

What's missing?

Adding context to the urban response toolbox

Annex A

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This is the Annex A for: What's missing? Adding context to the urban response toolbox.

Read the report at www.alnap.org/help-library/whats-missing-adding-context-to-the-urban-response-toolbox.

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1. Introduction and key

This annex contains a more detailed description of the 25 tools reviewed as part of the ALNAP Study [What's Missing? Adding Context to the Urban Response Toolbox](#).

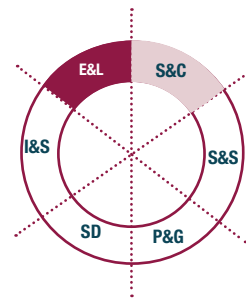
The research sought to find tools which could be used to improve understanding of context (the environment and circumstances within which something happens and which can help to explain it). 25 tools were identified, and have been grouped as follows:

- 16 'Core' tools developed for, or used in, urban or sub-national contexts in an emergency or crisis context, and deal in whole or in part with context.
- Six 'Supplemental' tools these deal in whole or in part with context. Some focus on a country or an urban level in a crisis context but in a development or planning context.
- Three 'Related' tools these tools have been considered because they address context in some way, but have a larger focus on, for example, needs or conflict.

The documents referenced throughout this paper are included in the paper's bibliography, available at <https://www.alnap.org/help-library/urban-tools-paper-bibliography>.

Key for understanding the tools

Organisation		
Name of tool		
Country	City	Neighbourhood

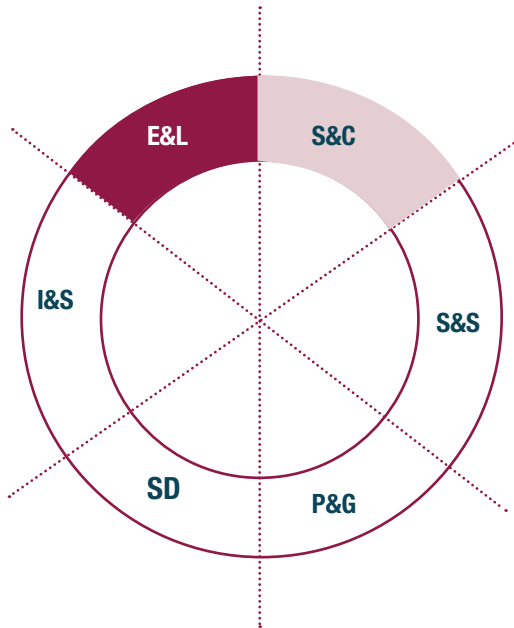


= Tool focuses strongly on this geographical area

= Tool has some focus on this geographical area

= Tool focuses strongly on this context area

= Tool has some focus on this context area



E&L Economy and livelihoods

P&G Politics and governance

I&S Infrastructure and services

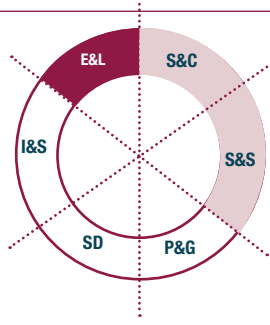
S&S Space and settlements

SD Stakeholder dynamics

S&C Social and cultural

*Based on Figure 5. Content areas (page 50) in *What's Missing? Adding context to the urban response toolbox*

2. Core tools for understanding urban context

Action Against Hunger (ACF)			
Assessment of Sustainable Livelihoods and Urban Vulnerabilities Tool			
Country	City	Neighbourhood	

Objectives: To provide guidance for field practitioners wanting to understand the various issues contributing to food vulnerability in a neighbourhood or area of a city.

Development: ACF developed the Assessment of Sustainable Livelihoods and Urban Vulnerabilities Tool after an experience in Dhaka in which a complex and difficult context inhibited a successful comprehensive multi-sectorial assessment of urban issues related to poverty. Because of this, ACF decided to start focusing on specific slums or areas of the city for subsequent context analyses.

Content: The tool uses the Sustainable Livelihoods Analysis Framework. It places emphasis on understanding the circumstances surrounding the livelihoods of marginalised and excluded groups, the influence of social divisions on livelihoods, people's qualities and resourcefulness, and the way in which problems and issues are linked to sustainability.

Methodology: The analysis involves the following stages:

1. A preparatory phase in which available data sources are reviewed and other actors working on similar subjects are consulted.
2. A zoning vulnerabilities exercise to divide the city into different strata with homogeneous characteristics and to identify sensitive locations where a complete analysis could be completed. In general, this could result in one of three potential outcomes:
 - Assessment of livelihoods across the whole city,
 - A complete analysis (social, institutional, economic) of one or several neighbourhoods,
 - Or monitoring of the area (Levron, 2010).
3. A workshop with relevant stakeholders to explore the hypothesis developed after the zoning exercise.

4. A workshop with frontline workers to validate assumptions made throughout the process and answer remaining questions.
5. A stratified random sampling to select households to participate on surveys and data collection.
6. Data collection using surveys, semi-structured interviews, and discussion groups, among other methods.

Timeframe: The analysis takes at least two and a half months to conduct. The first two weeks are for staff training in the use of the tools and protocols, after which one month is usually spent on data collection and then another month for data analysis. For this timeframe, the process requires around 20 surveyors, five supervisors and good IT resources.

Output: Using the tool results in a data set, and sometimes a written report.

Use: The tool was piloted in 2006-2007 in Burkina Faso and since then has been used in a variety of contexts including cities in India, Sierra Leone, Mongolia, Chad, Ivory Coast and Ecuador, among others.

Links: The tool methodology document can be found here: www.alnap.org/help-library/identification-of-vulnerable-people-in-urban-environments-assessment-of-sustainable



Objectives: The Contextual Analysis Tool developed by Concern aims to provide a holistic view of the context and guidelines to identify programme options at a local scale in an attempt to effectively and sustainably reduce extreme poverty.

Development: The tool was developed to assist in the design of programme interventions by providing an overall picture of poverty and vulnerability. Building on Concern's policy paper [How Concern Understands Extreme Poverty](#), Concern brought together its existing assessment tools and created the Contextual Analysis Tool, which has been used since 2012 in a range of contexts where Concern operates. The tool has been used in both urban and rural contexts, and Concern are now considering providing additional guidance for use in urban environments.

Content: The tool proposes an analysis that is both area-specific (it does not always cover the whole city) and focused on groups in extreme poverty. As such, it aims to answer the following (Concern, 2012):

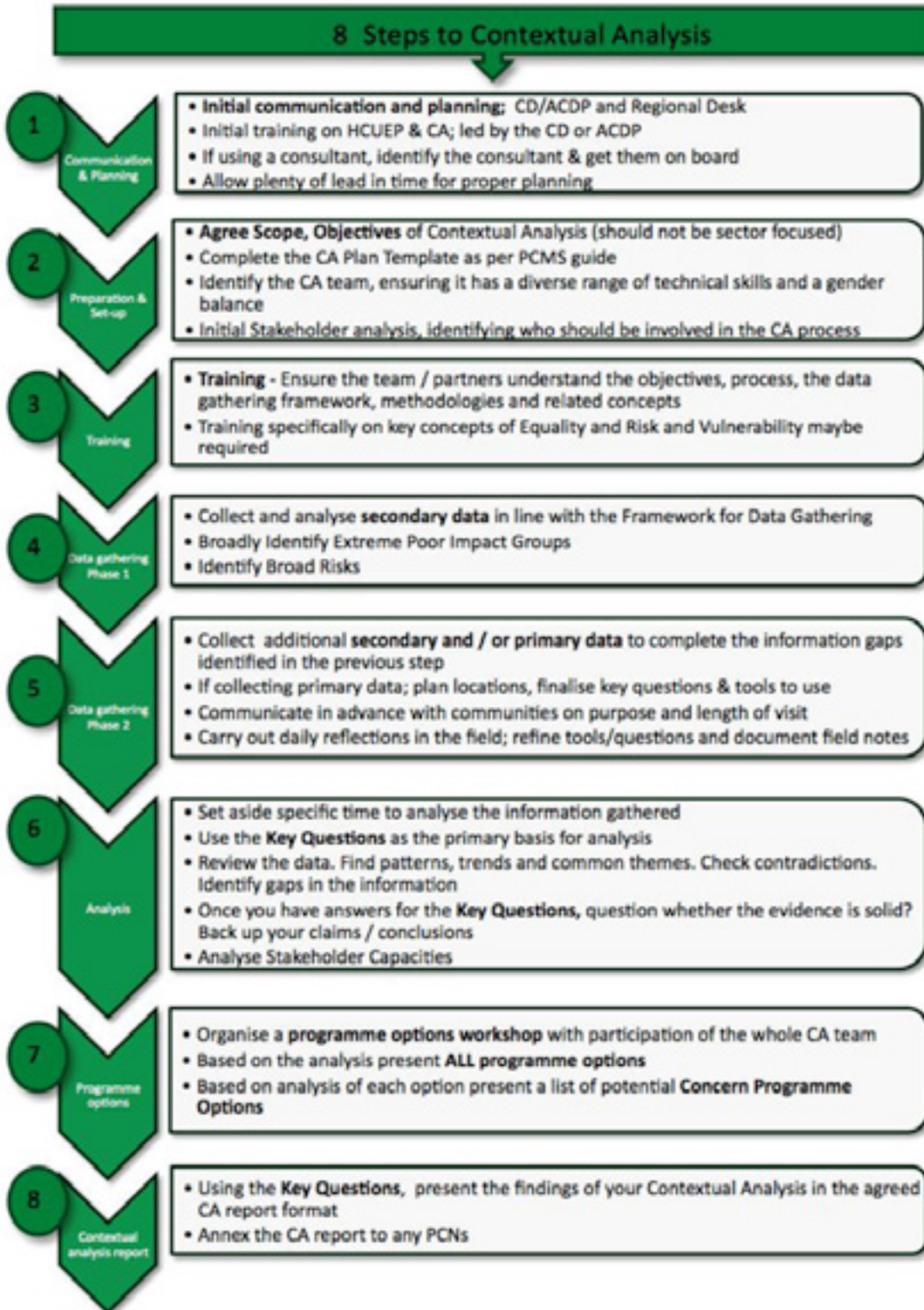
1. Who are the extreme poor in this context and where are they?
2. Why are they poor?
3. What keeps them in extreme poverty?
4. What opportunities are available to extremely poor people?
5. What needs to change and who is responsible? What is already happening?

Methodology: The Context Analysis Tool is based on the three dimensions of extreme poverty outlined in the policy paper *How Concern Understands Extreme Poverty* (2010):

- Lack of and/or low return on basic assets.
- Inequality.
- Risk and vulnerability (Concern, 2012).

In general, the analysis involves the eight-step method illustrated in Figure A.

Figure A Methodological Process



Timeframe: The analysis is done through a consultancy in a period of 40 days. However, depending on the context and the amount of people working on it, the timeframe might vary. In the case of Port au Prince, it took approximately five days to collect the data, but in general this may take up to two or three weeks (Interview).

Roles: The analysis is often conducted by a consultant (Concern, 2013). It is also done in coordination with country groups and partner teams who give guidance on Concern's approach.

Output: A Contextual Analysis Report is drafted after the analysis. This is an unpublished document that is only shared with other agencies in the country.

Use: The tool has two scenarios where it could be potentially used:

1. For every five years following a Country Strategic Planning process – which identifies geographical areas the country programme will work in – an area based contextual analysis will be carried out for each geographical area.
2. When a programme has come to an end and another programme is planned, it is important that a contextual analysis is carried out or an existing contextual analysis updated (Concern, 2012).

So far, Concern has used it in around 30 contexts since 2012.

Links: The Contextual Analysis Tool guidance can be found at www.alnap.org/help-library/contextual-analysis and the policy paper How Concern Understands Extreme Poverty can be found at <https://www.concern.net/resources/how-concern-understands-extreme-poverty>.

Norwegian Refugee Council (NRC)/ Independent consultants			
Context Analysis using the Web of Institutionalisation			
Country	City	Neighbourhood	

Background: Consultants hired to produce shelter guidance based on the success of an NRC shelter programme in Baghdad conducted a context analysis exercise using the Web of Institutionalisation to retroactively understand the programme, and how the NRC team had made decisions in order to respond to the context. The approach has the potential to be used before, during or following a response in other contexts.

Content: The context analysis explores the relationship between stakeholders in four spheres: policy, organisational, citizen and delivery. The tool was used by the consultants to look at the roles and responsibilities of the stakeholders; the policies, plans and legal frameworks regarding housing, shelter and urbanisation; the entitlements of different population groups; the systems through which people access help; potential regulatory barriers in providing support and services; and the way housing is provided. It looks at both Iraq (national scale) and Baghdad (city scale).

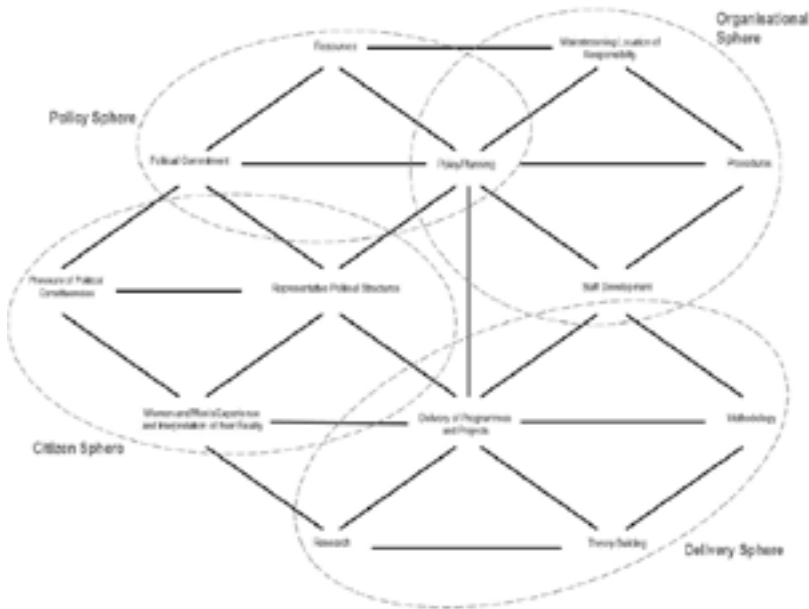
The context analysis explored the complex relationships between stakeholders in Baghdad, particularly between IDP populations and government. It identified the key role of the local governments in improving this relationship, as well as the need for an increased interaction between IDPs and government officials.

