment needs to expand the list beyond the assets typically used in rural contexts.

The 'TANGO' report¹⁹ suggests that the list of assets needs to be context specific and obtained through discussions with respondents in the field. The report provides examples of the great variety of assets associated to households' socio-economic status in urban contexts.

3.4.3 WHAT ARE THE GAPS AND THE SPECIFIC RECOMMENDATIONS FOR URBAN CONTEXTS?

- [Productive assets are usually not recommended](#) for wealth asset indicators, as they will tell you about the type of livelihood activity but not about the wealth status of the household.
- In urban contexts the list of assets needs to be carefully devised. Assets such as mobile phones can be suitable to urban contexts. On the other hand, urban households would not necessarily own agriculture assets, for example.

¹⁹ Study of Urban Targeting Practices, Tango International, March 2010

- In urban contexts it is more difficult to know which assets people use, so it is possible to [have long lists and open choices and then to determine the appropriate assets](#).

3.5 URBAN AGRICULTURAL PRODUCTION

Farming may not be possible everywhere in urban areas. Limitations could be the availability of, and access to, land, especially in overcrowded environments, as well as the limited access to irrigation. However, sometimes an urban setting can have sufficient land available to produce a significant amount of fresh food. In these cases, urban agriculture can increase the availability of fresh, healthy and affordable food, mainly in the form of fresh fruits and vegetables, for a larger number of urban consumers.

3.5.1 WHAT SPECIFIC CHALLENGES AND ISSUES DOES AGRICULTURE RAISE IN URBAN CONTEXTS?

- Many urban poor can practice urban and peri-urban agriculture as a survival strategy. Urban households involved in urban agriculture can benefit from a better and more diverse diet and become more food secure. However, the contribution of urban produce to household food security is very difficult to gauge in urban contexts, as it can vary within areas and households and it does not follow livelihood patterns as in rural areas.
- Urban agriculture is in constant competition with growing urbanisation and it raises issues around land tenure. Institutions and other stakeholders can have interests and plans to use land for different purposes and they can have different perspectives on the usefulness and appropriateness of agriculture in urban contexts.

3.5.2 HOW DO SOME OF THE EXISTING GUIDELINES DEAL WITH URBAN AGRICULTURE?

The WFP urban TGS sheet recommends that urban food security surveys should not go into details about household agricultural production, as this would make interviews too long. It suggests measuring the contribution of agricultural activities through the investigation of food and [income sources and asset](#) holdings.

The review of urban food security assessments shows that home gardening and farming's contribution to households' food security varies between towns and within the same town. The recommendation of not going into complex quantitative analysis regarding agriculture production is reasonable, also because urban agriculture can have very different patterns / [systems that are difficult to capture through quantitative surveys](#). However, the practitioners would benefit from suggestions on how to [capture this information through qualitative methods](#). This would allow them to make more informed decisions and to avoid discarding the role of urban agriculture beforehand.

3.5.3 WHAT ARE THE GAPS AND THE SPECIFIC RECOMMENDATIONS FOR URBAN AGRICULTURE?

- General information on urban agriculture can be obtained from [secondary data and key informants](#) during the initial urban profiling process. Direct observation and discussions with local people can also help in understanding where agriculture is possible, as well as the geographical limitations and constraints to urban agriculture.
- [Qualitative methods are often the best suited](#) to determining the role that agriculture has on household food security. Poor households often attribute high importance to agriculture even if it does not represent one of the main sources of income. This is because urban households utilize agricultural produce mainly for self-consumption. Focus group discussions and key informants can shed light on the following context-specific questions:
 - Where is urban farming possible?
 - What are the main constraints towards its development?
 - Is urban farming a business for poor or better-off households?

- What share of food consumed comes from urban agricultural activities?
- What are the seasonal variations of urban food production?
- When focus group discussions highlight that urban agriculture plays an important role in poor households' food security, it is possible to use 'ad hoc' proxy indicators. In Madagascar (WFP 2008), the 'stocks of household own production' expressed in months was used as a proxy of food availability and combined with other food access and consumption indicators to classify food security groups. The box below summarises the process that brought out the choice of this indicator.

Box 4. The use of a proxy indicator of households' food availability in Madagascar (WFP 2008)

In Madagascar, qualitative methods were used to triangulate quantitative information. Focus group discussions highlighted that agriculture was one of the main household activities, while agriculture did not appear among the key sources of income in the household survey. The difference was due to the fact that agricultural production was mainly used for food consumption, while household questionnaires mainly stressed on the cash contribution towards household income. This observation allowed the surveyors to include the households' own production as one of the indicators in the classification of the food security groups. The assessment included the households' food stock (expressed in months) generated from agriculture, as a proxy of a household's food availability.

3.6 COPING STRATEGIES

In urban settings the levels and types of coping strategies can differ from rural contexts. This is related to factors like the diversity and complexity of livelihood sources, the different levels of social networking and access to informal safety nets.

3.6.1 WHAT SPECIFIC CHALLENGES AND ISSUES DO COPING STRATEGIES RAISE IN URBAN CONTEXTS?

- The urban diversity and complexity of livelihood sources make the distinction between consumption coping strategies and livelihood coping strategies necessary.
- In urban contexts, poor households tend to access credit through a variety of informal channels such as neighbours, shopkeepers, traders, and moneylenders. The borrowing strategies vary and need to be investigated more closely. They can also be difficult to interpret as they may either mean inability to meet needs or high levels of creditworthiness.
- In acute crisis contexts, urban poor households can adopt compromising strategies in order to maintain some level of food consumption. These may mask the severity of the crisis and drive poor households in critical situations.

3.6.2 HOW DO SOME OF THE EXISTING URBAN GUIDELINES DEAL WITH COPING STRATEGIES?

WFP urban TGS recommends:

- To develop context specific lists and to distinguish between consumption and livelihood coping strategies. In urban contexts, livelihood strategies tend to be different and need to be tailored accordingly.
- The use of coping strategy index (CSI) because the aggregated severity of its strategies is more uniformly perceived across different contexts. Thus, it allows for comparisons with thresholds and among different places.

