



Targeting in urban displacement contexts

Guidance Note for Humanitarian Practitioners

Stronger Cities Consortium

Preface

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

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

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This guidance note has benefited from contributions on technical content and structure from a number of peer reviewers: David Sanderson (professor, UNSW Sydney); Andrew Meaux (urban projects coordinator, IRC); and Marc Petzoldt (UNHCR). Assanake Koedam and Melissa Weilmayer at JIPS provided guidance on the use of the Dynamic Analysis and Reporting Tool (DART) for analysis of data to inform targeting.

The targeting guidance is part of a suite of complementary urban tools to enable appropriate urban responses for displaced and host populations. This includes the urban multi sector assessment tool (UMVAT) and the urban response analysis framework (URAF) which follow steps leading to the targeting guidance outlined here. More information is available at www.iied.org/stronger-cities-initiative



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Targeting is the process by which individuals or groups are identified and selected for humanitarian assistance programmes, based on their needs and vulnerability. It is a way to focus scarce resources on those within the population that would most benefit from support.

This document aims to provide guidance to ensure a coherent, consistent, practical and flexible approach to targeting in urban displacement contexts. It has been developed for humanitarian practitioners on programmes designed to address needs arising from displacement in urban contexts. The guidance assumes an existing level of technical knowledge and experience in targeting humanitarian assistance. It is comprised of guiding principles; theoretical and practical guidance for selecting targeting criteria and mechanisms in urban displacement contexts, along with tools for decision making; more detailed practical guidance on the methodological processes to implement two targeting mechanisms (community-based targeting and use of scorecards); and case studies highlighting lessons learned.

The guidance note is part of a suite of complementary urban tools to enable appropriate urban responses for displaced and host populations. More information is available at www.iied.org/stronger-cities-initiative.

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Abbreviations and acronyms

ABA	Area-based approach
ACAPS	Assessment Capacities Project
ALNAP	Active Learning Network for Accountability and Performance in Humanitarian Action
APP	An application, typically a small, specialised programme downloaded onto mobile devices
CBO	Community-based organisation
CBT	Community-based targeting
CHW	Community Health Worker
CSI	Coping Strategies Index
DART	Dynamic Analysis Reporting Tool
DFID	Department for International Development
DRC	Democratic Republic of Congo
ECHO	Directorate-General for European Civil Protection and Humanitarian Aid Operations
EFSL	Emergency Food Security and Livelihoods
ERC	Enhanced Response Capacity
ESSN	Emergency Social Safety Net
FCS	Food Consumption Score
FGD	Focus group discussion
FHH	Female-headed household
GBV	Gender-based violence
GIS	Geographic Information System
GPS	Global Positioning System
HH	Household
HHS	Household Hunger Score
ICLA	Information, Counselling and Legal Assistance
IDP	Internally Displaced Person
IIED	International Institute for Environment and Development
ILO	International Labour Office
INGO	International non-governmental organisation
IOM	International Organisation for Migration
IRC	International Rescue Committee
JIPS	Joint IDP Profiling Service
KII	Key informant interview
M&E	Monitoring and evaluation
MEB	Minimum expenditure basket
MENA	Middle East and North Africa
MPG	Multi-purpose cash grant
NGO	Non-governmental organisation
NRC	Norwegian Refugee Council
OCHA	Office for the Coordination of Humanitarian Affairs
PMT	Proxy means test
SMS	Short messaging service
UMVAT	Urban multi-sector vulnerability assessment tool for displacement contexts
UN	United Nations
UNHABITAT	United Nations Human Settlements Programme
UNHCR	UN High Commissioner for Refugees
UNICEF	United Nations Children's Fund
VASyR	Vulnerability Assessment of Syrian Refugees
WaSH	Water, Sanitation and Hygiene
WFP	World Food Programme
WVI	World Vision International

1. Introduction: rationale for the guidance

The nature and scale of humanitarian crises are changing. The world is becoming increasingly urbanised – currently, 54 per cent of the world's population lives in urban environments, which will rise to 66 per cent by 2050 due to continued trends of migration and displacement and high rates of population growth (UN DESA, 2014).

Urban environments open up opportunities, but also present specific challenges and risks for inhabitants. Whilst urban areas tend to have better provision of services and livelihood opportunities, the cost of living is higher and inhabitants depend on income for almost all their basic needs. Furthermore, the rapid growth of informal residential settlements in urban areas, in outlying and often hazardous areas and without commensurate growth in services, contributes to overcrowding, health risks, disaster risk, crime and insecurity. There is often a high cost of transport due to the need to travel to other areas of the city for work. These factors contribute to the vulnerability of populations in urban areas – particularly the displaced and the poor (Sanderson and Knox Clarke, 2012; Dodman *et al.*, 2013; Smith and Mohiddin, 2015).

As a consequence, there has been a rise in the frequency of humanitarian crises in urban environments (Dickson *et al.*, 2012; McCallin and Scherer, 2015). Urban displacement settings differ from the 'traditional' humanitarian contexts of rural communities and camp-based settings. They occur in a dense and highly complex (physical and non-physical) environment that has adapted, formally and informally, to absorb large populations and a range of economic activities, leading to distinctive features of: scale; density; economic systems and livelihood strategies; resource availability; governance and public expectations; large informal settlements; increased likelihood for compound and complex disasters; and the potential for secondary impacts on rural or regional producers (O'Donnell *et al.*, 2009: 4). Furthermore, the magnitude of urban disasters, high population densities, mobile populations and the complex social, political and institutional environment challenge the ways in which humanitarian agencies are used to working. There has been a focused humanitarian effort to understand and address the particularities of urban environments – nevertheless, many of the tools and systems currently used by policy makers and practitioners have not been conceived in these environments (Smith and Mohiddin, 2015). It has become increasingly recognised that existing tools and guidance are not sufficient for programming in urban contexts.¹

Targeting is crucial to the efficient use of the finite resources in humanitarian programmes. A recent desk review of tools and guidance for practitioners highlighted gaps in relation to targeting in urban contexts (Mohiddin and Smith, 2016). Furthermore, a systematic review of the evidence on targeting practices in urban emergencies highlights the difficulties of targeting in urban contexts (Patel *et al.*, 2016).

“In urban emergencies identifying target beneficiaries is not simply a single step process of dividing the population into two groups of ‘vulnerable in need of aid’ and ‘not vulnerable without need’ [...] the vulnerability and needs among urban populations are both complex and multi-sectoral”.

Source: Patel et al. (2016)

¹ The Inter-Agency Standing Committee's report on meeting humanitarian challenges in urban areas explains the need for targeting vulnerable individuals and communities to better direct services (IASC, 2010). The Active Learning Network for Accountability and Performance in Humanitarian Action (ALNAP) highlights the need for specific efforts to identify those groups who have particular needs (Sanderson and Knox-Clarke, 2012). Research shows that targeting in urban contexts is an area of particular concern for practitioners (Cross and Johnston, 2011). See also MacAuslan and Farhat, 2013; Grünwald *et al.*, 2011; O'Donnell, Smart and Ramalingam, 2008; Creti, 2010; MacAuslan and Phelps, 2012; and Smith and Mohiddin, 2015.

BOX 1. THE CHALLENGES OF TARGETING VULNERABLE POPULATIONS IN URBAN CRISES

- The multidimensional and dynamic nature of urban vulnerability – there is no easy distinction between the ‘vulnerable’ and those who are ‘not vulnerable’, rather most households may be considered vulnerable by varying degrees.
- Extensive chronic poverty – meaning many people live below the Sphere minimum standards even in normal times and making it difficult to ascertain when a situation transitions from chronic into acute and life threatening.
- Lack of up-to-date data on the urban poor and/or vulnerable populations, such as IDPs & refugees, especially in informal settlements.
- Difficulties locating the vulnerable, given that there are large, dense and fluid populations that can be geographically fragmented and widely dispersed across a city, and refugees and IDPs, and others living in informal settlements, are often unregistered or lacking formal ID (and can wish to remain so).
- Potential for increased risk of political manipulation in targeting. Tendency of urban communities to be less cohesive.

Source: Mohiddin and Smith (2016)

Humanitarian agencies are increasingly responding to displacement emergencies in urban contexts. This guidance is applicable to the realities and constraints of programming in urban displacement contexts. It builds upon the emerging acknowledged good practices for urban programming, including the importance of area-based approaches (ABAs); assessing and analysing needs and vulnerabilities multi-sectorally; multi-sectoral responses; working with local authorities; and promoting longer-term self-reliance through cash and other support (Patel *et al.*, 2016; Phelps, 2017). The methodology for developing the guidance is summarised in Annex A.

Targeting in urban displacement contexts is an evolving area of practice and evidence on definitive ‘best practices’ is still emerging.² Furthermore, decisions will always need to be tailored to the context. This means it is not possible (or advisable) to identify definitive universal guidance. This guidance seeks to provide practical advice, enabling practitioners to think through and adopt an accountable, coherent and ‘good enough’ approach to targeting. It balances the need for rapid response with the desire to minimise errors in a dynamic and fast changing environment, taking into account the realities of programming constraints. **This guidance should be taken as a starting point and be built upon and/or revised as further evidence emerges.**

²Indeed Patel *et al.* (2016) highlight the poor quality of evidence – both positive and negative – on targeting in urban contexts.

2. How to use this document

2.1 Guiding principles

It is important that this guidance is not too prescriptive, but remains flexible:

1. The guidance will be read and applied in conjunction with an organisation's internal policies and operational procedures or guidelines for programming.
2. There is no single 'best way' to target assistance in urban contexts, and all have their limitations.
3. Decisions taken on targeting must be flexible and will depend on numerous context-specific factors, including programme objectives and duration, the scale of the emergency and displacement, the dynamism of the context, access constraints, capacities of teams, and financial resources available. Even different activities within a wider programme may require different targeting approaches.

The following guiding principles should be borne in mind when applying the guidance and tools during the design and implementation of targeting:

1. **Accountability:** Accountability to people affected by displacement, including both the displaced and host community, must be ensured through design and implementation of accessible and effective mechanisms for communication with affected communities and for complaints response. There should be opportunity to amend targeting approaches and mechanisms in response to feedback received throughout the programme cycle. There should be coherence between programme objectives and targeting approaches and mechanisms, and decisions about targeting should be well-documented.
2. **Protection and alignment with humanitarian principles:** Targeting approaches and mechanisms must be impartial and non-discriminatory, respect human dignity, and aim to prioritise those households (and individuals) on the basis of and in proportion to their rights, needs, and capacities, in line with the organisation's mandate. Targeting risks should be analysed through a protection lens in all contexts, but especially in insecure contexts and where remote management of programmes is required. As a minimum, targeting approaches and mechanisms should not increase risk of harm to the displaced and host communities and, where feasible, they should aim to reduce protection risks.
3. **Evidence-based:** Targeting decisions should be based on the best quality data on multi-sectoral needs and vulnerabilities that can realistically be obtained within the time and with the resources available. Data sources and targeting decisions should be reviewed and updated regularly to maintain relevance of programming in dynamic environments.
4. **Simplicity and pragmatism:** Targeting decisions must aim to strike a balance between the imperative to act, accuracy, and affordability. They must also take into account the realities of programming in a complex, dynamic, and potentially insecure environment.
5. **Effective use of resources:** Targeting should be cost-effective. The mechanisms used should reflect targeting objectives but also the cost (in time and money) to implement them and investments should be proportional to the scale and duration of the programme. Targeting should aim to be 'good enough', and marginal gains in targeting accuracy should not be at the expense of timely assistance or disproportionate use of resources. Mechanisms that reduce exclusion errors should be prioritised over those that minimise inclusion errors.
6. **Partnership:** Programmes will work through and alongside government (national and local), service providers (public and private) and civil society organisations (religious, youth, neighbourhood committees, etc.) to ensure that targeting approaches are based on an understanding of the political and socioeconomic context in the locality, to improve access to hard-to-reach groups, and to leverage their social capital within the community. Local authorities should be involved in targeting decisions and processes and, where necessary, their capacity should be built.

7. **Coordination:** It is unlikely that any one agency can serve all needs within an urban area. To achieve the greatest impact, targeting decisions should be based on strong coordination between humanitarian agencies and between agencies and government, to ensure strategic alignment of geographical areas, integrated multi-sectoral programming, and harmonisation of targeting between areas, in line with an area-based approach. This needs to take into account logistical and data protection challenges with regard to harmonisation and sharing of targeting data.
8. **Community engagement and social cohesion:** Targeting activities should aim for active participation of communities at every stage, ensuring that the views of displaced and host communities are included in targeting decisions. This should make use of pre-existing community structures where possible, whilst acknowledging the risk that such structures can exclude or marginalise particular groups and addressing this where appropriate. Targeting should not create divisions and social problems – the inclusion of host community households can be vital in mitigating this.
9. **Monitoring and evaluation:** Targeting decisions and processes must be rigorously monitored and evaluated – including the level of inclusion and exclusion error, effectiveness of communication and feedback mechanisms, and any unintended positive and negative outcomes.

2.2 Steps in the targeting process and related guidance

The principles should be borne in mind throughout the steps in the targeting process. Targeting humanitarian assistance is an essential part of – and involves actions at – every stage of the project cycle. Decisions on whether, who, and how to target generally start to be made at the end of the response analysis phase which defines the objectives of the intervention and the needs to be met. However, these will be informed by information gathered during needs and vulnerability assessments and decisions taken during response analysis. Meanwhile, actions during programme implementation and monitoring ensure that targeting approaches and mechanisms are effective at reaching the most vulnerable and can be amended where necessary.

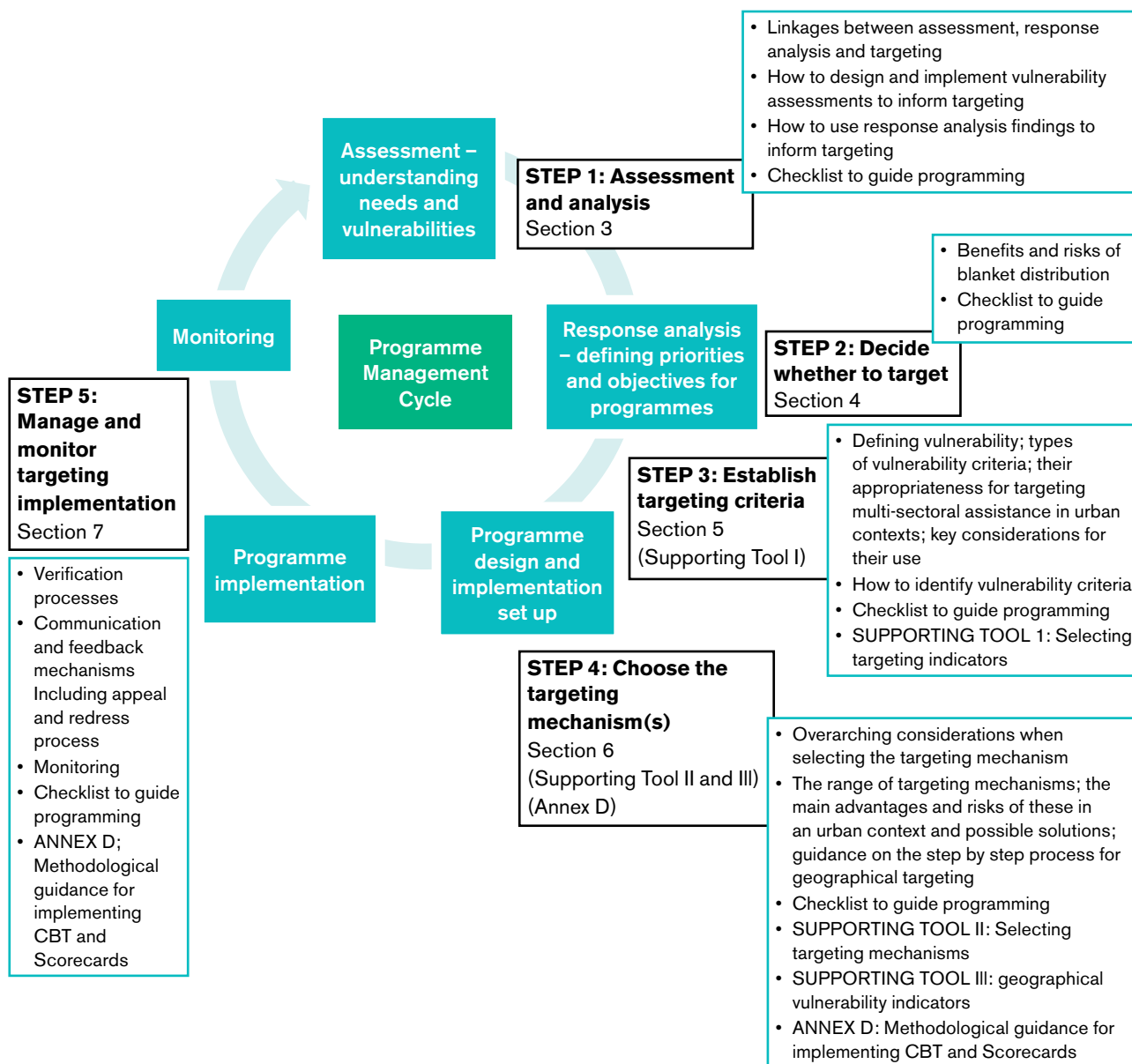
Humanitarian agencies use project cycle management tools as a recognised best practice to guide accountable, efficient, and effective programming. This guidance therefore presents these targeting steps within the framework of the project cycle.

The sections of this guidance document look in turn at each of the steps in the targeting process. Each section presents theoretical guidance along with guidance to support practical application. For particular steps, tools to guide decision making are listed in the Supporting Tools section at the end of the document. Practitioners can choose to use the whole guidance or navigate to the sections of interest.

Figure 1 shows the general position of targeting steps within the project cycle.³ It summarises the guidance that is provided in each section and the associated tools.

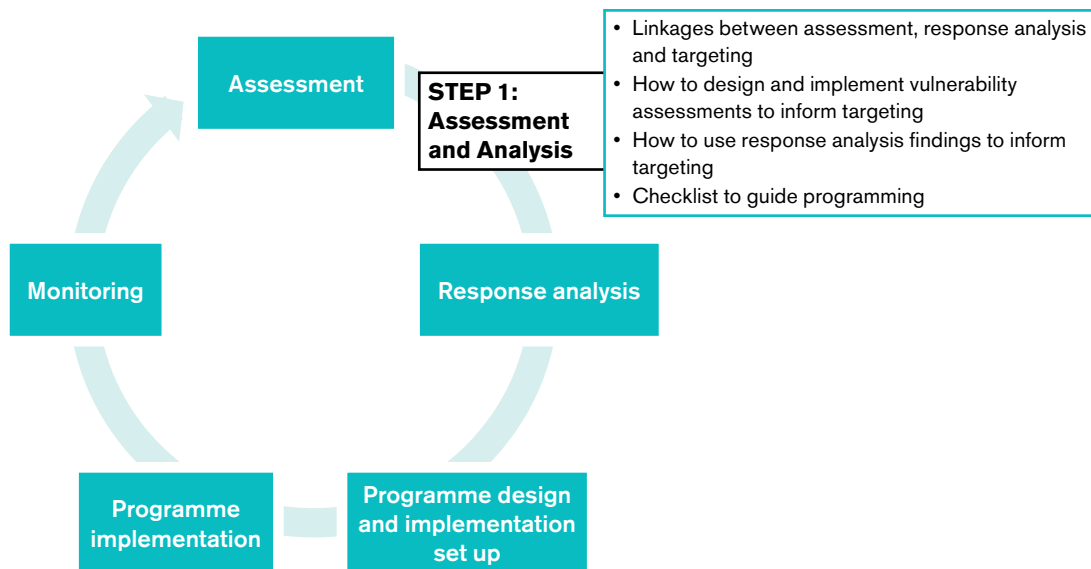
³Note that this is an iterative process – steps may take place earlier in the cycle, or may overlap.

Figure 1: Overview of steps in the targeting process, and associated guidance



3. STEP ONE: Assessment and analysis

Figure 2: Step One: Assessment and analysis



Assessments and analysis are a core part of the humanitarian project cycle. Well-designed and executed assessments and response analyses are requirements for effective targeting. The type and quality of information collected during the assessment stage, and programme objectives developed during response analysis, will inform decisions on whether, who, and how to target.

3.1 Using vulnerability assessment data for targeting

Households will not be equally affected by shocks and disasters. It is increasingly recognised that designing programmes that effectively address needs arising from displacement in urban contexts requires an understanding of the vulnerability of those who are affected (Mohiddin and Smith, 2016). This means understanding the risks that households face, as well as the underlying capabilities of households and factors influencing these. Vulnerability analysis aims to identify who cannot meet their needs and why: who are most affected; what it is that makes them more vulnerable (ie more likely to be badly affected); and what can be done to reduce their vulnerability. This can inform definition of programme objectives and targeting strategies.

Vulnerability analysis is therefore emerging as an area of good practice during emergency preparedness and response in urban areas. However, it remains at an early stage. Vulnerability in urban areas is complex to measure and multi-dimensional, whilst access to sufficient, updated and 'good enough' information can be a challenge due to the lack of historical urban data on disasters/displacements or 'baseline data' on conditions during normal times.⁴ Research has highlighted gaps in vulnerability assessment tools and skills (Patel *et al.*, 2016)⁵. Furthermore, investments in such assessments must strike a balance between their accuracy, timeliness and cost given population density and the dynamism of urban displacement contexts. Underlying chronic issues can tip over very quickly into acute needs and public health concerns, requiring practitioners to make quick decisions. A

⁴ This is particularly the case in informal settlements.

⁵ The ongoing programme of the IASC Task Force on Meeting Humanitarian Challenges in Urban Areas 'Adapting to an Urban World' recognises this gap and is developing a toolkit of vulnerability indicators and guidance materials.

rapidly changing situation and highly mobile populations also means data on needs and vulnerabilities can lose relevance quickly.

To address this, NRC has developed an urban multi-sector vulnerability assessment tool for displacement contexts (UMVAT). This aims to collect 'good enough' information to make well-informed decisions, quickly, for broad multi-sectoral programming, whilst informing the need for further detailed assessments for designing more specialised complementary programmes.

NOTE

The UMVAT is publicly available for use by humanitarian practitioners. A description of the tool, how it is used, links to the tool, and an accompanying guidance note can be found in Annex B.

In cases where primary data on vulnerabilities can be collected, the design of tools such as the UMVAT, and the ways in which they are applied, will influence how this vulnerability assessment data can be used to support targeting decisions.

The remainder of Section 3.1 provides practical guidance for applying the UMVAT (or equivalent vulnerability assessment tool) to inform targeting. This includes steps for designing and administering the tool as well as limitations.

3.1.1 Designing the assessment tool to inform targeting

The UMVAT provides a holistic understanding of needs and vulnerability. This is useful for designing integrated programmes, but also single sector programmes, since it builds understanding of how an intervention will impact not only within one sector but on different dimensions of needs and vulnerability.

In contexts where the UMVAT (or equivalent assessment tool) is to be implemented, the tool should first be customised:

- i. Breadth of the tool – ie defining particular sectors for which data will be collected.
- ii. Depth of the tool – ie defining level of detail to be collected in each sector.
- iii. Contextualising the questions included – ie incorporating local insights about factors such as socioeconomics, livelihood strategies, coping strategies, and types of dwelling into the questionnaire to capture an accurate picture of vulnerability (Patel *et al.*, 2016).

A balance should be struck between the need for detailed and holistic data and the constraints faced due to time, capacity, resources, access restrictions, so as to provide a 'good enough' and holistic understanding of needs and vulnerability. As a minimum this should include questions from all sectors in which you are planning to work.

When customising the tool, taking into account the factors in the checklist in Figure 3 can ensure the data collected during the assessment is also useful for targeting.⁶

⁶In the case of the UMVAT, all these thematic areas are included in the 'essential' questions of the household survey.

Figure 3: Contextualising the UMVAT for targeting – decision-making checklist

HAVE YOU....	WHY IT'S IMPORTANT	RELATED SECTION OF THIS GUIDANCE DOCUMENT
Included questions on protection?	Protection is a key indicator of urban vulnerability, essential for developing targeting criteria. Data on people's perceptions of safety and threats, and institutions that are trusted (or not) by the community can inform the targeting mechanism.	Section 5 Section 6
Included questions on income and expenditure?	Economic security has a key influence on urban vulnerability. Data can also be used to triangulate findings on social capital.	Section 5
Included question on social capital, inequalities and marginalisation?	Urban vulnerability is influenced by both economic and social factors.	Section 5
Included questions on access to services (education; shelter; WaSH)?	Service stress is a key indicator of vulnerability in urban areas.	Section 6
Included questions on how displaced and host communities receive information and community structures they know and trust?	This information can inform the choice of targeting mechanism.	Section 6

CASE STUDY

NRC Turkey implemented the UMVAT in order to understand the needs, vulnerabilities and protection risks of Syrian refugees, and to inform multi-sectoral programmes. Internal capacities, funding and the activities of other humanitarian agencies focused the assessment on information counselling and legal assistance (ICLA), education and food security. Data was also collected on demographic characteristics, income and expenditure and protection. The relationship between these sectoral indicators and income enabled the assessors to build a more complete picture of socioeconomic vulnerability and opportunities and understand protection risks. Demographic data were essential to understand how vulnerability varies by population group. For example, the findings highlighted that the presence of disability was an important determinant of vulnerability.

Source: NRC Turkey

3.1.2 Taking into account targeting needs when selecting the sampling approach

How the assessment data can be used to inform targeting depends on the sampling approach. Needs and vulnerabilities are highly diverse in urban areas and can vary hugely between, and within, neighbourhoods. Sampling approaches should be compared, taking into account the key considerations in Figure 4.

Figure 4: Sampling approaches and targeting – what you need to consider

SAMPLING APPROACH	RATIONALE	CONSIDERATION
Random sampling	<ul style="list-style-type: none"> Where time and resources are not a constraint, this will mean the sample is truly representative of all displaced as well as host communities. If data is going to be used to develop a proxy means test (PMT) targeting mechanism (see Section 6), data must be fully representative. 	<ul style="list-style-type: none"> Density and diversity of urban populations mean sample size must be large. Working with partners can increase the size of and the representativeness of the sample of data collected. Can dilute and therefore mask indicators of critical vulnerabilities for particular population groups or geographical locations of interest (Creti, 2010; Patel et al., 2016).
Non-random sampling	<ul style="list-style-type: none"> Given time and resource constraints, assessments are often likely to focus on particular neighbourhoods. If the assessment can be carried out in the neighbourhoods where your agency is likely to actually intervene, this will improve the representativeness of the data for targeting within these neighbourhoods. In urban areas where vulnerable populations are hidden or difficult to find, purposive sampling may be necessary. 	<ul style="list-style-type: none"> Requires analysis of secondary data (eg on poverty; population numbers; and disaster risk); a focus on informal settlements; and coordination with other agencies to identify unserved areas (see Section 6.2: Geographical targeting). Requires understanding of purposive sampling techniques such as snowballing.⁷ Will introduce some biases in the data, but data can still be used to inform targeting criteria since these biases can be taken into account in the analysis (except in PMT).
Census of all households within an area	<ul style="list-style-type: none"> A requirement if the assessment data is going to be used to directly identify specific households during targeting (see Section 6). 	<ul style="list-style-type: none"> Likely only to be possible for operations with dedicated targeting resources or in protracted crises where time is less of an issue.

CASE STUDY

In Lebanon, UNHCR worked with other UN agencies and NGO partners to design a common data collection strategy and identify common eligibility criteria. Close collaboration included the development of a single data collection instrument that all partners involved in providing targeted assistance agreed to use to avoid duplication of data collection. Joint training on data collection practices ensured high quality data. Due to the collaboration, UNHCR and partners reliably and systematically increased the amount and representativeness of information collected.

Source: UNHCR (2016)

⁷ The UVMAT guidance note published by NRC contains further descriptions and guidance of sampling techniques (Mohiddin, Smith and Phelps, 2017).

3.1.3 Limitations of using vulnerability assessment tools

The application of the UMAT or other similar assessment tools requires consideration of the skills and expertise within the team; the time and resources required for training, piloting and data collection; and any access restrictions. It will not be feasible in all contexts.⁸

NOTE

In contexts where data collection faces severe constraints (time, resources, security and access challenges), it may be necessary to rely only on data collected through key informant interviews (KIIs) and focus group discussions (FGDs), rather than household level data, or to base response analysis and targeting on pre-existing secondary data. These sources of data should be verified and ideally triangulated, to reduce the risk of biased or non-representative findings.

3.2 Using response analysis findings to inform targeting

Response analysis follows the assessment stage, defining appropriate interventions according to needs and vulnerabilities identified. The results of this stage will inform your decision to target, the selection of targeting criteria, and the targeting mechanism.

Response analysis and the Urban Response Analysis Framework (URAF) that NRC has developed for urban contexts are described in Box 2. This section provides practical guidance for using results of the response analysis process to inform targeting.