Methodology: The consultants used the Web of Institutionalisation as a conceptual framework to organise the context analysis. This allowed them to identify key actors and made evident the relationships between them, as well as how their connections might have allowed change to happen.

The retrospective context analysis exercise included four steps:

1. Information gathering, including interviews and secondary data review.
2. Stakeholder analysis, using stakeholder relationship and power/interest models.
3. Institutional analysis, including roles and responsibilities.
4. Applying the various data available to the Web of Institutionalisation model.

Figure B. Web of Institutionalisation by Caren Levy



Source: (Kelling and Heykoop, 2013)

Figure C. Web of Institutionalisation with context analysis



Source: (Kelling and Heykoop, 2013)

Timeframe: Consultants conducted a context analysis between August and October 2013.

Output: As the approach has only been used once, there are no set outputs beyond the Web of Institutionalisation diagram. In Baghdad, the consultants produced an initial (unpublished) case study of the NRC shelter programme, a learning document [Lessons from Baghdad: A shift in approach to urban shelter response](#), and an [animated video](#) with key messages.

Use: The context analysis using the Web of Institutionalisation was a one-off where the tools were used to retrospectively understand a context in which NRC had worked. It did not impact the course of the programme developed in Iraq, as it had already finished when the analysis started. Nevertheless, it provided useful feedback for NRC to understand their own role and functioning in the context, and holds potential for use in future contexts.

Links: The learning document is available at www.alnap.org/help-library/lessons-from-baghdad and accompanying video at <https://www.youtube.com/watch?v=3b350vv1XSo>. You can find out more about the Web of Institutionalisation at www.alnap.org/help-library/the-process-of-institutionalising-gender-in-policy-and-planning-the-web-of.

Impact Initiatives			
Area-Based Toolkit			
Country	City	Neighbourhood	

Objectives: The area-based toolkit being developed by IMPACT Initiatives aims to be a complementary tool for area-based response which helps to a) define and understand areas and b) identify the best source of information about the context. In doing so, it aims to support more predictable, effective and relevant responses to refugee and displacement situations in out of camp contexts (both urban and rural areas).

Development: The toolkit is being developed as part of IMPACT Initiatives' AGORA initiative. It is a two-year development process funded by BPRM. The toolkit is being piloted in four locations: Mafraq, Jordan (Spring 2017), Diffa, Niger (Fall 2017), Uganda (Winter 2017) and Kabul, Afghanistan (Winter 2017). The final guidance is due to be published mid-2018.

Content: The toolkit considers spatial aspects, particularly methods for understanding geographic communities and neighbourhoods for aid planning and delivery. It also looks at social networks, as relevant to particular sector areas (for example, health and education in the Mafraq pilot).

Methodology: This toolkit combines key informant interviews, mapping focus group discussions and social network analysis. The methodology is currently being tested through several rounds of piloting. Each pilot includes the following steps:

Set up a country level advisory board with relevant key aid stakeholders, including UNHCR, government counterparts, donors and other relevant actors.

Delineation of community areas and service delivery areas in target locations through mapping focus group discussion with local communities and interviews with service providers.

Identification and testing of a key informant network at community-area level and at service-area level using Social Network Analysis Theory. This includes the accuracy of information given by key informants about the community- and service-areas and the place the KI holds in the community social network.

IMPACT facilitates lessons learned workshop with the country steering committee and technical stakeholders at global level (including UNHCR, World Bank and academics) to incorporate lessons learned in the development process of the toolbox.

Timeframe: At the time of writing, the approach is still in development so the exact timeframe for use in a non-pilot context is TBC.

Roles: The toolkit is designed to be user friendly, with a methodology that can be implemented by country teams with minimal technical or HQ support.

Output: After using the toolkit, a number of maps and datasets will be available, which can then be turned into a variety of outputs as needed. For example, info sheets or 'profiles of neighbourhoods' were created following the Mafraq pilot. One key output is also the knowledge of which key informants are the most informed.

Use: Though still exploring options through the piloting phase, IMPACT Initiatives anticipate users will be humanitarian organisations looking to understand the area and find relevant stakeholders and key informants.

Note: This tool is still in development at the time of publication. Visit the [IMPACT Initiatives website](#) to find the most up to date information about it.

World Vision			
Integrating Peacebuilding and Conflict Sensitivity (IPACS)			
Country	City	Neighbourhood	

Objectives: The Integrating Peacebuilding and Conflict Sensitivity (IPACS) tool was created for NGO practitioners working on community development and disaster risk reduction programmes. It aims to improve the quality of projects and programmes in conflict areas, by analysing the impact of their work.

Development: IPACS is part of an array of tools for context analysis developed by World Vision. It differs from the rest as it focuses on the *micro*- and *meso*- scales, leaving the macro scale to be looked at by other tools. A rapid version of the tool was released in 2017 for use in contexts of emergency with limited resources.

Content: IPACS builds on two existing tools (Do No Harm and Integrating Peacebuilding in Programming), with an emphasis on conflict sensitivity, peacebuilding, and opportunities for large-scale strategic peacebuilding initiatives.

It has an element of both context and project analysis, focusing on three main issues:

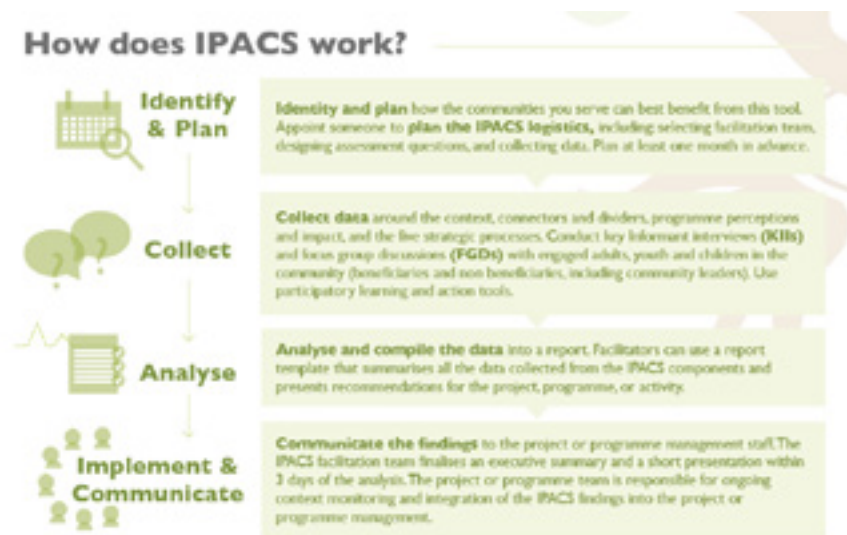
1. Clarifying the context: existence of different groups in a community, the relationships and perceptions between them and destructive issues of conflict.
2. Identifying connectors/LCPs: connections between different groups in a community, common institutions, role of different people in reducing tensions; attitudes that promote reconciliation; and factors that restrain violence.
3. Identifying dividers/tensions: experience of tensions between groups, causes of tensions, existence of competition between groups over resources or benefits or power, actions by individuals which increase tension, actions that worsen conflicts, and increase in tensions over time.

Methodology: The tool proposes an area-based approach at the scale of a village, or a cluster of villages. However, the research and analysis are participatory and community-based. It has the following stages:

Timeframe: The analysis takes approximately five to six days to be completed with a team of six people, which includes two days for data collection, one day for data analysis, one day for project analysis and one day for reporting. This varies depending on context, available resources and size of the team.

Roles: For the tool to be used more efficiently, the assessment is conducted simultaneously at two different project levels by two interdependent teams. However, if resources are scarce, one team could be enough to cover both levels. The team(s) can be further divided in sub-teams taking specific responsibilities on the context and programmatic aspects of the analysis.

Figure D. IPACS methodology



Source: (World Vision, 2017c)

It is important that the teams are constantly in communication with each other, and that they assume a role of facilitators of community self-assessment. Country offices and partners should also be continuously engaged throughout the process, to share information and receive input that could complement the analysis.

Output: The output is generally a report to be used internally and shared with local project managers. It should also include recommendations for further action and improvement of projects/programmes. Depending on the context, other communication strategies could also be used to complement this report.

Use: The tool can be used by the organisation in one of these scenarios:

1. For an early stage assessment, including assumptions from the project activities planned.
2. During the implementation or monitoring stage, to provide a general picture of the effects of the planned activities in the context.
3. As an evaluation to inform future design recommendations.

IPACS is ideally conducted when: the organisation is close to a designated time for re-design; the analysed project/programme will continue in the future; there is staff, time and capacity to conduct the assessment; community members feel secure to spend time discussing their context; and the project management is committed to conflict sensitivity and peacebuilding.

Links: Find out more about the IPACS tool here: www.alnap.org/help-library/what-is-ipacs and download the tool itself at <https://www.wvi.org/publication/integrating-peacebuilding-and-conflict-sensitivity>

International Rescue Committee (IRC)			
Urban Context Analysis Toolkit			
Country	City	Neighbourhood	

Objectives: IRC's Urban Context Analysis Toolkit was designed in partnership with the NRC and World Vision to aid humanitarian actors to understand the complex dynamics of a given situation by unpacking the political, economic, social and spatial factors that could potentially enable or hinder effective crisis responses to affected populations. It does so by enabling users to:

- Generate contextual information that goes beyond telling what the current situation is (the visible effects of the problem) to instead explain why things are the way they are, and how they are connected.
- Understand what influences the types of decisions made by local authorities, bureaucrats, and frontline service providers (state and non-state) and how displaced populations may affect their perspective and decision-making.
- Identify practical and realistic entry points when designing interventions that contribute to an effective response while remaining true to humanitarian principles and values (IRC, 2016c).

Development: It was the product of a two-year process (2016-2017) to review existing tools and adapt them in order to develop a toolkit to comprehensively and rapidly analyse a man-made crisis or one leading to population displacement in urban areas. The process started with a desk review of all the tools available, especially those looking at social networks, political economy and conflict sensitivity.

Content: As an analytical framework, the tool uses ALNAP's systems approach to urban contexts (Campbell, 2016). This framework states that an urban context could be understood by looking at the following interconnected systems:

- Politics and Governance
- Society and Culture
- Economy and Livelihoods
- Service Provision and Infrastructure
- Settlements and Space

Crosscutting these systems, IRC proposes a Gender Equality and Do No Harm approach. There is also an emphasis on how different scales are interconnected.

Figure E. Urban Context Analysis Tool



Source: (IRC, 2017j)

Methodology: The analysis has an area-based approach following ten steps in three consecutive phases (see Figure E). The tools, particularly focus group discussion and interview guides, are meant to be adapted for each particular context based on relevance and local sensitivities.

Timeframe: The entire analysis process can take from two to six weeks. For example, a common timeline would entail preparation (on to two weeks), data collection (one to two weeks), and data analysis and a one-day analysis workshop (one week).

Roles: The process is typically led by a team lead that has prior experience conducting qualitative studies and familiar with the type of analysis. Additional team members support the team lead to adapt the methodology, collect data and analyse the data. Local actors and other organisations working in the area can also be brought in as partners, either by fully involving them throughout the process or inviting them to participate at specific instances during the analysis.

Output: The result is a report containing key findings by theme, a stakeholder analysis, key entry points and risk mitigation strategies for programming, and opportunities for strengthening existing or future programming. Depending on the context, it can either be a longer narrative document or simply filled in excel and word tool templates that are included in the toolkit focusing on the findings for programmatic decision-making. This can be shared with internal and external stakeholders. However, certain political or conflict contexts can limit external sharing.

Figure F: Overview of context analysis steps

STEP 1 Launch context analysis	<ul style="list-style-type: none"> Develop workplan and budget Develop role descriptions for team members and partners for the analysis 	Phase 1 Preparation
STEP 2 Frame the context analysis	<ul style="list-style-type: none"> Use criteria to determine on what, in which area, and over what period of time to focus the context analysis 	
STEP 3 Select initial key context analysis questions	<ul style="list-style-type: none"> Draft key analysis questions using provided framework to guide and provoke ideas 	
STEP 4 Collate secondary data	<ul style="list-style-type: none"> Carry out desk review, refine framework and document findings Map existing understanding of important stakeholders 	Phase 2 Data collection
STEP 5 Prepare to collect primary data	<ul style="list-style-type: none"> Draft data collection plan to include the identification of KII and FGDs Adapt and contextualise KII questionnaires and FGD guides 	
STEP 6 Carry out primary data collection	<ul style="list-style-type: none"> Debrief regularly and discuss findings to refine hypotheses Conduct a meeting midway through data collection to review findings and identify outstanding questions for additional FGDs or KIIs 	Phase 3 Data analysis and documenting
STEP 7 Analyse primary and secondary data	<ul style="list-style-type: none"> Summarise and analyse information gathered during data collection to identify key findings, implications for programming and stakeholders analysis 	
STEP 8 Validation workshop	<ul style="list-style-type: none"> Organise a workshop to validate and refine analysis 	
STEP 9 Write final report	<ul style="list-style-type: none"> Document key findings and decisions in report or presentation 	
STEP 10 Communicate findings	<ul style="list-style-type: none"> Share findings with internal and external stakeholders 	

Source: (IRC, 2017j)

Use: So far, the tool has been piloted and utilized in Bangkok, Dar es Salaam, Maiduguri, Juba, Amman, and Kampala. In general, it is most usefully implemented at the beginning of a programming cycle, especially in contexts of transition from emergency response to recovery. It is designed for organisations that are new to a context or would like to deepen their understanding of the context to inform a forthcoming project or for future program strategy.

Links: The Urban Context Analysis Toolkit: <http://www.urban-response.org/resource/24988>

JIPS			
Displacement Profiling			
Country	City	Neighbourhood	

Objectives: Displacement profiling is a collaborative process for gathering information on populations affected by displacement. This often includes internally displaced persons (IDPs) but also refugees and/or economic migrants, and incorporates a comparative element with the local non-displaced population. This process is unique because it brings humanitarian, development, government and local actors to work together under one data collection process from start to finish, thereby encouraging local ownership and responsibility around the process and consensus around the results.

