

Chapter 9



Getting started on a rapid EFSA

This chapter explains when a rapid EFSA is required, recalls the activities involved in organizing one, and provides guidance for the first stage (Activities 1 to 4) in organizing a rapid EFSA. This stage should normally follow on from and build on a preceding initial investigation, especially at the beginning of a new emergency situation. If you are undertaking a rapid EFSA without a preceding initial investigation, which might be the case for a re-assessment or a localized rapid assessment when access to a new area opens up in a conflict emergency, you will start from scratch on the activities described in this chapter.

The key points/activities in getting started on a rapid EFSA are:

- Knowing when a rapid EFSA should be undertaken: see → section 9.1
- Knowing what is involved – what activities are essential – in organizing and undertaking a rapid EFSA: see → section 9.2
- Establishing, or consolidating, working arrangements with partners: see → section 9.3
- Beginning to collect, review and consolidate secondary data: see → section 9.4
- Defining the ‘working scenario’ as a basis for planning the assessment (and any immediate life-saving assistance): see → section 9.5
- Defining the objectives and timeframe for the assessment: see → section 9.6

N.B. The collection and review of secondary data initiated at this stage will continue throughout the assessment process.

9.1 When is a rapid assessment undertaken?

Rapid EFSAAs are undertaken in a variety of contexts, principally:

- as a follow on to an initial investigation following a sudden onset crisis, which concluded that a more detailed assessment was required;
- as a follow on to an initial investigation of early warning signs of a slow onset crisis, which determined that a ‘rapid’ (rather than an ‘in-depth’) assessment should be undertaken;
- when a new crisis arises within an ongoing emergency or protracted relief and recovery operation (e.g. a major new movement of refugees or IDPs; a flood that affects people who were already affected by conflict, as in Somalia in 1996 and Aceh in 2005);
- when an area that had been inaccessible suddenly becomes accessible, usually in a conflict situation (as happened frequently in Liberia and Sierra Leone in the 1990s and Darfur in 2004); or

- as part of a regular process in some protracted operations when local area assessments are undertaken every few months to provide a basis for planning assistance during the next few weeks or months (as in Angola in the 1990s).

A rapid EFSA employs ‘rapid appraisal’ techniques, including some participatory techniques. Sometimes a rapid household survey may also be included. It should be able to answer questions on:

- whether people are unable to meet their basic food needs as a result of the shock/crisis, and if not why not;
- what is the potential of the affected group to recover without assistance;
- who needs assistance and why; how much and what type of assistance;
- how long assistance will be needed;
- what are the resource and logistical needs;
- what are national and local capacities to respond; and
- whether international assistance is needed.

It should also identify baseline values for key variables which can be used for subsequent impact assessment and monitoring of the situation.

9.2 Activities involved in organizing and undertaking a rapid EFSA

There are 15 distinct activities involved in organizing and undertaking a rapid EFSA as shown in Figure 1-E (in Chapter 1). They are described in the Chapters 9 to 10 where they are grouped in six main stages, as show in Table 9-A.

Stage	Activities in the assessment process	Chapter where guidance is provided
Getting started – establishing partnerships and objectives, and reviewing secondary data	1-4	9
Designing and planning the assessment	5-10	10
Collecting data in the field	11	11
Processing and analysing data	12	12
Identifying and evaluating response options	13	13
Preparing and disseminating the report	14-15	14

The collection and compilation of *secondary data* continues throughout the assessment process in parallel with Activities 3 to 11 and feeds into the assessment design and planning as well as into the final analysis. Specific individuals should be assigned to this function and devote themselves to seeking out and compiling secondary data from all sources to which they may have access in the capital or provincial centre where they are based.

The *design and planning* stage is crucial, but often given inadequate attention. The quality of the assessment outputs depends in large part on the effort that is put into designing and planning the assessment.

The planning process requires good management and experience in planning the collection of primary data (using both rapid appraisal and survey methods) and the processing and analysis of those data, as well as food security expertise.

When good, *pre-crisis baseline* data are available (including from early warning systems), and especially when there is an up-to-date contingency plan that was prepared jointly by the parties now responding to a crisis, it should be possible to design, plan and implement the initial investigation and a rapid assessment expeditiously. In addition, the analysis and outputs of the assessment will be well grounded. In the absence of good, pre-crisis baseline data or an up-to-date contingency plan, considerable time and effort will have to be spent at the beginning of the assessment searching for and assembling pre-crisis data as well as establishing working relationships with assessment partners.

9.3 Establishing/consolidating working arrangements with partners

Assessment process **Activity 1**

Required output: Maximum collaboration among partners in undertaking a timely assessment, and coordination with other sectorial assessments.

Why?	A joint effort among all parties concerned with food security should enable: (i) available information and resources to be used as effectively and efficiently as possible for the assessment, and (ii) maximum consensus on the conclusions and thus collaboration in organizing appropriate responses.
When?	As soon as it is decided to undertake an EFSA, and continuously throughout the assessment process.
By whom?	WFP and partners who are collaborating from the outset in the assessment.
How?	Build on existing coordination arrangements, partnerships and contacts with government entities, UN agencies and NGOs. Help to establish coordination arrangements, when necessary, and to ensure that they are effective. Progressively develop additional partnerships and contacts. Thus develop: <ol style="list-style-type: none"> collaboration among entities concerned with food security and nutrition; and coordination with assessments in other sectors and with the government and/or UN entities seeking to ensure overall, inter-sectorial coordination.

Building collaboration among entities concerned with food security and nutrition

A rapid EFSA should, ideally, be a collaborative effort among WFP, the government, UN partners and NGOs already working in the food and nutrition sector (especially those that have a proven track record/expertise in food needs assessment in given localities), see 2.2. Representatives of the major donors may also be invited to participate in field visits, especially those who have staff with relevant expertise. However, especially when responding to a sudden-onset crisis, the assessment should not be unduly delayed in order to involve additional partners. Build on collaboration established during the initial investigation and bring in additional partners as and when possible.

When there is an existing food security (or similar) coordination group, you must work with and through that group to:

- ascertain that there is effective collaboration and coordination among all partners in the assessment; and

- obtain agreement on an overall assessment plan, methods (including the use of standard reporting formats), and the pooling of available transport, if possible.

Establishing a special EFSA working group may help. Separate subgroups may take responsibility for: compiling and reviewing secondary data (see Activity 2); agreeing methods (see Activity 5) and preparing/customising appropriate data collection instruments (see Activity 7); arranging supplies and logistics (see Activities 8 and 10), etc.

If there is no (or no effective) existing coordination group, take the initiative to rapidly form an emergency food security coordination mechanism:

- invite potential partners and interested parties to a meeting, including all relevant governmental and other entities;
- invite the most relevant government entity to co-chair the meeting, if possible; and
- propose that the group focus initially on coordinating assessment efforts and agreeing on standardized methods and reporting formats. If, building on that, it is possible to agree on an overall assessment plan and the pooling of available transport resources, so much the better.

In all cases, continue to encourage the maximum collaboration and coordination – or at least sharing of information – throughout the assessment process.

Ensuring inter-sectorial coordination

The coordination of assessments is the responsibility of the government – usually a disaster management entity or relief commission, sometimes the Prime Minister's office. In addition to internal coordination among government entities (e.g. the ministries of health, social welfare, agriculture, rural development, transport, etc.), there should be a forum for information exchange and coordination among government entities, the international humanitarian community and national non-governmental organizations.

The UN Country Team (UNCT), led by the UN resident coordinator (UNRC) assures coordination within the UN system but also may include the Red Cross and major NGOs, and aims to support the government's coordination efforts. Special resources are mobilized for this following a major natural disaster or a major, complex emergency, see the next subsection.

The WFP country office must cooperate fully in all these coordination mechanisms and do whatever is necessary and possible to ensure that there is an effective exchange of information and coordination between the food security assessment process and the assessments in related sectors, especially those concerning shelter, water supplies, public health and agricultural and economic revival including security and protection concerns.

Working with UNDAC teams and OCHA coordination units

The UN country team (UNCT) led by the UN resident coordinator (UNRC) is called on to provide a consolidated, inter-sectorial assessment of needs for international assistance.

Following a major natural disaster, the Office for the Coordination of Humanitarian Affairs (OCHA) will rapidly mobilize a UN Disaster Assessment and Coordination (UNDAC) team to assist the UNRC and the government in coordinating the inter-sectorial assessment process, defining requirements for international assistance, and coordinating the reception of supplies to meet initial, short-term needs. Information on requirements is then disseminated through sitreps issued by OCHA from Geneva.

UNDAC teams comprise specially trained emergency management experts from a number of donor countries and co-opted, similarly trained, staff members from individual UN agencies. They normally arrive within 2-3 days and remain for a few weeks.

See Annex A5 for the standard/generic terms of reference for UNDAC teams.

In a major, complex emergency, a UN humanitarian coordinator may be appointed and OCHA establish a Humanitarian Information and Coordination (HIC) unit to support the UN humanitarian coordinator in: coordinating international assistance; ensuring inter-sectorial coordination and information management; and preparing consolidated appeals (CAPs). A ‘flash’ appeal is usually issued in the early stages of an operation and a regular CAP at the end of each calendar year.

In all cases, WFP remains responsible within the UN for emergency food security assessments but should:

- collaborate with – and take advantage of – the expertise, logistics and information management support that UNDAC teams and HIC units can sometimes provide; and
- work with them to ensure that any information released concerning the food security situation and needs is as accurate as possible and agreed with WFP.

9.4 Collecting, reviewing and consolidating secondary data

Assessment
process
Activity 2

Required output: Maximum benefit from information that already exists, including both background information and data on the present situation.

Why?	There is always a lot of useful data in existing documents, reports and databases. Finding and making appropriate use of those data can save a lot of time and provide background information, information on the effects of previous crises and responses to them, current data on areas the assessment team may not be able to visit, and data and analyses on related sectors which can help in the interpretation of food security and nutrition data and the analysis of response options. Information from secondary data will feed into Activities 3, 5, 6, 8 and 10 as well as into the final analyses, Activities 12 and 13.
When?	The process of collecting, reviewing and consolidating secondary data should start immediately and continue throughout the assessment process in parallel with Activities 4 to 12.
By whom?	Specific individuals should be assigned to collect and review secondary data at national (or provincial) level while others plan the whole assessment process and undertake the fieldwork.
How?	Actively look for background data relevant to all aspects of food security (including livelihoods) and nutritional status in the area(s) of concern, information on previous crises, and information on the current situation. Review the available data for relevance, appropriateness and reliability, and organize it by topics relevant for the assessment.

Where to look for secondary data

Review existing food security profiles, comprehensive food security and vulnerability analyses (CFSVA), other vulnerability analysis baselines and other reports and documents prepared by WFP, the government or other organizations. In an ongoing operation, review the reports of previous assessments, the periodic reports of operational/implementing agencies, and any evaluations that have been undertaken.

Check a selection of the websites listed in Annex A4 and contact:

- relevant government entities (departments, statistics offices and other entities);
- national and regional research institutes;

- NGOs that operate in the area of concern, including but not limited to WFP partner organizations; and
- local representatives of other UN agencies, the World Bank and regional development banks.

Contact experts on the areas and populations concerned.

Monitor news media reports.

Attend sectorial and inter-agency coordination and planning meetings and collect and request copies of documents.

What to look for and compile from secondary data

Look for data on the *current situation* and the event(s) that precipitated it, including:

- the nature, extent and magnitude of the shock/crisis;
- the geographic areas affected, including indication of areas that are reported to be severely or less severely affected;
- the groups within the population that are reported to have been severely or less severely affected;
- food availability: present stock levels; crop prospects; how markets are functioning; market prices;
- food access (how people are surviving) and what assistance is already being provided or planned; sources of food and income; purchasing power (terms of trade for barter); levels of essential expenditures; coping strategies and their sustainability; opportunities for livelihood recovery;
- food utilization and nutrition; and
- contextual factors including: political and security situation; macro-economic conditions; social context; climatic conditions; etc.

Look for *background (pre-crisis) data* on the geographic area(s) and populations concerned, especially the following:

- *the area(s)* – the main geographic, agricultural and economic characteristics of the area affected, including any distinct agro-ecological or livelihood zones already distinguished;
- *the population* – the total population of the area(s), the demographic breakdown and distribution among different localities; the different population groups in the area(s), distinguished by socio-economic (principal livelihood) and/or socio-cultural (especially ethnic) characteristics, and their numbers;
- *food production* – data on food production in recent years including cultivated areas, yields, use of fertilizer; reasons for changes and trends;
- *market systems* – descriptions of normal commodity trade flows (ideally, a map showing quantities); market price data for recent years; reasons for changes and trends;
- *food access and livelihoods* – for each distinct population group, descriptions of: their livelihood patterns and how these have changed in recent years, with reasons; their relative dependence on different sources of food and income, with seasonal variations; the coping strategies they usually adopt when times are hard and how these have changed in recent years;
- *food use and consumption* – normal food habits, infant and young child feeding practices, cooking and fuel facilities;
- *nutritional and health profiles* – normal prevalence of malnutrition (including micronutrient deficiencies) and communicable disease, with normal seasonal variations and any variations among different geographic areas and population groups; presumed causes of malnutrition; prevalence of HIV/AIDS and other chronic diseases;

- ***water and sanitation*** – the nature and quality of normal water sources, the quantities available to and used by households, and sanitation arrangements (in different geographic areas and by different population groups); any consequent health risks, with seasonal variations;
- ***seasonal calendars*** – for each distinct agro-ecological or livelihood zone, calendars showing: the main agricultural activities; usual seasonal variations in food availability, stocks and prices, and household food and income sources; normal ‘hungry’ periods; migration patterns of pastoralists; seasonal disease patterns; seasonal upsurges in conflicts (in a protracted low-level conflict situation); etc.
- ***historical time line(s)*** – for any slow-onset crisis (natural or economic), situation of civil conflict or repression, or crisis in an area of chronic and deteriorating food security, a time line showing events that have directly or indirectly affected livelihoods and food security in particular geographic areas or of particular population groups during the last few years (e.g. 2-5 years); and
- ***effects of and responses to previous crises*** – the effects on food security of previous similar crises, and how people coped and recovered.

Reviewing and consolidating secondary data

Examine all secondary data critically to assess their relevance, appropriateness and reliability (see Table 9-B). Ask yourself the following questions about the data:

- Are the data consistent and free from calculation errors?
- Were the methods used for data collection sound?
- Do the data indeed cover the geographical areas and/or population groups claimed, and do not contain gaps in coverage?
- Are the reasons given for significant changes in food security variables clearly explained? Are they justified?

Review carefully any reports and evaluations of interventions in crises in similar contexts. These may provide insights into effects and response options that may otherwise be overlooked.

Compile these data in a ‘user-friendly’ manner. Organize it by topics. Prepare a cover sheet for each topic listing the data/reports that are available and, ideally, summarizing the most important points.

Table 9-B

Assessing the relevance, representativeness, appropriateness and reliability of secondary data

Relevance and appropriateness

- *Relevance*: Do the data correspond to indicators that have been identified as being important for the assessment? If not, is there a clear, accepted and defined relationship with the assessment indicator that would enable the data to be used as a proxy?
- *Check geographic coverage (representativeness)*: Is it the same, smaller or larger than the area of concern? (E.g. data from an NGO may only represent the one area in which it works.) To what extent can these data be combined and compared with other data? (Nutritional data may represent administrative boundaries, whereas food security data may represent food economy zones.)
- *Check the date*: Do the data represent a particular point in time or season, or an average over a number of years? What was the situation when the data were collected? What might be the limitations on using the data now? What allowance is needed for seasonal variations?

Reliability

- *Reputation*: How reputable is the organization, agency or government department that collected the data? Are their results generally accepted by others in the country and consistent with the findings of others? Is there potential for bias (e.g. in an attempt to gain increased aid resources)?
- *Methodology*: Is there a description of the methodology used to collect the data, including the sampling procedure used? If not, be wary of using the data.
- *Sampling and confidence*: What was the sampling frame – what population does the sample purport to represent? What was the sample size and how was it chosen? Have confidence intervals been calculated?
- *Quality control*: Is there a description of the measures used during the data collection to supervise the quality of the data collected as well as validation of the tools (through triangulation, supervision of field work, data cleaning)?
- *Analysis and integrity*: What methods were used for the analysis (statistical or other)? Are the raw data available? Are the variables reported in the analysis consistent with the questions or topics in the questionnaire/discussion checklist?

[Adapted from *M&E Guidelines*, Module 7, *Choosing Methods and Tools for Data Collection*]

9.5 Defining the ‘working’ scenario

Assessment
process
Activity 3

Required output: A working scenario concerning the nature and extent of the impact on food security and the livelihood groups affected.

Why?	This scenario will provide a basis for defining (in Activity 4) the areas, groups and specific food security aspects that the assessment will focus on.
When?	Within 1-2 days following the decision to undertake a rapid EFSA.
By whom?	WFP and partners who are collaborating from the outset in the assessment.
How?	<p>Review and confirm or refine the initial working scenario that was developed by the initial investigation, if any, taking account of any additional secondary data received in the meantime.</p> <p>Develop a scenario from scratch, based on pre-crisis and currently available data, if there has not been an initial investigation.</p>

Figure 8a (in Chapter 8) outlines the process of developing a scenario.

Based on the additional information you have obtained since the initial (best guess) working scenario was established, refine that picture of the probable food security effects of the crisis in different parts of the affected area and among different population groups to prepare an up-dated ‘working’ scenario. This ‘working scenario’ represents your latest best guess concerning the present situation and how it may evolve. Use the format in Figure 9-C (the same as proposed for the conclusions of the initial investigation).

Table 9-C	
Format for a Scenario	
Analytical component	'Working' scenario
Shock/nature of the crisis	<i>Cyclone and associated storm surge caused heavy damage in coastal belt and flooding inland</i>
Geographic area(s) affected	<i>Districts A, B and C, and valleys in D and E</i>
Ethnic and livelihood groups in the area(s); their vulnerabilities	<i>Fishing communities on the coast and rivers. Small farmers and daily labourers in the valleys</i>
Population numbers – total and broken down by area and population group, if available	<i>Total: 650,000; 120,000 in district A; ...</i>
Food availability (and markets)	
Likely impact on food supplies (and demand)	<i>Standing crops and household and commercial stocks in the areas destroyed; little impact on national production</i>
Likely impact on markets (prices and systems)	<i>Etc.</i>
Probable compensatory reactions by the government, traders and others	
Probable net effects (unmet needs and risks)	
Livelihoods and household food access	
Likely impact on livelihoods and households' access to food	
Probable coping strategies of households	
Probable role of traditional/community safety nets and solidarity	
Probable role and effectiveness of existing government and other programmes	
Probable unmet needs and risks	
Food utilization and nutrition	
Likely impact on food utilization	
Current nutritional situation and likely effects	
Probable net effects (unmet needs and risks)	

Based on this information and these assumptions you will be able to:

- define the objectives and terms of reference (TOR) for the assessment (Activity 4) including the topics, geographic areas and population groups that the assessment should focus on;

- prioritize the areas to go (i.e. develop a sampling strategy - Activity 6); and
- start preparing copies of key documents and concise, bullet point summaries of data from key informants, and assembling these as briefing kits for the assessment teams that will collect data in the field (Activity 8).

9.6 Defining the objectives and timeframe for the assessment

Assessment
process
Activity 4

Required output: Agreement on the outputs required from the assessment and on the period within which the assessment is to be completed and the report presented.

Why?	All too often, different people – both those who are participating in the assessment and those who are waiting for the findings – have different expectations. To avoid misunderstandings, it is essential that everyone concerned agree on both the objectives – the reasons for the assessment and the specific outputs expected – and the timeframe for the production of those outputs. If these are not agreed ‘up front’, disagreements and delays are likely for all the activities that follow, and it will be difficult to agree on conclusions and recommendations.
When?	Within 1-2 days of the decision to undertake a rapid assessment.
By whom?	WFP together with all partners collaborating in the assessment from the outset.
How?	Review the standard objectives (Table 9-D) and adapt them to your situation. Decide the timeframe in the light of the scale of the emergency, the urgency of the need to mobilize and deliver assistance, and the resources available to conduct the assessment.

Defining assessment objectives

Modify and adapt the objectives listed in Table 9-D to the situation, and use this to agree on the specific outputs required from the rapid assessment.

Table 9-D

Typical objectives of a Rapid EFSA

- To estimate the extent, severity and probable duration of changes in food availability (including market functioning) and in livelihoods and households' access to and use of food as a result of the crisis;
- To identify:
 - the geographic extent of the areas within which food security has been affected either directly or indirectly;
 - any differences in the severity and probable duration of impact in different areas and on different socio-economic population groups; and
 - the immediate and possible underlying causes of current food insecurity and any observed malnutrition.
- To determine:
 - the capacities of the different groups to cope with the situation; and
 - whether sufficient food of appropriate quality is available in the area – whether the problem is, or will be, one of 'availability' or of 'access' – and the extent to which market-related problems may be contributing to the problem and/or markets may be able to contribute to resolving the problem.
- To identify the type(s) of measures or assistance – food and non-food – that could help to ensure that people, especially the most vulnerable households and individuals, have access to:
 - food that is adequate in quantity and quality to meet their nutritional needs, and
 - related non-food supplies, services and protection to maintain (or restore) nutritional health and well-being, without engaging in damaging or undesirable survival strategies
- To identify the resources and capacities (of the communities and potential partners) currently available to implement measures and interventions to meet the food and related needs of the population(s), and any constraints;
- To identify any immediate possibilities to initiate assistance for self-reliant recovery and longer-term food security;

and, on that basis:

- To propose specific measures and assistance interventions – food and non-food – that could help the affected population groups to meet their short- and longer-term food security needs, and specify the pros and cons of the various response options; and
- To determine whether a more in-depth food security assessment will be required and, if so, propose the timing and core elements for the terms of reference.

If food aid is determined to be an appropriate response: the rapid assessment should also propose:

- the types of food and related non-food assistance required;
- the number of people to be provided for and during what period; and
- and if possible, how the food and related assistance should be delivered, targeted, distributed and monitored.

This includes assembling the data required for operational planning and budgeting, including data on key indicators necessary to establish a baseline against which programme performance will be measured, to enable specific, credible project proposals (for the next 6-12 months) to be elaborated and submitted to donors for funding.

Take care to ensure that the objectives are focused and realistic. Whenever immediate assistance is needed to save lives and maintain nutritional health, assessing those needs and the means by which food can be made available to the people most in need will be the first priority. However, always keep in mind the long-term implications of the means adopted and the importance of looking for opportunities to support recovery – and to avoid people adopting negative coping/distress strategies – from the earliest possible moment.

In case of a crisis during an ongoing operation, the assessment should include a rapid review of the status of existing food aid and related programmes, the impact of the new crisis (e.g. new population displacements) on those programmes, and the capacity of the various ongoing programme activities to expand, or adapt, to cover the additional needs.

Deciding on the timeframe for the completion of the assessment

The timeframe will be determined by the urgency with which decisions on action have to be taken, and the geographic extent and complexity of the situation. As noted in section 1.1, a balance must be struck between the competing requirements for speed and accuracy (including representativeness) in the findings and conclusions, taking account of the context. In general:

- A ‘rapid’ assessment of a localized area following a disaster or the opening up of a new area should be completed within a week.
- For a large area that incorporates a variety of agro-ecological and economic zones and population groups, a ‘rapid’ assessment may take up to 6 weeks.

When lives and livelihoods are at immediate risk, the assessment may be planned – and assessment teams be instructed – to provide basic information rapidly so that resources can be mobilized and allocated while the assessment continues to gather more detailed information.

Where there appears to be a food availability crisis, and especially if food resources in nearby countries also appear to be limited so that a food resource pipeline cannot be established quickly, there will be added pressure to provide basic information quickly.

Preparing a budget for the assessment

Ensure that you have a realistic budget before the field work begins. A rapid assessment may cost anything up to US\$ 30,000 depending on the geographic extent and topography of the area and the variety of livelihood zones and socio-economic groups affected. As a starting point, consider the following line items:

- per diem/DSA costs for government and other participants (if unable to be borne by their own organization);
- transport costs (fares, rental and/or fuel and maintenance costs for vehicles, boats, helicopters, aircraft, as required);
- security costs;
- training costs;
- telecommunications expenses;
- incidental costs for teams while in the field;
- equipment including camping gear, if necessary (purchase or rental if borrowing is not possible); and
- printing/reproduction costs for briefing kits, data collection instruments, the final report, etc.

Encourage all participating agencies to participate in covering the costs, at least by paying the costs (including per diems) of their own staff.

Chapter 10



Designing and planning a rapid EFSA

This chapter describes the activities involved in designing and planning a rapid EFSA. Thoughtful design and thorough planning are essential to the success of any assessment. If inadequate attention is given to these crucial aspects (as has often been the case in the past), the assessment will not provide the required outputs in time or to the required standard and, as a result, programming decisions will be delayed or not well informed.

Once an initial ‘working’ scenario has been developed (Activity 3, see section 5.5) and the objectives of the assessment have been defined (Activity 4, see section 5.6), the key activities involved in designing and planning a rapid EFSA are:

- Drawing up an assessment plan, schedule and budget: see → section 10.1.

Note: You must draw up an initial, draft plan, schedule and budget rapidly to guide the rest of the design and planning process but will need to refine it as the various components of the plan are defined.

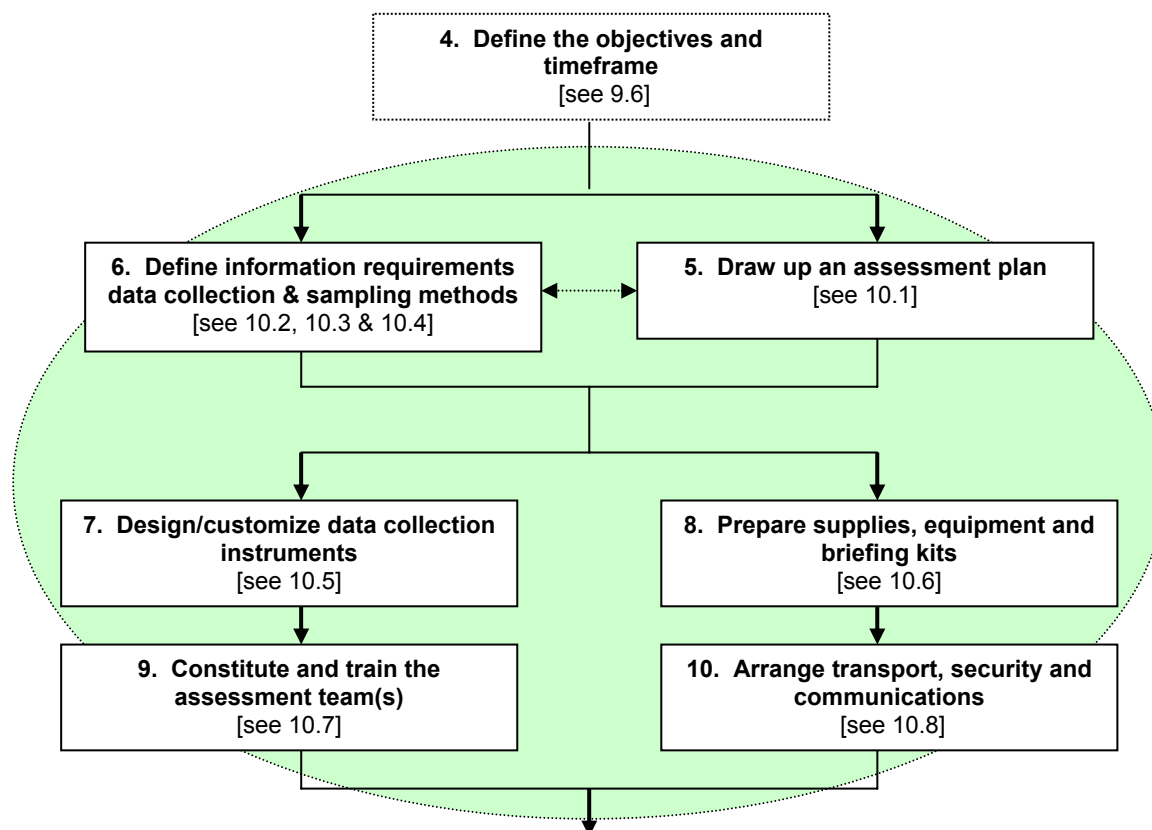
- Defining data collection requirements (taking account of data already available): see → section 10.2.
- Deciding on data collection methods: see → section 10.3.
- Deciding on a sampling plan and procedure: see → section 10.4.

Note: The proposed data collection requirements, methods and sampling plan will have to be reviewed in the light of the human and other resources available. If sufficient resources cannot be mobilized, you will have to adjust the timeframe and/or the proposals, but you must be aware of the effects of these compromises and reflect them in the final report. A key decision is whether you will conduct a rapid household survey or rely only on data collected using rapid appraisal techniques, i.e. key informant and group interviews, plus secondary data.

- Designing, or customising, data collection instruments: see → section 10.5.
- Preparing briefing kits, supplies and equipment: see → section 10.6.
- Recruiting, assembling and training the field assessment teams: see → section 10.7.
- Arranging transport, security and communications: see → section 10.8.

The process is illustrated in Figure 10a, which is extracted from Figure 1e (in Chapter 1) outlining the whole assessment process.

Figure 10a: Activities in designing and planning a rapid EFSA



10.1 Drawing up an assessment plan, schedule and budget

Assessment
process
Activity 5

Required output: A written plan that specifies: (i) what will be done to prepare for and undertake data collection in the field and to complete the assessment process, and (ii) how, when and by whom it will be done, and (iii) the resources required and from where they will be obtained.

Why?	To ensure that all necessary preparatory steps are taken in time and that the field surveys, proceed as smoothly as possible and the assessment produces the required outputs on time.
When?	Planning should start as soon as the objectives of the assessment have been defined. The schedule prepared at this stage will have to be reviewed, and may need to be revised, once the data collection and sampling methods are defined in activity 6 (see figure 10c).
By whom#?	A designated working group of individuals from WFP and partners collaborating in the assessment.
How?	Based on the refined 'working' scenario, the agreed objectives and timeframe for the assessment, and the decisions on methods and sampling procedures, particularly

	<p>the number of sites to be visited, draw up:</p> <ul style="list-style-type: none"> • a schedule in the form of a bar chart showing when the various steps will be undertaken, and when they must be completed; • an action plan specifying, briefly (probably in the form of a matrix), what is to be done for each step, the human and material resources required, and who is responsible for completing the action within the specified time frame; and • a preliminary budget.
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Drawing up a schedule

The assessment plan must clearly specify how the remaining activities of the process will be completed and assign responsibilities for everything that needs to be done. The plan must be written down and available to all concerned.

Figure 10b provides an example of a possible schedule for planning and implementing a rapid assessment in the 3-week period. For completeness, it includes the previous activities 1 to 4. In case of a crisis in a confined geographic area, the whole process may be compressed into a single week. In a major crisis covering a large area, it may be stretched over six weeks.

In practice, it may be found that the assessment cannot be completed as proposed, within the specified timeframe, with the human and material resources available. If so, the problem must be discussed with all collaborating parties and more resources must be mobilized or a decision be made to either extend the timeframe or cut back on some aspects, with a clear understanding of the possible consequences in terms of the quality and reliability of the data and the conclusions that will be able to be drawn. The schedule will need to be updated accordingly. In fact, the schedule should be considered as a working document that is refined on an ongoing basis especially during the first few days of planning. However, once methods have been decided, every effort should be made to adhere to the schedule agreed at that point.

Figure 10b **Sample schedule for an assessment**

[illegible]

The *time for design and planning* up to and including activity 10 depends on the level of preparedness. It should be able to be completed within 1 to 2 days if there has been good contingency planning for this kind of situation (and personnel for assessment teams have been trained in advance). Otherwise, good management will be needed to complete this phase within 5 to 7 days.

The *time for training field assessment teams* depends on the methods and techniques to be used and the experience of the available individuals in using those methods and techniques. Allow sufficient time for training to ensure that data collection will be undertaken correctly and in a reasonably standard manner by all teams, see section 10.7.

The *time for field data collection* is determined by:

- *the number of sites to be visited and the time required at each site* – these depend on: (i) the sampling design which, in turn, depends on the heterogeneity of the area and population concerned, and (ii) the data collection methods/techniques to be used. Compromises may have to be made, see below;
- *the time required to travel between sites* – this depends on the locations of the sites which, in turn, is determined by the sampling design, and the terrain and means of transport available. Don't underestimate the time required; and
- *the number of assessment teams* – this depends on the availability of: (i) personnel with relevant skills; and (ii) transport and related logistic resources.

Table 10-A suggests the times typically required for interviews. See section 10.4 concerning the numbers of sites that will need to be visited and the number of interviews required at each site. In practice, you will normally have to choose between teams visiting and completing interviews in either 1 or 2 sites per day.

Table 10-A

Rough indications of the times required for interviews

- Half a day in each provincial or district headquarters. (A full day if it is a slow-onset crisis.)
- 1 to 1½ hours per group interview. (2 hours for a subgroup interview to collect data for household economic analysis.)
- Maximum 3 to 4 group interviews per day per pair of interviewers. (2 to 3 for household economic data collection.)
- Up to 45 minutes per household for a questionnaire-based household survey.
- Minimum 3 to 4 hours in each selected village/urban-locality/camp for a team of 4 (more if the community is not homogeneous or a household survey is to be undertaken).

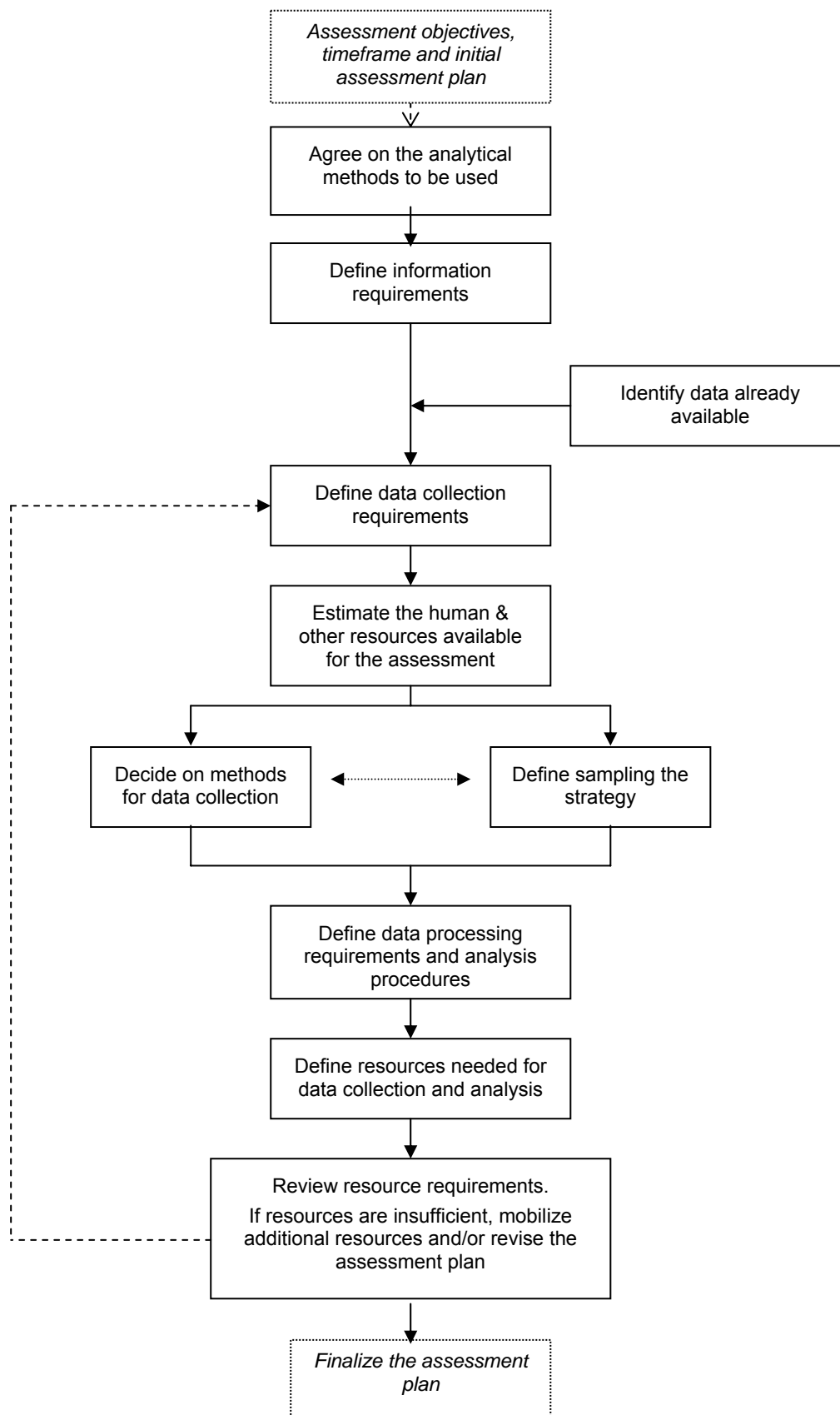
The *time for data processing and analysis* depends on the number of interviews, the amount of data to be collected, and the resources mobilized for data processing, especially if a household survey is to be conducted and a large numbers of questionnaires processed. Data processing often takes a lot longer, and requires more resources, than had been expected. You must plan in detail how the data will be processed, what skills and materials will be needed, who will do it and where it will be done. Estimate the number of people and hours needed to do it. As a rule of thumb, allow the same number of person-hours for data processing and analysis as for data collection. See 11.6 for details of the kind of arrangements required.

Add on 3 or 4 days for writing and finalizing the **report** after the analysis is completed.

Planning for data collection, processing and analysis

The basic steps involved in defining data collection requirements, methods, sampling procedures and arrangements for data analysis (Activity 6) are illustrated in Figure 10c. Section 10.2 provides guidance on defining data collection requirements. Sections 10.3 and 10.4 address the issues of determining the most appropriate data collection methods and sampling strategy to be used, taking account of the time and resources available.

Figure 10c Steps in defining data collection requirements, choosing methods and planning for data processing and analysis



Once you have defined the methods to be used, you must specify the procedures to be used for processing and analysing the data collected by field assessment teams and the resources and time that will be needed:

- Section 11.6 provides guidance on the **processing** of data (both quantitative and qualitative data). For data collected using rapid appraisal techniques you must develop – specify – the initial summary matrices that each team is required to produce. For household survey data, planning will focus on where and by whom the completed questionnaires will be processed, and how they will be submitted by each field team.
- Chapter 12 provides general guidance on analysis while chapters 4 to 7 provide guidance in relation to each theme. At the planning stage, you should draw up an **analysis plan**. For the analysis of data collected using rapid appraisal techniques, you should specify: (i) the basic analyses (cross-tabulations) to be made at the first stage of the analysis on a team-by-team basis; (ii) whether you will be able to arrange for an independent analyst to work with each field assessment team without unduly delaying the analysis process; and (iii) how and by whom the final overall analysis will be undertaken. For the analysis of household survey data you must also envisage the initial cross-tabulations to be made and specify who will undertake the detailed analysis and interpretation of the data and then combine the household survey data with that from community group and key informant interviews.

The value of an independent eye in analysing rapid appraisal data

An analyst who did not participate in the data collection brings a fresh mind and an unbiased perspective to the analysis of the recorded data. This can help to identify relationships suggested by the data and issues that may benefit from discussion within the team, while avoiding bias arising from team members' impressions for which evidence may be limited. The team and the analyst can then discuss and agree on findings – the story that the data tell.