BOX 2. RESPONSE ANALYSIS IN URBAN CONTEXTS

What is response analysis?

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

- It is the analysis of the responses gathered from data collection
- It is the link between situational analysis and programme design
- It involves the selection of programme response options, modalities and target groups, and
- The decisions resulting from response analysis should be informed by considerations of appropriateness and feasibility, and should simultaneously address needs while analysing and minimising potential harmful side effects.

Considerations for response analysis in urban contexts

Response analysis must develop clear objectives for humanitarian assistance in urban displacement contexts that take into account the drivers of vulnerability (socioeconomic, protection and other factors that are due to the crisis), capacities that can be supported, and opportunities and limitations of the internal and external implementation context including government policy, activities of other agencies, security, risk, access and protection issues.

In urban areas, those affected by displacement are dependent on the market for many if not all their basic needs, and cash-based responses – including those designed to simultaneously meet needs across sectors – are a highly relevant solution. Cash cannot however solve all problems. A response analysis will identify what needs across sectors are easily met through material assistance – particularly cash – and where complementary sector-specific interventions may be needed.

⁸ More information on the issues and limitations can be found in the UMAT guidance note published by NRC (Mohiddin, Smith and Phelps, 2017).

NOTE

Many high risk and rapidly growing urban environments are characterised by widespread need, with chronic poverty and endemic problems in normal times, not only during times of crisis. Humanitarian assistance in urban areas cannot meet all these pre-existing needs or deficits of development and will need to focus on responding to the crisis, whilst taking care not to create parallel systems to ongoing development interventions.

Figure 5 outlines results of the response analysis process, and illustrates how these can inform targeting, and in which steps of the targeting process this information will be used.

Figure 5: How response analysis findings can inform targeting

RESULTS OF RESPONSE ANALYSIS	HOW THIS CAN INFORM TARGETING	STEP IN THE TARGETING PROCESS WHERE THIS IS USED
Indicate whether the entire population is vulnerable and in need.	Influences decisions on 'blanket targeting'.	Decision to target (Section 4).
Pre-identify particular population groups as the intended recipients of interventions, or the reasons why they are vulnerable.	Informs decisions on targeting criteria, including for targeting of MPGs, sector-specific interventions and 'upstream targeting'.	Select targeting criteria (Section 5).
Identify the need for complementary sector-specific interventions alongside multi-purpose cash grants (MPGs). Show that assistance to higher wealth groups is also required.		
Identify groups that are socially marginalised or face protection vulnerabilities. Identify interventions that are protection-related or sensitive in nature. Identify vulnerable groups which are isolated or have difficulty accessing information and services.	Informs the selection of targeting mechanisms.	Select targeting mechanisms (Section 6).



Credit: Hussain Yousif NRC

3.3 Checklist to guide programming

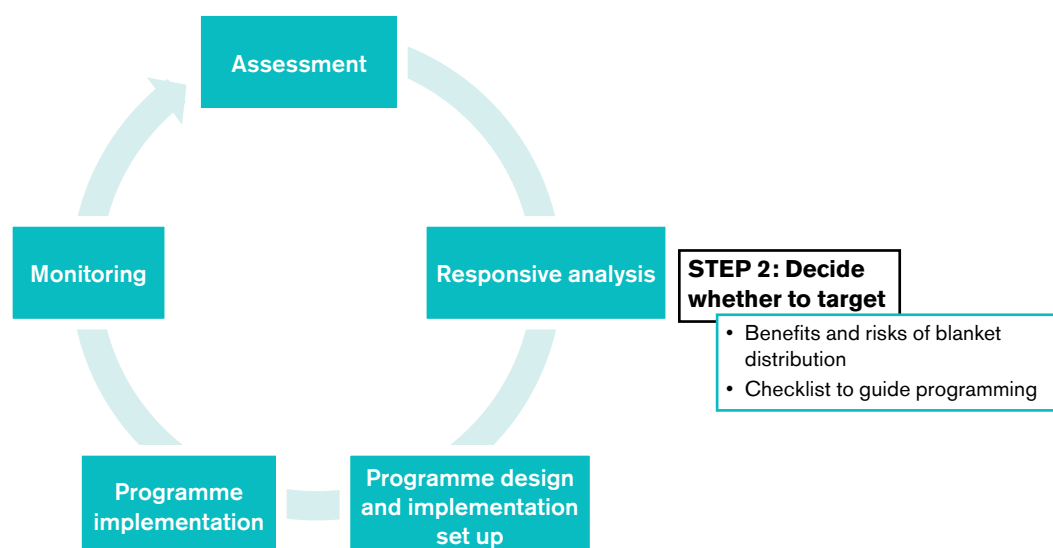
The checklist tool can be used at the **assessment and analysis stages** of the programme cycle to guide activities and decisions.

This checklist serves as a guide only and should not be taken as minimum standards – rather, activities must be informed by the realities of the context. However, by undertaking all, or many, of these actions we can better ensure that data collected and analysed and decisions made during this stage will be useful for targeting purposes.

CHECKLIST TOOL – ENSURING TARGETING REQUIREMENTS ARE CONSIDERED DURING ASSESSMENT AND ANALYSIS	
Have you identified the number of people that can be served with the available resources and funding?	
Have you established whether a vulnerability assessment is needed (ie is there a lack of sufficient information available on needs and vulnerabilities from secondary data)?	
Is a vulnerability assessment feasible taking into account resources, time, capacities and access restrictions (and will this include a household survey component)?	
Have you assessed whether a randomly sampled assessment or a purposive assessment is feasible and appropriate, taking into account time and available resources (Figure 4)?	
Have you made use of secondary data to identify the likely neighbourhoods for your intervention?	
Have assessment forms been contextualised (Figure 3)?	
Do assessment forms include a manageable number of questions that are useful indicators of vulnerability in urban displacement contexts (Annex B)?	
Has a multi-sectoral response analysis been completed and are findings available?	
Have you identified the findings of the response analysis that will be used to support targeting decisions later in the project cycle (Figure 5)?	

4. STEP TWO: Decide whether to target

Figure 6: Step 2: Decide whether to target



As we shall see in this section, prioritising some households for assistance over others will not be feasible or appropriate in every situation. The first entry point for targeting is therefore to decide whether to identify the ‘more vulnerable’ or to go for blanket distribution, ie provision of assistance to all within an area.⁹

4.1 Benefits and risks of blanket distribution

In some situations, targeting might not be strategically desirable or appropriate – such as the immediate aftermath of a crisis where needs are very high, affecting most of the population, and where these are homogeneously distributed so targeting could create additional tensions. In some situations targeting is also not methodologically or practically feasible, for example where capacity or time are limited, there is a lack of available data, or access restrictions (Patel *et al.*, 2016).

In these circumstances, blanket distribution can save time and resources spent identifying and verifying recipients (MacAuslan and Farhat, 2013). It may be most appropriate than targeting in the very early phase of response when most of the population may need some form of aid and data is limited. In the early stages of emergencies, incorporating it as a two-stage process with geographic area-based targeting within a city and blanket distribution of resources within those areas may be necessary in order to prioritise areas with large numbers of affected persons (IASC, 2010; Sanderson and Knox-Clarke, 2012).

⁹ Blanket distribution is still a form of targeting – in that you target everyone. But, the decision to targeting this way removes the requirements for the targeting steps that follow.

CASE STUDY

In Somalia, experience has shown that in the immediate aftermath of a shock, almost all of those newly displaced to, or in, urban areas will need assistance since they fled quickly with no food stocks and have no livelihood source. Therefore, in new waves of displacement where rapid assessments show most households are unlikely to have external support, NRC adopts blanket targeting for up to three months

Source: NRC Somalia

Despite being quick and easy to design, blanket distribution carries the risk of inefficient aid distribution and requires carefully planned exit strategies (Sanderson and Knox-Clarke, 2012). Taking into consideration the urban context, population concentration, and size, alongside a reduction in global funding, targeting of assistance in urban contexts is generally of great importance and in almost all urban emergency responses, it will be necessary early in the response (MacAuslan and Farhat, 2013; UNHCR, 2016).

4.2 Checklist to guide programming

The decision on whether or not to target should be based on a 'good enough' analysis of information concerning:

- Needs of households in displaced and host communities
- Information on the operating environment – including any constraints to the responsible implementation of targeting, and
- Targeting approaches of other agencies.

The checklist tool can be used at the **design and implementation set-up stage** of the programme cycle to guide decision making on whether or not to target.

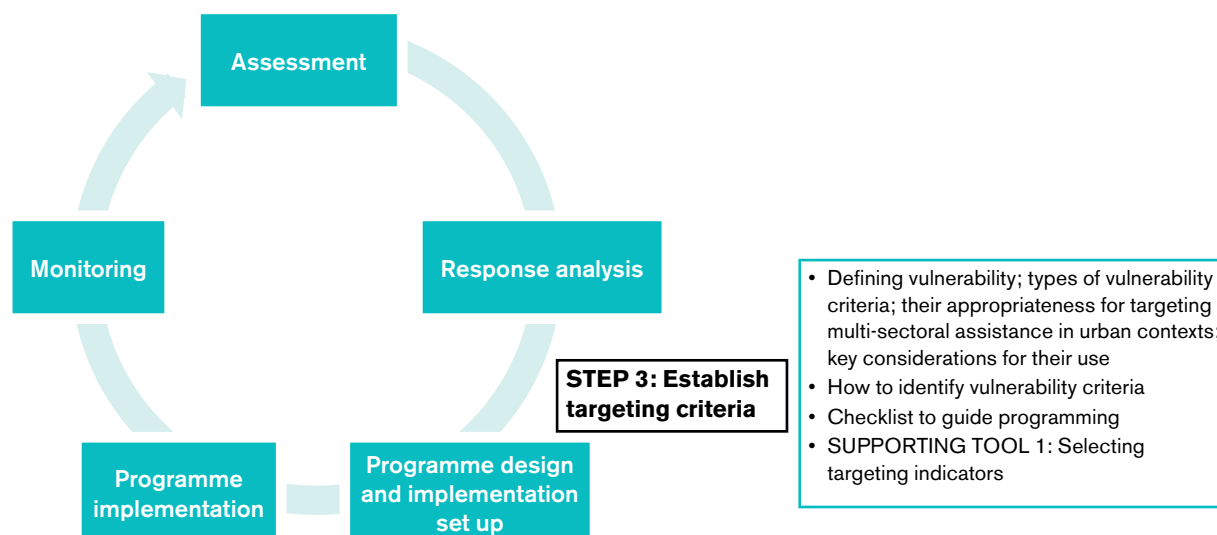
This checklist serves as a guide only and should not be taken as minimum standards – rather, activities must be informed by the realities of the context. However, by undertaking all, or many, of these actions we can better ensure that accurate decisions are made about blanket distribution versus more targeted assistance.

CHECKLIST TOOL – ENSURING ALL FACTORS ARE CONSIDERED DURING DECISIONS ON WHETHER TO TARGET ASSISTANCE

Have you taken steps to understand the security situation in the areas of intervention?	
Do you know whether the security situation will create access constraints or other challenges to targeting?	
Is a large proportion of the population affected by the crisis?	
Are the needs of those who are affected similar?	
Will targeting assistance in this context be socially and culturally acceptable?	
Will targeting assistance in this context be politically acceptable?	
Have you considered the protection risks and benefits of targeting?	
Is the data currently available sufficient for targeting?	
Does your agency have capacity (human resources; skills; budget) to design and implement a targeting exercise?	
Have you compared the costs (time and money) and benefits (accuracy) of blanket distribution versus targeting?	

5. STEP THREE: Establish targeting criteria

Figure 7: Establish targeting criteria



Humanitarian responses will generally not have the capacity to meet the needs of all those who are affected by displacement. The size of urban populations and finite humanitarian resources mean that, difficult as it may be, assistance will usually need to be prioritised to certain households or individuals to some degree. The next targeting decision is to select targeting criteria¹⁰ – in other words, defining who to prioritise for assistance and why. This involves identifying characteristics that define those who are most in need of assistance and/or most vulnerable to negative effects of the disaster.

Evidence shows that sector-specific vulnerability analyses and targeting criteria are ill-suited for urban crises and that multi-sector, area-based approaches¹¹ have greater impact (Patel *et al.*, 2016). A multi-sectoral understanding of needs and vulnerabilities should guide targeting in urban areas. There is a need to look beyond sector-specific characteristics of vulnerability to find commonalities across sectors (ibid). Whilst the complexity of funding and organisational mandates means that there may be times where multi-sector responses are not feasible, wherever possible a multi-sector approach in a defined area should be considered.

Particular challenges in identifying the ‘most vulnerable’ in urban crises mean that no targeting will be perfect (ibid). Practitioners should aim to use eligibility criteria that:

- Are based on analysis of as detailed and up-to-date information on needs and vulnerability as possible within time, resource and access constraints
- Are ‘good enough’ reflections of multi-sectoral, multi-dimensional vulnerability
- Are understood by and considered transparent and fair by those affected, and
- Are relevant to the context and to the characteristics of the neighbourhood.

NOTE

It must be stressed that, as in any programme, eligibility criteria must align with the programme objective, which may also vary depending on the phase of the emergency.¹² Criteria must be contextualised based on the findings of assessments.

¹⁰ Some agencies refer to this as selecting the ‘targeting approach’.

¹¹ Whilst definitions vary, common features of ABAs include: i) a focus on a defined geographical area or community, rather than on an ‘individual beneficiary approach; ii) defining an area, rather than a sector or target group, as the main entry point; and iii) a means of responding to multi-sector needs. See Parker and Maynard (2015).

¹² For example, are we aiming to save lives and prevent immediate risk of harm, prevent deterioration of vulnerabilities, or recover and strengthen capacity and resilience among the displaced or host communities?

5.1 Vulnerability criteria for targeting multi-sectoral programmes

This section conceptualises vulnerability and the different ways that the vulnerability of those affected by displacement in urban areas can be defined. Each sub-section then looks in turn at these defining elements of vulnerability (socioeconomic, status-based, categorical and protection-related). They detail the rationale for using such features of vulnerability for targeting and provide guidance on their practical application – including the metrics that can be used, risks to be aware of, and mitigation measures.

TOOL I

'Selecting targeting indicators' in the Supporting Tools section complements this guidance. It can be used to guide decision making when selecting the types of targeting criteria and specific indicators.

BOX 3. DEFINING 'VULNERABILITY' AND RELEVANCE FOR TARGETING

Vulnerability is a complex attribute to measure; it is both dynamic and relative and it can be defined differently depending on the objective of the programme. Determining what constitutes 'vulnerability' is an ongoing discussion among humanitarian actors and there are no hard and fast criteria an individual or household must meet to be considered 'vulnerable'. However common features of how vulnerability is conceptualised are:

- i) A household's or individual's risk¹³ of exposure to a natural or manmade shock (including conflict and forced displacement).
- ii) Their ability to cope with the impact of shocks that occur.¹⁴

In urban areas, vulnerability is complex and multi-dimensional. A household's vulnerability to a displacement crisis is a consequence of geography, economic factors (such as land, capital, livestock, educational status), and social factors (such as access to political and social networks, autonomy, discrimination and marginalisation). A household's or individual's vulnerability can therefore be defined in different ways:

- Socioeconomic (ie based on livelihood-related factors – the range of assets at their disposal and capacity to use these).
- Status-based (ie based on displacement status – whether refugee, IDP, or resident).
- Category-based (ie defined by population group or demographic characteristics).
- Protection-based (ie. based on protection-related characteristics).
- Geographical (ie if particular neighbourhoods, within the urban environment are shown to be more vulnerable compared to that of other neighbourhoods).¹⁵

Generally speaking, a household's vulnerability will be defined by a combination of these factors, and each of these defining elements of vulnerability can be used to define targeting criteria. Each will have benefits and limitations for targeting according to:

- Their relevance/acceptability to communities and authorities.
- Their robustness and accuracy.
- Their ease of measurement (whether it is a visible indicator or self-reported, and whether new household data will need to be collected).
- The process of measurement (which targeting mechanisms will be needed, resources (time, budget and capacities) needed and the potential to engage the community).

¹³ Vulnerability can be analysed at the individual, household, community, or national level and is both a relative and dynamic concept. For the purpose of guidance set out in this section, it is household or individual level.

¹⁴ See also Armstrong and Jacobsen, 2015; Bailey and Barbalet, 2014.

¹⁵ A household's geographical vulnerability is a factor of the external environment rather than a feature of the household. Therefore, whilst geographical location can be used as a targeting criterion, it relies on efforts to define, measure and identify the most vulnerable neighbourhoods. Guidance on this is included in Step Four: Targeting mechanisms under 'geographical targeting'.

CASE STUDY

In Lebanon, the inter-agency system for targeting vulnerable Syrian refugees includes area-specific vulnerability criteria. Their geographical location is weighted, with households based in Beirut considered to have a lower level of vulnerability than those based in Bekaa valley.

Source: NRC Lebanon

5.1.1 Using socioeconomic vulnerability criteria for targeting

Relevance for targeting

Economic insecurity is a key feature of vulnerability in urban areas. Urban food security is closely linked to commodity prices, income opportunities and wage rates (Patel *et al.*, 2016; Chaudhuri, 2015) due to the dependence of households on markets as a source of food and income. Those with low incomes and most insecure forms of employment will be some of the most affected by any shock. Whilst most evidence on the relevance of socioeconomic criteria has come from the food security sector (Patel *et al.*, 2016), we can expect this to be a common factor across sectors, as urban households generally pay for food, rent, hygiene, household items, water, basic services and transportation. Cash is increasingly used as a modality to support needs across all sectors in urban areas.

Using measures of income poverty to define vulnerability in urban areas may therefore be appropriate, but this requires a detailed understanding to target correctly. Economic vulnerability is complex to measure, since many people manage several different sources of income including remittances and debts and, crucially, income sources will vary throughout the year.

Humanitarian responses will generally not have enough resources or capacity to meet all needs of the 'urban poor'. It is therefore important to frame this economic insecurity **within the humanitarian crisis** for targeting purposes, unless there is the funding and capacity to respond to both humanitarian and development objectives.

CASE STUDY

Inter-agency discussions in the Middle East region on targeting cash assistance for urban refugees drew consensus on targeting the 'economically vulnerable', defined as people who are unable to meet their basic needs for lack of money. The Vulnerability Assessment of Syrian Refugees (VASyR) in Lebanon found that economic indicators of vulnerability are key across sectors. Econometric analysis of indicators in Jordan and Lebanon also demonstrate the power of economic vulnerability criteria in urban areas, finding that food insecurity is largely (but not entirely) the result of economic vulnerability.

Source: ERC (2015); WFP, UNHCR, UNICEF (2016)

NRC's multi-sector programme in Mogadishu targeting is based on economic insecurity. As internally displaced people are primarily coming from rural areas, their livelihoods are not adapted to urban contexts. The resulting lack of income prevents them from renting land – needed in order to establish business premises, kiosk or homestead – as well as for paying for education, water and rent.

Source: Interview, NRC Somalia

Whilst income and the cost of commodities and services play a large role in household consumption in urban areas, evidence shows that such measures alone will not provide a fully accurate picture of vulnerability since vulnerability is multidimensional. For example, household expenditure on food does not determine intra-household consumption patterns; whilst a snapshot of income or assets does not capture broader issues governing access to essential commodities and services (MacAuslan and Farhat, 2013; Patel *et al.*, 2016). Therefore, when using socioeconomic criteria, it is important to also capture social vulnerability, social capital, issues of access that are related to social vulnerability (Chaudhuri, 2015; Patel *et al.*, 2016).

Practical guidance on the use of socioeconomic criteria for targeting

There are several possible metrics (income; expenditure/consumption; proxy indicators for income/expenditure; social capital; and access to services). Each captures an aspect of socioeconomic vulnerability. They have different advantages and risks.

i. Income

Income or disposable income: a strong determinant of economic insecurity, given the reliance on self-generated income in urban areas. This is one of the easiest ways to segment the population. When compared to the minimum expenditure basket, it shows which households cannot meet minimum basic needs.

Livelihood insecurity: an important part of economic vulnerability, given the variability and unpredictability of income, and the high cost of living in urban areas. The number and type of income sources can therefore be a key indicator, as is reliance on borrowing (see also Coping Strategies Index below).

Risks of using income data for targeting:

- It is self-reported – people can misrepresent or under-report on income, or they simply find it difficult to estimate (Armstrong and Jacobsen, 2015).
- In urban areas, it is common for household members not to be fully aware of what other household members are earning. This is especially the case for 'pooled resource households', where groups of single people live together and share income and expenditure for some but not all expenses.¹⁶
- Income can vary hugely from week to week, and by season, especially for daily labourers.
- To get the required information requires detailed conversations with households about their personal financial affairs which may be considered invasive or an affront to dignity.
- In-kind income is hard to measure and quantify, especially if it is received from family and friends (not remittances) – or is in return for services provided (eg free accommodation in return for cleaning/working in a bar, etc.). In assessments this form of income may appear to be negligible and the associated protection risks may not be highlighted.

How to accurately use income data for estimating vulnerability:

- Asking about monthly rather than weekly income can capture a more consistent picture of income across time. Urban households often budget income on a monthly basis, to take into account rental expenses, so the accuracy of reported monthly income may be higher than in rural areas.
- Ask about monthly household expenditure (below) and use this to approximate income.

ii. Measures of expenditure and consumption

Multi-sectoral household expenditure: what a household spends can sometimes be easier to measure accurately than income. This can be used instead of, or to complement and triangulate measures of income.

Sector-specific consumption: indicators such as the Food Consumption Score¹⁷ and Household Hunger Score can help to triangulate and make sense of multi-sectoral expenditure data, since food consumption is a universal indicator of vulnerability (Patel *et al.*, 2016).

Risks of using expenditure data for targeting:

- When calculating an income-expenditure ratio there is a risk of excluding the most vulnerable displaced households, who may report low expenditures because this is a negative coping strategy. For example, rent is the primary expenditure for many urban displaced households; however the most economically vulnerable who cannot afford to pay rent may employ a range of risky coping strategies to live rent free with higher protection risks.
- The timeframe of reference can lead to inaccuracies. Expenditures over the last week can be easier for households to remember and report on than the last month – however expenditure varies greatly from week to week in urban areas according to when rent is paid, or remittance payments received. There may also be seasonal variations, such as the variations in staple food prices, or the points in the school year where school fees are paid.

¹⁶ Where a group of non-family members are living together and sharing bills and other household expenses.

¹⁷ This is the measure used in the UMWAT.

How to accurately use expenditure data for estimating vulnerability:

- Include all household expenditures relevant for that urban context – food, rent, fuel, mains or bottled water, hygiene items, utility bills (eg electricity), health and education costs, essential transport and communication costs.
- Always compare household expenditures to a reference point, ie the total cost of meeting these basic needs (MEB).¹⁸
- Including indicators of dwelling type or sleeping arrangements can identify households that are residing in unsuitable dwellings or relying on others for their shelter (eg households living on the street, in temporary shelter, or sleeping in the living space of others).
- Capture expenditure data for rental payments made 'in kind'.
- Seek trends and averages, as expenditure can vary by week according to when the household earns wages, pays rent, or receives remittances.
- One solution can be to collect data on expenditures 'in a typical or average' week. It is also important to frame this with knowledge of seasonal variations. For example, staple food prices can vary according to harvest and religious holidays, and education costs are often paid at the beginning of the school term.

iii. Proxy indicators of income

Various self-reported and visually verifiable characteristics of the household:¹⁹ these are quicker and easier to accurately measure than direct measurements of income and expenditure, and are proven to be good predictors of economic vulnerability in urban contexts.

TOOL 1

'Selecting Targeting Indicators' lists examples of potential proxy indicators.

Risk of using proxy indicators for targeting:

- Such indicators will not always be linked to, or be a strong predictor of, economic vulnerability in all contexts.
- In some contexts, these characteristics may be caused by both economic vulnerability and supply side constraints.

How to accurately use proxy indicators for estimating vulnerability:

- Contextualise assessment tools and apply a contextual lens during analysis.
- Visually analyse relationships between variables.
- Statistical analysis of relationships between variables.

Guidance on how to do this is given in Section 5.3 below.

CASE STUDY

In Turkey, the relevance of proxy indicators for identifying economic vulnerability of Syrian refugees varies between urban Ankara and peri-urban areas on the edges of the city. In Ankara, sharing of toilets is a strong indicator of vulnerability, whereas in peri-urban locations this is common and not an indicator of vulnerability. Conversely, children being out of school in Ankara could indicate economic vulnerability, but it is more commonly due to supply side constraints within the Turkish education system. Therefore, it is really important to understand the indicators contextually.

Source: Interview NRC Turkey

¹⁸ The MEB is developed using locally contextualised price data, and international standards for minimum consumption where appropriate. It may vary by season (see ERC, 2015 for instructions on how to do this).

¹⁹ Note: evidence suggests that nutritional intake or status, though providing a snapshot of consumption patterns, does not accurately reflect a household's ability to secure adequate food and is also complex and challenging to measure accurately (WFP, UNICEF, UNHCR, 2016); Patel *et al.*, 2016). Due to the complexity and the fact that NRC does not work on nutrition programming, such indicators are not considered further.

iv. Social capital²⁰

Social networks: measurements of social networks are a critical determinant of vulnerability in urban displacement contexts, since vulnerable urban host and displaced communities generally have little economic capital and rely on social capital to access services and commodities. Lack of social networks affects coping strategies, access to information, and access to employment, assistance and services (Interview, King's College UrbanArk programme).

New arrivals: these are consistently some of the most vulnerable, since they have not yet established social networks. Therefore, time since arrival in a locality can be a good proxy indicator of social vulnerability (see also Section 5.1.2 on status-based criteria).

NOTE

In urban contexts where access to the internet and smart phone technology is growing, it is important to acknowledge the importance of virtual, as well as physical social networks. Support through social media and WhatsApp groups may still be linked to arrival in a location, but is not entirely dependent on physical location.

Coping strategies: The Coping Strategies Index (CSI)²¹ is a tool that measures what people do (ie how they manage to cope) when they do not have enough money to buy enough food. It can build a more accurate picture of socioeconomic vulnerability as it captures all livelihood capital assets²² available to households, and their ability to use these to cope with crises.

Risks of using measures of social capital (CSI) for targeting:

- The extent to which, and also how coping strategies relate to vulnerability (ie – whether they are a positive, neutral, or negative indicator) will vary (Chaudhuri, 2015; Interview, Ronak Patel). For example, 'relying on credit to access food', 'migration in search of work' or 'taking on debts' may be strategies of last resort, or they may be a common livelihood strategy employed by many in the community.
- In protracted crises, the timeframe of reference used can risk underreporting on negative coping strategies for the most vulnerable households, who may have been employing a range of negative coping strategies for such a long time. The household reports that there has been no increased adoption of such strategies within the past week or month, since such strategies have become a day-to-day part of life.

How to accurately use data on social capital (CSI) for estimating vulnerability:

- Carefully contextualise the CSI prior to use in targeting – ensure all relevant strategies are included, and that each is provided with a severity scoring on the basis of how they relate to vulnerability.
- Carefully train enumerators for accurate and consistent application (Armstrong and Jacobsen, 2015).
- Phrase questions to capture trends in adoption of coping strategies, including the frequency with which they are employed.

v. Access to markets and services

Documentation: Socioeconomic vulnerability is contingent on access to critical markets and services, therefore measuring access of households to civil registration and legal documentation can indicate vulnerability.²³ For example, if a residency permit is needed to access municipal services or humanitarian assistance.

NOTE

This could also indicate vulnerability due to marginalisation or stigmatisation and can also be an indicator of protection-related vulnerability, dealt with further under Protection Criteria below. It is useful to stress here the interconnection between socioeconomic and protection related vulnerabilities.

²⁰ Social capital is one of five capital assets defined in livelihoods frameworks. It refers to connections among individuals and social networks and the norms of reciprocity and trustworthiness that arise from them. For the urban poor and displaced who may have little economic capital, social capital is an essential means through which households access commodities and services and cope with crises. Defining and measuring indicators of social capital can provide a holistic understanding of socioeconomic vulnerability and important criteria for targeting.

²¹ The Coping Strategies Index (CSI) is a series of questions about how households manage to cope with a shortfall in food for consumption, and results in a simple numeric score. It is based on the many possible answers to the question: "What do you do when you don't have adequate food and don't have the money to buy any"? (See Feinstein International Center *et al.*, 2008).

²² Financial, natural, social, physical and human capital.

²³ Access in urban contexts – especially informal settlements – can be constrained by the perceived or realised risk of insecurity, threats or violence. This is dealt with further under Section 5.1.4: Protection-related criteria.

5.1.2 Status-based criteria

Relevance for targeting

A household's 'displacement status' (ie whether they are an IDP, or a refugee) is a necessary criterion for targeting assistance, in urban emergencies – however it needs to be further refined in order to be meaningful. This is because:

- The sheer numbers of displaced, combined with limited resources and pressure from donors means that humanitarian actors are being required to provide more justification for those they are providing assistance to.
- In the case of more protracted displacements, there can be a great range in vulnerability of displaced households. In the most complex contexts the 'displaced' may comprise those who have been so for several generations, influxes from different counties and conflicts, and a mix of IDPs, refugees and affected host communities.