Development: Displacement profiling tools were used by various organisations in the 1990s, for example the Internal Displacement Monitoring Centre (IDMC). In 2008, an inter-agency initiative produced guidance on what was then referred to as IDP Profiling, establishing the practice and principles of profiling as a common approach to data collection in displacement situations. More recently, the Joint IDP Profiling Service (JIPS) challenged this earlier definition based on its work supporting numerous profiling exercises in the field. JIPS developed specific guidance for displacement profiling in urban areas, and has since further refined the profiling process in its new JIPS Essential Toolkit (JET), revised in 2017. Showing the adaptability of profiling, JIPS supported an area-based approach to profiling urban displacement situations in recent exercises in the Kurdistan Region of Iraq.

Content: The information gathered within the displacement profiling process changes based on the context and data priorities of the partners, but can include:

Estimates of the number of displaced persons disaggregated by age, sex, geographic locations and relevant diversity criteria.

- History, cause(s) and patterns of displacement.
- Development as well as humanitarian needs, coping mechanisms and capacities.
- Access to public services (especially relevant in urban areas).
- Protection concerns.
- Crosscutting issues such as resilience, integration and social cohesion.
- Future intentions and a preferred durable solution.

Methodology: Data is collected through a mixture of quantitative and qualitative methods for a comprehensive picture of the displacement situation, comparing characteristics of a displaced population with the host population. The process begins with a qualitative mapping exercise and also includes reviewing existing secondary data, key informant interviews, focus group discussions, an enumeration and a sample-based household survey.

- When designing the methodology, the following questions should be considered:
- What kind of information do we need to collect and why? What will it be used for? (Establishing information requirements and objectives.)
- Which population groups do we want information about, in which locations, and how will we collect the information? (Sources and methods of data collection.)
- How will we capture, store, analyse and validate the data collected so that it becomes useful information that is agreed-upon by all the stakeholders? (Data management framework and collaborative process.)
- What limitations are relevant for the methodology design? (Security, logistics, ethical concerns, financial and human resources.)

Timeframe: The process may take from four months to over a year depending on its objectives, scope, the context, how fast conditions change and the engagement or turnover of partners. This makes displacement profiling more effective in contexts with protracted displacement.

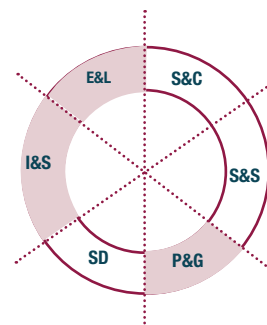
Roles: The tool advocates for the creation of a collaborative platform to oversee the process and collaborate on its development throughout, composed by different relevant partners in the context (ideally including local government). This platform, known as the Profiling Working Group, is in charge of agreeing on objectives, as well as methods and indicators to measure during the process of data gathering and analysis. It is important to include displaced communities in implementing the profiling exercise where feasible. Often a Profiling Coordinator is hired by the Profiling Working Group to manage the process and facilitate collaboration.

Output: Outputs typically include a dataset and a final report containing the recommendations validated by all the partners. From there, the evidence-base can be disseminated through various channels, including events to launch the results, workshops with displaced communities to discuss findings, communication networks in humanitarian clusters and access to databases.

Use: Displacement profiling can be used to inform programmes and policies to protect the rights of refugees and IDPs, to develop solutions based on solid and trusted evidence, and overall to improve the wellbeing of displaced populations. So far, it has been used in many different urban contexts, including in Delhi, India, Mogadishu, Somalia, and the Erbil Governorate of KRI, Iraq.

Links: The [JIPS Essential Toolkit](#) provides guidance on the entire process. Datasets from displacement profiling can be explored on the [Dynamic Analysis and Reporting Tool \(DART\)](#).

International Committee for the Red Cross (ICRC)/ Independent consultant		
Market Analysis with Sustainable Livelihoods Framework and Political Economy Analysis		
Country	City	Neighbourhood



Objectives: This exercise was created by a consultant for ICRC to analyse livelihoods and sustainability issues for people in Gaza. It looked at the context as it impacted several markets with an approach that mixed the sustainable livelihoods framework with political economy analysis.

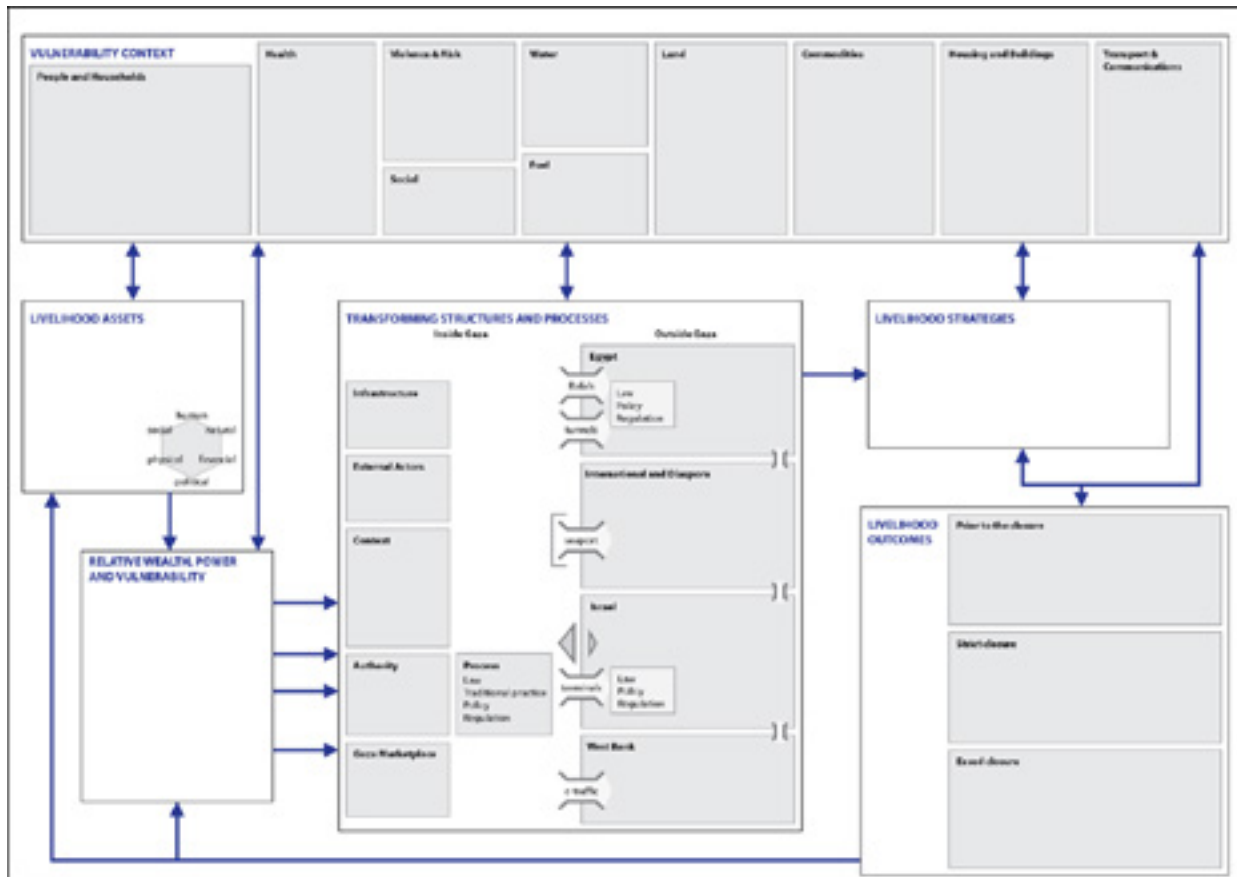
Content: The focus of the study was market based, covering both urban and rural areas and not focusing specifically in a neighbourhood. It used DFID's Sustainable Livelihoods Framework to focus on human, natural, financial, physical and social assets of people and how these are converted into livelihood outcomes.

Methodology: The exercise used semi-structured interviews, focus groups and secondary data as methods to analyse the dynamics of the context in three moments in time:

1. Before the worst part of the blockade.
2. During the peak of the blockade.
3. After the humanitarian easing of the blockade.

The interviews conducted included fishermen, farmers, workers, university lecturers, and representatives of authorities, among others. The objective of obtaining information from as many actors as possible was to triangulate the data gathered. To guide this, templates with all the topics that needed to be covered were produced prior starting the interviews (Figure F).

Figure F. Template to guide interviews



Source: (Mountfield, n.d.)

Timeframe: The analysis was done over the course of one month.

Output: A report was produced with all the research, but remained an internal document for ICRC.

Use: The analysis was only used for internal purposes and was not published.

Links: [DFID's Sustainable Livelihoods Framework](#); Research which informed the approach: www.alnap.org/help-library/power-livelihoods-and-conflict-case-studies-in-political-economy-analysis-for

Mercy Corps			
Strategic Resilience Assessment (STRESS)			
Country	City	Neighbourhood	

Objectives: The Strategic Resilience Assessment (STRESS) is a tool that aims to build an understanding of the dynamic systems in which communities are embedded. It applies resilience as a lens to develop long-term programmes and strategies. It is conceived as the first step in a critical phase to develop a resilience-based portfolio of programmes.

Its specific objectives are to (Mercy Corps (n.d. b)):

- Identify and analyse drivers and root causes of shocks and stresses across local, regional and national scales that impact or undermine wider development outcomes.
- Define the impacts of shocks and stresses on different population sub-groups or geographies, and the underlying factors that worsen them.
- Understand the capacity or opportunities for people, households, communities and systems to absorb, adapt and transform in the face of identified shocks and stresses.
- Develop the programme team's capacity to understand complexity and build resilience.

Content: The analysis is multi-scalar and -sectorial, as it combines qualitative local and expert knowledge with quantitative data from different scales and sectors, attempting to connect them.

As a conceptual framework, the tool proposes the following questions using a resilience lens:

- Resilience of what?
- Resilience for whom?
- Resilience for what?
- Resilience through what?

Methodology: The analysis is developed in the following four phases:

1. **Scope:** Team members use the four guiding resilience questions to develop an assessment process to look at context (rationale and objectives), systems mapping, research methods and an initial work plan. This phase culminates with a mapping workshop, in which local team members and other key stakeholders are brought together to understand the complexity of the dynamic relationships between people and the systems of their context.

2. **Inform:** The team begins to collect and analyse data at national, regional and local scales. Both secondary and primary data sources are consulted, using methods like community-based focus groups, KIIs, participatory rural appraisal, literature reviews, and previous analyses, among others.
3. **Analyse:** The information collected in the previous phase is used to answer the research questions. An Analysis Workshop is conducted at the end, bringing together relevant stakeholders with knowledge of the context and technical issues.
4. **Strategise:** The team drafts its Theory of Change and the outcomes of the process are prepared for a final report.

Timeframe: The process takes between two to nine months to be completed. The timeframe depends on the context and resources available, and how the methodology has been adapted in each iteration, as it is highly dependent on engaging different actors in a participatory approach.

Roles: The team usually composed of a mix of people from the country office and the headquarters. At times, consultants have been hired to lead aspects of the process such as primary data collection. Overall, those involved in the analysis should be the same ones who will implement the programmes that materialise following the exercise. Within the team, technical staff should have the role of facilitator and provide an overall picture of the process.

Output: The outcome consists of a set of products, containing a Theory of Change, stakeholder maps, systems maps, risk profiles and resilience capacities. These are typically compiled in a report and slide deck to share key findings.

Use: The process and its outcomes allow the team and its partners to understand better their context prior to the development of long-term resilience strategies.

So far, the tool has been used in Myanmar, Nepal, Mongolia, India, China, Uganda, DRC, Ethiopia, Nigeria and Niger.

Links: The STRESS Process: www.alnap.org/help-library/the-stress-process-at-mercy-corps. One example: www.alnap.org/help-library/strategic-resilience-assessment-stress-report-sichuan-province-china

OXFAM Italia			
Local Authority Profiling Tool			
Country	City	Neighbourhood	

Objectives: The Local Authority Profiling Tool can help humanitarians better understand how local authorities work in a specific context. It has four main objectives:

1. To improve the knowledge of local context and power dynamics in order to develop a contextualised, conflict-sensitive and resilience-oriented humanitarian action in protracted displacement crises.
2. To identify the most suitable ways to engage with local authorities according to the specificities of the context and the nature of the crisis, and consider their interest in collaborating with national and international NGOs for implementing humanitarian interventions (especially provision of basic services) aimed at supporting refugees and displaced populations along with host communities.
3. To identify entry points for an external actor to provide direct support to the local authorities, specifically to enhance provision of essential services (both for displaced and host communities), strategic planning and preparedness to crises.
4. To make mindful choices in terms of target areas and actors to engage in the humanitarian response.

Development: The tool was developed during the Syrian crisis, while OXFAM Italia was working closely with local authorities in Lebanon. They felt the need to further understand the Lebanese authorities in order to optimise their work in the area, with a resilience and conflict-sensitive approach. In late 2014 and early 2015, they drafted a pilot version and used it initially in Beqaa. Oxfam Italia is now looking for opportunities to pilot the tool in other contexts.

Content: The tool proposes gathering information around the following five topics:

1. General information on the local authority, related to number of population, structure of the local authority, amount of population (both host communities and refugees/IDPs), political affiliation, annual budget and revenues, security situation in the area and other information.
2. Capacity of the local authority, related to skills of the staff, services provided to citizens, existence of a local strategic plan and collaboration with local civil society.
3. Accountability of the local authority.
4. Attitude and interest of the local authority, related to the priorities and sectors that the local authority would like to develop, the attitude of the local authority towards refugee population, restrictions in place, provision of services for refugee population and collaboration with INGOs.

5. Intercommunity dynamics between host communities and refugee/displaced population.

It should be noted that the Local Authority Profiling Tool encompasses not only humanitarian issues (how many people in need, what kind of needs, which services are provided to refugees and IDPs, etc.), but also local socio-economic development needs of the territory within a development perspective and a specific focus on the most vulnerable people, such as women and youth.

Methodology: The tool provides a template to help humanitarian actors better understand the political, legal, social and economic characteristics of the context at local scale, especially in protracted displacement crises. It contains closed and open-ended questions to guide interviews with local authorities. This template, however, should be tailored to address the specificities of each context it is applied to.