The Integrated Phase Classification (IPC²⁰) classifies the households coping strategies according to three main categories: insurance, crisis and distress strategies. The use of

²⁰ The CSI refers to the three main levels of coping strategies (MSF Holland 2005) including: (1) insurance strategies (reversible coping, preserving productive assets, reduced food intake, etc.), (2) crisis strategies (irreversible coping, threatening future livelihood, sale of productive assets, etc.), and (3) distress strategies (no coping, starvation and death, and no more coping mechanisms) (IPC manual).

certain types of strategies will indicate that a household is falling into a specific food classification phase. This seems similar to what applied in Haiti (2010) and in the Philippines (2009).

3.6.3 WHAT ARE THE GAPS AND THE SPECIFIC RECOMMENDATIONS FOR URBAN CONTEXTS?

- Investigate the full range of coping strategies through qualitative methods in order to understand which are the most severe, irreversible and damaging.
- Develop urban specific typologies of coping strategies (insurance, crisis and distress), that need to be adjusted from one context to another in order to classify food insecure groups in sudden onset emergency contexts. This typology will complement data from the CSI and FCS in the definition of food insecure groups. Guidance on how to measure these coping strategies should be provided in urban guidance (including list of typical urban strategies for each category).
- In sudden-onset emergencies CSI is preferably combined with other indicators to capture the adoption of compromising coping strategies.

3.7 FORMAL AND INFORMAL SOCIAL NETWORKS

In urban areas, traditional support systems based on kinship and trust can be weaker, especially for newly arrived migrants. However, other types of social network can be available and these are not necessarily weaker than rural ones. In urban contexts formal and informal social support mechanisms can be more diverse and complex.

3.7.1 WHAT SPECIFIC CHALLENGES AND ISSUES DO SOCIAL NETWORKS RAISE IN URBAN CONTEXTS?

- Urban residents can access informal support based on ethnicity, place of origin, occupation, religion, neighbourhood or gender.
- They can rely on strong intra-city and urban-rural networks, which are used to transfer resources.
- Illegal networks, such as organised crime, can provide protection and assistance to new arrived households and illegal migrants.
- Many households may physically split between urban and rural areas as a risk reduction and income diversification strategy. This implies an effort to understand rural-urban linkages and also the support flow on both sides.
- Government social assistance and formal social safety nets are much more available in urban areas than in rural areas although their coverage can be limited.
- This may raise opportunity and challenges for international organizations. Failing to assess the complexity of social networks (formal and informal) may lead to activities that may undermine individual, household or community support mechanisms. On the other hand, supporting existing social protection mechanisms can contribute towards tackling structural problems more efficiently.

3.7.2 HOW DO THE EXISTING URBAN GUIDELINES DEAL WITH COPING STRATEGIES?

WFP TGS highlights the importance and differences between social networks in urban and rural contexts, but it does not provide recommendations on how to gather and analyse these aspects.

ACF guidelines suggest a set of questions in order to understand social capital in urban contexts (context analysis level). These include questions around the dynamism of civil society, coordination between local organizations as well as the role and influence of religious groups in the functioning and organization of the neighbourhoods. The level of

urban segregation and social cohesion within different urban neighbourhoods is looked at. This includes understanding the geographic divide among the minority groups (religious, ethnic, migrants, displaced, refugees), as well as the weight of illegal groups in the functioning of quarters.

3.7.3 WHAT ARE THE GAPS AND THE SPECIFIC RECOMMENDATIONS FOR URBAN CONTEXTS?

- Key informant interviews and focus group discussions can help in mapping support systems, networks and power dynamics. Urban guidelines need to make references to qualitative tools and to provide suitable examples for urban contexts. Then, quantitative surveys can determine households' access to these critical forms of support.
- This basic information becomes critical during the response analysis process in terms of selecting the appropriate responses and deciding on partnerships.

4. NUTRITION ANALYSIS

4.1 NUTRITION ANALYSIS IN URBAN FOOD SECURITY ASSESSMENTS.

- Literature studies show that urban children are better nourished than rural children, particularly with regard to stunting and underweight levels²¹. However, urban settings present higher malnutrition differentials between poor and better off parts of the city than in rural areas²².
- Street foods are a major feature of the urban diet and some food is specifically susceptible to microbial contamination, creating a risk of epidemics, serious illnesses and malnutrition.
- Women in urban settings are more likely to work outside the home in jobs or income generating activities and to have less time for child caring practices such as breastfeeding and disease management.
- Countries that have recently undergone rapid economic transition demonstrate an accelerated shift in adult BMI, with overweight replacing thinness. In urban contexts, overweight can be associated with access to very poor quality food, and changes in the habitual patterns of exercise.

4.1.1 WHAT SPECIFIC CHALLENGES AND ISSUES DOES NUTRITION RAISE IN URBAN CONTEXTS?

- There exists a considerable heterogeneity in poverty, morbidity, mortality and nutritional status in urban areas.
- Overcrowded slum areas can present poor hygiene conditions due to water contamination, lack of sewage and poor waste management accruing to the risk of epidemic diseases and malnutrition.
- Sampling is more difficult in urban areas due to the large size of samples, lack of information on the actual population and complex arrangements of households that differ from rural villages (based on a roughly circular group of dwelling)

²¹ Ruel and Garrett 2004

²² Ruel et al. 1998

4.1.2 HOW DO URBAN GUIDELINES AND FIELD PRACTICE DEAL WITH NUTRITION IN URBAN CONTEXTS?

- Specific guidance on urban sampling is available on the web²³; however this review does not enter into specific recommendations on how to sample nutritional surveys.
- Some of the urban assessments reviewed show that childcare practices are very poor. This seems to be related to lack of awareness, lack of free time as well as the cost to access services. In some urban context²⁴, pregnant and lactating women were already malnourished and this contributed to the high incidence of low birth weight.

4.1.3 WHAT ARE THE GAPS AND THE SPECIFIC RECOMMENDATIONS FOR URBAN CONTEXTS?

- It is recommended to focus nutrition analysis on the most vulnerable areas of the city in order to avoid average numbers masking specific nutritional problems amongst the poorest. The choice of the vulnerable areas can follow criteria and indicators as in the urban mapping.
- In food security assessments, secondary information from health clinics and local doctors can help to highlight specific nutritional problems.