Whilst still bearing in mind the importance of prioritising finite resources to those in great need, experience shows that it will often be important for programmes to address the needs and vulnerabilities of those within host communities as well as the displaced (Patel *et al.*, 2016). Urban poverty means poor households in the host community may have similar vulnerabilities and needs as those who are displaced. These households can then themselves face greater stresses following large-scale displacement due to the demand for housing, markets and access to other services. In densely populated urban areas, the displaced and poor host residents live side by side, such that excluding these poor residents who are affected by the crisis can lead to resentment and social tensions, which potentially undermine the displaced households' ability to integrate and build social capital.

CASE STUDY

In Nairobi, a study found slum residents faced similar difficulties to IDPs in accessing health care, shelter, water and sanitation and education. This meant that targeting only IDPs caused increased tension and risked overlooking people whose level of vulnerability may be greater.

A livelihood nutrition assessment conducted in 14 districts of Mogadishu found only minor differences in vulnerability between host and IDP populations, determining that the difference was insufficient to justify excluding host populations from emergency nutritional support

A review of NRC's programming in Goma showed increased strain on a hosting population (amplified expenses, overcrowding, inundated latrines), but recognised that IDPs showed greater vulnerability as they pay rent to the host population.

Source: Patel *et al.* (2016)

Practical guidance on the use of status-based criteria for targeting

i. Using 'displacement' status

The criteria of 'refugee' or IDP' can support more accurate targeting when combined with indicators of the time or frequency of displacement.

Frequency of displacement or time since arrival in the neighbourhood: the newly displaced can often be more vulnerable as they have had less time to make economic and social connections, learn the language or find employment.

Time since displacement: depending on the context, those who have been displaced for a long time may be well-integrated into communities and have better access to markets, jobs and services compared to newly-displaced. In contexts where the displaced face legal or financial barriers to access decent work, this may not be true.²⁴

NOTE

Vulnerability related to length of stay may need to be arbitrarily given a cut-off. This threshold may vary for different types of humanitarian or development interventions.²⁴

²⁴ Learning from NRC's piloting of the assessment tool in Addis.

Risks of using 'refugee' or 'IDP' as criteria for targeting:

- These criteria, even when combined with measures of time or frequency of displacement, will highlight large and heterogeneous populations that are not all in need, or all as adversely impacted by the displacement.
- Whilst this is often self-reported, in some contexts status may need to be further verified through provision of documentation showing legal status.
- If displaced populations fear hostility or marginalisation from resident communities or authorities, it may be challenging to measure.

How to accurately use these criteria for targeting:

- Take into account secondary data on displacement trends and numbers, to guide targeting towards particular groups and populations of displaced households. **Guidance on geographical targeting is given in Section 6.2.**
- Combine these criteria with other targeting approaches (socioeconomic, demographic or protection-related criteria), to focus resources on the most vulnerable within these broad population groups.
- Understand the local context, how the displaced – or particular groups of displaced – are perceived by host communities and authorities /documentation requirements.

CASE STUDY

In Lebanon and Jordan, the Regional Response Plan 6 (RRP6) defined assistance for Syrian refugees in 2014, three years into the crisis. Whilst the RRP6 targets the broad population groups of refugees living outside camp settlements and host communities, within these groups the document then defines further targeting criteria, explaining that it is necessary to find the 'most vulnerable' within the displaced.

Source: Bailey and Barbelet (2014)

ii. Using 'host community' to inform targeting

Risks of using 'host community' as criteria for targeting:

- Whilst the rationale is to support host communities who are themselves adversely affected by the displacement, this is no easy task. These communities will be heterogeneous and will not all be adversely affected by the displacement or have difficulties meeting their needs.
- Given the high rates of chronic poverty in urban areas it can be a challenge to identify, or separate out, those vulnerabilities that are specifically caused by the crisis.

How to accurately use 'host community' as a criterion for targeting:

- Combine with additional socioeconomic criteria to focus attention on particular poor and vulnerable households within the host community.
- Combine with geographical criteria to focus targeting on particular communities that are facing the greatest negative impact of the displacement. This can be done by using data on the geographical incidence of chronic poverty in the urban area, or data that shows which neighbourhoods have the greatest influxes of displaced. **Guidance on selection of geographical areas is given in Section 6.2.**
- Use it to target the provision of community-level services, rather than households: given the challenges mentioned, then depending on how host communities are affected, it may be more appropriate to support them through actions to remove the strain on and strengthen basic services and infrastructure within the city (Patel *et al.*, 2016). This is an emerging practice aiming to improve resilience and move towards development in protracted crises (Bailey and Barbelet, 2014); REACH, 2015b). Such programming will require geographical targeting of interventions towards particular areas, based on criteria to identify sectors and services under stress. **Guidance is provided in Section 6.2.**

NOTE

There may be differences in how socioeconomic vulnerability manifests between displaced and host populations, therefore socioeconomic criteria may need to be nuanced for each population group. Any decision to target poor residents must also reflect on what can, and should, be achieved through humanitarian programming, and where this should give way to development programming.

CASE STUDY

A study comparing vulnerability of displaced Syrian and Jordanian households found major differences in types of livelihood strategy, security of employment, and income levels between these groups. However, there were similarities in other vulnerability indicators – for example, two-thirds of host and displaced respondents reported spending more than half of household income on food.

Source: REACH (2015a)

In the protracted urban displacement emergency in Lebanon and Jordan, there has been a move to support systems and services on which national and Syrian refugee households rely. This aims to support institutions to respond to increased demand and pressure and strengthen institutions to protect development gains:

- The World Bank and UNDP are supporting municipalities in Jordan.
- The ILO is engaging with local governments to improve services that can support livelihoods.
- UNDP is supporting basic services under stress

Source: Bailey and Barbelet (2014)

5.1.3 Categorical criteria

Relevance for targeting

In urban displacement contexts, humanitarian agencies have often used a ‘category’ approach to target humanitarian assistance. This is based on the premise that particular characteristics such as age, gender, marital status, ethnicity, religion, or educational attainment influence an individual or a household’s ability to manage risk and thus their vulnerability to becoming poor (a key feature of vulnerability in urban areas), due to the interplay of a variety of socioeconomic factors. It is for these reasons that certain demographic population groups in society will commonly have higher poverty rates than is found in the average population. On the basis of this, practitioners can consider that households with these particular demographic characteristics, or household compositions, are more likely to be more vulnerable (Armsrong and Jacobsen, 2015; Bailey and Barbelet, 2014).

Practical guidance on the use of categorical criteria for targeting

Examples of useful categorical indicators: Tool I: ‘Selecting Targeting Indicators’ lists examples of categorical indicators. These have several benefits over direct measurements of income and expenditure. They are relatively quick and simple to apply and verify, do not require extensive household data collection²⁵ and are easy for community members to understand – who generally perceive these as being a fair way to allocate assistance (Patel *et al.*, 2016). They are generally proven to be good predictors of socioeconomic vulnerability in urban contexts and so can act as a proxy for such criteria.

CASE STUDY

The piloting of the proxy means test targeting mechanism in Jordan and Lebanon showed that there were statistically significant correlations between such easy-to-measure categorical indicators and economic vulnerability.

Source: Sharp (2015); Mohiddin and Smith (2016)

²⁵ This can be verified through the community or from existing administrative lists.

Risks of using categorical indicators in targeting:

- Inclusion errors are inevitable since not every household who fits the demographic group will be vulnerable. There are also exclusion errors, since households with different demographic characteristics can also be economically insecure or lack access to critical services. For example, the cases of widowers, old married couples living alone, and unaccompanied young men (Patel *et al.*, 2016).
- There is a risk of doing harm in contexts where certain demographic groups face stigma, discrimination, or violence and who are now easily identified by the larger community.
- Vulnerability can manifest in these groups in different ways in different urban areas. Applying such criteria without understanding the drivers of vulnerability (ie the reasons why they are vulnerable), risks the inappropriate targeting of interventions (Bailey and Barbelet, 2014; Patel *et al.*, 2016).

How to accurately use categorical criteria for targeting:

- Reduce risk of harm by careful selection of the targeting mechanism (Section 6).
- Undertake careful, contextual analysis to understand the underlying socioeconomic drivers of vulnerability for particular groups and how these manifest in terms of consumption, income, coping strategies, and social networks. **Guidance on how to do this is provided in Section 5.3.**
- Document any assumptions made for further analysis and monitoring.

CASE STUDY

NRC Somalia uses various categorical criteria to target assistance in Mogadishu (female, elderly, child, sick or disabled head of household, large family size). Analysis shows that, generally speaking, in this context these are still some of the most economically vulnerable sections of the population. However how this manifests varies between rural and urban areas. One example, is the case of female-headed households (FHH):

- In rural areas, sociocultural factors limit women's access to livelihoods and reproductive health is poor. The nature of the society and communal ways of coping means widows are supported by the wider family or clan. FHH therefore occur less frequently than in urban areas but you can expect that the vast majority of cases will be highly vulnerable since these lack both economic and social capital.
- In contrast, in Mogadishu, society's traditional reciprocal coping mechanisms are eroding and it is far more common to find FHH. Changing social norms also mean that women face fewer restrictions in pursuing livelihoods. In urban areas, the incidence of FHH is greater— however the proportion of these that are highly vulnerable is lower. This demographic group have had to develop skills and knowledge to make a living in urban areas as kinship relations have eroded.

Source: Interview NRC Somalia

A multi-sectoral vulnerability assessment in Ukraine confirmed that FHH are socioeconomically vulnerable. Analysis of the underlying economic drivers showed that women of working age and with young children face challenges in accessing work due to the demands of childcare. Authors recommended that the age profile of the women, and the presence of children, could refine this indicator of vulnerability.

Source: REACH (2016)

5.1.4 Protection-related criteria

Relevance for targeting

Economic indicators alone are not a sharp predictor of urban vulnerability and it is necessary to capture other factors shaping access to markets and services, and therefore the ability of households to meet basic needs. This includes indicators of protection risks. Protection risks in urban areas can be related to features of the wider environment, socio-cultural norms and economic insecurity. There is a high degree of interplay and reinforcement between socioeconomic and protection-related vulnerability.

i) Socioeconomic factors can increase exposure of vulnerable households to protection risks, and reduce their ability to manage these:

- Pulling children out of school and into work, as a coping strategy for economic insecurity, in turn increases protection risks for children.
- Sharing dwelling space as a strategy of the poor to access shelter in urban areas can increase protection risks for women, girls, and boys.
- Those who cannot meet rent payments face eviction, which in turn increases protection risks for families.
- Insufficient income pushes people to consider risky forms of employment.

ii) In turn, protection risks can contribute to economic vulnerability:

- In informal settlements, prevalence of threats, harassment, mugging or violence can interfere with household's economic activities (Interview Ronak Patel; Chaudhuri, 2015; Patel *et al.*, 2016; Armstrong and Jacobsen, 2015).
- Discrimination and harassment can mean that particular groups cannot access civil documentation or that they choose to remain undocumented, excluding them from assistance, employment and services.

CASE STUDY

In Mogadishu, insecurity is a key driver of socioeconomic vulnerability. It causes barriers to newly displaced households being able to access employment and services, as employers and service providers are reluctant to work with or enrol 'outsiders', for fear of being associated with (or considered to be informers of) insurgents or militants.

Source: Interview NRC Somalia

In poor informal settlements of Nairobi, households must often deploy 'avoidance strategies' like self enforced curfews, to deal with the threat of insecurity, meaning they do not have the same access to livelihoods.

Source: Chaudhuri (2015)

Practical guidance on the use of protection-related criteria for targeting

How to accurately use protection-related indicators to estimate vulnerability:

- Analyse and understand the drivers of protection risks in the urban context, and the overlap between socioeconomic and protection-related vulnerability (Interview Ronak Patel; Patel *et al.*, 2016; Armstrong and Jacobsen, 2015).
- Identify which socioeconomic vulnerability criteria are also indicators of protection vulnerabilities, and which can be (partially) addressed through economic assistance. Prioritise these criteria in targeting, to ensure that the specific needs of these most vulnerable groups are included and that economic assistance also contributes to protection benefits.
- Identify additional protection-related criteria that, where appropriate, are also indicators of economic vulnerability, to reduce exclusion error (Chaudhuri, 2015).
- Consult protection colleagues on the contextualisation of protection-related vulnerabilities, the underlying drivers, and any proposed targeting criteria to ensure the criteria capture marginalised groups or people with specific needs.

5.2 How to identify vulnerability criteria

There are several sources of information that can be used to inform selection of vulnerability criteria. This section provides theoretical guidance on the sources of information to use and their value. For some sources (vulnerability assessment data and community engagement) it also gives practical guidance on the processes to follow.

NOTE

Ideally information should be sought and analysed from more than one source, using a variety of tools to triangulate and validate findings.

5.2.1 Vulnerability assessment data

Analysis of household data on multi-sectoral vulnerability, such as that collected through the UMVAT, other household vulnerability assessment tools, or profiling exercises,²⁶ can be a powerful way to rapidly and efficiently identify vulnerability criteria. Such data gives an analytical framework to understand vulnerability – especially when complemented with additional contextual information collected through the FGDs and KIIs.

i. What to consider when using profiling data to inform targeting

The aim is to implement a ‘good enough’ analysis, based on a high standard of data collection but overlain with human analysis, and that can be adapted to the dynamism of the context, rather than rigorous statistical methods. Figure 5 gives guidance on the key considerations for decision making.



Credit: Peter Biro/IRC

²⁶ Profiling exercises are collaborative vulnerability assessments in displacement situations. For more detail, visit www.jips.org/en/profiling/about-profiling.

Figure 8: Using vulnerability assessment data to inform targeting – considerations for decision making

KEEP IN MIND:	ASK YOURSELF:
<p>1. The methodology used to collect the data and representativeness of the sample</p> <p><i>Often the sample used will not be statistically representative to the refugee population as a whole (eg in contexts where the sample was relatively small, or has been identified through referrals or snowballing techniques).</i></p>	<p>Whilst in such instances, the vulnerabilities identified will be statistically relevant only <i>to this particular sample of refugees/host, in this particular district, smaller profiling samples are pragmatic since urban vulnerability can change very rapidly.</i></p> <p>Data can still be used to inform targeting criteria for broader application. Ask yourself:</p> <ul style="list-style-type: none"> • Can you be confident that populations outside of this sample will have similar vulnerabilities? • Are there any geographical differences in things such as livelihoods and ways of living that could influence targeting criteria?
<p>2. The age and reliability of the data</p> <p><i>Especially in contexts where the situation is rapidly changing.</i></p>	<p>It is best practice to use the most recent and complete information on the target population when deciding on the eligibility criteria. Ask yourself:</p> <ul style="list-style-type: none"> • When was the data collection exercise completed? • Has the situation for those affected significantly changed since then? <p>If so it may be necessary to collect additional data, or to rely on alternative data sources..</p>

CASE STUDY

NRC Turkey analysed UMVAT profiling data from three neighbourhoods in one district of Ankara to develop the vulnerability criteria and their respective scores for the programme. These were used for targeting in 32 neighbourhoods, in this district and in other districts of Ankara. Based on their knowledge of the area, opinion of key informants (Muktars) and secondary data, programme teams considered that the living conditions and vulnerabilities of the displaced in these locations were similar. Results of the targeting exercise substantiated this – as the distribution of household scores across districts was comparable.

Source: Interview NRC Turkey

ii. How to analyse the data

This involves visualisation of household assessment data so that patterns and trends can be detected. There are a range of applications that teams can use to analyse the data collected through tables and graphs, enabling you to visually compare data from one indicator against another and easily distinguish between groups within the surveyed population. This includes Excel, SPSS, Kobo Analyse and the Dynamic Reporting and Analysis Tool (DART) hosted by JIPS. In developing and piloting the UMVAT, NRC has made use of the DART – an overview of the DART, its strengths and limitations is provided in Annex C.

Figure 9 provides guidance on the steps in the process of indicator analysis – accompanied by screenshots of the analysis of NRC Turkey’s vulnerability assessment data (in DART).²⁷ These serve to illustrate the typical outputs that are possible for each step and how these are used to inform selection of vulnerability indicators for targeting purposes.

²⁷ The UMVAT was used to collect quantitative information from displaced households in the Altindag district of Ankara, Turkey in June 2016. This data was processed and uploaded into the DART for a basic analysis of the living conditions and capacities of a sample of 150 Syrian refugee households.

Figure 9: Visual analysis of indicators – guidance on the process

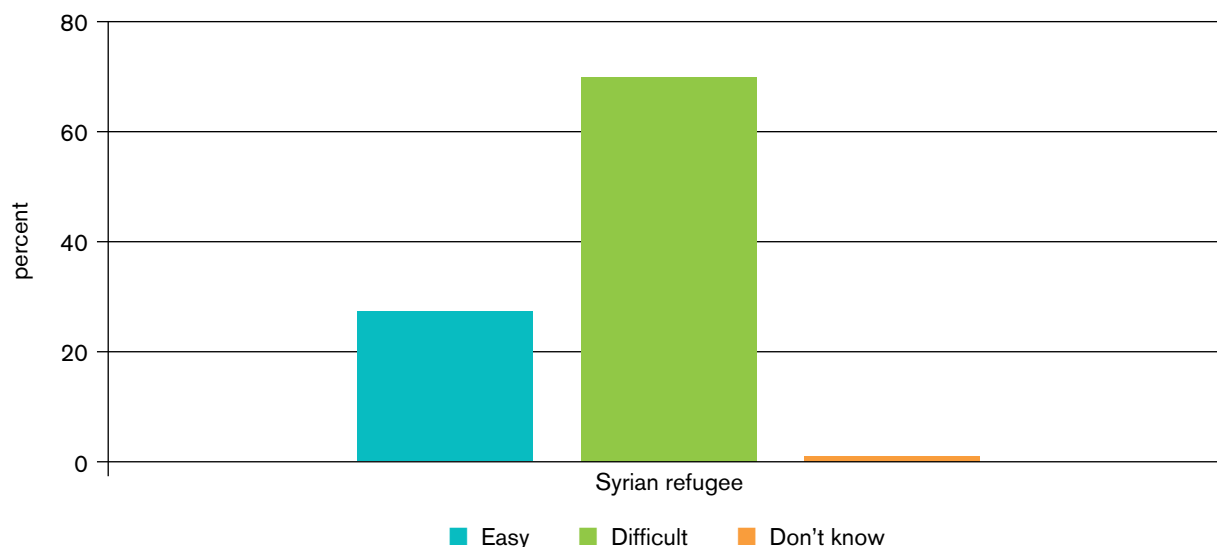
STEP	ACTION	QUESTIONS TO GUIDE DECISION MAKING	SCREEN-SHOT
Step 1: Analysis of socioeconomic and protection-related indicators	Each indicator in the Supporting Tool I 'Selecting Targeting Indicators' that is included in the dataset ²⁸ can be analysed in graphical form in the application, to identify critical indicators of interest.	i. Which are reliable indicators of socioeconomic vulnerability in this context: <ul style="list-style-type: none"> • Which indicators stratify the population into clear groups? • Does this stratification reflect differences in economic security and/or social marginalisation? 	(i)
	The indicators of interest can be compared to other socioeconomic and protection-related variables, to identify relationships between variables.	ii. Which of these variables closely align with measures of income, consumption or expenditure and could therefore be used as proxies of economic vulnerability? <ul style="list-style-type: none"> • <i>For example, if, and how, does household income, or food consumption, vary, between households in different types of shelter?</i> iii. Is there any relationship between the variables identified and other key indicators of vulnerability? <ul style="list-style-type: none"> • <i>For example – do those who live in the poorest quality accommodation also have high exposure to environmental risks, lack of social networks or face high risk of discrimination?</i> iv. Which protection risks are related to economic vulnerability, or sociocultural factors, and which are more universal due to factors in the external environment?	(ii)
	Indicators of interest from Step 1 are broken down and analysed, according to the status-based variables included in the data set, to identify relationships between variables.	v. Do particular population groups in the sample (eg refugee/IDP/host/those living in certain geographical locations) have heightened vulnerability according to these indicators?	(iii) (iv)
	Within a population group the indicators of interest from Step 1 can be further disaggregated by the categorical variables included in the dataset (such as age; gender; etc.).	vi. Do particular demographic groups,²⁹ or household compositions in the sample have heightened vulnerability according to these indicators? <ul style="list-style-type: none"> • <i>Note – if certain demographic or household composition indicators show a particularly strong association to economic indicators, these can be used as a proxy indicators, since these are easier and less time-consuming to apply in resource constrained settings.</i> 	

²⁸ Note: The household questionnaire in the UMAT incorporates almost every indicator suggested in Supporting Tool I, as 'essential' questions.

²⁹ This should go beyond traditional groups to consider others such as widowers/unaccompanied youth.

(i) Graph showing how a socioeconomic indicator (ability to access documentation) varies within a population, stratifying the population

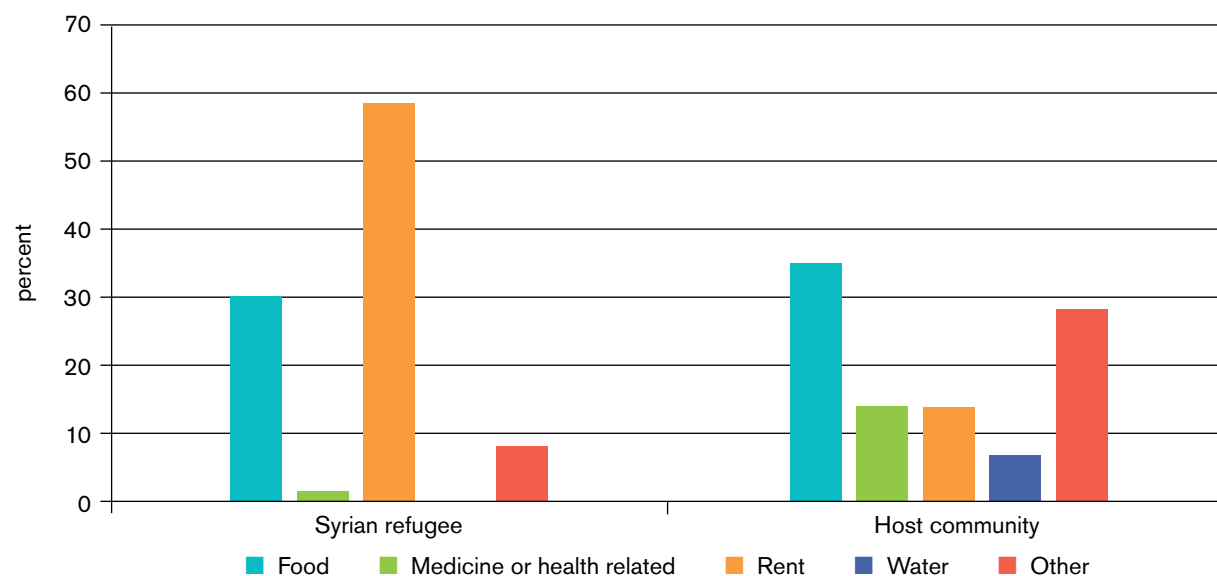
Figure 10: Difficulty accessing necessary documents for Syrian refugee households living in Ankara



Source: Turkey (Ankara) 2016 – Profile of Syrian refugees living in three neighbourhoods in the Altındağ district (Önder, Ulubey and Doğu) of Ankara, Turkey, with data collected during June 2016. Data from a household survey administered to a sample of 168 households (56 in Doğu, 57 in Ulubey and 55 in Önder). The sample includes 14 vulnerable Turkish family households. The households were identified through a snowballing technique.

(ii) Graph and table showing the relationship between a critical socioeconomic vulnerability indicator (expenditure on rent) and another variable (type of shelter), which could be taken as a proxy for consumption

Figure 11: Largest weekly household expense by population group



Source: Turkey (Ankara) 2016 – Profile of Syrian refugees living in three neighbourhoods in the Altındağ district (Önder, Ulubey and Doğu) of Ankara, Turkey, with data collected during June 2016. Data from a household survey administered to a sample of 168 households (56 in Doğu, 57 in Ulubey and 55 in Önder). The sample includes 14 vulnerable Turkish family households. The households were identified through a snowballing technique.

Figure 12: Largest weekly Syrian refugee household expense by type of housing

	OTHER		OWN HOME		RENTED FURNISHED ACCOMMODATION		RENTED UNFURNISHED ACCOMMODATION		LIVING WITH HOST FAMILY FOR FREE	
	%	N	%	N	%	N	%	N	%	N
Food	100	1	100	1	21	3	31	42	0	0
Medicine or health-related	0	0	0	0	0	0	1	2	50	1
Rent	0	0	0	0	71	10	60	81	0	0
Other	0	0	0	0	7	1	8	11	50	1
Total	100	1	100	1	100	14	100	136	100	2

Source: Turkey (Ankara) 2016 – Profile of Syrian refugees living in three neighbourhoods in the Altındağ district (Önder, Ulubey and Doğu) of Ankara, Turkey, with data collected during June 2016. Data from a household survey administered to a sample of 168 households (56 in Doğu 57 in Ulubey and 55 in Önder). The sample includes 14 vulnerable Turkish family households. The households were identified through a snowballing technique.

(iii) Table indicating how a vulnerability indicator (ability to access documents) varies between different population groups, identifying those population groups with heightened vulnerability

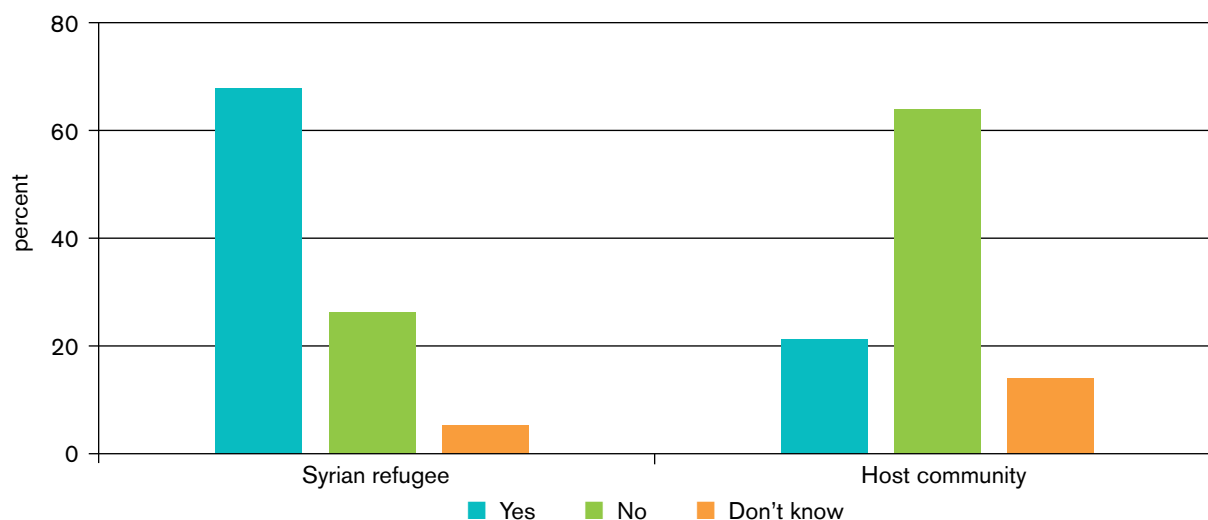
Figure 13: Difficulty accessing necessary documents for Syrian refugee households, by neighbourhood

	DOGU		ONDER		ULUBEY	
	%	N	%	N	%	N
Easy	25	13	25	13	33	17
Difficult	75	38	71	36	65	34
Don't know	0	0	2	1	2	1
Total	100	51	98	50	100	52

Source: Turkey (Ankara) 2016 – Profile of Syrian refugees living in three neighbourhoods in the Altındağ district (Önder, Ulubey and Doğu) of Ankara, Turkey, with data collected during June 2016. Data from a household survey administered to a sample of 168 households (56 in Doğu 57 in Ulubey and 55 in Önder). The sample includes 14 vulnerable Turkish family households. The households were identified through a snowballing technique.

(iv) Graph and table indicating how a vulnerability indicator (ability to access work) can vary between different population groups, identifying those population groups (refugees) with heightened vulnerability

Figure 14: Work available in Altindag, Turkey by population group



Source: Turkey (Ankara) 2016 – Profile of Syrian refugees living in three neighbourhoods in the Altındağ district (Önder, Ulubey and Doğu) of Ankara, Turkey, with data collected during June 2016. Data from a household survey administered to a sample of 168 households (56 in Doğu, 57 in Ulubey and 55 in Önder). The sample includes 14 vulnerable Turkish family households. The households were identified through a snowballing technique.