The main steps in the tool process include selecting the location and authorities to profile, adjusting the methodology to the context, carrying out interviews, completing the template and analysing the results.

Timeframe: Data collection takes one to two weeks, though this can vary depending on the context and area of analysis covered. Additional time is needed for analysis and dissemination.

Output: The Local Authorities Profiling Tool produces a written report and a response analysis that can help humanitarians in decision-making and prioritisation process, in terms of planning, activities, locations and partnerships. In addition, it can provide stakeholder-mapping exercises with more contextualised insights at local level.

Use: So far, the Local Authorities Profiling Tool has been used in Beqaa and Tripoli, Lebanon. While so far used only in Lebanon, it could be adapted for other contexts. It can be used during the assessment phase to guide selection the location of the project/programme and stakeholders involved, as well as during the implementation phase as a monitoring tool.

Links: [Partnership with Local Authorities in Responding to Humanitarian Crisis. The case of Lebanon: Lessons learned and recommendations](#); [Guidance for building coalitions](#)

Red Cross Red Crescent		
City-Wide Risk Assessment: Do it Together Toolkit for Building Urban Community Resilience		
Country	City	Neighbourhood

Objectives: The toolkit provides an approach and practical guidance for community-based organisation to achieve city scale resilience. It uses systems thinking to analyse vulnerability and identify resilience opportunities, not just within the community, but also at neighbourhood, district and city scale. It is also a foundation on which to build coalitions of organisations that work together towards common vulnerability reduction and resilience building goals. In doing so, the toolkit aims to guide RCRC branches and communities to start thinking about the city as well as their communities, and to find ways to come together around common issues or concerns and work together.

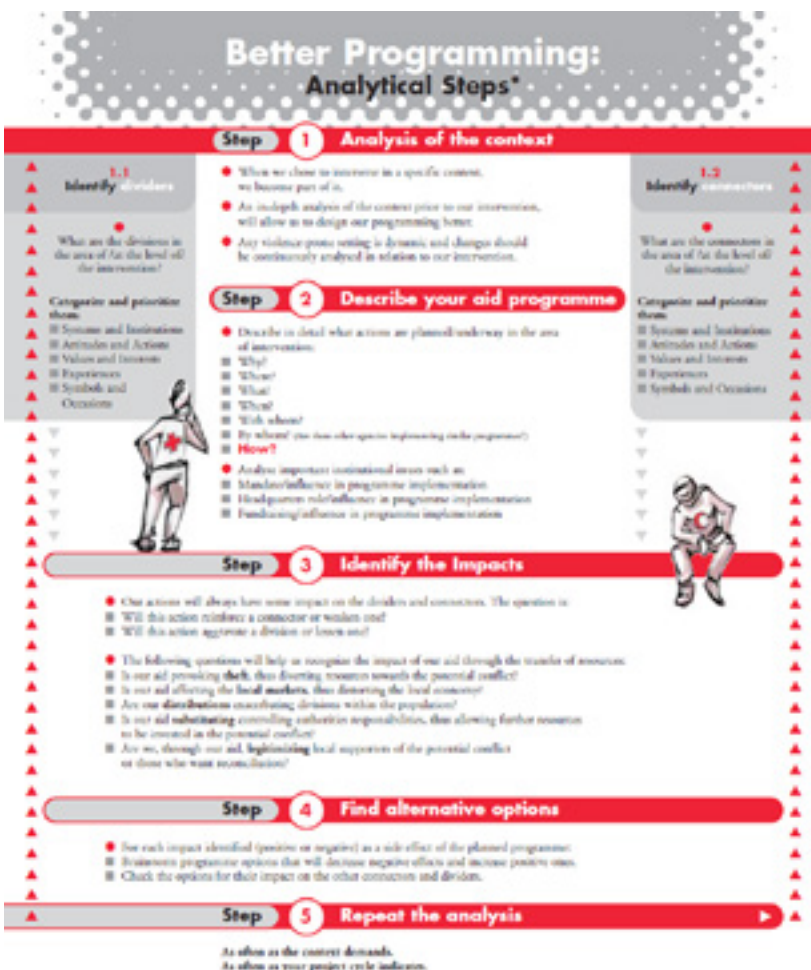
Development: This toolkit was developed following a non-linear process of testing and learning. Over several years, the RCRC movement, particularly the American Red Cross and IFRC, recognised the need to develop tools to understand urban communities. The RCRC was already using tools including Vulnerability Capacity Assessment (VCA) and Better Programming Initiative (BPI) (see Box 1). These experiences informed a journey for the RCRC which produced several documents around urban assessment, urban profiles which could present a ‘broad picture of the community’ (Herbst and Yannacci, 2011), and about engaging stakeholders and building coalitions. Some of these tools were piloted in 2014 in Vietnam (AMRC and VNRC, 2015; Interview; Herbst and Yannacci, 2011; Pho Duc Tung et al, 2014; Kadihasanoglu, 2015a; IFRC, 2016b) using a consultant. The RCRC recognised this methodology was too complex for national societies and communities to use on their own. At the same time, approaches for coalition building were piloted in Central and South America.

Following several revisions and internal RCRC workshops, the DIT toolkit was published summer 2017 alongside a new guide for coalitions. The DIT toolkit incorporates the ideas from earlier iterations, in a ‘do it together’ way. These are now being piloted in Indonesia and Vanuatu. The RCRC’s One Billion Coalition for Community Resilience initiative is taking forward the coalitions approach.

Box 1: Descriptions of the VCA and BPI tools

Vulnerability Capacity Assessment Tool (VCA)	Better Programming Initiative (BPI)
<p>The VCA focuses on livelihoods and coping strategies, local organisation capacities and vulnerability trends over time.</p> <p>It has been used in urban context (Allan, Hansen, Tyler and MacClune, 2014) and some of this learning has been brought into the DIT toolkit.</p> <p>Read more here.</p>	<p>The BPI is an impact assessment tool adapted from the Local Capacities for Peace Project in 1994 (IFRC, n.d.). It is a simple tool that aims ‘to support analysis, planning and implementation of aid programmes in complex contexts’ (IFRC, n.d.).</p> <p>The below image (IFRC, n.d.) outlines the analytical steps. One of these is context analysis, which focuses on identifying dividers and connectors.</p> <p>Read more here.</p>

Figure H: Better Programming Initiative (BPI) analytical steps

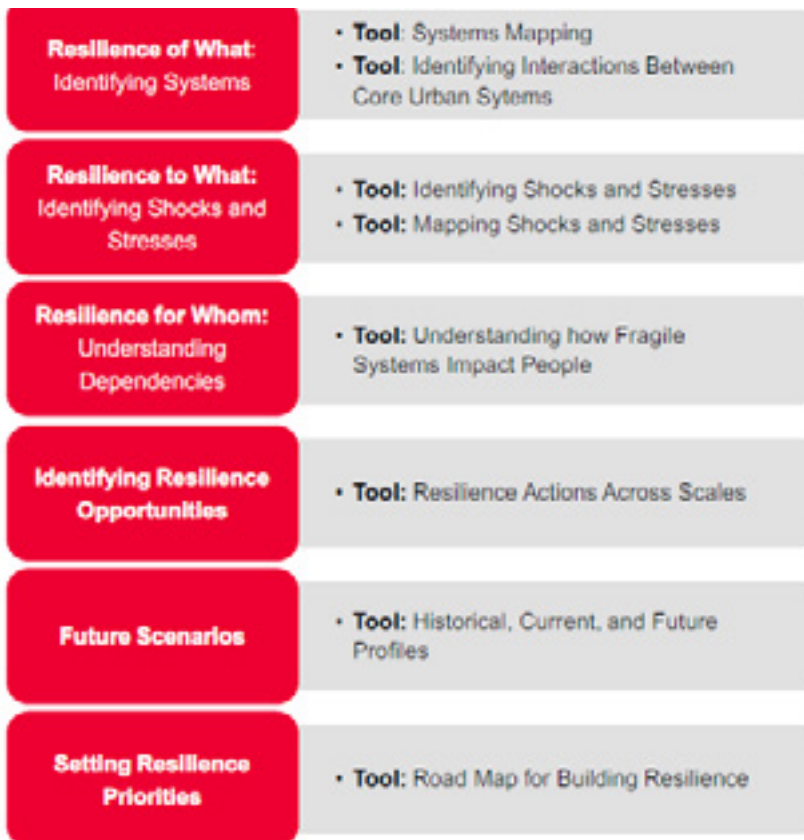


Content: The toolkit explores citywide vulnerabilities and resilience priorities, and includes a focus on space and climate issues, services and infrastructure, and stakeholders.

Timeframe: The toolkit contains a number of activities and modules that a coalition can work through over a flexible timeframe.

Methodology: Figure I highlights the steps in the methodology. The toolkit contains a number of exercises that can be adapted or combined and jointly carried out by the coalition. The toolkit uses the RCRC's understanding of resilience and systems thinking, developed in previous urban guidance.

Figure I: Methodology for the Do it Together Toolkit



Source: (Global Disaster Preparedness Center 2017a)

Roles: The toolkit uses a collaborative approach where organisations come together as a coalition. The idea is for RCRC branches to support these coalitions though they may not always be involved. As is clear from the title, the aim is for coalitions to ‘do it together’, without expert assistance.

Use: At time of publication, this toolkit had just been released. However, its anticipated use are groups of actors in communities, possibly supported by a RCRC branch, who want to come together and do something, recognising they can’t do it alone.

Links: The Citywide Risk Assessment Do It Together toolkit is available at www.alnap.org/help-library/do-it-together-toolkit-for-building-urban-community-resilience-toolkit, and a Toolkit for Building Coalitions to undertake such analysis is available at www.alnap.org/help-library/toolkit-for-building-coalitions-for-resilience.

Save the Children			
Urban Situation Analysis Guide and Toolkit (USAGT)			
Country	City	Neighbourhood	

Objectives: The objective of the USAGT is to provide ‘greater understanding of the socio-political urban context and how it shapes the current situation of child rights, as well as the prevailing urban policies and governance environment, that directly or indirectly impact those rights – so that they can propose interventions which are backed by evidence from the ground’ (Save the Children, 2017a). It is particularly focused on helping child-focused organisations understand the scale and nature of the situation for children living in poverty and how the context shapes this.

Development: The Urban Situation Analysis Guide and Toolkit are supplements to Save the Children’s Child Rights Situation Analysis (CRSA). Work began on the USAGT in 2016 and was initially piloted in Bangladesh and Nepal. The final tool was published in October 2017 following several iterations, which took into account feedback about not duplicating elements of the CRSA and providing more guidance to Save the Children’s offices about working in urban contexts.

Content: The USAGT explores ‘the socio-political, judicial and institutional environment, systems, behaviours and practices that facilitate or hamper the fulfilment of the rights of children’ (Save the Children, 2017a). In doing so, it encompasses a systematic analysis of the institutional environment, systems, behaviours and practices of key stakeholders, and seeks to understand the power relationships, permissions, incentives and other influencers of change. It culminates in a set of findings which country offices can use to prioritise and design child rights-based programming in the urban area studied.

Methodology and Timeframe: The USAGT provides several options to choose from, each of which changes the methodology and timeframe according to the depth and scale chosen by the user. The USAGT is not a set approach, but a range of options that can be mixed and matched. It can include focus group discussions, key informant interviews and surveys. These options are presented in Table 1 K below.

Roles: The expected user will be Save the Children country offices and other external organisations. The tool is aimed to be user friendly so country teams can use it on their own, although throughout the piloting phase the Urban Strategy Initiative team supported use.

Output: A final report featuring a prioritised list of challenges and opportunities for children in the city, and a list of actors responsible. These can be used to develop a roadmap of which stakeholders have the power to take action on a problem, and to see where Save the Children can make a difference.

Links: [Urban Situation Analysis Guide and Toolkit](#)

Table 1: Options and steps for the Urban Situation Analysis Guide and Toolkit

	Suggested team makeup	Suggested length of analysis period	Predominant data collection type
Multi-theme/ citywide	2 team members from each relevant thematic group, 1 – 2 team members from the thematic groups with experience in the targeted city. One or two external consultants with experience in on-ground implementation of government programs in the city	10-12 weeks, with part-time commitment from team members but full time commitment of consultants	Extensive desk research; some spatial analysis integral for the development of area based programs; child budgeting exercise; interviews with government counterparts from relevant department, active CBOs/NGOs and local government representatives to construct a Stakeholder Analysis; discussions and workshops with development partners/donors
Multi-theme/ neighbourhood-scale	1 team member from each relevant thematic group, 1 – 2 representatives of local partners with experience in the targeted neighbourhood(s);	8 – 10 weeks, with full-time commitment from team members	Dip-stick primary surveys; Review of Surveys, site visits for rapid appraisals through focus group discussions; interviews with local partners and local officials/politicians to construct a Stakeholder Analysis
Single-theme/ citywide	2 – 3 team members from the relevant thematic group, 1 – 2 team members from a different thematic group with experience working in the targeted city; One external consultant with experience in on-ground implementation of government programs in the city from the relevant department	6 – 8 weeks, with part-time commitment from team members and the consultant	Desk research; some spatial analysis integral for the development of area based programs; child budgeting exercise; interviews with government counterparts from relevant departments, active CBOs/NGOs and local government representatives; discussions and workshops with development partners and donors
Single-theme/ neighbourhood-scale	1 -2 team members from the relevant thematic group, at least 1 team member from a different thematic group with experience working in the targeted neighbourhood	6 – 8 weeks, with full-time commitment from team members	Dip-stick primary surveys; Focus group discussions with primary stakeholders; interviews with local partners and local officials/politicians to construct a Stakeholder Analysis;

Source: (Save the Children, 2017a)

UN-Habitat			
City and Neighbourhood Profiles			
Country	City	Neighbourhood	

Objectives: The objective of the City and Neighbourhood Profiles is to use mapping and analysis to present the impact of a crisis on the city as a whole, enabling efficient and integrated response and recovery programming.

Development: UN-Habitat has been producing ‘urban profiles’ since 2003, with the first profile in Somalia (Falade and Aribigbola, 2010). Initially the profiles were produced as part of the Rapid Urban Sector Profiling for Sustainability initiative (RUSPS), which later evolved into UN-Habitat’s Participatory Slum Upgrading Programme. Under RUSPS, the profiles gave ‘a rapid analysis of the current urban situation in various areas: housing, water supply, sanitation, road network, electricity, health and education, food security and mobility’ (Falade and Aribigbola, 2010). The methodology has been adapted and used in many different ways over the past 15 years.