Preparing a budget for the assessment

Ensure that you have a realistic budget before the field work begins. A rapid assessment may cost anything up to US\$ 30,000 depending on the geographic extent and topography of the area and the variety of livelihood zones and socio-economic groups affected. As a starting point, consider the following line items:

- per diem/DSA costs for government and other participants (if unable to be borne by their own organization);
- transport costs (fares, rental and/or fuel and maintenance costs for vehicles, boats, helicopters, aircraft, as required, DSA for drivers);
- security costs (in case it is necessary to hire guards or escorts);
- training costs (rental of premises/accommodation; transport; materials; honoraria for trainers; DSA for trainees, etc);
- telecommunications expenses (telephone bills, including sat-phones if needed; acquisition of radios, etc.);
- incidental costs for teams while in the field;
- equipment including camping gear, if necessary, see Table 10-A (purchase or rental if borrowing is not possible); and
- photocopying costs for briefing kits, data collection instruments, the final report, etc.

Encourage all participating agencies to participate in covering the costs, at least by paying the costs (including per diems) of their own staff.

10.2 Defining data collection requirements

Required output: Consensus on: (i) the basic data needed and the analytical framework to be used; and (ii) corresponding data collection requirements, taking account of the information (secondary data) already available.

Why?	To: (i) enable relevant conclusions to be drawn for the population of interest and/or subgroups within it; and (ii) avoid assessment teams spending time – and taking up the time of interlocutors – collecting data that will not be used or are already available.
When?	As soon as the objectives and terms of reference of the assessment have been defined/agreed.
By whom?	WFP and partners participating in the assessment from the outset.
How?	<p><i>If a detailed contingency plan exists</i>, rapidly review whatever may have been agreed in relation to frameworks for data analysis and corresponding information requirements, and determine whether they are appropriate for the current situation. If not, agree on modified requirements.</p> <p><i>If information requirements have not been agreed in advance</i>, use the guidance provided below to decide on requirements.</p>

To define data collection requirements you must:

1. Agree on how you will analyse the short- and medium-term effects of the shock/crisis on:
 - food availability in the area, the functioning of markets and market prices;
 - households' livelihoods and access to food, including estimating the likely food access shortfalls at household level, if any, taking account of coping strategies that are not damaging; and
 - nutritional status and any risks of malnutrition, including micronutrient deficiencies, among the affected population.
2. Define the information required for those analyses.
3. Examine the data you already have and identify gaps and any of the data that may need to be cross-checked.

The gaps and what needs to be cross-checked are the data that assessment teams must collect.

Agreeing on the analyses to be undertaken

Annex A3 lists the analyses that have to be undertaken, the kinds of information required and the possible sources of that information for each of the three themes plus the context analysis. It brings together the analysis and information requirements tables from chapters 4 to 7. Review the analysis entries at the top of each table and consider whether they meet the needs of your situation or any adaptations may be necessary. Share your ideas with partners and try to get agreement on how each of the themes will be analysed in the assessment you are organizing. This is an essential first step towards agreeing on the data to be collected and the methods to be used, as well as planning for the analysis itself.

Note that:

- Assessment of the food **availability** at the national level may not be necessary in case of a localized disaster in an area that does not normally contribute a significant proportion of national food production. However, assessment of the **local** food supply situation, including the stability of supplies and whether any disruption is likely, is important in any area that is not well linked by transport routes with other parts of the country.
- Assessment and analysis of households' **livelihoods** and **access** to food, including coping strategies, is the core of every EFSA, and must always be supported by at least quick analyses of essential non-food needs, markets and contextual factors.

Deciding on the approach to be used to estimate household **food access shortfalls** is critical to defining the information to be collected.

- Assessment of the **nutritional situation** may not be necessary (not be a priority) in case of a sudden-onset crisis, unless malnutrition was already a public health concern before the crisis or there is a risk of significant deterioration. However, if assistance will be needed for a protracted period, it will be necessary to establish a nutritional baseline within a few weeks and monitor nutritional status thereafter for reporting purposes.

What is 'normal'?

In most cases, the current situation will be compared with what is considered to be normal to identify the impact of the shock/crisis. However, in some situations the concept of '**normal**' may be difficult and unhelpful. Where, for example there has been a protracted crisis of over 10 years with chronic severe food insecurity and high levels of malnutrition (wasting) which fluctuate seasonally, or where the situation has gradually been deteriorating over a succession of years, it may be impossible to define a 'norm' which is acceptable or realistic in terms of emergency programming. Furthermore, many respondents may be unable to remember or identify a normal or good year. In these circumstances a compromise may need to be struck whereby the current situation is compared to a theoretical 'norm' considered to be appropriate for the area.¹

Defining information requirements – the data to be collected

Once you have decided on the analyses to be undertaken, in particular the approach to be used to estimate food access shortfalls and the contextual factors that are critical in your situation, define the information required to complete the planned analyses in relation to each of the three themes: food availability/markets, livelihoods/food access and food utilization/nutrition. This will include both information on the current situation and pre-crisis data against which the current situation will be compared. Refer again to Annex A3 and review the types of information that are often required and typical sources of that information. Use this to prompt your own thinking but prepare lists specific to your own situation.

Review the lists carefully with all partners collaborating in the assessment and make sure that:

- all the data required for the planned analyses are included;
- all the items listed are required for the planned analyses – it is clear how each item will be used; and
- it is clear how and from where the data can be collected.

It may be useful to list data items in 3-column a table specifying the data item, how it will be used, and how/from where it will be collected.

¹ Ref: Harmer A and Macrae J (2004): *Beyond the continuum: the changing role of aid policy in protracted crises*, HPG Research report, no 18, July 2004. The authors point out that in such situations it may be necessary to recognize that the situation is unlikely to revert to a norm so that emergency programming will be open-ended with no feasible exit strategy unless high impact developmental initiatives are simultaneously implemented.

Various organizations and individuals will propose the inclusion of additional items. Challenge any proposal to include data items which do not appear to be essential for the planned analyses. Some partners may have broader concerns relating to other sectors, and it is important for the EFSA to coordinate with assessments in other sectors, but beware of trying to collect many data that are not specifically relevant for the EFSA itself.

Next, compare those lists with what you already have from secondary data and thus identify the data you need to collect. This will include: (i) data on the current situation and its expected evolution; (ii) gaps in pre-crisis data; and (iii) certain data that you have on the current or pre-crisis situations but that you want to cross-check.

This final list will feed into the customising, or development, of data collection instruments in activity 7 (see section 10.5).

Ensure you will have all necessary data

When listing data requirements (and later when formulating the questions to be asked in different interviews), ensure that all necessary data will be available when you come to the analysis stage. For example, if you are proposing to gather data on maize stocks from the last harvest you will need to have a baseline against which to compare the responses. If 25% of households say they do, this information will tell you very little unless you know what the norm is for this time of year (e.g. it should be 60%). Unless you already have that from secondary data, you will also need to collect data on the normal situation either through the same questionnaire or through community or subgroup interviews.

10.3 Deciding on data collection methods

Assessment
process
Activity 6b

Required output: Consensus on the methods to be used for primary data collection.

Why?	To: (i) ensure that primary data are collected efficiently and in a manner that is appropriate to the local circumstances, and (ii) ensure comparability among the findings of different assessment teams.
When?	As soon as the data collection requirements have been defined.
By whom?	WFP and partners participating in the assessment from the outset.
How?	<p><i>If a detailed contingency plan exists</i>, rapidly review whatever may have been agreed in relation to methods for primary data collection, determine whether they are appropriate for the current situation and, if not, agree on the methods to be used.</p> <p><i>If data collection methods have not been agreed in advance</i>, use the guidance provided below to decide on an appropriate combination of methods.</p> <p>Take account of the time, human and other resources available. Mobilize additional resources rapidly, if required. Possible methods are shown in Table 10-B. The fundamental decision is whether to use only rapid appraisal techniques or also conduct a household survey.</p>

In any rapid EFSA you will use a combination of the following ‘rapid appraisal’ techniques to gather information about the situation in the community:

- **key informant interviews** at national, provincial, district and local levels; *and*
- **community group interviews** in selected communities (see Table 10-C).

In addition, you will usually seek to collect more detailed data on the situation at household level using one or other of the following methods:

- **subgroup interviews** within selected communities (see Table 10-C); *or*
- a rapid **household survey** based on a sample of households selected using probability sampling.

When deciding which of these methods to use, consider the strengths and weaknesses summarized in Annex B1, the time and resources available, and whether it will be feasible to properly undertake a household survey.

A rapid **household survey** (using a structured questionnaire) may be organized in selected communities if:

- time, skills and other resources are available to plan and implement the data collection, processing and analysis within the timeframe for the assessment; and
- data are available to establish a suitable sampling frame for probability sampling (see Annex C9) and it will be possible to visit randomly selected sites and households, i.e. there are no serious constraints on access to the population of interest.

A rapid household survey may be considered in a re-assessment during an ongoing operation or the initial assessment of a slow-onset crisis when suitable field-tested questionnaires are already available as well as a cadre of enumerators who already have experience in conducting interviews at the household level. In other situations, a household survey may be difficult to organize rapidly, especially in a conflict situation or when populations have recently been displaced.

Table 10-B

Data collection methods and instruments and their use

Data collection method	Sample survey (household interview)		Semi-structured interview			In-depth participatory discussion
Use	Household livelihood/ food security survey	Nutrition survey household interview ¹	Key informant interview	Community group interview ²	Subgroup interview ²	Focus group discussion ²
Type of instrument	Structured questionnaire		Semi-structured interview guide			Discussion topic guide
Type of data	Quantitative data (some qualitative)		Quantitative and qualitative data			Qualitative data (some quantitative)
Approach (instrument content)	Fully structured questions in logical sequence, mostly with pre-coded choices		Closed and open-ended questions in a logical sequence			A limited number of open-ended questions that enable participants to discuss issues and seek consensus
Level of interaction	Low (Questions and answers)		Medium (Dialogue among respondents and the interviewer)			High (Dynamic discussion and exchange of views among participants)
Data collector	Enumerator		Interviewer and a note-taker for community and subgroup interviews			Facilitator and note-taker

¹ These are interviews are undertaken in conjunction with an anthropometric survey. In addition to collecting public health data they may also collect some information on household food security. Group discussions are also held to gain further information on the causes of malnutrition.

² See table 10-C for explanation of the terms 'community group' and 'subgroup'. The composition of a focus group is the same as for a subgroup.

Table 10-C

Community groups and subgroups

- A **community group** is a mixed group that includes men, women and young people from all subgroups within the community (village, camp, urban neighbourhood).
- A **subgroup** is a more-or-less homogeneous group of people of similar social status from a particular livelihood group. Normally, subgroups are organized with women and men separately.

Community groups can provide data on (i) resources that are available, changes that have occurred, and processes that take place at the community level (e.g. impacts on natural resources such as land and water supplies, relief distributions), and (ii) relationships with institutions outside the community (e.g. government social services, NGOs or district markets). Meetings with community groups can also provide insights into the interaction among different groups within the community.

Subgroups can provide data on the situation and perspectives of the particular subgroups that the different focus groups represent. This can include both quantitative data – such as the land holding of a ‘typical’ household the subgroup – and qualitative data such as the income sources of a typical household, the underlying causes of their food insecurity, and how people in the subgroup expect their situation to evolve in the coming months. They are a good way to dialogue with women or marginalized groups, especially if these groups are not comfortable expressing themselves in (or even taking part in) large community meetings.

The size of groups: A subgroup should be small, typically 10-8 individuals, so that an in-depth dialogue will be possible. A community group will necessarily be larger but should be limited to 20 (maximum 30) people, if possible. A range of topics can be covered but none in great depth.

Skills required: The same facilitation skills are required to conduct all group interviews/ discussions. Experience in using specific participatory techniques is also essential. See Annex C3 for further guidance.

10.4 Deciding on a sampling plan (and procedure)

Assessment
process
Activity 6c

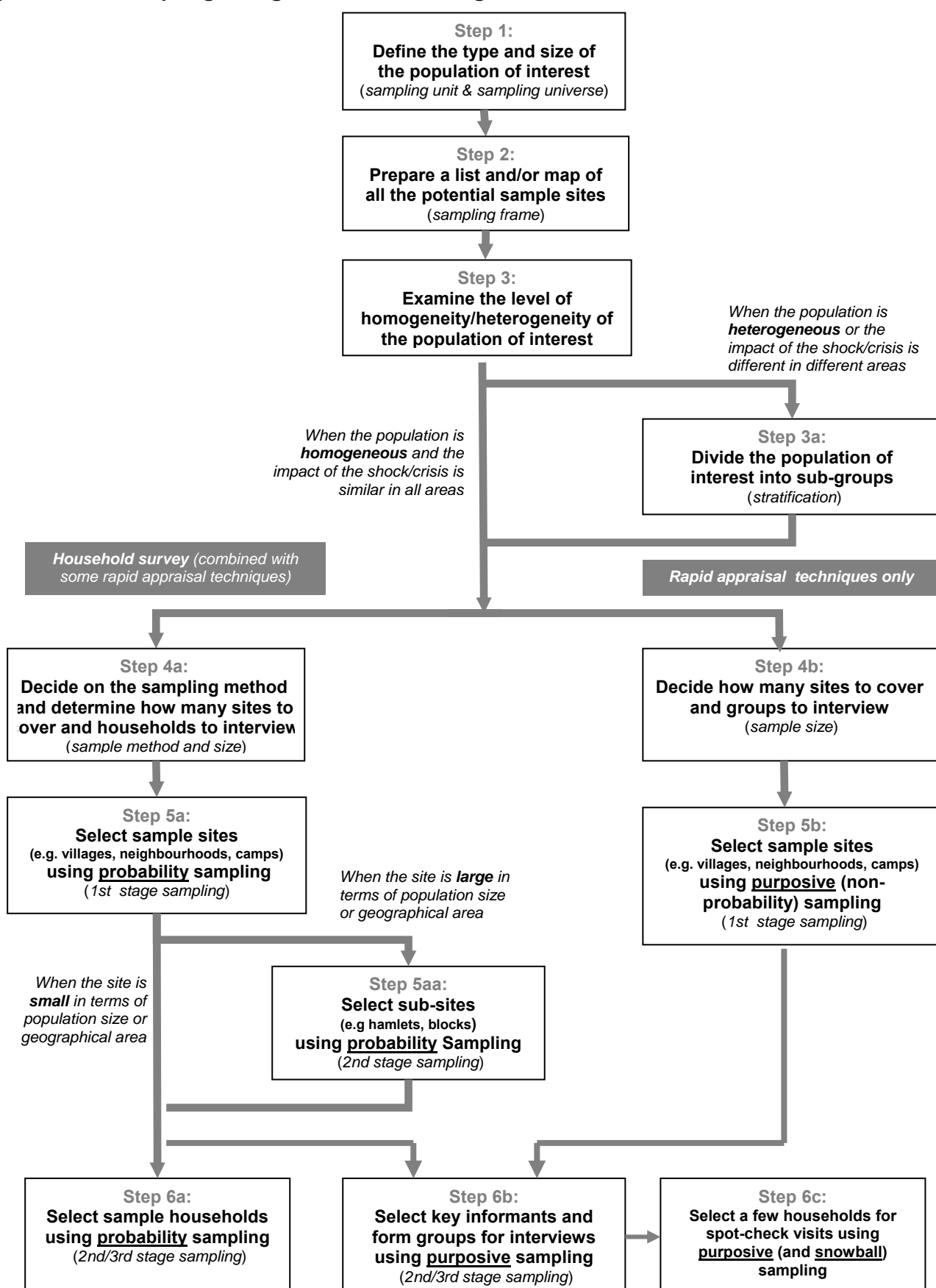
Required output: Agreement on the sampling methods to be used for primary data collection.

Why?	To: (i) enable valid and reliable conclusions to be drawn for the population of interest and/or subgroups within it, and (ii) ensure comparability among the findings of different assessment teams.
When?	As soon as data collection methods have been decided.
By whom?	WFP and partners participating in the assessment from the outset.
How?	<p><i>If a detailed contingency plan exists</i>, rapidly review whatever may have been agreed in relation to sampling approach and procedures, determine whether they are appropriate for the current situation and, of not, agree on the approach and procedures to be used.</p> <p><i>If a sampling approach and procedures have not been agreed in advance</i>, use the guidance provided below, and get inputs/guidance from sampling experts, to decide on an appropriate approach and procedures</p> <p>Take account of the time, human and other resources available. Mobilize additional resources rapidly if those available are not sufficient to cover a large enough sample to enable you to have confidence in the findings. Otherwise, revisit the data collection requirements (defined in Activity 6a) and decisions on methods (decided in Activity 6b).</p>

Steps in developing a sampling design

There are six main steps in drawing up the sampling design for an EFSA, as shown in Figure 10d. Annex C9 provides detailed, practical guidance for each step. Basic sampling concepts are explained in Annex C8.

Figure 10d Sampling Design Decision-Making Process



The first three steps are the same for every EFSA:

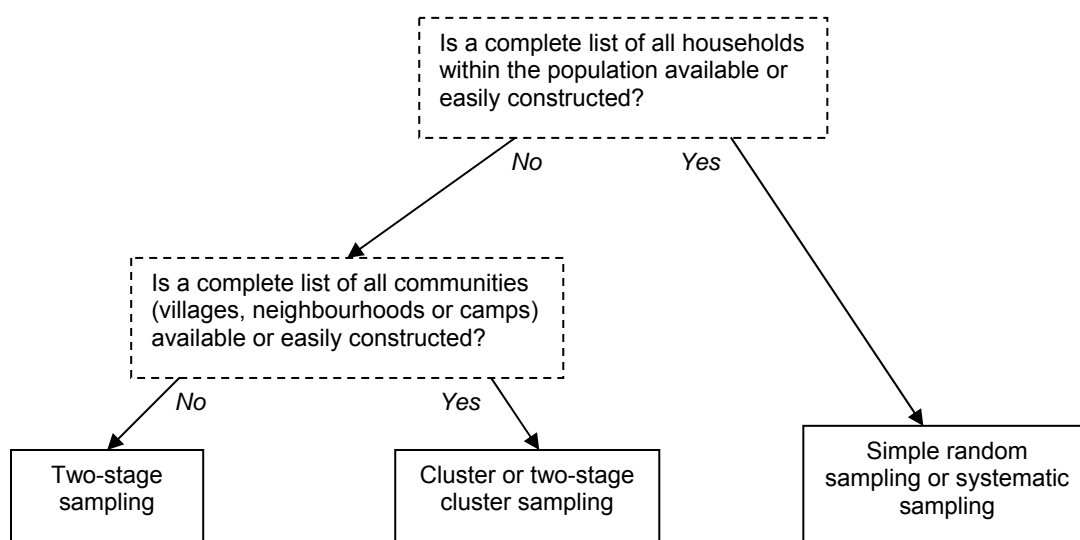
1. Defining the population of interest (known as the ‘sampling universe’) and obtaining an estimate for the total number of people concerned. This might be total population of the area affected by the shock/crisis, refugees in a particular area or, in a conflict situation in which certain areas are inaccessible, the population of the area that is accessible.
2. Preparing a list and/or map of all the potential ‘sample sites’ (which establishes the ‘sample frame’). These are the lowest level of units for which population data area available – e.g. villages, urban neighbourhoods, or refugee/displaced persons camps – with population estimates (number of households and/or people) in each.
3. Determining whether the population is reasonably homogeneous and/or the effects of the shock/impact are broadly similar throughout the whole area of concern, or whether it is necessary to distinguish different subgroups (to ‘stratify’ the population) and assess their situation and needs separately – see the next subsection.

The next 3 steps – deciding on sampling methods, determining the sample size, selecting sites and selecting whom to interview – involve different choices depending on whether a household survey is to be conducted (complemented by some key informant and group interviews) or the EFSA will rely entirely on rapid appraisal techniques (key informant and group interviews). In either case, ***a similar sample size and selection processes will have to be implemented within each distinct population subgroup if it was decided at step 3 that such differentiation (known as ‘stratification’) is necessary.*** For this reason it may be necessary to limit the number of sub-groups to be distinguished, and reach a compromise between what could be desirable and what may be feasible.

The subsections below provide brief explanatory notes on the process and outline the issues in relation to two decisions that are critical in all cases: (1) whether it is necessary to distinguish among different zones or subgroups within the total area and population, step 3; and (2) the appropriate sample size, step 4.

If you are going to organize a **household survey**, the choice of sampling method will also be critical (step 4a). Figure 10e provides a decision tree. If you need to distinguish among different zones or population subgroups, you must apply the same sampling method to each zone/subgroup.

Figure 10e Choosing an appropriate sampling method for a household survey



[Adapted from VAM Analytical Approach Thematic guidelines, *Sampling*, WFP-ODAV 2005]

For many rapid EFSA, complete lists are not readily available and two-stage sampling is used. Cluster or systematic sampling may be feasible in some displaced persons camps. The method chosen and the same sample size will be applied to each population subgroup, if the population is being stratified. When two-stage

sampling is used, non-probability sampling can sometimes be applied to 1st stage sampling to select sites (e.g. when a sampling frame such as list and map are not readily available or is difficult to construct). However, every effort should be made to construct a reliable sampling frame to permit probability sampling. For 2nd stage sampling, households/individuals should be selected by applying probability sampling.

Deciding whether to differentiate among areas or groups – stratification (step 3)

To determine whether the affected area and population should be considered as a single entity or different areas and/or population groups should be considered (assessed) separately, you must answer the following questions:

- a) *Homogeneous/heterogeneous*: Is the population broadly homogeneous or heterogeneous? Are the effects of the shock/crisis more-or-less similar throughout the area or do they vary significantly from one locality (site) to another or among different groups within the population? Can areas and groups be categorized accordingly?
- b) *Need to distinguish/compare*: Is it necessary, or would it be desirable, to distinguish and compare the different categories?
- c) *Feasibility*: Is there sufficient time and are human and logistic resources sufficient to implement a sampling procedure that would make valid comparisons possible? If compromises would have to be made in sampling procedures (including sample size, see below), will it be possible to draw valid conclusions?

If you decide that some differentiation is necessary (this is called ‘stratification’), you must define the categories to be used and then assign the sites/communities in the affected area into the various categories/strata (see Table 10-E for examples). Stratifying in this way can ensure that all categories are included in the sample and, if an appropriate sampling procedure is followed, can provide a more accurate overall estimate or, if the sample size for each category is also adequate, enable comparisons to be made among the different categories, see Table 10-F.

Table 10-E Examples of categories differentiating areas or sites/communities	
Geographic areas	Agro-ecological characteristics; principal livelihood activities ('livelihood zones'); administrative jurisdictions; distance from the centre of the shock
Sites/communities	<p><i>For resident populations</i>: distance from roads; nearness to urban areas; access to markets; principal livelihood strategies or, especially in a conflict situation, predominant ethnic, religious or political identities</p> <p><i>For displaced people</i> (refugees or IDPs): nearness to urban areas; ethnic differences; access to farmland, other natural resources, employment, markets or other sources of livelihood (food and income)</p>

Table 10-F Why stratify?
<p>There are two different reasons to stratify a heterogeneous population:</p> <ol style="list-style-type: none"> 1. To obtain a more accurate estimate for the whole population by drawing a sample in which each category is represented in proportion to its size (i.e. if fishing families make up 20% of the total population of the area, they will also make up 20% of the sample). 2. To obtain separate estimates for each distinct category and make comparisons among them, the same number of households will have to be sampled in <i>each</i> of the distinct areas/groups as would be required for the <i>whole</i> area/population if no comparisons were to be made.

*Example***Stratification for a rapid EFSA in a drought situation in Kenya (2004)**

A WFP study in Kenya addressing vulnerability to food insecurity used three layers of sampling:

1. Secondary data were analysed to identify and characterize the *more vulnerable districts* from which Community Food Security Profiles (CFSP) were constructed.
2. *Livelihood zones* were identified within each of these districts.

Within each livelihood zone, a number of communities which were randomly selected and community interviews carried out in the selected sample.

*Example***Stratification in a survey of refugee camps**

The UNHCR-WFP joint assessment mission in Eastern Sudan in 2003 distinguished:

- 'land-based' camps where refugees had access to land and were able to farm;
- 'wage-based' camps close to urban areas where refugees could find work;
- reception camps where new refugees were accommodated and had little or no means of subsistence.

Determining sample size – the number of sites to be covered and interviews conducted (step 4)

Regardless of the methods used for data collection and sampling, a clear justification is required for the sample size – a calculation for probability sampling or a logical basis for non-probability sampling.

For an EFSA based on rapid appraisal techniques there is no formula to calculate the required sample size. The need is to continue until you are confident that you have a reasonably accurate picture of the situation of each geographic area or population group of interest. The more heterogeneous the area or the population, the more sites and households you will need to cover (and the greater the importance of triangulating among different sources of information). Once your discussions with groups from a particular type of area and population group – those with a particular set of common characteristics – start yielding a consistent picture, you may consider that you have what you need. Experience suggests that a minimum of 6 to 8 (preferably 8 to 12) subgroup interviews should be completed for each socio-economic group per livelihood zone.² This normally entails visiting the same number of villages per zone, as shown in Table 10-G.

In practice, the number of sites that can be covered, and the number of units within each site, will depend upon the number of teams, the size of the teams and the time available, see section 5.7. You must try to mobilize a sufficient number of teams and team members to cover a sufficient number of sites. In some cases, you may have to compromise and calculate the number of sites and households you can cover with the resources and time you have available, but you will then have to be very careful about generalizing to the population as a whole.

Table 10-G indicates the numbers of sites and interviews normally required for an EFSA based on *rapid appraisal techniques* (no household survey). Experience shows that a *minimum* of 6 to 8 group interviews is required for each distinct zone or population group.

² Source: *Food Security Analysis Field Kit*, WFP-Food Economy Group Technical Support Unit, Sierra Leone, 2002

Table 10-G

Recommended numbers of sites and interviews for an EFSA using rapid appraisal techniques only (no household survey)

Number of population sub-groups	Number of sites	Number of group interviews per site	Total number of group interviews ¹
1	3 to 4	2	6 to 8
2	6 to 8	2	12 to 16
3	9 to 12	2	18 to 24
4	12 to 16	2	24 to 36
5	15 to 20	2	30 to 40
6	18 to 24	2	36 to 48

¹ A minimum of 6 to 8 subgroup interviews (and/or key informant interviews) are recommended for each distinct zone or population group. However, more interviews will be necessary if information from the first six to eight does not provide a consistent picture or new issues arise during data collection (e.g. as a result of the first few interviews) that require corroboration.

For a household survey, the sample size depends on a number of factors including the proportion or mean of what you are trying to measure, the precision required and the sampling method used. It is not related to the size of the population, unless the total number is relatively small (a few thousand households or less).

Table 10-H presents sample sizes for use in a rapid EFSA which uses two-stage sampling. The recommended sample sizes are shaded and give a precision of $\pm 10\%$ or better, depending on the proportion of what you are measuring.

Table 10-H

Number of sites and samples (households) for a household survey

1	2	3	4	5
Number of sub-groups	For two-stage sampling ¹	Total number of samples (n)	Number of sites (selected at step 4)	Number of samples per site ² (selected at step 6a)
1 <i>Population is homogeneous and the impact of the shock/crisis is broadly the same in all geographic areas being assessed.</i>	Recommended	210	30	7
			25	9
			20	11
	Compromise	150	30	5
			25	6
			20	8
	Minimum	100	20	5
2 ³ <i>There are 2 distinct livelihood or socio-economic groups, or</i> <i>2 geographic areas where the impact of the shock/crisis is different.</i>	Recommended	420 (210 for each sub group)	30×2 = 60	7
			25×2 = 50	9
			20×2 = 40	11
	Compromise	300 (150 for each sub group)	30×2 = 60	5
			25×2 = 50	6
			20×2 = 40	8
	Minimum	200 (100 for each sub group)	20×2 = 40	5
¹ Most EFSA household surveys use two-stage sampling. In case single-stage sampling would be used, the total number of households would be half the figures shown, i.e. recommended 105, minimum 50 for each subgroup. ² An absolute minimum of 5 households per site should be interviewed. ³ If there are 3 sub-groups, calculate the total sample size and the number of sites by multiplying by 3 the number of samples (column 3) and the number of sites (column 4) for 1 subgroup. If there are 4 subgroups, multiply by 4, etc.				

When the population is heterogeneous or the impact of the shock/crisis on food security is different for different livelihood (or socio-economic) sub groups, or when the impact of the shock/crisis is different in different geographic areas, the population of interest should be divided into sub-groups (strata) – step 2a in the process outlined in Figure 10d – and the same numbers of sites (recommended 30) and households (recommended 210) selected within each subgroup. If it would not be feasible to cover that number of sites and households in each sub-group, consult a sampling expert in the regional bureau or HQ (ODAN or VAM) for technical advice on how to proceed.

*Example***Stratification for the rapid EFSA following the tsunami disaster in Indonesia (Jan. 2005)**

The assessment used two levels of stratification, one based on distance from the coast the other based on agro-economic characteristics.

(1) Stratification based on distance from the coast:

- communities within 1 km of the coast (high probability of being directly affected);
- communities between 1 and 10 km from the coast (moderate probability of being affected); and
- communities beyond the 10 km band (low probability of being indirectly affected). The maximum distance that the tsunami was reported to have flowed inland was 10 km.

(2) Stratification based on agro-economic zones (rural areas characterized by different patterns of land use and livelihood/farming systems drawing on satellite (remote sensing) data and government statistics):

- Agriculture 1: lowland rice
- Agriculture 2: upland intensive mixed
- Forest: forest based livelihoods
- Fishing 1: ocean fishing
- Fishing 2: inland fish culture
- Urban

Within each of the above zones, three locations of high population density – villages, IDP camps, urban wards – were selected: one within 1 km of the coast, one between 5 and 10 km from the coast, and one more than 10 km from the coast.

The study did not aim to be representative. The purposive selection of sites was designed to economize on time while providing sufficient information to estimate the number of people affected, the extent to which they had been affected, and households' resilience/coping mechanisms.

10.5 Designing/customizing data collection instruments

Assessment
process
Activity 7

Required output: Data collection instruments that are adapted to the needs of the particular situation (including the skills of the personnel who will collect data in the field) and will encourage accurate and systematic recording and facilitate data processing and analysis.

Why?	Data collection requirements vary depending on the particular situation and the data that are already available (see 10.2), and questions must be adapted to the local situation and the abilities of the interviewers/enumerators. Data collection instruments must therefore be tailored for each assessment.
When?	Instruments should be developed, or customized, as soon as information requirements have been defined, and then refined after field testing.
By whom?	A small working group drawn from WFP and partners participating in the assessment from the outset.
How?	<ol style="list-style-type: none"> 1. List the different types of interview for which instruments are required. 2. List the data to be collected from each type of interview. 3. Customize or develop instruments: Review the instruments, if any, that are already available in contingency plans or from previous assessments and adapt/customize them as necessary, or develop new ones. 4. Translate and field test them all.

List the different types of interview for which instruments are required

All rapid EFSAAs will require specific *semi-structured interview guides* for:

- interviews with officials and other key informants at provincial and/or district levels. Specify the basic list of key informants that all assessment teams should seek to interview, using Table 10-J as a guide;
- market survey instruments;
- interviews with community leaders, extension workers, NGOs and other key informants at community level: specify the basic list including the particular types of extension workers and other key informants; and
- interviews with community groups, i.e. groups including individuals representing, as much as possible, the different sub-groups within the population – see Table 10-C. Specify the different types of groups from whom you may want to collect different types of data.

If you are going to conduct a rapid household survey, you will also require a *structured household questionnaire*.

In all cases, consider the range of livelihood groups among the affected population and whether you will need separate data collection instruments for different groups such as farmers, pastoralists, urban populations and displaced people.

Table 10-I Typical key informants at provincial/district level (and data to be collected)	
Key informants	General focus of data to be collected
Head of the provincial/district administration	<i>His/her overview of:</i> what has happened; the main features of the present situation; the underlying causes including power relations between different groups; the main practical problems including logistics and security (if relevant); and population data including numbers of people displaced (if relevant).
Sectoral specialists – the officers responsible for the departments of agriculture, livestock, fisheries, water resources, labour, economy, transport, roads, social welfare, health, research institutes in these sectors, etc.	<i>Secondary data and their professional views on:</i> the short- and long-term impacts of the shock/crisis; the present situation, the underlying causes, how the situation is likely to evolve and the main risks; the main problems and opportunities to address them and promote recovery.
The private/commercial sector – traders; transporters; local chamber of commerce; associations of businessmen, traders, millers	<i>Their perspectives on:</i> the short- and long-term impacts of the shock/crisis on food production, employment, trade (especially the flow of food stuffs from producer to consumer) and prices.
<i>Local associations and NGOs</i> – women's associations; cooperatives; etc.	<i>Their perspectives on:</i> the impact and coping capacities of different groups; the underlying causes of problems; Opportunities to address both immediate and underlying problems and promote recovery.
WFP staff, other UN personnel and NGOs working in the affected area(s)	<i>Secondary data and their experiences and views on:</i> what has happened; the short- and long-term impacts of the shock/crisis on food security and livelihoods; the underlying causes including power relations between different groups; the main problems and opportunities to address them.

List the information to be collected during each type of interview

Referring back to the data collection requirements defined in activity 6 (section 10.3), list what you need to collect from the various key informants and groups. Table 10-J suggests the core questions that often need to be addressed to key informants at provincial, district and community levels. Tables 10-K and 10-L indicate the types of data that often need to be collected from community group interviews and subgroup interviews, respectively. Use these as guides but prepare your own lists based on the local situation and your specific information requirements.

Repeat some of the same questions in the lists for different interlocutors in order to triangulate among different sources. Also include some questions to cross-check secondary data you already have. However, keep such duplications to the minimum necessary for triangulation and cross-checking.

Table 10-J

Core questions for all key informants

In all situations:

- Population numbers (number of people, households, important demographic details such as numbers of young children and female-headed households);
- The principal subgroups (socio-economic, ethnic or political) within the community;
- What data are available on the pre-crisis situation? What are the underlying causes of the crisis?
- What is the present situation? How are things expected to develop? Why? What could influence how things evolve?
- What has changed (in relation to food supplies, markets, livelihoods, households' access to and use of food, nutritional status)? Why?
- How are people, communities and local institutions coping? What strategies are being used to cope? What would happen without assistance? Why?
- Which areas and groups are worst affected? Why? Who is profiting from the present situation?
- What are the constraints and future risks to livelihoods?
- What opportunities exist to protect and support livelihoods and reinforce the efforts of people and communities to cope and recover? What are the constraints? Why? What can be done to reduce or overcome the constraints?
- Are there any special (security, political, cultural or other) factors influencing the situation that we need to be aware of?
- Where should the team go to gain a good understanding of the situation and needs? Whom else should we talk with?

and, in case of population displacement:

- How many people have been displaced? Why? Where are they? When can they be expected to return to their homes?
- What means of livelihood do they have in the meantime? How are they obtaining food, income and essential non-food supplies and services now?
- What are the relationships between the displaced and host populations? What are the implications for both groups?

and, in case some areas are inaccessible:

- What is known about the situation in nearby areas that are presently inaccessible? Where does the information come from? How reliable is it?
- Are supplies of food or other items moving in and out of those areas?
- What are the prospects for gaining access to assess the situation or provide assistance, if needed?

Table 10-K

Typical focus of community group interviews

- What has been the impact on livelihoods, and what is needed to help recovery;
- How the community as a whole and different subgroups within the community are coping with the present situation;
- The possibilities and priorities for re-establishing livelihoods and food supply and distribution/marketing systems; the principal constraints;
- Seasonal considerations: what are the main concerns in relation to planting, harvesting and other seasonal activities in the coming months, and health risks;
- Whether everyone has safe access to basic foods and foods suitable for young children and other dependent individuals including sick or elderly people;
- Whether everyone has access to sufficient water and cooking fuel and is able to prepare food for family meals and young children; and
- What risks the community is aware of and concerned about (e.g. health risks due to an unsanitary environment; risks of further disasters or conflict; problems of insecurity).

Table 10-L

Typical focus of subgroup interviews

- How households in this subgroup lived before the shock/crisis (their means of livelihood, main sources of food and income, main expenditures);
- How and why the shock/crisis has affected their means of livelihood (including main livelihood assets), sources of food and income, and expenditures;
- The prospects for recovery: when they expect their means of livelihood to recover; the prerequisites for recovery;
- What are they consuming at present; their present sources of food and income; how they expect things to change in the next few weeks;
- What support they receive through their social networks and how the shock/crisis has affected those networks;
- How are they preparing food now: whether they have safe access to sufficient water and the means to prepare and cook food; and
- The current priorities of people in this population subgroup.

Customize or develop data collection tools

Tailor each instrument to the particular needs of the situation. Translate them into the local language. See Annex C6 for specific guidance on designing a structured questionnaire for a household survey, Annex C7 for designing interview guides.

When designing instruments for *semi-structured interviews* (or group discussions) you must think carefully about the type of data you intend to collect and the skills of the personnel who will collect the data. Those two aspects will determine your choice between two distinct types of instrument:

- *Brief topic lists*, which present a limited number of open-ended questions to encourage participants to discuss issues and seek consensus; or
- *Structured interview guides*, which provide a mix of closed and open-ended questions in a logical sequence, and a format in which the note-taker can record what is said.

The **topic list** approach is often used for group discussions in the development context. In the context of an EFSA, it may be appropriate when the group interview complements a household survey and is intended to provide data on perspectives and opinions to complement the more quantitative data gathered through the household questionnaire. However, if a rapid assessment is only using rapid appraisal techniques, it will require very highly skilled interviewers/facilitators to: (i) guide discussions based on open-ended questions and tease out the specific data required on household food access, consumption and coping strategies; and then (ii) analyse those data.

The **structured interview guide** approach makes it possible for trained but not highly skilled interviewers to conduct group interviews and collect the essential information required. It also facilitates the transcription of the notes into analysis sheets. (You can find sample 'guides' of this type on the CD-ROM.)

Use existing instruments whenever suitable formats exist from previous assessments and/or were developed as part of contingency plans drawn up to deal with the kind of situation being confronted. Take them as a starting point and adapt them, if necessary, in the light of the specific information requirements identified in activity 6.

Pre-test and translate each instrument

The following steps are essential for any new data collection instrument, especially a structured questionnaire:

- **Request local experts to review** the instrument to ensure that all questions are appropriate taking account of local taboos or sensitive issues, as well as details of local measurements (e.g. volume units for grain, vegetable oil, etc.).
- **Pre-test** the instrument before implementing a full-scale assessment. This provides an opportunity to: (i) find out if any questions can be misinterpreted and need to be rephrased; (ii) identify any questions that respondents find difficult to answer and therefore do not yield useful information; (iii) make improvements to the layout to facilitate the interview process or data processing; and/or (iv) estimate the approximate amount of time that an interview will take – as essential dimension for planning the fieldwork.
- **Translate** into the local language(s): This is essential to minimize differences that could arise when different enumerators ask the questions. Once the original (English, French or other language) version of the questionnaire has been finalized, ask a local expert to translate it into the local language. Then find a second expert to translate it back into the original language. Compare this last version with the original to see whether the wording used in the questionnaire is clear and unambiguous.

Whenever possible, combine field-testing of the instruments with the orientation/training of the assessment teams or enumerators (Activity 9). Be aware that interviews will take longer during the pre-testing and training than during the actual field assessment. The process will speed up, especially for a household survey, as the interviewers become familiar with the questionnaire and the flow within it.

What a pre-test can tell you

- Are respondents willing to answer the questions in the form you propose to use? Are any questions particularly difficult or sensitive?
- Are the coded response categories appropriate?
- Do interviewers understand the questions? Are any of the questions particularly difficult or sensitive? (*Extra training can focus on these questions.*)
- Do the respondents misinterpret the questions? Are any of the words ambiguous or difficult to understand? (*The pre-test should point to where changes in wording or improved translation are needed.*)
- Does the questionnaire flow smoothly? Can the interviewers follow the instructions easily?
- Is there adequate space on the form and are the answers clearly coded? (*The pre-test should show where the format needs to be improved before the final questionnaire is printed.*)
- How long does an interview take? (*The answer to this question will help you decide how many interviewers are needed and how long the fieldwork will take.*)

[Adapted from UN Habitat (2005), *Urban Inequities Survey Manual*, draft, Nairobi 2005]

10.6 Preparing briefing kits, supplies and equipment

Assessment
process
Activity 8

Required output: Appropriate briefing (information) kits, supplies and equipment for field teams are assembled and ready for use as soon as the teams are ready to go to the field.