NOTE

Whilst analysis through such applications can highlight patterns and relationships, it is the human element brought by the team (supported with any contextual or qualitative data) that provides the critical lens to interpret these apparent linkages between variables. Rather than accepting relationships at face value, findings should be interpreted by the team, taking into account their knowledge and experience and the findings of contextual data (FGDs/KIIs). This will build an understanding of why certain people appear more vulnerable according to these indicators. This pushes teams to think about the underlying drivers of vulnerability, their constraints and capacities, taking into account the wider context and cultural norms, in order to select indicators that are most useful for targeting in multi-sector programmes.

5.2.2 Engaging with government

In urban emergencies, authorities – at national and also, importantly, at local government levels – are key stakeholders that humanitarian agencies must engage with more directly than they have perhaps been used to doing.

Such engagement is necessary and useful where:

- i) Targeting criteria are to be informed by the broader political and development context, such as government policies on IDPs and refugees and on the poor in host communities. For instance:
 - If there is a requirement that refugees in the city are formally registered within the municipality in order to receive assistance.
 - If there are particular criteria, or locations, that dictate who the government will grant work permits to.

- ii) National development programmes in urban areas provide access to sources of data that can inform vulnerability criteria. For example:
- City planners can provide information about which formal administrative units and informal neighbourhoods of the city are vulnerable to flooding, have poor access to markets and other services, have longer travel times to informal employment opportunities, are run by criminal gangs or are insecure. These are generally the areas with the lowest price rental properties and where displaced households settle.
 - Social welfare programmes tend to be well-established relative to rural areas. Data on the coverage of these programmes can help inform which municipalities/areas are most vulnerable. Data showing increases in applications to social welfare schemes can be an indicator of high vulnerability of host communities.
 - Eligibility criteria on social assistance schemes (categorical indicators, or proxy indicators of poverty), especially where these schemes have been evaluated, may be pertinent indicators of economic and social vulnerability for IDPs and host communities.

CASE STUDY

Applications to Lebanon's social safety net programme, the National Poverty Targeting Programme (NPTP), have increased noticeably in localities with large numbers of Syrian refugees, suggesting that the refugee flows have resulted in negative consequences on the well-being of non-refugee households in these areas.

Source: Bailey and Barbelet (2014)

On NRC's multi-sectoral assistance programme for refugees in Ankara, an important preparatory activity for targeting was engaging with and building the trust of local authorities. NRC began collaboration with the district's Social Assistance and Solidarity Foundation to understand the targeting criteria used on the national conditional cash transfer programme, and tried where possible to reflect these indicators in targeting the Syrian refugees.

Source: Interview NRC Turkey

5.2.3 Engaging with other humanitarian agencies

In the process of selecting indicators, it is important to capture the expertise and previous experience of other humanitarian agencies.

- Increasingly there are efforts to harmonise approaches between agencies through such things as joint assessments and establishing common minimum expenditure baskets (MEBs). Harmonising targeting approaches through the cluster system and cash working groups has the potential to improve accountability, reduce duplication, fill gaps, and ensure better use of resources.
- This is a key source of information in contexts where access or capacity constraints mean that collection of household level data is not feasible.
- This is also key in contexts where coordinated area-based approaches (ABAs) are being implemented and where there is a need to standardise the criteria used across all agencies. This is happening more and more in urban emergencies – for example where a single MEB is to be used across a large refugee population. In these cases, it is important to consider whether criteria make sense across the whole urban context of a country or whether there are differences to take into account between urban and peri-urban areas.
- It is imperative to triangulate and verify any indicators proposed as a result of household data analysis.

CASE STUDY

The NGO Consortium in Ukraine worked with the Protection Working Group and the Shelter Cluster to determine appropriate criteria for targeting cash assistance. The NGO Consortium did not have any household-level data or any capacity to do a sample survey. Instead they based their targeting criteria on advice from sector experts within their agencies and the respective clusters.

Source: ERC (2015)

5.2.4 Engagement with the community

Targeting criteria should ideally be based on information collected from discussions with affected communities themselves. This is important to:

- i) Capture their understanding of vulnerability and characteristics of the poorest and most vulnerable in their neighbourhood.
- ii) Increase community acceptance of the targeting criteria (Patel *et al.*, 2016).

Guidance on how to engage the community

The following steps can guide your engagement with the community.

- **Step 1 – Define the neighbourhood:** engaging with the community requires interaction at the level of sub-municipalities, and, most likely, neighbourhoods within the municipality. *Guidance on defining a neighbourhood is provided in Section 6.*
- **Step 2 – Be aware of community dynamics:** seek to understand community dynamics, power relationships and the potential for marginalisation of particular groups. For example, this may be on political lines (by local authorities); on ethnic/nationality lines (by local authorities, service providers and host community); and sociocultural lines such as gender discrimination. This will influence decisions in Steps 3 and 4.
- **Step 3 – Identify and consult existing relevant structures:** determine whether there are any existing community leadership structures in the urban area. The views of these groups should be sought, to build trust with local leaders – whilst taking into account community dynamics and whether these reflect the diversity of or marginalise groups within the population.
- **Step 4 – Identify focal points within the community:** identify key ‘focal points’ for newly displaced and other isolated populations, who act as a bridge with the wider community and who can identify others, for FGDs.
- **Step 5 – FGDs:** Given power dynamics in the community, where time and resources allow then wider consultations with affected communities are likely to be necessary through focus group discussions. Aim to involve all segments of the community, and through separate FGDs if time permits – including view of host and displaced, men and women (of different ages), young people (male and female), and minorities or marginalised groups (eg people with disabilities, ethnic minorities, etc.). Be inquisitive, look around you, and spend as much time as possible listening. Employ humility and respect throughout.

NOTE

The UMVAT includes a FGD tool which captures these perceptions along with guidance on how to apply it. If you have completed this part of the UMVAT, you may already have everything you need.

5.2.5 Engagement with the private sector

In urban contexts, the private sector – as a provider of a range of services to the target population including the displaced and residents – may have knowledge of the population and supporting data which can inform your choice of targeting criteria.

- Remittance companies may have data on those population groups that have difficulty in accessing financial services due to lack of civil documents.
- Utility companies may have data on the types of accommodation that lack, or particular population groups that struggle to access, services.

5.3 Finalising the selection of criteria

This section provides overarching practical guidance for finalising the choice of criteria that have been identified through these various processes.

5.3.1 Always contextualise the indicators

Indicators will not be equally appropriate to all urban contexts. Selection must be based on analysis of the context and **the underlying causes** of vulnerability, to determine which are accurate and robust.

Whilst some of the indicators detailed in Supporting Tool I 'Selecting Targeting Criteria' (such as Household Hunger Score (HHS), or family size) are standardised, others such as the CSI and protection indicators must be refined according to the context.

CASE STUDY

Research in Nairobi's urban slums found that insecurity is a key driver of vulnerability. Indicators in this context included households that had experienced theft; perceptions or feeling of insecurity; and 'avoidance measures' for how households coped with the insecurity. Several avoidance measure indicators are highly contextualised and specific to the Nairobi context – eg 'not leaving the house'; 'paying for an escort'; and 'returning home early'.

Source: Chaudhuri (2015)

5.3.2 Consider constraints due to programme location and context

Indicators vary in the ease that they can be measured – they have different requirements for data collection and the targeting mechanisms that can be used. Security and access, time, budget, expertise and resources available will all determine the type of criteria that can realistically be used and these factors should always be taken into account.

CASE STUDY

In Turkey in 2016, the planned Emergency Social Safety Net (predictable, multi-purpose cash assistance for one million Syrian refugees, funded by ECHO) proposed to make use of simple demographic criteria for targeting – due to the scale of the crisis, limited data available on registered refugees, and the worry that conducting household surveys would be too time-consuming. However, analysis by agencies in the Cash-based Intervention Technical Working Group suggested that using these criteria alone may exclude a significant proportion of those currently relying on assistance. Discussions are underway to identify gaps and how these vulnerable caseloads can best be addressed.

Source: Interview CARE Turkey

5.3.3 Include a mix of targeting criteria

Given the diversity of urban vulnerability, relying too much on one criterion (such as female-headed households), or on one approach (such as categorical criteria) can result in inclusion and exclusion errors (MacAusland and Farhat, 2013). Multi-sectoral programmes that combine a variety of targeting criteria can fill gaps and exclude fewer vulnerable cases from assistance (ibid).

- When adding new criteria, always compare the expected increase in accuracy with the additional time and resources needed to implement targeting based on these criteria. There will need to be a trade-off between the desire for accuracy and the need to identify and assist beneficiaries in a timely and cost effective manner.
- Decide whether particular criteria will take precedent over others; and on whether any critical indicators will determine immediate access to assistance, regardless of whether or not households meet the other eligibility criteria.

BOX 4. EXAMPLES OF MIXED TARGETING CRITERIA EMPLOYED IN URBAN CONTEXTS

In NRC's multi-sectoral assistance programme for people affected by displacement in Mogadishu, the identification of the beneficiaries was based on a set of vulnerability covering (i) characteristics of the head of the household (female, elder, child, sick/ill, disabled); (ii) the socioeconomic situation of household (level of debt, external assistance, savings, access to credit, productive assets, and employment); and (iii) the composition of the household (number of children under five years old, number of orphans, pregnant/breastfeeding women, elders, and disabled members).

Source: Interview NRC Somalia

When targeting Syrian refugees for multi-sectoral cash assistance, DRC Turkey used a range of criteria when applying a scorecard methodology. Priority went to households characterised by one or a combination of: single-headed households; large families (over six persons or with several children under five); separated children; elderly (60+) with limited family support; families with children/adolescents out of school due to economic difficulties; families with persons with disabilities or chronic illness; families at risk of eviction or with no legal documents; and families with members unemployed or engaged in daily labour.

Source: Armstrong and Jacobsen (2015)

In comparison, NRC Turkey in Ankara applied a scorecard that prioritised different indicators. Whilst analysing assessment results which identified a range of indicators of vulnerability, NRC needed to align with the criteria being set for targeting of cash assistance on the forthcoming Emergency Social Safety Net (ESSN), the transitional relief package to meet the medium term needs of Syrian refugees in Turkey. This programme, whilst addressing socioeconomic vulnerability, is based on categorical indicators due to a lack of household socioeconomic data and the need to align with the welfare system of poor Turks for eventual ownership of the programme by the government. NRC therefore undertook analysis of their own household profiling data through the UMVAT, to see how the ESSN indicators related to economic vulnerability – this showed that these criteria were a good but not perfect match. These include: elderly-headed households; child-headed households; households with at least one disabled member; single female-headed households; single parent households; households with a dependency ratio above 1.5; and households with four or more children. To this, NRC added: households with children not enrolled in or withdrawn from school (based on analysis of UMVAT data); households holding a temporary protection ID card (a requirement for assistance in Turkey); and household's residency status in Ankara (a requirement of the project).

Source: Interview NRC Turkey; NRC (2016)

5.3.4 Vary criteria according to the programme component or phase of response

Multi-sectoral urban programmes can be made up of a variety of interventions, or components. Specific components may be targeted at various sub-groups of the population. In practice, therefore, targeting on multi-sectoral urban programmes can involve several tiers of targeting, using different targeting criteria according to the specific needs and vulnerabilities to address in each programme component, or the phase of the response:

- Response phase: criteria need to be simple, and quick to apply and verify.
- Early recovery phase/protracted crises: more time can be taken in selecting and applying criteria; interventions may want to have a greater focus on capacities.

This can enable timely and effective 'broad-based' targeting of initial multi-sectoral assistance to meet needs across sectors, whilst allowing for the application of additional, sector-specific or more detailed targeting criteria to focus complementary interventions where they are most needed.

Guidance on these criteria is provided in Supporting Tool I 'Selecting Targeting Criteria'.

CASE STUDY

In Lebanon, agencies are using common socioeconomic criteria to target Syrian refugees. These criteria are applied, as a first layer of targeting, generating a database of vulnerable households for targeting multi-purpose cash assistance. Agencies in the shelter working group then take this list of vulnerable households and apply additional sector-specific vulnerability criteria on household's shelter condition and levels of overcrowding, to identify beneficiaries for shelter rehabilitation support.

Source: Interview NRC Lebanon

5.3.5 Communicate decisions to communities, agencies and authorities

All decisions on targeting criteria must be clearly checked and communicated with the affected population. Besides sensitising the community on the rationale for who will and won't be selected, this can help to further contextualise the proposed criteria and, where community perceptions of vulnerability differ from those that have been selected, allow these to be revised.

- Standardising eligibility criteria and keeping them simple can help to build understanding, reduce confusion and increase perceptions of fairness. In urban contexts, it is important that local authorities are also kept informed to ensure they understand the criteria and can respond effectively to those complaints.
- Sensitisation activities in urban areas should take place through more than one channel to ensure adequate transmission of information. Besides neighbourhood meetings, information bulletins posted within offices of clinics, social services and community-based organisations (CBOs), advertisement and canvassing by community mobilisers, urban programmes can take advantage of the widespread adoption of mobile technology and internet to disseminate messages through social media, WhatsApp, SMS and online forums for particular vulnerable communities.

CASE STUDY

When targeting multi-sectoral assistance to displaced families and households from host communities in Goma, NRC identified a range of categorical and socioeconomic criteria through a profiling exercise, which were then shared with and verified by community committees. There were two changes to the criteria used as a result:

- NRC's analysis had identified widows as one categorical indicator; the community agreed but also highlighted the need to support those older widowed men who live alone.
- NRC had considered young single mothers as being part of larger household units, whereas the community identified these as separate household units and therefore a key vulnerable group.

Source: Interview NRC Democratic Republic of Congo

5.4 Checklist to guide programming

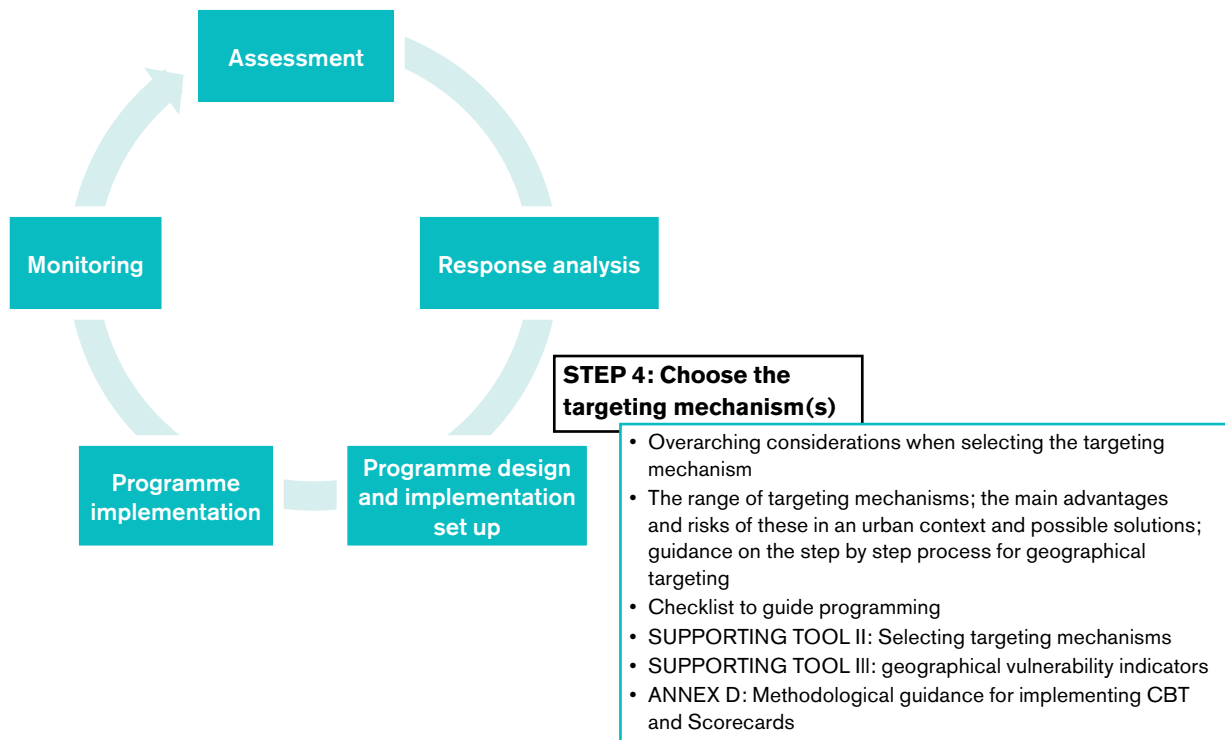
The checklist tool can be used at the **programme design and implementation set-up stage** of the programme cycle to ensure that appropriate decisions are taken and indicators selected.

This checklist serves as a guide only and should not be taken as minimum standards – rather, activities must be informed by the realities of the context. However, by undertaking all, or many, of these actions we can better ensure that the targeting criteria selected are accurate and appropriate for the context.

CHECKLIST TOOL – ENSURING APPROPRIATE DECISIONS ARE TAKEN DURING SELECTION OF TARGETING CRITERIA	
Have you compared the targeting approaches and decided on the types of criteria that are feasible to include, taking into account your programme objective and factors such as resources, time, capacities and access restrictions (Annex B)?	
Have you considered whether additional targeting criteria be needed for different programme components?	
Have you ascertained whether any secondary data from government or humanitarian partners can guide the selection of criteria?	
Have you considered any concerns or requirements of the authorities?	
Have you considered the requirement to coordinate and harmonise criteria with other humanitarian agencies?	
Are vulnerability assessment data available and can these be used for selecting targeting criteria (do they include the vulnerability indicators outlined in Supporting Tool I; can the findings from this sample be used for targeting more generally?)	
If so, have you analysed assessment data to see which variables link with economic vulnerability (Section 5.2.1)?	
If so, have you analysed assessment data to see which population groups or household compositions are most vulnerable according to these indicators (Section 5.2.1)?	
Have communities been consulted on characteristics of vulnerability and on who are the most vulnerable?	
Have findings from the different data sources been triangulated?	
Have targeting indicators been selected, taking into account their relative benefits and limitations (Supporting Tool I), as well as time, resource, capacity, and access constraints?	
Has the selection of indicators been verified with the community or their representatives?	

6. STEP FOUR: Choose the targeting mechanism

Figure 15: Step 4: Choose the targeting mechanism(s)



The targeting mechanism **is the process by which we identify those households and individuals that fit the targeting criteria and enlist them onto the programme.** There are a range of different targeting mechanisms that can be used.

This section provides an overview of factors to consider when selecting the targeting mechanism. The following sub-sections introduce each targeting mechanism in turn. They detail the benefits of using the mechanism and practical guidance for implementation concerning the risks to be aware of and possible solutions. Section 6.2 on geographical targeting gives more detailed practical guidance on the step-by-step process to select neighbourhoods for an area-based approach. Annex D provides practical step-by-step guidance for practitioners seeking to implement two mechanisms – scorecards and community-based targeting (CBT).

SUPPORTING TOOL II

'Selecting Targeting Mechanisms' provides a tool to guide decision making when selecting targeting mechanisms in urban contexts

SUPPORTING TOOL III

'Geographic Vulnerability Indicators' outlines indicators for geographical targeting in urban contexts and data sources.

Factors to bear in mind when selecting the mechanism:

1. **Targeting mechanisms are imperfect:** all will generate errors of inclusion and exclusion.³⁰
2. **There is no one best way to target in urban areas:** each targeting mechanism has benefits and limitations, presenting trade-offs in terms of, for example, the cost and the resources required to implement, the data requirements, speed, feasibility, accuracy, and transparency, and these will also vary according to the context.
3. **Remain pragmatic – what is ‘good enough’:** practitioners should select the mechanism that allows for the rationing and prioritisation of assistance to meet needs as quickly, fairly and transparently as possible. This means striking a balance between accuracy, timeliness and cost, whilst acknowledging limitations and seeking to mitigate risks where possible.
4. **Incorporate mixed methods:** given the scale of need and the limitations of each targeting mechanism, it is considered best practice to use more than one targeting mechanism in combination so as to reduce errors and further prioritise resources (Sharp, 2015; Mohiddin and Smith, 2016; Patel *et al.*, 2016). In almost all contexts, geographical targeting will be an essential first ‘layer’ of targeting, to prioritise resources to particular areas, combined with other mechanisms (ERC, 2015).

CASE STUDY

In the Democratic Republic of Congo (DRC), assessments of UNHCR and partners indicated that the risk of sexual and gender-based violence (SGBV) among the refugee population was strongly related to survival sex, especially among adolescent girls who were living on the streets. UNHCR and partners used a combination of self-targeting and proactive outreach in particular geographic areas, in order to target girls involved in survival sex for a range of assistance including economic support plus protection and health related interventions. Street outreach teams regularly visited the areas where girls were known to frequent in order to identify potential beneficiaries. Girls who were already identified were also encouraged to bring others to the centre where the programme was based.

Source: UNHCR (2016)

In Niger, UNHCR and implementing partners identified vulnerable displaced households through a combination of community workers and self-referral at the One-Stop-Shop for services to urban refugees in Niamey. Those visiting the centres and requesting assistance received a home visit where they were interviewed and their situation assessed and documented through the use of a scorecard. UNHCR and partners then reviewed the scorecard results to establish eligibility and type of assistance.

Source: UNHCR (2016)

6.1 Administrative targeting

Here, households or individuals matching the targeting criteria are selected from an existing population list. Examples of such administrative data include:

- Government or UNHCR databases of registered refugees
- Household social registries or poverty databases in the country
- Lists of beneficiaries of or applicants to social assistance programmes, and
- Existing household data of humanitarian agencies.

i. Benefits of using administrative data

Given the time and costs associated with collecting additional household data, or the process of compiling beneficiary lists from scratch, making use of already available data can create efficiency gains and increase the timeliness of assistance. Such data can also be used as the necessary baseline data to calibrate targeting through the proxy means testing mechanism, making these more cost effective (see Section 6.4).

³⁰ Inclusion errors occur when people who should not be programme beneficiaries receive benefits. This is also known as leakage (ie programme benefits leaked to those who are not eligible). Exclusion errors occur when people who should be enrolled in a programme are not. This is also known as under-coverage (ie the programme does not reach those that it should under the agreed targeting criteria).

CASE STUDY

In Lebanon, UNHCR's existing registration database for refugees (ProGres) was useful to enable the targeting of poor Syrian refugee households without the need for a household visit, something that can then reduce the cost of targeting without compromising accuracy.

Source: UNHCR (2016)

After the earthquake in Bam in Iran, undertaking a thorough household survey was not feasible due to time and resource constraints. As a result, relief efforts made use of the existing categorical vulnerability criteria defined by the local Welfare Organisation and were able to rapidly begin targeting resources to people in need.

Source: Patel *et al.* (2016)

ii. Risks and possible solutions

Inclusion of targeting criteria: The data fields included in such databases will vary. For example, they may comprise simple household administrative data; they may incorporate demographic or categorical data; they may include a range of socioeconomic characteristics; or they may simply provide an income threshold or poverty score.

- Decisions to use administrative data needs to consider what data are included and the extent to which they match the targeting criteria you have selected.
- Alternatively it may be possible to use such lists to 'pre-identify' a long list of possible households and individuals for assistance, to which programme-specific eligibility criteria are then further applied through follow up household visits/meetings.

CASE STUDY

In Turkey, INGOs such as NRC have made use of the household lists of local community-based organisations, to pre-identify Syrian refugee households for targeting humanitarian assistance. Households on the list are then screened against the targeting criteria for the programme.

Source: Interview NRC Turkey

Accuracy: Effective targeting through the use of pre-existing data depends on the accuracy of the lists. Practitioners must consider:

- Quality of the data – the source of the data and whether it is unbiased; coverage of affected populations; whether collection methods were systematically applied; likelihood of errors in the dataset.
- The age of the data – given rapidly changing urban environments, selection using pre-existing data requires that this is as up-to-date as possible.
- Contact details – how will you physically reach or communicate with those on the list, especially since displaced households often move regularly in urban areas. Recording mobile phone numbers can be most useful in urban areas as long as care is taken to manage these data securely.

CASE STUDY

When NRC made use of a community-based organisation's administrative data on Syrian refugees for targeting assistance, they struggled to inform beneficiaries since the contact details in the database were either missing or out of date. It took the programme team several weeks to find beneficiaries, and less than 20 per cent of the households listed in the database could be found.

Source: Interview NRC Turkey

Access to and use of the data: Various organisations can own or be custodians of the administrative data listed above – including national and municipal authorities; foundations or civil society organisations; UNHCR; and other humanitarian agencies.

- Utilisation of such lists for targeting will require their agreement to share the data which in turn may depend on national or agency policies on data sharing and data protection.

6.2 Geographical targeting

Geographical targeting means prioritising assistance to particular urban neighbourhoods or settlements that have been hardest hit by a crisis.

i. Benefits of geographical targeting

- The size and scale of the need in urban areas means no single agency or programme can meet all needs, whilst the heterogeneity of the urban environment means the severity of needs and vulnerabilities will vary considerably between locations within the urban area. Geographical targeting is a pragmatic, accountable, and highly effective way of rationing and prioritising assistance and is often used as an initial targeting mechanism in urban areas (MacAuslan and Farhat, 2013; Patel *et al.*, 2016; Chaudhuri, 2015).
- It is also consistent with the adoption of area-based programming as good practice in urban areas, enabling integrated and well-coordinated programming for greater impact.³¹

ii. Risks to be aware of and possible solutions

- Geographic targeting requires an understanding of the overall economic and social characteristics of and service provision within the urban area, and of how these vary between districts or neighbourhoods, to identify those with elevated vulnerability and that are underserved by other agencies.
- It is inevitable that a process focusing resources on certain areas, at the expense of others, will exclude those households and individuals that fit targeting criteria but who live outside the locality. Even the most robust geographic targeting will miss some vulnerability given that populations with similar needs will be spread throughout the city (Sanderson and Knox-Clarke, 2012; Patel *et al.*, 2016). An important element of ABAs is coordination between agencies, with agencies strategically aligning their respective geographical areas to reduce these exclusion errors.

CASE STUDY

In Ouagadougou, Burkina Faso, researchers successfully validated geographic targeting against income, food insecurity, and other vulnerability measures; but vulnerable households in non-visited districts were left out.

Source: Patel *et al.* (2016)

There is little concrete evidence on definitive best practices for how to go about geographical vulnerability mapping of urban areas (Interview, REACH), however the following sub-sections give some practical guidance.

6.2.1 Selecting indicators for geographical targeting

Agencies should aim to map vulnerability and select areas for assistance in a coherent and accountable manner, through application of various geographical indicators. A range of indicators highlighting the exposure to and lack of capacity of geographic populations to manage the shock can be used to inform selection of the 'most vulnerable' areas.

Ideally data on several of these indicators will be sourced to build up a more accurate analysis of overall vulnerability. Such mapping activities much take into account the time, resources, team capacities, and data sources available, as well as the duration of the programme.

A combination of economic insecurity and refugee concentrations is a logical starting point for identifying areas (Bailey and Barbalet, 2014). Exposure (one component of vulnerability) is greatest in areas with high numbers of displaced people. However, displacement alone is not a sufficient indicator of vulnerability as both IDPs and refugees can settle in locations where they, initially at least, have more economic security than the host community.

³¹ NRC's strategy for urban programming is to work in one, or several, sub-districts or areas within the town or city and to effectively meet multi-sectorial needs in these areas – rather than single-sector approaches in multiple areas.

Other indicators can be added to these. Further important determinants of vulnerability emerging from various research activities are:

- Lack of access to services and secure livelihoods (REACH, 2015a; 2015b; Interview REACH; Interview Kings College UrbanArk programme; Bailey and Barbalet, 2014)
- Insecurity and social tensions,³² and
- High risk of conflict and natural disasters.

SUPPORTING TOOL III

'Geographic Vulnerability Indicators' lists the indicators and provides detail of their strengths for geographical targeting, as well as potential data sources.

CASE STUDY

Lebanon's social safety net programme, the National Poverty Targeting Programme, requires households to apply to the government for inclusion in the programme. Applications to the programme have increased noticeably in localities with large numbers of refugee numbers, which can be an indicator for geographical targeting of assistance to host communities.

On NRC's assistance programme in Somalia, two settlements were selected to focus assistance on through using set criteria including: presence of high numbers of IDPs or refugees; presence of poor host communities; and limited numbers of food security and livelihood interventions by other agencies.

In the Syria crisis response, the ILO is prioritising geographical locations according to poverty indicators, conflict/social tension indicators, the potential for job creation, and refugee concentration.

Source: Bailey and Barbalet (2014); Interview NRC Somalia

6.2.2 Selecting the urban areas of interest

There is high population density and high levels of inequality within districts or municipalities in urban areas and local understanding of what constitutes their 'community' does not necessarily fit with administrative boundaries. Agencies will therefore often need to go below administrative boundaries, to identify small enough geographical units (specific informal settlements, neighbourhoods or sub- neighbourhoods) for further analysis (Patel *et al.*, 2016; Smith and Mohiddin, 2015).