In 2013, UN-Habitat began using the city profiles methodology in Syria. Five Rapid City profiles ([Aleppo](#), [Dara’a](#), [Homs](#), [Lattakia](#), [Deir-ez-Zour](#)) were produced, along with some neighbourhood profiles (Old City of Homs, Baba Amr). Since then, UN-Habitat Syria has continued to develop and use this approach in Syria (20 profiles were done in 2015, 60 in 2016 and 79 urban community profiles and 15 in-depth city profiles as of Spring 2017). However, due to the highly sensitive security situation, these were only shared with actors operational in the Syria response.

UN-Habitat has also used the approach in Gaza (2014), [Iraq](#) (2016) and Lebanon (2015 and ongoing with [Tripoli](#) and [Tyre](#) City Profiles and Neighbourhood Profiles in [Macchouk](#), [Al Aswak Sahat Al Daftar](#) and others). Each iteration of the City and Neighbourhood Profiles have informed each other in some way, however each country has also charted their own course. There is no standard methodology, although the UN-Habitat Regional Office for Arab States is working on gathering lessons learned from these recent iterations.

Content: Each iteration of the profile has focused on slightly different areas, most relevant to the context. For example:

- In Gaza the profile focused on the impact of the crisis (damage, destruction and impact on space/maps), basic infrastructure, shelter, education, health, economy and the relationships between these areas. It also aimed to understand the impact of the crisis on vulnerable groups, especially women, children and the poor.

- In Syria, the profiles have also covered a range of issues, especially around functionality and damage to urban services and mapping/space. UN-Habitat has also added HLP issues that emerged as a need. The profiles have been used at regional (including links to rural areas and secondary cities, citywide and neighbourhood level).

In Lebanon, UN-Habitat has developed Figure J to identify their four areas of focus: space, governance, people and services, and economy.

Figure J: Four areas of focus of the City and Neighbourhood profiles in Lebanon



Source: (Bergby and Maguire 2016)

Timeframe: Timeframes differ, however it takes approximately two to six months for each profile. In Syria and Lebanon several are prepared at once.

Methodology: The methodology ranges according to the iteration. All use some form of desk review of secondary sources and use GIS and mapping. In Lebanon, UN-Habitat has also used key informant interviews, building condition surveys, primary research and obtaining secondary data from government offices. In Gaza, UN-Habitat worked with a local NGO to go to a neighbourhood and collect information on damage. In Mosul and Lebanon, satellite imagery has been used to supplement interviews and workshops.

Roles: In Lebanon, the profiles are produced in partnership with municipalities and unions of municipalities, and in close engagement with the UN country team. Other relevant actors are engaged through a loose steering committee. UN-Habitat leads the production of the profiles at this time.

In Syria, the profiles were initially produced by UN-Habitat and partners were brought in for technical assistance such as CSI, iMMAP and JIPS. In 2015, the profiles became part of the HPC process and are now produced by a coalition known as the Urban Community Profiling Initiative.

In Gaza, UN-Habitat produced the profiles but engaged with municipalities and humanitarian actors.

Use: In Lebanon, the profiles are used by UN-Habitat as an advocacy tool to highlight urban issues. Municipalities also use the profiles for advocacy and better clarity about population figures and priorities in their areas. Other humanitarian actors have also used the profiles to inform their response.

In Syria, the profiles have been used to inform the Humanitarian Needs Overview and Humanitarian Programme Cycle process. They have supported the identification of vulnerable groups, the prioritisation of sector interventions and have served as a baseline of conditions around which to plan a coordinated response. The data has been useful operationally but due to the security situation, it has not been possible to share the profiles outside of Syria.

Links: Guidance for the City and Neighbourhood profiles is in development. Publicly available profiles can be found on UN Habitat's website for [Syria](#) and [Lebanon](#).

Women's Refugee Commission			
Service Provision Mapping			
Country	City	Neighbourhood	

Objectives: This tool was designed to support humanitarian actors in improving protection for urban refugees by mapping the existing service providers and community organisations in cities; assessing those actors' interest and capacity to participate in humanitarian response; and addressing potential barriers in service provision/access for refugee populations.

Development: The tool was developed alongside another piece of guidance, an Urban Gender-Based Violence Risk Assessment Tool. Both arose out of research conducted in four cities (Beirut, Kampala, Quito and Delhi) throughout 2015-2016, which included consultations with over 500 urban refugees, as well as diverse humanitarian and host community stakeholders. The resulting report, Mean Streets: Identifying and Responding to Urban Refugees' Risks of Gender-Based Violence, contains recommendations for strengthening protection and gender-based violence prevention for different groups of refugees, including women, girls, LGBTI refugees and refugees engaged in sex work. The report calls for the mapping of host-community actors to become more formalised and systematic across a range of protection-related areas, with nuanced assessments of their respective strengths and capacities.

Content: The Service Provision Mapping Tool is intended to cover the breadth of service provision in a specific context, while tailoring analysis for different urban refugee populations. It has a sector-specific axis and a population-specific axis, from which two main sections are developed:

- **Section 1** contains: a comprehensive map of programmes and services run by municipal or city authorities and agencies; national agencies operating within the city; civil society groups and non-governmental actors; community-based organisations; humanitarian actors; international development organisations or other UN agencies that are running projects in the city; and relevant private sector actors or foundations, among others. It also includes notes on inclusion barriers identified from the perspective of both refugees and service providers (e.g. costs, languages, misinformation).
- **Section 2** contains more specific maps tailored to refugee sub-groups, as well as the details for each described in section 1.

Methodology: The tool proposes the development of stakeholder mapping specific to refugees' protection environment. This includes government actors, civil-society organisations and community-based organisations.

Timeframe: The tools were developed over a year between 2015 and 2016, and can be implemented on an ongoing basis.

Output: Using the tool results in a completion of a [fillable template](#).

Use: The tool is in a piloting stage. However, it is intended to be used by humanitarian actors in the field interested in systematising their mapping of host community actors and/or improving urban refugees' protection environments (for all urban refugees or specific urban refugee groups, e.g. women, LGBTI refugees).

Links: [Service Provision Mapping publication](#)



Objectives: World Vision’s Citywide Assessment aims to develop a thorough understanding of an urban context through a citywide landscape analysis (context, issues and stakeholders). More specifically, it helps to (World Vision, 2013):

- Build an understanding of the city in which development programmes will operate (spatial, social, political, economic and environmental domains).
- Understand policies and programmes of the government (national, municipal and district level) that impact on the city and its inhabitants.
- Understand types of vulnerabilities and locate pockets of poverty and affected population.
- Establish and strengthen networks and relationships in neighbourhoods and across the city.
- Identify key issues for development focus, funding, partnerships and coordination opportunities.

Development: During the last years, World Vision has carried out six pilot projects across seven urban contexts in South Africa, Cambodia, Indonesia, India, Lebanon and Bolivia. From these experiences, they developed a Citywide Self-Sustaining Model (citywide operating framework) to guide the operationalisation of a “Cities for Children” social impact framework that aims to address the issues of most vulnerable children in urban contexts and improve future urban programming.

Content: The tool proposes a stakeholder analysis based on the four domains of change that make up the “Cities for Children” framework which determines World Vision’s work in urban areas:

- Safer cities
- Resilient cities
- Healthy cities
- Prosperous cities

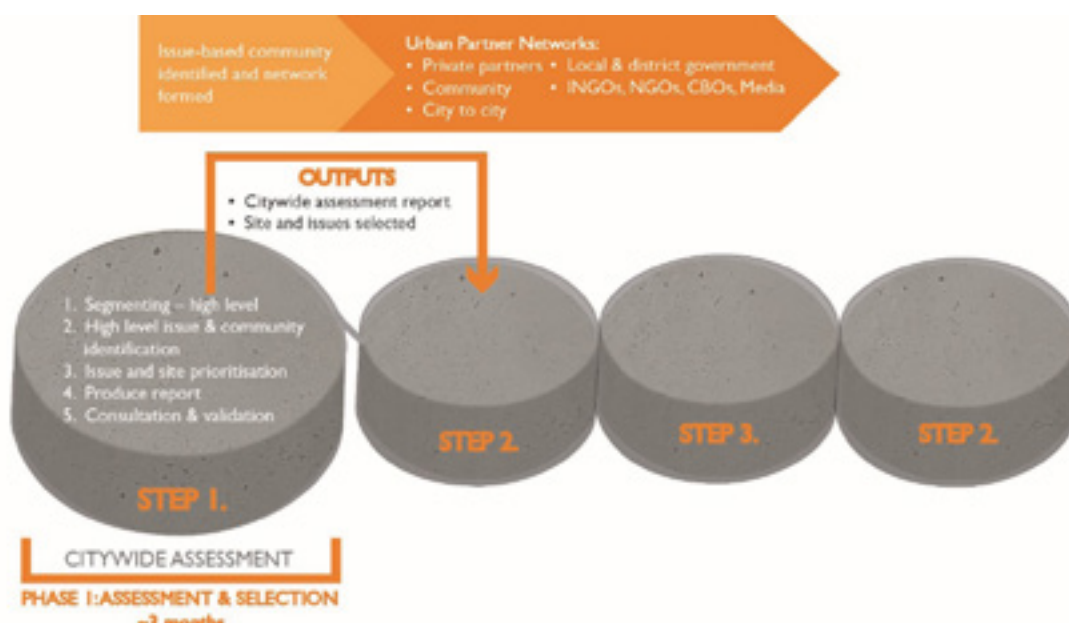
It also examines an analysis of issues that emerge from desk review, for example what issues affect the safety of children and youth in the city? Finally, it explores policy gaps for each domain of change.

It combines top-down and bottom-up approaches at neighbourhood, municipal and city levels of operation, by looking at who are the affected groups in an area and which stakeholders are affecting them. The analysis considers key opportunities for a development focus, prioritising opportunities, strengths, weaknesses and risks.

Methodology: The tool is designed to be used as the first step in a series of operations by the organisation in the area (Figure K). The selection of the site is the resultant of a process of consultation, triangulation and validation of data with local authorities, government, other key stakeholders and city residents (mainly children and youth, when and where possible).

The first stage of data gathering is conducted at the macro level to identify potential working areas and points of entry within communities. The methods used include secondary data collection in the form of online research and consultation of statistical databases, as well as primary data collection (KIIs and FGDs) to fill the gaps.

Figure K. City-wide assessment as a step in a wider process



Source: (World Vision, n.d. a).

Timeframe: On average, the analysis takes six weeks to be completed, although this depends on the available literature, the desk review of the area and the research conducted before visiting the site.

Roles: The team carrying out the analysis is composed of internal staff (mostly from the country offices) and external contractors, led by an external consultant. Both the process and the results are analysed and validated by relevant internal and external stakeholders.

Output: The process culminates with the drafting of a report, which includes the major findings of the analysis, as well as recommendations and prioritised list of potential sites to be targeted for a programme, identified issues and groups to be addressed, and potential partners. The findings are shared and validated with relevant stakeholders in the area (NGOs, government, private sector and civil society), with the hopes of obtaining a tentative agreement to collaborate with them in a program design phase.

Use: So far, the tool has been used in four different cities (Beirut, Nairobi, Phnom Penh and Herat), with adaptations in the methodology for each case. In general, the process helps prioritise areas and sectors for intervention, as well as specific entry points for the organisation.

Links: [The Citywide Assessment Tool](#)

World Vision			
Juba Context Analysis			
Country	City	Neighbourhood	

Objectives: This context analysis was conducted with the objective of ensuring ‘that programming in Juba urban areas is informed by all of the contextual factors that might affect implementation and sustainability’ (Mushakarara, 2017) by providing ‘a clear profile of the city and its connections to surrounding areas through analysis of the political, economic, environmental, social context as well as the technological challenges and opportunities to inform urban program options that will effectively and sustainably reduce poverty and build resilience’ (World Vision, 2016c). In particular, the country team sought to understand the nature of vulnerability in Juba in a holistic way, including the various factors impacting the resilience of communities.

Development: In the summer of 2016, with increasing violence in South Sudan, World Vision undertook a macro-level context analysis of the country following their Making Sense of Turbulent Contexts methodology. One of the findings of this analysis was the need for deeper understanding of the context at an urban scale. Around the same time, World Vision South Sudan received funding for the Start Fund to respond to the escalating violence in the country. This made them eligible to apply for a small additional grant from the Start Fund’s 1% Learning Fund, which is an optional earmark allocated each time the Start Fund is activated.¹

Considering expanding its programming to Juba’s urban centre, where it had no prior programming, World Vision applied for, and was allocated funds to, produce a context analysis of Juba. The analysis built on the expertise of colleagues in World Vision HQ as well as discussions with IRC, who were in the process of developing their Urban Context Analysis Toolkit at the time to design a bespoke approach for the Juba context. The approach used is a one-off, but may be adapted to other contexts.

Content: The Juba context analysis explores the broad history of Juba, population demographics and trends, vulnerability (political/economic/social/technological/legal/environmental) of the population, governance, economic, socio-cultural and gender issues. It also provided brief “neighbourhood profile” snapshots of a dozen neighbourhoods in Juba including issues around ethnicity, income/wealth, access to services, public space and land tenure, and the population’s relationship with government.

Methodology: The Juba context analysis consisted of five steps as outlined below:

1. Desk review of relevant documents.
2. Development of tools for data collection (KIIs, FGDs and a stakeholder workshop).

3. Data collection (eight KIIs, 13 FGDs with 168 participants, four child FGDs with 59 child participants, and one stakeholder workshop) and processing.
4. Compilation and submission of a draft report of findings.
5. Preparation and submission of a final report including recommendations.

The methodology drew on conceptual ideas around resilience and vulnerability, and drew particularly from three conceptual frameworks: resilience systems analysis, wellbeing mapping and crosscutting “gender plus” analysis.²

Timeframe: The context analysis exercise was completed between November 2016 and January 2017. The data collection was completed in the first month, followed by another month of analysis and writing, then another month of editing, sign-off and publication.

Roles: World Vision’s country team carried out the analysis, with technical assistance from an external consultant who carried out much of the data collection, and from World Vision HQ staff who assisted with the analysis. The analysis was conducted solely by World Vision, although colleagues at other organisations, including IRC, were consulted during the process.