Why?	Much time (of assessment teams and their interlocutors) can be wasted if all assessment team members are not aware of the data that are already available, and if the supplies and equipment needed by field teams are not available when needed.
When?	Before the assessment teams are ready to go to the affected area to begin field surveys. Before the orientation training of the teams, if possible.
By whom?	A designated individual or a small working group.
How?	Define what should be included in briefing kits and, based on the data collection methods to be used and the general conditions in the area, the supplies and equipment teams will need to live and work. Arrange printing of all necessary forms and copying of required documents. Borrow, purchase or rent the supplies and equipment required.

What should be included in briefing kits?

Ensure that all assessment teams are aware of the information that is already available concerning both the current situation and the situation before the crisis. For this:

- Provide each team member with:
 - a synthesis of the information that is relevant to the whole affected area and to the particular areas to which they will be going – see Table 10-M;
 - a map of the area;
 - details of the sampling procedures to be used;
 - guidelines on the rapid appraisal methods and selected participatory techniques to be used;
 - copies of all data collection instruments and guides for use at district, community and household levels;
 - a list of key terms (with local language equivalents, if possible) and local weights and measures;
 - instructions for communications, and details of emergency contacts; and
 - security guidelines, if needed.
- Provide each team with copies of all relevant reports and other documents.

Compile and make copies of these ‘briefing kits’ in good time. They should be given to the teams during the orientation training. Provide teams with both ‘hard’ copies and the electronic files for important document, if feasible.

Table 10-M

Typical food security related information to be included in a briefing kit

- Road and topographic maps for the sample area
- Livelihood zone maps, if available, otherwise agro-ecological and land-use maps
- Population data broken down by the smallest administrative unit available (for resident populations) and by location (for displaced people)
- Baseline (normal, pre-crisis) food security and livelihood information
- Recent food security reports from the area
- Recent crop and livestock production data
- Aerial photographs, particularly for quick onset and complex emergency settings
- Earth observation/NDVI information (in case of a crop failure)

Assembling supplies and equipment

Think through carefully what the teams will be doing and list all the items they may need. Estimate the quantities they will need based on the number of sites they will visit, the number of groups and/or households they will interview, and the length of time they will be in the field.

Table 10-N suggests the kinds of items that may be needed. In addition, cash must be provided to the team leader for the team's daily operating expenses.

Per diems sufficient to meet their personal expenses during the assessment should normally be given to the individual team members in advance, by their own organizations. (In many cases this may be a part but not all of their entitlement.)

Table 10-N

The kinds of supplies and equipment assessment teams may need

Items	Quantity
<p>Items for District level interviews</p> <p>Sufficient copies of the following:</p> <ul style="list-style-type: none"> • district interview guides/data collection sheets <p>A few spare copies of the following:</p> <ul style="list-style-type: none"> • sampling procedure and a random number table (for use in selecting sites to visit within the district) • glossary: concepts and definitions of key words in the district-level instruments <p>Items for Community level interviews and market enquiries</p> <p>Sufficient copies of the following:</p> <ul style="list-style-type: none"> • community and subgroup interview guides and recording sheets • observation (transect walk) guides and recording sheets • market interview guides/data recording sheets <p>Materials required for participatory techniques (e.g. flip chart sheets, felt tip pens, bags of beans for proportional piling, seasonal calendar formats)</p> <p>Weighing scales for weighing the local measures</p> <p>A few spare copies of the following:</p> <ul style="list-style-type: none"> • guidelines for conducting community/sub-group interviews and using the chosen participatory techniques (e.g. village resource mapping, seasonal calendars, time lines, etc.) • glossary: concepts and definitions of key words in the community-level instruments <p>Items for Household level interviews (if household survey is to be conducted)</p> <p>Sufficient copies of the following:</p> <ul style="list-style-type: none"> • household questionnaires <p>A few spare copies of the following:</p> <ul style="list-style-type: none"> • sampling procedure for selecting households • random number tables <p>Chalk, or adhesive tape and marker pens, for numbering houses</p> <p>Weighing scales, height boards and weight-for-height data recording sheets, <i>if</i> anthropometric data are to be collected.</p> <p>Team supplies</p> <ul style="list-style-type: none"> • First aid kit in each vehicle (supplies to treat common ailments and minor injuries) • Radio and/or a satellite phone (if working in insecure or isolated areas) • Cell phones (in working in areas covered by local operators) • Lamps (for working at night) • Laptop computer (if security conditions permit and power will be available) • Water and food, if supplies may be difficult to obtain in the areas to be visited • Mosquito nets and/or repellants, if needed • Camping equipment, if needed 	
Items for each team members' use	
Clipboard Notebooks Calculator Pens Pencils	Pencil sharpeners Erasers Stapler and pins Ruler
[Adapted from <i>Field Trip Checklist</i> , WFP Kenya]	

10.7 Assembling and training the assessment teams

Assessment
process
Activity 9

Required output: A sufficient number of teams, each with the necessary skills and a balance of women and men, are formed and oriented (trained) to undertake (i) the required data collection and (ii) preliminary analysis of qualitative data while in the field.

Why?	Teams must be balanced in terms of skills and gender if they are to gain insights into, and develop a reasonable understanding of, the various aspects of the food security situation and the needs of all sections of the population. They must also have appropriate language skills and undergo orientation training and supervised practical field exercises together if the data collected by different individuals and teams are to be comparable.
When?	As soon as the test versions of the data collection instruments have been produced; before teams are due to begin fieldwork.
By whom?	Individuals should be identified by a small working group. They should be formed into teams and oriented/trained by a designated fieldwork coordinator and a trainer experienced in training for field survey work.

What should be the composition of the field assessment teams?

Seek agreement with all participating organizations on the composition of the assessment teams, if possible. The composition depends on the type of crisis as well as the context being addressed and the scale of the assessment. The competencies typically required are shown in Table 10-O. Be attentive to ethnic or religious characteristics that may preclude some individuals from working in certain areas, particularly in a conflict situation.

If there are multiple teams conducting the assessment, each team should be as balanced as possible with respect to technical and language skills, gender and agency representation. Try to match less experienced personnel with experienced personnel, to provide an opportunity for mentoring. Whenever possible, include WFP staff and representatives from government agencies, NGOs and donors in all teams.

Try to identify more than the minimum number of team members so that you can exclude from the final field teams any individuals who do not perform adequately during the orientation training.

Translators should be chosen from the team or recruited to accompany the team through the field work, if possible, and should have some experience with interview techniques. Don't rely on finding translators in the field and beware of relying on translators in the communities you visit: they may be "selective" in what they choose to translate and distort the truth.

Table 10-O

Skills required for rapid EFSA teams

Technical skills within the team	Personal skills for all team members
<ul style="list-style-type: none"> • Strong leadership and coordination (team leader) • Familiarity with the local context: local knowledge • Experience in similar situations • Food security, livelihood and vulnerability analyses • Nutrition (and public health) • Economics and markets • Sociology/anthropology • Gender analysis • Political analysis (in a situation of conflict or repression) • Security/threat analysis (in a conflict situation) • Negotiation skills • Local language skills • Group facilitation skills • Presentation and writing skills <p>Project formulation skills are also desirable.</p>	<ul style="list-style-type: none"> • Strong inter-personal and communication skills • Ability to work in a team • Common sense and relevant experience • Curiosity • Objectivity and an analytical mind • Good interviewing skills • Cultural awareness • Gender sensitivity • Security awareness • Good health and mobility

What is required of field team leaders?

The team leader needs strong human relationship, negotiation and conflict resolution skills to be able to work effectively with all partners. Training skills are also important. Specific TOR should be drawn up for the field team leaders and be agreed among the core group of organizations collaborating in organizing the assessment. The same core group should select the team leaders.

Field team leaders are responsible for organizing and providing leadership for all their team's activities, supervising support staff such as drivers, managing funds for field expenses, and ensuring that the team completes its work on time and to the required standard. The specific responsibilities depend on whether a household survey is to be conducted or not, the skills and experience of other team members and the arrangements made by the core team planning the whole assessment process. Responsibilities may include some or all of the items listed in Table 10-P.

Table 10-P

Typical responsibilities of field team leaders***Preparing for fieldwork***

- reviewing/helping to compile the briefing kit for the team and ensuring that sufficient copies of all necessary instructions, data collection instruments, and maps are available for the team and for each team member (see 10.3); identifying and seeking solutions to any foreseeable problems;
- becoming familiar with the area where the team will work and making (or confirming the adequacy of) arrangements for travel and accommodation;
- contacting local authorities to inform them about the assessment and gain their support and cooperation (or ensuring that this has been done);
- leading the orientation training of potential team members and evaluating their performance; and
- obtaining all cash advances, supplies and equipment necessary for the team to complete its work.

Careful preparation by the team leader is important for facilitating the work of the team in the field and maintaining team morale.

During Fieldwork

- directing and supervising the work of team members (taking into consideration their linguistic and other competences) and ensuring an equitable distribution of work load;
- introducing the team to and conducting interviews with provincial, district and community level leaders; thanking them at the end of the team's visit;
- selecting, in consultation with other team members and district-level key informants, if appropriate, the sites to be visited;
- ensuring that the formation of groups and the selection of households for interviews is done according to the agreed sampling procedure;
- observing, on a spot-check basis, interviews conducted by other team members, providing guidance if/when necessary at the time or later;
- facilitating daily (end-of-the-day) team reviews and establishing the schedule and priorities for the next day;
- facilitate an interim analysis of data collected using rapid appraisal techniques (i.e. data from key informant and group interviews) at the mid point of the field work or every 3 to 4 days; and
- *in case of a household survey*: collecting and checking all completed questionnaires at the end of each day; storing them in envelopes and forwarding them to the central data processing unit according to the established procedures (see 7.5); advising fieldworkers of any problems found in their questionnaires.

The establishment and maintenance of a positive team spirit and a congenial work atmosphere is important for the overall quality of the assessment.

Mobilizing skilled group interview/discussion facilitators

Good group facilitation skills are absolutely essential for every team or sub-team that will collect data at community level.

Effective group facilitation in the context of an EFSA requires:

- **skills** in human relationships – in particular being a good listener – curiosity, an analytical mind and a sense of humour;
- experience in using **participatory techniques**, particularly transect walks, community maps, time lines, proportional piling and pair-wise ranking; *and*
- an **understanding** of the topics to be discussed.

Try to find, from among the staffs of WFP and other partners, equal numbers of women and men who have proven facilitation skills, experience in using participatory techniques, *and* an understanding of food security issues. Test them, don't assume that everyone who claims to have experience is actually a good facilitator. If you cannot find enough women and men who combine all the skills, experience and understanding:

- *Mobilize individuals who already have proven facilitation skills, if possible*, and provide them with a rapid orientation on the topics to be discussed, if needed. Individuals with skills and experience in conducting focus group discussions may be available among the staffs of WFP, government entities (especially community/rural development agencies) and NGOs who have been using participatory approaches in development programmes in the country.
- *If it is not possible to mobilize sufficient individuals with skills and experience in facilitation*, select individuals who already have an understanding of food security, have some experience in field surveys and work well with people, and provide them with rapid training in facilitation and the use of participatory techniques.

Orientation/training of field teams

Each team should participate together in a field orientation training exercise before beginning data collection, and preferably before going to the field. Since participants bring diverse skills and experience to the team, it is essential that each team has an opportunity to review members' expectations and roles, and ensure that everyone understands the planned assessment and analysis process and is familiar with the sampling and data collection methods to be used.

The orientation training, which should be conducted by an experienced trainer with the participation of the field team leader, would typically include:

- briefing on the results of the initial investigation and other key secondary data;
- reviewing the working scenario and the team's TOR;
- reviewing the proposed analytical frameworks and information requirements;
- discussing local cultural norms and agreeing on the appropriate approaches and behaviour by all team members;
- reviewing the sampling design;
- receiving and reviewing the briefing kits (see 10.6);
- field-testing the data collection instruments; and
- reviewing logistics and security arrangements for the actual fieldwork and agreeing to the travel schedule.

Ideally, 3 to 5 days may be devoted to such orientation training, but it will have to be done more rapidly when responding to a sudden-onset crisis. If team members are to be trained to conduct in-depth subgroup interviews to collect detailed data on food and income sources and expenditures, more time will be required including

several days supervised practice. Some sample training programmes for fieldworkers and supervisors are provided in Annex C5.

Plan ahead for the training: The following are things that you will need to do in all cases:

- ensure that the space and facilities are adequate for the number of participants and that appropriate locations are available for practising household selection and interviews;
- arrange for drinks and snacks;
- ensure that copies of all questionnaires and instructions for fieldworkers and supervisors are ready (already translated);
- prepare all necessary teaching aids; and
- arrange transport and other logistic support needed for the field practice exercises.

Assess performance: If any fieldworkers or supervisors do not perform adequately, do not include them in the teams for the actual assessment.

Brief everyone involved, including drivers

Everyone involved in the field assessment should be briefed about its main purposes and the methods being used. Explain to drivers in particular the importance of following proper sampling procedures and reaching the selected sites and households even though they may be far away from the good roads, and of not interfering in interviews. Drivers can be very valuable collaborators if they understand what is needed and why. If not, they may try to avoid going to certain sites or prompt and induce certain answers from the people you are interviewing.

[Adapted from UN Habitat (2005), *Urban Inequities Survey Manual*, draft, Nairobi 2005]

10.8 Arranging transport, security and communications

Assessment
process
Activity 10

Required output: Arrangements for transport, security and telecommunications for the field assessment teams are made by the time the teams are ready to go to the field.

Why?	Assessment teams can spend a lot of their time arranging transport and trying to send messages, instead of 'assessing', if arrangements have not been made in advance. The safety of teams can also be put at risk in conflict areas and other insecure environments if arrangements for transport, security and telecommunications are inadequate. All assessment missions involving U.N. staff must comply with U.N. security regulations.
When?	Start putting arrangements in place as soon as the sites to be visited have been selected. Ensure that arrangements are complete by the time the teams are ready to leave for the field.
By whom?	A small 'assessment logistics' group (or individual) designated by the assessment coordination group (when there is one), otherwise by the WFP CD.

Itinerary, transport and accommodation

Plan the itinerary/ies for the team(s) taking account of the means of transport available, travelling times, and any restrictions on movements due to insecurity or other factors.

Arrange transport (including drivers and fuel) and accommodation in all locations.

If certain areas are isolated or extensively damaged, and supplies and services are likely to be lacking in any of the locations where a team will stay overnight, the team must be as self-contained as possible.

Communications and security

Ensure the availability of telecommunications facilities to be able to report back regularly to the nearest WFP office, and ensure security arrangements as outlined in the Table 10-Q.

Whenever assessment teams including UN staff and other partners will go to areas where there are security risks, take care to agree on practical security collaboration including, for example, arrangements for relocation/evacuation from the area, if needed. (Remember: NGOs are not bound by UN security policy and decisions, nor covered by UN security plans, and they may respond differently from the UN to particular security threats and incidents.)

Table 10-Q
Security considerations
<p>All new staff must be provided with full country and security briefings prior to deployment.</p> <p>Ensure that any required security clearances are obtained from relevant national authorities.</p> <p>Ensure the availability of telecommunications facilities for teams to be able to report back regularly to the nearest WFP office.</p> <p>During fieldwork, teams are advised to contact local authorities on a regular basis to brief them on progress.</p> <p><i>If an area to be visited is classified as UN security phase 1 or higher:</i></p> <ul style="list-style-type: none"> • ensure that field visits are cleared by the DO; • ensure that communications facilities and all other arrangements comply with UN minimum operational security standards, see MOSS on the CD-ROM; • all team members have completed security awareness training; • arrange a security briefing for each team; and • arrange for the mission to be accompanied by a field security officer, if necessary.

See the WFP *Emergency Field Operations Pocketbook*, Chapter 13, for guidance on personal security (13.1), UN security phases and operating standards (13.2) and UN-NGO security collaboration (13.4).

For additional guidance, see:

→ *Security in the field*, UN

→ *Security awareness* - an aide mémoire, UN/UNHCR

→ *Security awareness training programme* – participant's guide, WFP

→ guidelines issued by the country-level UN security management team (SMT)

Chapter 11



Collecting and processing field data ¹

This chapter provides guidance on how to go about collecting data in the field – at provincial/district headquarters and at community and household levels – and how to organize the initial processing of those data ready for analysis. The key points and guidance provided are:

- How to proceed during field visits: see → section 11.1.
- Collecting data at provincial/district level: see → section 11.2.
- Collecting data at community level: see → section 11.3.
- Observing conditions and collecting data at household level: see → section 11.4.
- Collecting market data: see → section 11.5.
- Processing data collected in the field: see → section 11.6.

To make sure that the data collected in different locations and by different field teams are comparable, it is essential that all teams use the agreed methods (decided at step 6, see 10.3), follow the established procedures for sampling (decided at step 6, see 10.4), and conduct their enquiries and record findings using the established data collection instruments (established at step 7, see 10.5).

¹ This chapter has drawn on the following sources, amongst others: *Rapid Food Security Assessment Missions in Kenya*, Kenya Food Security Steering Group, 2004; documents of the WFP-Food Economy Group Technical Support Unit, WFP Sierra Leone, 2002; *UNHCR/WFP Joint Assessment Guidelines*, 2004; *Participation guide*, draft, ALNAP 2004.

11.1 How to proceed during field visits

Assessment
process
Activity 11

Required output: An efficient process of dialogue with officials, community leaders, other key informants and representatives of the population leading to the collection of reliable data on the impact food security situation of different population groups within the area(s).

Why?	The field visits must produce the required data as quickly as possible in a manner that ensures: (i) the collection of data of acceptable quality/reliability; (ii) comparability among the findings of different teams; and (iii) that assessment teams take up only the minimum necessary time of officials, community leaders and other interlocutors in the field.
When?	From the beginning of field work until the end.
By whom?	All field assessment teams and sub-teams.
How?	Good organization and team work within each assessment team, and adherence to an agreed, well-understood procedure that enables teams to use their time as effectively as possible.

A procedure for data collection in the field, tailored to your particular circumstances, should have been drawn up and agreed as part of the assessment planning process (see 10.1). It should have been explained and used during the orientation training of the field teams, which should also ensure reasonable standardization in the recording of data among the different field teams (see 10.4).

The procedure will be more-or-less as follows:

1. **Visit the provincial/district headquarters:**
 - Meet with the administrative head; local disaster management committee (or equivalent); relevant officials; NGOs and other agencies working in the affected area(s).
 - Visit markets and talk with traders.
2. **Visit selected communities** (villages, urban neighbourhoods and/or displaced persons camps) chosen using the agreed sampling procedure:
 - Observe conditions.
 - Meet with the leaders, local key informants (such as teachers, health and other workers) and a community group (i.e. a selection of ordinary people drawn from different socio-economic groups in the community).
 - Visit the local market and talk with buyers and sellers. (This can sometimes be done in parallel with the household interviews or household visits by other members of the assessment team, see below.)

When you are using only **rapid appraisal techniques**:

- Meet with a number of subgroups representing distinct subsections of the community (normally based on the principal means of livelihood but also, where relevant, on other social or ethnic characteristics).
- Visit a few households to get an impression of conditions for yourselves and check the plausibility of data collected from the community group, subgroups and other sources.

When you are going to conduct a **household survey**:

- Interview the required number of households selected using the agreed sampling procedure and complete the questionnaire. (This will be done by the trained enumerators.)

Make the most of the journeys to and from the communities you visit: observe (and record) the condition of roads, water courses and standing crops; the presence, or absence, of traders' stalls, etc.

Keep in mind that you are collecting specific data to complement what you already know from secondary data, and to cross-check those data if necessary, in order to answer the main questions in the analysis you will conduct in Activity 12. Those questions are shown in the Analysis Process, Figure 3b in Chapter 3, and reproduced below. However, be alert for 'the unexpected' and ready to reconsider your assumptions.

2 ➔ Area and population identification		3 ➔ Impact	4 ➔ Reactions	5 ➔ Unmet needs & risks	6 ➔ Causes & context
<i>Which areas are affected? Where to assess?</i>	<i>Pre-crisis characteristics. Which groups are vulnerable?</i>	<i>What has changed? What will change? (What season is it?)</i>	<i>What measures have been taken? What more are planned?</i>	<i>What is the present situation and prognosis? What are the current and future problems? What further risks?</i>	<i>What response opportunities exist? What constraints? What implications?</i>

11.2 Collecting data at provincial/district level

Assessment
process
Activity 11a

Required output: Compilations of (i) data available at the provincial/district level relevant to the livelihood and food security situation in different geographic areas and of different population sub-groups; (ii) views concerning the priority problems and practical response options to address them; (iii) population figures, including reported numbers for displaced people, where relevant. Plus a list of sites within the province/district to be visited by the assessment teams, if sampling is purposive.

Why?	<p>To benefit from the information and judgements of knowledgeable provincial / district level personnel, including traders, concerning the current situation and the areas affected as well as data on the pre-crisis situation that are housed at that level.</p> <p>To engage the provincial/district level authorities in the assessment process and help ensure their 'buy-in' – their commitment to implement, or collaborate in the implementation of, whatever responses may be recommended.</p> <p>To satisfy protocol and secure any assistance needed from the local authorities.</p>
When	<p>As soon as the team arrives in the provincial/district headquarters, or the next morning.</p> <p><i>In case of a sudden disaster/crisis</i>, these meetings must be completed rapidly – e.g. in 3 to 4 hours so that you can quickly move on to visiting (some of) the affected communities.</p> <p><i>In case of a slow-onset crisis</i>, more time may be taken – e.g. 1 day.</p>
By whom?	All field assessment teams and sub-teams.
How?	Individual and/or group meetings with the relevant government authorities in the provincial/district headquarters – normally the administrative head, relevant sectoral officers and, when necessary, security authorities – and with the principal NGOs, other agencies or institutions based there and working in the areas concerned.

Inform people in advance

Contact, or send messages to, the administrative head of each province/district you intend to visit, as soon as your proposed itinerary and schedule has been drawn up. Let them know:

- the purpose of the mission (send them a copy of your TOR, if possible);
- the date and time you expect to arrive, and how you will be arriving (e.g. by road, air);
- whom you would like to meet on the day of your arrival or the next morning;
- that you hope to exchange information and ideas concerning the situation; and
- whether you will need any assistance from them in relation to transport, accommodation, or clearances to visit any of the affected areas.

If you will need security or other clearances from national authorities, tell them that these have been (or are being) obtained.

How to proceed

You must adapt your approach to the administrative and coordination structures that exist locally and to the number and geographic dispersal of the entities you need to meet.

The team should first meet with the administrative head or other relevant officials of the province/district and then with the local disaster management committee (or equivalent), if there is one. Use these meetings to get a general overview of the situation, problems and prospects seen from the perspective of the provincial/district officials and others present. Unless the situation is one of conflict or repression, you may also want to ask one or two knowledgeable individuals to accompany the team (or sub-teams, if you are planning to split) for the visits to communities.

The team will then split up for:

- individual meetings with key officials, NGOs and other institutions to get more detailed data and opinions on specific topics relevant to the crisis and the area. Table 6-J indicates the kind of key informants it is often appropriate to meet, but you should follow the procedure and use the interview guides developed in Activity 7; and
- visits to the main wholesale and retail markets to observe trading activity and talk with traders. One team member should be assigned for this. S/he should follow the general guidance provided in section 11.4 and use the specific interview guide developed in Activity 7.

In case of a *sudden disaster* or in any situation of *insecurity*, it will be important to meet with the local emergency/civil-protection services and the police. They will normally be core members of the local disaster - management committee anyway. In a *conflict* situation, you will need to meet with local military commanders or their civil liaison officers.

In all these meetings/interviews, you will be asking the kind of questions presented in Table 10-K. You will later triangulate (cross-check) the data and responses you get at this level against what you observe and are told in the communities you visit. Don't take more of your informants' time than necessary.

Data to be collected at provincial/district level

You will have defined in Activity 6 the specific data to be collected at this (and other) levels, including both pre-crisis data and data on the current situation. Be sure to:

- check and refine, if necessary, the *seasonal calendar* for the area and the *time line* for events that have affected livelihoods and food security in the area in the last few years;
- check and refine, if necessary, your *geographic zone maps* (based on pre-crisis livelihood or agro-ecological data and/or initial reports of the severity of the general impact of the crisis on different areas) and your list of *population subgroups* that may have been differently affected and/or suffer different vulnerabilities in the present situation;
- collect whatever population/*demographic data* are available, including the numbers displaced and the rate at which people are arriving or departing, in case of population displacement;
- collect details of any *transport constraints* and mark these on a map; and
- collect data on the *health* situation and risks and any *environmental* or *security* concerns. These are aspects for which you will rely largely on secondary data obtained at this level.

If, in a conflict situation, there are areas nearby that are currently *inaccessible*, ask what your informants know about the situation in those areas and how reliable they consider the information to be.

After completing these meetings, re-assemble the team in a quiet, private location to:

- rapidly exchange and consolidate information;
- select the communities (villages, camps, urban neighbourhoods) to be visited within the province/district taking account of the suggestions of a wide range of key informants, if purposive sampling is being used; and
- plan the itinerary and schedule for the community visits in collaboration with knowledgeable local informants.

Purposively selecting communities to visit

If you are using *rapid appraisal* techniques, the communities to visit will usually be selected purposively, on the basis of criteria agreed in Activity 6 (definition of information requirements and methods, see section 6.1). This will normally include communities considered to be typical of each of the distinct socio-economic subgroups or geographic zones identified.

It is a good idea to draw up a list that includes more than the minimum number of communities, in case the enquiry cannot be undertaken in one or more of them (e.g. because of a funeral on the day the assessment team arrives).

A number of other practical details concerning the community level work also need to be resolved at province or district level. These include:

- the location of villages, whether they are accessible, and whether a local guide will be needed by the team(s);
- the best time of day to visit communities, given the daily pattern of activity at community level;
- timing of local markets, religious ceremonies or other events during the week that may interfere with work at community level;
- whether it is necessary to inform villages in advance of the team's arrival. (This can be a good idea if the assessment is being undertaken at a very busy time of year, in which case many villagers (or at least those that will be good sources of information) may leave the village early in the morning and not return until late. It can also be a bad idea, if the message that is sent is poorly transmitted or gives rise to heightened expectations);
- whether the teams will need evidence that their visit has been authorised by the provincial or district administration; and
- any possible security problems.

11.3 Collecting data at community level

Assessment
process
Activity 11b

Required output: Population data, and data and insights into: (i) the socio-economic breakdown of the community; (ii) the numbers and the livelihood and food security (and nutritional) situation of people in each distinct group; and (iii) the capacities of the community and the various groups to cope with and recover from the present crisis. In case of displaced populations, their numbers and arrival and departure rates.

Why?	<p>This is where you will learn about and see for yourselves the impact of the shock/crisis on people and their livelihoods, and have the opportunity to see things from their perspective, appreciate their capacities and the specific problems, risks and constraints they face, and the severity of those problems and risks.</p> <p>This should help you to put aside your pre-conceived ideas and find out what kind of assistance, if any, people really need. What you learn at this level will be the cornerstone of your analysis of whether assistance is needed and, if so, what form it should take, and whether and how it should be targeted.</p>
By whom?	All field assessment teams and sub-teams.
How?	<p>Observation + Meetings with community leaders and community groups + Meetings with small subgroups representing different socio-economic (and/or social and ethnic) groups within the community.</p> <p>In most rapid assessments, subgroup interviews will be the main source of your information on the impact on people's livelihoods and their access to food, and how the situation can be expected to evolve. When a household survey is to be conducted, fewer (if any) subgroup interviews will be held.</p>

The ‘community’ may be a village, camp, watering point for livestock (in the case of pastoral communities), a small town, or a neighbourhood within a large town. At this level, you will collect data through:

- **observation** while walking through the site and visiting a few households;
- a **community group interview** with a mixed group that includes men, women and young people from all subgroups within the community;
- one or more interviews with community-level **key informants**, either individually or in groups, e.g. community leaders, teachers, religious leaders, health and extension workers living or working in the community;

and either:

- **subgroup interviews** with more-or-less homogeneous groups of people of similar social status from each main livelihood and/or social (or ethnic) subgroup in the community, normally with groups of women and men separately; and
- **‘spot-check’ visits** to a number of randomly chosen households to (i) check the plausibility of the data collected in the group interview and discussions, and (ii) enrich the team’s understanding of the situation through personal observation;²

or:

- the administration of a **household survey questionnaire** to a number of randomly selected households, the number having been determined in advance as part of the sampling design (see 10.4).

Selected participatory techniques may be used with the community group and subgroups. In general, you should proceed as outlined below. Remember that you need the trust and respect of the community to collect good information. Their first impressions of you are critical, so arrive modestly and respectfully.

In any situation of **conflict** or **repression**, be extremely sensitive to the situation and careful in the questions you ask – see Table 11-A. See Annex C3 for general guidance on conducting group interviews.

Table 11-A

**Special considerations when visiting communities and interviewing
in a situation of conflict or repression**

- **Be careful about whom you go with:** When you visit and meet with people who are identified with one side of the conflict, avoid being accompanied by anyone who could be identified with, or suspected as being from, another side, or anyone from a group with a history of cultural animosity towards those whom you are visiting. This applies to your own national staff and your driver as well as local officials or the staffs of other organizations.
- Sometimes people may be distinguished by ethnic origin and occasionally by their clothing, but **be aware that it can be difficult to distinguish different groups:** In some situations there are no obvious distinguishing features between different parties to the conflict, and you will never be able to be sure who is present or the allegiances of those with whom you are talking.
- **Mobilize anthropologists with local language skills:** This will enable you to: (i) understand what is going on and the interactions among different groups, and (ii) ‘read between the lines’ of what is (and is not) being said, and interpret body language. It will help you to avoid aggravating tensions.
- **Explain who you are and why you are there:** Explain your relationship with the government and all other parties.
- **Emphasize your independence:** Avoid being accompanied by government officials, if possible, but ask local health and extension workers to join you. Find ways to talk with all groups in the community, not just those who

² A more rapid approach adopted, for example, in the assessment among refugees in Iran in 2002, is to: (i) identify 10 knowledgeable women and 10 knowledgeable men within the community through discussions with the community leader, opinion leaders and people met during the transect walk; (ii) meet with that group (20) in a suitable place – not the community leader’s house! – and then (iii) meet with the women and men separately.

present themselves as 'leaders'.

- **Expect biased information:** Many people will either have an interest in presenting a biased picture or be afraid to tell the truth, especially if other people are present.
- **Be sensitive to the situation:** People you meet and talk with may be under threat or putting themselves at risk merely by being seen talking with you.
- **Don't ask sensitive questions:** Never ask about allegiances. Avoid direct questions about anything that could have political or military significance.
- **Never provoke an argument:** the stakes could be high for the people involved!
- **Don't ask for names:** If you ask for names, your interlocutors may be less willing to talk honestly, and you could be putting them at risk in case your notes were to fall into the 'wrong' hands.
- **Avoid crowds.**
- **Be ready to withdraw** if the situation is, or becomes, tense.

In any situation of open repression: remember what you are told; record as little as possible at the time; write up your notes after you have left the area. People are likely to talk less and less honestly if they see you writing everything down. They could be put at risk if your notes were to fall into the 'wrong' hands.

N.B. If you aggravate tensions, you will not only increase problems locally but also undermine the organization's ability to work effectively anywhere in the area.

Initial contacts

Immediately on arrival, contact the local *community leaders* to:

- introduce yourselves, explain the purpose of your visit and how you would like to proceed, and ask for their agreement to this process and whether they have any questions they would like to ask you;
- ask for their help in arranging for you to meet with a group of women, men and young people representing all sections of the population (a 'community group');
- ask about local service providers (e.g. teachers, health workers, extension workers) in the community and ask to meet them;
- ask for details of the number of people in the community (with the demographic breakdown, if available) and, in case of *displaced people*, the numbers who arrived or departed the previous day and in the last week; and
- ask again if they have any questions they would like to ask you.

When you meet with local service providers and other local key informants, ask them to suggest others it would be useful to talk with. (Don't rely solely on community leaders to propose key informants.)

If different sources give different figures for the *number of people* in the community, or if the number given seems doubtful (implausible), make your own rough estimate before you leave the community – see Annex B2.

While some of the leaders are bringing the community group together, ask others to accompany you on a walk through the community – a '*transect walk*', see Table 11-B. If there are four or more of you in the team, you may split into pairs and walk in different directions. If you need to make your own estimate of numbers, one pair could do that while others undertake a transect walk.

Start sketching out a *community map* to identify the resources that have been lost and those that are available to build on as well as livelihood, community service and other activities that are ongoing or have ceased. This may be particularly relevant following a *sudden disaster* or in a *conflict* situation.

Table 11-B

Undertaking a transect walk

What to do

- ❑ Walk from one extremity of the community to the other with one or two community members (preferably a man and a woman) as guides. Ask them questions about what you observe on the way. Ask your guides and people you meet to explain what has happened and why things are as they are.
- ❑ If you are starting from near the centre of the community, spin a bottle (or pencil) and walk in the direction in which it falls, then return to the centre and walk in the opposite direction.
- ❑ Make diversions to visit locations of specific interest, such as relief centres, markets, clinics, schools and water sources, but then return to the original direction.
- ❑ If an important site has not been seen because it was far from the chosen direction, make a separate visit to it.
- ❑ Visit homes on a randomly selected basis, e.g. every 10th house. In the homes you visit, ask to see any sick or very thin children or adults. (If you do not ask, you may not see them.)
- ❑ Note the time of day.

What to observe, record and ask about

- ❑ The extent of damage; what has been damaged and what not.
- ❑ What women, men and children are doing; their physical condition.
- ❑ Food production and other economic activities.
- ❑ Whether schools, health and other social services are functioning.
- ❑ The range and quantities of food and other essentials in homes and markets.
- ❑ The level of activity and prices in markets.
- ❑ Food preparation, eating and drinking habits.
- ❑ Water sources/supplies, collection and storage facilities.
- ❑ The general state of cleanliness/sanitation; any obvious health hazards.
- ❑ Any obvious signs of malnutrition (oedema, extreme thinness, goitre).
- ❑ The general state of roads; the means of transport available.

The value and limits of observations

Observation is an important part of any assessment but *it is not always easy to interpret what you observe*. It is most useful in generating questions for follow up in subsequent interviews. There are a number of reasons why you must be careful in interpreting what you observe:

- Your sample of observations will almost certainly be small and selected non-randomly; they may not be representative of the general situation in the community. Supposing you observe a small group of goats in a village and they appear to be in poor condition: is this small group typical for the village as a whole or have the healthier animals already left the village for the day?
- Interpreting what you see may well require technical expertise. This applies, for example, to the condition of crops, the nutritional status of children and the physical condition of animals.
- Observations may only be useful if you have something to compare them against. Would you have seen the same thing if you had visited the village at the same time of day and the same time of year before the current problems developed? You may, for example, observe that a lot of charcoal is for sale along the road, but perhaps this is perfectly normal for this area and this time of year.

Observations of people who know the area well are of much greater value than those of people visiting the area for the first time.

If a household survey is being undertaken, you should at this point select the households to be surveyed, following the agreed sampling procedure. The enumerators can then begin the household interviews while the rest of the team continues with the community group interview and a few subgroup interviews.

Conducting the community group interview and interviewing key informants

Start the interview by thanking participants for giving you their time. Introduce yourselves, explain the purpose of your visit, and ask the participants to say what they do for a living. (Consider carefully whether it would be a good idea to note down the names of your informants or not. In some communities, not to do so would be considered rude. In other situations, it may increase expectations that participants in the interview will receive assistance in the future or, on the contrary, make people less willing to talk openly.) Take careful note of the population subgroups represented and then, during the interview, get as many of the participants as possible – and people from all subgroups – to contribute to the discussion.

Collect information on the topics listed in the community group interview guide (prepared in Activity 7), but use the guide flexibly, not like a questionnaire. Allow the participants to express their own concerns and perspectives. See Annex C3 for general guidance on facilitating group interviews/discussions. Use participatory techniques as agreed in the assessment plan.

It will often be useful, if you have time, to start by:

- reviewing and quickly elaborating your *sketch map* highlighting the resources that have been lost and those that are available to build on as well as livelihood, community service and other activities that are ongoing or have ceased;

- confirming the *time line* of events that affected the well-being of the community in the last few months or years;³ and
- confirming the *seasonal calendar*, to clarify the present context and how the situation may evolve in the coming months, including any seasonal risks that must be taken into account.

When discussing livelihoods and talking about institutions with which the community interacts, it may be useful to construct a Venn diagram to capture the various institutions and the relative importance of each as far as the community is concerned – see Annex C17. (Proportional piling and other participatory techniques may not be appropriate if the group is large and heterogeneous.)

If there are four or more assessment team members, two members of the team should conduct the community group interview, one facilitating the other recording. At the same time, other team members should meet with the identified local *key informants*, and try to draw the community leaders and onlookers away from the community group interview so that it can proceed without distraction or interference.

If you cannot organize parallel meetings with the community group and key informants, you will have to either: (i) try to persuade leaders and the rest of the community to wait at a respectful distance, and then meet with the key informants after you have completed the community group interview; or (ii) combine the two groups in a single meeting. The second option, though not ideal, may be necessary in case of a sudden-onset crisis when you have little time.

Another option would be to start off in a joint meeting (with the community group and key informants together), complete the seasonal calendar and community map together – and the time line for a slow-onset or ongoing crisis – and then separate the two groups to discuss questions relating to livelihoods, food access and utilization, and the factors that are affecting these.

If subgroup interviews are to be conducted, you need to get the key informants and/or the community group to identify the subgroups.

Identifying and forming subgroups

Ask the key informants and/or community group to list:

- the primary means of livelihood of households within the community (e.g. subsistence farmers, wage earners, petty traders, daily labourers); and
- any other factors that distinguish some households from others and affect their ability to cope with the present crisis (e.g. social status, ethnic origin).

Based on that, try to get agreement on a small number of subgroups that have been impacted in different ways and have different capacities to cope and recover. Together, the listed subgroups should make up the majority of the community.

If there are substantial disparities in wealth within each livelihood group, carry out a wealth ranking exercise (see Annex C19) to determine how the community differentiates poorer households or groups from less poor ones.

Once you have identified the different subgroups, ask the community leaders and local key informants to bring together a few women and men (4 to 6 of each) to represent each subgroup. If you are short of time, you may decide to meet only with the poorer groups and perhaps only with women, if local experience indicates that they know more than men about food and how households survive. However, it is desirable to meet also with men as they also have important perspectives of their own, and there are many societies in which men manage the resources at household level (i.e. oversee the planting and harvesting of crops, decide when and where to sell livestock, purchase staple food, etc.).

³ A time line will be particularly important in a slow-onset emergency or an ongoing protracted crisis.

Conducting subgroup interviews

Conduct separate interviews with the women and men representing each subgroup (i.e. one with women from subsistence farming households, one with men from subsistence farming households, etc.). Proceed as follows:

- Thank them for giving their time, introduce yourselves (normally there should be two of you, one male, one female; one to facilitate, one to record), and explain the purpose of the exercise – to help you to “understand how households like theirs are coping with the present situation, how they see the future, and what particular problems and constraints they face.”
- If you suspect that the group is not homogeneous, ask each participant to tell you how their household normally makes a living and how they are living (surviving) at the moment. This should enable you to check whether the group is indeed representative of the intended socio-economic/livelihood group.
- Then ask them to put their own household conditions to one side and speak as representatives of the population subgroup they have been chosen to represent (e.g. poor farmers, or daily labourers), answering the questions from the point of view of a ‘typical’ household in their subgroup, not that of their own households.