5. RESPONSE ANALYSIS

5.1 WHY RESPONSE ANALYSIS IS IMPORTANT?

The urban context with the diversity and complexity of livelihood and vulnerabilities and the often greater role/importance of markets opens up a number of market related response options, with which agencies have much more limited experience, and the appropriateness of which needs to be analyzed.

In urban contexts, the response analysis process needs to give more attention to local government capacities and to integrate local authority's programmes and to promote their sustainability. Consultations with other international or national civil society organizations will also likely have to take place to analyze potential synergies and avoid duplications.

Urban contexts offer more opportunities to collaborate with the private sector (banks, financial institutions) through market interventions (e.g. cash, vouchers).

5.2 WHAT ARE THE CHALLENGES OF RESPONSE ANALYSIS IN URBAN CONTEXTS?

- The fluidity of population movements can present a challenge in defining appropriate responses.
- The choice of appropriate responses needs to take the difficulties related to targeting in urban contexts into account.
- Local political interests and priorities may not coincide with humanitarian priorities and needs.
- Responses can either cause or exacerbate conflicts and divisions within groups. Although this is not exclusive to urban contexts, it is important due to complex power dynamics and institutions, the potential for corruption etc.

²³ <http://www.brixtonhealth.com/urbanSampling.pdf>

²⁴ Monrovia – ACF 2007

5.3 WHAT DOES THE EXISTING GUIDANCE RECOMMEND?

WFP's EFSA²⁵ recommends undertaking a SWOT (strengths, weaknesses, opportunities and threats) analysis in order to narrow down on the different types of interventions identified as options for responding to the needs and filling the gaps. This includes choosing the most effective and appropriate intervention strategy. In addition, the Handbook stresses the need for a consultative process in order to identify response options with all key stakeholders.

Oxfam GB defines response analysis as the process by which the range of responses identified in the assessment is narrowed down and the ultimate responses are selected²⁶. The response options need to be appropriate to people's livelihoods and to the agency. The analysis revolves around a matrix that combines causal analysis with the core information concerning situation and response analysis. This approach incorporates many issues that are of particular concern in urban settings, such as assessing 'do no harm' effects, cost-effectiveness, risk analysis of the response options, and principles for working with partners. However, it has not been possible to verify how successfully these have been implemented in the field.

MIFIRA and EMMA response analysis frameworks take market functionality into account and markets' capacity to respond to increased demand and/or supply, thus they are particularly suited to decide on response in urban contexts.

MIFIRA response framework relies on a series of framing questions (annex 8) intended to guide decisions regarding the appropriate resource required to respond to a food crisis, and the appropriate source if the resource determined is food assistance.

EMMA response analysis first determines what responses are more appropriate in each critical market system and whether responses can or cannot rely on the market system performing well. The following step is to decide what type of direct assistance or other kinds of indirect actions, including further investigation, to recommend. This is based on their comparative advantages and disadvantages. A response-option framework summarizes the most plausible response-options and describes anticipated outcomes, feasibility, timing and indicators in order to provide decision makers with a quick overview of all reasonable options.

5.4 WHAT ARE THE GAPS AND WHAT IS RECOMMENDED?

The SWOT analysis is a very helpful tool that facilitates decisions about the different response options in urban contexts. The review of urban WFP food security assessments shows that SWOT analysis was rarely used. To promote / facilitate a more systematic use, it is possible to develop a set of SWOT 'cards' for each of the response options, which include specific issues to be taken into account in urban contexts (to be annexed to a urban guidance). This can facilitate the discussion on appropriate responses that, however, needs to remain anchored on the information provided in the situation analysis.

Consultation processes need to be highly encouraged in urban contexts, as they can help disentangle the complexities of urban livelihoods and encourage local stakeholders to engage in the process. A good initiative is the WFP Response Analysis Project (RAP) that brings assessment team, programming and other stakeholders together at the response option stage. This approach increases ownership of partners and stakeholders, transparency about decision and ensures that the assessment is informed by, and whenever is possible incorporate, additional information relevant for programme decisions.

'Do no harm' analysis – This analysis needs to take place at the level of SWOT analysis and, in general, will fall under the analysis of 'threats'. 'Do no harm analysis' can be adapted to

²⁵ WFP EFSA Handbook 2009

²⁶ Oxfam GB rough guides.

assess and reduce the range of problems that resource transfers can create or exacerbate in urban contexts. Some examples are provided below²⁷:

- Is the transfer option aid prone to be stolen? (I.e. Can it increase corruption, conflict (by funding purchase of arms), and power inequalities?)
- Does the distribution of resources create or exacerbate conflict? (In urban contexts targeting IDPs living mixed with host communities may increase tension and conflict. On the other hand, aid that is given across subgroups can serve to bridge the gaps between them).
- Can the intervention option reinforce socio-economic inequalities or promote equality and peaceful economic activities? (I.e. Can voucher assistance targeting shop-vendors put other small traders out of business?)
- Who gains and who loses (or who does not gain) from the intervention? (I.e. Does the response legitimise some actors and activities, while delegitimizing others?)

Cost/benefit analysis. Different response options are likely to be available and suitable to respond to the identified needs. The problem is how to allocate scarce resources towards those responses with the highest net benefit in relation to costs. A full economic cost/benefit analysis is typically not feasible in emergencies and would probably be too burdensome for the response analysis process. Oxfam GB's guide suggests thinking through some basic questions about the possible cost/benefit of the different options:

- What is the need – the gap to be filled – the group that needs help?
- What will happen if the project is undertaken? What if it is not?
- What are the logical sets of alternatives to achieve the same goal?
- Who benefits and who loses from each option?