Step 1: Identifying administrative areas of interest

This focuses on identifying larger administrative units for further analysis. Practitioners can make use of existing vulnerability maps where they exist. Otherwise selection will need to rely on secondary data plus inputs from local authorities and other key informants. Indicators of interest here will include several of those highlighted in Supporting Tool III 'Geographic Vulnerability Indicators': poverty rates; refugee caseload; presence of other agencies; access to and stress on services.

Step 2: Coordinating with all relevant external parties

This includes coordinating with other implementing agencies and clusters to confirm your understanding of who is doing what and where, and that your proposed area is harmonising with and not duplicating other work; also, liaising closely with relevant government structures at the local level to share your rationale for working in this area and seek the necessary approvals and collaborations.

Step 3: Determining the neighbourhoods for inclusion

It is then possible to divide the district or municipality up further into small grids and sub-neighbourhoods. In some places, this may already be defined. In other cases, it will not be formally defined and there will be a need to physically map neighbourhood boundaries. It is recommended that this process involves local stakeholders with knowledge of the area and of the community – either key informants or through FGDs. It is very likely that these will cross administrative boundaries.

³² Since 'social cohesion' is not practical to measure as an indicator, other more measurable indicators which also show positive association with an increased likelihood of social tensions can be used.

6.2.3 The data sources to use

Typical data sources that can be used to guide the selection of neighbourhoods are presented in Figure 16.

NOTE

If a vulnerability profiling exercise through a tool such as the UMVAT has been undertaken recently, much of this data will be available already.

You should consider all data sources, and aim to use data which allows for ‘good enough’ geographical targeting: ie that allows you to identify vulnerable neighbourhoods, with confidence, taking into account time, resources, and access constraints.

- Evidence highlights the importance of including authority and community perspectives in geographical targeting (Patel *et al.*, 2016; MacAuslan and Farhat, 2013; Smith and Mohiddin, 2015).
- Ideally, geographic targeting should incorporate both primary and secondary data to accurately define communities and determine their respective vulnerability. Acknowledging resource challenges, an alternative approach may be to first analyse secondary data and make a decision at this stage about whether further detailed information from communities is needed.

Figure 16: Data sources to guide geographical targeting

DATA SOURCE	FOR EXAMPLE....	COMMENTS
Secondary data	<ul style="list-style-type: none"> • Hazard vulnerability mapping data • Concentrations of refugees • Census data • Poverty data • Welfare figures • Service level data • Presence of other actors 	<p>Can include data available from municipal authorities and service providers; plus the assessments and monitoring systems of humanitarian agencies.</p> <p>Supports ‘Step 1’ – initial selection of administrative areas.</p> <p>Potentially some data is available at the level of specific neighbourhoods, to inform ‘Step 2’.</p> <p>Where time/resources constrain primary data collection, this may be the only option. Data on informal settlements can be lacking/out of date.</p>
Primary data	<ul style="list-style-type: none"> • Key informants 	<p>Include local authorities, service providers and other community representatives or individuals with knowledge:</p> <p>Can support ‘Step 1’ – initial selection of administrative areas – where secondary data is limited.</p> <p>Can support ‘Step 2’ – identifying specific neighbourhoods – including mapping of neighbourhood boundaries; identifying poverty pockets within the residential areas; mapping of service catchments; explaining variation in access to services.</p> <p>Can ensure some local perspective is included, where FGDs and HH data collections are not possible.</p>
	<ul style="list-style-type: none"> • FGDs with community members 	<p>Importance of community perspectives to help ensure that vulnerable areas and populations are not overlooked.</p>
	<ul style="list-style-type: none"> • Household interviews 	<p>Supports ‘Step 2’ – identifying specific neighbourhoods – including defining and mapping of neighbourhood boundaries; mapping of services and areas of insecurity; explaining access to markets and services.</p> <p>May not be feasible where resources or access are limited, but should be undertaken where possible. FGDs are quicker and easier, in resource constrained settings.</p>

6.2.4 Mapping and analysis

There are various approaches that teams can take to mapping and analysing the information; these vary in terms of, their cost, complexity and the time and expertise required on the one hand, and the power of the analysis on the other hand. These are presented in Figure 17.

Figure 17: Options for mapping urban areas

OPTION		COMMENTS
1	Narrative only	FGD with community to define community boundaries, locations of services/ points of interest. Record findings as a narrative. Such mapping processes are outlined in various qualitative research tools, such as participatory rural appraisal (PRA). This lacks the benefit of visualising the data but is quick and easy, and is 'good enough' in contexts where time is limited or where mapping is restricted (perhaps for political reasons).
2	Static map and pen	Use municipal maps of the area or print maps from Google Earth and draw on boundaries and other features. For teams lacking GIS expertise, this provides some of the benefits of visualising the data in a low tech way. It can also combine elements of the community narrative in line with PRA.
3	Interactive map and overlay	Use maps in Google Earth and overlay boundaries and features using polygons / copy into a package such as Illustrator to overlay these features.
4	GIS mapping	Spatial mapping of data – through open source packages like QGIS. 'Business standard' packages like ARC-GIS are expensive and requires specific training. This requires some level of GIS expertise but gives you the ability to link datasets and carry out spatial analysis of data, where such data exists. Data points can be mapped and spatial relationships determined. GPS points can be weighted based on population density.

6.3 Community-based targeting

In community-based targeting (CBT), eligible beneficiaries are identified by the community. This is a common practice on programmes in rural areas where this is generally undertaken through community leaders, or a committee selected as community representatives working as a committee. This may be based on vulnerability criteria that are determined by the community or the agency.

NOTE

Even where CBT is not feasible or appropriate, this does not mean that communities cannot or should not participate in the targeting process at other steps. Incorporating community knowledge into the targeting process is absolutely essential, whatever the mechanism used.

i. Benefits of CBT in urban contexts

- CBT is a growing methodology in humanitarian practice and is widely acknowledged to be effective in encouraging beneficiary participation and engagement and in improving accountability. It can be an inclusive and locally-driven process and is aligned with the principles of area-based programming.
- Community-based targeting may also be less time-consuming and costly than other data collection techniques (Patel *et al.*, 2016).

ii. Risks to be aware of and possible solutions

The construct of a 'community' in urban areas is heterogeneous and fluid, and can lack the cohesion of communities in rural areas. Some displaced households can choose to stay anonymous, whilst others move regularly for economic reasons or their own protection. Practitioners should take into account the following issues:

Importance of understanding communities and community structures: in some urban areas, the lack of social cohesion, lack of existing community structures, and population density can make it difficult to understand who, or which structures, represent the 'community'. This can increase the likelihood of exclusion error, especially for potentially marginalised groups (Patel *et al.*, 2016).

- Success depends on a nuanced understanding of communities, and a sufficiently small enough unit of analysis. Defining what constitutes 'the community' is a critical starting point. Geographic proximity and administrative boundaries do not necessarily indicate tight knit, cohesive communities due to population mobility and fractured social networks (Patel *et al.*, 2016; Smith and Mohiddin, 2015). Further guidance on mapping the community is provided in Section 6.2.
- Urban CBT should not rely too heavily on community leaders or structures where members do not know all vulnerable households, or may be prejudiced towards certain groups. This can lead to systematic exclusion of vulnerable groups or individuals. This is partly on account of the complexity, fluidity, and density of communities, and partly due to the influence of local power dynamics on the process. Just as in rural areas, practitioners must be aware of the motivating factors behind participation in CBT and always take power dynamics into account (Patel *et al.*, 2016; Sanderson and Knox-Clarke, 2012).
- Taking time during needs and vulnerability assessments to understand how the displaced receive information, and what community structures exist and can be built on, can help. Targeting that helps to build social cohesion in this way can have multiple benefits for these populations – however such activities are too often overlooked in humanitarian programmes. To do this requires time and resources, so it may not be feasible in all contexts.

CASE STUDY

Oxfam' and Concern's programme in the slums of Nairobi relied on local community members – community health workers (CHWs) – to identify beneficiaries. A validation survey found substantial evidence of inclusion error, indicating that the CHWs did not correctly identify the most vulnerable households. Problems included CHW's preferences for including their friends or relatives, and a lack of incentives for CHWs to go the extra mile to uncover every vulnerable household in their area as they did not receive compensation.

Source: MacAuslan and Phelps (2012)

Whereas Action contre la Faim (ACF) relied on community nutrition workers to identify beneficiaries for a nutrition project in Mogadishu (children under five, and pregnant and lactating women), evaluation showed that targeting successfully achieved the goals of the project and delivered nutritional support to all children under five with severe acute malnutrition (SAM) in the study area, with no evidence for discrimination or bias in targeting beneficiaries.

Source: Patel *et al.* (2016)

In Mogadishu, NRC employs CBT because it is seen as beneficial to the programme to empower community leaders. The targeting activity is tasked to community committees that NRC is developing as part of their programme activities for disaster risk reduction. They work with communities to set up and train locally elected disaster risk reduction committees to identify, plan for, and mitigate impacts of shocks. These committees are representative of the IDP community and lead the CBT. The training provided reduced the risk of bias inherent in CBT but did not totally remove it, so the CBT process required careful NRC supervision.

Source: Interview NRC Somalia

Importance of verification: Accurate targeting through CBT in urban areas requires careful oversight of the process rather than unconditional devolution of the activity to community groups. It involves triangulation and verification of information received, as the most vulnerable households may be unknown to community leaders (Cross and Johnson, 2011; Sanderson and Knox-Clarke, 2012; Patel *et al.*, 2016).

- In cases where local power dynamics suggest a high risk of bias or exclusion, the engagement of community leaders can be limited to simply identifying potentially eligible cases and referring these to the agency, who then make decisions on who should be included and excluded.

Types of targeting criteria that can be used: Successful CBT depends on the community's capacity to perform the type of differentiation needed, which has a bearing on the targeting criteria that can be used.

- Categorical and status-based indicators are easier for community members to understand and use.
- Socioeconomic criteria can be used but need to take into account how community leaders will identify households in practice – whether through a community meeting or through house-to-house visits.

NOTE

Annex D.2 provides practical guidance for practitioners seeking to implement the step-by-step process for CBT.

Proxy means testing

In the case of proxy means testing (PMT), statistical analysis is undertaken on a sample of household data from the population of interest, to identify which characteristics are strongly correlated with poverty (in the form of a defining indicator for economic insecurity, such as expenditure or consumption). It is possible to combine a range of vulnerability criteria, including socioeconomic, categorical, and status-based indicators. Weights, or scores, are given to these indicators according to the strength of the relationship. The PMT is then usually applied in the form of a household survey of the target population, generating a score for each household based on these characteristics.

A popular mechanism in the targeting of long-term national social assistance programmes, the PMT has been piloted as a mechanism for targeting humanitarian assistance in the displacement crisis affecting the MENA region, based on the understanding that economic insecurity is a defining feature of vulnerability in these contexts. These approaches are usually large scale, as they require econometric support and annual updates, often overseen by governments or the UN.

i. Benefits of the PMT

- The mechanism is (theoretically) based on a scientific process for selecting vulnerability criteria, and uses a household survey approach to score prospective beneficiaries. Proponents argue that this makes the mechanism more objective and, as a result, more robust in identifying the 'most' vulnerable and in reducing errors (particularly inclusion error). **However, to date there remains very little data to prove the purported effectiveness of the PMT for targeting in urban emergencies** (Patel *et al.*, 2016).

ii. Risks to be aware of and considerations for practitioners

The experiences from programmes using the PMT for targeting humanitarian assistance to refugees in Lebanon, Jordan, and Iraq³³ have highlighted a range of issues and constraints. The issues are as follows:

Time and cost of undertaking a PMT exercise: the data requirements of a PMT mean that exercises are expensive and time-consuming. Sufficient, representative data on the affected population is required to run the regressions, in order to identify the proxy indicators and define the scores. After this, the population must be surveyed using the tool that has been developed. All households within the target population must be surveyed, which again can be time and resource intensive. Furthermore the dynamic situation in urban displacement emergencies means that these household indicators and scores may rapidly go out of date.

³³These issues are documented in Smith and Mohiddin (2016); Sharp (2015); Patel *et al.* (2016); and through various key informant interviews held in developing this guidance. It should be noted that there is a wealth of similar evidence on these issues and challenges coming from application of the PMT in long-term development programmes.

- If there is pre-existing, representative household data on which regressions can be performed this can save time and resources and make PMT more cost-effective.
- Practitioners must consider the time and resources not only for any initial targeting exercise, but also for any retargeting. For example, on social protection programmes globally, these constraints mean retargeting is only carried out approximately every five years (Smith, 2016; MacAuslan and Farhat, 2013; Smith and Mohiddin, 2015; Mohiddin and Smith, 2016).
- One way of cutting costs can be to calibrate the PMT purely on basic, administrative data (eg refugee registration data) that are already available for most households, so as to remove the need for high-coverage household surveys. This was undertaken in Lebanon and can save time, but is also likely to reduce accuracy and increase exclusion errors (see below).
- Such investments must be justified in relation to the potential benefit of improved targeting (see section on accuracy below).
- Often there are not the financial resources to repeat the PMT more than every 12-24 months, which in an evolving protracted displacement can mean that the PMT does not capture changing vulnerabilities or include newly displaced in the targeting.

Complexity of the process: The complex statistical process reduces the transparency of targeting. It is not well-understood by communities and can lead to high levels of complaints. This is especially the case in contexts of high levels of need, where the scoring system creates an essentially arbitrary cut-off between those who are included and those who are excluded, with little separating their circumstances.

The process is similarly unintelligible for many humanitarian practitioners. Such skillsets are not common in humanitarian agencies, and to date the process has relied on technical assistance from external experts in methods of econometric analysis. A lack of understanding of the statistical process has limited the critical assessment of these econometric models by practitioners. However, this is essential if the tools developed are to be sufficiently robust – particularly since econometric specialists may lack the necessary humanitarian lens.

- Agencies interested in moving forward with PMT must consider the costs versus the benefits of building this expertise:
- Agencies can source such expertise externally on a needs basis. It will remain difficult for staff to engage in the decision-making processes based on highly technical analytical models. Models and their assumptions are then accepted at face value rather than being critically appraised.
- Agencies can invest in the necessary training to undertake analysis in house. Given the time and resources needed, this will need to be during preparedness, not response. It might not be a financially viable option unless the agency makes a strategic decision to utilise PMT more consistently across programmes and countries.

Accuracy: Whilst the PMT is being adopted on the basis that it is a more objective, robust and accurate targeting mechanism for the directing of scarce resources towards the ‘most vulnerable’, this robustness is contingent on the construct of the tool (MacAuslan and Farhat, 2013; Patel *et al.*, 2016). Accuracy of the PMT can be limited by:

The accuracy of the proxy indicators included: ie whether they truly link with, and determine, vulnerability in this context and whether they capture its multidimensional nature. PMTs that fail to capture this aspect risk reducing targeting accuracy. Furthermore, no PMT will be perfect – it is based on trends and cumulative scores, whereas there are always vulnerable cases that buck the trend and where cumulative scores are low but vulnerability is high. For example in PMTs where ‘large household size’ or ‘many children’ are household characteristics that score highly, extremely poor households that are small in size, with few dependents, score poorly.

- Evidence suggests PMTs must go beyond indicators of expenditure, assets, and consumption to consider coping strategies and categorical indicators (Patel *et al.*, 2016).
- Whilst the PMT relies on econometric modelling, it is important that agencies include a ‘human element’ to this process of first identifying and then testing the indicators.
- Incorporating an appeals process can introduce a human element and a level of flexibility to targeting – where excluded-but-borderline cases, or households who are shown to fit certain ‘critical indicators’ can be considered eligible for assistance. In selecting this mechanism, practitioners must decide whether, and how, this can be done.

CASE STUDY

A food voucher programme that targeted vulnerable households in Burkina Faso was based on a PMT. Whilst the primary stage of geographic targeting was successful at identifying the most vulnerable areas, the test did no better than random allocation at selecting vulnerable beneficiaries within these areas. The indicators included focused on housing quality, equipment, food stocks, and income and captured material poverty but not other defining aspects of food insecurity, such as the households' capacity to endure shocks and acquire sufficient food.

Source: Patel *et al.* (2016)

The validity of the data: accuracy of the PMT is contingent on the quality and representativeness of the data that is used to design the PMT, and the quality of data that is collected when the resulting household survey is implemented.

- Whilst programme teams may need to rely on advice from their M&E specialists and/or econometricians, seeking answers to the following questions should provide a minimum level of confidence in the data that is used to develop the proxies (whether existing or new):
 - What sized data sample is needed in order for it to be representative of the broader population to be targeted?
 - Sampling approach – is the sample biased in any way or can it be considered to represent the broad target population? If so, on what geographical scale?
 - (For existing data) – how old is the data – is it still relevant or has the situation changed?
 - What was the method of data collection – who was involved, what training was given to enumerators, what controls were in place to ensure consistency in methods and in how questions were interpreted, how were errors corrected?
- Practitioners must put measures in place to ensure that data is consistently collected during the application of the survey. This requires sufficient time and budget for training, pre-testing and refinement, oversight of enumerators, and screening of data. Some guidance on this is provided in Section 6.5 on scorecards.

The need for community engagement: To improve understanding and reduce the level of complaints, community engagement in the PMT process should be sought as a matter of priority, as it will increase the validity of the indicators used as well as the community's understanding and acceptance of the process.

- The community can be engaged in a number of ways (see Box 5); however meaningful engagement will take time.

BOX 5 COMMUNITY ENGAGEMENT IN THE PMT

- Defining the characteristics of vulnerability, to inform the types of data to be included in the econometric analysis.
- Ground-truthing and validating those criteria that emerged from statistical analysis.
- Cross-checking and validation of the inclusion and exclusion lists generated.
- In Jordan, households excluded from assistance by the PMT and who appealed against the decision were pre-screened by community representatives and community advice was sought on their grounds for inclusion in the programme (ERC).
- Feeding back opinions on the targeting mechanism, the community's understanding of it, the potential for it to generate complaints, to inform the implementation process.

Source: ERC (2015); Sharp (2015); Macauslan and Farhat (2013)

iii. Recommendation for practitioners considering PMT

Taking into account the above challenges involved and the time and resources required to implement a PMT well, and since there is no concrete evidence about their 'added value' compared to more 'traditional' targeting approaches, it remains difficult to justify the need for, or appropriateness of, such heavy investments.

- In protracted crises where time is less of a constraint they may have some relevance.
- In most contexts and for most agencies, it may be better to adopt something simpler and 'good enough' that gets resources into people's hands quickly, rather than seek such a theoretically 'ideal' but practically challenging mechanism.
- It is unlikely that a single agency (certainly an INGO) will move forward with such an onerous approach alone – though they may be more affordable if agencies are working in a coordinated fashion, such as through consortia.

6.5 Scorecards

Scorecards combine a range of indicator types (protection; status; categorical and socioeconomic) that are each assigned a score. Data on these indicators are then collected through a household survey to develop a cumulative score, which determines eligibility. This mechanism has been used for the targeting of multi-sectoral assistance in recent urban emergencies (Patel *et al.*, 2016).

i. Benefits of a scorecard

Simple scorecards are a more pragmatic, applicable and lower-cost solution than the PMT that is more aligned with the capacities and expertise of humanitarian teams (Patel *et al.*, 2016; MacAuslan and Phelps, 2012; MacAuslan and Farhat, 2013); Smith and Mohiddin, 2015).

- Like the PMT, the scorecard allows practitioners to target based on a nuanced and holistic understanding of vulnerability. Experience shows that going beyond economic indicators to ensure scorecards include aspects such as social networks and displacement can improve accuracy (MacAuslan and Phelps, 2012; Armstrong and Jacobsen, 2015).
- The process is without the complexity of the PMT:
 - It allows for a more participatory approach than the PMT, being easier for programme staff to understand, design, implement, adjust, and engage communities.
 - The indicators included and the scores attached to these are not determined by statistical analysis, but through human analysis – important because vulnerability and targeting are subjective and contextual.
- The ranked scoring system captures households' relative vulnerability (versus simply including or excluding on the basis of certain criteria). This is useful in urban contexts where the scale of need and characteristics of vulnerability are great and cannot be simply categorised into 'vulnerable' and 'non-vulnerable'. Such a process also allows for human adjustments to the inclusion and exclusion of households that are close to the threshold, based on follow-up assessments – since eligibility is based on relative vulnerability.

CASE STUDY

When targeting their humanitarian assistance for Syrian refugees in urban areas of Turkey, the Danish Refugee Council did not have the capacity to devise a vulnerability formula or apply statistical analysis. A scorecard mechanism was adopted which programme teams could understand and where scores could be easily adjusted with input from non-technical staff.

Source: Armstrong and Jacobsen (2015)

ii. Risks to be aware of and possible solutions

Nevertheless, all mechanisms have limitations and it is important to consider the following issues:

Communication with affected communities: Explaining scorecard mechanisms to communities can be more challenging and time-consuming than with other mechanisms that make use of fewer criteria and are easier to understand. Nevertheless it is vital that agencies implementing scorecards take the time to do this, and do this throughout the process, since otherwise the process risks being non-transparent.

CASE STUDY

In the case of the Danish Refugee Council's scorecard targeting mechanism in Turkey, programme staff and enumerators did not explain the targeting process to communities. As a result, many beneficiaries who were selected perceived the method to be unfair and non-transparent, whilst programme offices and the hotline were inundated with complaints from those who were not included. Dissatisfaction escalated into threats against DRC staff on the street and protests outside programme offices.

Source: Armstrong and Jacobsen (2015)

Trade-off between time, resources and accuracy: Whilst inclusion of a larger number of indicators can add rigour to the targeting process, practitioners must also consider the time and resources it takes to administer a longer survey. Administration of the scorecard requires an investment of time from those who are affected, and this can increase their expectation of assistance, which can lead to resentment from households that are not selected. Additionally:

- This will require investment in sufficient numbers of, and training of, enumerators, and
- To make sure assistance is provided in a timely fashion it is important to keep the survey length as short as possible.

Effectiveness depends on strong analysis, appropriate indicators and scoring: To be meaningful for targeting, the range of indicators (and their weights) must be grounded in the local context, ideally supported by a multi-sectoral assessment, and the process of indicator selection requires careful analysis and review.

- Indicators in the scorecard must be true reflections of increasing or decreasing vulnerability, and the score assigned must reflect the influence of the variable on a household's vulnerability. Setting scores too high or too low risks wrongly excluding or including households on the basis of a single indicator.
- Weighting of indicators can be balanced by an additional weighting provided by the enumerator, where there is a household whose vulnerability is not reflected by the scoring. However, this needs to be well-trained for, otherwise it undermines the process.
- It is important to test the tool, and to make adjustments to the process when it is clear that some indicators are either irrelevant or are wrongly skewing the selection.

Limitations for targeting of specialised or sensitive programmes: Some vulnerability criteria – though relevant – may be difficult to assess through a household survey. This includes, for example, sensitive, psychosocial and protection-related risks that require special training.

CASE STUDY

A review of the scorecard mechanism that Danish Refugee Council implemented in Turkey found that several variables included in the scorecard did not reflect increased or decreased household vulnerability. For example, households with a Syrian passport holder lost five points as it was assumed that this would assist with access to services in Turkey. However, analysis of the assessment data showed having a passport did not have any outcome on a household's vulnerability.

Another example was the presence of household assets (kitchen appliances, washing machine, dishwasher, vehicle/car, and motorcycle), which were all treated as equivalent indicators of wealth and given the same score, when clearly there are huge differences between them. This was flagged by enumerators and staff as the most problematic indicator of the entire scoring index.

Source: Armstrong and Jacobsen (2015)

Effectiveness depends on the quality of the household data collected: To be useful for determining eligibility, the data collected needs to be consistent across households. This depends both on the structure of the questions and response options, and on the data collection methods employed by enumerators. Poorly designed questions that do not capture all possible response options, or that can be interpreted in different ways, will not provide reliable and accurate data.

- It is important to invest in sufficient training of enumerators and piloting of the tool.
- Enumerators must have a common understanding of terminology and concepts; the process to follow to identify households, and the approach to asking questions and explaining concepts to households.
- Unless it is impossible for political or security reasons,³⁴ scorecard targeting mechanisms in urban areas should be implemented through digital applications (such as Kobo) as a matter of course. This will reduce the time needed since household data is immediately available but also, importantly, the scores can be automatically assigned. It will also allow practitioners to incorporate controls that prevent questions being skipped or incorrect values being inputted, increasing the accuracy of the data.

CASE STUDY

A review of the scorecard mechanism that Danish Refugee Council implemented in Turkey found limitations with the survey instrument.

- Some questions were missing response categories. For example, 'divorced/separated' was not a response option for marital status, causing some divorced individuals to be incorrectly identified as widowed. Other questions demanded that households select a single response, to which multiple responses could have been possible, for example, questions such as "Why did you come to live in your current house/location?".
- A primary shortcoming was the lack of training provided to enumerators on how to approach sensitive issues, or defining and explaining key concepts like 'average monthly income' or 'temporary work'. This raised concerns about the accuracy of data collected, especially at the early stages of targeting, as enumerators did not have a common understanding of terminology and concepts.

Source: Armstrong and Jacobsen (2015)

Exclusion error and the importance of flexibility: As with the PMT, even with the application of detailed scorecards there will always be cases that buck the trend and do not fit all the vulnerability characteristics, but which nevertheless concern highly vulnerable households or individuals.

- Agencies must ensure a 'human element' to the final decision-making process and establish systems for including such households on a case-by-case basis.

NOTE

Annex D.1 provides practical guidance for practitioners seeking to implement scorecard targeting mechanisms.

³⁴ For example, this was an issue recently when NRC undertook a multi-sectoral vulnerability assessment in Addis Ababa due to government-imposed restrictions at a time of insecurity.

6.6 Self-targeting

In self-targeting, the agency does not pro-actively identify households or individuals who fit the criteria. The mechanism relies on those within the target population to actively come forward to join a programme, or apply to join a programme.³⁵

i. Benefits of self-targeting

- Self-targeting can have advantages in urban contexts, where population density, geographical scale, and insecurity can present difficulties for agencies in identifying eligible beneficiaries through other community-based or survey means.
- It can be a useful way of identifying caseloads for programmes where beneficiary anonymity is important – for example on protection or counselling and legal assistance programmes, or programmes seeking to target marginalised, stigmatised or illegal/unregistered groups. Using self-targeting alongside additional mechanisms can include a greater number of those in need, particularly vulnerable cases.

ii. Risks to be aware of and solutions

Raising awareness and building trust: Self-targeting is demand driven. For this to be effective in the urban area requires the target population to be sensitised on the existence of the programme, and for their confidence or trust in the agency or the service to exist or to be built. Self-referral therefore needs to be accompanied by outreach mechanisms for those who are isolated, who are marginalised for political, ethnic or religious reasons, and who are wary of presenting themselves to the local authorities. This is a relatively new way of working for humanitarian agencies, where the desire to deliver timely assistance has tended to remove the focus from the importance of relationship building and outreach. This is still an emerging area, but evidence suggests the following solutions:

- **Digital communication channels:** In urban settings, access to mobile phones and internet offers much potential to reach dispersed and isolated groups. Hotlines or social media sites are prominent examples. These should complement rather than replace more traditional communication channels, particularly word of mouth. Collecting data during assessments of how affected populations receive information can inform this sensitisation strategy.
- **Establishing a permanent and visible presence in the area:** some agencies are taking learning from camp management settings, where agencies establish a physical presence on the site to build awareness and trust, and apply this to the urban context such as by establishing programme offices or drop-in centres (Interview NRC Lebanon; Patel *et al.*, 2016). The benefits of doing so must be compared to the costs involved. It requires a good relationship with municipal authorities to be successful. To encourage anonymous households to come forward, it may be important to communicate that centres are offering services to groups beyond the displaced, to ensure they do not visibly stigmatising all users as ‘displaced’ or ‘refugees’.

CASE STUDY

In Damascus in 2006, vulnerability assessments were prohibited. Therefore, INGOs and UN agencies opened community centres in areas of the city with high concentrations of Iraqi refugees. The target beneficiaries were meant to present themselves to these centres for assistance. This solution, however, was shown to be expensive as well as difficult to maintain long term. Targeting displaced persons through a fixed IDP hub in Mogadishu found it difficult to reach the most vulnerable as they are not connected to social networks to receive information on the existence of the hubs, and furthermore many of them strive to remain hidden.

Source: Patel *et al.* (2016)

³⁵ A common example of self-targeting on humanitarian assistance programmes is on public works schemes.

6.7 Institutional targeting

In the case of institutional targeting, beneficiaries are identified due to an affiliation with a selected institution – be it a basic service provider, civil society organisation, community-based organisation, or humanitarian agency.

i. Benefits of institutional targeting

Such 'referral-based' mechanisms can be an advantage in urban emergencies given the complexity of the environment and density of populations.