In case it is not possible to organise subgroups of women, make a special effort to collect women’s opinions during spot-check household visits (see below).

A subgroup interview guide will have been developed in Activity 7. Use it flexibly to collect information on the listed topics. Make sure you:

- get the specific data you need for your analysis of the impact on people’s livelihoods and access to food and how they are coping (especially if there is no parallel household survey); and, at the same time
- encourage participants to express their own concerns and perspectives on issues that affect their present and future livelihoods and food security, and follow up on any differences of opinion on specific issues that arose in the community meeting.

You may use proportional piling (see Annex C15) to learn about the relative importance, in percentage terms, of different sources of food or income, and pair-wise ranking (see Annex C16) to simply rank things in order of importance. See Annex C3 for general guidance on facilitating group interviews.

11.4 Observing conditions and collecting data at household level

Required output: *If the EFSA is using only rapid assessment techniques*, observations from a few spot-check visits to enhance the team’s understanding of the situation and confirm or clarify issues that emerged during the group discussions. *If a household survey is being undertaken*: completed questionnaires from the required number of households selected according to the agreed sampling procedure.

Assessment
process
Activity 11c

Making spot-check visits to a few households

The purpose of these visits is to verify the plausibility of data collected from (what you were told by) the community group and subgroups and to ‘get a feel for’ the situation yourselves. Avoid going only to the nearest homes or to those that certain community members want to show you. There are two possibilities for choosing houses to visit:

- From your discussions with community-level key informants or the community group you may identify a few distinct types of household within the community and ask your informants to take you to a typical household from each group. From there you may ask that household to suggest another.
- Using your sketch map of the community you may identify areas where different livelihood groups seem to be concentrated, that have different levels of access to resources, or that have been differently affected. Go to some or all of these distinct areas and randomly select 3 houses within each.

Whatever approach you take, you must *not* assume that what you see in a few households is representative of the community as a whole, and you must *not compile any pseudo-statistics based on spot-check visits*. However, you may contextualize what you have been told in meetings and identify aspects which need more follow up. Table 11-C suggests aspects you should look out for and ask about when making these ‘spot-check’ visits to individual homes.

Table 11-C

Making spot-check visits to individual homes

During spot-check visits to homes you should look out for specific things that need clarification of confirmation following your group discussions. This may include some of the following:

- ❑ *Material condition*: adequacy of shelter, clothing, sleeping materials and domestic household items;
- ❑ *Livelihood activities*: evidence of any productive activities or assets; how (and where) do household members produce food or earn income;
- ❑ *Food storage*: arrangements and facilities for food storage at household level; evidence of losses incurred during storage;
- ❑ *Food preparation*: the availability of necessary utensils, stoves, grinding/milling facilities, water and cooking fuel; the preparation of easily digestible foods for very young children and sick and elderly people separate from family meals;
- ❑ *Cooking practices*: whether cooking practices are fuel efficient;
- ❑ *Infant and young child feeding and care practices*: whether breastfeeding is practised and how young children are being fed; any obvious risks for the health of infants and children;
- ❑ *Water supplies*: the quantities of water stored and the adequacy of storage containers and water hygiene (including whether containers are covered);
- ❑ *Hygiene and sanitation*: general state of cleanliness; arrangements for waste disposal (solid and liquid); evidence of personal hygiene;
- ❑ *Health*: presence of sick children or adults.

Where you observe problems, you may ask relevant questions such as: Where/how far they have to go to collect fuel and water? What are the most important non-food needs and what trade-offs do they have to make between food and non-food needs? Whether child feeding practices have changed? Whether the adults are aware of the dangers of poor practices? Distance to toilets? Whether any household members are sick or have recently been sick? If so, where they sought treatment, how they obtained drugs, and their perceptions of the quality of service.

Implementing a household survey: conducting household interviews

If you are conducting a household survey, the enumerators must select the required number of households following the established sampling procedure and start by politely asking the head of each selected household if they would be willing to participate in the survey. Table 11-D suggests how you can use a pack of playing cards to randomly select houses.

Table 11-D

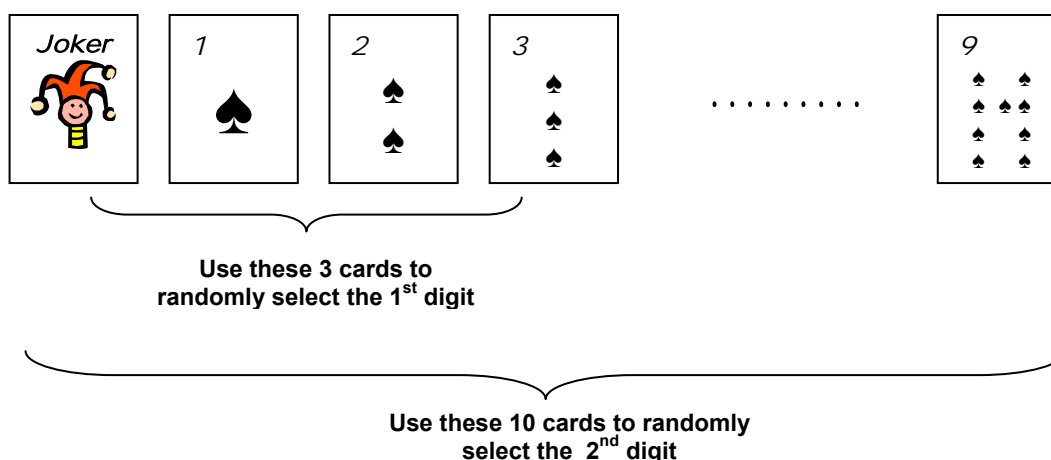
How to use playing cards for sampling

Playing cards can be a useful tool for sampling. They can be easier to use than a random number table. Say you have to select 25 households using probability sampling in of 240 households in 30 blocks. If you have sufficient time, you may be able to sample 24 households in a single stage, e.g. sample 1 from every 10 households ($= 240 / 24$) systematically using a map. However, if you do not have a map and do not have the time to prepare one yourself, two-stage sampling is useful and efficient.

First, number all the blocks (systematically or randomly) from “Block 1” to “Block 30”. Second, select 3 blocks and then sample 8 households in each of the selected blocks in the following manner:

- 1) take three cards, namely “joker” (as zero “0”), “1”, and “2”
- 2) shuffle the three cards
- 3) take one of them for 1st digit selection (e.g. “1”)
- 4) take ten cards, namely “joker” (as zero “0”), “1”, “2”; through to “10”
- 5) shuffle the ten cards
- 6) take one of them for 2nd digit selection (e.g. “7”)
- 7) create the number by combining the above two number (e.g. “17”)
- 8) repeat the above steps 1 to 7 twice more to obtain two more numbers (e.g. “09” and “23”)
- 9) select “Block 9”, “Block 17”, and “Block 23”
- 10) sample 8 households by random sampling using cards or systematic sampling with an appropriate sampling interval (the number of households in the block divided by 8).

If you do not have a pack of playing cards you can improvise cards by writing numbers on 10 small pieces of paper.

**How to approach households during a household survey**

Introduce yourself and explain that you are conducting a survey to understand how people obtain and use food, and how people obtain other essential items and services, and that you would like to ask a series of questions about that.

If you are going to take anthropometric measurements of children in order to correlate nutritional status with food security indicators or socio-economic characteristics, explain you would also like to weigh and measure children who are older than 6 months but less than 5 years of age.

Emphasize that it is their decision whether to participate in the survey or not, but that you would appreciate their participation.

Tell them how long the interview will take. This should be not more than 45 minutes.

Explain that their answers (and the measurements of their children, if taken) will be combined with the data from all the other participating households. They will not be reported individually. They will be kept confidential.

Ask if they are willing to take part in the survey.

Keeping Up the Morale of Enumerators in a Household Survey

It is important to keep the morale of the team high to ensure that standards are maintained and that interviewing does not become routine. Here are some suggestions:

- Avoid keeping fieldworkers away from their families for more than two consecutive weeks, if possible.
- Ensure that fieldworkers know exactly how much and when they will get paid, and avoid any delays in paying them. Ensure that money for expenses (e.g., meal allowances) is paid in advance.
- Arrange for interviewers to work in pairs, whenever possible. They can carry out simultaneous interviews in neighbouring houses. This increases their sense of security and they will be able to help each other make decisions about locating the houses and so forth.
- Within the limitations imposed by the workload, see that interviewers have at least a short time to rest at midday and at the end of each working day, as well as having a day off on weekends. Otherwise, they will become excessively tired and this will affect the quality of their work.

[Adapted from UN Habitat (2005) *Urban Inequities survey manual*, draft, Nairobi 2005]

11.5 Collecting market data

Assessment
process
Activity 11d

Required output: A description of how markets in the area are functioning now compared with before the shock/crisis, and specific data on (i) food price levels and trends compared with what would be normal for the season, (ii) wage rates, (iii) the terms of trade for producers of livestock and other produce, and (iv) possibilities for local procurement of food, in case a food-based response is found to be required.

Why?	<p>Most people (especially the poor) depend on markets for some or all of their food needs and their livelihoods – for income (from sales of produce, labour or services) and the inputs needed for productive activities. Understanding how markets have been affected by the shock/crisis, how they are functioning now and how they can be expected to behave in the coming months is therefore essential to understanding the livelihood and food security situation of households as well as the overall food supply/availability situation in the area.</p> <p>Analysis of the market is also necessary to determine whether local purchases of food may be possible without unduly disrupting the market, in case food-based responses are found to be appropriate.</p>
Where?	In provincial and district headquarters and the sites/communities visited in the affected area, and in nearby towns including border crossing points in the case of areas close to the border with neighbouring countries.
By whom?	A member of each assessment team selected for his/her background in economic/market issues, but also other team members who can be requested, and oriented, to collect specific data in local markets.
How?	<p>By meeting and talking with wholesale and retail traders and transporters, visiting food and other markets and observing what is and is not available, comparing prices with what would be normal for the season and asking buyers and sellers about the reasons for any differences and whether patterns of trade have changed.</p> <p>(The data collected at field sites as described in this section will complement and be analysed together with secondary and other data collected at national level on market/trade operations in the country as a whole, as described in Chapter 4.).</p>

Market analysis is important in any area where significant numbers of people depend on markets for some or all of their food needs or their livelihoods – their income (from sales of produce, labour or services) or the inputs needed for productive activities. You must therefore find out about the status of the markets for:

- staple and other basic foods (both wholesale and retail markets);
- cooking fuel and domestic heating;
- labour;

and other markets that are of particular importance to the food security of the population of interest, e.g. livestock market, financial services market providing credit or microfinance to producers and traders.

You must find out:

- how the market normally works;
- how it is working now and, if it is not working normally, why;

- how prices for basic staples, cash crops and key non-food items compare with what would be normal for this time of year and, if there is a difference, why (whether a change in supply or demand);
- the prospects for supply, demand and prices in the coming months; and
- whether local purchases of food might be possible and appropriate and, if so, when and on what scale.

During a rapid assessment, the aim is to gain a preliminary understanding of market conditions, verify the plausibility of information received from other sources, and identify aspects on which more detailed enquiries may be needed. More detailed and precise information would be gathered in an in-depth assessment, while data changes in prices and availability will be collected on an ongoing basis by monitoring staff during regular monitoring activities.

In all cases, you must start by:

- learning about the *weights* and *measures* used in local markets;
 - check what those measures correspond to in kilograms (or pounds) and metres (or feet and inches);
 - record data in terms of local weights and measures, and convert them later (when preparing your report) into ‘international’ units;
 - use your own scales to make spot-checks of the quantities actually being weighed out by traders.
- agreeing on the specific *varieties* and *qualities* of food items or the *age* and *sex* of livestock for which you will collect data on availability and prices.

Markets as good places to collect information not limited to market data

The primary purpose of data collection in markets is to understand market conditions. However, district-level markets can also be good places to collect information about what is going on in the locality and surrounding areas. Take advantage of this opportunity especially if you are not able to travel widely.

Describe and classify the food market

Try to determine the importance of the market and how it links with other markets before trying to find out about price changes. To gather this information, ask:

- What area the market serves. Who sells and who buys on the market? Do farmers come from all over the district to sell on the market, or do they sell elsewhere?
- Is the market normally a surplus or deficit one. A *surplus market* is one where, in a normal year, produce is traded out, meaning that traders buy produce on that market for sale on other markets. A *deficit market* is one where, in a normal year, traders bring more produce in from other markets than they take out.
- Where do supplies come from during different seasons? How much from local production, how much from other markets/areas? Which other areas? What are the constraints (in normal times and at present) on bringing supplies in from other areas?
- Where is local produce taken out to during different seasons? How much? Where to? What are the constraints (in normal times and at present) on transporting supplies out to other areas?
- Is the market *competitive*? If there are large numbers of traders they are probably competing with one another. If there is only a small number of traders it is possible that an *oligopoly* exists, or will develop, and traders set prices. Try to find out roughly how many traders are operating, whether they meet on a regular basis or whether they all belong to the same family. Have they organized a co-operative or an association?

What to look for and whom to speak to in market

You can get a good idea of what is being sold and by whom by walking through the market. As you walk through, look at what is being bought and sold and talk with a small sample of **traders**, **buyers** and **sellers** of all the main food commodities that are commonly produced and sold in the area. Be guided by the do's and don'ts in Table 11-E and remember the following:

- Try to interview a balanced mix of very small traders (selling less than 50 to 500 kg of produce) and traders selling more. Whenever possible, include both farmers who are selling direct on the market, and middlemen.
- When interviewing animal traders, try to speak to those selling different kinds of animals (including pack animals) and with different levels of stock.
- Don't rely on the information given by one trader only.

Have national personnel conduct these interviews, whenever possible, to increase the chances of getting accurate price information (without 'foreigner mark-ups'). When there are ongoing food distributions in the area, check prices before and after such distributions.

In food deficit areas where relief assistance may be needed, try to find out the farm-gate price (i.e. the price received by the farmer) and the retail prices (i.e. the prices paid by consumers). In these cases, focus on traders who are buying direct from the farmers and those selling direct to consumers. *In food surplus areas* focus on a larger sample of traders, including wholesalers.

Talking with **wholesale traders** will help you to understand how the markets for various types of produce work; the links and relationships with markets in the rest of the country and in neighbouring countries; seasonal variations in market supplies and demand; the factors that are influencing prices; and possibilities for local procurement of food or non-food items.

In addition, try to interview small-scale grain **millers**: they normally have a good idea of current supply and demand conditions.

Where people are *displaced*, you may make enquiries in informal markets that function daily within the settlement at any time. Enquiries in nearby local markets must be conducted on market days.

Table 11-E

Approaching traders

Market information can be sensitive and traders are often unwilling to give information to strangers, especially if they do not have a license or are not paying taxes. They are likely to provide biased prices if they think that you are a buyer: you may have to "bargain" to get a reasonable price estimate.

Some do's and don'ts:

- Introduce the purpose of the discussion as: "To gain insight into market and price conditions". Do not say that you are assessing food aid movements, resale or the impact of food aid on the market, as this will bias the answers.
- Make sure the trader knows that you are not there to check on licenses or for tax collection purposes. It is best not to approach the market in a vehicle with government, UN or NGO markings or registration plates.
- Try to remember what you are told and do not take notes, except of prices, as this tends to make traders anxious.
- Always cross-check trader's answers against those of retailers and buyers.

Remember that you are disturbing their work, so keep it quick. The interview approach will generally be informal and semi-structured.

Learning about *Food Market* conditions

Find out the current *prices* of the main staple foods and ask how these prices compare to the ‘normal’ prices at this time of year or prices at the same time last year⁴. If they are judged to be significantly different, find out why.

The reasons may be due to *supply side* factors such as:

- poor harvest prospects for this season;
- poor harvest outcomes last season;
- traders cannot get commodities into the market because of road conditions or lack of transport; or
- traders are holding on to grain in order to increase prices.

They could also be related to developments on the *demand side* such as:

- more local people are purchasing grain than usual;
- traders are coming in to purchase large *quantities*; and
- in-migration has led to an increase in the numbers of people purchasing food.

Ask whether there have been any notable changes in *what people are buying*. If people are purchasing less of higher cost products and relatively more of lower value foods, this could be an indication that they are trying to cope with a fall in income.

Ask sellers and buyers how they expect prices and availability to change in the coming months.

Learning about *Livestock Market* conditions

In areas where livestock plays a major part in the local economy, find out about livestock market conditions by asking:

- The prices for a healthy animal compared to the normal for this time of year. If prices are different from normal, why?
- The body conditions of animals brought for sale. Are they healthier or less healthy than usual at this time of year? Are they fatter or thinner?
- The age and sex of animals on sale compared to normal. Are more or fewer young animals being sold? Are more or fewer female animals being sold? Are more or fewer draught oxen being sold?
- The reasons why sellers have brought their animals to market – ask a few sellers. This will give you an idea of whether there are distress sales in the area.

Ask sellers and buyers how they expect prices and availability to change in the coming months.

Learning about *Waged Labour Market* conditions

In areas where a casual waged labour is a significant source of income for poor households or is an important secondary income, find out:

- What the daily spot market wage is for unskilled manual labour. (The spot market wage is the wage for people who “turn up on the day” not for people who are already contracted for several days. This is sometimes called the “wage rate for casual labour”.)

⁴ Note that the concept of ‘normal’ is not an easy one, especially in situations where local crop or livestock production normally varies significantly from year to year, or where there is a high rate of inflation, or in situations of long-standing or protracted crisis.

- How does this wage rate compare to the norm for this time of year? If the wage rate is significantly higher or lower than normal, find out why. The reason will be either supply side (more/fewer people are looking for work) or demand side (more/fewer people are hiring), or due to general inflation.
- Where labourers are coming from. If they are coming from more distant locations than usual, this could be an indication that there is a larger supply of labour, i.e. more people are looking for casual work.
- How many days do spot labourers find work for each month?
- Are labourers migrating out of the area? If so, where are they going, and why?

Collecting information on the labour market is more difficult than for the food and livestock markets. Sometimes the labour market has a physical location, e.g. a roadside spot where workers gather each morning waiting for employment, but often this is not the case, and enquiries will have to be conducted more informally and as the occasion presents itself. It may, for example, be possible to conduct a very quick interview with a group of workers in a field or on a construction site, or to seek out the largest landowner (and largest employer) in a village to discuss casual labour issues. And, of course, questions about casual labour can be included in the regular interviews undertaken with community groups or sub-groups

Assessing Local Purchase capacity

You should have an idea, from your market enquiries, of whether current staple food prices are low compared to the normal for this time of year and could be an indication of a surplus. Now you must find out:

- Whether food is being transported out of the area and, if so, in what quantities.
- Where is the food being taken? Is it being taken long distances or just to nearby markets? Is it moving further than usual? (The further the food is moving, the more likely it is that there is a significant surplus.)
- How the food is being transported, on large trucks (more than three tons), donkeys or bicycles? You might be able to get a rough idea of the average number of trucks that are being loaded each day, or even the number of bicycles/donkeys.⁵
- Whether there are any major constraints to moving food out of the area and, if so, what they are. (Local purchases can be particularly effective when private traders are unable to move the stock themselves.)

You could deduce that a food surplus exists but that the food is not being shipped out if you can see or hear of:

- food stocks beginning to rot or becoming heavily infested as a result of low stock turnover;
- food commodities being stored in the open because granaries are overstocked; or
- complaints of shortages of bags.

⁵ A study in Southern Africa in 2004 revealed that a surprising amount of food was being moved across the border from Mozambique into Zimbabwe on bicycles – there were a lot of bicycles!

11.6 Processing data collected in the field

Assessment
process
Activity 11e

Required output: The data collected are summarized in matrices or entered in a database ready for analysis. The original paper records are safely and systematically stored in a manner that enables each individual record to be retrieved if/when needed.

Why?	To enable the data to be analysed effectively and individual records to be checked if/when needed.
When? By whom?	<p>Data from <i>key informant, community group and subgroup interviews</i> should be initially processed by the assessment team the same day, and the team stop every few days to complete the processing (and initial analysis in the field) of the data collected up to that time.</p> <p>Questionnaires from a <i>household survey</i> should be processed by the field team leader/supervisor daily as they are delivered by the enumerators, and be forwarded to a central data processing (CDP) facility every few days while the survey is continuing. The CDP facility should begin processing the questionnaires immediately they start arriving from the field and complete the processing within 2 or 3 days of the last questionnaires arriving.</p>
How?	<p>Standard protocols for managing and processing paper records must be drawn up as a part of Activity 7 and adhered to scrupulously during field work.</p> <p>Data from <i>key informant, community group and subgroup interviews</i> should be transcribed into summary matrices (if the number of records is small) or entered into a spreadsheet such as Excel (if the number is large) and the data reviewed for completeness and consistency. The original record sheets or notebooks must be carefully filed.</p> <p>Questionnaires from a <i>household survey</i> should be checked in the field, stored in clearly marked envelopes and boxes, and transported to the CDP facility where they will be carefully managed and the data entered into a suitable data management programme (such as EpiInfo) and cleaned. The questionnaires are catalogued and stored by community, district and province.</p>

Techniques used to manage data

All assessments will collect both quantitative and qualitative data⁶ and you will need a combination of techniques to process and analyze these data, as indicated in Table 11-F. In all cases, data processing and analysis will be much easier if these aspects were properly considered when the data collection instruments were designed (Activity 7, section 8.3).

⁶ Some qualitative data may be collected through open-ended questions in questionnaires for a household survey as well as in meetings with key informants, community groups and subgroups using semi-structured interview guides. Some quantitative data are also collected in such meetings, whether or not there is a household survey.

Table 11-F Techniques for managing (and analysing) data			
	Number of interviews	Data storage/ management method	Analysis method
Household survey data ↕ Rapid appraisal data	Many ↕ Few	Large database or spreadsheet Simple database or spreadsheet Matrix summary formats Narrative document	Mostly statistical analysis ↕ Mostly qualitative analysis

Processing data from key informant, community group and subgroup interviews

Prepare lists of all the separate interviews by type (community group, subgroup type 1, subgroup type 2, etc.) and area (usually by livelihood zone). Complete the lists every day, number each interview in the appropriate list and write the same number on the original record of the interview. (Be sure to carefully record geographic data – community, district, province names, and codes where appropriate – as well as information on the participants, usually gender and age range. This will help when checking back on information during data consolidation and analysis.)

Transcribe the data every two or three days into either matrices in Word or a spreadsheet (e.g. in Excel) with one matrix/sheet for each item of data collected, e.g. food sources, income sources. A matrix for food sources may look like Table 11-G below. For food sources, the data may be proportions (as shown in Table 11-G), rankings (the most important, next, etc.) or estimates of actual quantities (in kg or local measures), depending on the questions asked.

The data for other items may be text, including both the responses of the group and the interviewers' observations and judgements concerning the degree of agreement and importance (as indicated by the intensity of the opinions expressed).

Table 11-G Example of a matrix to summarize responses on food sources					
Livelihood zone: xxxx			Subgroup Type: e.g. poor farmers		
Interview #	Home production	Market purchases	Gifts	Food aid	Etc.
1	40%	30%	5%	25%	
2	30%	35%	10%	30%	
etc.					

Separate narratives may be prepared recording the characteristics of the general situation in each community, for example.

Be careful to remain objective and avoid bias while at the same time capturing the impressions of the interview team members that may not be included in the notes. Give all team members the opportunity to contribute their observations and record them: those not responsible for taking notes during the interviews may have some valuable information stored in their heads.

Table 11-H

Processing responses to open-ended questions

Data from group interviews will include responses to many open-ended questions; household survey questionnaires may also include some. In most cases it will be necessary, as a second step in processing, to translate the information in the response into categories and assign a numerical code to each category. This will facilitate subsequent analysis of the data while ensuring that the original responses are still readily available for review during the analysis, if required.

For example, if the question is asked *why do some women in the community not go to pre-natal visits when pregnant?*, answers could include references to prohibitive cost, quality of care, distance to travel, preference for traditional health care, mistrust of the system, and not enough money. These answers then can be coded to 1=cost, 2=distance to travel, etc. These codes must be consistently applied to all questionnaires.

This can be a time consuming process and is vulnerable to subjective interpretations of responses but it enables data to be captured from open-ended questions. (It therefore allows questions to be included in the data collection instrument without limiting responses to a pre-determined list, which might constrain responses and result in uninformative data).

Processing completed questionnaires from a household survey

The steps involved in processing household questionnaires are as follows. They are outlined below:

1. Managing paper questionnaires in the field
2. Managing paper questionnaires at the central data processing unit
3. Choosing developing a data entry methodology or programme
4. Data entry
5. Data cleaning

1. Managing the paper questionnaires in the field

You must organize a system to ensure that each completed questionnaire can be easily identified and located at a later date. This can save many headaches and much time in data processing and is especially important in case of a survey covering many communities/ households. The supplies needed are listed in Table 11-I.

Table 11-I

Supplies for data collection and management
(what each assessment team needs)

Materials for data collection:

- Sufficient blank questionnaires, interview guides, and other necessary forms
- Plastic envelopes for questionnaires (in case of rain)
- Clipboards for all enumerators
- Clear lists of survey sites
- Instructions on completing the questionnaire
- Codes for each province, district, village, etc.

Materials to properly manage the completed questionnaires:

- Large envelopes to hold completed questionnaires
- Summary forms
- Stapler with spare staples
- Pens (blue or black – NO red pens) for filling out questionnaires
- Boxes to organize envelopes once filled with questionnaires
- Permanent markers for labelling envelopes and boxes

As enumerators fill out the questionnaires, they should:

- place all the questionnaires from a particular community (e.g. village, camp or urban neighbourhood) in a large **well-labelled envelope** to keep them together. Write the name of the village, district, province, etc. clearly on each envelop. Use separate envelopes for each community.

As team leaders receive the completed questionnaires from the enumerators, they must:

- a) **Review each questionnaire**, to check that it is complete and properly filled out, and that the information given is reasonable. (This is particularly important if enumerators function with a large degree of autonomy and there is any concern that they may fabricate information on questionnaires.) Where appropriate, team leader may make initial corrections/alterations on questionnaires, as described in Table 11-J.
- b) **Fill out a summary form** for each community (i.e. to each envelope) recording:
 - the location name and codes; the names of surveyors; the number of questionnaires completed; the date;
 - notes related to the data gathering process, such as problems encountered, reasons for too few having been questionnaires completed, etc.;
 - their observations about the community and its cooperation in the assessment/survey.
- c) Place the envelopes in **boxes**, if necessary – one box for each district, for example.
- d) **Send the completed questionnaires to the central processing location** in batches, as often as possible. This will allow the data checking and entry process to begin while data collection is still underway in the field.

Table 11-J

Correcting errors on paper

- When the team leader or any subsequent checker corrects errors or makes changes to completed questionnaires, use a RED pen to make it clear what is original data, and what has been added or changed later. Only give red pens to those responsible for making changes/corrections
- Always cross out bad answers with one slash mark. Do NOT obliterate answers, or use liquid paper or erasers. This way, should a correction be made in error, the original answer will still be legible.
- Never fill in missing answers unless it is 100% clear what the answer should be. It is better to have missing data than wrong data!

2. Managing paper questionnaires at the central processing unit

A system must be in place at the central processing area to assure that the following tasks are completed systematically as the envelopes/boxes of questionnaires arrive from the field:

- a) Organize the questionnaires into groups, usually by province, district, or other geographic division.
- b) Assign a unique identification code (ID) to each questionnaire, differentiating it from all other questionnaires in the survey.
- c) Review the number of questionnaires and the manner in which they have been completed.

For specific guidance on these processes, see Annex C.11.

3. Choosing/developing a data entry methodology or programme

If data are to be stored in a database, several types of software are available and frequently used to enter and manage survey data and to run analysis. The recommended programmes for data entry and management are EpiInfo⁷ and EXCEL. (WORD may be used to store running text data.) These are chosen for their wide availability: EpiInfo is freely downloaded from the internet, and EXCEL is included in most Microsoft office software bundles and is the standard spreadsheet for WFP and many other organizations. Other database software packages such as Access can be useful for more advanced data management and analysis. CSPRO is a free data entry software (available at www.census.gov) that has the added benefit of exporting data easily to a wide variety of analysis software formats.

4. Data entry

For guidance on data entry and using EpiInfo for this purpose, see Annex C.11.

5. Data cleaning

Data cleaning refers to the process of organizing and making corrections to data in a database. These changes can be simple and clear, such as recoding data on land ownership gathered in several different units into one standard unit, or it can be subjective choices, such as how to reconcile conflicting answers. The better the organization of the survey instrument, the quality of data collection during the survey process, the design off the data entry methodology/programme, and the accuracy of the data entry, the less data cleaning will be required. Table 11-J outlines some simple techniques.

⁷ EpiInfo is a programme created by the U.S. Centers for Disease Control (CDC). It is freely available on the web at www.cdc.gov/EpiInfo/, along with online support. It is widely used by international humanitarian and development agencies (including UNICEF, UNHCR and major NGOs working in the health and nutrition sector), so support locally from colleagues may be available.

Table 11-J

Simple techniques for cleaning data

The following are some simple techniques for cleaning data. There are others that can be used depending on the type of questions asked and the relationships between the questions, but these are the basics:

- *Look for outliers.* Outliers are responses to a question at the extreme ends of or outside of the possible range of answers. For example, an age of 140 years is clearly an outlier, and should be removed from the database. Sometimes, the range of possible answers can be further narrowed using information from other questions. For example, if the age of a household head is recorded as 4 years old, this answer is clearly wrong and should be removed.
- *Look for conflicting answers.* For example, if a household reports having no access to land, but also reports a large production of corn, then it is likely that one of these answers is incorrect. Another example may be a household that reports having experienced no shocks, but then ranks their top three shocks or their responses to experienced shocks. Cleaning these errors is often a subjective choice. If a subjective choice is made and it affects a large amount of data, this choice should be reported with the results. Alternatively, no change can be made, and the errors can be cited as a weakness in the data.
- In the geographic location code data, *look for villages or districts that do not exist* in the provinces surveyed. Remember that if those data are corrected the unique ID may also have to be changed (if based on those data).
- Check that reports of *divisions of a whole make up the whole*. For example, if a household reports having 5 children aged 16 and under, but then reports 2 boys and 1 girl in school and 1 girl out of school, then there is an error. Again, a subjective choice must be made if no other information exists to clarify.

Chapter 12

Analysing data; developing planning scenarios

This chapter provides brief general guidance on how to analyse data and develop a planning scenario – or alternative possible planning scenarios – of how the situation and how it may evolve. Guidance is provided on:

- analysing qualitative and quantitative data, see section → 12.1
- establishing the basic parameters, see section → 12.2
- developing planning scenarios, see section → 12.3

Chapters 4 to 7 provide guidance on analysis of each of the three main EFSA themes and the analysis of causes and the overall context.

The analyses and planning scenario(s) generated will provide a basis for identifying and analysing possible response options, as described in Chapter 13.

Required output:

- (i) Estimates or descriptions of the net effects of the shock/crisis and compensatory actions (i.e. the unmet needs) for each of the 3 food security themes.
- (ii) An overall problem statement, including the immediate and underlying causes, how the situation is expected to evolve and the risks/contingencies that must be considered.
- (iii) One or more planning scenarios.
- (iv) A summary of the contextual factors that must be taken into account when considering the appropriateness and feasibility of different possible response options (in Activity 13).

Assessment
process
Activity 12

Why?	To enable decisions to be made on which groups, if any, need assistance, the type(s) of assistance that would be most appropriate and when it would be needed.
When?	<p>An interim analysis of data from <i>community and subgroup interviews</i> should be undertaken midway through the fieldwork and the final analysis within 2 days of completion of the fieldwork.</p> <p>The analysis of data from <i>household questionnaires</i> will be undertaken as soon as data entry and cleaning has been completed – hopefully within 2 days of the submission of the last completed questionnaires to the central data processing unit.</p> <p>The overall analysis of data on the various themes and the interpretation of those data in the light of contextual factors will then follow. The whole process must be completed in time for the findings to be reviewed with concerned stakeholders a few days before</p>

	the assessment team is due to submit its report.
By whom?	<p>An initial analysis of the data collected by each field team can be undertaken by an <i>analyst</i> who did not participate in the data collection, and he/she then discuss his/her findings with the <i>team concerned</i> to arrive at agreed findings.</p> <p>The final analysis and interpretation will be undertaken by the whole assessment team. Additional local experts may be brought in/consulted to review and discuss the interpretation of the findings.</p>
How?	<p>Consolidate the summarized data from <i>community and subgroup interviews</i> into a series of additional matrices, and then:</p> <ul style="list-style-type: none"> • from quantitative data, calculate averages, means and proportions; • examine qualitative data to identify patterns and relationships and thereby produce a description of the situation and make deductions about causes of problems and likely future developments. <p>Analyse data from <i>household questionnaires</i> statistically using appropriate computer software to produce frequencies, averages and totals, as appropriate, plus confidence intervals and correlations. Answers to all open-ended questions must be classified and coded as described in Table 11-H.</p>

Quantitative data are data expressed in numbers, frequencies, rates or proportions, e.g. the number of meals eaten daily, the number of respondents who answered a particular question in a particular way, rates of malnutrition, proportions of income lost.

Qualitative data are data expressed in words not numbers: they include opinions, explanations, observations, etc.

12.1 Approaches to analysing qualitative and quantitative data

You must look at all the data in an objective, systematic way following the steps agreed as part of the assessment design (see section 10.1), and then undertake any additional analyses that the initial findings suggest could be useful and provide additional insights. Be objective: set aside any preconceived notions and see what the data are saying.

Examine each of the matrices into which the data were summarized at the initial data processing stage (see section 11.6):

- Identify any ‘outliers’ – responses that are very different from, or much higher or lower than, any of the other responses from interviews with households or groups from the same population subgroup in the same zone. Check back against the original record and correct the summary if a mistake had been made when transcribing the data. If there was no mistake, exclude that response from your analysis.
- For quantified (numeric) data, calculate ranges, means or mid-points, or the frequencies of particular coded responses.

Then create other matrices to bring the various items of data together in ways which will enable you to identify patterns and differences among different areas and population groups. For example, cross-tabulate the estimated household food access shortfalls against area and population characteristics.

If it appears that there could be significant differences among households even within a specific population subgroup, look to see whether the differences may correlate with differences in other data you have on the households (e.g. household size, gender of the head of household).

Compare the results with data available on the pre-crisis situation, and data for other population groups and zones. Ask yourself: Whether the data and any changes they reflect are plausible? What could explain the changes? What is the significance of the changes and the ways in which people are trying to cope?

Remember, the analysis of data collected using rapid appraisal techniques should be undertaken in stages, starting during the data collection process, as indicated in Table 12-A below:

Table 12-A		
Stages of analysis of qualitative data		
Daily analysis	When undertaken	▪ Each evening
	Where undertaken	▪ In the field
	Purpose	<ul style="list-style-type: none"> ▪ Review and discuss that day's findings with other team members ▪ Identify questions and issues for follow-up the following day ▪ Review and seek solutions to any methodological problems
Interim analysis	When undertaken	▪ Midway through the field work
	Where undertaken	▪ In the field
	Purpose	<ul style="list-style-type: none"> ▪ Compile and analyze findings from various interviews (using flipcharts or spreadsheets) ▪ Prepare interim outputs (see next section for a list of outputs) ▪ Review progress towards answering the basic questions posed in the problem statement, determine the need for further field work, and the type of field work required (more standard interviews to increase sample size, more focussed interviews to investigate specific topics, etc.)
Final analysis	When undertaken	▪ Once field work completed
	Where undertaken	▪ In the field or back at base
	Purpose	<ul style="list-style-type: none"> ▪ Complete the interim analysis and prepare final outputs ▪ Summarize findings and draw conclusions from these

Analysing qualitative data

The most common techniques are descriptive analysis, content analysis and inductive analysis, which are often applied in sequence.

- With **descriptive analysis** the results are organised in a logical manner and written up in a narrative form. This is a simple “reporting of the results,” and is pure description of people’s experiences, perceptions and practices. Descriptive analysis involves reviewing the information, identifying links, patterns, common themes, arranging the facts in order and presenting them as they are without adding any comments on their significance.
- **Content analysis** involves analyzing descriptive reports for trends, themes or events. It can be used to summarize descriptive information or to transform it into quantitative information, and is often used to set up coding categories for quantitative tabulations. Data (from matrices, case studies, interviews) is organized into topics before being summarized. The use of direct quotations and anecdotes are important for effectively summarizing the essence of what was said or concluded. When more than one person is working with the data it is important to have each do their own content analysis and then compare the results.
- **Inductive analysis** allows themes, patterns or categories to emerge from the data rather than being decided prior to data collection and analysis. Analysts can use the categories developed by people that

conducted the assessment, or they can develop their own terms based on his/her interpretation of the data (analyst-constructed typologies). The primary purpose of typologies is to describe and classify the information. There are a number of software programmes, such as Nudist, that assist in the classification process.

Analysing quantitative data

Quantitative data analysis should be planned in advance in much the same way as the actual survey is planned. Analysis should begin with *simple descriptive statistics*, such as frequencies, central tendencies (mean, mode, etc), and simple graphing.

The average or *mean* is used for numerical variables and it is obtained by adding all scores or responses together and dividing by the number of observations. The *median* is the middle observation, it says that half of the observations are smaller and half are larger than the median. It is not influenced by extreme values. For example, the median of the following numbers (3, 6, 6, 7, 9, 13, 17) is 7, because half of the scores are below and half are above. The most frequently occurring value is referred to as the *mode*. If several values share the greatest frequency of occurrence, each of them is a mode.

Mean and median give an idea of centre, but no idea of how dispersed or compact the distribution is. The measure of spread most commonly used is the *standard deviation*, which is a measure of dispersion around the mean.

The qualitative data will provide meaning to the quantitative outputs and both should be presented in a supportive manner in the final report. In addition, a separate report on the qualitative findings may also be appropriate - especially when there are a lot of data, which is often the case.

Percentages and proportions are widely used and known, they are one of the most important tools for quantitative data analysis. Proportions are expressed relative to 1, percentages in relation to 100. Put in another way, a percentage is a proportion multiplied by 100. Don't calculate percentages for less than 30 cases.

Common tables generated from the analysis include one-way tables or frequency distribution tables (using one variable), two-way tables or cross-tabulation (using two variables). Two-way tables or cross-tabulations are the basic tool to show relationship between two variables.

Table 12-B

Example of a frequency distribution table

Percentage distribution of respondents by perception of change of the economic situation of the household in the year preceding the survey, by background characteristics

Background characteristics	Improved (%)	No change (%)	Worsened (%)	Total percent
Age				
15 to 34	15.6	50.9	33.4	100.0
35 to 49	14.3	40.0	45.6	100.0
49+	10.2	44.4	45.4	100.0
Gender				
Female	9.7	39.8	50.4	100.0
Male	18.1	51.0	30.8	100.0
Education				
No schooling	3.7	42.6	53.7	100.0
Primary incomplete	15.9	47.5	36.7	100.0
Primary complete+	20.3	42.9	36.8	100.0
Economic status				
Rich or well off	30.2	58.8	11.0	100.0
Poor or very poor	6.9	39.8	53.3	100.0
Total	13.5	44.8	41.7	100.0

Table 12-C

Notes on Deriving Ranges and Mid-Points

When the amount to be analysed is small, detailed statistical analysis is not justified. The following are the general rules applied in food economy analysis to derive ranges and mid-points from 8 to 12 interviews.