Partnership with the private sector and other local constituencies. In urban contexts, many opportunities are offered by collaborating with the private sector. Oxfam GB and WFP have developed experiences in working with private actors. The private sector can play an important role in facilitating the process of implementation, such as by making it less expensive, more accountable and transparent, and secure. In the Nairobi urban programme²⁸ Oxfam GB used phone-cards transactions and distributed mobile phones to allow cash transfers to vulnerable groups. The programme was based on collaboration with the mobile phone private sector and Bank systems. Oxfam and WFP also distributed grants via financial institutions in Sri Lanka²⁹. Working through shops has been used by WFP to respond to urban high food price crises (Burkina Faso, Senegal)³⁰. However, collaboration with private sector actors could be enhanced through practical guidance on how to assess their capacities, accountability and adherence to humanitarian principles.

6. CONCLUSIONS & RECOMMENDATIONS

The objective of this review was to bring together the various methodologies, tools and indicators applied to urban contexts from various agencies and to propose recommendations to carry these findings forward into concrete assessment guidance. Each section has dealt with the successful practices and the challenges that these methods and

²⁷ Adapted from Oxfam GB – EFSL Basic training material

²⁸ Oxfam GB, Concern, Care 2009. Emergency nutritional and Food security interventions, in urban settlements in Nairobi. Concept Note

²⁹ Mohiddin L., Tchatchua L., Campbell J., Sharma M. (2006). "Cash Transfer Pilot Project Sri Lanka" – Joint Evaluation Report – WFP, Oxfam GB, IFPRI.

³⁰ WFP 2009 – Burkina Faso Evaluation à mi-parcours

tools generate specifically in urban contexts. This chapter briefly summarises the main conclusions and it recommends a step-by-step process to adapt the current tools.

6.1 AGENCIES METHODS AND APPROACHES

Few agencies (ACF, IFRC, HEA and WFP) have developed specific guidance for urban contexts. ACF is the only agency that has developed a comprehensive guideline for food security assessments, while the other agencies have added technical guidance to the existing guidelines. The level of additional information varies from brief introductions to urban context features (IFRC) to technical suggestions on how to adapt food security indicators and sampling methods to urban contexts (WFP). The following table provides a synthesis of the strengths and weakness/gaps of each approach.

Table 1: Strengths and weaknesses of food security assessment adaptations to urban contexts.

Approach	Strengths	Weakness and Gaps
<p>WFP - EFSA:</p> <p>Approach based on the adapted household food security conceptual framework³¹</p> <p>Urban TGS provides specific guidance relative to urban contexts.</p>	<ul style="list-style-type: none"> - Quantitative analysis: TGS addresses issues related to food security Indicators (FCS, income, expenditures, CSI etc.). - Sampling methodology: The TGS provides practical indications on how to deal with issues related to sampling - Traders' survey: assess market and traders' capacity to respond to increased demand of basic goods and relative constraints. Suitable for slow-onset emergencies. - SWOT analysis and participatory response analysis. Suitable for urban contexts as they allow taking a wide range of response options into account and involve stakeholders. 	<ul style="list-style-type: none"> • Qualitative analysis: TGS lacks practical indications on how to systematically integrate and conduct qualitative analysis in urban contexts. • Context analysis: Lack of methodological tools and practical indications to assess urban contexts in specific typologies. • Selection of vulnerable areas: Lack of indication (process / criteria /indicators) to identify vulnerable areas in a city. • Market. Lack of appropriate guidance to integrate market analysis, particularly in sudden-onset emergencies. No guidance on how to assess non-food markets • Response analysis framework – need further guidance on the selection of appropriate responses including aspects of no-harm, reduction of risks, cost-effectiveness.
<p>OXFAM GB</p> <p>HEA approach: food security baselines and monitoring.</p> <p>FAST tool provides a basic methodological framework to assess food security in different emergency-typologies.</p> <p>Response Analysis framework</p> <p>EMMA tool</p>	<ul style="list-style-type: none"> - FAST approach based on food security typologies. Urban typology could be added to the framework. - Political economy approach – suitable to assess the complex political environment in urban contexts. - Response analysis framework – comprehensive tool that can be adapted to urban contexts. It includes components of risk analysis, do not harm, cost/benefits analysis, institutional analysis in the 	<ul style="list-style-type: none"> - No guidance on how to conduct EFSL assessments in urban contexts, when HEA is not feasible. - FAST does not include urban typology. - Lack of field practice. Political economy approach and response analysis framework have not been piloted in urban contexts. - Quantitative analysis. No guidance /methods on how to conduct quantitative analysis in urban contexts (both food security and markets).

³¹ Food availability, food access and utilisation are core determinants of food security. The framework links these to households' assets endowments, livelihood strategies as well as the political, social, institutional and economic environment.

	decision of appropriate response options.	
<p>Household Economy Approach</p> <p>The HEA guide for practitioners dedicates a chapter for adaptation to urban contexts</p>	<ul style="list-style-type: none"> - Provides examples of criteria used in previous urban assessments to monitor food security - It gives a broad introduction to the issues and challenges in urban contexts. - Clear indication to shift the enquiry from sources of food and income (rural) to expenditure and income patterns. 	<ul style="list-style-type: none"> - Not easy to apply in emergency contexts (more baselines and monitoring tool); it cannot completely replace existing tools. - Urban adaptation leaves practitioners to make adjustments to context. - It requires specific training and expertise – difficult to be widely applied by agencies - HEA analysis is based on tracking income and expenditure changes – this can be more difficult in urban contexts.
<p>ACF Urban Guidelines</p> <p>These guidelines are specific to urban contexts.</p> <p>The analytical approach is based upon the sustainable livelihoods framework.</p>	<ul style="list-style-type: none"> - Urban mapping: the approach is well developed with clear criteria and indicators and a process to map vulnerability areas. - Analysis of urban institutions and services: the guide presents qualitative tools to assess formal and informal actors, services, institutional structures and power relations. - Context analysis checklist – the guidelines provide checklists and sources to assess the macro-economic factors, and the role of public policies, governance, health services and social capital. 	<ul style="list-style-type: none"> - Food Security Indicators and analysis – it does not provide any guidance on how to adapt/use quantitative indicators and how to analyse findings - Market analysis is limited to a few questions to traders on the impact of high food prices. (The guidelines seem developed for the food crisis context – slow onset crises) - Response analysis. There is no guidance on how to conduct response analysis
<p>IFRC Food Security Guidelines</p> <p>Global Food Security Guidelines (GFSG) – include 2-pages on urban food security assessments.</p>	<ul style="list-style-type: none"> - Participatory tools. IFRC guidelines give good examples about how / when to use participatory tools (even if they are not specific to urban contexts) - List of responses. GFSG provide a list of possible food security responses to urban households. 	<ul style="list-style-type: none"> - IFRC has not developed technical guidance on urban food security assessments.
<p>EMMA</p> <p>Emergency market analysis tool to assess critical market systems and analyses response options</p>	<ul style="list-style-type: none"> - Approach suitable to urban contexts and sudden onset emergencies. - Tools – can be used individually and are: qualitative, simple, easy to interpret - It guides the analysis of non-food markets – i.e. labour markets - It provides criteria and methods to select critical markets - Response analysis options – taking into account appropriate responses based on market systems functionalities. 	<ul style="list-style-type: none"> - Gap analysis - Suitable for sudden onset emergency – other market tools (MIFIRA, Traders' Surveys) are more suitable for in depth assessments.
<p>MIFIRA - CARE</p>	<ul style="list-style-type: none"> - It links macro, meso and micro 	<ul style="list-style-type: none"> - Not suitable for sudden onset emergency.