- There may be numerous service providers and CBOs of this kind within the neighbourhood, with direct links to the population groups of interest as well as having knowledge and experience of the district and extensive social capital within the community.
- These partnerships can support agencies to better reach and include marginalised and hidden groups, and sensitively and discretely identify individuals or families in need of particular specialised support (eg victims of SGBV; those in need of counselling and legal assistance).
- In integrated multi-sectoral urban programming, if there is strong coordination of activities between agencies, and also between sectors within a single agency, a humanitarian agency itself can be the source of this institutional targeting so as to reduce exclusion, create efficiency gains and avoid duplication of targeting efforts. For example, targeting mechanisms such as scorecards or CBT, used for identifying beneficiaries for multi-sectoral humanitarian assistance, can create lists of households that are then referred to other teams or agencies leading on particular complementary interventions (eg protection or shelter), as the basis for their targeting.

CASE STUDY

In Lebanon, an INGO identified neighbourhoods to prioritise through geographical targeting. The results of the household profiling questionnaire and application of the PMT determined those refugee households who were eligible for support through multi-sectoral cash assistance. Protection-related questions included in the household profiling questionnaire identified potential cases of protection vulnerability. Agencies would refer such cases to the relevant agencies providing protection services. Within NRC, the team implementing complementary Information Counselling and Legal Assistance (ICLA) activities are charged with monitoring the implementation of the shelter intervention. This gives the team a caseload of households at risk of insecure tenancy, for specific targeting of information and legal services.

Source: Interview NRC Lebanon

ii. Risks to be aware of and possible solutions

Selecting services with the right links and capacity: Services must be known to and trusted by the most vulnerable displaced households. Some of the most vulnerable are those who lack information about services that exist and who therefore are not registered users.

- Take time to map and study the services and organisations that exist in the area, to find those that are well-established. Take into account the views of affected population(s) on services that are known and trusted.
- Consider how these services will identify and refer vulnerable cases; consider also whether outreach activities may be required, and the organisation's capacity to take on such activities.

CASE STUDY

NRC Turkey undertook institutional targeting combined with a scorecard mechanism. They worked with the local Social Solidarity Foundation which administers social welfare programmes for poor Turkish citizens and Syrian refugees. The foundation had lists of vulnerable refugees who had applied for assistance. The foundations have some staff and a network of volunteers, who were required by NRC to find and visit households, who were then screened against a variety of categorical and socioeconomic criteria. NRC needed to cover the costs to the foundation of undertaking this activity.

The households registered with the foundation, whilst vulnerable, were not the most vulnerable. The fact that they had known about the foundation and the services they provided meant these households were some of the more informed compared to other households – especially new arrivals – who lacked this information.

Source: Interview NRC Turkey

Consider risk of harm: For example, if survivors of SGBV are to be targeted for assistance, and targeting is done through an institution that is easily identified by the larger community, this could result in harm to the survivors. It could also dissuade survivors from seeking access to these services for fear of their confidentiality being compromised.

- It is important to consider the possible risks to the target population and seek assurances that the organisations will act discretely.



Credit: Husain Yousif, NRC

6.8 Checklist to guide programming

The checklist tool can be used at the **programme design and implementation set-up stage** of the programme cycle to ensure that appropriate decisions are taken and appropriate mechanisms selected.

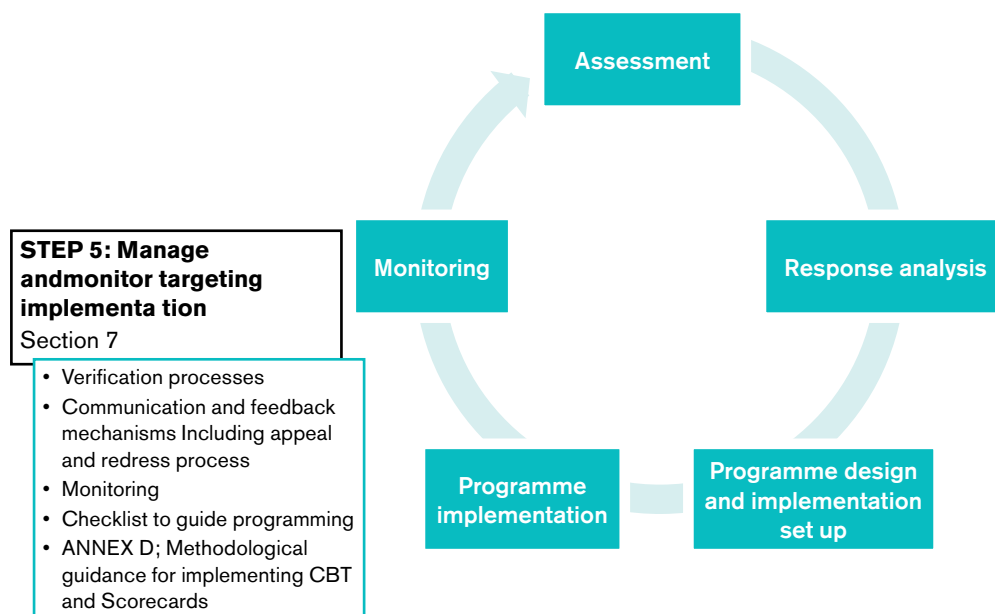
This checklist serves as a guide only and should not be taken as minimum standards – rather, activities must be informed by the realities of the context. However, by undertaking all, or many, of these actions we can better ensure that vulnerable neighbourhoods are identified and that the most appropriate targeting mechanisms for the context are selected.

CHECKLIST TOOL – ENSURING APPROPRIATE DECISIONS ARE TAKEN DURING SELECTION OF TARGETING MECHANISMS AND GEOGRAPHICAL TARGETING

Have you compared the benefits and risks of the various targeting mechanisms in this context, taking into account targeting criteria and factors such as the data sources that exist (and their quality), resources, time, accuracy, capacities and access restrictions (Supporting Tool II)?	
Have you considered the benefits and the costs of adopting multiple targeting mechanisms so as to fill gaps and reduce errors?	
Have you considered whether additional targeting mechanisms will be needed for different programme components?	
Have you considered how the targeting mechanisms for different programme components will be layered, so as to link them together?	
Have you consulted secondary data in order to identify the administrative areas for the intervention (Supporting Tool III)?	
Have you determined whether it is necessary to go below administrative boundaries to target particular neighbourhoods?	
Have you checked whether secondary data is sufficient for this task or whether consultations with communities are required?	
If community input is needed, have you checked whether there is recent and relevant primary data from key informant interviews or FGDs available, or (if not) whether this can be collected?	
If mapping the neighbourhoods is necessary, have you identified the process to follow, taking into account factors such as time, resources and expertise (Figure 17)?	

7. STEP FIVE: Manage and monitor targeting implementation

Figure 18: Step 5: Manage and monitor targeting implementation



No targeting process will be perfect – errors will be created when using fixed criteria and imperfect mechanisms to determine eligibility.

- Exclusion error refers to **those households/individuals within the target population who are eligible for the programme, but who are incorrectly excluded.** This is most damaging from a 'Do No Harm' and aid effectiveness point of view.
- Inclusion error refers to **those households/individuals within the target population who are ineligible for the programme but who are included incorrectly.**

Risks of inclusion error tend to stem from:

- Favouritism and power dynamics which can bias selection
- Cases of fraud (such as registration of ghost beneficiaries), and
- Mistakes made by enumerators and others involved in data gathering and analysis.

Risks of exclusion error in urban displacement contexts can stem from:

- Bias against, stigmatisation or marginalisation of certain individuals or groups during the selection process. Here it is important to think about the biases the enumerators may have and work to address these.
- Density and fluidity of urban environments and isolated or invisible populations, meaning groups or individuals are not known about or identified.
- Diverse and multi-faceted nature of urban vulnerability meaning it is not a simple 'either/or' choice – households may meet some but not all eligibility criteria, whilst thresholds can be quite arbitrary.
- Scale of need, meaning assistance is simply not available to all who fit the eligibility criteria.

The following sub-sections introduce three processes in programme implementation – verification processes; communication and feedback mechanisms (including appeals and redress processes); and monitoring and evaluation – that contribute to managing targeting errors and ensuring accountability. Each provides guidance on the importance of the process as well as practical guidance on how these should be designed. Annex D provides methodological guidance for implementation of targeting based on CBT or scorecards.

7.1 Verification processes

Importance of verification

Before beneficiary lists generated through the targeting mechanism are finalised and beneficiaries enrolled, it is important to verify the eligibility of a random sample of selected beneficiaries from the initial list:

- This allows practitioners to gauge the level of inclusion error and to take remedial activities where necessary, and
- In the case of targeting mechanisms that generate data on excluded as well as included households, this can also help to identify cases of exclusion errors, for enrolment on the programme. For example, in the case of scorecards and PMTs, all households surveyed are provided with a score.

Practical considerations to guide decision making

Such activity has budgetary, time, and resource implications – particularly on urban programmes being implemented at scale.

Setting verification levels: these should be proportional to the scale and duration of the programme and the value of the assistance being provided, taking into account the resources and time available and should also be informed by past experiences.

- As a rule of thumb, this should ideally include a sample of at least 5 per cent and ideally 10 per cent of eligible households.
- Programmes of a longer duration or where large value of assistance is being given may require a more rigorous verification.
- Depending on the context and the criteria being used, this may require household visits. Since many residing in urban areas have access to mobile phones, this process may be carried out by phone where appropriate.
- In cases where exclusion errors are also verified, this could be carried out randomly (ie 5 per cent of all excluded cases) to identify cases excluded due to bias or discrimination, or could involve purposive sampling (for example, those excluded cases that are grouped around the eligibility threshold) to identify those who are borderline.

Determining actions: The consequences and actions that follow from the results of the verification process should be agreed in advance by the programme team and with any third party involved in targeting. For example:

- What percentage of errors in the verified sample will be a 'red flag' indicator that the targeting exercise has been poorly conducted?
- What redress measures will you put in place?
 - If errors in the sample are over this threshold then will you repeat the targeting exercise and do you have the time and resources to do this? In an urban context this can be a large undertaking.
 - Or, will you remove the known inclusion errors in the sample, accept the remaining inclusion error, and maintain a contingency budget to enable the enrolment of new eligible cases as they become known to you, so as to reduce exclusion error? This could be a pragmatic approach in cases where the targeting mechanism is complemented with self-targeting and institutional referral channels as well as a strong feedback and complaints response mechanism.
- If you repeat the targeting exercise, will the same targeting mechanism/third parties be used? Will they receive further training? Will they still receive the compensation that was due to them?

7.2 Communication and feedback mechanisms

The importance of communication and feedback mechanisms

These are the processes through which two-way communication and feedback is ensured between the programme and communities (beneficiaries and non-beneficiaries). They have several benefits for targeting and are an effective way to reduce targeting errors (especially exclusion errors).

- Programme teams can communicate the results of their targeting decisions with communities. If non-beneficiaries understand why they have been excluded, whilst others are included, they can better identify cases where errors may have been made. Such a process is also good practice generally and can reduce the risk of misunderstandings and thus volumes of complaints.
- Community members can communicate with the programme to seek information, highlight potential errors in targeting, and complain about exclusions (as well as to raise other issues about programme implementation).

Practical considerations to guide decision making

Selecting the channels for communication: in urban areas there are several options, involving different investments in terms of time, cost, and human resources:

- Community meetings soon after selection to explain how and why beneficiaries were selected and not others.
- Information posted in relevant social media forums explaining the same.
- Phone calls to households that were visited and surveyed, explaining why they are non-eligible.
- Establishing an information and complaints hotline that is widely publicised and of which all visited and surveyed households are given the number.
- Demand-driven meetings, where individuals can visit programme offices or an acting service provider to register queries and complaints.
- In some contexts, publishing beneficiary lists in communities may still be appropriate.

Feedback loops: Questions and complaints must be linked to a system to review and address the errors that are identified – through an appeal and redress process (see 7.2.1).

CASE STUDY

On NRC's programme providing assistance to Syrian refugees in Turkey, every family who was accepted onto the programme was called on a hotline and informed of the decision. NRC hired enumerators to undertake this task. Due to resource constraints they did not call every ineligible household who was surveyed to inform them of the decision. They did manage this through complaints response on the hotline – anyone who called asking why hadn't been provided with assistance was visited and reassessed, and the reasons for their ineligibility were explained. They also produced brochures in Arabic which were made available in the government's refugee registry offices and through a social media group, so the wider community could see the list of criteria.

Source: Interview NRC Turkey

Evaluation of Danish Refugee Council's programme targeting Syrian refugees through a scorecard found that excluded households that were called individually and had the reasons for their exclusion explained to them overwhelmingly reacted in a more understanding way.

Source: Armstrong and Jacobsen (2015)

7.2.1 Appeal and redress process

The importance of an appeal and redress process for targeting

This is a sub-component of the broader communication and feedback mechanism. In line with the recommendations of the Core Humanitarian Standard on Quality and Accountability, an appeal and redress process should be developed as part of the programme's broader accountability framework. This enables teams to follow up and verify possible cases of inclusion and, especially, exclusion error, and take remedial actions – to the extent possible with the resources available.

Practical considerations for decision making

Consider the limitations of the mechanism: In contexts of great need, exclusion errors are inevitable and are caused by insufficient resources to match the scale of need – which appeals processes cannot solve. One solution is careful geographical targeting (alongside strong coordination with other agencies) to effectively reduce exclusion errors by decreasing the geographic scope of the intervention.

The importance of human engagement and flexibility: When working with targeting mechanisms that determine eligibility through automatic 'scoring' (scorecards; PMT), an appeals mechanism provides an opportunity for some human engagement in the process. Providing the rules for engagement are well-defined, then exercising some flexibility in the application of criteria is logical in contexts where vulnerability is diverse, many criteria are being applied, and the score thresholds that determine eligibility are essentially arbitrary. For example:

- Cases where a clearly vulnerable household is close to the borderline.
- When households display certain 'red flag' indicators which should lead to the immediate inclusion of particular vulnerable cases irrespective of their score (for example, where protection concerns are critical).

CASE STUDY

When targeting assistance to Syrian refugees through scorecards in Turkey, agencies applied flexible appeals measures to reduce exclusion errors on the programmes. If a household was on the margin of assistance, enumerator comments were also taken into account. Enumerators could give feedback in the survey on cases they considered to be especially vulnerable. In this way, cases that did not fit all of the criteria but which were very vulnerable could be considered for assistance.

Source: Interview NRC Tukey; Interview CARE Turkey

7.3 Monitoring

Despite the fact that targeting is such a fundamental question for humanitarian practice, there is a paucity of evidence on the performance of different targeting approaches and mechanisms in urban contexts (Patel et al., 2016). Efforts to improve targeting practices in urban emergencies must therefore be complemented with strong monitoring and evaluation of targeting approaches and methodologies to build this evidence base.

Monitoring provides another opportunity to identify inclusion errors. Households visited or called as part of post-distribution monitoring can allow programme teams to verify how households were included in the programme and how they align with the eligibility criteria.

Besides identifying targeting error, programme monitoring and evaluation processes should also capture evidence of the relevance, effectiveness, efficiency, impact, and coherence of targeting approaches in urban contexts. The contribution of these tools and processes must be measured in terms of the extent to which they improve the overall effectiveness of responses:

- Are the targeting criteria that are being used accurate at determining vulnerability?
- Is the targeting mechanism(s) effective at identifying the targeted population, and in a timely fashion?
- What are the costs (time and resources) of identifying beneficiaries in this way, and for addressing complaints and communicating decisions?
- Has the targeting (criteria or mechanism) led to any unintended negative impacts on households or communities (creating community tensions/contributing to protection risks)?

7.4 Checklist to guide programming

The checklist tool can be used at the **implementation** and **monitoring stages** of the programme cycle to ensure that appropriate decisions are taken to minimise errors.

This checklist serves as a guide only and should not be taken as minimum standards – rather, activities must be informed by the realities of the context. However, by undertaking all, or many, of these actions, we can better ensure that targeting is effectively implemented and errors minimised.

CHECKLIST TOOL – ENSURING APPROPRIATE STEPS AND DECISIONS ARE TAKEN DURING IMPLEMENTATION OF TARGETING

If using a scorecard or CBT mechanism, have you considered and applied the methodological guidance for implementation (Annex D)?	
Have you considered the benefits and the risks of verification, communication, appeal and redress processes, taking into account factors such as targeting accuracy, time and costs?	
Have you put in place procedures to ensure adequate verification, communication, appeal and redress mechanisms?	
Have you put in place adequate systems for post-distribution monitoring?	
Have you put in place feedback loops to ensure that information generated through these processes can inform programme implementation?	

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SUPPORTING TOOL I: Selecting targeting indicators

There is no single 'best' approach for targeting criteria in urban contexts; all have pros and cons according to the context. It is likely that numerous criteria, and taking into account a range of targeting approaches, will need to be used in order to capture a nuanced and multi-dimensional understanding of urban vulnerability.

This tool provides practitioners with guidance in selecting targeting criteria:

- i. The pros and cons of each targeting approach.
- ii. Potential indicators for multi-sectoral programmes, their rationale for use and their limitations.
- iii. Potential indicators for sector-specific programmes.

i. Summary of pros and cons of each targeting approach

FACTORS TO CONSIDER	SOCIOECONOMIC	CATEGORICAL	STATUS-BASED	PROTECTION-RELATED
Rationale	Economic vulnerability is a defining feature of vulnerability in urban areas, across sectors. Sociocultural issues governing access and marginalisation are also key.	These categories are considered to be “more vulnerable” on account of issues they face in accessing markets, goods, services and employment.	Newly displaced and repeated displaced can be some of the most vulnerable. Incorporates host communities are a clear vulnerable population group.	Can identify socio-economic vulnerability criteria that are also indicators of protection vulnerabilities that can be (partially) addressed through economic assistance. Can capture other factors which can shape access to markets and services, and the ability of households to meet basic needs.
Ease of measurement (capacity; expertise; need for HH data)	Requires analytical expertise and good understanding of context to develop appropriate indicators and timeframes of reference. Requires collection of HH data. Many are self-reported indicators, requiring triangulation. Some require household visits.	Quite easy to collect and many are easily verifiable; but should be based on careful analysis of which populations are vulnerable and the reasons why. Many are self-reported but some are visible characteristics, or captured in HH documentation.	Quick and easy to collect. Self-reports, and possibly verified through relevant documentation.	Requires analytical expertise and good understanding of context and of protection risk drivers, to identify indicators that illustrate protection vulnerability, and which also link to economic vulnerability. Most are self-reported. Some require household visits.
Timeliness	More time-consuming than other approaches as requires collection of HH survey data.	Relatively quick to apply	Relatively quick to apply.	Can require collection of HH survey data.

FACTORS TO CONSIDER	SOCIOECONOMIC	CATEGORICAL	STATUS-BASED	PROTECTION-RELATED
Robustness and accuracy in urban context	Important to use a range of indicators including social as well as economic. Income alone is not a good predictor. Requires appropriate contextualisation of the indicators (capturing all response options; time frames of reference that allow meaningful responses; ensuring that indicators adequately capture the most vulnerable).	Can be successful and proven in case to act as a proxy for SE vulnerability which is more difficult to measure. But must be appropriate for the context. It is important to understand which demographic categories of the population look vulnerable, and understand the drivers.	Limited use of 'displacement' criteria alone but can be of use where 'displacement' is further defined, for example by length of displacement, or by geography.	
Potential for community engagement / accountability	Community can provide their understanding of the characteristics of vulnerability in order to develop indicators. Can be relevant and acceptable to the community if they are explained.	Such characteristics are often readily identifiable to the community for who they are relevant and acceptable. Risk of doing harm in contexts where certain demographic groups face stigma, discrimination or violence and are now easily identified by the community.	Such characteristics are often readily identifiable to the community for who they are relevant and acceptable.	Community can provide their understanding of the characteristics of vulnerability in order to develop such indicators.
Use in insecure environments	Can be a challenge where access is restricted or where insecurity limits application of HH survey.	Possible	Possible	Possible when applied discretely.
Possible mechanisms	Scorecard; administrative targeting; PMT. Also self and institutional targeting if additional screening through interviews is undertaken by agency.	Scorecard; CBT; administrative targeting; institutional targeting; self-targeting; PMT	Scorecard; CBT; administrative targeting; institutional targeting; self-targeting; PMT.	Institutional targeting; self-targeting

FACTORS TO CONSIDER	SOCIOECONOMIC	CATEGORICAL	STATUS-BASED	PROTECTION-RELATED
Overall considerations	<p>Urban areas are most amenable to targeting based on these indicators, where this is supplemented by deeper analyses of vulnerability.</p> <p>It is important to use a range of indicators and to triangulate between indicators.</p> <p>Measures of income and expenditure are time-consuming to measure – these indicators can be less useful in rapid onset.</p>	<p>Likely to remain a popular policy option because of the relative difficulty of applying socioeconomic indicators, and their political and community-level acceptability.</p>	<p>Status serves a purpose in targeting but must be combined with other criteria (more specific indicators relating to displacement; or other approaches) to be meaningful.</p> <p>‘Host’ should be included in addition to ‘displaced’ – though in some contexts (especially protracted crises and where linking relief to development) it may be better to support the host community through building capacity of services.</p>	<p>Useful to include in programmes moving towards recovery and resilience in displacement crises, where social cohesion is a critical factor.</p>

ii. Targeting criteria on multi-sectoral programmes – tool for decision making

INDICATOR		RATIONALE FOR USE	FURTHER CONSIDERATIONS/ LIMITATIONS
SOCIOECONOMIC			
Income / purchasing power	Weekly/monthly income	Powerful way to stratify the population. Understand the purchasing power of the household when compare to cost of meeting basic needs	Difficult to measure accurately in informal sector. Do we choose monthly or weekly reporting timeframe.
	Source of employment/ livelihoods	Easier to measure than direct income. Captures some indication of livelihood security (especially those engaged in scavenging and casual labour, remittances and humanitarian assistance).	Requires careful contextualisation to ensure all relevant income sources are captured.
	Number of income/ livelihood sources		
	Number of months worked since displacement, or arrival	To capture some indication of livelihood security.	Self-reporting over a long recall period risks reducing accuracy.
Consumption	Household Hunger Score HHS Food Consumption Score FCS	Global relevance, in any context. Comparatively easy and fast to measure. Can help to triangulate and make sense of information provided in expenditure data	Only covers one sector. Provides information about the situation now rather than ability to meet needs in the future. Can be hard to get reliable information.
Expenditure	Weekly/monthly expenditure	Highly relevant in urban areas. Generally viewed as a more accurate indicator of socioeconomic vulnerability than income.	Need to compare expenditure data to the estimated cost of meeting these essential basic needs. Time-consuming to collect. Difficulties in recall period – do we choose monthly or weekly reporting timeframe.
	% of overall expenditure going on food		
	% of expenditure going on rent		
Social capital	Length of time since arrival	Since newly displaced have lower social capital and social networks a critical determinant of vulnerability in urban areas.	Requires careful contextualisation and adequate training of enumerators. Need to ensure the timeframe of reference used doesn't penalise the most vulnerable.
	Coping strategies	Captures social capital and can be locally contextualised. (examples – Sold house/land; Early marriage; Accept high risk, illegal, socially degrading work; Begging; Sold productive assets; Migration of adult household member to seek work; Child labour; Withdrew children from school; Sold household goods; Spent savings; Reduced essential non-food expenditure; Bought food on credit; Reduced food expenditure)	
Access to services	Access to documents (residency permit / documented formal refugee status / other documents)	Can indicate economic vulnerability where lack of ownership precludes access to services or humanitarian assistance. Can also be an indicator of protection vulnerability where lack of documentation is driven by discrimination.	

INDICATOR	RATIONALE FOR USE	FURTHER CONSIDERATIONS/ LIMITATIONS	
SOCIOECONOMIC			
Proxy indicators	Shelter overcrowding	Easier to measure than income. Also an indicator of protection-related vulnerability (risk of violence).	
	Condition of the house	Easy and reliable to measure as visual.	Not always well-correlated to poverty following an emergency. Requires enumerators with skills to make such assessment of structure/condition
	Living arrangements	Easier to measure than income. Can identify critically vulnerable cases where households are unable to meet costs of shelter, who could be excluded if using income and expenditure alone. Also an indicator of protection-related vulnerability (risk of exploitation, SGBV, or harm).	Must capture all possible living arrangements, including: reliance on others for shelter; squatting; living on the street. Can also indicate supply side constraints in shelter market rather than economic vulnerability.
	Household illness score (working days lost due to illness, for everyone working in the household)	Level of illness can be an indicator of socioeconomic vulnerability i) because poorer households may have poorer diets or face more environmental risks and ii) due to the cost of healthcare and time away from livelihoods	Need to define recall period.
	Household illness score children (schooldays lost as result of health problem)		
	Prevalence of diarrhea in children under five	A good proxy of the morbidity of children under five, which can be an indicator of socioeconomic vulnerability	
	Nutritional status in children under five	Can be powerful indicator of vulnerability in urban area when measured accurately.	Requires particular expertise to measure. Limited applicability in agencies without nutrition expertise.
	Children out of school / children engaged in work	Can be powerful indicator of vulnerability in urban areas when this is driven by economic factors.	Needs careful analysis to separate demand side from supply side constraints.
	Level of debt	Highly relevant in urban contexts. Can also be important for triangulating information on income.	Data can be unreliable and sometimes ambiguous.
	Water source	This can define socioeconomic vulnerability, as quality piped water sources come at a cost, whilst poor quality water also impacts negatively on health, which also impacts on household income.	Be mindful that in informal settlements, unregulated add-ons to the municipal network can provide piped water access but cannot guarantee water quality.
Productive assets	Easier to measure than income.	Not always well-correlated to poverty following an emergency.	
Reported experience of a shock	Poor households due to their location are more likely to encounter disasters such as landslides or flooding, which exacerbate the impact of the displacement		

INDICATOR		RATIONALE FOR USE	FURTHER CONSIDERATIONS/ LIMITATIONS
PROTECTION-RELATED			
Shelter condition	Shelter overcrowding	Can be an indicator of risk of violence, especially where shelter is shared by extended family/non-family members and especially for women and girls. Also an indicator of SE vulnerability (a coping strategy for those with difficulties affording shelter).	
	Tenure security	Access to formal tenancy agreement Risk, or frequency, or eviction	Can be an indicator of households that are facing harassment and discrimination. Can also be an indicator of SE vulnerability where eviction is caused by inability to meet rent.
Insecurity	Perceptions of safety (rated 1-5)	Insecurity is a key dimension of vulnerability in the urban context.	
	Number of instances of insecurity	Can also impact on economic vulnerability where insecurity impacts on ability to access work and services.	
	Often used avoidance measures	(Examples of threats to safety include ; theft; general harassment and violence; Ethnic or community tensions).	Must be carefully contextualised to include all possible avoidance measures that are feasible locally.
Access to services	Access to residency permit / formal refugee status	Can be an indicator of protection vulnerability where lack of access to documentation is driven by discrimination. Can also be an indicator of socioeconomic vulnerability if payment where lack of access to documentation is due to cost.	
STATUS-BASED			
Displacement indicators Host	Displaced	Can generally expect these households to have reduced access to material resources and services	Given numbers of displaced people, and protracted displacement crises, this indicator alone is not sufficient for targeting. Must be combined with other displacement indicators, or with other targeting approaches.
	Number of times displaced	Since newly displaced have lower social capital and social networks a critical determinant of vulnerability in urban areas	
	Time since last displacement, or since arrival in the area / neighbourhood		
	Host	It will often be important for programmes to address the needs and vulnerabilities of host communities in urban contexts	To be meaningful, needs to be applied alongside additional socioeconomic criteria.

INDICATOR	RATIONALE FOR USE	FURTHER CONSIDERATIONS/ LIMITATIONS
CATEGORICAL		
Demographic groups	<p>Ethnic minorities / religious groups / tribal groups</p> <p>Women, girls, youth, children (especially unaccompanied), older people, people with disabilities; young unaccompanied men and women.</p>	Useful in contexts where particular groups face reduced access to material resources and services on account of physical characteristics, marginalisation and discrimination and social norms.
Household composition	Dependency ratio (working : non-working members)	Can be more robust than simply considering the household head, or the presence of vulnerable groups in the household.
	Household size	Large household units can be a key indicator of vulnerability in urban contexts.
	Presence/number of elderly people, disabled people, pregnant and lactating women (PLW), children under five	These households face greater constraints and idiosyncratic hocks, therefore are more likely to be (though not always) economically vulnerable.
Head of the household	Female-headed (or single-headed) household with dependents	These households face greater constraints and idiosyncratic hocks, therefore are more likely to be (though not always) economically vulnerable. The latter provides a more nuanced picture, capturing widowers as well.
	Headed by an elderly person or disabled/ chronically ill person – living alone, or with dependents	These households face greater constraints and idiosyncratic hocks, therefore are more likely to be (though not always) economically vulnerable.
	Headed by a child	These households face particular constraints to accessing livelihoods as well as protection vulnerabilities and are commonly some of the most vulnerable.

iii. Targeting criteria for sector-specific interventions – tool for decision making

Integrated multi-sectoral programmes are unlikely to rely only on a single intervention. Such programmes often comprise several components, with broad-based multi-sectoral assistance complemented by additional sectoral interventions to address specific needs of particular vulnerable groups. This tool can be used to guide selection of criteria for targeting these complementary interventions in urban displacement contexts.