1. List individual results	2. Sort from lowest to highest	3. Exclude lowest and highest to define the range. Round ranges down/up to nearest 5%.	4. Take the median (middle value) and compare this to the mid-point of the range.
28 32 38 38 42 35 21 28	21 28 28 32 35 38 38 42	24 28 28 32 35 38 38 42	24 28 28 32 35 38 38 42 median = (32+35) ÷ 2 = 33.5
		Range = 28% - 38% Rounded down/up to nearest 5% = 25% - 40%	Median = 33.5% Mid-point of range = 32.5%
5. If the median and the mid-point of the range are similar, then take the mid-point for calculation purposes. If they are dissimilar, re-examine the range to see whether the lowest or highest point defining the range is an outlier. If so, exclude the outlier and recalculate the median and mid-point. If the mid-point and the median are still different, choose whichever you feel is most representative.			
Source: <i>Food Security Analysis Field Kit, Analysis Guides</i> , WFP-Food Economy Group Technical Support Unit, Sierra Leone, 2002			

When data are used to analyze behaviours, attitudes, opinions, perceptions and beliefs, some variables will be used as "*explanatory*" or independent variables, which will help to explain the result of a dependent variable. In the example in Table 12-B, the perception of change in the economic situation in the household is the dependent variable, may be analyzed by various independent or explanatory variables such as age, gender, education and economic status. Note that the percentages have to be created in the direction of the independent variable. This is the most basic tool to compare and explain differences between subgroups of the target population.

More complex analysis will include the creation of secondary variables, which are new variables created by mathematically combining one or more primary variables. For example, if data were collected on average farm size, in acres, as well as total number of acres cropped then one could create a new variable representing the ratio of cropped land to agricultural land. This ratio would tell you what proportion of agricultural land was being utilized. There would be no need to ask this question in the study.

Table 12-D

Analysing (comparing) different types of variables

You will be working with two main types of variables in quantitative data analysis:

- **Continuous** variables – variables that don't have fixed intervals or levels, e.g. age, body-mass index, percentage expenditure for food.
- **Categorical** variables – variables that have specific levels or categories that are usually coded and labelled, e.g. type of crop (1 = wheat, 2 = rice, 3 = maize, 4 = sorghum, 5 = millet).

To make analysis easier, you can usually **convert/re-code a continuous variable into a categorical variable**. One good example is children's age. Often data are collected on children from age 0-59 months. The standard way to analyse child-level data is by age groups: 0-5 months, 6-11 months, 12-17 months, 18-23 months, 24-35 months, 36-47 months and 48-59 months. When recoding, a code would be given to each age range, e.g. 0-5 months = 1, 6-11 months = 2 and so on.

When analyzing variables together, the techniques you use depend on the types of variables you are comparing:

- When **comparing two categorical variables**, you should use a cross tabulation (cross-tabs). If one of the categorical variables is a yes/no bi-variate (meaning only 2 levels) that is coded 0 for 'no' and 1 for 'yes' you can use means comparisons. The analysis software will ask you to specify the 'dependent' and the 'independent' variable. Make sure that your bi-variate is the 'dependent' variable and the other categorical variable is your 'independent'.
- When **comparing a continuous and a categorical** variable you normally use means comparisons (see above). For example, you can compare % total expenditure for food (a continuous variable) with main income activity (a categorical variable), putting main income activity as the 'independent' and % expenditure for food as the 'dependent' variable.
- When **comparing two continuous variables**, you need to re-code one into a categorical variable. For example: if you want to see if there is a relationship between child weight-for-age z-score (whz) and age, it would be best to recode the children's age into age groups first and then use a means comparison with age group as the 'independent' variable and whz as the 'dependent' variable.

12.2 Establishing the basic parameters

The first step in the analysis is to establish the basic parameters such as geographic zones and population subgroups that are to be differentiated, the seasonal calendar(s) for the area(s) concerned, and the timeline(s) of events that have affected food security in the different areas in the recent past. For this:

- Review the **geographic zone maps** you used when planning the assessment (which were based on existing pre-crisis livelihood or agro-ecological data and/or initial reports of the severity of

the general impact of the shock/crisis on different areas). Refine that map in the light of the data collected, if necessary.

- Review the *population subgroups* identified at the outset as being distinct and liable to have been affected differently and/or to suffer different vulnerabilities in the present situation. Confirm or revise these distinctions in the light of the data collected in the field.
- Review the *seasonal calendar* you used when planning the assessment and correct or refine it in the light of the data collected, if necessary. (The calendar should include normal crop cycles, food stock levels, employment opportunities, other livelihood activities, and any periods when access to particular areas is difficult and trade and aid flows are likely to be interrupted. There should be separate calendars for different geographic areas or agro-ecological zones, if necessary.)
- Review the *time line* prepared during the initial investigation and correct, refine or expand it, as appropriate, in the light of the data collected. (The time line should show the major events that have affected the whole area, or particular sub-areas, and how those events affected any or all of the 3 themes either directly or indirectly through changes in contextual factors. Prepare separate time lines for different geographic areas if there are significant variations among areas. Present them in parallel on the same page, if possible.)

12.3 Developing planning scenarios

Drawing on the basic parameters (see 12.2) and the analysis of problems, causes and contextual factors (12.6), update and elaborate the ‘working scenario’ used when planning the assessment to establish a scenario as a basis for planning response. Use the format provided in Table 8-A (in Chapter 8) and Table 9-C (in Chapter 9). For each element in the scenario, consider:

- the present situation;
- how the situation is expected to evolve; and
- how that evolution might change (for better or worse) if particular events were to occur or measures not be taken.

Prepare a ‘most likely’ planning scenario. Specify the events (one or two) that could result in a significantly different evolution of the situation and prepare separate scenarios for those situations, in particular ‘best’ and ‘worst’ case scenarios.

Chapter 13



Identifying and analysing response and targeting options

This chapter provides guidance on determining whether a food security-related response is needed and, if so, what type of response could be appropriate, what form of targeting (if any), and whether external assistance is needed or not. By this stage of the analysis, you should have answers to a number of key questions, such as:

- Who is facing a problem of food insecurity, and in which areas?;
- What is the scale of the problem: how many people are affected, how severe is the problem, when will it occur and for how long?;
- The type of problem is being faced: reduced food availability, inadequate food access, current malnutrition, etc.; and
- The main causes of the problem: e.g. if the problem is food availability, is this localised (and linked to a lack of market integration) or is it countrywide? If the problem is one of access, what has changed in households' livelihood and food acquisition strategies or in the wider social, economic and security context that has reduced their access to food?

Building on this, you should be able develop answers to the fundamental questions posed in Figure 1a (in Chapter 1), which is reproduced on the next page as Figure 13a. The key steps in this connection are:

- Deciding whether a response is needed and, if so, what kind of response: see → section 13.1;
- Examining the range of responses that can be considered: see → section 13.2;
- Examining the range of targeting options that can be considered: see → section 13.3;
- Identifying response and targeting options that could be appropriate and feasible: see → section 13.4;
- Determining the advantages and disadvantages of the various possible responses and targeting options: see → section 13.5;
- Suggesting a package of complementary interventions: see → section 13.6; and
- Determining whether external assistance is needed: see → section 13.7.

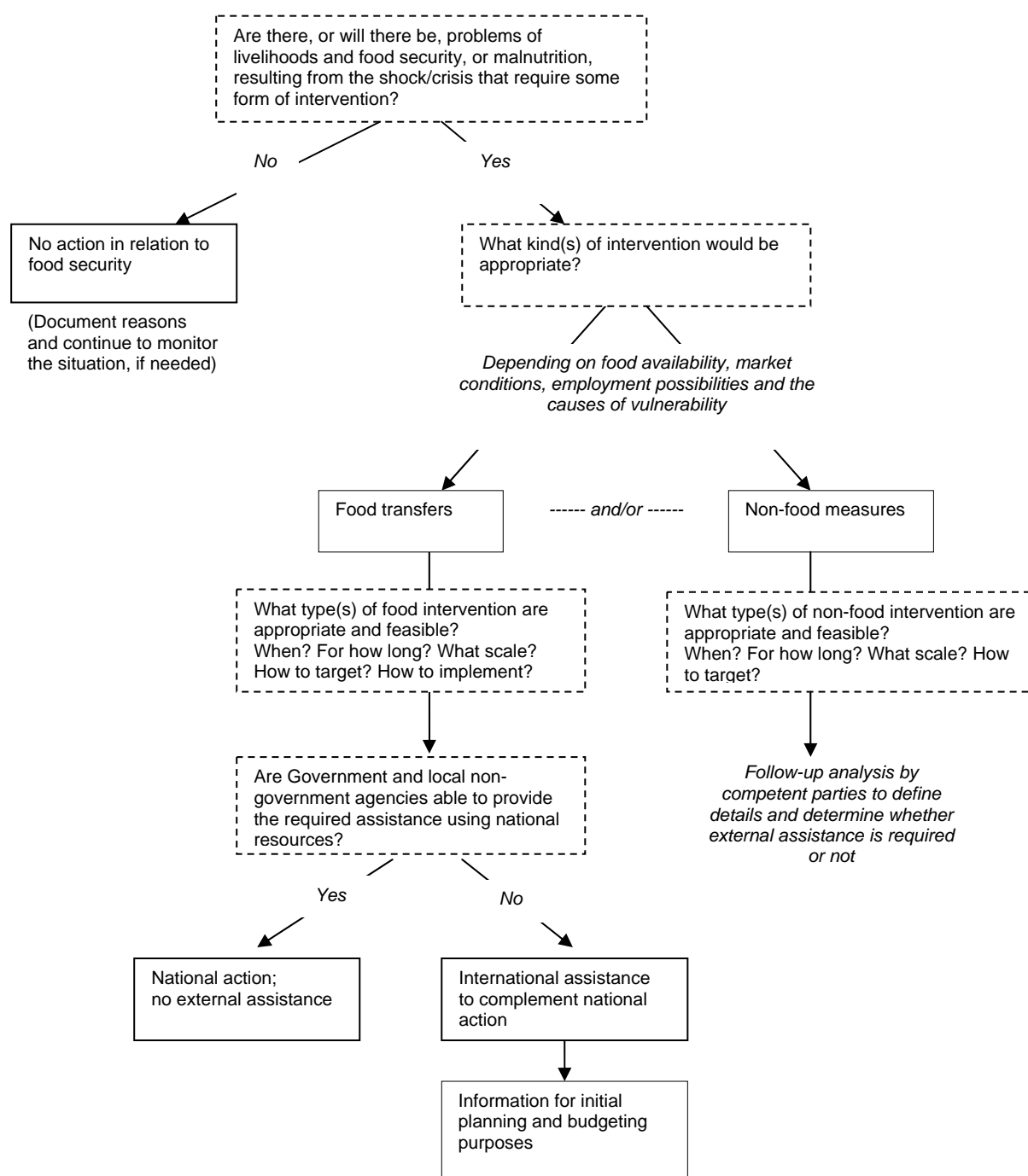
This chapter suggests how to analyse the options available, and provides some indications of the circumstances in which particular types of response may, and may not, be appropriate. It does *not* provide recipes for responses. ***The assessment team in consultation with other experienced planners and technical experts must make – and explain – its own judgements as to what could be both appropriate and feasible, and what might be best, in the particular situation.***

For further guidance see:

→ the Programme Guidance Manual; and

→ contact Regional Programme Advisor

Figure 13a Fundamental food security-related decisions that an EFSA must inform



Required output: (i) A matrix listing the food security and nutrition-related problems that need to be addressed, the response and targeting options that could be appropriate and the advantages (pros), disadvantages (cons) of each option; and (ii) A recommended package of measures.

Why?	For relevant authorities and programme managers to take informed decisions on food and/or non-food responses, they require information on possible response options that is based on a thorough analysis and presented in a concise and easily understood format.
When?	In time to enable the assessment report to be completed by the date specified in the assessment terms of reference. The matrix should be drawn up several days before the report is due so that the contents can be discussed with partners and selected experts and, if needed, be refined before the assessment report is finalized.
By whom?	The assessment team working together with experienced programme design staff, nutritionists and other technical experts.
How?	Based on the analysis of data on the livelihood and food security situation, the nutrition situation and contextual factors and the scenarios developed, the assessment team should answer the following fundamental questions: <ul style="list-style-type: none"> • Is a response needed?; • What kind of response(s) and targeting could be appropriate?; • What are the pros and cons of the possible response options?; and • Is external assistance needed? Addressing these questions, as suggested in 13.1 and 13.4 to 13.6 below, should enable the team to prepare the required matrix. (Sections 13.2 and 13.3 suggest the range of response and targeting options available.)

13.1 Deciding whether and what kind of response is needed

The underlying questions are:

Has the shock/crisis resulted in a disruption of food availability, livelihoods and households' access to food, or nutritional status – or an imminent threat to livelihoods, food access or nutritional status – that the affected communities and households are unable to cope with and remedy on their own?

What are the specific risks to lives and livelihoods, and what would happen in the absence of any response, or an inadequate response, within the specified period?

The answer to these questions will be a judgement based on the analyses conducted during activity 12 (see Chapter 8). If you determine that a response is needed, you must then identify the response and targeting options that could be appropriate and feasible in the context of the particular planning scenario(s) developed, and specify the advantages and disadvantages of each option. To do this you will have to take account of the following critical issues:

- what people are doing to cope with the situation, their own priorities, and they type(s) of assistance they (especially women) prioritize;
- the scale of assistance required and when it is needed by the intended beneficiaries;
- the differences in levels of assistance required by different groups in different areas, the characteristics of the different groups and the proportion of the population they represent;

- the social, political, security and other contextual factors influence the feasibility and appropriateness of different response and targeting options;
- any protection concerns and whether certain responses could increase the personal safety and security risks faced by women, men and children, or decrease those risks; and
- lessons from past emergency and recovery experiences.

You must also take account of existing national strategies and protocols for emergency response and sustainable development, and the guidelines and benchmarks in relevant WFP documents and international standards, such as the Sphere handbook.

Response options and targeting are closely inter-related and must be considered together in the light of:

- the specific problems and risks that the assessment has identified in relation to livelihoods and food security (availability, access and utilization), nutrition and livelihoods for different population groups and the sustainability of coping strategies;
- feasibility, likely effectiveness and possible side effects, based on an analysis of contextual factors including, amongst other things, security, institutional capacities, and social, political and gender concerns; and
- costs, cost-effectiveness and the resources available.

Choosing the right intervention (i.e. one that can reach the intended beneficiaries and will be more attractive for them than non-targeted population groups) can be considered the first step in good targeting.

Problem areas and related objectives

The following main sets of problems may arise separately or in combination. Objectives – desired outcomes – have to be defined in relation to each:

- Problems of food **availability**: the quantities and variety of food available in the area are not sufficient. Objectives would relate to increasing food availability in the area. This may involve importing food, facilitating commercial sector imports, and/or improving the functioning of the **market system**, if that is part of the problem;
- Problems of food **access**, which includes the erosion or undermining of **livelihoods**: Households do not have (or will not have) access to sufficient food while maintaining the productive assets on which their long-term food security, including access to essential non-food requirements depends. Objectives would include enabling the households concerned to re-establish sustainable livelihoods and, in the meantime, gain access to sufficient food during a certain period. This may involve food, cash and/or other non-food transfers, and measures to protect, restore or enhance households' productive assets or (re)create an environment in which production, employment and the demand for goods are stimulated;
- Problems of **utilisation** when people have access to food but cannot utilise it effectively for some reason (e.g. they do not have the means to prepare it, or illness prevents them from fully absorbing and using the nutrients in it), or when households and communities lack the knowledge or capacity to provide adequate care for young children, elderly and chronically sick people. Objectives would be to tackle the specific problem(s). This may involve a range of activities from the provision of cooking utensils and fuel, to health, water and sanitation interventions to reduce diarrhoea and other diseases; and
- Problems of **malnutrition** when levels of wasting are abnormally and unacceptably high, or there is a significant risk of them becoming so, and/or there is a risk of micronutrient deficiencies. Objectives would be to correct and/or prevent malnutrition among the population or specific population sub-groups. This may involve therapeutic and supplementary feeding, the provision of fortified foods and nutrition education, in addition to more general food and/or non-food measures, depending on the nature and underlying causes of the malnutrition.

Problems of **availability** and **access** are distinct but interventions to address one may also affect the other and the potential interactions and side effects must be considered. For example, a free food distribution intended to

increase access would automatically increase food availability within the area of distribution, which may or may not be desirable. Likewise, a market intervention that increases food availability will often also reduce food prices, increasing access for poor food insecure households but undermining the livelihoods of any local farmers who might be trying to sell produce at that time.

13.2 What is the range of responses that can be considered?

The principal response options that have been used by WFP or other agencies in recent emergency and protracted humanitarian (relief and recovery) operations are summarised in Table 13-A. Annex B5 provides more detailed suggestions on the circumstances in which each of these response options may be appropriate, and the information needed to decide.¹

Depending on the circumstances and practical possibilities, responses may be applied uniformly throughout the affected area or targeted to selected geographic areas. Some may be targeted to specific types of households (see 13.3) while others, by their very nature, are targeted to specific types of individuals (while necessarily also benefiting the households of which those individuals are members).

Assistance may be provided directly to households or individuals, or indirectly via a market intervention, for example. While **households** are the principal focus of action to address problems of food access, complementary action may be needed in some cases to address the food needs of **individuals** who may not be covered by measures directed to support households. This may include: neighbourhood and home-based care programmes in communities with a high prevalence of HIV/AIDS; supplementary feeding in addition to a general ration; support to school feeding; or the provision of food to institutions such as orphanages or hospitals (but see *Food for institutions*, below).

Table 13-A

Response options, according to type of problem

(* = programmes that WFP may not be able to support directly)

1) Responses to problems of food **Availability** and/or **Access** and **Livelihoods**

a) **Food transfers** providing assistance to **households**

Free food distribution	A distribution of free rations for households in need. Rations are designed to make-up for household food access shortfalls. They may be ' general ' provided to all households in a particular area or population group or ' targeted ' to households in specific groups.
Food for work (FFW)	A food ration in payment for work, e.g. to rehabilitate or create infrastructure necessary for specific livelihood activities (e.g. irrigation channels, fish ponds, rural roads, riverside jetties) or community services (e.g. health facilities). This may also include incentives for work in the aftermath of a disaster that requires little technical supervision (e.g. general clean-up activities after a flood or cyclone).
Food for training	Food provided as an incentive to enable (and encourage) individuals from food insecure households to undertake skills training to increase their livelihood assets and their food production or options for earning income.
Exchange against produce	Food given to affected rural households in exchange for their own produce (including livestock) for which there is temporarily no market locally.
b) Food transfers providing assistance to individuals (and also benefiting their households)	
Neighbourhood and home-based care programmes	Food provided to orphans and vulnerable children (OVC) in context of high prevalence of HIV/AIDS.

¹ For several of the response options, Annex B5 also suggests the additional data that would be required to design a corresponding intervention.

School feeding	A nutritionally-balanced meal, or snack, for children/youths at school.
Food to other social service institutions	Food provided to orphanages; centres for unaccompanied children; homes for the elderly or handicapped people; hospitals and health centres providing in-patient care.
c) Cash and other non-food transfers providing assistance to households	
Cash transfer programmes*	Cash distributed to target beneficiaries.
Cash for work (CFW)*	A cash payment for work (similar to FFW).
Food vouchers*	Beneficiaries receive vouchers that they can exchange for food in designated shops
Non-food transfers*	Non-food items or services (e.g. water, schooling, health care) provided free or at subsidised prices or through vouchers, thus sparing cash that could be spent on food.
Non-food support to livelihood activities *	<p>Productive inputs and/or services (or vouchers to obtain such inputs or services) to maintain, rebuild or restore capital assets for food insecure but economically active individuals and households.</p> <p>Productive inputs may include, for example, seeds, tools, fertiliser, irrigation, fodder or other livestock inputs, tools and materials for artisans.</p> <p>Services may include veterinary care, extension services, improved access to pasture, and financial services such as emergency loans for productive activities.</p>
d) Market Interventions to enhance availability and facilitate access for households	
Market assistance programme*	Selected (normally 'second-choice') food commodities made available to traders and retailers to sell at controlled prices.
Market support	Reduction of logistic bottlenecks (e.g. repair of bridges or roads), or credit made available to traders.
2) Responses to problems of food <u>Utilisation</u>	
Food preparation materials *	Items required for preparing food, such as cooking sets, cooking fuel and water. Such interventions are common for displaced and refugee populations.
Nutrition education, health, water and sanitation interventions*	Interventions designed to improve feeding and care practices, prevent nutrient loss during food preparation, and prevent and treat diarrhoea or other diseases that affect nutrient absorption and utilisation within the body.
3) Responses to <u>Malnutrition</u>	
a) Correcting high levels of <i>Global Acute Malnutrition</i>	
Therapeutic feeding	Medical and nutritional treatment to save the lives of severely malnourished individuals. Treatment may either be provided on site (in health centres or specially established therapeutic feeding centres [TFCs]), or – where cases are geographically dispersed - through a take-home ration with community level follow up by trained health workers (community-based therapeutic care [CTC]).
Supplementary feeding	The distribution of food to supplement the energy and other nutrients available in the basic diets of individuals who have special nutritional requirements or who are malnourished. This may be either a take-home ration or a ready-to-eat food or porridge eaten on the spot. The food is in addition to the individual's share of the general ration, if any.
Public health measures *	Measures to improve sanitation, water supplies, health care services and their use, measles vaccination, deworming, etc.
b) Correcting or preventing Micronutrient <i>deficiencies</i>	
Food fortification	Foods fortified with specific nutrients (particularly vitamins and minerals), provided where the general diet is grossly deficient in these.
Nutrient supplementation *	Regular distribution of specific nutrient supplements (e.g. vitamin A capsules), when the general diet is grossly deficient in these.

Food transfers, cash transfers and vouchers

Food transfers: The distribution of food as a relief item through free food distributions (targeting communities or specific population subgroups), FFW, exchange against produce, or market assistance programmes. Food transfers may be implemented using locally purchased or imported commodities, depending on the supply situation in the country.² They automatically increase availability unless implemented using commodities purchased locally.

Cash transfers: The distribution of cash as a relief item to targeted beneficiaries through cash grants, cash –for work (CFW) or the purchase of produce. They increase the market demand for food.

Vouchers: The distribution of vouchers denominated in money terms or in physical quantities of specific food commodities or non-food items.

Food for work

Food given as full or partial payment for work performed in the context of community works that benefit the targeted beneficiaries.

In the case of an emergency operation, this can include activities in which beneficiaries receive food in exchange for time invested in work that requires little supervision but enables the community to begin the process of recovery and/or facilitates the delivery of relief assistance. Examples include debris removal and general clean-up operations in the immediate aftermath of a sudden disaster, or labour-intensive maintenance of assets under a food for assets programme.

Examples of cash transfer responses

Cash for Work: Oxfam implemented a CFW programme in Kitgum Uganda in 2000-01. This was a highly insecure area during to the war. Beneficiaries reported using the cash primarily for food purchase. However other expenditures were reported including school fees, uniforms and asset purchase such as goats. No differences were reported on how men and women spent the money they had earned. [Khogali H (2002) *Cash: an alternative to food aid*. Oxfam, Oxford.]

Cash Grant: A cash grant was part of Save the Children UK's emergency response to the floods in Bangladesh in 1998. One-off payments were made to 6800 households. In addition to the cash grants, around 300 working children, whose income the floods had affected received cash. The objectives of the cash grants varied. In one sub-district it directly replaced food distributions as the local food markets were functioning well. This enabled the households to buy food themselves. In other areas, the grants were given to assist rehabilitation, helping families pay back loans taken in the form of cash in the weeks following the floods. [SCF (1998). *Flood in Bangladesh: Save the Children UK: Flood Recovery Plan 1998 - Final Report*, Save the Children, London]

When may school feeding be appropriate?

When people are displaced for a long period or children are traumatized by exposure to violence, **educational and psycho-social objectives** are important and *may* be supported by school feeding. Although school feeding would then not have 'food security' objectives it should still form part of a coherent overall assistance strategy.

Exercise care when considering school feeding as a vehicle for addressing problems of food **access** among the most disadvantaged groups in society, since the children from these groups may be the least likely to attend school. You may consider school feeding for food transfer purposes *if*:

² Local purchases are considered by WFP if suitable commodities are available in the country, the purchases would not unduly disrupt local markets *and* the prices are competitive with what it would cost WFP to deliver the same commodities from other sources.

- there is an ongoing school feeding programme with extensive coverage in the affected area, and your analysis determines that augmenting distributions through this programme would be an effective way of supporting the *households* identified as being in need of assistance; *or*
- children/youth have particular nutritional needs that are not met by a standard general ration and your analysis determines that school feeding would be the most appropriate way of meeting the needs of those *individuals* (rather than increasing the level of the general ration). This may include orphaned and vulnerable children (OVC) in areas with a high prevalence of HIV/AIDS.

In certain cases, out-of-school activities such as vocational training for OVC may be supported through (temporary) community schools.

Expanding existing project activities

Take care also when considering the scaling-up of any existing food aid projects to meet emergency needs. The expansion of an ongoing vulnerable group feeding, food for work or any other food-based project in the affected area can be a quick and convenient way of getting more food into the area, but:

- ask yourself whether it would get food to the households that have been identified as being in need of assistance; and
- plan a phasing out or exit strategy from the outset in consultation with all concerned, beneficiaries and partners.

The need for care and a phasing-out strategy when expanding a development activity

It can be difficult to scale-down and re-focus programmes that have been 'distorted' to meet emergency needs. For example, a nutrition programme that moves from prevention to cure is likely to have difficulty moving back. A programme that provided food as an incentive for community work but which becomes food for work during an emergency may experience similar difficulties.

Food for institutions – think carefully about the implications

Institutional feeding may be needed during some emergencies to provide a 'safety net' for vulnerable individuals until such time as local structures (public or private) recover enough to resume, or take over, full responsibility for meeting the needs. Any WFP support should be clearly understood to be a short-term measure and should not support institutional care that is not in the best interests of the individuals concerned.

In general:

- ***Avoid replacing informal family- or community-based solutions.*** If there is a tradition of caring for orphans (or elderly and handicapped people) within an extended family system or in foster families, explore possibilities for supporting such family-based solutions, e.g. by providing food rations to the care-giving families in an adjustment period;
- ***Provide short-term support to existing institutions, if necessary.*** Food may be needed for *hospitals*, institutions for *elderly* and *handicapped* people, and existing *orphanages* during the acute phase of a crisis, but they should not become dependent on WFP food;
- ***Do not encourage the establishment of new institutions.*** Orphans and *unaccompanied children*³ in particular are best cared for in a family structure; orphanages are the last resort, and ideally a temporary one, for those who have absolutely no other option. The establishment of residential centres can also act as a magnet for less vulnerable clients and even contribute to children being separated from their families; and

³ An unaccompanied child (or minor) is a child – individual under the legal age of majority – who is not accompanied by a parent, guardian or other adult who by law or custom is responsible for him/her [UNICEF 1985]. In emergencies, children often become separated from their families and the fact that a child is 'unaccompanied' does not necessarily mean that he/she is an orphan.

- **Consult with UNICEF** before making any recommendations on assistance to *orphanages* or centres established for the temporary care of *unaccompanied children*, to ensure that any action is in the best interests of the children.

In all cases:

- Look for possibilities of *partnerships* with other organizations in which WFP provides vitamin-fortified items (such as CSB or vitamin A fortified oil) as a complement to other assistance. This can reduce the risk of total reliance on WFP, and the risks for the children, or other target individuals, in case of a break in the WFP pipeline; *and*
- Define the *exit strategy* for phasing out support.

13.3 What is the range of targeting options that can be considered?⁴

Why target?

Targeting is the process by which areas and populations are selected to receive a resource and then provided with it. A targeting system comprises mechanisms to define target groups, to identify members of the target groups and to ensure that assistance reaches intended beneficiaries.⁵ There are four principal *reasons* why an assessment may propose that assistance be targeted:

- To ensure that aid is received on the basis of need;
- To avoid harm that might result from a large injection of resources (e.g. disruption of prices and trade, or displacement of traditional social reciprocity networks);
- To ensure the efficient and effective use of aid resources. This includes ensuring that both (i) ‘emergency’ resources are used responsibly and effectively, and (ii) the emergency programme does not divert human and other resources away from longer-term development activities any more than is necessary; and
- Because insufficient resources are available to meet the needs of all potential beneficiaries due to funding, political, logistical, security or other constraints. (In some situations, however, providing reduced rations for all beneficiaries may be more appropriate and feasible than selecting some to receive over others).

There are two basic *types* of targeting: (i) geographic targeting; and (ii) household or beneficiary targeting within areas or communities.

Geographic targeting will always be practised in terms of limiting emergency and protracted humanitarian (relief and recovery) assistance to areas significantly affected by the shock/crisis, including areas to which people are displaced or migrate. In many cases, assistance will also be targeted within those areas and higher levels of assistance provided in the worst affected localities and, perhaps, no assistance in some. This may be done by categorizing localities on the basis of the assessed levels of household food access shortfalls or whatever method has been adopted to describe the severity of the impact of the shock/crisis on livelihoods and food security and the resulting problems of food availability, access and nutrition.

However, providing different levels of assistance (particularly different levels of food assistance) to different localities may create social tensions in some situations. Where people are displaced, different levels of provision can provoke further movements of people towards those localities/camps where more assistance is provided. You must therefore consider carefully any recommendations for different levels of assistance in different localities.

⁴ This section draws on existing WFP documentation; Taylor A, and Seaman J S (2004), *Targeting Food Aid in Emergencies*, ENN Special Supplement Series, No.1, July 2004; and other sources.

⁵ This is the definition presently used in the WFP Programme Design Manual. A policy paper on targeting is expected to be submitted to the WFP Executive Board in late 2005 that may up-date this definition and the guidance provided in this section.

Targeting within a community may be proposed when some households or individuals are in greater need of assistance than others. The main targeting options are:

- Targeting **households**, individually or in groups, according to: socio-economic status; chronic illness of one or more household members; the nutritional status of children; or the gender of the head of household;
- Selecting interventions that may be ‘**self-targeting**’ by being of interest only to poor, food insecure households, e.g. ‘second-choice commodities for market interventions,’⁶ or food for work-; and
- Targeting **individuals** according to: nutritional status; physiological status such as pregnant or lactating women; disabled or elderly; school children; or people attending or resident in institutions.

A range of factors can be taken into account when deciding whether to target an intervention, and the options for targeting vary according to the type of intervention.

The options for targeting **market interventions** are limited, since market interventions benefit everyone who has access to the markets concerned. A degree of geographic targeting may be possible through, for example, the selection of traders and the terms of the agreements made with them. The only targeting of households possible is ‘self-targeting’ through the provision of commodities that are attractive only to people in great need.

Annex B6 suggests the circumstances in which the various forms of **household targeting** may be appropriate, and the information needed to decide. In practice, household targeting is only likely to be appropriate when:⁷

- there are readily identifiable differences between the intended target population and non-targeted population, and the latter make-up a significant proportion of the total population;
- it is operationally feasible, cost-effective and culturally, politically and socially acceptable to implement a targeted distribution, and distributions will not be interfered with by powerful groups;
- the implementing agencies have long-term presence or in-depth knowledge of the communities; and
- the community understands and cooperates with the targeting strategy.

In practice, errors can occur at every stage of a targeting process and will never be entirely eliminated. The best targeting systems which manage to minimise errors are those that employ **multiple approaches simultaneously**, e.g. targeting some households according to socio-economic criteria, and targeting malnourished children with a feeding programme to ensure a safety net for those excluded from the household distribution.

Some degree of participation by the community in the process is an essential prerequisite for effective targeting, but there must also be an assurance that marginalized groups, including social outcasts such as people living with HIV/AIDS, are not excluded. Targeting can be specifically improved by **involving women** in the process. Transparency in the use of information and in communicating the details of the targeting system to the affected community is another prerequisite for success.

13.4 Identifying response and targeting options that could be appropriate and feasible

What is ‘appropriate’? What is ‘feasible’?

It is obviously important that the response options selected should be appropriate (i.e. capable of meeting needs in the most sustainable way possible) and feasible (i.e. practical given local opportunities and constraints).

⁶ The use of ‘second-choice’ commodities can also help to reduce the misappropriation of food commodities especially but not only in conflict situations. For example, sorghum was provided in place of rice in Liberia during the civil war in the mid 1990s.

⁷ Adapted from Sharp K (2001), *An overview of targeting approaches for food assisted programming*, CARE USA.

In the context, *appropriate* means:

- *Matching the profile and priorities of households/individuals in need.* There is, for example, no point in implementing school feeding if the groups in need cannot or do not send their children to school (e.g. because they live far away, or cannot afford the fees or uniforms). Likewise, it makes little sense to implement a food or cash for work project at the peak of the agricultural season, when needy households should be working on their own farms;
- *Addressing the immediate causes of food insecurity.* If the problem is one of utilisation (e.g. not a shortage of food but a lack of the means to prepare it), then the most appropriate response is one that addresses that problem, not one that increases the availability of food (e.g. a general dry ration, when a cooked ration would be more appropriate); and
- *Supporting rather than undermining the local economy and the sustainability of local livelihoods.* Different responses will have different effects in different settings, and it is important to choose the one that brings maximum benefits and does the least harm given current conditions. This may, for example, mean addressing a problem of food availability through a market intervention rather than a general food distribution. This is because a market intervention can stimulate local trade, and is less likely to depress local production than a general food distribution.

Feasible means:

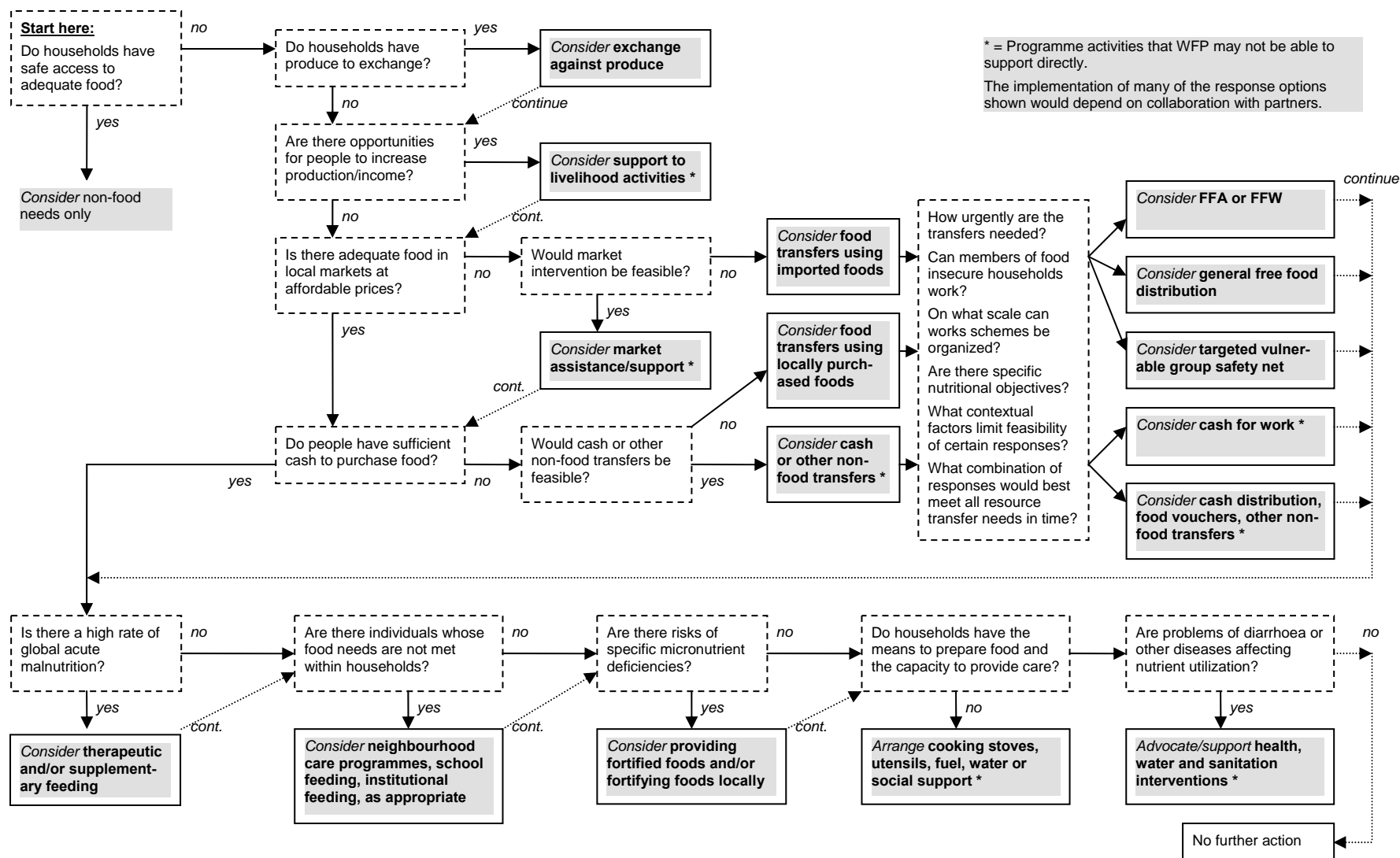
- *Acceptable to the beneficiary population.* This is particularly relevant in the case of decisions about targeting, as well as the type of assistance provided and implementation modalities in general. If targeting, or the mode of targeting, is not acceptable to the beneficiaries (and to those who will not receive assistance), local communities will often find ways to subvert the system;
- *Can be implemented in a timely and regular fashion,* bearing in mind the lead-times for setting-up different interventions and the difficulty of maintaining pipelines, be it for food or other items. For example, it may be that a cash intervention can be implemented more quickly than a food distribution, if the food has to be imported into the country. Or that a free food distribution would be quicker than a food for work project, since food for work requires more inputs, management and technical supervision than does a free distribution;
- *Can be implemented on a scale commensurate with the magnitude of the problem.* The factors to consider are: geographical coverage, the numbers of people to be assisted, and the quantities of assistance. It is, for example, difficult to set-up works projects that can assist very large numbers of people in communities dispersed over a large area;
- *Acceptable to and within the capacity of local partners.* Capacity should be judged in terms of: staff competence and probity; access to necessary equipment and technical expertise; and standards of management, accounting and monitoring. Partners may include local Government and non-government agencies, and traders in the case of market interventions;
- *Possible given local infrastructure and circumstances,* including: transport and storage capacity, banking facilities (especially relevant in the case of cash transfers), local security, and conflict; and
- *Compatible with Government and donor policies.* Donors may prefer a food voucher scheme to a cash distribution, for example. Or a Government may prefer food for work to a free distribution. Problems obviously arise if these preferences conflict with the primary requirement, which is for a programme that is capable of meeting the existing needs.

How to decide?

The guide provided in Figure 13b can help in identifying responses that *might* be appropriate. Answering the questions in sequence will help you to think through the options. The worksheets provided in Tables 13-C, 13-D and 13-E below, and the typical advantages and disadvantages of the various types of response shown in Table 13-H (at the end of this chapter), can help you to decide which responses might be best in your situation.

When using the guide, note that:

- You must **consider** the types of intervention suggested, which means consider their feasibility and possible negative side effects, not select them blindly. You must also consider possible synergy/complementarity among different responses (see 13.6);
- In many cases, the answers to the various questions may not be clear-cut. Whenever the answer appears to be “No”, ask yourself: “**Why?**”, and “What are households already doing?” This will help you to identify the best way to assist and, at the same time, the underlying causes that need to be addressed in addition to the immediate problems;
- Food transfers may be implemented using **imported** or **locally purchased** commodities. The use of imported commodities is generally appropriate *only* when there is a food availability problem in the country. Food transfers using locally purchased commodities may be appropriate *if* food is available in the country, but the market cannot be relied on to respond or cash transfers are either not appropriate or not feasible;
- The guide is designed to help identify interventions that could be appropriate to address **food security problems**. The conditions set out in the guide are not the only ones in which these interventions would be implemented. Some of the interventions listed will also be appropriate in other contexts. For example, school feeding may be required (justified) for educational and psycho-social purposes independently of food security objectives; and water, health and sanitation interventions will be required in their own right in many situations;
- The guide does not cover all the possible response options and considerations listed in 13.2 and Annex B5. For example, a supplementary feeding programme (SFP) *may* be considered on a short-term basis even if global acute malnutrition rates are not ‘high’ (relative to the standard criteria for SFP) but are rising. See the box below that provides an example of the ‘preventive’ use of supplementary feeding;
- Recommendations on responses to problems of malnutrition *must* be made by, or be based on the advice of, an experienced **nutritionist**; and
- The questions refer to the whole **period of the scenario**, not just to the situation when you are doing the analysis.