Market analysis tools – analyses food markets and provides information on appropriate responses and local food sources.	level analysis. - Response analysis framework – includes appropriateness of responses but also source of food.	- Requires high technical expertise – therefore less suitable to be integrated in urban food security assessments. - It focuses only on food markets – does not respond to the need to assess other critical market systems in urban contexts.
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6.2 RECOMMENDATIONS

6.2.1 MACRO-LEVEL ANALYSIS RECOMMENDATIONS

Context Analysis: This review recommends exploring suitable qualitative methodologies and participatory tools, (i.e. participatory mapping) to conduct context analysis in urban settings. There is a need to map policies, institutions, service providers, their roles and interests and how these actors are perceived within communities. It is also recommended to develop a set of specific checklists on macro-economic policies, tools to map institutions and cause/effect diagrams to link macro-level analysis and national policies to micro level food security outcomes.

- **WFP** should integrate practical guidance regarding qualitative analysis and the use of participatory tools in urban TGS. Guidelines on participatory tools have been produced by WFP and several other agencies. It would be worthwhile to develop practical examples that apply and are specific to urban contexts (mapping institutions, power analysis, Venn diagrams etc.). The use of qualitative analysis should be systematically recommended and appropriate tools suggested for each component of the assessment.
- **Oxfam GB** pilots the political economy approach in urban contexts in the future in order to learn about how feasible and effective it is and what the inborn risks are, before widely recommending its use.

Urban Mapping. It is recommended to develop a [systematic approach to support the geographical selection of the vulnerable areas to be assessed in urban contexts](#).

- **Oxfam GB and WFP** should consider field-testing the ACF urban mapping to establish whether this approach could be adapted to their specific requirements of urban assessments. In particular, the feasibility of urban zoning in sudden-onset emergencies needs to be tested in a few emergencies

Market integration: It is recommended to integrate and strengthen market analysis within urban food security assessments. Urban technical guidance should include tools that are simple, descriptive and easy to interpret. They need to give a visual picture of the market-system to non-experts for quick decisions (essential in urban contexts where there is more need to explain the complexity of markets). It is also recommended that urban guidance provide [a set of key practical questions and frameworks](#) to select critical markets and recommend methods to assess non-food markets (i.e. labour).

- **Oxfam GB** - It is suggested that Oxfam attempts to integrate EMMA tools³² into urban food security assessments, when a complete EMMA analysis is not feasible. Oxfam GB could adopt the WFP traders' survey approach when conducting quantitative analysis to assess / monitor the impact of slow-onset crises to urban food security.
- **WFP** – to consider the appropriateness and suitability of including part of EMMA tools in the urban technical guidance. It is suggested that WFP food security experts, in particular those that will be engaged in the subsequent steps of developing the urban guidelines, attend an EMMA training. This will permit them to become familiar with the tool and to judge its adaptability to WFP needs.

³² Oxfam GB has been among the agencies contributing towards the development of the tool.

6.2.2 RECOMMENDATIONS ON HOUSEHOLD FOOD SECURITY COMPONENTS.

- **WFP** - It is recommended to reinforce the qualitative side of the households' food security analysis. The WFP TGS deals in depth with quantitative indicators but does not provide enough indication on how qualitative analysis and participatory tools could help in overcoming some of the urban complexities and challenges.
- In urban contexts, it is also recommended to use a combination of food consumption and food access indicators in order to take into account the diversity among socio-economic groups. This is mainly because urban households have more strategies available to maintain the level and diversity of food consumption, beside the difficulties to measure foods outside consumed the house.
- In urban contexts, agriculture production is mainly used for households' own consumption. Its contribution is difficult to measure and it often overlooked within guidance and households' surveys. Focus group discussions and key informant interviews can help to evaluate the role of urban agriculture. Should it be relevant, there are field experiences that used indicators like the 'months of food stock obtained through own production as proxy indicators of agriculture contribution towards food security.
- **WFP** urban guidance should provide an approach to facilitate the estimation of expenditures and incomes. Technical guidance on the use of participatory tools (like proportional piling) would help in overcoming such difficulties. Technical guidance should also stress the importance of secondary information (poverty surveys, national census etc.) in understanding incomes and expenditure patterns and in setting baselines for these indicators.
- Indications on how to identify the diverse coping strategies utilized in urban contexts and evaluate their severity: Urban coping strategies are different from rural ones; i.e. urban households can have dozens of options to get credit to access food and non-food needs, the different types of credit can be associated with different level of vulnerabilities. The CSI indicator needs to be complemented with the analysis of other compromising coping strategies. The classification of coping strategies (insurance, crisis and distress) referred in the Integrate Phase Classifications could be also utilised in urban contexts.