INTERVENTION	TARGETING	INDICATORS
SHELTER AND WASH³⁶		
Supporting displaced households to meet costs of (rented) accommodation (including costs of utilities)	Households who are struggling to cover these costs	Indicators of socioeconomic vulnerability in Annex Bii; especially overcrowding; tenure insecurity; poor shelter condition/poor living arrangements; access to piped water
Increasing quantity and quality of (rental) accommodation and WaSH facilities	Households in most need of improved accommodation	Quality of the shelter condition; sharing of dwelling space; access to piped water source
	'Upstream targeting' – actors who can influence quality of rental market stock (local landlords and property owners) or the building of new accommodation (land owners or municipalities)	Size and quality of land or properties; legal aspects (proof of ownership etc.). Such initiatives will also need to be targeted geographically – see Section 7.
Services helping displaced households to find suitable, secure rental accommodation	Those who are most in need of secure accommodation	Tenure insecurity (frequency, or threat, of eviction) due to discrimination; access to formal tenancy agreements.
FOOD SECURITY AND LIVELIHOODS		
Ensuring households have sufficient food to meet basic needs	Food insecure households	In urban areas, vulnerability is largely – though not completely – due to economic factors. The socioeconomic indicators set out in Annex Bii therefore provide a 'good enough' approach to targeting food interventions (Chaudhuri, 2015; Patel et al., 2016).
Livelihoods recovery or promotion ³⁷	Households with capacities that exist, or that can be supported and strengthened ³⁸ (Bailey and Barbelet, 2014)	Categorical criteria (eg gender/ethnicity) useful in contexts where strong social norms constrain the ability of a particular group to access employment / livelihoods in the urban area; a person's health and physical characteristics; distance to places of work; their skills and expertise; and access to civil documentation/work permits.
	'Upstream targeting' – focusing on employers or small business owners responsible for the livelihoods of others and assisting them to recover from or respond to the crisis – is an effective way of combatting livelihoods insecurity for the most vulnerable (Patel et al., 2016; Smith and Mohiddin, 2015).	Nature of business; evidence of size/turnover/capacity; associated legal and financial documentation.

³⁶ These are more likely to be targeted at community level, but some household level targeting for specific interventions.

³⁷ Such targeting is increasingly pertinent in protracted crises and as the phasing of the response moves through the Linking Relief to Recovery and Development (LRRD) continuum. Although in a displacement context, the legal right to work can mean that innovative solutions to supporting informal employment for both the host and displaced community need to be considered.

³⁸ This requires capacity analysis.

INTERVENTION	TARGETING	INDICATORS
EDUCATION		
Improving access to education by removing demand side barriers.	Households who are struggling to cover the costs associated with education, including opportunity costs of child labour	Child labour or children out of school – can be an indicator of economic insecurity; discrimination; or supply side constraints.
	Households struggling to access education on account of marginalisation	Distance to school – can be an indicator of economic insecurity; or supply side constraints.
Improving access to education by addressing supply-side gaps in services	Communities or neighbourhoods with high concentrations of out of school children	Such initiatives will also need to be targeted geographically – see Section 7
	'Upstream targeting', focusing on economic recovery of and access to employment for teachers, to ensure continued provision of education services for children and transition to local recovery (Patel et al., 2016)	Teachers within the displaced population (with relevant qualifications).
SPECIALISED PROTECTION, COUNSELLING AND LEGAL ASSISTANCE INTERVENTIONS³⁹		
Child protection and GBV services	Those at risk of violence	Overcrowding.
Information, Counselling and Legal Assistance (ICLA).	Households, and areas, in need of information and legal assistance	Frequency of eviction; access to civil documentation (an indicator of economic insecurity, and of discrimination facing particular groups); demographic indicators such as ethnicity (where systematic discrimination and marginalisation are key drivers of vulnerability).

³⁹ Specific protection issues, especially those driven by sociocultural factors (child protection issues, GBV, and forms of discrimination) are highly sensitive and need to be addressed by complementary programmes providing protection and counselling services, information and legal assistance to affected groups. Targeting these can be challenging since it can be difficult to ascertain such information and requires special training. However, the interplay between socioeconomic and protection vulnerability in urban areas means that certain socioeconomic criteria can be used to 'flag' protection issues, to inform more specialised targeting strategies. The same lens can be applied to identify which categorical vulnerability criteria also indicate population groups facing elevated protection risks, to inform targeting of protection, counselling and legal interventions.

SUPPORTING TOOL II:

Selecting targeting mechanisms

- iv. There is no single 'best' mechanism for targeting urban contexts, rather all have pros and cons according to the context and it is likely that several mechanisms will need to be used simultaneously. This tool provides practitioners with guidance in selecting a targeting mechanism(s):
- v. The factors to take into account in your decision.
- vi. The pros and cons of each mechanism in urban contexts according to these factors.

A matrix to guide comparison and decision making

i. The factors to take into account in your decision

PROGRAMME OBJECTIVE / TARGETING CRITERIA	WHAT ARE THE TARGETING CRITERIA YOU PLAN TO USE – WILL THIS MAKE PARTICULAR MECHANISMS DIFFICULT OR NOT FEASIBLE?
Accuracy	What is the probability that the mechanism will exclude those who fit the targeting criteria, or include those who do not fit the criteria? Can these risks be reduced?
Timeliness	How quickly can households or individuals be identified through each mechanism?
Resources required	How complex is the mechanism to implement? What is required in terms of data, staff numbers, expertise and logistical support, to identify beneficiaries through each of the mechanisms?
Risk of harm	Will the mechanism put certain targeted households or individuals at risk? Is it possible to reduce this risk?
Security and access	Are there any political and security concerns that can restrict mobility of targeted groups and cause access issues on programmes, and how will these affect implementation of the targeting mechanism?
Dynamism of the context	How often will it be necessary to replicate targeting exercises, and how easy will this be through the mechanism?
Accountability	How consistently can the mechanisms be applied? How easy is it to explain the mechanism to communities and will they perceive it to be fair?
Community engagement	What is the potential for the mechanism to engage communities in the targeting process?
Local authority engagement	What is the potential for the mechanism to engage local authorities in the targeting process?
Inclusion of invisible groups	What is the potential for the mechanism to ensure inclusion of invisible or highly marginalised groups?

ii) The pros and cons of each mechanism in urban contexts according to these factors

MECHANISM		FACTORS TO CONSIDER					
MECHANISM	GEOGRAPHIC	ADMINISTRATIVE	CBT	PMT	SCORE CARD	SELF-TARGETING	INSTITUTIONAL
Description	Prioritising assistance to particular areas or neighbourhoods hardest hit by the crisis.	Households or individuals selected from an existing population list.	Eligible beneficiaries are identified by the community.	Statistical analysis to identify household characteristics that correlate with poverty, usually followed by household survey.	Data is collected through a household survey; indicators in the survey have scores assigned and the cumulative score determines eligibility	Those within the target population actively come forward to join -or to apply to join - the programme.	Beneficiaries identified due to an affiliation with a particular institution - eg government service provider, CSO, CBO or humanitarian agency.
Targeting criteria	Area-based rather than individual/ household. (See Tool Annex D).	Any type, providing these are included as fields in the existing data.	Categorical or status-based are easiest. Some socioeconomic may be possible, but problematic.	Indicators must have a statistical link with poverty. Useful for including socioeconomic criteria.	Any type, determined by human analysis. Useful for including socioeconomic criteria.	Any type, providing these can be verified through screening interview at time of or following application. Can include protection criteria.	Any type, providing these can be verified either by the institution or through a screening interview by the agency. Can include protection criteria.
Accuracy – exclusion and inclusion error	Can be effective at focusing resources where vulnerability is tied to location (generally true in urban areas) – but excludes the vulnerable living elsewhere. Can be reduced through area-based coordination with other agencies.	Depends on the quality of the data (coverage; risk of bias; age of the data etc.).	Population density, poor social cohesion and few existing accountable community structures that represent the target population can increase inclusion and exclusion error – especially new arrivals. Lists must be verified.	Contingent on the accuracy of the PMT. Exclusion errors if proxies do not capture multi-dimensional vulnerability. Multi-proxy targeting can increase accuracy. Also depends on the coverage and consistency of data collected in the survey.	Contingent on the relevance of the indicators and coverage and consistency of HH data collection. Exclusion errors possible (eg vulnerable cases that 'buck the trend').	Low rate of exclusion errors. Risk of inclusion errors – requires further screening of applicants.	Institution's knowledge of the location, the population group, and their social capital within the community can reduce exclusion errors. Those cases which are not 'known' to institutions (ie the most vulnerable) can be excluded.

FACTOR TO CONSIDER		MECHANISM					
	GEOGRAPHIC	ADMINISTRATIVE	CBT	PMT	SCORE CARD	SELF-TARGETING	INSTITUTIONAL
Timeliness	Analysis of secondary data can be quick. Requires accurate mapping of neighbourhoods which can be time-consuming.	Quick as working from existing data – as long as data is up-to-date and includes contact details.	Can be implemented quickly in contexts where community meetings can be called. HH visits will be time-consuming. Time can be needed to build and train community structures.	Very time-consuming as requires adequate data sample to establish PMT, plus exhaustive HH survey. Can be quicker where existing administrative data can be used to calibrate PMT	Simple scorecard can be developed quickly. Household data collection can be time-consuming (especially with larger more complex scorecards).	Can be implemented quickly.	Direct links to target populations reduces the time needed for identifying households/ individuals.
Resources required	Good secondary data needed. Human resources (staff, and expertise) needed to accurately map neighbourhoods, beyond administrative boundaries.	Access to administrative lists. Low human resources and capacities needed.	Low administrative costs – but household visits can require financial resources for community reps. Human resources of agency to shadow/ facilitate.	Requires economic expertise – most commonly outsourced. Requires high human and financial resources to implement HH survey.	Doesn't require specialist expertise to develop the scorecard. Requires high human and financial resources to implement HH survey.	Administratively easy to implement – though outreach is needed to sensitize the target population, which may require setting up service centres in neighbourhoods.	Low administrative costs – but outreach activity by the institution may require financial resources.
Risk of harm	No – as not engaging households individuals.	Low.	Potential tension within communities. Can reinforce existing power imbalances within community if structures are not accountable.	Possible risks of undertaking HH survey. Potential tension within communities, as don't understand why some receive assistance and others have not.	Possible risks of undertaking HH survey. Potential tension within communities but risk can be reduced by explaining the targeting mechanism to communities.	Risk of stigmatisation / harm towards particular vulnerable groups if targeting is highly visible.	Can sensitively and discretely identify those in need of particular specialized support (eg victims of S/GBV) – providing the institution is trusted and staff responsible.
Security and access	Useful where access challenges make HH data collection/ community engagement difficult.	Useful where access challenges make HH data collection /community engagement difficult.	Hard to do through community meetings where there is insecurity. Can be an option where access for agency is restricted (but risk of errors).	Difficult to implement HH survey in contexts with high levels of insecurity / access restrictions.	Difficult to implement HH survey in contexts with high levels of insecurity / access restrictions.	Useful where access challenges make HH data collection /community engagement difficult.	Useful where access challenges make HH data collection /community engagement difficult.

FACTOR TO CONSIDER	MECHANISM	ADMINISTRATIVE	CBT	PMT	SCORE CARD	SELF-TARGETING	INSTITUTIONAL
Dynamism of the context	Analysis of secondary data can be repeated quickly but this data may not be updated quickly. Mapping neighbourhoods is time-consuming.	Repeated exercise will rely on administrative data being quickly updated.	Where structures are well-defined can be easy to repeat the exercise. Where this is not the case and 'communities' are still evolving, may not be so easy.	Time and costs involved mean it is difficult to replicate.	Scorecard can be easily recalibrated. There will be time and costs involved for repeated household surveys.	Easy to repeat the exercise.	Easy to repeat the exercise.
Accountability	Easy to explain to communities – a logical way of rationing assistance, providing other agencies can support the vulnerable elsewhere.	Will depend on community perceptions of the source of the data.	Easy to explain to communities and will be perceived as fair providing the structures/ individuals involved are trusted.	Low. Not easy for humanitarian practitioners to understand, critique, engage with or adapt. Difficult to explain to communities.	More difficult to explain to communities that CBT but it is possible to do so. Easier to explain than the PMT.	High when used for targeting multi-sectoral assistance. Low (by design) for targeting of specialised services to vulnerable/ discriminated groups.	Low (by design) for targeting of specialized services to vulnerable/ discriminated against groups.
Community engagement	Important where feasible, to accurately map and define urban 'neighbourhoods'. Can be challenging where displaced are hidden / community is not cohesive.	Minimal – unless lists are used to pre-identify a caseload to which additional CBT is applied.	High – but involvement should be carefully managed. Perhaps 'pre-identification' rather than full discretion in selecting households is more appropriate.	Low – though the indicators resulting from the statistical analysis could be discussed and verified with community representatives before the HH survey.	Medium – their engagement can be sought for proposing indicators and those included in the draft scorecard could be discussed and verified with community.	Low (by design).	Low (by design).
Inclusion of invisible groups	Not relevant – not targeting household /individual.	Low – eg non-registered refugees.	Community could identify hidden families. Inappropriate for sensitive programmes eg protection.	Low unless data collectors are trained in methods to locate such households.	Low unless data collectors are trained in methods to locate such households.	An effective way to include these groups, where outreach is sufficient and risk of harm is minimised.	Can support agencies to reach and include marginalized/hidden groups, including those in need of specialized support.

MECHANISM		ADMINISTRATIVE	CBT	PMT	SCORE CARD	SELF-TARGETING	INSTITUTIONAL
FACTOR TO CONSIDER	GEOGRAPHIC						
Local authority engagement	High where access to government secondary data is required.	High where access to government administrative data is required.	Can be engaged to be part of targeting 'committees' where this is appropriate.	Low.	Low.	Low (can be by design as a way to ensure inclusion of 'invisible' groups).	Can be low (to ensure inclusion of 'invisible' groups) or high (eg partnership with government welfare agency).
Overall comments on usefulness	<p>Needed to some degree as first layer of targeting in most urban programmes. Combined with other mechanisms to further identify the most vulnerable within the area.</p> <p>Even including when blanket targeting in acute phase, if agencies are working through a well-coordinated area based approach).</p> <p>In protracted crises, can rely on more existing secondary data from previous rounds of assistance / registration exercises.</p>	<p>All emergency contexts; and can be good to identify vulnerable in the host community.</p> <p>Can be used as an initial layer of targeting to pre-identify households, to who a further mechanism is applied (eg – scorecard / CBT).</p> <p>Lists can provide the necessary baseline data to calibrate a PMT.</p> <p>In protracted crises, can rely on more existing secondary data from previous rounds of assistance / registration exercises.</p>	<p>Suitable where there is low administrative capacity and strong community structures can be found, or can be developed.</p> <p>Developing these structures takes time – if this is needed it is less useful in acute crises and more so in protracted crises.</p> <p>In contexts of high insecurity, community meetings could be difficult. On the other hand, could present one of the only options where agency access is restricted.</p> <p>Results should always be triangulated and verified.</p>	<p>In most contexts it remains difficult to justify the need for, or appropriateness of, such heavy investments.</p> <p>Perhaps more useful in protracted crises where time is less of a constraint.</p> <p>Likely to require agencies working collaboratively to justify costs.</p>	<p>All emergency contexts.</p> <p>A more pragmatic, applicable and lower cost solution than the PMT, aligned with the capacities and expertise of humanitarian teams.</p> <p>Can be applicable in any emergency context – though insecurity can limit feasibility of household data collection.</p>	<p>All emergency contexts.</p> <p>Useful to fill gaps / reduce exclusion errors on multi-/single sector assistance programmes.</p> <p>Essential element to targeting of specialised programmes / services for particular vulnerable groups, eg protection interventions; ICLA.</p>	<p>All emergency contexts.</p> <p>Useful on multi-/single sector assistance programmes where time is limited or access restricted.</p> <p>Can be used within or between agencies to targeting additional specialized interventions following referrals from teams targeting multi-sectoral assistance.</p> <p>Essential element to targeting of specialized programmes / services for particular vulnerable groups eg Protection interventions; ICLA.</p>

iii) Decision making tool

CONSIDERATION	MECHANISM						
	GEOGRAPHIC	ADMINISTRATIVE	CBT	PMT	SCORE-CARD	SELF-TARGETING	INSTITUTIONAL
Programme objective / targeting criteria							
Accuracy							
Timeliness							
Resources required							
Risk of harm							
Security and access							
Dynamism of the context							
Accountability							
Community engagement							
Local authority engagement							
Inclusion of invisible groups							
Overall decision							

SUPPORTING TOOL III: Geographic vulnerability indicators

There is a range of indicators that can be used to estimate the vulnerability of administrative areas or neighbourhoods in urban contexts. Some of these can be found in secondary data whilst others may require consultation with local authorities, other key informants and community members within the neighbourhoods. It is likely that numerous criteria will need to be used and compared in order to capture a nuanced and multi-dimensional understanding of vulnerability.

This tool provides practitioners with guidance in selecting indicators to inform geographical targeting:

- i. The type of data, its source and potential indicators
- ii. The rationale for their use

DATA TYPE	INDICATOR	RATIONALE
SECONDARY DATA (ADMINISTRATIVE UNIT – DISTRICT OR MUNICIPALITY)		
Population size	Refugees/IDPs caseload (especially new arrivals)	Can identify locations with the greatest direct exposure to the demographic shock (influx of displaced), and where cumulative needs will be great.
	Refugee/IDP density (percentage of refugees to the host population)	Can be a flag indicating areas where basic services, labour markets and rental markets are stressed, or where social tensions may be high.
Poverty / economic insecurity	Incidence of poverty in the population	Identify areas with pre-existing structural vulnerabilities – those host communities that are poorest and least able to cope with the displacement crisis. Poorer areas can tend to have a higher than average share of the displaced population.
	Percentage of population applying to welfare / rate of increase in new applications	Can show burden of the crisis on the host community and also on the displaced (in the case of IDPs, or contexts where refugees are able to access welfare services).
	Number of basic services	A rough proxy of economic insecurity, since the poorest areas with the poorest and most marginalised populations are often those with the lowest service provision.
Alignment with national and humanitarian programmes	Presence and coverage of other humanitarian assistance interventions	Can highlight gaps in assistance and underserved areas.
	National or municipal action plans	Highlight those geographical areas that are identified as a priority or a 'no go' for assistance by the authorities (note it may be a legal requirement to align with these locations).
Insecurity	Coverage of street lighting	The absence of street lighting can be a good indicator for insecurity.
	Statistics on crime	Can also be an indicator of economic insecurity, since the poorest tend to be found in areas with highest insecurity (those who can afford to will move to other locations).

DATA TYPE	INDICATOR	RATIONALE
SECONDARY DATA (ADMINISTRATIVE UNIT – DISTRICT OR MUNICIPALITY)		
Access to services	Number of basic services	<p>A rough proxy of service stress when compared to the size of the populations in the area.</p> <p>A good proxy for economic insecurity, since wealthier neighbourhoods tend to have better service provisioning. Though need to take into account any barriers to access to these services for particular population groups.</p>
	Extent of overcrowding in schools	Indicates that particular services are under stress.
	Number/proportion of displaced children enrolled in schools	Congestion of services can also indicate areas with social tensions.
	Coverage of piped water networks and sewerage	Can be used for targeting of complementary supply side interventions.
	Number of outpatient visits to primary healthcare centres.	
	Percentage of health centre patients who are from the displaced population.	
	Vacant housing stock. (Increases in) rental prices.	
% change in expenditures in relevant sectors		
Vulnerability to naturally-triggered disasters	Areas defined as highly vulnerable (eg according to hazard vulnerability maps)	<p>Highlights a structural vulnerability that may reduce the ability of those affected by displacement in these areas to cope with the shock.</p> <p>Can be a proxy for economic insecurity since wealthier households and individuals tends to reside in other, less disaster-prone areas.</p> <p>Data on such environmental factors can also help identify contextual risks to response and recovery efforts to inform programme design.</p>
Access to livelihoods	Percentage of the workforce that is reliant on the informal sector and/or daily wage labour or irregular/unskilled work.	Can highlight areas more vulnerable to economic insecurity on account of insufficient access to employment/livelihood opportunities.
	Number of small businesses registered with Chamber of Commerce	Can flag areas at risk of social tensions due to competition for livelihoods.
PRIMARY DATA (KEY INFORMANTS AND LOCAL AUTHORITIES)		
Poverty	Areas or neighbourhoods that have high concentrations of poor or displaced households	Can inform on access to services; poverty stricken areas; concentrations of displaced; locations with unfinished buildings within the administrative boundary or within particular neighbourhoods.
Access to shelter	Areas or neighbourhoods where displaced are living in unfinished buildings	

DATA TYPE	INDICATOR	RATIONALE
PRIMARY DATA (FGD WITH COMMUNITIES, OR HH INTERVIEW)		
Access of displaced and resident populations to services	Distance to basic services	Identify areas with high economic insecurity and social vulnerabilities, since the poorest areas and/or those with marginalised populations are often those areas with low (quantity and quality) of service provision.
	Level of satisfaction with basic services	
	Frequency of garbage collection	
	Connection to a sewer system	
	Type(s) of water sources available	Identify areas where key services (water, solid waste management, sanitation, health, education) are under stress due to displacement.
	Frequency of water shortages	Congestion of services, perceptions of poor municipal services or lack of engagement between populations and municipalities can all be signs of poor social cohesion/social tensions. Can be used for targeting of complementary supply side interventions.
	Perceptions of water quality	
	Awareness of how to register a complaint	
Access to livelihoods	Distance/how long it takes to access a decent source of livelihood.	Can highlight areas more vulnerable to economic insecurity on account of insufficient access to employment/livelihood opportunities.
	Perceptions of competition for employment	Can flag areas at risk of social tensions due to competition for livelihoods.
Insecurity	Perception of safety in the community	Can highlight in which areas insecurity is high, which can constrain access to markets and services. Can also be an indicator of economic insecurity amongst host and displaced, since the poorest tend to be found in areas with highest insecurity (those who are able to will prioritise other locations for safety and security).

Source: Bailey and Barbalet (2014); REACH (2015a; 2015b); Chaudhuri (2015); Interview REACH; Interview NRC Lebanon; Interview King's College UrbanArk programme

Annex A: Methodology to develop the guidance

The process to develop this guidance document included the following:

1. Review and extraction of key learning from published and grey literature on targeting in urban contexts. This included the findings of an NRC desk review of targeting tools and guidance for urban contexts (Smith, Mohiddin and Phelps 2017). Concern Worldwide's research into indicators of vulnerability for surveillance in urban emergencies (Chaudhuri, 2015); research by REACH to map and understand vulnerability in urban displacement crises in Lebanon and Jordan (REACH, 2015a; 2015b); the Urban Ark collaboration (between Save the Children UK, Kings College London and UN Habitat) to understand the resilience of urban IDPs and indicators of vulnerability;⁴⁰ ODI's review of vulnerability criteria and frameworks in the Syrian refugee crisis response (Bailey and Barbelet, 2014); and documenting the experiences from implementation of scorecards and proxy means testing in Jordan, Lebanon, and Turkey (Smith and Mohiddin, 2015; Sharp, 2015; Armstrong and Jacobsen, 2015).
2. Interviews with fifteen key informants – programme managers, advisers and M&E specialists in NRC country programme teams, and other agencies and academics with experience of targeting in urban displacement settings – to understand the processes followed, lessons learned, emerging best practices, challenges faced and solutions.
3. NRC's internal survey on targeting needs and practices and related guidance on assessments and targeting, and protection mainstreaming.
4. Meetings and Skype calls with specialists in KoboCollect and DART, to understand the capabilities of such applications to support targeting.
5. Drafting the guidance in collaboration and consultation with relevant NRC technical advisers. This included identification of key vulnerability indicators for the displaced in urban contexts.
6. Piloting of the targeting guidance in Ethiopia in January 2017, followed by further edits to reflect lessons learned.

⁴⁰ www.urbanark.org

Annex B: The Urban Multi-Sector Vulnerability Assessment Tool

NRC developed an **Urban Multi-Sector Vulnerability Assessment Tool For Displacement Contexts**⁴¹ (UMVAT) as an innovative, combined approach to needs assessments and vulnerability profiling in urban areas affected by displacement. It has been developed and piloted in conjunction with JIPS (Joint IDP Profiling Service) and with inputs from UNHCR and ACAPS, and aims to provide 'good enough' data to inform multi-sectoral response analysis and targeting decisions.

The assessment does not aim to provide a full and detailed data set for each sector, but instead it builds on and incorporates the most relevant elements of sector-specific assessments, plus questions on protection and governance, to determine a holistic picture of needs and vulnerability in urban areas and how these vary by location and between population and demographic groups. It comprises:

- Household interview questionnaires: This is available for NRC and for other agencies to use, through the Kobo open source digital data collection application.⁴² The survey tool is based on a series of sector-specific modules with standard questions in each, for ease of comparison, but which must be contextualised at the outset in each new assessment location. Particular modules can be included or omitted according to the time and resources available. Within each module, practitioners can choose to collect data on only 'essential' (mandatory) questions or on a more extensive list of questions depending on the focus of the assessment, time and resources. Cross-cutting themes such as gender and the environment are present in all modules.
- FGDs: to understand community perceptions of vulnerability and the key characteristics for key urban demographic groups.
- Consultations with key informants: to orientate the assessment and obtain a wider perspective of the context, with a focus on governance and context analysis.

Once survey data is collected and uploaded, it can be analysed in an application such as Excel, Kobo Analyse, or the JIPS DART, providing visualisation of key variables of interest showing how indicators vary between population groups of interest.

The accompanying **response analysis framework** analyses information collected in the UMVAT to support the design of effective multi-sectoral programmes, keeping in mind the organisation's funding, strategic priorities, and capacities.

Data collected in the UMVAT and analysed in these ways has potential to support targeting in several ways:

- Assisting with identification of indicators for use as eligibility criteria (See Section 5).
- Informing the design of scorecards to identify vulnerable households, through further surveys (See Section 7 and Annex D.1).
- (In rare cases) generating a list of households to which such scores can be applied (See Section 6 and Annex D.1).

⁴¹ The UMVAT guidance note may be found at <http://pubs.iied.org/10823IIED/>. The link to the multi sector assessment questionnaire on kobo toolbox can be found at <http://cash.nrc.no/urban.html>

⁴² www.kobotoolbox.org/

Annex C: JIPS Dynamic Analysis and Reporting Tool (DART)

The Joint IDP Profiling Service (JIPS)⁴³ Dynamic Analysis and Reporting Tool (DART)⁴⁴ was designed to enable the analysis, dissemination and use of displacement data. The DART makes exploring a dataset easy for non-technical practitioners, and facilitates joint analysis through its report workspaces.

Using JIPS DART tool: In the DART, users can explore and analyse the data collected in profiling exercises by selecting relevant indicators to create report-ready visuals. These visuals give an overview of the characteristics of a population group and allow users to compare two or more population groups side-by-side. The graphs, tables and maps created can furthermore be shared among partners to collaboratively discuss and refine interpretations of the data or to initiate a draft report.⁴⁵ A video on the homepage demonstrates the different features of the DART.⁴⁶

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

Working with JIPS: Upon request, JIPS is available to provide more comprehensive support to the methodology development, implementation, and analysis of collaborative assessments in displacement situations, known as profiling exercises. In some cases, JIPS can also support with preparation of the displacement data for the DART if it fulfils certain criteria: the data was collected through a collaborative process with multiple partners and had a well-documented methodology. Displaying data on the DART requires the dataset to have already been cleaned, and that a description of each variable be prepared to instruct the DART how to read the data. JIPS can provide more detailed instructions on how to prepare the description of variables ('metadata') for adding a dataset onto the DART if needed. This is typically on a case-by-case basis rather than including them on the website because some discussion is helpful when reviewing the instructions.