Figure 13b Guide for identifying responses that *might* be appropriate

Example of using the response options decision guide

There is a problem of a loss of local labour opportunities and cash income for poor farmers, leading to food insecurity at household level. Food is still available in local markets at near-normal prices. Malnutrition rates have not yet risen. Poor farmers could plant a cash crop for the coming second season, but do not have the seeds to do so. The guide would suggest:

- There are opportunities for people to increase production; try to ensure provision of relevant productive inputs (seeds);
- Food is available in the local market; people lack cash (so market interventions would serve no purpose), but they can work, suggesting that cash -for work might be appropriate. If, however, cash -for work is not feasible on the required scale and in a timely manner, or if a large injection of cash would be likely to have serious inflationary effects, FFW using locally purchased commodities might be appropriate; and
- Malnutrition rates are not high, so no therapeutic or supplementary feeding is needed.

Example of the short-term preventive use of supplementary feeding

In Aceh in 2005, following the tsunami disaster, the assessment team found rising malnutrition (wasting) among children and recommended: (i) 'preventive' blanket supplementary feeding for children under five and mothers in displaced persons camps where the nutritional situation was already bad and/or showed a deteriorating trend; and (ii) targeted supplementary feeding to non-displaced communities through certain collaborating institutions.

The team believed that the increasing malnutrition would not be resolved just by adding a small amount to the general ration, because food is shared among all household members so the child would not get enough from the extra quantity. There were strong indications that malnutrition was increasing in certain IDP camps due to overcrowding and poor sanitation, although there was insufficient empirical evidence (data) at the time to conclude that the usual criteria for blanket supplementary feeding were met.

Food and/or non-food transfers; free or for work

There are no hard and fast rules to determine whether food and/or cash, or other non-food transfers would be most appropriate, but there are a range of issues to consider in addition to the general considerations concerning appropriateness and feasibility set-out at the beginning of this section. Some of these are listed below.

Some questions relevant to choosing food and/or cash transfers

- Are sufficient quantities of the right types of food available in the area? (If so, food transfers, especially transfers using imported commodities may not be appropriate. Cash transfers or food transfers using locally purchased commodities could be considered.);
- Do restrictions imposed by the Government or other parties inhibit the movement of either food or cash? (If so, one or the other transfer may not be appropriate.);
- Are traders able and willing to respond quickly to increased demand, and provide items needed to meet nutritional requirements within the framework of a competitive market? (If so, cash transfers may be appropriate.);
- How are prices moving? Is inflation likely to occur if cash programmes were to be implemented? (If so, cash transfers may not be appropriate unless they are very small compared with the total market in the area.);

- What season is it? Are local farmers trying to sell their produce? (If farmers are trying to sell (e.g. post-harvest), food transfers may depress prices and undermine the livelihoods of farmers, unless distributions are small compared with the total demand in the area.);
- Are transport bottlenecks, or lack of finance, preventing traders from bringing in sufficient food? (If so, can the transport bottlenecks be eased [e.g. a bridge be repaired], or credit made available to traders?);
- What existing infrastructure is available to assure the timely and regular delivery and distribution of food (transport, warehouses, etc.), or cash (banking services)? How reliable is it? (If transport and storage facilities are not available, special logistic support will be needed to deliver food aid. If reliable banking services are not available, cash transfers may be difficult to implement.);
- How would the resources (food or cash) transferred to households be used? Who would control their use (men or women)? (If women would control food but not cash, and there is a high risk that men would not use cash in the best interests of the family, food may be preferable.);
- What resources can be mobilized and distributed in time?; and
- What would be the security risks associated with handling and distributing particular food commodities, or cash?

Some questions relevant to determining whether works programmes would be appropriate

- Are public works activities available that would benefit the communities concerned and provide work for a sufficient (useful) number of people, during the period when they need assistance? (If not, works projects will not be appropriate as a core response to a problem of access.);
- Would it be feasible, and are reliable partners available, to organize and supervise such activities? Are the technical and other non-food requirements for such projects available? (If not, works projects will not be appropriate.);
- Will it be possible to organize work projects in all the affected areas? If not, are the different areas sufficiently separated for different assistance strategies to be pursued in different areas, without creating social tensions? (If not, works projects may not be appropriate as a core response to a problem of access.);
- When can the work projects be undertaken? Can the intended beneficiaries participate in work projects at those times, without detriment to other activities supporting their own recovery? (If, for example, people need to prepare their own land at a specific period for the next planting season, they should not be expected to participate in a public works project at that time.);
- Do all households in need of assistance, have an adult able to undertake manual work, and do so without compromising their existing productive and caring activities? (If not, can supporting work be provided for members of households that do not have an adult able to undertake manual work or a complementary ‘safety-net’ be provided for such households?); and
- Are the types of work available culturally acceptable, considering normal gender, ethnic or other divisions of labour?

If public works projects are found to be appropriate, crucial additional questions are:

- Should there be selection criteria? Should the wage rate be at or below the current market rate? If the rate were set below the market rate for self-targeting purposes, would beneficiaries earn enough food to cover their and their household’s food access shortfall? (Where there are few employment opportunities and a large under-employed workforce, or local wage rates are low or paid irregularly, take-up rates may be very high and a below-market-rate work programme may be appropriate. Where labour rates are very low and food prices very high, a below-market-rate work programme may not be appropriate.)

Analysing possible response options

Based on the answers to the above questions, the guide in Figure 13b and the response options matrix in Annex B5, identify the kind of response options that may/may not be appropriate in your situation. On this basis, quickly fill out the worksheet presented in Table 13-C. Check Column 3 in Annex B5 to make sure you have the information needed to decide and, if not, to see what additional information you need to obtain. (A ready-to-use version of this worksheet is available on the CD-ROM.)

Table 13-C					
Worksheet to identify Appropriate and Feasible Response Options					
Response option	Appropriate		Feasible?		Reasons
	Yes	No	Yes	No	
* = Measures that WFP may not be able to support directly.					
Options to address problems of inadequate food access, or risks to livelihoods, for some or all households					
• General free food distribution					
• Food for work (FFW)					
• Food for recovery (FFR)					
• Cash for work (CFW) *					
• Cash transfer programmes *					
• Food vouchers					
• Exchange against produce					
• Market assistance programme *					
• Market system support *					
• Non-food support for livelihood activities *					
• ...					
Options to address problems of inadequate food access for certain individuals					
• School feeding					
• Food to social service institutions (specify which)					
• Neighbourhood care programmes (NCP)					
• ...					
Options to address nutritional problems					
• Targeted supplementary feeding, take-home					
• Targeted supplementary feeding, on site					
• Blanket supplementary feeding, take-home					
• Blanket supplementary feeding, on site					
• Therapeutic feeding programme (TFP), on site					
• Community-based therapeutic care (CTC)					
• Measures to address non-food causes of malnutrition *					
• ...					

Analysing possible targeting options

For assistance to address problems of household access to food, you must determine whether geographic and/or household targeting would be desirable or not, and, if so, what targeting options could be possible. Use the targeting options matrix in Annex B6 to identify the kind of targeting that may/may not be appropriate in your situation, looking in Column 2.

On this basis, quickly fill out the worksheet presented in Table 13-D. Check Column 3 in Annex B6 to make sure you have the information needed to decide, and, if not, to see what additional information you need to obtain. (A ready-to-use version of this worksheet is available on the CD-ROM.)

Table 13-D					
Worksheet to identify possible geographic and household targeting options					
for responses to address problems of inadequate household food access or risks to livelihoods					
Targeting option	Relevant?		Feasible?		Reasons
	Yes	No	Yes	No	
Geographic targeting based on:					
• average household food access shortfalls					
• categories of severity of impact or food insecurity					
Household targeting based on:					
• socio-economic status					
• illness					
• nutritional status of children					
• gender (e.g. female headed households)					

It will also be useful to note which criteria might be preferred, and which might have to be resorted to if resources are particularly scarce.

13.5 Determining the advantages and disadvantages of the various possible response and targeting options

Prepare a matrix along the lines of the one shown in Table 13-E, in consultation and collaboration with programme planners from all the principal operational stakeholders (relevant government entities, WFP programme staff, partner UN agencies, and NGOs). Complete the matrix by thinking through the specific advantages and disadvantages of each option in the situation you are dealing with. It will provide a basis for suggesting a specific package of measures (see 13.6), and it will also show decision-makers the other options that were considered (and would still be possible), with the pros and cons that led you to your final recommendation. The content of the matrix must be based on the data collected, and the analysis undertaken and presented in the report.

Note that ‘disadvantages’ includes any potential negative side-effects that a particular type of response could have, as well as the possible costs and difficulties that could be faced in implementing the intervention.

It must be seen to be based on the data collected and the analysis undertaken and presented in the report. If the team does not include staff with sub

To prepare this matrix, refer to:

- the questions in 13.4 above;
- the notes provided below on the circumstances in which food or cash transfers may/may not be appropriate; and
- Table 13-H (at the end of this chapter) which summarizes some of the advantages and disadvantages often identified for each of the main response options addressing food access problems. It also includes the advantages and disadvantages to be considered when choosing between take-home or on-

site supplementary and therapeutic feeding, in case such programmes are needed to correct problems of malnutrition.

Table 13-E Advantages and disadvantages of the various response and targeting options identified as being appropriate and feasible (the entries shown are for illustrative purposes only)				
	Response/targeting option	Specific advantages	Specific disadvantages	Remarks
Problem #1: <i>[e.g. specified households have inadequate access to food for a specified period]</i> Cause(s): ... Objective: ...				
1	<i>General food distribution</i>			
1a	<i>-- community-based targeting</i>			
1b	<i>-- geographic targeting only</i>			
2	<i>FFW</i>			
3	<i>CFW</i>			
4	<i>Market support</i>			
5	...			
Problem #2: <i>[e.g. malnutrition among children]</i> Cause(s): ... Objective: ...				
1	<i>Targeted SFP, take-home</i>			
2	<i>Targeted SFP, on-site</i>			
3			
Problem #3: <i>[e.g. livelihoods of subsistence farmers and daily labourers at risk]</i> Cause(s): ... Objective: ...				
1	<i>FFW to repair irrigation</i>			
2	<i>CFW to repair irrigation</i>			
3	...			
...				

When may food or cash transfers be appropriate?

This depends primarily on the availability of food and market conditions, but you must also consider social, nutritional and security aspects. Although not determining factors, it can be useful to calculate the transfer value and cost-effectiveness of proposed rations as outlined below

Transfer value: When food is being given as payment or an incentive (e.g. in FFW/R activities), or when other forms of food transfer are being considered in a situation where beneficiaries may trade a portion of the ration for locally available foods or non-food items, you should calculate the transfer value of the ration – the local market value of the ration – as shown in Table 13-F, and compare it with present daily wage rates in the area.

Table 13-F

Example of calculating the transfer value of a ration

A FFW ration comprises:

2.5 kg cereal + 300 g beans + 200 g vegetable oil

Local market prices (in US\$ equivalents) are as follows:

Item	Local market price (US\$)
Cereal	0.08/kg
Beans	0.20/kg
Vegetable oil	$0.90/\text{litre} = 0.90/0.92^1 = 0.978/\text{kg}$

¹ The specific weight (density) of oil is 0.92 kg/litre

The value of the daily ration on the local market is:

$$(2.5 \times 0.08) + (0.3 \times 0.2) + (0.2 \times 0.978) = 0.2 + 0.06 + 0.195 = \text{US\$ } 0.455$$

If the ration is distributed for 60 days, the total transfer value is:

$$\text{US\$ } 0.455 \times 60 = \text{US\$ } 27.30$$

Cost-Effectiveness: When local purchases or commodity exchanges⁸ are an option, whenever beneficiaries trade a significant part of the ration for local items or if cash transfers could be provided (by an agency other than WFP) instead of food transfers. Compare the cost for WFP to deliver commodities to the beneficiaries with: (i) the local market value of the same type of commodities; and (ii) the cost of providing the required assistance in another way (e.g. via a cash transfer).

The comparison with local market value is done by calculating, for each commodity, the ratio of the local market price to the total cost to WFP and its donors to deliver the commodity, from an external source to the beneficiaries. This is known as the '*Alpha value*'. Table 13-G provides an example of this calculation.

If the Alpha value is significantly less than one (as in the example in Table 13-G), or if assistance could be provided more cheaply in another way, food transfers may not be the most cost-effective option. Contextual factors, however, must be considered in any final decision or recommendation on the appropriateness of food or other forms of assistance.

Table 13-G

Example of calculating the ratio of local market price to WFP costs (the Alpha value)

Local market prices (in US\$ equivalents) and WFP/donor purchase costs:

Item	Local market price (US\$)	WFP FOB cost (US\$)
cereal	$0.08/\text{kg} = 80/\text{t}$	120/t

WFP delivery costs:

ocean freight + insurance (for cereal)	80/t
inland transport, storage and handling (ITSH)	50/t

[Example] The ratio/Alpha value is therefore: $80 / (120+80+50) = 80 / 250 = 0.32$

⁸ See WFP *Emergency Field Operations Pocketbook*, 7.3 *Exchanging commodities*.

When food or cash transfers may/may not be appropriate

Food transfers are likely to be more appropriate than cash transfers when:

- there is a serious food shortage (therefore a need to increase food availability);
- markets are weak, regulated in inaccessible due to insecurity; *or*
- prices are not likely to be depressed at a time when local producers are attempting to sell.

Where the social structures and traditions of the society make needs-based **targeting** of households difficult, food transfers *may* permit a certain degree of (self) targeting *if* second-choice commodities are used.

It is often suggested that food may also be more appropriate when **women control food** in the household but not other resources (especially cash), which are more often controlled by men. However, some recent studies have suggested that there is little evidence that men, for purposes other than food and family welfare, misappropriate cash transfers in any significant way.⁹

Food transfers may be less appropriate when:

- markets would be able to assure the availability of food in the area at affordable prices if purchasing power existed; *or*
- the overhead costs and/or losses from spoilage or theft would be high.

Cash transfers are appropriate when (and only when):

- the market is able to provide sufficient supplies of food rapidly; *and*
- a cash injection would stimulate the local economy without causing inflation, especially increases in food prices.

Experience with cash transfer programmes is relatively limited, and most experience is with relatively small-scale projects, but they are increasingly being seen as a potentially effective and appropriate response in many emergencies. There remain a number of factors, which require close scrutiny with regard to this type of programme. These include:

- What level of purchasing power is necessary, and at what distance from supply to ensure an inflow of food or other items?;
- How will prices behave following an injection of cash?;
- At what level of cash inflow will inflation become inevitable?;
- How do beneficiaries (gender/economic status) in varying circumstances (emergency/non-emergency) spend cash?; and
- What are the security risks in situations of conflict and political instability?

The **market impacts** of food and cash transfers are quite distinct and depend on the state of the market:

- Food distributions can bring down food prices thus benefiting everyone who buys food, including people who have not been targeted, but possibly harming farmers, who have staple food to sell, and traders; and
- Cash distributions tend to increase prices, at least initially, benefiting farmers but to the detriment of people who purchase food but did not receive cash.

⁹ See, for example, Khogali H (2002) *Cash: an alternative to food aid*, Oxfam-GB; Harvey P (2005) *Cash and vouchers in emergencies*, a discussion paper, Overseas Development Institute London.

13.6 Suggesting a package of complementary interventions

Finally, based on the matrix prepared above, you must suggest what would appear to be the best response or, more probably, the best combination – a ‘package’ – of responses to address the problem(s) identified. Ideally, the ‘package’ should address underlying causes as well as the immediate problems. As a minimum, it should address the immediate problems – by saving lives, correcting malnutrition, protecting livelihoods, and supporting recovery – to the maximum extent possible, while doing the least possible harm in terms of undesirable side effects, direct or indirect. You must explain the reasoning behind your recommendation – why you consider the package you propose to be best in the prevailing situation.

To develop the package you must consider not only the advantages and disadvantages of the possible response options individually, but also any *interactions* among them. Look for the response, or combination of responses, that would:

- have the *greatest assured impact* on the most important problems; with
- the *least risks* of negative (harmful) side effects, or failure due to operational difficulties.

In addition, you must identify and try to build on possible *synergies*. For example:

- FFW or CFW could help to create infrastructure necessary for livelihood protection and recovery while also serving as resource transfers, enabling beneficiaries to have access to additional food;
- Distribution of free food, cash, or vouchers may help poor households to overcome immediate problems of access, and, at the same time, protect their livelihood assets by eliminating the risk of having to sacrifice those assets in order to obtain food or other necessities for survival; and
- If there is inadequate food in local markets (a problem of availability) *and* people lack cash (a problem of access), a combination of market assistance and some form of cash transfer could be considered.

You must also consider whether any or all of the assistance should be targeted, and, if so, what *targeting* mechanisms and criteria should be used, referring back to the scenario you developed in activity 12 and the matrix (Table 13-C). For example, if many, but not all, households have members able to work, and work projects are available, you may consider a combination of: (i) food for work, or cash for work, together with (ii) a safety net of targeted distribution of free food, cash, or vouchers for those ‘vulnerable’ households that do not have an adult able to work. For these vulnerable groups you may propose targeting households using socio-economic criteria (if feasible) in the first instance, but using other more narrowly focused criteria if resources are scarce.

Try to see things from the perspective of the intended beneficiaries. What would make the most sense to them? Remember that a combination of approaches is likely to offer the best chance of addressing the different needs of different groups, while also reducing risks in case any one approach should run into unexpected practical difficulties during implementation. Be careful not to propose too complex a package. Institutional and management capacities may be limited compared with the need, and the coordination of multiple activities and actors is likely to be a challenge. Take account of the experience of previous emergency or protracted humanitarian operations in the same general area.

What should be the phasing-down and exit strategy?

This may include: capacity building of government counterparts, reinforced food security monitoring, identification of benchmarks for improvement of the food security situation, prioritisation of programme interventions, geographic areas, or sub-groups for gradual phase-down, etc.

13.7 Is external assistance needed?

This is a judgement that must be made based on:

- the scale and likely costs of the required assistance operation;
- the means available to the Government to provide the required assistance to its own population (i.e. information on the macro-economic situation; government budget allocations and the extent to which they are funded; and foreign exchange reserves); *and*
- whether political conditions, conflict, or insecurity would put some population groups at risk of hunger in the absence of external assistance.

Guidelines are being prepared. In the meantime, contact the regional bureau and the Economic Analysis Unit (PSPE) in WFP headquarters for advice and assistance.

Table 13-H

The advantages and disadvantages often identified for selected response options

Type of response	Advantages	Disadvantages
Response options addressing problems of inadequate food access for some or all households		
Food transfers (free food distribution, FFW)	<ul style="list-style-type: none"> Food addresses consumption and nutritional deficiencies directly. It is likely to be consumed because it is less easily converted than cash. Food is a resource that women usually manage at household level. Food transfers are effective and necessary where there is no market able to meet all the needs of the population. 	<ul style="list-style-type: none"> Food distribution is often costly because of high overhead costs for transport, storage and administration.¹⁰ Food is bulky, difficult for beneficiaries to transport and, unless distribution points are close to their homes, beneficiaries may incur significant costs for transport from the distribution site back home. A lengthy supply chain before the food actually arrives to a distribution point may lead to delays in distributing the food. Supply of food can distort the market and local economy, reduce local producers' income and be a disincentive to future local food production <i>if</i> distribution is undertaken on a large scale, or continued for a prolonged period and at a time when local farmers are trying to sell their own production. Available food aid commodities may not meet all the nutrient requirements of populations or satisfy local preferences and tastes. Food may be used as a weapon in conflict situations, and warring factions may impose administrative obstacles.
Cash transfers (cash distribution, CFW)	<ul style="list-style-type: none"> Cash allows households to define their own spending priorities. Where some foods are available in the market, cash can complement food distribution by enabling beneficiaries to make up for a lack of variety in food rations. Cash transfers can help people recover livelihoods as well as support survival. They can be part of a mixed recovery package. Cash injections can help stimulate the economy and encourage productivity. Cash is more cost efficient than other response options, as distribution costs are minimal¹¹. 	<ul style="list-style-type: none"> Cash cannot be used in a barter economy, only in a cash economy. Targeting may be difficult as cash is attractive to everyone. Cash injections can lead to inflation, unless market traders are ready and able to immediately increase supplies. Women, who are normally responsible for feeding the family, may not have control of the money and how it is spent. (Donors may be less willing to provide cash than food for distribution, especially when large quantities are required.)
Public works projects (FFW, CFW)	<ul style="list-style-type: none"> A works project provides employment to the unemployed and therefore has important psychological as well as economic benefits. Works projects can contribute to improving access and availability of food for the whole community through the creation of a communal asset (FFW or CFW) or creating the conditions for recovery (FFR). In some cases, works projects are self-targeting — only those in real need participate. 	<ul style="list-style-type: none"> Works projects are difficult to organize quickly on a large scale under acute crisis conditions — administrative demands are often unmanageable in an emergency context. They are best suited to slow onset crises, the recovery phase after sudden natural disasters, and protracted complex emergencies (if security conditions permit). Works projects do not help households where there are no able-bodied people (often the poorest), or where all able-bodied persons are fully occupied in, for example, preparing land and planting for the next harvest. Works projects may increase the burden on women, if they have to undertake the work.

¹⁰ The costs involved in transporting, storing, and handling food commodities from the point of origin to the distribution sites is often several times the purchase cost of the commodities, especially when long distances and difficult logistics are involved.

¹¹ A study that compared the cost of FFW to that of CFW in the Democratic Republic of Congo found that the cost to donors of a day's labour on a CFW project was about 1/5 of the cost of a day's labour on a FFW project (Levine and Chastre, *Missing the Point – an analysis of food security interventions in the Great Lakes*, HPN Network Paper no.47, ODI 2004; 13).

Livelihood support		
Livelihood support projects	<ul style="list-style-type: none"> • A livelihood support project protects long-term food security and promotes recovery and self-reliance. • It builds on existing resources at household and community levels. • It addresses some of the root causes of food insecurity/poverty and as such act as preventative measures to future food insecurity. 	<ul style="list-style-type: none"> • May not address the needs of destitute households with no capital assets and/or who are not economically active. • A livelihood support project may not be appropriate in situations where people are cut off from their livelihood base, although training to develop skills for future livelihoods may be. • It can be difficult to implement livelihood support projects in situations of conflict or political crises, but it can be done.¹² • Livelihood support projects require careful planning, good management and (often) a small-scale pilot phase to start with. They may be difficult to implement on a large scale.
Options addressing nutritional problems or problems of inadequate food access for certain individuals		
School feeding	<ul style="list-style-type: none"> • If children/youths are not getting enough food at home, the food they receive at school will increase the quality and quantity of their food intake, (provided it is not matched by an equal decline in home food intake). • By increasing their food intake, it improves children's learning capacity. In the long term, the learning will give them more economic choices that may improve their food security. • It provides an opportunity to give micronutrient boosts to children. • It can maintain and increase school attendance especially during crisis periods increasing both educational benefits and the effectiveness of schools as a channel for health-related measures such as deworming. 	<ul style="list-style-type: none"> • School feeding only benefits school children that attend school. Some (perhaps many) of the children from the poorest and most food insecure households may not attend school and are therefore not benefit from a school feeding programme.
On-site supplementary feeding	<ul style="list-style-type: none"> • Staff observe food being consumed and have more regular contact with mothers/carers so can better support recovery. 	<ul style="list-style-type: none"> • Opportunity cost (time) for carer. • More costly for implementing agency. • Risk of spreading infections in crowded feeding centres. • The beneficiary <i>may</i> receive less food at home as a result of receiving the 'supplement'.
Take-home supplementary feeding	<ul style="list-style-type: none"> • Less opportunity cost (time) for mother/carers. • Less costly for the implementing agency; more rapid to implement. 	<ul style="list-style-type: none"> • The food is likely to be shared within the household, so extra food has to be provided to allow for this. • Possible security risk, etc.

¹² See Jaspars S and Shoham J [2002]. *A critical review of approaches to assessing and monitoring livelihoods in situations of chronic conflict and political instability (SCCPI)*, ODI Working paper 191.

Chapter 14



Reporting on an EFSA

This chapter provides brief guidance on:

- Preparing and presenting a preliminary summary report, see → section 14.1
- Preparing and disseminating the final report, see → section 14.2

Based on the contents of the report and additional information available within the country office, it should be possible, if required, to agree on an assistance strategy with the government and other partners, prepare a project document (a WFP EMOP or PRRO), and present a convincing case to donors. It should also provide a basis to advocate for non-food measures that may be required to complement food aid – or instead of food aid – to address problems of livelihoods and food security.

14.1 Preparing and presenting a preliminary summary report

Compiling information during field work

You should start compiling basic information for the report during the field work, with all field assessment team members meeting on a nightly basis to discuss findings and progressively compile material, especially data and reports collected from specialist key informants. These discussions will help to identify key information and trends, including inter-sectoral issues, and ensure that important details are not forgotten.

Preparing and presenting a draft summary report

Within 1 or 2 days of completing data collection in the field, technical specialists on the team (e.g. nutritionists, agronomists, anthropologists) should provide the team leader with preliminary syntheses of their findings.

Within 2 or 3 days of completing data collection in the field:

- the team leader and one or two team members designated as rapporteur(s) should prepare a short (3-4 page) preliminary summary of the team's overall findings and provisional conclusions and recommendations; and
- the team should present these preliminary findings and their provisional conclusions and recommendations (including the pros, cons and implications of various possible responses) to the core group of partners involved in organizing the assessment, including the WFP Country Director, and other key government entities, concerned UN-agencies, major donors and key NGOs at a specially-convened briefing meeting.

This is important in order to benefit from last-minute contributions and with a view to securing the endorsement of all these parties and their support for the recommendations, if possible.

Refine the summary report within 2 days of the meeting and submit the refined version to the core group of partners and the WFP Country Director, regional bureau and ODAN (WFP headquarters).

14.2 Preparing and disseminating the final report

Prepare and circulate a draft of the full report

Within a few (maximum 10) days of the presentation of the preliminary summary report, the team should finalize the analysis and prepare a draft of the full report and circulate it to everyone who received the summary report.

The report should be clear and concise – no more than 20 pages in length, plus annexes – and present the findings and analysis in a reasonable, logical manner. Use the format in Table 10-A. Avoid language that could be ambiguous or misunderstood. Avoid jargon and the excessive use of acronyms.

Table 14-A
Standard format for an EFSA Report

Executive summary (<1 page)

1. Objectives and Methodology of the Assessment

- objectives of the assessment;
- how primary data were collected, the number and distribution of the sites visited and community groups/households interviewed, and how they were selected;
- secondary data sources used;
- approach/methods used to analyse the data;
- limitations of data and basis for generalizing from the sample to the population; uncertainty/confidence in the data and consequent conclusions; recommendations for follow-up data collection and analysis, if appropriate.

2. Socio-economic background – pre-crisis conditions in the affected areas

- population and livelihood groups, their typical food security profiles and vulnerabilities;
- the macro-economic situation, production systems, trade patterns, fiscal and other policies affecting food security;
- political and social structures: social support systems, how they operate, who they do/do not cover; power structures and their implications for the food security of different groups.

3. General and demographic impact

- the nature of the shock/crisis; its general effects on population and infrastructure in different areas;
- death toll; households without breadwinners; unaccompanied minors, etc.;
- numbers displaced; expected duration of displacement; whether those displaced have lost all means of livelihood.

4. Food availability and markets

- impacts on local and national food stocks, and on food production forecasts; changes in expected levels of imports; action taken by government and other to increase supplies;
- impacts on prices and market integration; logistic bottlenecks or administrative regulations inhibiting the movement of goods; action by government, traders or others to repair infrastructure and facilitate market functioning; capacity of the market to meet the demand for food now and in the future.

5. Livelihoods and households' access to food

- impacts on the local economies, employment opportunities, demand for local produce and services; action being taken to restore economic activity; seasonal considerations; when and to what extent activity and the demand for local produce and services are expected to recover;
- *for each distinct population group*: impacts on livelihood assets, sources of food and income (including entitlements from social networks/political allegiances) and obligatory expenditures (including rent, fuel, water, shelter, health, loan repayments, etc.); trade-offs between food and non-food needs; the type and sustainability of coping strategies adopted; when and to what extent livelihoods are expected to recover; present food access shortfalls and how they are expected to evolve;
- action taken by government and others to enable households to access sufficient food; how long those actions will continue with available resources.

6. Food consumption, utilization, nutritional and health status

- impact on the diets of each distinct population group; their ability to prepare food;
- present nutritional status and nutritional risks; disease-related mortality rates; water, sanitation and other public health concerns that threaten lives and nutritional status;
- action taken by government and others to address problems of food use and consumption, malnutrition and the main public health risks.

7. Current and future problems and risks for food security and livelihoods; assistance required

- synthesis of the current situation, likely evolution and risks for food supplies, markets, livelihoods, household food access shortfalls, and nutritional status;
- scenario(s) for the next 6 to 12 months;
- numbers of people requiring assistance in different areas/population groups; the levels of assistance required; the periods during which assistance will be required;
- what would happen in the absence of any response or an inadequate response within the critical specified period.

8. Response and targeting options

- possible food and non-food responses to problems of food supply/availability (if any), markets, household food access, malnutrition, and long-term food security (livelihoods); the advantages and disadvantages of each of the possible responses;
- social, political, security, logistic constraints; potential negative effects of current and possible future assistance strategies;
- capacities (including resources) of communities, NGO, local authorities and the government to provide assistance or to implement externally-supported programmes.

9. Recommendations and proposed assessment follow-up

- recommended 'package' of responses to most appropriately address the identified problems, with reasons.
- *for any food aid*: types and quantities of commodities, when required, proposed sources (local purchase or other), targeting and implementation arrangements
- specific aspects/indicators to be monitored during the next 3/6/12 months; arrangements (or recommendations) for follow-up assessments, if needed)

Annexes

Map of the affected areas

Assessment instruments used

Seasonal calendar (and any other significant summary diagrams)

Schedule of the assessment activities and site visits

Members of the assessment team

Remember, EFSA findings are used for multiple purposes and communicated to a range of audiences, including the following:

- managers, who require reliable and transparent information to make sound decisions about the scale and scope of a crisis;
- programmers, who rely on EFSA reports for designing interventions that are appropriate and operationally feasible; and
- staff at all levels, who need timely and accurate information that can be communicated to government, donors and other humanitarian actors for programming, resource mobilization and advocacy purposes.

Common WFP acronyms and phrases (jargon) to avoid, or explain, when communicating EFSA findings to general audiences

- | | |
|---|---------------------------------------|
| • EMOP, PRRO, SO, VAM | • Food basket |
| • Asset depletion | • Wet ration, dry feeding/ ration |
| • Vulnerable group | • Difference between: |
| • Food security/access/availability/utilization | acute and severe malnutrition |
| • Coping strategies | stunting and wasting |
| • Distress mitigation | supplementary and therapeutic feeding |

Finalize and disseminate the report

After allowing a few days for all concerned to review and comment on the draft, finalize the report and send it to all concerned government entities, UN agencies, NGOs, donors, the WFP regional bureau and ODAN (WFP headquarters).

Table 14-B provides a checklist for evaluating the quality of an EFSA report.

Table 14-B

Checklist for determining the quality of an EFSA report

Problem analysis

- Has the report considered the diversity of geographic areas and population groups through the information collected, analysis and conclusions?
- Has the report identified immediate and underlying causes of the problem?
- Does the report provide logical exploration of how people were surviving before the hazard / shock and the impact these events have had on their ability to meet their own needs (i.e., availability and access of food and income)?
- Does the report provide substantive analysis on the timing of the hazard / shock in relation to the possible extent of the crisis?
- What were the key indicators utilized to measure changes (severity) in food security situation as a result of the hazard / shock?
- Has the report systematically analyzed the strategies people normally might employ to compensate for decreases in resources and the extent these options are currently available (immediate and medium term)?

Methodology and analysis

- Based on the description of the methodology, do you fully understand and concur with the logic and assumption of its actual application and argument utilized to form conclusions?
- To what extent has the process (assessment planning, coordination and participation) included key stakeholders and ensured stakeholder ownership?
- Can you identify key elements which may lead to questions on the accuracy of assumptions and conclusions gained from analysis of data? (i.e. sample size/technique, biases, information collection methods, over generalization).
- To what extent has the report considered the socio-political dimensions through the information collection and analysis process and formulating conclusions?
- Do all of the numbers add up? Is there a logical sequence between the total population and population affected?

Conclusions and recommendations

- Do the conclusions and recommendations result in an intervention strategy which supports and addresses the underlying causes of the problem? If not, what is the reason?
- Identify the key points that lead to the report's final conclusion and confirm if you reach the same conclusions based on these points?
- If the report concludes that food aid is an appropriate intervention, are the following points considered:
 - The inter-dependence of non-food and food aid inputs as part of the food aid strategy;
 - The purpose and potential role of food assistance;
 - The feasibility of comparing results across areas; and
 - Any potential negative effects of the recommended assistance strategy?
- Lastly, do the findings make sense, given your experience with the area?

Chapter 15



Organizing an in-depth EFSA

This chapter provides brief guidance on organizing an in-depth EFSA, including:

- Initiating the assessment process, see → section 15.1
- Defining and mobilizing the skills required for an in-depth EFSA, see → section 15.2
- Sampling for in-depth EFSA; engaging sampling expertise, see → section 15.3
- Monitoring the assessment process, see → section 15.4

The aim of an in-depth EFSA, whether undertaken in the early stages of a slow-onset crisis or in a protracted crisis, is to generate a household economic profile for each distinct subgroup within the population and a detailed understanding of the food security situation, the causes of food insecurity and malnutrition (if any) and the prospects for recovery for each subgroup. It should enable responses and targeting arrangements to be tailored to the particular circumstances and needs of the various population groups.

An in-depth EFSA requires specific skills and considerable time and, in many cases, a specialized organization, consultants, an institute (local or international) or a company is commissioned to undertake the assessment design, data collection and analysis, and reporting. Typically, the WFP Country Office manages the process, making sure that the terms of reference are appropriate and procedures followed, while also ensuring necessary coordination with partners and support for fieldwork. ***An assessment manager must be designated in the WFP Country Office with responsibility to ensure that the assessment proceeds satisfactorily and produces the required outputs to required standards. S/he must have personal experience in assessment and field surveys and be able to devote time to managing and monitoring the process, not simply wait for the report.***

15.1 Initiating the assessment process

In-depth assessments require careful planning and preparation, building on the information already available from preceding assessments (initial investigation or rapid EFSA) and monitoring (in case of an ongoing operation). The following planning steps are necessary and are outlined in this section:

- Mobilizing partners and funding; establishing a task force
- Defining the scope, objectives and timing
- Developing the terms of reference
- Reviewing the proposed data collection and sampling strategy
- Agreeing on a clear time schedule and reporting process.

In-depth assessments require considerable resources and therefore the decision to conduct an in-depth assessment must be carefully weighed. An in-depth assessment may be needed when:

- it is essential to have more in-depth information including statistical comparisons and underlying causes to assist affected populations to meet their essential food and non-food requirements and to protect their livelihoods, health and well-being.
- information is needed to disaggregate the impact of a shock on food availability, access and utilization for different groups of households (either, for example, by livelihood category or geographic location);
- an understanding of the impact of emergency interventions is desired.

Mobilizing partners and funding; establishing a task force

The need for an in-depth assessment some time after an emergency situation has stabilized should have been anticipated in the WFP EMOP. Often the need arises only after more information is known about the extent of the shock and its impact on households. If an in-depth assessment was not foreseen then additional resources are likely to be required.

The person responsible within the Country Office for managing the in-depth EFSA must have prior assessment experience and/or consult with the Regional Bureau and/or ODAN concerning the terms of reference and selection of an appropriate entity to undertake the assessment. There are two options for implementation of the in-depth assessment: (i) the Country Office organizes the assessment with relevant partners; (ii) the assessment is contracted to a competent agency or other institution. In either case a task force should be established to agree assessment plans and design.

The level of resources required to conduct an EFSA depends on a number of factors, including:

- the size of the sample required for a quantitative survey
- the type and amount of qualitative information needed to complement the quantitative survey;
- the amount of external assistance required to manage and conduct the assessment; and
- the costs associated with the logistics of the survey.

There is also a wide range of costs due to the contexts within which in-depth assessments are conducted. These assessments are not necessarily more expensive than large rapid assessments, but they can be expensive if a large household survey is included. Large surveys on the order of 1,800 to 2,000 households can easily cost over \$100,000 and consume considerable staff time and effort.

Beyond the financial cost of conducting an in-depth assessment is the required level of effort. From initial planning to report writing, these assessments can typically last from one to three months. They require day-to-day management from WFP staff or from contracted personnel (often an in-depth assessment is managed by an assessment coordinator assigned full-time to the effort, and this coordinator could be a WFP staff member or a contractor).

It is useful to *establish a task force* to:

- agree on the terms of reference and the selection of the assessment team/consultants;
- create the opportunity for technical discussion within and among sectors;
- secure the collaboration of all parties in the field to facilitate the assessment;
- get buy-in and support from various agencies for the assessment;
- help resolve any problems that arise during the assessment; and
- review the report and collaborate in following up on the findings and recommendations.

A task force would normally include: WFP (in particular focal points from VAM, nutrition and emergency food security), one or more representatives from national government and local government, interagency representative(s), one or two representatives of the major donors, and representatives of the major NGOs involved in food security and emergency response.

Defining the scope, objectives and timing

An in-depth assessment may be required to look at all the aspects listed in Table 15-A or only some of them, depending on the situation and the needs of the operation. The *objectives* must be drawn up with care in the light of the particular issues that need to be resolved and the programming and management decisions that have to be taken in the coming months. They must be agreed among the concerned stakeholders.

Table 15-A

Possible objectives for an in-depth EFSA

Specific objectives will be defined according to the needs of each assessment, but may include some or all of the following (or others specific to a particular context or assessment):

- a) *Population/livelihood groups*: To identify socio-economic groups within defined populations that have different livelihood and coping strategies, define their characteristics and estimate their numbers.
- b) *Livelihoods and household food access*: To identify the socio-economic groups that are experiencing, or will experience, crisis-induced food access shortfalls, describe the impact on their livelihoods, estimate the severity of the shortfalls and the periods during which they will be experienced, and make recommendations for measures that could promote the recovery of sustainable livelihoods and the re-establishment of household food security.
- c) *Food consumption and use*: To determine what households in each socio-economic group are currently consuming, the use they are making of food aid and other resources/entitlements, any problems in the use of particular items or the preparation of foods for family meals, and to make recommendations for any changes needed in the current food and related non-food assistance.
- d) *Targeting*: To determine whether and how assistance should be designed and targeted separately to different groups or other defined strata or how current targeting arrangements could be improved.
- e) *Risks and scenarios for change*: To identify events that could change the food security situation in the coming months and determine the likely effects on different population groups of contingencies such as a/another crop failure, renewed outbreak of fighting, changes in government regulations, reduced distributions due to pipeline interruptions, or changes in food basket composition or targeting criteria.
- f) *Training and capacity-building*: To enhance national capacities and the capacities of other organizations participating in the assessment to plan, manage and/or conduct assessments.