Output: The final output of this analysis exercise was a publicly available report, which included programmatic recommendations for the broader humanitarian and development community based on the analysis.

These recommendations emphasised the need for future interventions to be complementary, supplementary and to contribute simultaneously to the following (World Vision, 2017e):

1. Support individuals to recover from past and present shocks and stresses where possible.
2. Encourage the building and/or strengthening of social cohesion and interdependence among and between individuals, families, communities and ethnicities.
3. Intentionally link lifesaving interventions to recovery programming wherever possible and appropriate.
4. Facilitate greater access to public services and infrastructure such as education, transportation, and healthcare services.
5. Strengthen market capacities including the ease of the provision of commodities sourced and traded domestically and internationally.
6. Strengthen market resilience for future shocks and stresses.
7. Implement multi-sectoral interventions that are equipped to slide back and forth between recovery and lifesaving programing depending on the security and/or economic situation at the time.

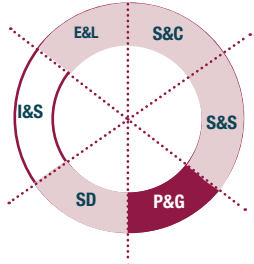
Use: The Juba context analysis has been used by World Vision South Sudan to inform ongoing and new programming in Juba, including advocacy work, new proposals, a recent cash transfer programme in Juba, and to inform World Vision's 2017 response plan.

The report was also released publicly and shared with other operational actors in South Sudan. It was a core secondary data review document for IRC's context analysis in Juba conducted in February 2017.

Links: [The Juba context analysis report](#)

3. Supplemental Tools to understanding context

CARE International		
Governance Context Analysis		
Country	City	Neighbourhood



Objectives: The Governance Context Analysis tool proposes a Political Economy Assessment of a particular moment in the context (i.e. a new administration). This, in order to help the organisation capitalise on the new opportunities of action that arise in it, as well as to enable a more politically smart risk analysis when changes in the context present specific threats.

Development: The tool was piloted as Political Economy Assessment Guidance in nine different countries between 2012 and 2013. After this, CARE conducted a series of surveys and interviews with staff in the country offices during 2013. The feedback obtained allowed them to revise the guidance notes and re-pilot its core components in Zambia, India and Kenya between 2014 and 2015.

Content: Although the tool is not tailored for urban areas, it does consider them as areas for the analysis. It typically includes building a Theory of Change to help define what the information gathered might help reorient the way things are being done in the context. The tool proposes a series of questions that can be adapted for different scenarios depending on the specific objectives of the analysis. It can look at country, sector or local administrative level.

Methodology: The process should be carried out in seven consecutive steps:

1. Defining the purpose of analysis.
2. Making clear who is the intended audience.
3. Defining the research question.
4. Establishing buy-in from decision makers in country offices.
5. Deciding the precise timing to start the analysis.
6. Selecting a consultant.
7. Obtaining input from partners.

However, the process can be adapted as needed and is not always followed in this order. The methods used for information gathering can vary and may include:

- Analysis of structural features: quantitative data analysis, mostly from secondary sources and some KIIs.
- Institutional analysis: qualitative data analysis, from secondary sources, KIIs and FGDs.
- Stakeholder analysis: participatory process, using secondary sources and carrying out a context analysis and planning workshop.

This workshop is a space where the consultant presents, validates and discusses his/her findings with CARE staff and partners. Participants have the opportunity to challenge the consultant's findings and collectively prioritise the identified issues.

Timeframe: The analysis takes approximately 22 weeks to be completed, following the timeframe illustrated in Figure L. A lighter version is possible, if there are time constraints. Also, the steps below can be done in a different order.

Figure L. Timeframe for the Governance Context Analysis

Timeline for Context Analysis			
Step	Information	Responsible	Timeframe
Terms of Reference	Draft ToR	CARE Focal point	1 month
Secondary data review	Structural & institutional analysis, provisional stakeholder analysis	Consultant	2 months
First draft	Ibid.	Consultant	10 weeks
Feedback on first draft	Comments of clarification, recommendations, corrections	CARE focal point	3 months
Additional data collection	Information gaps filled, as required	Consultant, with support from CARE team	14 weeks
Executive summary	Basic information for workshop participants	Consultant	16 weeks
Analysis workshop	First draft validation and input from other stakeholders	CARE focal point	4 months
Final draft	Consolidation of draft and workshop	Consultant	18 weeks
Feedback on final draft	Comments of clarification, recommendations, corrections	CARE focal point	20 weeks
Final report	Consolidation of drafts and feedback	Consultant	22 weeks
Planning meeting	Ibid.	CARE team	4 – 6 months

Source: (CARE, 2014)

Roles: In most of the cases, the consultant carries out the background analysis with support from CARE, and then leads the stakeholder/context analysis and planning workshop. More and more, local partners and external actors are invited as it has been found to add value to the process. The members of the team and their roles are considered taking into account who can contribute to both the analysis and the implementation of the strategies that derive from it.

In the cases where a consultant is in charge of the data review, a focal point within the country office should guide the analysis with a national, regional or global governance advisor.

Output: The information collected and the discussion from the workshop inform a final report of around 20 pages. This short report format means it is digestible and can be used to inform programme design.

Use: So far, the tool has been used in Sri Lanka, Egypt, Ethiopia, Zambia, Kenya and Peru, among other countries.

Links: The tool is currently being revised but the latest documentation can be found at <http://governance.care2share.wikispaces.net/Political+Economy+Analysisnet/Political+Economy+Analysis>.

Greater London Authority			
Character and Context Analysis			
Country	City	Neighbourhood	

Objectives: Character and Context Analysis aims to understand how the character and context of individual places in London, United Kingdom, contribute to the general diversity of the city, in order to provide guidance for planning and design strategies in these areas. Specifically, its objective is to provide:

- Specific guidance on the attributes of character and context in London (physical, cultural, social, economic, perceptions and experience).
- Information on resources that inform an understanding of character and context in London.
- An analysis of the interrelationships between different aspects of character, and how it can be articulated and presented to others.
- Examples of good practice in how an understanding of character and context can be used to help manage change in a way that sustains and enhances the positive attributes of a place.

Content: The tool has been developed based on the understanding of character as a product of the interplay of different elements that make up the place, and the people who inhabit it. It also understands context as the way in which places interrelate with one another physically, functionally or visually. It proposes an analysis of character based on different layers specific to the context (Figure M), taking into account the following principles:

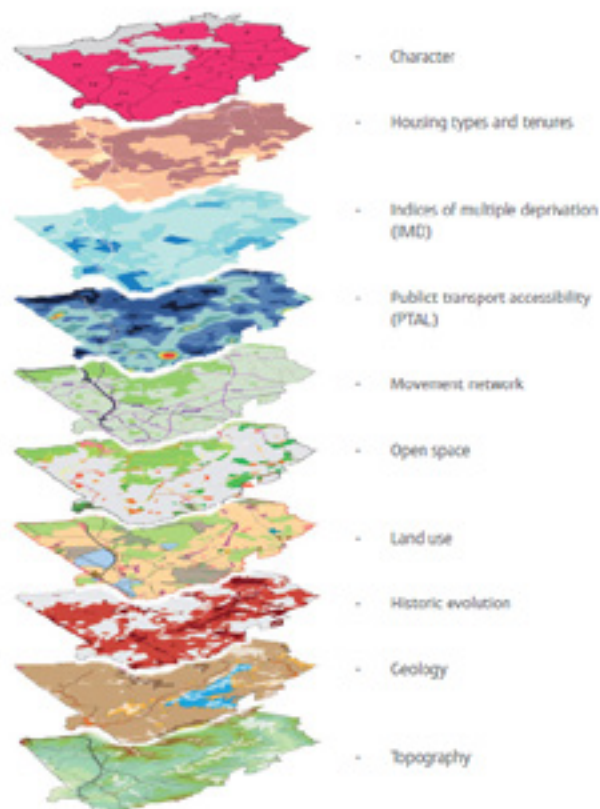
1. Character is all around us, and everywhere has a distinctive character.
2. Character is about people and communities as well as the physical components.
3. Places are connected and overlap – boundaries, edges and transitions are important.
4. Character is a dynamic concept – evolution and change are fundamental characteristics of London.

In general terms, three types of context studies are done in London, depending on scale:

- Borough-wide surveys that give an overview of the range and shape of character influences across a range of localities.
- Neighbourhood or area-based studies that focus in greater detail on the elements of character important to a particular place.

Figure M. Layers of character of London, United Kingdom

FIGURE 5.1 LAYERING OF INFORMATION (DERIVED FROM MAPPING IN THE LONDON BOROUGH OF BARNET CHARACTERISATION STUDY)



Source: (Greater London Authority, 2014a)

- Major site masterplans that apply the principles of local and London plan policies on character where there is no higher-level study available.

Methodology: The analysis is done in three general phases, with five steps in total, as illustrated in Figure N. When defining the study area, boundaries are understood as zones of transition and change, as opposed to fixed lines. At the same time, if the area is too large, it may be split into more specific zones.

The data collected will depend on the scale of the study, its purpose of the analysis and the available budget.

Output: The analysis is presented using mostly visuals, including diagrams, flow charts, maps, photographs, graphic descriptions, drawings and sketches, among other items.

Use: The tool has been used to inform various judgements and planning decisions, as well as to guide change in the study areas. Some examples of cases in which it has been used include guidance for regeneration in an inner London Borough; guidance for change in an Opportunity Area Planning Framework (OAPF);

development of a Design and Access Statement; guidance for institutional and commercial development in a Central London location; among others.

In one example, it has been used in the boroughs of Hillingdon and Hounslow to characterise the townscape and urban structure of the areas to inform local plans for the next 15 years.

Figure N. Methodology of the Character and Context Analysis Tool



Source: (Greater London Authority, 2014a)

Links: The [Character and Context Supplementary Planning Guidance](#) and the [Hillingdon](#) and [Hounslow](#) local plans.

OECD			
Resilience Systems Analysis			
Country	City	Neighbourhood	

Objectives: The Resilience Systems Analysis tool developed by OECD aims to translate resilience into concrete actions by building a shared understanding of the main risks and capacities to cope that exist in a specific area. More specifically, it helps practitioners look for innovative solutions to move beyond siloed approaches to risk.

Development: In 2014, DAC had the need for tools to bridge the gap between resilience concepts and programming ideas. Because of this, the Resilience Systems Analysis was developed as a multi-agency tool designed to convene different actors in the programming context. Sida was the first organisation to pilot this tool to inform single agency strategy development processes.

Content: The Resilience System Analysis is theoretically grounded in the Sustainable Livelihoods Framework, defined by DFID as:

‘A livelihood comprises the capabilities, assets and activities required for a means of living. A livelihood is sustainable when it can cope with and recover from stresses and shocks and maintain or enhance its capabilities and assets both now and in the future, while not undermining the natural resource base (DFID, 1999)’ (OECD, 2014).

It also has a systems approach to resilience, as it understands risk as dependent on the preparation of society’s systems to respond to shocks and change. In general, it outlines five main steps to the analysis, as described below:

Figure N. Main steps to a Resilience System Analysis

There are five main steps to a *resilience system analysis*:

1	RISKS	Identification of key risks
2	CAPACITIES	Determining key capacities and assets and how they react to risks
3	GAPS	Identifying existing support to strengthen resilience, gaps and strategic priorities
4	POWER	Analysis of stakeholders and power influencing access to assets
5	RESILIENCE SYSTEM	Finalising a ‘systems’ approach – strategic and programmatic priorities per ‘layer’

Source: (OECD, 2016)

Methodology: The method proposed involves four consecutive steps:

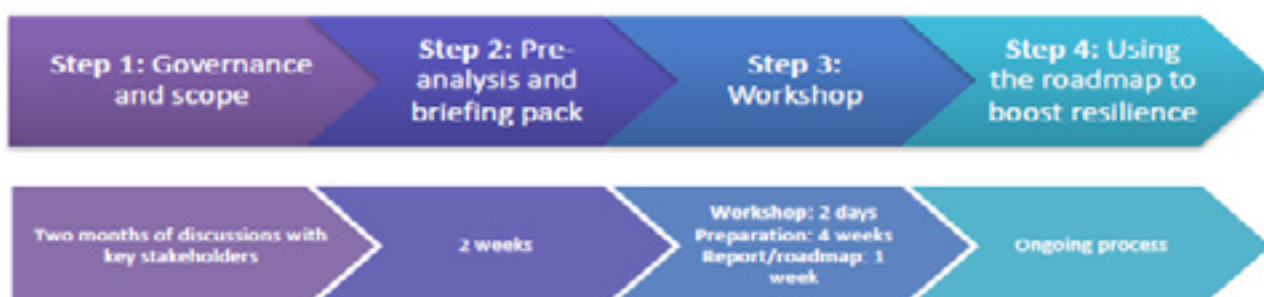
1. **Governance and Scope:** The aim of the analysis is defined, as well as the environment in which it will take place.
2. **Pre-analysis and briefing pack:** Information is gathered from a wide range of sources for a neutral third party to prepare a briefing pack for the participants of the workshop.
3. **Workshop:** As the central activity for the analysis, it is a multi-stakeholder process. It has participation from those actors who will implement the roadmap developed, as well as key decision-makers, experts in risks and experts in systems.
4. **Use of the roadmap to boost resilience:** an ongoing process.

Timeframe: The tool is designed to be as light, fast and easy as possible, with the following general timeframe for each of its phases:

Roles: As it is designed to be light and easy to use, the tool does not require resilience experts to be implemented; it rather draws on expertise from different societies and their systems. Because of this, it fosters partnerships and collaboration with other actors from a range of internal and external experts and stakeholders. An analyst leads the overall process and is responsible for ensuring the quality of strategic planning and programme management.

Output: The output of the process is a roadmap document to boost resilience. It includes a programming matrix that highlights the different roles that the relevant stakeholders have, as well as the layers they act on to strengthen existing assets or manage the impact of risks.

Figure P. Example of timeline for Resilience System Analysis



Source: (OECD, 2014)

Use: The tool was firstly tested in DRC and later used in Lebanon and Somalia to inform UN planning processes. It was also piloted at different points in Sida's programming cycle.