6.2.3 RECOMMENDATIONS FOR RESPONSE ANALYSIS

In urban contexts, response analysis needs to take into account a wide range of possible response options. This can be facilitated by analysis of the potential advantages and disadvantages of each response option and analytical frameworks that link situation analysis to response analysis. Consultation with local stakeholders can help to clarify issues and make the process participative. Market analysis tools provide response frameworks that can be suitable for urban contexts as they associate the appropriateness of response options to the functionality of market systems and can identify local sources of supplies.

- **WFP**: to promote a more systematic use of SWOT analysis by developing a set of SWOT 'cards' for each of the response options, which include specific issues to be taken into account in urban contexts. This can facilitate the discussion on appropriate responses that, however, needs to remain anchored on the information provided in the situation analysis.
- **Oxfam GB**: to pilot the use of the response analysis matrix in urban contexts. To consider the organisation of consultative workshops during the response analysis process to increase ownership of partners and stakeholders and transparency about decisions.
- **WFP and Oxfam**: to implement 'do no harm', cost/benefit and partner's analysis during the decision-making process. This analysis needs to take place at the level of SWOT analysis and, in general, will fall under the analysis of 'threats' and 'opportunities'. Oxfam GB includes this type of analysis in the response analysis matrix. Both agencies

would benefit from including some standard “do no harm” and cost benefit questions tailored to urban situations, in their urban technical guidance.

6.3 THE PROCESS TOWARDS URBAN FOOD SECURITY ASSESSMENT GUIDELINES

In light of the many gaps and challenges that urban contexts raise, it is recommended to launch a process to develop a comprehensive urban food security assessment manual. The existing urban technical guidance by dealing only with challenges specific to urban contexts, neglects many other issues that, although they also arise in rural contexts, need specific attention and different approaches.

At this stage, it is not recommended to follow a typology structure because of the limited available documented experience on urban assessments. The Oxfam (FAST) approach provides an example of the typologies interactive guide that could be taken as an example in the future. It has to be noted, however, that typology guidelines would risk diverting the assessment focus from the complex and multi-faceted causes of food insecurity in urban contexts.

The lack of existing guidance and practical experience make it necessary to use a multi-staged, gradual process for developing these comprehensive urban guidelines. This process will allow time for the adaptation and testing of appropriate methods and tools suitable to urban contexts. Much of this work could be done as an inter-agency effort to develop common tools and approaches, when possible. Some basic steps of the process could be the following:

Phase 1: Identify the specific areas that need further development; gaps and methods that can fill the gaps. An interagency consultation workshop that will include the main agencies consulted in this process would allow for sharing of these initial findings, consolidate and reinforce the main recommendations and evaluate possible interagency collaboration for the subsequent steps. (Internal consultations in WFP and Oxfam GB are also recommended)

Phase 2. According to the indications from the review/workshop, develop new practical tools and/or adapt existing ones to internal needs.

Phase 3. Pilot tools and approaches in urban contexts – (Oxfam and WFP conducting pilots on specific issues. It is recommended to promote interagency efforts, with agencies testing different methods and/or working together.)

Phase 4. Produce learning and refine tested tools and methods.

Phase 5. Bring the different experiences together in a practical urban food security manual.

7. ANNEXES

7.1 ANNEX 1 - BIBLIOGRAPHY

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7.3 ANNEX 3 - LIST OF ASSESSMENTS

Organisation	Location	Year	Typology	Title
ACF	Afghanistan	2004	Baseline	Kabul Vulnerability Mapping
ACF	Kenya	2007	Post-conflict - IDPs	Rapid Assessment: Following Kenyan Post Election Violence Nakuru, Rift Valley, Kenya
ACF	Indonesia	2007	Food Prices	Food Security Assessment in 4 Slum Areas of Northern Jakarta
ACF	Ivory Coast	2007	Food Prices	Mission Exploratoire dans les quartiers precaires d'Abidjan et de San Pedro – Cote d'Ivoire
ACF	Liberia	2007		Under five malnutrition in Monrovia – Some keys for comprehension
ACF	Mongolia	2005		Food Security Assessment in three Districts of Ulaanbaatar
ACF	Pakistan	2007	Food Prices	Urban Assessment on Food Security, Rawalpindi City District
Concern, Oxfam GB, Care	Kenya	2009	Informal settlements - chronic	The Nairobi Informal Settlements: An emerging food security emergency within extreme chronic poverty
EMMA	Haiti	2010	Sudden onset	The Market System for Construction Labor in Port au Prince, Haiti
FEG – HEA	Zimbabwe	2009	Baselines	Zimbabwe Urban Livelihoods Profiles of the Urban Poor
FEWSNET – HEA	Zimbabwe	2001	Baselines	Harare Urban Vulnerability Assessment
FEWSNET – HEA	Somalia	2003	Baselines	Hargeisa Urban Household Economy Assessment
FSNAU – HEA	Somalia	2009	Baselines	Livelihood Baseline Analysis Baidoa-Urban
Oxfam GB	Iraq	2003	Post-conflict	Emergency Food Security & Livelihood Assessment. Missan Governorate Southern region, Iraq
Oxfam GB	Haiti	2003	Sudden-onset natural disaster	Public Health Assessment Report from Haiti, Cape Haitian and Jacmel.
Oxfam GB	Haiti	2004	Conflict + sudden-onset disaster	Food Security and Livelihood Assessment, Cape Haitian
Oxfam GB	Indonesia	2007	Sudden onset - earthquake	Emergency response to Jogjakarta floods
SNU Agencies + Save the Children	Burkina Faso	2008	Food Prices	Impact de la Hausse des Prix sur les Conitions de Vie des Menages et les Marches de Ouagadougou et de Dobo-Dioulasso
USAID - HEA	Haiti	2009	Baselines	PORT-AU-PRINCE URBAN BASELINE An Assessment of Food and Livelihood Security in Port-au-Prince
WFP	Burundi	2008	Food prices	Vulnerability and Food Insecurity in Three Urban Areas of Burundi <i>An Assessment of the Impact of High Prices on Households in Bujumbura Mairie, Ngozi and Gitega Cities</i>
WFP	DRC	2008	Food Prices	Impact of High Prices in 8 Urban areas of the DRC