The *timing* of the assessment should be determined in the light of:

- the need for information to inform the programme planning and budgeting processes of the Government, WFP (e.g. the preparation of an EMOP revision/expansion, a new PRRO or a PRRO revision) and other organizations;
- the crop cycle and the periods when reliable estimates for the latest and/or next harvest may be available;
- seasonal factors that may affect the ability of the review/re-assessment team to visit certain relevant locations; and
- the availability of the expertise, or reports of specific studies, that may be needed for the review/re-assessment to deal adequately with particular priority issues.

Developing the terms of reference (TOR)

The terms of reference should be precise and fairly detailed. There should not be any ambiguity or room for misunderstanding about the populations to be covered, the outputs required, or the assumptions or hypotheses to be tested.

Well thought out TOR are important. The time and effort invested in preparing good TOR have big payoffs in terms of resulting quality, relevance and usefulness. Do not overload the TOR! Be cautious about asking for extra data that ‘could be useful.’ Focus on aspects essential to understanding the food security/self-reliance situation and to designing appropriate interventions, and information that can realistically be obtained in the prevailing circumstances. Be realistic about the time required: allow sufficient time or, if time has to be limited, so must the TOR.

When the assessment is to be contracted out, the TOR should specify that:

- organizations/consultants are required to provide an outline assessment plan as part of their proposal prior to selection;
- the selected organization/consultants are required to submit a detailed assessment plan for discussion and approval prior to starting fieldwork, and this should include the data collection methods, instruments and sampling procedures they propose;
- an initial report will be submitted in draft and will be refined taking account of the feedback from reviewers. (The time frame for the assessment must allow for this review and refinement process.)

The TOR may need to be translated into an appropriate local language for in-country use.

15.2 Defining and mobilizing the skills required for an in-depth EFSA

The main activities involved in organizing an in-depth EFSA are similar to those for a rapid EFSA, described in Part IV (Chapters 9 to 14). The competency requirements for assessment team members are similar to those presented in Table 10-P in section 10.7 for a rapid EFSA. However, in-depth assessments make more extensive use of quantitative, household surveys and are more demanding in terms of sampling design, personnel requirements, and management of data collection process and analysis. The skill set required therefore includes knowledge of quantitative methods with some grounding in basic statistics and survey design, food security, livelihood security, qualitative data collection and data analysis and interpretation.

Personnel recruitment and training

The composition of the assessment team depends on the type of crisis as well as the context being addressed and the scale of the assessment. If there are multiple teams conducting the assessment, each team should be as balanced as possible with respect to technical skills, language, government and agency representation, and gender. While the data will likely not be analyzed by the assessment team themselves, team members must be familiar with survey techniques and issues behind quantitative data collection and analysis. The assessment coordinator/manager, field supervisors and enumerators (interviewers) must be carefully selected and well trained.

For a large-scale in-depth EFSA it will be useful to constitute a **core support team**, including assessment coordinators and technical assistants from WFP-VAM, participating NGOs and other technical support organizations, to:

- provide support to survey teams in the field;
- transfer completed data collection instruments from the field to the point of data entry (if necessary); and
- meet weekly throughout the data collection phase to ensure quality control across sampling zones.

TOR for an in-depth assessment coordinator

The coordinator plays many roles, but her/his primary role is to manage the process and serve as an information conduit for everyone involved in the assessment. S/he must be available to manage the process from beginning to end. The functions are indicated in Table 15-B.

Table 15-B

Example of responsibilities for survey coordination (example of the terms of a contract with a national institution)

An oversight committee commissioned by ... will take primary responsibility for coordinating the survey. An international consulting firm will provide technical assistance, starting with developing the sampling frame and with the construction of the survey instruments, continuing with training and pilot testing, refining of the questionnaires, and ending with data analysis and assistance in reporting. ... will coordinate the recruitment of field personnel, including supervisors and field enumerators.

Within the parameters set out above, ... requires the assistance of a Survey Coordinator, who will be expected to undertake the following:

- Become fully conversant with the scope of the survey, and its contribution to vulnerability assessment, targeting, and monitoring of drought interventions.
- Provide backstopping support to ..., WFP and ..., and the Technical Task Force (TTF) in preparing for the survey.
- Collect information requested by TTF and any other relevant party.
- Serve as a focal point person with the international consulting firm providing technical inputs and training into the survey, and maintain communications with its consultants.
- Be prepared to travel to pre-identified sites in ... to observe and comment on the pilot survey.
- Assist in restructuring the survey instruments if necessary, following results obtained from the pilot.
- Assist in identifying, recruiting and briefing survey coordinators, enumerators, data entry personnel, and other temporary labour needed to conduct and complete the survey.
- Arrange logistics for all training events, including the identification of training sites, facilitation with site management, and communication with all participants.
- Manage the translation and reproduction of questionnaires.
- Supervise data entry to ensure the timely completion of all tasks, including receipt and management of survey forms, orderly entry of data into computers by data entry personnel, and management of hard and soft copies of household data.
- Participate in coordination and logistics during all training events, field pre-tests, and field data collection periods.
- Provide other related services as required and/or requested.

[Adapted from CARE/WFP Eritrea, 2003]

Survey Supervisors

In-depth assessments also need one or more survey supervisors. Supervisors are responsible for teams of enumerators plus logistical support staff such as drivers. The main responsibility of the field supervisor is to ensure high quality data collection by the enumerators and good response rates from the sampled households. A typical, complete list of the responsibilities of supervisors is provided in Table 15-C.

Table 15-C

Example of responsibilities for survey Supervisors

- Become fully conversant with the scope of the survey, and its contribution to vulnerability assessment, targeting, and monitoring of drought interventions.
- Participate in all survey training events, including pre-testing of quantitative questionnaires and qualitative topical outlines.
- Supervise enumerators during quantitative household interviews, providing guidance on interview techniques and solving problems.
- Liaise with local government and community leaders, informing them of the purpose of the survey and enlisting their cooperation.
- Perform random quality-control checks on household surveys to ensure accurate and reliable information is being collected.
- Review, daily, the progress of the survey to determine if problems exist and if the survey is on schedule.
- Arrange and control all field-based survey logistics, including vehicle use, fuel management, per diems for enumerators, etc.
- Conduct focus group interviews in each Zone of the survey (assisted by international consultants);
- Provide periodic information to the Survey Coordinator, updating her on the progress of the survey and on any issues that may need to come to the attention of the Technical Task Force;
- Manage the need for and use of translation services; and
- Collect survey data forms and transfer them to the appropriate data-entry point, either a WFP field station or

[Adapted from CARE/WFP Eritrea, 2003]

15.3 Sampling for an in-depth EFSA; engaging sampling expertise

In-depth EFSAAs seek to understand underlying causes and make more precise distinctions among different geographic areas and population groups. Robust statistical methods and an adequate statistically representative sample size are therefore essential and appropriate expertise must be mobilized to determine the most appropriate combination of data collection and sampling methods. Aspects requiring specific attention are: sample unit and sample frame; sample size; and sampling methods.

For guidance on sampling for an in-depth EFSA, see the sampling module on the WFP-VAM website, <http://www.vam.wfp.org>.

Table 15-D suggests some points to check in the technical proposal presented by the organization or consultant that is designing the assessment.

Table 15-D

What to check in a sampling design for an in-depth EFSA

- Is sample **unit** clearly specified? => What will the survey look at: particular types of household (e.g. IDP, refugee, farming) or individuals (e.g. children, mothers, elderly people).
- Is sampling **frame** clear? => What area will the survey cover: the whole country or one or more specified provinces, districts or camps?
- Is the basis for the proposed sample **size** explained? => If it is calculated from statistical theory, what is/are the key indicator(s) on which calculation is based? If it has not been calculated from statistical theory, what is the rationale and justification for the sample size proposed?
- If the proposed sample size is different from what the calculation suggests, is there a clear explanation for the difference and are the implications for the reliability of the results spelt out? => It may be necessary to make compromises due to time, logistic, human resources or security constraints, but the reasons and the implications *must* be explained.
- Is the sampling **method** specified and are the reasons for the choice of that method explained? => The advantage of the method proposed compared with other methods should be explained.
- What procedure will be followed in case of **non-response**, in case the sampled individuals or households cannot be met or decline to respond? => The proposal should specify the instructions that will be given to enumerators (e.g. whether/when/how many times to return and whether to substitute or not) and how non-responses will be reflected in the final report.

Examples of sample bias due to non-response

Survey X could not cover the households belonging to the tribal group A because they were reluctant to share information with outsiders. => "The household interviews excluded many of tribal group A."

Survey Y could not cover the housewives who were absent from home collecting firewood in the morning. => "The interviews with housewives most probably excluded those from households that use firewood to cook or whose major income source is the sale of firewood."

Engaging sampling expertise: how to select a consultant

Careful attention should be paid to selecting a consultant. Although sampling design is a well-established science, the way of interpreting and applying sampling design may vary among statisticians and survey designers. Table 5-E suggests the possible contents of a TOR relating to sampling.

For an **individual consultant**: Review their previous survey and assessment experience and reports. Check how clearly sampling unit, sampling frame, sample size, and sampling methods were addressed. If necessary, interview the individual.

For an **institution or organization, or consulting company**:

- Review their technical proposals: check how clearly sampling unit and sampling frame are defined, and whether their proposals for sample size and sampling methods are explained and reasonable.
- Review their professional field experience and skills: A team leader should have at least five years field experience in food security assessment with quantitative analysis. At least, one of the team members should have the skills in using SPSS or another statistical software.

How to facilitate sampling

You (the WFP Country Office) are responsible for providing necessary support to consultants and monitoring progress so that the sampling process can be successfully completed. You should:

- **provide information** to the consultant – whatever is available for the sampling frame, such as population lists or maps, and baseline data of key indicators;
- **monitor and help to resolve problems** – if, for example, access to the pre-selected sites is difficult, discuss the options and agree on how to proceed.

Table 15-E

Example of TOR for a consultancy relating to sampling

The objective of the assessment will normally relate to, amongst other things, identifying distinct socio-economic groups within the population and determining (with reasonable precision), for each group, the food gap (or 'food access shortfall') at household level and the underlying factors contributing to household food insecurity.

Tasks in relation to sampling: Within the framework of the outputs required from the assessment, the methods to be employed for data collection, the data to be collected and the way in which it is proposed to analyse the data, the consultant is required to:

- clarify the sampling unit(s) to be used (which may be household, community and/or individual);
- define the sampling frame and the rationale for it;
- propose the appropriate sampling method(s) to be used;
- specify the sample size required to enable statistically valid conclusions to be drawn. This may include any comparisons required among different areas or population subgroups;
- in case it should not be feasible (given the time and resources available) to reach a sample size sufficient to enable all the desired comparisons to be made in a statistically valid manner, propose workable compromises clearly specifying the possibilities and the limitations on the conclusions that will be able to be drawn from the data.

15.4. Monitoring the assessment process

Carrying out an in-depth assessment requires a significant amount of effort devoted to coordination among national and local government entities, WFP and partnering NGOs as well as fieldwork logistics. It may be complicated by security concerns. The WFP assessment manager should closely monitor all stages of planning – including drawing up sampling frames, questionnaire design and testing – data collection, data processing and data analysis. Give particular attention to ensuring that data entry and cleaning are well managed, especially in a large country-wide survey, and that adequate resources and staffing are mobilized in good time for those functions. Too often, assessment reports are delayed for weeks because data processing takes longer than expected.

The assessment team leader should be required to provide the following to the assessment manager:

Prior to starting field work:

- Description of the sampling strategy;
- Detailed work plan including itineraries and schedule for field work;
- Analysis plan and report outline;
- Summary of secondary data analysis to date; (if secondary data collection and analysis is going to continue while the team is conducting primary data collection, this summary should be up-dated later)
- Copies of all questionnaires and other data collection and recording instruments;
- Instructions for field teams and terms of reference for different team members;
- List of all team members and their roles.

As soon as fieldwork is completed:

- An updated work plan for completing the analysis, submitting the draft report and finalizing it after discussion.

Annex series A:

Assessment preparedness and response information

A1 Typical effects of different types of disaster

Sudden Onset

- A1.1 Earthquake
- A1.2 Landslide
- A1.3 Volcanic eruption
- A1.4 Cyclone/typhoon/hurricane
- A1.5 Seasonal flood
- A1.6 Flash flood or tsunami

Slow Onset

- A1.7 Drought
- A1.8 Economic crisis

Conflict/Displacement

- A1.9 Conflict
- A1.10 Population displacement

A2 Assessment preparedness (as part of contingency planning)

A3 Some useful sources of secondary data

A4 Some useful sources of secondary data

A5 Terms of reference for UNDAC teams

A1 Typical effects of different types of disaster

A1.1 Cyclone/typhoon/hurricane	
General effects	Some deaths and many injuries. Wind damage to all vegetation, electricity distribution systems and some buildings.
Possible secondary disasters	Storm surge causing deaths and injuries, and damage to vegetation and all infrastructure, along the coastal belt. Heavy rain and flooding further inland.
Food availability and markets	Loss of crops including tree crops. Loss of some food stocks in flooded areas. Short-term reduction in crop production due to damage to irrigation systems. Long-term reduction in crops in coastal belt due to salinization. Disruption of market infrastructure and transport.
Household food access	Loss of households' crops and livestock. Loss of household productive assets. Loss of employment in damaged businesses. Reduction in local social network transfers. Loss of trade opportunities due to reduced demand.
Food utilization	Loss of cooking facilities. Loss of care capacity due to deaths and injuries.
Nutrition and health	High risk of diarrhoeal and other water-borne diseases due to pollution of water and unsanitary conditions. Risk of malaria in malarial zones. Therefore, risks of increased malnutrition.
Contextual factors	Psycho-social trauma of individuals. Diversion of government and aid funds from other programmes to reconstruction. Possible disruption of social structures.

A1.2 Seasonal flood	
General effects	Small numbers of deaths. Damage to vegetation and infrastructure depending on the rate of flow and depth and duration of flooding. Erosion (harmful) or sedimentation (enhancing fertility)
Possible secondary disasters	Epidemics of communicable disease.
Food availability and markets	Loss of crops depending on the rate of flow, the depth and duration of flooding, the time during the crop cycle and whether replanting is possible. Loss of some food stocks in flooded areas. Short-term disruption of markets (longer-term if infrastructure damaged).
Household food access	Loss of households' crops, depending on the rate of flow, the depth and duration of flooding, the time during the crop cycle and whether replanting is possible. Possible loss of household food stocks and livestock. Loss of household productive assets. Loss of employment in damaged businesses. Reduction in local social network transfers. Loss of trade opportunities due to reduced demand.
Food utilization	Temporary inability to prepare and cook food.

	Some permanent loss of cooking facilities.
Nutrition and health	High risk of diarrhoeal and other water-borne diseases due to pollution of water and unsanitary conditions. Risk of malaria in malarial zones. Therefore, risks of increased malnutrition.
Contextual factors	Diversion of government and aid funds from other programmes to reconstruction.

A1.3	
Flash flood or tsunami¹	
General effects	Many deaths and injuries. Severe damage to vegetation and infrastructure in the valleys/coastal belt affected. Erosion.
Possible secondary disasters	Landslides. Epidemics of communicable disease.
Food availability and markets	Probably little effect on availability (localized losses only in affected valleys or coastal belt) unless salinization occurs. Possible short-term, localized disruption of markets and transport.
Household food access	Loss of households' crops, food stocks, livestock and productive assets. Loss of employment in damaged businesses. Reduced local social network transfers.
Food utilization	Loss of cooking facilities. Loss of care capacity due to deaths and injuries.
Nutrition and health	Local risk of diarrhoeal and other water-borne diseases due to pollution of water and unsanitary conditions.
Contextual factors	Psycho-social trauma of individuals. Possible disruption of social structures.

A1.4	
Earthquake	
General effects	Many deaths & injuries due to collapsing buildings close to the epicentre. Damage to roads, bridges, dams, buildings, water & electricity distribution systems, especially near the epicentre.
Possible secondary disasters	Fires in urban areas. Flooding (if dams are broken or river channels blocked). Temporary displacement of large numbers of households.
Food availability and markets	Little effect on crops. Localized losses of stocks. Possible short-term reduction of production if irrigation damaged. Disruption of market infrastructure & transport.
Household food access	Loss of employment in damaged businesses. Temporary work in rebuilding. Loss of household productive assets. Reduction in local social network transfers. Loss of trade opportunities due to reduced demand.
Food utilization	Loss of cooking facilities. Loss of care capacity due to deaths and injuries.

¹ A tsunami is a tidal wave caused by an under-sea earthquake. If the epicentre of the earthquake is close to land, there may also be earthquake damage that affects a larger area inland than that affected by the tsunami (as in the case of Aceh, Northern Sumatra, end 2004).

Nutrition and health	Generally little. Possible delayed effects of poor sanitation in urban areas.
Contextual factors	Psycho-social trauma of individuals. Diversion of government and aid funds from other programmes to reconstruction.

A1.5	
Landslide	
General effects	Death and injuries, and destruction of infrastructure and crops in the path of the slide. Change in local topography and land use possibilities.
Possible secondary disasters	Flooding (if river channels are blocked). Permanent displacement of small numbers of households.
Food availability and markets	No significant effect on availability (small localized losses only). Possible short-term, localized disruption of markets and transport.
Household food access	Loss of employment in damaged businesses. Temporary work in rebuilding. Localized loss of household productive assets. Reduction in local social network transfers.
Food utilization	Loss of cooking facilities. Loss of care capacity due to deaths and injuries.
Nutrition and health	Generally little.
Contextual factors	Little.

A1.6	
Volcanic eruption	
General effects	Death and injuries from pyroclastic and lava flows, ash and gas releases. Destruction of infrastructure and crops by lava flows and ash falls. Change in local topography and land use possibilities.
Possible secondary disasters	Fires. Landslides. Flooding (if river channels are blocked). Permanent displacement of small numbers of households.
Food availability and markets	Localized reduction of crop production due to lava cover and pollution of soil. Possible short-term, localized disruption of markets and transport.
Household food access	Loss of employment in damaged businesses. Temporary work in rebuilding. Localized loss of household productive assets. Reduction in local social network transfers.
Food utilization	Loss of cooking facilities. Loss of care capacity due to deaths and injuries.
Nutrition and health	Generally little.
Contextual factors	Little (except in case of a small island).

A1.7	
Drought	
General effects	Loss/reduction of crop yields, and all vegetation. Loss of livestock.
Possible secondary disasters	Erosion. Population displacements (temporary or permanent).
Food availability and markets	Reduced food production. No impact on markets other than reduced purchasing power.
Household food access	Reduced crop and livestock production. Reduced income from crops, livestock and agricultural labour. Increased debts. Distress sales of productive assets if conditions are severe and assistance delayed.
Food utilization	Reduced availability of fuel wood and clean water.
Nutrition and health	Increased malnutrition due to reduced food intake. Increased prevalence of disease due to reduced water use.
Contextual factors	Disruption of social structures if drought is prolonged. Reduced government revenues and support for social programmes.

A1.8	
Economic crisis	
General effects	Reduced economic activity in all sectors.
Possible secondary disasters	Population displacements (temporary or permanent).
Food availability and markets	Reduced incentive for traders to supply markets due to reduced purchasing power.
Household food access	Reduced income from employment. Reduced income from trading (due to reduced demand). Increased debts. Distress sales of productive assets if conditions are severe and assistance delayed.
Food utilization	Reduced ability to purchase cooking fuel (in urban areas).
Nutrition and health	Increased malnutrition due to reduced food intake.
Contextual factors	Disruption of social structures if the crisis is prolonged. Reduced government revenues and support for social programmes.

A1.9	
Conflict	
General effects	Disruption of economic activities and social structures (deliberate or unintentional). Emergence of a war economy. Deaths.
Possible secondary disasters	Population displacements (temporary or permanent).
Food availability and markets	Reduced food production. Possible looting or deliberate destruction of food stocks, crops and livestock – food used as a weapon. Disruption of normal in-country and import-export trade. Possible increase in informal, including cross-border, trade.
Household food access	Possibly reduced crop and livestock production. Reduced income from normal employment and trading.

	<p>Possible income from illicit sources.</p> <p>Reduction in local social network transfers.</p> <p>Increased debts.</p> <p>Distress sales of productive assets if conditions are severe & assistance delayed.</p>
Food utilization	<p>Possible loss of cooking facilities.</p> <p>Possibly reduced ability to acquire cooking fuel.</p>
Nutrition and health	<p>Increased malnutrition due to reduced food intake.</p> <p>Increased prevalence of disease due to unsanitary conditions.</p>
Contextual factors	<p>General insecurity and increased inter-communal tensions.</p> <p>Possible obstruction to the delivery of aid, including food.</p> <p>Psycho-social trauma of individuals.</p> <p>Diversion of government funds to the war effort.</p> <p>Diversion of aid funds from other programmes to relief.</p>

A1.10	
Population displacement	
General effects	Separation of people from their homes and, in many cases, their assets and means of livelihood. Displaced people may be grouped in rural or urban settlements, or be dispersed among the local (host) population.
Possible secondary disasters	Epidemics of communicable disease, if people are crowded in unsanitary conditions. Environmental degradation, if large numbers of people are in camps.
Food availability and markets	Possible reduction in overall food production and trade, depending on the causes of the displacement.
Household food access	Loss of household stocks and food production (unless people are still able to access their fields or to quickly farm available land). Some loss of livestock, although people (especially pastoralists) may have brought animals with them. Loss of income from employment and trade (although some displaced people may find employment and resume trading). Loss of some social network transfers. Increased debts. Distress sales of productive assets if conditions are severe and assistance delayed.
Food utilization	Loss of cooking facilities. Difficulties to acquire cooking fuel (or risk of depletion of local wood sources).
Nutrition and health	Increased malnutrition due to reduced food intake. Increased prevalence of disease due to unsanitary conditions.
Contextual factors	Government policy towards the displaced (whether they have access to land and employment). Possible insecurity. Competition between the displaced people and local population for resources and employment. Psycho-social trauma of individuals.

A2 Assessment preparedness

This annex outlines what is involved in being prepared to organize emergency assessments and what should be included in contingency plans in relation to assessments.

What assessment preparedness involves

Being prepared to organize an assessment quickly and efficiently when need arises depends on having three things in place in advance:

- appropriate **procedures** that are proven, well known and understood by everyone concerned, including arrangements to mobilize the material, logistic and communications **resources** necessary for the assessment;
- **individuals** with relevant knowledge, experience and training ready to form teams to fulfil all the various tasks involved in organizing and undertaking an initial investigation and a follow-on rapid EFSA; and
- relevant background **information** on the area(s) concerned.

This in turn depends on:

- **Partnerships:** As assessments, including both initial investigations and rapid EFSA's, will ideally be undertaken jointly with governmental, U.N. and other partners (see section 2.2), preparedness should also be a joint effort with partners, both current partners and others that would become important partners in an emergency.
- **Analysis and planning:** Preparedness to undertake assessments (like all other aspects of preparedness) must be based on an analysis of the types of shocks/crises that may occur, the effects of previous events, and the lessons learned. Arrangements for an assessment should be an integral component of every **contingency plan**, as required in section 4.2 of the standard outline for a WFP contingency plan, see *Contingency planning*, WFP (2001).
- **Training:** Practical training, including simulation exercises, if possible, for all staff and organizations that will have key roles to play in an assessment.

A contingency plan will normally include arrangements for undertaking an initial investigation and a rapid EFSA at the onset of a sudden new crisis. It may also include arrangements to organize an in-depth assessment during an ongoing operation or following an initial investigation of a slow-onset crisis.

Preparing the assessment component of a contingency plan follows more-or-less the same process as that outlined in chapter 10 for designing and planning a rapid EFSA. The difference is that the component of the contingency plan is based on past experience and a hypothetical scenario whereas an actual assessment plan is based on initial information about the actual situation and past experience. Essential elements that need to be in place and specified in a contingency plan are summarized below.

Procedures and resources

For the particular type of situation and contingency scenario:

- Type(s) of assessment required and what would trigger the assessment (e.g. the occurrence of a disaster of a certain magnitude or particular early warning signs); how and by whom the assessment process would be initiated.
- Draft objectives and terms of reference (TOR), including the time frame within which the assessment should be completed (the team submit its report).
- A draft assessment work plan, similar to that in Figure 10b in section 10.1.
- Participants, roles and responsibilities: list the governmental, U.N., NGO and other partners expected to participate in the assessment and specify the roles and responsibilities of each partner making sure that responsibility for every task in the draft work plan is clearly assigned (to one or a small subgroup of organizations or individuals).
- Methods: specify the analyses that will probably be needed; the information requirements and likely data collection requirements (taking account of the background data already available, see below); and the data collection and sampling methods that would probably be appropriate. Specify alternatives, if appropriate, and the criteria that would be used to choose among them depending on the actual situation.
- Tools: the data collection instruments – formats already translated into appropriate local languages – that will be used or adapted; corresponding draft instructions for field assessment teams; tools to be used for processing and analysing data.
- Reporting systems: how reports from local authorities, agencies in the field and assessment teams should be submitted; how information will be shared.
- Resources: the material, logistic and communications resources that will be required; how and by whom they will be mobilized and managed.
- Coordination: the mechanisms (meetings, email, website, etc.) to be used to ensure information sharing and coordination during the assessment process.
- Internal WFP arrangements to ensure that WFP fulfils its particular responsibilities effectively and efficiently. This may include mobilizing support from the regional bureau, headquarters or other sources, if required for a major emergency.

The arrangements should provide for collaboration with a UN Disaster Assessment and Coordination (UNDAC) team that may be mobilized by the UN Resident Coordinator and OCHA for a major natural disaster, and an OCHA coordination team for a complex emergency.

Personnel and competencies

For the particular type of situation and contingency scenario:

- Competencies: specify the mix of competencies required (see Table 10-P in section 10.7); draw up profiles and draft TOR for the different types of assessment team members.
- Numbers: specify the numbers of field teams and individual personnel likely to be required.
- Sources: list the numbers of personnel corresponding to particular profiles.
- Training: organize joint training for personnel designated by different partners as potential assessment team members; specify the arrangements that will be made for the rapid training of assessment teams at the onset of an emergency before they go to the field (see section 10.7).

Background information

A single database of essential background information will be required to support different types of assessment in different scenarios. Review the pre-crisis information requirements specified in annex A3 and, considering the scenario(s) being planned for, specify the background data required. Assemble the relevant data that are available in the WFP comprehensive food security and vulnerability analysis (CFSVA), other VAM reports and the data bases of the government and other organizations, make the data available to all potential EFSA partners and agree on collaborative arrangements to keep the data up to date.

A3 Analysis and information requirements for the EFSA themes

This annex reproduces the tables from chapters 4 to 7 that summarize the analysis and information requirements for the main EFSA themes and the causal/contextual analysis. The tables also suggest possible sources for the information. These tables may help you to think through what may be needed and appropriate in your situation but, as indicated in section 10.2, you must always choose the analyses you will undertake and define the information you require in the light of the particular situation you are dealing with.

The tables reproduced are:

4-A Food availability including markets: (i) Food supplies

4-B Food availability including markets: (ii) Markets

5-C Food access and livelihoods: (i) Livelihoods

5-D Food access and livelihoods: (ii) Household food access

6-A Food utilization and nutrition: (i) Food utilization

6-B Food utilization and nutrition: (ii) Nutritional situation

7-A Causes and contextual factors

Table 4-A Analysis and information requirements for a rapid EFSA				
Theme	Food availability including markets: (i) Food supplies			
Possible types of analysis	Comparison of current stock levels, harvest prospects and import plans with what would be normal. [Drawing up food balance sheets would normally be done only by an in-depth assessment or CFSAM.]			
Possible information requirements		Possible sources of data 1 = pre-crisis; 2 = current & forecasts		
Pre-crisis data	Current situation & forecast	1	2	Sources
Last 5 years data on: <ul style="list-style-type: none"> in-country food stock levels cultivated area, yields & production of main crops imports (government, commercial, food aid) of main food items 	Current situation: <ul style="list-style-type: none"> In-country food stocks 	√		National & provincial statistics offices
	Forecasts (including seasonal variations) for: <ul style="list-style-type: none"> cultivated area, yield & production imports (government, commercial, food aid) 	√	√	Ministries of food, agriculture, commerce, trade
		√	√	Major donors, especially USAID/FEWSNET and EU Food Security Units
		√	√	Import/export traders & forwarding agents
		√	√	District officials
			√	Local traders and observation (for informal cross-border trade)
		√	√	Extension workers (for local production)

Table 4-B Analysis and information requirements for a rapid EFSA				
Theme	Food availability including markets: (ii) Markets			
Possible types of analysis	<p>Mapping the links (integration) and competitiveness between markets.</p> <p>Comparison of trade flows to, from and within the area with what would be normal, for key food items.</p> <p>Comparison of local market prices and turnover with what would be normal, for key food items, livestock, productive assets and inputs, and a few other essential commodities.</p> <p>Consolidation of the perspectives of traders and relevant authorities.</p> <p>Mapping of areas where people no longer have access to functioning markets, and the reasons.</p>			
Possible information requirements			Possible sources of data 1 = pre-crisis; 2 = current & forecasts	
Pre-crisis data	Current situation & forecast	1	2	Sources
<p>Normal trade flows for main food items (map).</p> <p>Volumes of food commodities traded into/out of (i) the areas now in crisis and (ii) the country</p> <p>Prices of main food items and other essentials in markets with seasonal variations</p>	<p>Current data on:</p> <ul style="list-style-type: none"> estimated volumes of food moving into/out of (i) the areas now in crisis and (ii) the country prices of main food items and other essentials in markets areas where there is no longer any exchange of goods with other areas <p>Forecasts (including seasonal variations) for:</p> <ul style="list-style-type: none"> trends in trade flows trends in prices perspectives of traders and relevant authorities 	√		Ministries of food, agriculture, commerce, trade
		√	√	District officials
			√	Market observations
			√	Interviews with traders
			√	NGOs working in the area
			√	Community leaders
			√	Local population

Table 5-C Analysis and information requirements for a rapid EFSA				
Theme	Food access and livelihoods: (i) Livelihoods			
Possible types of analysis	<p>Estimation of changes in livelihood asset endowments either directly or using selected proxy indicators.</p> <p>Estimation of changes in employment opportunities and the resources and systems on which livelihoods depend.</p>			
Possible information requirements		Possible sources of data 1 = pre-crisis; 2 = current & forecasts		
Pre-crisis data	Current situation & forecast	1	2	Sources
<ul style="list-style-type: none"> • Normal food and income sources of different population subgroups. • Livelihood assets of different population subgroups. • Main sources of paid employment in the area. • The natural resource base on which livelihoods depend. • Markets and trade patterns on which livelihoods depend. 	<p>Current situation:</p> <ul style="list-style-type: none"> • Changes in livelihood assets of different population subgroups and the reasons. • Changes in employment opportunities, the natural resource base, markets and trade patterns on which livelihoods depend. 	√		Ministries of labour, trade.
	<p>Forecasts (including seasonal variations) for:</p> <ul style="list-style-type: none"> • Replacement (or further loss) of livelihood assets • Employment opportunities 	√	√	Local chambers of commerce.
		√	√	Local businessmen.
		√	√	<i>Plus as for household food access below</i>

Table 5-D

Analysis and information requirements for a rapid EFSA

Theme	Food access and livelihoods: (ii) Household food access			
Possible types of analysis	<p>Comparison of current consumption, sources of food, sources of income, and essential expenditures with what would be normal, for households in distinct areas and population subgroups.</p> <p>Determination of the sustainability of the coping strategies adopted.</p> <p>Estimation of household food access shortfalls (using judgement, selected proxy indicators, or quantitative economic analysis).</p> <p><i>In the days following a sudden catastrophe:</i> Comparisons of what households are able to provide for themselves with average minimum nutritional requirements (2100 kcal/person/day adjusted for local conditions).</p>			
Possible information requirements		Possible sources of data 1 = pre-crisis; 2 = current & forecasts		
Pre-crisis data	Current situation & forecast	1	2	Sources
<ul style="list-style-type: none"> Normal diets/food habits, food and income sources, essential expenditures of different population subgroups; proportion of income spent on food. Usual coping strategies of different population subgroups at times of stress. 	<p>Current situation:</p> <p><i>To estimate shortfalls based on comparison with normal or food consumption indicators:</i></p> <ul style="list-style-type: none"> Diet diversity and meal frequency; sources of food and income; expenditure levels; proportion of income spent on food; Coping strategies adopted. <p><i>To estimate shortfalls based on quantitative/economic analysis:</i></p> <ul style="list-style-type: none"> Quantified changes in food and income sources and essential expenditures of different population subgroups. <p>Forecasts (including seasonal variations) for:</p> <ul style="list-style-type: none"> Qualitative changes in food and income sources and essential expenditures of different population subgroups; The limits on coping strategies, and their sustainability; Prospects for household food 	√		VAM and other pre-crisis food security baselines/profiles.
		√		Ministries of food, agriculture, rural/ community development
		√		National nutrition and social research institutions
		√		USAID/FEWS-NET and EU Food Security Units
		√	√	Anthropologists
		√	√	NGOs working in food security and development
		√	√	Local extension workers and public health officers
		√	√	Farmers' associations
		√	√	Cooperatives and other local associations
		√	√	Community leaders and other key informants
		√	√	Community members (through community interviews and subgroup interviews or household survey)
			√	Observation

	<p>production, employment, other income generation activities, food or cash receipts.</p> <ul style="list-style-type: none"> The relative importance given by households to food, non-food essentials, and asset protection. 			
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Table 6-A

Analysis and information requirements for a rapid EFSA

Theme	Food utilization and nutrition: (i) Food utilization			
Possible types of analysis	<p>Comparison of the food that households currently have and are able to prepare with (i) their normal food habits, and (ii) recommended feeding practices for young children and sick and elderly people.</p> <p>Care and feeding practices ...</p>			
Possible information requirements		Possible sources of data		
		1 = pre-crisis; 2 = current & forecasts		
Pre-crisis data	Current situation & forecast	1	2	Sources
<ul style="list-style-type: none"> Normal food storage and preparation habits, and any taboos. Normal feeding practices for young children and sick and elderly people. 	<p>Current situation:</p> <ul style="list-style-type: none"> The quantity and quality of water available to households for cooking and domestic hygiene purposes. The utensils, cooking stoves and cooking fuel available to households. If cooking facilities and fuel are scarce, the appropriateness of shared or communal cooking facilities. Changes in feeding practices for young children and sick and elderly people. 	√		VAM and other pre-crisis food security baselines/ profiles
		√		Ministry of health
		√		National nutrition and public health research institutions
		√	√	NGOs working in nutrition and public health
		√	√	Local extension workers and public health officers
		√	√	Women's associations
		√	√	Community leaders
		√	√	Community members (through community interviews and subgroup interviews or household survey)
			√	Observation

Table 6-B Analysis and information requirements for a rapid EFSA					
Theme	Food utilization and nutrition: (ii) Nutritional situation				
Possible types of analysis	<p>Comparison of malnutrition (and mortality) rates with what would be normal and against international standards.</p> <p>Examination of (i) data from the health information system, and (ii) diets and ration composition, to identify the presence, or risks, of micro-nutrient deficiencies.</p>				
Possible information requirements			Possible sources of data 1 = pre-crisis; 2 = current & forecasts		
Pre-crisis data	Current situation & forecast		1	2	Sources
<ul style="list-style-type: none"> Normal rates of global acute malnutrition and seasonal variations. Endemic micronutrient deficiencies, if any. Causes of malnutrition. Epidemiology of the area – normal disease patterns and seasonal variations. 	Current situation:		√		VAM and other pre-crisis food security baselines/ profiles
	<ul style="list-style-type: none"> Global and severe acute malnutrition rates. 		√		Ministry of health
	<ul style="list-style-type: none"> Clinically diagnosed micronutrient deficiencies. 		√		National nutrition and public health research institutions
	<ul style="list-style-type: none"> Diets and any associated risks of micronutrient deficiencies. 		√	√	NGOs working in nutrition and public health
	Data for forecasting (including seasonal changes):		√	√	Local public health officers
	<ul style="list-style-type: none"> Intra-household sharing of food. 		√	√	Women's associations
	<ul style="list-style-type: none"> Water and sanitation conditions 		√	√	Community leaders

Table 7-A Analysis and information requirements for a rapid EFSA					
Theme	Causes and contextual factors				
Possible types of analysis	Political economic analysis; Social analysis and gender analysis; Conflict analysis ('No harm' analysis); Logistics analysis.				
Possible information requirements			Possible sources of data 1 = pre-crisis; 2 = current & forecasts		
Pre-crisis data	Current situation & forecast		1	2	Sources
<ul style="list-style-type: none"> Human and other productive resources of households in different livelihood/ population groups. Social structures and relationships, including 	Current situation:		√		VAM and other pre-crisis baselines/ profiles
	<ul style="list-style-type: none"> Changes in the human and other productive resources of households in different population groups (e.g. if household members have been sent out to work, or 		√		Social research institutions
			√	√	Anthropologists
			√	√	NGOs working in community development

underlying ethnic or social tensions, if any. • Gender roles. • Logistics capacity.	called back to the household).	√	√	Local extension and health workers
	• Social structures and relationships, including ethnic or social tensions, if any.	√	√	Community leaders
	• Changes in gender roles and the effects of this on livelihoods and food security.	√	√	Religious leaders
	• Current logistics capacity.	√	√	Community members (through community interviews or subgroup interviews)
	Data for forecasting (including seasonal changes):	√		Logistic capacity assessments
	•			

A4 Some useful sources of secondary data

Mapping products & databases

The VAM–SIE internet-based platform holds a standardised yet decentralised spatial information management environment that enables WFP Country Offices (CO) and Regional Bureaux (RB) to access geo-referenced food security databases and cartographic products (including ready-made cartographic maps) from a variety of sources. At the same time, SIE tools enable COs and RBs to organize and share the spatial information they already have and provide up-to-the-minute food security analysis to the rest of the community in near-real time. The following nodes are accessible via internet as of end 2004.

ODAV (HQ Rome)	http://vam.wfp.org/geonetwork
ODB (Bangkok)	http://203.146.113.37
ODC (Cairo)	http://vamodc.wfp.org
ODD (Dakar)	http://213.154.77.158/geonetwork
ODJ (Johannesburg)	http://196.36.132.196/geonetwork
ODK (Kampala)	http://193.108.214.8/geonetwork
ODPC (Panama)	http://201.224.73.132
Ethiopia Country Office	UN Extranet: http://10.11.157.8/geonetwork
Sudan Country Office	http://212.0.146.203

WFP- ODAP crisis support and crisis monitoring data

Base maps, contingency plans, logistics capacity assessments at country level at:

EPWeb	http://epweb.wfp.org/epweb/home_page/index.asp
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Additional maps or supporting documents are available on request.

Population data

Census information websites	www.un.org/Depts/unsd/demog/cendate/index.html
	www.census.gov/ipc/www/cendates

Actual population data are best found in-country.

Global datasets available at UN and World Bank

	http://unstats.un.org/unsd/demographic/products/dyb/dyb2.htm
	http://home.developmentgateway.org/DataStatistics

But more data can usually be found on governmental statistical websites.