In terms of the products of the process, these can inform the work of various stakeholders such as country-based senior management of aid organisations, donors, field technical experts, field project management staff and headquarters staff. (OECD, 2014)

Links: [The guidelines for the Resilience System Analysis tool](#) and www.alnap.org/help-library/resilience-systems-analysis-learning-and-recommendations-report

Swiss Agency for Development and Cooperation (SDC)			
Context Analysis and Monitoring System for Development-related Changes (MERV)			
Country	City	Neighbourhood	

Objectives: The Monitoring System for Development-related Changes (MERV) is a monitoring tool for contextual changes that may require an adaptation of current programming. Within it, the context analysis serves as a starting point for cooperation strategies. Specifically, it serves the following purposes:

- It helps to understand the context in which SDC operates in.
- It guides the hypotheses/theories of change for SDC’s country programme.
- It functions as a baseline for regular context monitoring within the cycle of MERV.
- It serves as a tool to cluster a cooperation country into:
 - type A: “low-risk countries”,
 - type B: “medium-risk countries”,
 - and type C: “high-risk and fragile and conflict affected countries”.
- It provides, jointly with the scenarios, the precondition for flexible programme and project adaption. (SDC, 2013c)

Content: MERV identifies trends in different fields and sub-fields of observation, to outline their consequences and possible measures for strategic and operational activities. It describes the implications of contextual changes in SDC’s work in terms of risks and opportunities.

The context analysis then looks at the entire political, economic and social context, as well as the strategies already being deployed by the main relevant actors for SDC’s work. The following issues are specifically addressed:

Overview

- Geography and history, e.g. location within region, main relevant historical development.
- Political conditions, e.g.:
 - » Governance system: main actors, authority of state over use of coercion, capacity of state for service delivery and legitimacy of state.

- » Justice system: status of rule of law, civil and political rights and access to justice.
- » Participation.
- » Political disturbances.
- Economic conditions, e.g. production, working conditions, inequality, poverty, savings, investment, imports, exports, monetary policy and financial infrastructure.
- Social-cultural conditions, e.g. general living conditions, education, religions, ethnic groups, minorities and gender aspects.
- Security conditions, e.g. police, military, terrorism, crime and extraordinary security measures
- Environmental conditions, e.g. natural resource base, degradation, waste management and natural disasters
- International Relations, e.g. with neighbouring countries, regional integration, and the presence and role of other donors

Fragility assessment

- Analysing causes and drivers of fragility and conflict.
- Negative consequences of conflict or fragility for different sections of the population as well as for international cooperation.
- Positive dynamics to support transition out of fragility from the government, other actors within country, and regional and international systems (SDC, 2013c).

Methodology: The analysis is carried out at three levels (national, regional/international, geographical focal areas within a country), and three different timescales (short- medium- and long-term). The process has the following general steps:

1. Define main issues to be studied.
2. Conduct analysis addressing various aspects of the context.
3. Discuss results in an internal workshop.
4. Adapt the analysis based on the feedback from the workshop.
5. Present the analysis in a workshop with relevant stakeholders.
6. Produce the necessary outputs.

It is essential that the analysis be based on information gathered from different sources to avoid it being biased. Such sources may include publicly available international and national analyses and assessments from

independent sources, donors, national counterparts and other partners of SDC, or even the same country office.

To guide the process, SDC has designed three different specific tools: fragility assessment tool, [violence and constructive conflict resolution tool](#), and [actor mapping tool](#).

Timeframe: The context analysis should be carried out in preparation for the cooperation strategies. It needs to be repeated every one to five years, depending on how rapidly the context changes.

Roles: The process requires bringing together local and international perspectives to the analysis. Trends are internally discussed within the team, and later shared in a workshop with project partners and other NGOs.

Output: The product of the analysis is an executive summary with a management-oriented overview of development-relevant changes in the context.

Links:

- www.alnap.org/help-library/how-to-note-merv
- www.alnap.org/help-library/guidelines-for-the-monitoring-system-for-development-related-changes-merv
- www.alnap.org/help-library/context-analysis-tool-one-identifying-and-addressing-issues-hindering-development-and
- www.alnap.org/help-library/context-analysis-tool-3-the-four-a's-to-ask-for-an-actors-mapping
- www.alnap.org/help-library/context-analysis-tool-2-identify-fields-of-violence-and-shift-to-constructive-conflict



Objectives: The Framework for Context Analysis for Inclusive Technology Projects was developed by SIMLab to guide its staff when assessing context and determining constraints. To date the framework has been used to assess the accessibility and feasibility of using ICTs in community policing and human security across 11 post-conflict affected countries. Key components of the Context Analysis Framework have been used in programmes across a variety of development and humanitarian settings.

Development: The tool focuses on technology and communication landscapes. It evolved from an Information and Communications Assessment Checklist in 2011. In 2015 SIMLab began working on a way to bring together and structure all the factors that determine the relationships between technology, the environment and people. It is a work in progress.

Content: The tool looks at issues and topics clustered around the following four areas:

- the people directly and indirectly targeted by the project,
- the community and culture in which they live,
- the political economy,
- the market and technology environment,
- and the implementing organisations and their capacity.

However, it acknowledges the fact that these areas overlap and some of the issues in one may be interconnected with issues in the other ones.

Methodology: More than a prescriptive methodology, the tool outlines areas of inquiry in which a specific methodology for the context analysis can be developed. The nature of this methodology should be informed by (SIMLab, 2017d):

- Scale of the proposed project.
- Availability of existing information about the context.
- Available time and budget for a context analysis or a planned analysis.

- Partner capacity to conduct a context analysis.
- Partner (and donor) openness to change to the planned approach based on such an analysis.

Furthermore, the general stages of the process include the following (SIMLab. n.d. a):

1. Preparing for the context analysis: outlining the process, decision-making framework and key areas of inquiry.
2. Understanding of the fixed parameters that exist for the project (literature review and remote discussion with partners).
3. Identify valuable and useful data that already exists.
4. Logistical preparation.
5. Conduct country/regional-level research, where appropriate.
6. Analyse data and write up as Context Analysis report.
7. Share a summary of findings with stakeholders.

In terms of specific methods to be used during the data collection and analysis, these may include literature reviews, KIIs, surveys, focus group discussions, life histories, direct observation, facilitated workshops, participatory data collection, stakeholder mapping and analysis, STEEP analysis, SWOT analysis and Organisational Capacity Assessment, among others.

Timeframe: Two to three months including one week to carry out the on-the-ground analysis and several weeks/months of planning and publication.

Roles: The tool is usually implemented through research partnerships, in which either SIMLab or a hired researcher conducts the fieldwork and analysis.

Output: The analysis produces a concise report containing a holistic analysis of the context in the five levels outlined earlier. It should use different presentation tools to communicate findings effectively and easily to other members inside and outside of the group.

Use: The analysis should support the team in design decisions, as well in the liaison with partners and stakeholders, with whom the report should be shared. It is usually carried out at the beginning of an engagement in a context, to inform:

- A review of the Theory of Change and associated assumptions.
- A detailed project design, including what needs to change from the proposal or planning stage, and practical implementation considerations.

- The project monitoring and evaluation plan, including any baseline survey that may be planned and associated indicators.
- A risk analysis and in-depth understanding of the operating environment (SIMLab, 2017d).

So far, it has been used in various countries in Latin America, Africa, Eastern Europe and Central Asia.

Links: The framework for the analysis is a publicly shared document available at: <http://www.simlab.org/resources/contextanalysis>.

UNDP			
Institutional and Context Analysis			
Country	City	Neighbourhood	

Objectives: The Institutional and Context Analysis tool aims to uncover how actors in a given society can shape the likelihood of a programme's success. As an assessment of enabling environments, it allows to (Melim-McLeod, 2012a):

- Better understand the enabling/disabling environment and the real interests of stakeholders.
- Assess the likelihood of achieving the intended development change, given the prevailing political conditions, social constraints and existing resources.
- Prioritise among different objectives and entry points, sequencing interventions in a way that maximises impact and sustainability.
- Predict and manage risks.

Development: UNDP's Oslo Governance Centre with the support of an advisory group developed the tool during the course of two years and released its first version in 2012. The methodology was tested through pilots and training sessions for staff from over 40 country offices. A revised version with focus on the Sustainable Development Goals was released in March 2017.

Content: The ICA tool covers issues of interests and constraints of different types of stakeholders; power relations; clientelism and patronage networks; grand, petty corruption; implications from presence of informal institutions along formal ones; and risk factors caused by all of these elements. It is grounded in the following assumptions about development, from which essential points emerge:

1. Development requires a change in power relations and/or incentive systems. Groups establish systems that protect their privileges.
2. The powerful reward their supporters before anyone else.
3. All actors in society have interests and incentives.
4. Resources shape incentives.
5. All stakeholders in society have constraints. The mere presence of an incentive does not mean an ability to act on that incentive.

Methodology: The tool proposes a combination of quantitative and qualitative data gathered from different sources using various techniques to triangulate information. The methods used to gather this data includes desk reviews, interviews and focus groups, among others. The analysis is done through four steps:

1. Define the scope of the analysis.
2. Map out and analyse formal and informal institutions
3. Stakeholder analysis
4. Design engagement strategies and assign responsibility for implementation

The Country Office's Senior Management should determine the scope of the analysis based on goals and available resources. This scope should be defined in terms of the specific development problem that will be addressed. The design of the analysis should be coherent with this and the Terms of Reference should have clear outputs.

Timeframe: The timeframe may vary between three weeks to three months and is dependent on the scope and how detailed the analysis is.

Roles: A team should be built to conduct the analysis. It should include at least one external consultant to do interviews without being associated with any political agenda. This team would be kept throughout the process, being enlarged at times to bring expertise when needed. The senior manager at the country office should be responsible for monitoring the analysis.

Ideally, the team should contain members from the following areas of expertise (Melim-McLeod, 2012b):

- Expertise in political economy analysis or similar.
- Experience in analysing development challenges and their link to the institutional context.
- Extensive experience applying qualitative and quantitative methods of social research.
- Experience in planning and programming.
- Gender expertise.
- Expertise in facilitating and managing participatory processes or focus group discussions.
- Experience of drafting knowledge products.

Output: The ICA is generally carried out as an internal exercise to inform planning and decision-making processes and the knowledge gained is used to guide programming choices.

Use: The tool can be used at any time when there is a need to engage with multiple stakeholders to achieve a development outcome. So far, it has been used in Jordan, Nepal, Bangladesh and Tunisia.

Links: The Guidance Note for the tool can be found at www.alnap.org/help-library/institutional-and-context-analysis-for-the-sustainable-development-goals-guidance-note

4. Related Tools to understanding context

World Vision			
Good Enough Context Analysis for Rapid Response ()			
Country	City	Neighbourhood	

Objectives: World Vision’s Good Enough Context Analysis for Rapid Response (GECARR) tool provides a macro-level analysis of a country or specific geographic context in a country. It aims to produce a snapshot of the current situation, bringing together different views from internal and external stakeholders. It is meant to inform context-sensitive operations that are either about to start or that are likely to be faced with or are in the midst of significant change in the context.

Development: It was developed in 2014 to address the need for a tool suitable for emergencies or rapidly changing contexts. They brought together elements from different already existing tools and did a pilot analysis in the Central African Republic. After it was used and further adapted in various contexts, in 2015 it was formalised with minimum standards and designed as an interagency experience that can be accessed and used by anyone.

Content: The tool looks at four main topics:

1. What has been happening?
2. What’s happening now? What are the current needs in the area?
3. What could happen next? (Trends, scenarios)
4. What can be done about these possible scenarios?

Methodology: The implementation of the tool is done in the following general process:

1. Identification and preparation
2. Field data collection
3. Analysis: initial meta trend analysis scenario planning workshop and report writing
4. Validation: debrief
5. Dissemination and implementation

The analysis should be done in areas that are unpredictable (i.e. prone to conflict or natural disasters or

areas with fragile contexts or pandemic areas. They should also have either no recent context analysis, a low percentage of staff trained in conflict sensibility, or it should be a country or area in which new operations will be carried out (World Vision, n.d. e) or there has been a sudden/recent change in contexts.

The methods used include KIIs, focus group discussions and scenario planning workshops, and are adapted in each iteration. Data should be collected from at least three sources with a minimum of four FGDs, five KIIs and an additional five KIIs in the capital city, in order to contrast the perspectives of different actors in the area.

Timeframe: The analysis is designed for a rapid implementation. It usually takes two weeks of preparation and seven to ten days on the ground. However, this depends on the size of the area to cover (and the distance between the selected places), as well as the amount of people working in the field and the risks associated with rapid change in the context.

It should ideally be done either within the first 90 days of a response, before or immediately after a significant change in the context, or in other times when a full analysis is not possible.

Costs: The cost to implement the tool may vary between \$4,000 and \$18,000, including facilitation team flights, accommodation, in-country transport and the workshop. This amount, however, could potentially be split between different stakeholders in a country-by-country basis.

Roles: To lead the process, a facilitator team should be created with at least two experts of different backgrounds, one of which should be experienced and external to the response office. It should be considered as well to liaise with other agencies working on context analysis on the ground, usually INGOs, but also NGOs and CBOs.

Apart from this, there are four stages where other external sources can be brought in (World Vision, n.d. g):

1. Before the workshop when the facilitators compile secondary data.
2. At the initial data analysis stage.
3. During the scenario planning workshop (if external participants are invited).
4. At the final analysis and report writing stage.

A range of actors and stakeholders from the context should always be engaged for interviews during the process, to triangulate the data gathered.

Output: The analysis produces a short document containing actionable and practical recommendations for INGOs involved in humanitarian response in the area, for their action to be appropriate and relevant to the context.

Use: The tool was designed flexible enough to be quickly used in contexts that are unpredictable and prone

to conflict. So far, it has been used in Central African Republic, Democratic Republic of Congo, Burundi, Mali, Niger, Uganda, Philippines and Kenya, as well as for the Ebola and Syria responses.