WFP / Unicef	Indonesia	2008	Food prices	Pilot Monitoring of High Food Price Impact at Household Level in Selected Vulnerable Areas
WFP	Madagascar	2008	Food Prices	Situation de la sécurité alimentaire en milieu urbain: analyse des besoins
WFP	Sierra Leone	2008		Rapid Food Security Assessment in Western Area
WFP	Swaziland	2008	Food Prices	Vulnerability and Food Insecurity in Urban Areas of Swaziland <i>An assessment of the impact of high prices on households in four regions</i>
WFP	Tajikistan	2008	Food Prices	Emergency Food Security Assessment in Urban Areas of Tajikistan
WFP - EFSA	East Timor	2007		Dili Emergency Food Security Assessment Timor Leste
WFP EFSA	Gaza Strip	2009		Report of the Rapid Qualitative Emergency Food Security Assessment
WFP – Oxfam – ACF - FAO - FEWSNET	Haiti	2010	Sudden onset emergency	Evaluation rapide d'urgence de la sécurité alimentaire
WFP VAM	Iraq	2008		Comprehensive Food Security and Vulnerability Analysis in Iraq
WFP VAM	Kyrgyzstan	2008	Food Prices	Emergency Food Security Assessment in the Periphery of Bishkek
ZIMVAC	Zimbabwe	2009	Economic crisis	Urban Food Security Assessment

7.4 ANNEX 4. POLITICAL ECONOMY ANALYSIS

Oxfam GB FAST and the HEA suggest using a 'political economy' approach to assess food security in contexts characterised by governance failure, complex political situations and conflict. Integrating some level of political economy analysis in urban assessments seems to be particularly relevant as politics, processes and institutions play a key role in determining food security outcomes in urban contexts.

The proponents of a political economy approach argue that food security assessments base their enquiries on static questions, which are neither historical nor forward-looking. The focus is on the 'what' rather than the 'why' questions, like: what are the criteria that differentiate food insecure and food secure households? What proportion of the population fall into each group? What are the sources of food and non-food income? Answering these questions tell little about the process and the dynamic behind certain vulnerability conditions. A political economy approach adds questions like why certain groups have either more or less access than others to assets, services and economic opportunities.

An analysis with a 'political economy' angle would look at why different urban zones and groups have more or less food and livelihood security than others. It would look at questions like:

- What kind of non-economic barriers are there to people improving their access to resources? (marginalisation due to ethnicity, religion, gender, HIV/AIDS etc..)
- Are the dynamics of differential access to resources likely to generate tensions that could ultimately result in conflict of some kind?
- Whose interests are served by tensions created or by continued disparity in levels in food and livelihood security?
- Does everyone within a wealthy group face the same risks to shock?
- Do people having more access to resources than others face more risk of losing their access?

How to integrate a 'political economy' angle to urban assessment? There is not much experience in integrating political economy analysis to urban food security assessments. The existing literature does not recommend creating 'ad hoc' assessment's lists as contexts can be very different, situation change time to time and the objectives of the assessments can vary. This type of analysis should be integrated within the existing approaches and the analysis drawn from different sources of information.

In particular secondary data and participatory rapid appraisal methods are suitable to gather this type of information. Methods like key informant interviews, direct observations, resources flows and institutions mapping, historical timelines and FGD are used for this purpose as they involve communities' members in the identification of the main issues. Information is obtained from qualitative interviews with key informants including aid agency staff, academics and researchers, human rights workers, review of secondary literature.

A political angle to urban assessments raises also issues. Inquiring into political and socio-economic issues is not only difficult but it can be sensitive and potentially dangerous. It needs to be undertaken extremely carefully and it needs for reliable local advice about the safety and advisability of certain lines of enquiry. It also needs to take into account ethical concerns and 'no-harm' issues. As interviews and assessment findings can exacerbate tensions in societies that are polarised or traumatised, for example selecting a certain group , can legitimise certain actors or reinforcing particular views of the situation.

7.5 ANNEX 5. CRITERIA FOR THE SELECTION OF VULNERABLE URBAN AREAS.

Country	Type of assessment	Type of sampling	Reason for using purposive sampling	Criteria for selection of the assessment areas
Burkina Faso 2008	Food Crisis 2 cities	Purposive sampling	Selection of cities Selection of most vulnerable sectors and sub-sector	<ul style="list-style-type: none"> - severity of protests and riots - rate of connection to water and sanitation - information from key informants
Burundi 2008	Food Crisis 3 urban centres	Purposive sampling	Selection of the poorest areas identifies by the Institute of Statistic Studies of Burundi (ISTEEBU)	<ul style="list-style-type: none"> • level of housing, • property and land rates, • access to water (inside the house), • electricity and level of income • poor sanitation facilities
DRC 2008	Food Crisis	Purposive / Qualitative	2-3 neighbourhoods of each assessed city	Areas where the poorest live.
Gaza 2008	REFSA	Purposive / Qualitative	Few FGD in different geographical areas	Affected by military operations
Haiti 2010	EFSA	Random Sampling		
Kyrgyz Republic 2008	RFSA – VAM	Purposive sampling		Deprived neighbourhoods selected according to: <ul style="list-style-type: none"> • poor infrastructure • vulnerability/poverty • high population density
Indonesia 2008	WFP /Unicef	Purposive sampling	Considered more practical and suitable	Vulnerability to food and nutrition according to the Nutrition Map of Indonesia
Iraq 2008	CFSVA	Random Sampling		
Madagascar 2008	WFP Food Crisis (6 urban centres)	Mix of random (capital city) and purposive sampling	<ul style="list-style-type: none"> - Random selection in the capital city - Purposive selection of municipalities in other towns. 	<ul style="list-style-type: none"> - Heterogeneity of municipalities - Municipalities classified as 'poor' and 'medium' through key informants
Swaziland 2008	WFP Food Crisis	Purposive sampling	Main municipalities and one enumeration site purposively selected for each municipality	- Size of the urban centres
Sierra Leone 2008	RFSA - Food Crisis Dec 2008	Qualitative through FGD	1 urban slum and 1 peri-urban	No criteria for selection given.
Tajikistan 2008	WFP – Food Crisis National	Mix of random and purposive	Only the main towns were selected due to time and resources limitations	Size (both large and small town included to reflect diversity) Geographic location (one town for each region)
Timor Leste 2007	WFP – EFSA	Stratified and Random		
Zimbabwe 2009	Food crisis	Purposive sampling	Financial constraints	High-density residential areas and peri-urban settlements

7.6 ANNEX 6 - MAPPING STRUCTURAL VULNERABILITY IN URBAN AREAS

Mapping structural vulnerability in urban areas

The **'living environment'**, in its broad meaning, includes exploring issues around:

- land tenure,
- quality of building materials,
- population density,
- the level of geographic inclusion (urban slums, distances from employment sources).