⁴³ www.jips.org/

⁴⁴ <http://dart.jips.org/>

⁴⁵ The About page describes the aim and intended audience of the DART. See www.dart.jips.org/about

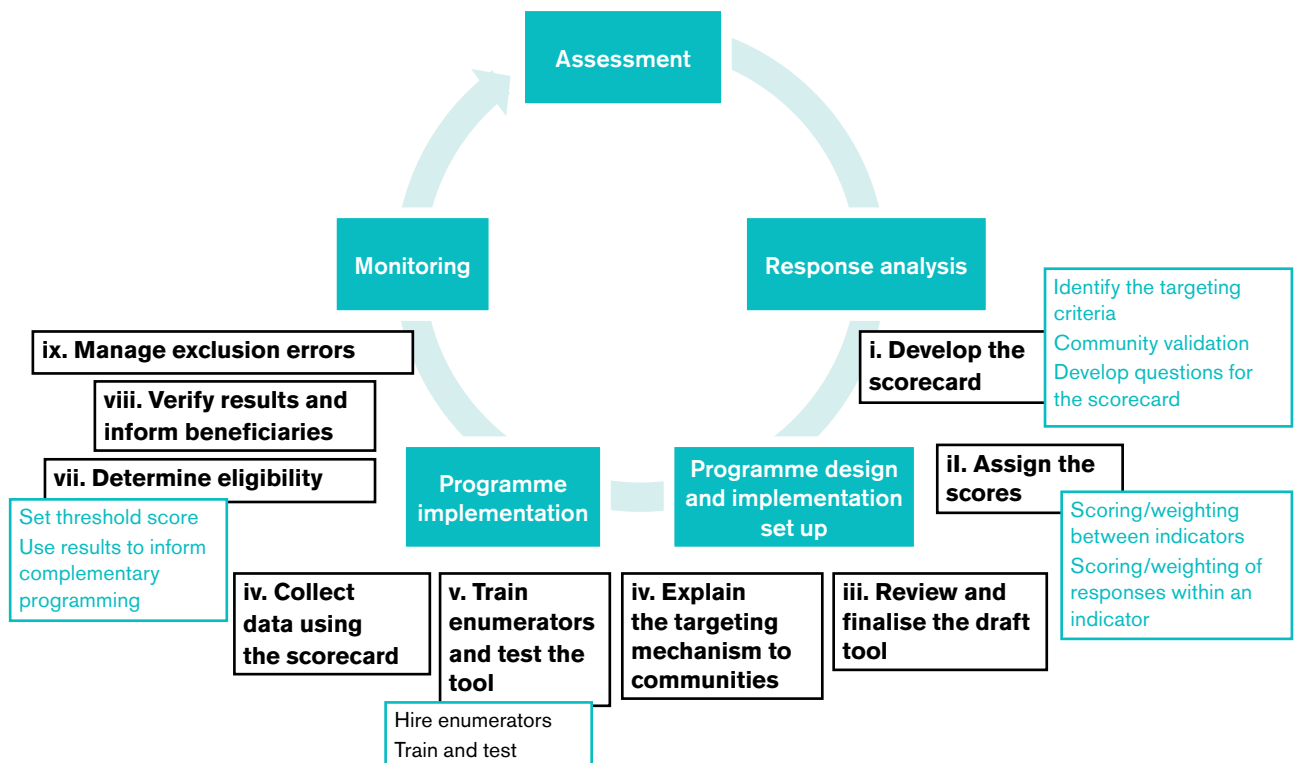
⁴⁶ This can be found at www.dart.jips.org or here: <https://vimeo.com/186381706>

Annex D: Methodological guidance for targeting

D.1 Implementing a scorecard targeting mechanism

The flowchart in Figure A1 illustrates the steps involved in implementing targeting through scorecard. The recommended practices to follow at each step are illustrated below.

Figure A1: Steps in implementing targeting through a scorecard mechanism



i. Develop the scorecard

A multi-sectoral team will be established to ensure the process is informed by a range of expertise and for triangulation of opinions.

Identify the criteria

- **Using household profiling data:** Vulnerability assessment data collected from a sample⁴⁷ of the targeted population during the assessment phase (through the UMVAT or similar tool) can be used to inform development of the scorecard. The team will follow the analytical process documented in Section 5.2.1 to identify which socioeconomic, displacement and protection indicators show high relevance for targeting, and which demographic categories of the population demonstrate heightened vulnerability according to these indicators. These findings can also be supplemented with the results of any FGDs and KIIs carried out as part of the profiling exercise.

⁴⁷ Such vulnerability profiling exercises will not typically allow for an individual-level targeting of households as they are not designed to capture data on the entire target population. In the event that it has been possible to conduct such a census-style survey of the target population (requiring operations with dedicated targeting resources and sufficient time – perhaps in protracted crises), the profiling data would similarly be used to determine the key indicators and to assign scores to these. The scores could then be applied directly to this household data to identify eligible thresholds without the need for further data collection. Such an event however is considered rare and unlikely.

- **Where vulnerability assessment data isn't available:** As we saw in Section 5.2, in situations where vulnerability assessment data is not available due to time, access or resource constraints, alternative approaches must be used to identify targeting criteria⁴⁸. Selection and prioritisation of indicators can be based on the opinion and previous experience of sector experts within the agency, or in other agencies (including protection colleagues), or through consultation with the community, or both, as per the guidance in Section 5.2.

NOTE

The scorecard is developed based on human input as well as findings from the profiling. This means that, whilst the ideal is for the profiling sample to be fully representative of the target population it is not essential. If possible, place emphasis on objectively verifiable indicators as well as self-reported indicators but take into account the time and resources that will be required to administer the scorecard.

Community validation

Ideally, and if time and security allows, validation of these indicators with the community will be sought.

Develop questions for the scorecard

In the case where profiling data has informed the choice of indicators, the survey questions relating to these indicators can be extracted from the profiling tool and incorporated into a new, short, household survey or 'scorecard' with minimal revision.

Where indicators have not been informed by profiling data, the team need to develop a set of survey questions, the responses to which will capture these vulnerability indicators.

- Avoid problematic question formats and phrasing (eg ensure that response categories are exhaustive and mutually exclusive; focus overly-broad questions by specifying the time period, etc.).
- For indicators that are presented as a continuous variable (ie a whole range of responses are possible, along a continuum, for example monthly income), the question should be adapted in order to present responses as a series of categories. This is because the responses to all questions will need to be assigned a score.

ii. Assign the scores

The team then select their scoring systems. Scores can either begin at zero; or can incorporate both positive and negative scores. Systems that begin at zero are generally less complex and simpler to set up. In both systems, the lower the score should mean the lower the vulnerability.

Each response to each question in the scorecard is assigned a score. The value, or weight, of each score, is in accordance with the level of vulnerability that the indicator represents (a response indicating no or limited vulnerability may score 0; a response indicating some vulnerability scores 1; a response indicating high vulnerability may score 5; etc.).

NOTE

Remember, this is not an 'exact science', it is based on human analysis of the data available and most of all good judgement.

Scoring/weighting between indicators

Those indicators that are considered to be most critical should be assigned relatively higher scores. Assigning high scores to indicators that are not strong determinants of vulnerability will increase the weighting of these responses and skewing the findings.

Scoring/weighting of responses within an indicator

In the cases where a question has multiple possible answers, each response must be assigned a score and there are various ways in which this can be done:

⁴⁸Note: if profiling data has not been collected due to security and access constraints, a scorecard is likely to be a difficult targeting mechanism to implement for the same reasons.

- Each response can be considered to be on a scale of increasing vulnerability, and allocated a different score (ie 0, 1, 2, 3, etc.). For example – a question on the number of household income sources. When assigning scores in this way it's important to keep in mind the relative range of high scores of other indicators. Assigning increasingly high scores to responses within an indicator can risk increasing the weighting of these responses and skewing the findings.
- Several responses may be given the same score, to define clear tiers in vulnerability. For example – in the case of a question on accommodation type, a rented apartment or own house may both score 1; an unfinished building, communal shelter or living with host family may score 3; whilst living on the street scores 5.
- For more complex indicators it may be necessary to develop an index score. One example is the case of questions on coping strategies, where a score could be based on both the frequency of use and the severity of the strategy. Another is in the case of asset scores, where the score could be based on a cumulative score of the number of assets, but which should also take into account whether the assets are equivalent indicators of wealth.

iii. Review and finalise the draft tool

Time permitting, the final scoring system should be reviewed by someone not involved in the design, for an objective appraisal of the rationale, indicators included/excluded and related scores, and revisions made based on feedback. Depending on the context, and who was already included in the design process, this can include:

- In-country protection team/global protection adviser.
- Global adviser on cash transfers/multi-sector programming/market-based programming/ urban programming.
- In country M&E officer /global M&E adviser.

If not included during the design of the tool, the full programme team should at this point have opportunity to review the tool. The rationale and methodology behind the scorecard (indicators included and scores) must be explained. Doing so will increase their understanding and buy-in and will also help them to explain the system clearly and convincingly to households.

iv. Explain the targeting mechanism to the target communities

Ensuring community participation in verification of the final scorecard may be difficult as agencies will not want to risk biasing responses during the survey. Nevertheless, communities have a right to understand the process, and their engagement here can also provide feedback to validate the indicators being used. As a minimum, programme teams should explain:

- Programme objectives.
- The broad criteria on which eligibility is based.
- The process of calculating a 'total vulnerability score for each household'.
- That the scores will be compared to a threshold.

Activities can include:

- Meeting with individuals/organisations representing the affected communities, including local authorities.
- Hosting community meetings in municipal buildings.
- Distribution of information through social media forums and literature within services accessed by the population.

v. Train enumerators and test the tool

Source enumerators:

- Ideally, those involved in administering the scorecard should be different from those who will be involved in project implementation and management. For this reason, it is often advisable to hire local community-based organisations or recruit enumerators for this process.
- Using enumerators who can represent, who are trusted by, and who can communicate with the targeted populations is important (especially in the case of refugee populations where language poses a real barrier). However, the individuals should not be from the neighbourhoods or specific areas to be targeted.

Train and test:

To ensure the accuracy of data collected enumerators must have a common understanding of terminology and concepts, and follow the same approaches to data collection. They should also understand how and for what reasons the scoring tool had been developed, so they are able to explain it to households. Care should therefore be taken to provide enumerators with adequate training. At a minimum, training should last for two days⁴⁹ and cover:

- The purpose of the targeting exercise.
- Definitions for key terminology and commonly-used jargon.
- A run-through of the survey tool to ensure a common understanding of the meaning of questions and how they must be phrased.
- Guidance on how to ask any sensitive questions.
- Training in how to use Kobo (or other equivalent digital data gathering and analysis tool).
- Methodological processes for identifying (or excluding) households to survey.
- Methodological processes for conducting the interview (including measures to ensure personal security of enumerators and respondents).
- Who to contact in case of difficulties and how to voice concerns.

At the end of the training, ideally at least one full day should be allocated to field testing the scorecard with the enumerators and for making any final revisions to the questionnaire based on the findings. Failing this, the first few days of data collection should include structured debriefs with enumerators, and the questionnaire revised if necessary at the end of this review period.

vi. Collect data using the scorecard

- The final scorecard (questions, responses and assigned scores) is inputted into Kobo (or other similar digital data gathering application) as a new survey instrument, by the M&E officer or programme manager (Mohiddin *et al.*, 2017).⁵⁰ This means that the scores will be automatically assigned by the application during data collection.
- Each enumerator is assigned a reference on the application and is provided with access to the survey instrument on a handheld device. For protection and security, enumerators should ideally work in pairs and where possible targeting should be undertaken within the homes/sleeping location. This also facilitates the use of visual observation to confirm some vulnerability criteria, such as sleeping conditions.
- The neighbourhood(s) or specific areas within the neighbourhood where households are to be surveyed will be determined by following the guidance for geographical targeting set out in Section 6.2. The size of these areas should take into account the need for high coverage of the survey within these.⁵¹
- Within these areas, enumerators will systematically identify displaced (and host) households, explain the purpose of the visit, seek their consent and carry out the interview. Targeting teams should aim to include as close as possible to 100 per cent of the targeted population within the geographical area selected. In areas where populations are less visible, 'snowballing' techniques can be used by asking interviewees to identify additional displaced households living nearby.
- Enumerators then upload completed surveys to Kobo/equivalent application in real time. This feature, plus regular debriefs and consultations with enumerators in the early days, provides an important opportunity for programme managers to review the quality of the data being collected, to identify questions, or scores, that are proving problematic, or enumerators who are entering data inconsistently or inaccurately. Where time permits, action should be taken to adjust the questions, scores, or provide further support to enumerators, as appropriate. Scores, in particular, are not set in stone.

⁴⁹Such investments can be a challenge in contexts where enumerator turnover is high. Where it is not possible to repeat full training for those enumerators recruited to fill gaps, one solution can be a 'buddy system' in which newly hired enumerators are paired with experienced team members and learn on the job (Sharp, 2015).

⁵⁰The UMVAT guidance note provides a detailed methodology for uploading data into Kobo.

⁵¹Ideally the size of the area to be targeted should be designed such that it allows for assistance to be provided to all eligible households within the area, taking into account the resources available. It may be better to set a smaller geographical area that allows for 100 per cent survey, then based on the results of the scoring and the numbers to be given assistance, if resources are not all used up then additional geographical areas can be added and surveyed.

NOTE

This household level data collection can also be supplemented with additional complementary layers of targeting (for example initial identification of households through self-targeting, or institutional referrals, which are then visited and interviewed using the scorecard) to better ensure that gaps are filled.

vii. Determine eligibility for assistance

Set the threshold score

Once data collection is completed and all surveys uploaded, the programme manager/staff member responsible for managing data in Kobo/equivalent can login to the database and generate a household index, which ranks all households surveyed in a continuum of low to high vulnerability, according to their cumulative score. All relevant programme managers should now be involved in the analysis to identify the caseload of eligible households.

Eligibility of a household is determined by the household score, relative to a threshold score. All households with scores over this threshold are considered eligible for assistance. The setting of the threshold score, however, is essentially arbitrary and so defining the eligible population will need to be done in stages:

- i) A threshold score is proposed by the team based on some agreed parameters. For example, this might be based on the average score for the sample as a whole. Or, it could be based on a relatively high, medium or low score for each question in the scorecard. This will take into account what the team knows about the levels of vulnerability in the population, from assessments as well as from observations from the targeting team, and consideration of the project budget (what proportion of surveyed households can we realistically support).
- ii) The household index can then be analysed to see the numbers/proportions of households who are included and excluded based on this score.
- iii) If a large proportion of the surveyed households are excluded from assistance with this threshold or if many households are clustered around the line, the team can increase the threshold so as to increase the numbers/proportion of households who can be assisted, in line with project resources.

Here a data analysis application such as DART, Excel or KoboAnalyse can add power to the analysis, by visually mapping the scores of the population against the eligibility threshold. Teams can visualise:

- The rough numbers of households that fall below or above a particular threshold score.
- Any clustering of households above the cut-off point, indicating the proportion of excluded households who may be almost as vulnerable.
- How these numbers and clusters change when the threshold score is revised.
- How the proposed threshold score compares to the average score for the sample.

Use results to inform complementary programmes (layering)

The data can also be extracted and analysed in stages, where scores are used to inform targeting for different programme components. For example:

- A scorecard can incorporate indicators for the broad targeting of multi-sectoral assistance, and also include indicators on shelter condition, to inform targeting of an additional, complementary shelter assistance component for particularly vulnerable households.
- A scorecard includes particular protection-related vulnerabilities – for example, children out of school or risk of forced recruitment. Protection vulnerabilities driven by socioeconomic factors are included in the cumulative scoring for targeting multi-sectoral cash assistance. Other protection indicators are used to identify an additional cohort of households at risk of discrimination, harassment and violence, for targeting of protection interventions.

viii. Verify results and inform beneficiaries

To mitigate the risk of fraud and identify the likely scale of inclusion errors, programme teams should conduct spot checks and verify the eligibility of a sample of these households. The size of the sample will depend on the number of households surveyed; the time and resources available; and any concerns about data quality that arise. Depending on the context, a large variation in vulnerability scores, or a large number of households with very similar scores (especially those done by same enumerator) may indicate the need for further verification. As a rule of thumb, a minimum of 5 per cent of households should be verified.

Once the list is finalised, eligible beneficiaries will be informed. It is important that those excluded households are also informed:

- The ideal but most resource intensive solution is to proactively call and inform each excluded household about the reasons for their exclusion.
- Another option is to train information hotline staff to explain the scoring system and the rationale behind it, for those households that call to ask about the reasons for their exclusion.

ix. Manage exclusion errors

No scorecard will be perfect and it will not capture every household's real vulnerability. To reduce risk of exclusion errors, decisions to exclude should not be based on the scores alone, they should be based on human input and allow some flexibility. The following activities will reduce this risk.

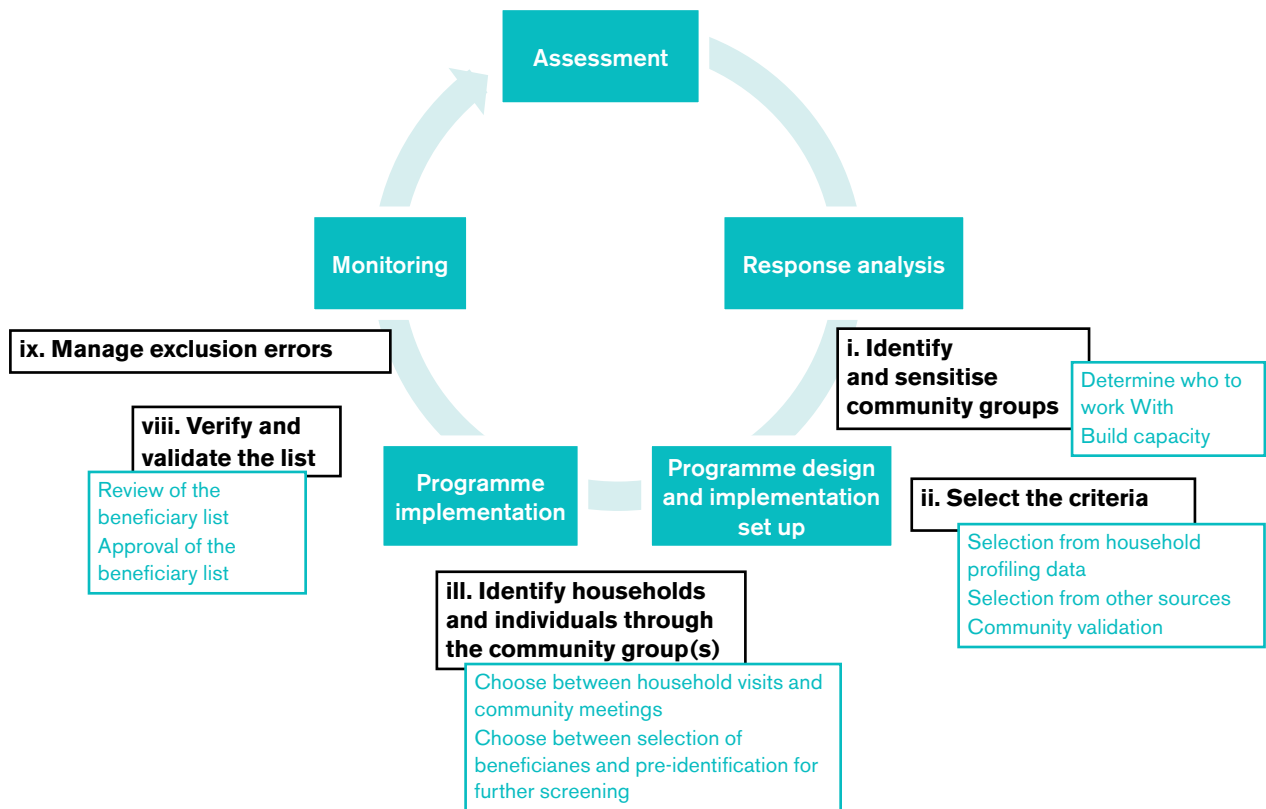
- The scorecard can incorporate indicators which flag extreme vulnerability. All such data entries in Kobo should be identified and households screened on a case by case basis, with the possibility for automatic inclusion in the programme regardless of overall score.
- The scorecard survey can include a comments section for the enumerator to record their observations, where they can flag cases of vulnerable households who they feel may risk exclusion. All such data entries in Kobo should be identified and households screened on a case by case basis.
- Depending on the number of households involved, time and resources, teams may choose to further screen the specific responses given for each excluded household that falls near the eligibility threshold.

An appeals system will need to be set up, taking into account guidance in section 7.2, in order to address those cases who seek to complain about wrongful exclusion. In these cases, households' records should be reviewed and then the household revisited and resurveyed, using a different team. Alternatively, a community appeals committee can be established, to which all cases are referred for review.

D.2 Implementing a community-based targeting mechanism

The flowchart in Figure A2 illustrates the steps involved in implementing targeting through community-based targeting. The recommended practices to follow at each step are illustrated below.

Figure A 2: Steps in implementing CBT



i. Identify and sensitise community groups

CBT requires a community structure, or group, that represents and is knowledgeable about the targeted community, to support identification of households or individuals. A vital first step in this process is to define what constitutes a 'community' or neighbourhood. **Guidance on this is provided in Section 6.2 Geographical Targeting.**

Determine who to work with

Every urban area will be different. The team should establish what, if any, community structures are in place already that can be used or built on, and decide whether it is possible to further develop, or create, such structures given the time and resources available.

Working with pre-existing structures/groups: In urban contexts where displacement is protracted or where societies are based on strong ties of kinship, clan and social networks, displaced communities may be more clearly defined. These can have established local leadership systems where these leaders are familiar with displaced populations – especially if communities and these leadership systems reflect those that existed at people's place of origin.

There may also be formal structures at the level of the neighbourhood (whether civil society-based or even the lowest level of government municipal services) within the host communities that can serve this purpose – such as networks of community health workers.

Setting up targeting committees: Where such structures are not existing/reliable, or don't represent the broad target population, targeting committees can be established. To do this well in urban areas can be a lengthy process (months rather than days or weeks). Investments can be worthwhile where the committee is to have an

active role in other areas of programme implementation or where such community structures can be sustained beyond the programme.

Committee membership can be selected by agencies or, ideally, by target communities themselves. Ensuring diverse membership from a range of trusted institutions (which can include, for example, municipal authorities; local business associations, youth associations, religious bodies, teachers or health committee members), and inclusion of both men and women is important to reduce risk of exclusion of marginal groups or of targeting bias. Committee rules or procedures will need to be established and members trained.

Working with informed individuals: In contexts where community structures representing the displaced are lacking, and particular isolation of displaced households, establishing a functioning targeting committee may be difficult or more time-consuming. Here CBT can begin with identifying and recruiting informed individuals from the refugee or the local population who can act as neighbourhood focal points to identify vulnerable individuals or households known to them. These could be a precursor to establishing a more formal 'committee' later in the programme or in future programmes, when a better understanding of the sense of community would support a CBT approach.

Build capacity

In all cases, these community groups must be properly sensitised as to their roles and responsibilities in order to build motivation and reduce the risk of bias in CBT. Capacity building can also extend beyond training, to include resources to support the group to carry out targeting activities. Depending on the context this might include financial compensation for time spent; or establishing and funding dedicated human resources for municipalities.

ii. Select the criteria

A multi-sectoral team will be established to ensure the process is informed by a range of expertise and for triangulation of opinions.

Selection from household profiling data

Vulnerability or household profiling data that was collected from a sample of the targeted population during the assessment phase⁵² can be used to inform selection of the targeting criteria that will be used in CBT. The team will follow the analytical process documented in Section 5.2.1 to identify which indicators show high relevance for targeting – and from these, which are going to be feasible to implement through CBT. Status based and categorical indicators are most easily used by the community for identification, unless there will be opportunity during the identification process for some form of participatory wealth ranking. This means more emphasis could be placed on analysis to understand which demographic categories of the population demonstrate heightened vulnerability according to these indicators, and which could then be used as 'proxies' for socioeconomic vulnerability. It may not be appropriate for community groups to be screening for protection-related vulnerabilities – unless they have the requisite skills (eg community health workers).

Selection from other sources

As we saw in section 5.2, in situations where household profiling data is not available due to time and resource constraints, alternative approaches must be used to identify targeting criteria. Here selection and prioritisation, of indicators will be based on consultation with the community groups and ideally with focus groups within the wider target community, as per the guidance in Section 5.2. These should be triangulated with the opinion and previous experience of sector experts within the agency, or in other agencies (including protection colleagues).

Community validation

These indicators will then be validated with the community group to ensure it aligns with their own understanding of who are the vulnerable and vulnerability characteristics. It is likely that this will validate certain criteria and revise others, or potentially introduce new criteria.

⁵² Such as in the case of the UMVAT on Kobo developed by NRC (Mohiddin *et al.*, 2017).

iii. Identify households and individuals through the community group(s)

The community group(s) tasked with targeting will now implement the process of screening and identifying eligible households/individuals according to these indicators. To ensure consistency and accuracy of targeting, and that households and individuals are given clear information, community groups must be fully informed about the selection process, and their role in this process, before the activity starts. Community groups and programme staff must also all be clear on how targeting criteria are to be applied. For example, are households eligible if they meet all, or simply some, of the criteria?

The extent of the community groups' role in selection, and the precise activities they undertake, will vary according to several factors – such as the security context and need to reduce protection risks, the types of criteria households/individuals are to be screened against, and consideration of local power dynamics. Programme teams will need to consider the following in defining their role:

Choose between household visits and community meetings

- House to house visits can be an effective way to reach a wider cross section of the target population, especially those isolated households or 'hidden' populations. They can be more appropriate for screening that uses sensitive targeting criteria or requiring visual verification of indicators. They require more time to implement and community groups must be prepared to go the 'extra mile' in seeking the excluded and invisible cases.
- Community meetings can be a quicker means of screening the target population and provides opportunity for more participatory application of targeting criteria, including participatory wealth ranking. They may not be appropriate in urban locations where communities are not cohesive or insecurity is a problem. They risk excluding the most marginalised with least access to information.

Choose between selection of beneficiaries and pre-identification for further screening

There will be contexts where it is not appropriate for the community groups to make decisions on who is to be included and excluded. For example, where analysis of local power dynamics indicates high risk of marginalisation of particular groups; where group members are not sufficiently informed; or where it may not be possible to enrol all vulnerable households that are identified due to resource constraint and further prioritisation by the programme team is needed. Here, community groups can be tasked with pre-identification of households for further follow up and screening by programme teams, and possibly also disseminating information so people can apply directly for assistance.

It is recommended that, regardless of their role, community groups are provided with tools that they fill in to show that the screening process has been followed. Rather than just a list of names and contact details, each record on the list should provide details of the criteria the household/individual did (or did not) fulfil. This will make the process of verification and validation much easier and can assist in identifying problems in the community groups. All activities must also be carefully overseen by programme teams.

iv. Verify and validate the list

Ideally, rather than waiting until the end of the community groups' activities before reviewing the lists, programme teams should collect and review these on a regular (even daily) basis to identify possible problems at an early stage.

Review of the beneficiary list

Programme staff should conduct a review of the beneficiary list collected by the community group to check for missing information or inconsistencies in the data. To mitigate the risk of fraud programme teams should conduct spot checks and verify the eligibility of a sample of these households. The size of the sample will depend on the number of households surveyed; the time and resources available; and any concerns about data quality that arise. As a rule of thumb, a minimum of 5 per cent of households should be verified.

Approval of the beneficiary list

Once the list is finalised, eligible beneficiaries will need to be informed. It is important that those excluded households are also informed:

- In cohesive communities and where there the risks of such an approach have been carefully considered, the suggested list can be displayed publicly.
- The ideal but most resource intensive solution is to proactively call and inform each excluded household about the reasons for their exclusion.

v. Manage exclusion errors

No CBT will be perfect and exclusion errors are inevitable. The risk increases in contexts where:

- i) There are strong local power dynamics and risk of discrimination of particular groups.
- ii) Communities are very fluid and displaced populations are isolated, from information and from each other.

In cases where screening has involved house to house visits, the lists provided by community groups can also include those households who have not been excluded along with the reasons why. Programme teams can verify a random selection of these cases to verify the accuracy of these decisions and determine whether further verification of excluded cases is needed.

An appeals system will need to be set up, as per the guidance in Section 7, in order to address those cases who were not included in the screening process and who contact the agency seeking assistance or who seek to complain about wrongful exclusion. Programme teams should determine whether they were ever screened by the community groups.

- If they were not, the programme team can refer the case to the community group for screening, or can undertake this directly through a household visit.
- If they were included in the screening process of the community group and were considered ineligible, programme teams can visit the household to verify the decision of the community group. Or, the case can be referred to an appeals committee of the community group if one has been established. This process should be overseen by the programme team to ensure decisions are impartial.



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Targeting is the process by which individuals or groups are identified and selected for humanitarian assistance programmes, based on their needs and vulnerability. It is a way to focus scarce resources on those within the population that would most benefit from support.

This document aims to provide guidance to ensure a coherent, consistent, practical and flexible approach to targeting in urban displacement contexts. It has been developed for humanitarian practitioners on programmes designed to address needs arising from displacement in urban contexts. The guidance assumes an existing level of technical knowledge and experience in targeting humanitarian assistance. It is comprised of guiding principles; theoretical and practical guidance for selecting targeting criteria and mechanisms in urban displacement contexts, along with tools for decision making; more detailed practical guidance on the methodological processes to implement two targeting mechanisms (community-based targeting and use of scorecards); and case studies highlighting lessons learned.

The guidance note is part of a suite of complementary urban tools to enable appropriate urban responses for displaced and host populations. More information is available at www.iied.org/stronger-cities-initiative.

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