Links: World Vision has developed a series of files to use as templates for the implementation of this tool, which are available on request (rapidcontextanalysis@wvi.org). Several learning documents have been produced including:

- www.alnap.org/help-library/good-enough-context-analysis-for-rapid-response-gecarr
- www.alnap.org/help-library/use-of-gecarr-in-conflict-contexts-burundi-case-study
- www.alnap.org/help-library/use-of-gecarr-in-conflict-contexts-democratic-republic-of-the-congo
- www.alnap.org/help-library/bridging-the-participation-gap-developing-macro-level-conflict-analysis-through-local
- www.alnap.org/help-library/making-sense-of-turbulent-contexts-local-perspectives-on-large-scale-conflict

Norwegian Refugee Council (NRC)			
Urban Multi-Sectorial Vulnerability Analysis Tool (UMVAT)			
Country	City	Neighbourhood	

Objectives: UMVAT (Urban Multi-Sectorial Vulnerability Analysis Tool) brings together urban profiling and multi-sector needs assessments to support an understanding of displaced and host populations' vulnerability. More specifically, it aims:

- To profile urban displaced, host and resident groups in relation to shelter, WASH, education, HLP (housing, land and property), ICLA (Information, counselling and legal assistance), food security, income and expenditure and health.
- To inform urban programme response analysis and urban programme design using a 'systems approach'.
- To support response analysis and targeting on multi-sectorial urban programmes through the provision of vulnerability indicators.

Development: UMVAT was developed out of the need for multisector tools that are specific to urban contexts and it was first piloted between 2014 and 2016. The process of building it involved the following steps:

1. A review of urban technical and programming documents and tools (assessment questionnaires, guidance materials and case studies).
2. Urban tool assessment tool and methodology development in close collaboration with sectoral advisers.
3. Piloting of the assessment tool in Ethiopia (2015-2017), Turkey (2016) and Iran (2016).
4. Developing the APP on kobotoolbox.³
5. Analysis of data from three of the pilots (Ethiopia and Turkey) using the JIPS Dynamic Analysis and Reporting Tool (DART) and adaptation to the final assessment tool and methodology

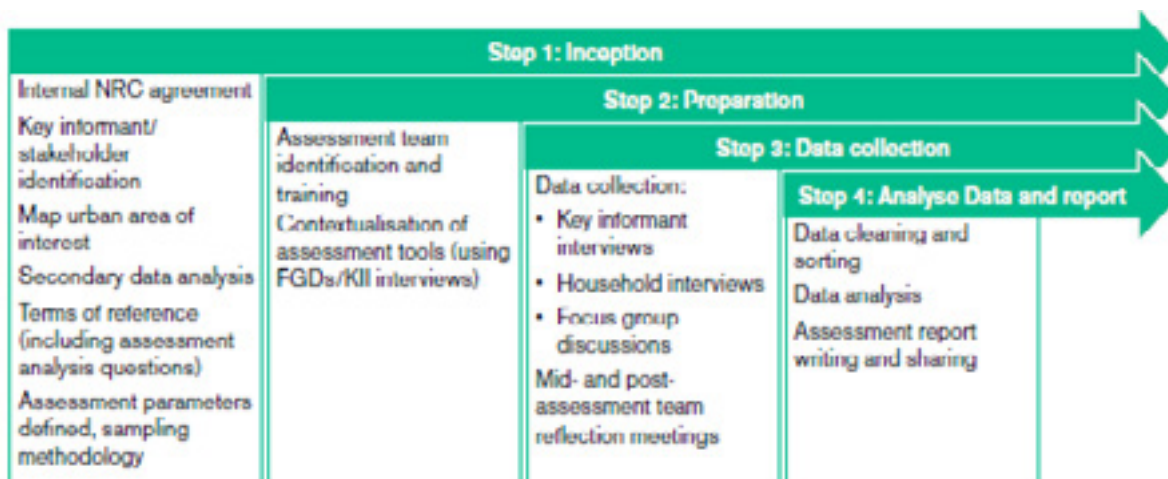
Content: The analysis covers the key vulnerabilities in a range of sectors and the interrelationship between sectors for the displaced and host community. It has an area-based approach and has an essential selection of questions to collect relevant information on the context. The following elements are taken into account when contextualising the assessment tool and methodology:

1. Understanding the language and nuances used within the urban context, especially referring to long-term and short-term displaced communities.

2. Understanding hosting relationships and what is meant by 'hosting'.
3. An understanding of the various meanings of 'household' in that context.
4. The unpacking of terms such as 'relatives', 'friends' and 'immediate family' to understand how they are being applied.
5. The multiple meanings of 'vulnerability'.
6. In-kind assistance from host families, friends, relatives and organisations.
7. Debt and the role it plays in a household's capacity to manage living costs and meet social obligations.
8. Focus on understanding expenditure and the central role that income plays in the lives and coping strategies.

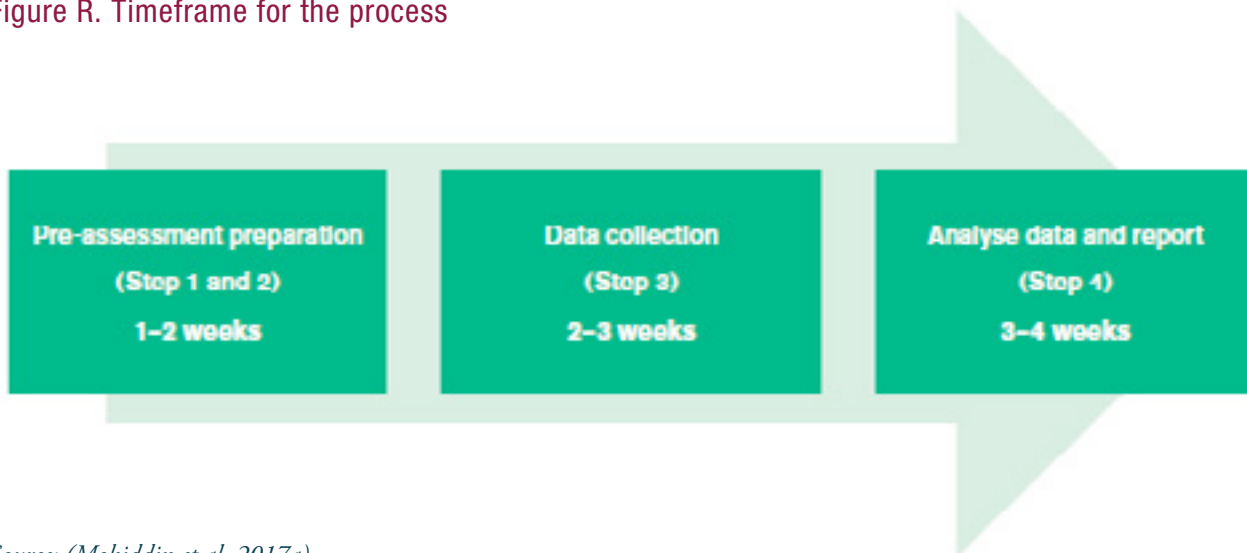
Methodology: The assessment tool and methodology for the UMVAT are adapted depending on the objective of the analysis. The general steps of the process and methods used are outlined below:

Figure Q. Steps of the process



Source: (Mohiddin et al, 2017a)

Timeframe: The timeline suggested is shown in Figure R.

Figure R. Timeframe for the process

Source: (Mohiddin et al, 2017a)

Output: As a product of the analysis, a short report (approximately 20 pages) is written in a non-technical language. It aims to be as short and succinct as possible.

Use: The tool was piloted in Goma, Addis Ababa and Ankara and has also been adapted for application in other countries. In general, the tool can be tailored for use in a variety of programme contexts, including (Mohiddin et al, 2017a):

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

Links: The tool is available at: www.alnap.org/help-library/urban-multi-sector-vulnerability-assessment-tool-for-displacement-contexts-umvat



Objectives: WFP’s Integrated Context Analysis (ICA) tool takes a broad multi-sectorial, area-based approach to risk analysis, with a particular focus on food security in order to strengthen the design, planning and implementation of long-term resilience programmes.

Content: The tool is part of a broader ‘three-pronged approach’ that opens the door for more detailed sub-national and community level assessments (Seasonal Livelihoods Approach and Community Based Participation Planning) to follow. It combines data from historical trends of food insecurity, nutrition and shocks with other contextual information such as (WFP, 2014a):

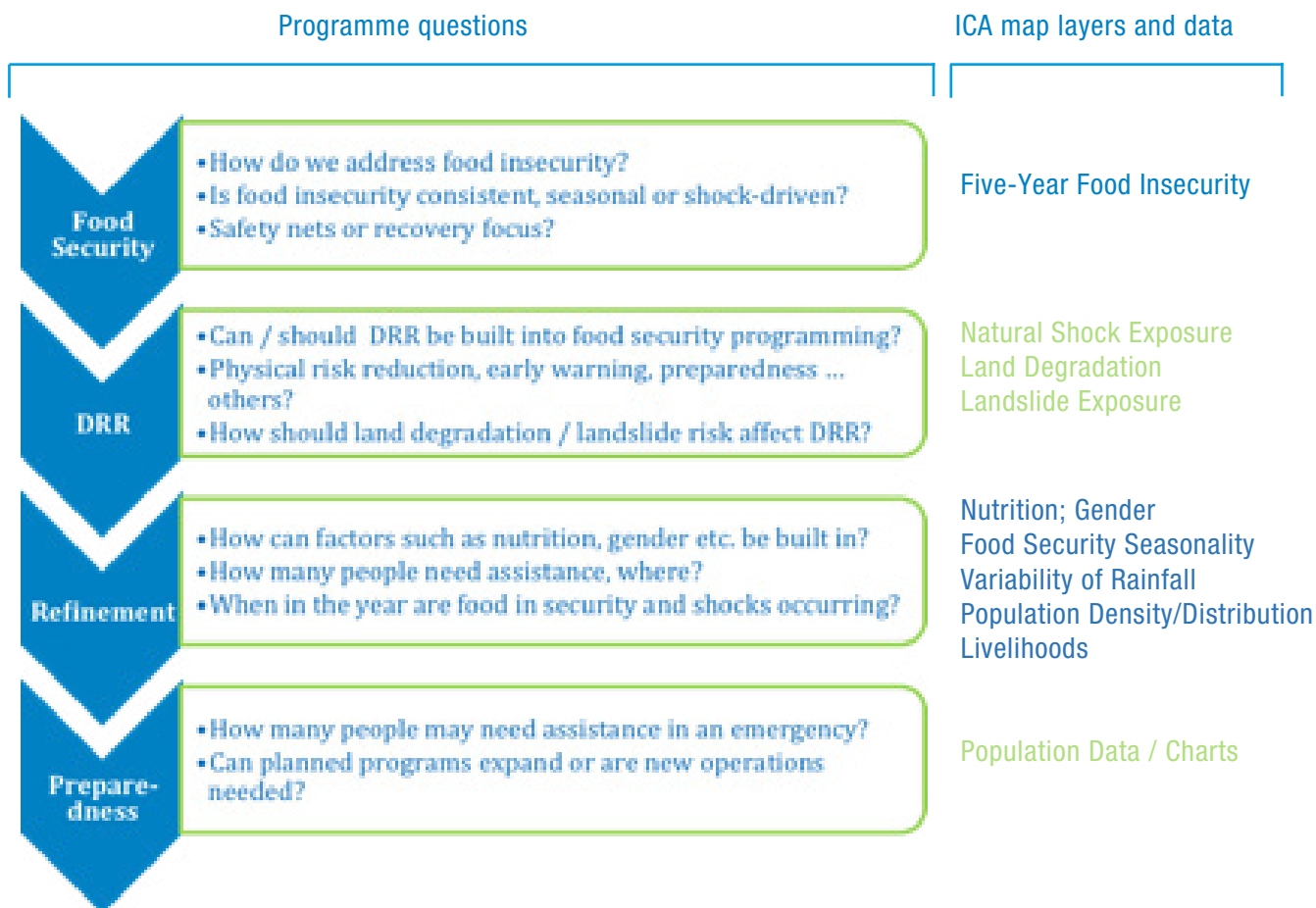
- food security and nutrition,
- exposure and risk to shocks,
- aggravating factors,
- livelihood types,
- and additional information, such as security and political contexts, markets and prices, infrastructure, population density, etc. can be added on top of core ICA layers.

This diagram shows programmatic questions on the left, and ICA map layers and data that can help to provide answers on the right.

Methodology: The process is data-driven and map-based; depending on the specificity of the programme or project, more contextual layers may be added to the ones outlined in Figure S. It relies solely on already-existing data and it is carried out in the following general steps:

1. Inception meeting with partners like the government to discuss what will be done.
2. Data collection.
3. Mapping.
4. Analysis: qualitative and quantitative.
5. Consultation with stakeholders: to make sure everyone agrees on the type of data that is being used.
6. Programme consultation: done with all partners to look at results and start translating them into action.

Figure S: Programme questions for the Integrated Context Analysis



Timeframe: The analysis and associated consultations take around two to three months to conduct.

Roles: ICA is implemented in a collaborative process between the Head of VAM, the Head of Programming from the WFP Country Office, in partnership with government and local stakeholders such as UN agencies and NGOs, and with technical support from WFP's Regional Bureaus and Headquarters. Governments play a particularly strong role as equal partners or process leaders.

Output: The analysis produces a written report that condenses all the findings as serves and acts a foundation for the Seasonal Livelihoods Approach and the Community Based Participation Planning that follow.

Use: The ICA has been used across Africa, Central, South and East Asia and Latin America. Furthermore, the output of the process has served useful to inform a discussion on strategic programming by decision-makers, programmers and analysts.

Links: An example of WFP's Integrated Context Analysis tool is <https://reliefweb.int/report/pakistan/integrated-context-analysis-ica-vulnerability-food-insecurity-and-natural-hazards>. Also see www.alnap.org/help-library/a-wfp-approach-to-operationalise-resilience-part-one-integrated-context-analysis and www.alnap.org/help-library/integrated-context-analysis-ica-zimbabwe.

Endnotes

1. For more information on the 1% learning fund and the Start Fund mechanism, see https://startnetwork.org/sites/default/files/dl/start-fund-handbook_march-25-2014.pdf
2. For more detail see www.alnap.org/help-library/juba-urban-and-peri-urban-context-overview-and-analysis
3. To open / login to a KoboToolbox account: <http://www.kobotoolbox.org/>; click on 'New' (top left hand corner of page); select 'upload'; locate the xls file UMVAT Questionnaire here; this will then upload the tool directly into your account where it can be contextualised according to needs.

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