Access to services refers to basic services like water and sanitation, transport, health and education. Examples of questions to be asked are:

- Are basic services physically and economically accessible?
- Do they represent an important share of the total household budgets? (i.e. do the expenses in water and sanitation represent more than 10% of the households' budget?)
- Does the service supply sufficient quantity (i.e. 20l of water per person/day?) and quality?
- What is the quality of the service? (public policies in terms of health, education, water infrastructure maintenance,, etc.)

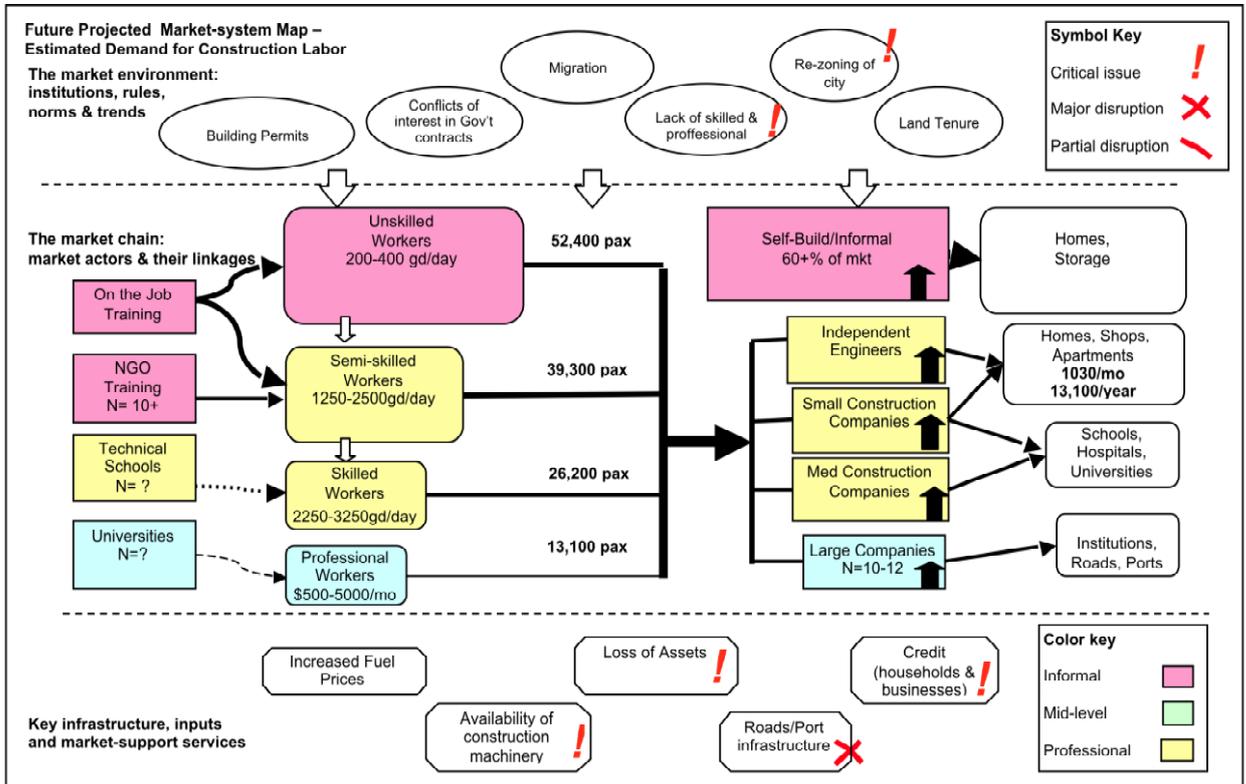
Social capital – Beyond the formal safety nets and the mechanisms of solidarities provided by the institutions, the household social capital represents a fundamental safety net to cope with shocks. This involves receiving help from and giving help to relatives, neighbours, participating in local solidarity groups etc.

Environmental risks. An understanding of the urban environmental risks partly relies on the analysis of the services available and urban management.

- The lack of basic services like draining systems can increase the damage caused by heavy rains and floods.
- On the other hand good urban planning that limits construction in high risk areas (on hillsides, flooding areas etc.) favours the support of household and community initiatives to develop preventive policies.
- Waste management and sanitation can create problems with pollution of water sources and high health / environmental risks).

Adapted from ACF urban guidelines

7.7 ANNEX 7 - POST-EARTHQUAKE MARKET-SYSTEM MAP – CONSTRUCTION LABOUR (EMMA HAITI 2010)



7.8 ANNEX 8 - MIFIRA AND EMMA RESPONSE FRAMEWORK QUESTIONS

MIFIRA – response framework:

- 1 Are local markets functioning well?
 - 1a. Are food insecure households well connected to markets?
 - 1b. How much additional food can traders supply at or nearer current costs?
 - 1c. How will local demand respond to transfers?
 - 1d. Do local food traders behave competitively?
 - 1.e Do food insecure households have a preference over the form/mix of aid they receive?
2. Is there sufficient food available nearby to fill the gap?
 - 2a. Where are viable prospective source markets?
 - 2b. Will agency purchase drive up food prices excessively in source markets?
 - 2c. Will local or regional purchases affect producer prices differently than transoceanic shipments?

EMMA response-logic questions:

EMMA decision-process is based on the following questions:

- Did-market-system work well before emergency (baseline situation)
- Would market-system respond well to necessary demand (increased supply of products or labour), if created now? (emergency-affected situation).
- Could market-system constraints be resolved or overcome in good time'