Humanitarian Events

Relief Web	www.reliefweb.org
Relief Web Maps	http://www.reliefweb.int/rw/rwb.nsf/doc114?OpenForm
Humanitarian Early Warning Service (HEWS)	www.hewswb.org
OCHA	www.ochaonline.un.org

Data relevant to availability (agriculture, rainfall, etc.)

	www.fao.org
UN Food and Agricultural Organization (FAO)	<ul style="list-style-type: none"> • GIEWS – Global Information and Early Warning System • Country Information/profiles • FIVIMS
National Ministries of Agriculture	
Regional Organizations such as SADC in Southern Africa and CILLS in West Africa	

Data relevant to access (income and expenditure surveys)

World Bank	www.worldbank.org
Asian Development Bank	http://www.adb.org/Statistics/default.asp
African Development Bank	http://www.afdb.org/en/statistics
Inter-American Development Bank	http://www.iadb.org/
UNDP Human Development Reports	www.undp.org/hdr
National statistics bureaux	

Data relevant to utilization (health and nutrition)

Demographic and Health Surveys (DHS)	www.measuredhs.com
Multi-Indicator Cluster Surveys (MICS)	www.childinfo.org
UNICEF	www.unicef.org
World Health Organization	www.who.int/en (<i>Health action in crisis</i>)
UNAIDS	www.unaids.org
National Ministries of Health	
NGO partners in country	

A5 Terms of reference for UNDAC teams

United Nations Disaster Assessment and Coordination Team (UNDAC) Generic Terms of Reference (1.11.02)

The United Nations Disaster Assessment and Coordination (UNDAC) system is a part of OCHA, and is deployed pursuant to a request from an affected Government, the ERC, or the Resident/Humanitarian Coordinator (RC/HC). It:

- supports the Resident Coordinator /Humanitarian Coordinator (RC/HC) and the UNCT by providing technical services, principally in the field of on-site coordination and information dissemination
- aims to facilitate close links between country-level, regional and international response efforts
- assists in meeting international needs for early and qualified information on the situation and, when necessary, in the coordination of international relief at the site of the emergency

UNDAC teams work in close consultation and coordination with the UN Country Team (UNCT)/Disaster Management Team (DMT) and the IASC.

The following are generic terms of reference for the mission of an UNDAC Team, which establish the overall framework for UNDAC deployments. The ERC may, within this framework, modify the TORs of an UNDAC mission, consulting with the RC/HC and UNCT in the field, depending on the requirements of a given emergency situation.

When on mission, the UNDAC team:

- Assists and works under the authority of the RC/HC, who in turn reports to the ERC when responding to disasters and emergencies.
- Supports and facilitates the work of the affected Government and the UNCT/DMT in country, in the initial response phase of an emergency.
- Reports to the RC/HC and informs him/her and the UNCT/DMT of developments in the emergency situation.

The UNDAC team may provide and disseminate initial information on the material and human dimensions of an emergency with the aim of giving host Governments and the international community a broad understanding of the nature and magnitude of an emergency. The UNDAC team will not issue appeals. Any UN appeal will be managed by the RC/HC and the UNCT.

While substantive multi-sectoral assessments will normally be made by the host Government, UN agencies or qualified members of the IASC, within the framework of RC-UNCT coordination, UNDAC aims to support the host Government and UNCT/DMT in facilitating the coordination of initial assessments of both the emergency situation and the international relief requirements stemming from it, with a particular view to ensuring:

- the consistency of any preliminary information regarding the nature and scale of the emergency, the preliminary needs assessed and the relief interventions required; and,
- the coordination of the infrastructure and logistics, including in relation to a possible deployment of UNJLCs.

During earthquakes and other emergencies involving collapsed structures where international urban search and rescue teams are deployed, UNDAC may, when requested by the affected Government, ERC, RC/HC or INSARAG, establish a specialized On-Site Operations Coordination Centre

(OSOCC) with the local emergency management authorities to enable them to meet the technical needs of coordination of the international urban search and rescue teams.

When requested by the affected Government, ERC or RC/HC, UNDAC may establish an OSOCC for the effective integration and use of international relief assets in support of the appropriate national emergency management authority.

When requested by the affected Government, ERC, RC/HC and UNCT to operate in complex emergencies, UNDAC normally deploys and functions with the context of OCHA's surge capacity and operates in close consultation and coordination with the UN operational agencies.

The UNDAC team maintains links with and regularly reports on the progress of its mission to the ERC, UNCT/DMT and IASC partners throughout the duration of its mission.

As part of a joint effort to enhance system-wide coordination, OCHA will provide regular reports on UNDAC missions and field deployments to the UNDAC Advisory Board and the IASC-WG as required.

Annex series B:

Selected tools for EFSAs

B1 Food security proxy indicators (diet diversity & meal frequency)

B2 Estimating numbers

B3 Livelihood zoning

B4 Determining the need for and effectiveness of selective feeding

B5 When particular response options may be appropriate, and the information required to decide

B6 When particular targeting options may be appropriate, and the information required to decide

B7 Determining whether school feeding would be appropriate

B8 Domestic energy requirements

B1 Food security proxy indicators

This annex provides descriptions of two widely used proxy indicators for household food access: ‘Diet diversity’ and ‘Meal frequency’. Similar details on two other proxy indicators – the ‘Coping strategies index’ and ‘Asset index’ – are available on the CD-ROM: these may be useful for monitoring (not for assessments).¹

Dietary Diversity

Definition: Dietary diversity is the sum of the number of different foods or food groups consumed by an individual or household over a specific time period. The indicator is a proxy for quality of diet and is highly correlated with adequate caloric and protein intake, quality of protein consumption, and household income (Hoddinott and Yohannes 2002a; Ruel 2002). Using dietary diversity as a proxy for income assumes an availability of a wide range of foods within the programme area at economically attractive prices.

Appropriateness: The indicator can help distinguish energy availability and nutritional adequacy and thus is a useful indicator of food security. The indicator is useful in a variety of contexts, including urban and rural areas, poor- and middle-income countries, and across all seasons (Hoddinott and Yohannes 2002a; Ruel 2002). Dietary diversity is recommended as an accurate alternative to more costly and technically demanding indicators such as increased percentage of household consuming daily caloric intake. There is strong empirical evidence to support the use of this indicator as a proxy for income as well as food access.

Data Requirements: Dietary diversity is an attractive indicator in part because it does not require special skills or high expense to collect. The first step in measuring dietary diversity is to collect information on local consumption patterns to identify a diet that, according to the community, signifies food security.

This is accomplished either through secondary data reviews or exploratory research with focus groups and/or at local markets. One result of this first phase will be a list of all locally consumed foods.

When this indicator is used as a direct measure of food security, food groups should be based on economic value (see Hoddinott 2002 for discussion of food groups, *forthcoming*) which can serve as a proxy for wealthy and poor households. As a measure of consumption, foods are grouped not by economic value but by nutritional composition. It is important to note that unreported consumption of wild/gathered foods can sometimes confound results. In addition, foods obtained outside of the home are generally not included so as to more accurately capture the diversity across household members (i.e., it may be only one member who purchases food from a street vendor). However, if whole households frequently obtain food outside of the home, these foods should be included (Ruel 2002).

Portion size is also critical to arriving at an accurate estimate of true dietary diversity. Minimum portion sizes to be included in the count must be determined to avoid overstating the level of diversity. Basic household information, including household size and composition, age, education, and location should also be collected to assist with interpretation of the data. For example, tastes may vary with age and education.

The optimal recall period is based on context specific factors. It depends in part on the magnitude of daily variation and levels of recall errors, and it also relates to the level of analysis, whether it will be done at the household or population level. However, it is recommended that PVOs use a recall period of either 24 hours, or three to seven days (Hoddinott and Yohannes 2002a), although research suggests that the 24 hour recall period may underestimate the variability of intake (Drewnoski et al. 1997 in Ruel 2002).

Dietary Diversity

Population Considerations – Dietary practices can vary within households and vulnerable groups can be excluded from project benefits. The dietary diversity of women as compared to men is more indicative of overall household food security (Bonnard 2001).

Women are the most appropriate respondents for information on diet and consumption.

Programme Type – Suitable for development/ rehabilitation programmes that seek to increase household income.

¹ Adapted from FAM 2004 *Guide for measuring food access*, prepared by TANGO International. Food Aid Management, Washington D.C.

There are two principal methods for measuring dietary diversity: Dietary diversity scores (DDS) and food variety scores (FVS). There are tradeoffs in precision between these two methods. DDS are faster and easier to collect but, because foods are aggregated by type, the measure is not as sensitive to change as FVS, which counts individual food types separately (see Ruel 2002). Field experience shows that questions about the number of food or food groups consumed over a given reference period typically takes under 10 minutes per respondent, and such questions are relatively straightforward and non-intrusive (Hoddinott and Yohannes 2002a). Information should be collected from a statistically valid sample of representative households from the population of interest. The best sources of this information are women, whether wives or heads of households.

Dietary scores can be calculated in two ways. The first is by summing the number of types of foods consumed. The second is a weighted sum that accounts for the number of times a given food is consumed (Hoddinott 1999). Cutoff values for rating high and low diversity may need to be determined locally. FANTA (Hoddinott and Yohannes 2002b) has suggested developing targets based on an average dietary diversity value from the top 25 percent of households in the area. In this way, the targeted level of dietary diversity is achievable in the local population.

The level of aggregation should reflect the use of the data. For example, collecting information by food group may provide better information on dietary quality. However, changes in income may result in substitutions within food groups (such as maize rather than millet) that would not be captured in a food group measure. Because dietary diversity differs by context it is difficult to make comparisons across households in different localities.

Refer to Swindale and Ohri-Vachaspati (1999) and Hoddinott (2002) for guidance on measuring dietary diversity, including data collection methods, sample questionnaires, and calculating dietary diversity.

Timing: The timing of data collection should be based on knowledge of local food supplies and seasons of shortage. The indicator will correlate strongly with seasonal food availability. The availability of certain foods such as fruits can fluctuate significantly throughout the year. The study team should especially avoid data collection during exceptional times such as holiday seasons when food consumption may be exaggerated or strictly limited.

Caveats: One difficulty associated with this indicator, as noted above in the discussion of data requirements, is the inability to set targets for changes in diet because dietary diversity varies in different contexts. Another issue involves determining minimum intake values before counting the item as a food. For example, some spices with relatively limited nutrient content are often added to traditional dishes. This indicator should be adapted to capture changes in food access with respect to the programme objectives and interventions. Including soft drinks on the list will not indicate improved nutritional status, but it may be associated with increased income (Swindale and Ohri-Vachaspati 1999).

Vulnerability: Low levels of dietary diversity may or may not indicate vulnerability, depending on the type of vulnerability being researched. In certain cases, economically secure households have a less diverse diet in which a preferred staple food is consumed on a daily basis. Furthermore, dietary diversity is culturally specific. A number of studies across countries, however, suggest an association between dietary diversity and socioeconomic status (see Ruel 2002 for a summary of these studies), which may contribute to an understanding of a household's vulnerability to shocks and food insecurity. Generally, dietary diversity is a good indicator of vulnerability because of populations' tendency to decrease the number of items consumed as they become more food insecure.

Indicator score sheet

	Dietary Diversity
Cross Comparison Difficulty	Medium
Imp. Time Demands	Low
Technical Capacity	Low
Contextualization	High

Complementarity: Dietary diversity is a good indicator of consumption levels and caloric availability and is closely correlated with food access. Since levels of dietary diversity are driven in part by the availability of different foods, it is important to combine this measure of access with another proxy indicator of income/ food access such as the *asset index* or *crop and livestock income*.

Key Resources:

Hoddinott, J. and Y. Yohannes. *Dietary Diversity as a Food Security Indicator*. FCND Discussion Paper No. 136. Washington, D.C.: International Food Policy Research Institute, June. 2002a.

Hoddinott, J. and Y. Yohannes. *Dietary Diversity as a Food Security Indicator*. FANTA Technical Note No. 4, August. 2002b.

Ruel, M. *Is Dietary Diversity an Indicator of Food Security or Dietary Quality? A Review of Measurement Issues and Research Needs*. FCND Discussion Paper No. 140. Washington, D.C.: International Food Policy Research Institute. 2002.

Swindale, A. and P. Ohri-Vachaspati. *Measuring Household Food Consumption: A Technical Guide*. Washington, D.C.: Food and Nutrition Technical Assistance, Academy for Educational Development. 1999. (Also, see Appendix.)

Number of Daily Eating Occasions

Definition: In addition to its frequent use as a food security indicator, this indicator serves as a proxy for gauging household caloric and protein intake. An important assumption, and one that should be tested during pre-programme assessments, is that reduction in the number of meals consumed per day is among the earliest and most important coping strategies employed in targeted communities.

Appropriateness: This indicator is most useful for capturing information on coping strategies employed during transitory food insecurity situations. This indicator is not sensitive in regions where only one meal is customarily taken daily (Swindale and Ohri-Vachaspati 1999). Precision of responses is generally high as response options are few and the recall period is generally short.

Data Requirements: The data are inexpensive to collect and collection requires no special skills. Data collection does not require determining meal size or composition, which are more complicated to assess. An exploratory survey or review of secondary data is required to identify customary eating behaviors as well as expected variations in the area to be surveyed (Swindale and Ohri-Vachaspati 1999). In addition, it is important to define precisely how “a meal” will be defined. Respondents are simply asked to state the number of meals consumed for the day of the survey or during recent days. Analysis would calculate average number of meals for a group in question. Interpretation of results would have to take into consideration traditional local norms for food consumption (i.e., not assume that three meals per day is optimal and that anything less reflects food insecurity and include age and gender considerations).

Timing: Information collected for this indicator will change during the year based on events in the seasonal calendar. Timing the survey during times of hunger (e.g., the period before harvest) will capture a greater magnitude of difference between households, keeping in mind the caveats discussed below. It is critical to measure this indicator during the same month throughout the life of the programme.

Number of Daily Eating Occasions

Population Considerations – Women are usually best suited to provide accurate responses to questions concerning diet and consumption. In households where women work outside of the home, it will be important to interview other primary caretakers. It is also important to carefully consider cultural factors and differences between population groups, such as herders, that rely on frequent snacking or wild foods to supplement their diets.

Program Type – This indicator is suitable for development/rehabilitation programs that seek to increase household income.

The number of eating occasions per day is a useful indicator of food access, as long as differences in context are taken into account. Definitions of the term “eating occasion” or “meal” make it difficult to compare across locations. In some parts of Zambia, for example, people define an eating occasion through the consumption of rice. ADRA/Ghana uses “meals per day during the lean season” as a measure of second level food security impact.

Caveats: There are two primary issues to consider when using the number of daily eating occasions. The first is that of cultural influences, which may determine optimal number of meals per day. In settings where it is common to consume fewer than three meals per day, this may not be the most appropriate measure. Assessing changes between one and three or four meals per day is more informative than differences between one and two meals per day. In these contexts, it is more likely that households adjust the quantity of food consumed rather than the frequency.

Secondly, the definition of “eating occasion” varies across cultural contexts. While the term “eating occasion” is recommended over the use of “meal”, it is still important to consider cultural factors that define an “eating occasion” and account for this when implementing the data collection and interpreting the results. In some cases, for example, an “eating occasion” is defined by the volume or the particular food or foods consumed. Some cultural or livelihood groups, such as pastoralist herders, may significantly supplement their diets with wild foods or frequent snacks. Prior to the harvest, subsistence farm families may rely on green maize or beans in the place of formal meals.

In contexts where frequent snacking takes the place of formal meals, the number of daily eating occasions may be difficult.

Vulnerability: The number of daily eating occasions is a strong indicator of household strategies to cope with short term food insecurity. However, it is less sensitive to changes in situations of chronic food insecurity. Because of two factors mentioned above (local traditions for appropriate number of meals per day and the potential for frequent between-meal snacking) this indicator may not be especially pertinent to assessing levels of vulnerability in a community.

Indicator Score Sheet

	Number of Daily Eating Occasions
Cross Comparison Difficulty	Medium
Imp. Time Demands	Low
Technical Capacity	Low
Contextualization	High

Complementarity: Because the definition of “eating occasion” varies across locations, and the indicator is not sensitive to changes in quantity as well as frequency, it is recommended that the number of daily eating occasions indicator is used in conjunction with *dietary diversity* (Swindale and Ohri-Vachaspati 1999).

Key Resources:

Swindale, A. and P. Ohri-Vachaspati. *Measuring Household Food Consumption: A Technical Guide*. Washington, D.C.: Food and Nutrition Technical Assistance, Academy for Educational Development. 1999. (Also, see Appendix.)

B2 Estimating numbers

This annex provides guidance on estimating population numbers, which can be contentious.

Any enumeration exercise for displaced people should be planned and conducted with care and, wherever possible, the collaboration of local authorities and community leaders. Whatever method is used, a number of literate and numerate interviewers will be needed, preferably from the community itself. Discuss and agree with the other stakeholders on the most suitable methodology to use, and involve them in the estimation exercise. The more agreement there is as to the numbers and the basis for them, the more useful the results are likely to be for all subsequent purposes.

Using census data ²

Data for *resident populations* will be based on census data and/or whatever ‘official’ figures are available but must be reviewed. The steps are:

- get the best available (latest) census data and projections, taking account of subsequent population growth;
- adjust for whatever might be known about population movements;
- cross-check the figures from different sources, including the health services and well-established NGOs; and then
- with the government, local authorities, religious leaders and NGOs working in the area, discuss how to reconcile any differences and agree on a working figure for planning purposes.

If necessary, use one of the methods below to cross-check data for particular localities on a sample basis.

When people are on the move

To make a very quick estimate of the rate at which people are moving – the number per day: count the number of people passing a particular point (e.g. a border check-point or a bridge) during a 30-minute period, multiply by 2 for the number passing per hour, and multiply by the number of hours per day that people are passing.

When possible, deploy monitors, or mobilize border authorities, military personnel, staff of partner agencies, or some of the refugees themselves, to count people passing the chosen point(s) throughout the day, and provide simple reporting forms for them record the data (e.g. for each 1-hour period throughout the day and, if relevant, the night).

Whenever there are large numbers, provide each monitor with a hand-held mechanical counter.

When there are very large numbers of displaced people, spread over a large area

In these situations, aerial photography, or remote sensing, may be used to identify the locations where refugees are concentrated and make very rough initial estimates of the numbers.

When a site is small or orderly

In these situations there are three basic steps:

1. Count, or estimate, the number of shelters.
2. Estimate the average number of people per shelter by systematic sampling.

² Adapted from WFP *Emergency Field Operations Pocketbook*, section 2.11, 2002

3. Multiply the number of shelters by the average number of people per shelter.

To do this:

- Ask one or more auxiliaries or community members to count the number of dwellings in the area, and give each dwelling a unique number. Alternatively, if a recent aerial photograph is available on which individual dwelling can be distinguished and counted, number the dwelling on the photograph.
- Decide on the sample size: for example, 40 dwellings for an area/camp with fewer than 5,000 inhabitants; up to 100 dwellings for an area/camp with more than 20,000 inhabitants.
- Calculate the sampling interval 'N' by dividing the total number of dwellings by the chosen sample size.
- Randomly choose the number (between 1 and N) of the first dwelling to be visited. Go to that dwelling and then to every Nth dwelling after it. Record the number of people living in each of the selected dwellings.
- Sum the number of people in the dwellings visited and divide the total by the number of dwellings visited. This gives the average number of inhabitants per dwelling.
- Multiply this average number by the total number of dwellings in the camp to obtain an estimate for the total population.

Example

Systematic sampling calculation

- The total number of dwellings is 1,700.
- The sample size chosen is 60 (with 1,700 dwellings the population will be more than 5,000 but probably well below 20,000, so a figure between 40 and 100 is chosen).
- Therefore, the sampling interval is $1,700/60 = 28$.
- Randomly choose (e.g. from a random number table) a number between 1 and 28: say 11 is chosen.
- Visit dwelling #11, then dwelling #39 ($11+28=39$), then dwellings #67 ($39+28=67$), #95, etc.
- The total number of people living in the 60 dwellings visited is 288.
- The average number of inhabitants per dwelling is $288/60 = 4.8$
- Therefore, the estimated total population is: $1,700 \times 4.8 = 8,160$

The usefulness of the data for planning and management purposes may be enhanced by:

- estimating the number of people in each distinct physical subdivision of the site (such as blocks or sectors separated by roads, paths, rivers or ditches, for example). For this, samples of 40-100 shelters should be systematically selected in each subdivision. Subsequently, it would be possible to check or refine the data sector-by-sector.
- collecting data at each selected shelter broken down by age group and sex. For this, a recording sheet such as the one below could be used.

Sample demographic data collection sheet											
Shelter No.	Women & girls					Men & boys					Total (both sexes)
	<5 yrs	5-17	18-59	60+	Total	<5 yrs	5-17	18-59	60+	Total	
1											
2											
...											
Total											

When a site is very large or not very orderly

In these situations there are four basic steps:

1. Estimate the total surface area of the site;
2. Randomly select at least 3 points and define sub-areas of the same surface area around each point;
3. Either (i) count the number of people living in each sub-area, or (ii) estimate the numbers by estimating, for each sub-area, the number of shelters and the average number of people per shelter, and multiplying the two;
4. Extrapolate from the sample sub-areas to the whole site by summing the estimates for the selected sub-areas, dividing by the sum of their surface areas and multiplying by the total surface area of the site.

A 'quick and dirty' method to obtain a very rough estimate is as follows:

- Prepare a rough map and estimate the total surface area of the site. To do this:
 - *If you have a GPS and GIS software:* go around the perimeter with a GPS, taking readings every 10 to 20 metres (or at every change of direction) and feed the data into the GIS programme. The programme will calculate the area enclosed and enable you to print out a map of the perimeter.
 - *If you do not have a GPS and GIS software:* walk [or drive] around the area, preparing a rough sketch of the perimeter and measuring the length in metres of each distinct sector using a wheel meter or rope of known length [or the vehicle's trip meter/odometer]. Calculate the total length perimeter. Draw a schematic map as regular as possible (e.g. square, rectangular or triangular in shape) corresponding roughly to the measurements taken and with the measured perimeter length. Then estimate the total area in square metres.
- On the map, select three or more random points that are well spread out.
- Draw a square of 100 m by 100 m around each point. Each square represents an area of 10,000 m².
- Mark the squares on the ground and count the total number of people living inside each square. (This may best be done in the evening, when the majority of people are at home.)
- Sum the numbers of people living in the selected squares and divide by the number of squares. This gives a rough estimate for the number of inhabitants per 10,000 m².
- Multiply this figure by the total area in square metres and divide by 10,000. This gives a rough estimate of the total population of the area.

Example

A rough estimate calculation

- The area is a rough rectangle of 700 m × 1,500 m
- The total area is therefore roughly $700 \times 1500 = 1,050,000 \text{ m}^2$
- The numbers of people in each of three of the squares are 2,200, 1,750 and 2,450
- The estimated average number of inhabitants per 10,000 m² is:
 $(2,200 + 1,750 + 2,450)/3 = 6,400/3 = 2,133$
- Therefore, the estimated total population is:
 $(2,133 \times 1,050,000)/10,000 = 223,965$ (roughly 224,000)

For further, up-to-date guidance, contact WFP-ODAN.

B3 Livelihood zoning

This annex outlines one method of developing a livelihood zone map rapidly. It focuses on rural areas. In most cases, it will be necessary to include an urban context in addition.³

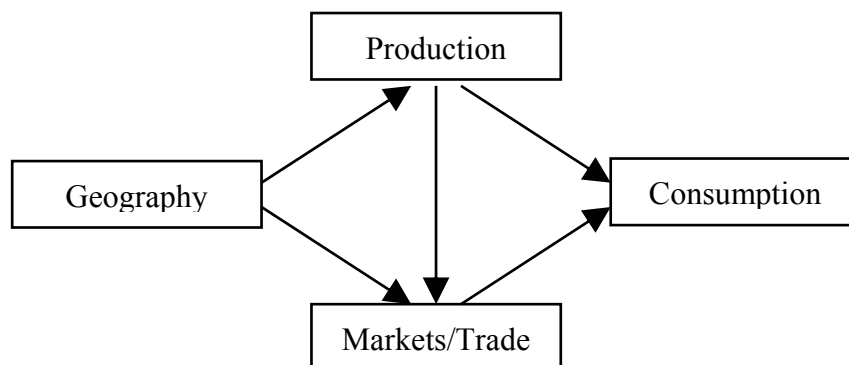
Introduction

Patterns of livelihood clearly vary from one area to another, which is why the preparation of a *livelihood zone map* is an essential first step for rural livelihoods-based assessments. Ideally, a national livelihood zoning will already have been drawn up as part of a baseline vulnerability or contingency planning exercise, but if not, and you are using rapid appraisal procedures, an important additional task with provincial or district level key informants will be to sketch out a rough livelihood zoning which can be used as a basis for selecting communities to visit.

Most livelihoods are complex, and are shaped by a wide range of factors. It is however suggested that for the purposes of a rapid zoning the team focus on three primary factors. These are set out in Figure # and are:

Geography: Geography affects both production (climate, soil, etc.) and marketing/trade (roads, proximity to urban centres, etc.), which in turn affect consumption by the household. The most important geographical factors to consider are topography (i.e. the physical features of an area, including mountains, coasts, rivers, plains), altitude, soil, climate (i.e. temperature and rainfall), vegetation and infrastructure (roads, railways, telecommunications).

Figure # **Livelihoods Zone Diamond⁴**



Production: There are several types of rural production system, with the most basic division being between *agricultural*, *agro-pastoral* and *pastoral systems*. These can be further sub-divided according to the types of crops grown and the types of livestock kept, so that in one province it might be possible to find three zones; agricultural (maize and goats), pastoral (camels and goats) and pastoral (cattle and sheep). Other types of system might be labour-based (e.g. an area of tea or sugar plantations), hunter-gatherer or based primarily on fishing or mining.

Markets/Trade: The market system determines the ability to sell primary production, to trade goods and services and to find employment (whether in the formal or the informal sector), all of which have a profound influence on the pattern of livelihood.

Outputs

³ This annex is derived from material expected to be published in 2005 in the FEWSNET guide referred to below.

⁴ FEWS NET Guide to Livelihood Zoning, available from www.few.net and www.foodeconomy.com

The output from a livelihood zoning exercise is not just a map. The following outputs are expected:

- Map with livelihood zone boundaries and districts (admin level 3) overlaid
- Table listing lowest level administrative units (admin level 4 or 5) by livelihood zone
- Cross-tabulation of the population by livelihood zone and district
- Basic description of each zone, including:
 - Geography (topography, climate, soils, etc)
 - Production system (agricultural, pastoral, etc)
 - Markets/trade (trade flows, including employment)

Essential Materials

The essential materials and secondary source data for a livelihood zoning are as follows:

1. List of administrative units and population down to admin level 4/5 (with – if possible – a breakdown of population by rural/urban etc)
2. Maps:
 - Regional maps showing administrative divisions down to level 4/5
 - Local topographical maps showing major admin units, contours, roads, rivers, etc. 1:250,000 or 1:500,000 scale
 - Other types of map, if available (e.g. agro-ecological or land use maps, soil maps, vegetation maps, population density maps)
3. Rainfall data for major weather stations, by month, long term average (last 20-30 years)
4. General descriptions of the geography and economy of the country or region.⁵

How to do it

The basic steps in a livelihood zoning are:

1. Introduction: Explain to participants in the exercise what is meant by a livelihood⁶, giving local examples. Explain the purpose of the exercise; to draft a sketch map showing the major patterns of livelihood within the province or district, so that we can select areas to visit, bearing in mind both patterns of livelihood and how these have been affected by recent problems.

2. Listing and mapping productive systems: Listing the basic productive systems that can be found in the province or district is a useful starting point (e.g. agricultural, agro-pastoral, pastoral, labour-based, hunter gatherer), followed by the types of crops grown in different areas, if relevant, and the types of livestock kept. The next step is to sketch out boundaries for these production systems on a large map that the team will need to bring with them. This should show just the basic administrative boundaries (perhaps to Admin Level 3) and main geographical features (mountains, rivers, lakes, towns, roads, railways).

3. Introducing market access: Next consider the main sources of household income for each zone and markets for products sold (including labour) and products purchased, bearing in mind the location of towns, roads and railways. Outline key trade routes (where people sell things and the subsequent flow of goods, and where they buy things and their original source) and employment markets. Using this understanding of markets, consider whether you need to subdivide or change any of the productive system zones to create

⁵ A very useful source of information where better sources are not available can be a secondary school geography textbook or atlas.

⁶ The sum of ways in which households obtain the things necessary for life (food, water, shelter, clothing, health care, education),

your final livelihood zones. Does market access differ significantly within any of the productive systems that you have outlined?

4. Refining livelihood zone boundaries and calculating populations: Using a map of the lowest available administrative level (level 4 or 5) and the most recent census of population by administrative level, assign each administrative unit to a livelihood zone. This will allow a more precise map to be drawn at the end of the exercise and population figures to be calculated for each livelihood zone. Sub-divide these lowest level administrative units between zones only if this is absolutely essential (e.g. if fishermen are only found in a narrow coastal strip within a district that encompasses both the coast and its hinterland).

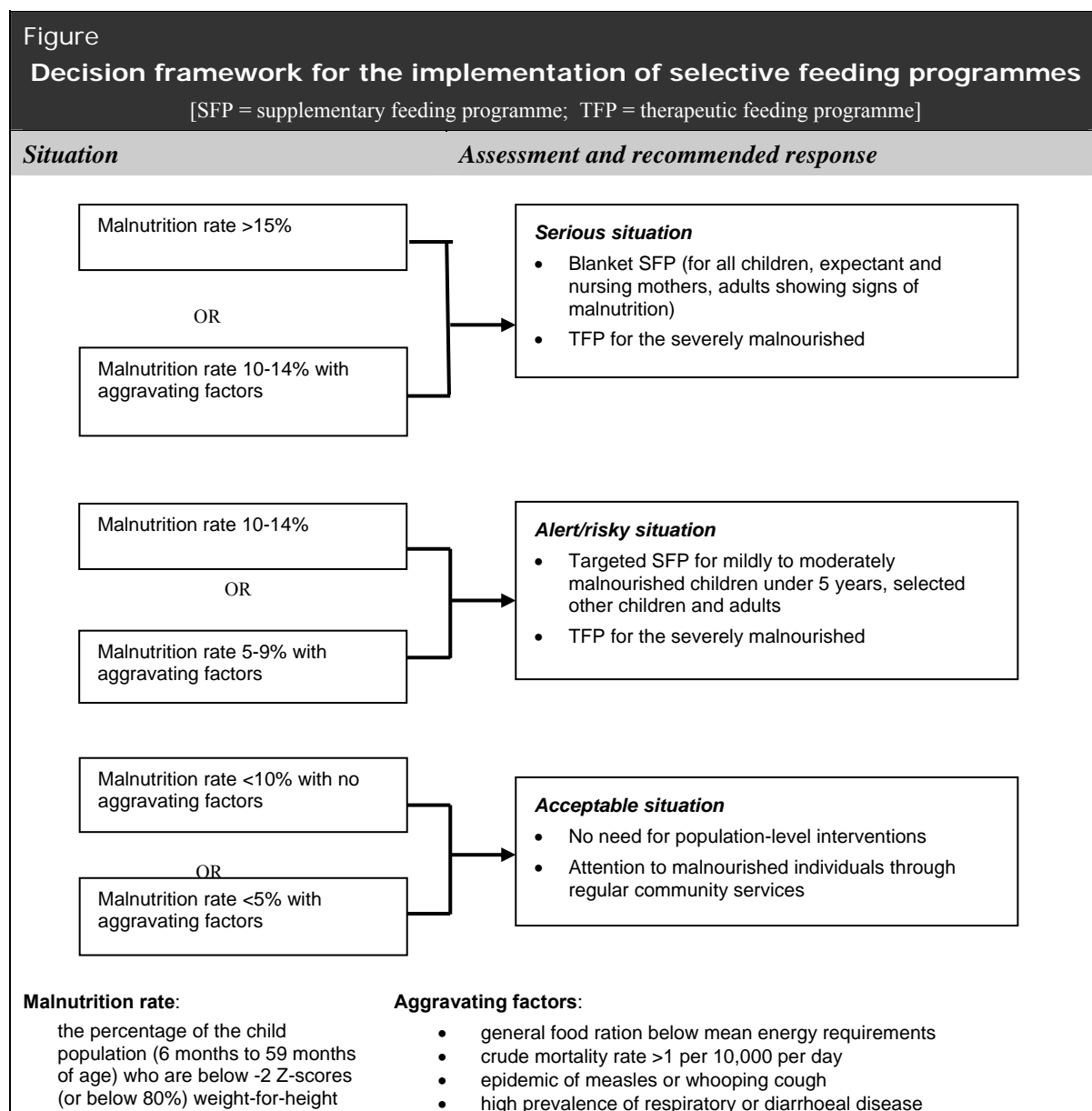
At every stage in the process, you can use the various maps and secondary data that were initially compiled to **cross check** your zones. For example, a map showing areas where tea is the main crop may help you to draw a livelihood zone that is centred on tea. Rainfall data may confirm similar climate patterns within livelihood zones. And so on.

More information, including samples of a livelihood zoning format can be obtained by consulting the 'FEWS NET Guide to Livelihood Zoning', available from www.few.net and www.foodeconomy.com.

B4 Determining the need for and effectiveness of selective feeding

Determining the need for a selective feeding programme

The need for supplementary and therapeutic feeding programmes is determined by the prevalence of acute malnutrition and other ‘aggravating’ factors as shown in the table below.



If food at the household level is <2,100 kcal/person/day, action should also be taken to improve the general ration. To be effective, the extra ration must be additional to, not a substitute for, the general ration.⁷ The various possible causes of malnutrition (poor hygiene, disease, etc.), must also be taken into account in decisions and in the design of selective feeding programmes.

⁷ In specific cases, supplementary feeding *may* be implemented in the short term before other interventions assure that the nutritional needs of all population groups are met.

Reviewing the organization and effectiveness of selective feeding programmes⁸

- ❑ Objectives are clearly stated;
- ❑ Criteria for admission, discharge and programme closure are clearly defined and systematically applied;
- ❑ The purpose of the programme is clearly understood by the target population and communities are involved in:
 - deciding where to locate SFP distribution and therapeutic feeding centres (TFCs);
 - assuring support to caregivers at home and to the households of caregivers accompanying each patient admitted to a TFC;
 - monitoring implementation and results.
- ❑ Clear information is given to carers on:
 - how to prepare the food supplement in a hygienic manner, how and when it should be consumed;
 - the importance of continued breastfeeding for children less than 24 months of age;
 - general care practices (infant feeding, psycho-social care, sanitation and hygiene practices, food processing and preparation, and home health practices).
- ❑ The SFP is based on the weekly or bi-weekly distribution of dry take-home rations, unless there is a clear rationale for on-site feeding (normally only when there are security concerns). Where fuel, water or cooking utensils are in short supply, ready-to-eat-foods are distributed.
- ❑ The programmes are linked with community health programmes:
 - they include the provision of anti-helminthes, vitamin A supplements and immunisations, and protocols to identify health problems and refer patients accordingly;
 - when numbers are small, targeted supplementary feeding may be implemented through community health facilities, and TFCs be established within or near them.
- ❑ An adequate monitoring system is in place. Reporting includes data on: attendance, coverage and recovery rates; defaulting and readmission; and external factors such as morbidity patterns and malnutrition prevalence in the population.
- ❑ Individual causes of readmission and defaulting and failure to respond are investigated on an ongoing basis.
- ❑ The causes of moderate malnutrition are addressed simultaneously through other interventions, and an adequate general ration is assured.
- ❑ Performance is judged against the criteria in the table below.

⁸ Includes some elements from *Minimum standards in nutrition*, Sphere Handbook 2004

Benchmarks for the performance of selective feeding programmes				
Reason for exit	Satisfactory		Alarming!	
	SFP	TFP	SFP	TFP
Recovered	> 70%	> 75%	< 50%	< 50%
Defaulted	< 15%	< 15%	> 30%	> 25%
Died	< 3%	< 10%	> 10%	> 25%
Weight gain per kg bodyweight		> 8g/kg/day		

N.B. WFP is also required (in 2004) to report on the number of pregnant and lactating women reached through selective feeding. This does not imply that all, or a maximum number, of these women should be included in a supplementary feeding programme.

Usual objectives and criteria for different types of selective feeding programmes		
Programme	Objectives	Criteria for selection and target group
Targeted supplementary feeding programme	<p>Correct moderate malnutrition</p> <p>Prevent moderately malnourished from becoming severely malnourished</p> <p>Reduce mortality and morbidity risk in children under 5 years</p> <p>Provide nutritional support to selected pregnant women and nursing mothers</p> <p>Provide follow up service to those discharged from therapeutic feeding programmes</p>	<p>Children under 5 years moderately malnourished (70% to 79% [or -3 to -2 Z-scores] of the median weight-for-height)</p> <p>Malnourished individuals (based on weight-for-height, BMI, MUAC or clinical signs):</p> <ul style="list-style-type: none"> - older children (5 to 9.9 years) - adolescents - adults and elderly persons - medical referrals <p>Selected pregnant women (from date of confirmed pregnancy) and nursing mothers (until 6 months after delivery), for instance using MUAC <22 cm as a cut-off indicator for pregnant women</p> <p>Referrals from TFP</p>
Blanket supplementary feeding programme	<p>Prevent deterioration of nutritional situation</p> <p>Reduce prevalence of acute malnutrition in children <5 years</p> <p>Ensure safety net measures</p> <p>Reduce mortality and morbidity risk</p>	<p>Children under 3 or under 5 years</p> <p>All pregnant women (from date of confirmed pregnancy) and nursing mothers (until maximum 6 months after delivery)</p> <p>Other at-risk groups</p>
Therapeutic feeding programme (TFP)	<p>Reduce excess mortality and morbidity risk in children <5 years</p> <p>Provide medical/ nutritional treatment for the severely malnourished</p>	<p>Children under 5 years severely malnourished: <70% of the median (or <-3 Z-scores) weight-for-height and/or with oedema</p> <p>Severely malnourished children older than 5 years, adolescents and adults admitted based on available weight-for-height standards or presence of oedema</p> <p>Low birth weight babies</p>

		<p>Orphans <1 year when traditional care practices are inadequate</p> <p>Infants (<1 year) whose mothers suffer breast-feeding failure, in exceptional cases when re-lactation through counselling and traditional alternative feeding have failed</p>
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Usual closure criteria for selective feeding programmes	
Programme	Criteria (to be used with discretion)
Targeted supplementary feeding programme	<ul style="list-style-type: none"> • General food distribution is adequate (meeting planned nutritional requirements); • Prevalence of acute malnutrition is <10% without aggravating factors; • Control measures for infectious diseases are effective; and • Deterioration of nutritional status is not anticipated. <p>[Exceptionally, a targeted SFP may be maintained as a safety net in an unstable and insecure situation, or if there are considerable numbers of malnourished children even though <10% of the total child population.]</p>
Blanket supplementary feeding programme	<ul style="list-style-type: none"> • General food distribution is adequate (meeting planned nutritional requirements); • Prevalence of acute malnutrition is <15% without aggravating factors (or <10% with aggravating factors); and • Disease control measures are effective.
Therapeutic feeding programme (TFP)	<ul style="list-style-type: none"> • The number of patients is small and decreasing (e.g. the number drops below 20); and • Adequate medical and nutritional treatment is available in either a clinic or a hospital for all severely malnourished patients.

☞ For details concerning the planning and implementation of selective feeding programmes, see:

- *UNHCR/WFP Guidelines for selective feeding programmes in emergency situations*, 1999
- *The management of nutrition in major emergencies*, chapter 5, WHO 2000

B5 When particular response options may be appropriate, and the information required to decide ⁹

The attached below should be used at the response options analysis stage. You may use it:

- to establish the kind of response options that may/may not be appropriate in your situation (looking in column 2); and/or
- when considering a particular type of response, to see (a) whether it is likely to be appropriate or not (looking in column 2), and (b) whether you have the information needed to decide and, if not, what additional information you need to obtain (looking in column 3).

The options included in this annex are:

[* = programmes that WFP may not be able to support]

Response options addressing problems of inadequate food access, or risks to livelihoods, for some or all households

- Free (general or targeted) food distribution;
- Food for work (FFW);
- Cash for work (CFW); *
- Cash transfer programmes; *
- Food vouchers
- Exchange against produce;
- Market assistance programme; *
- Market support; *
- Non-food support to livelihood activities.

Response options addressing problems of inadequate food access for certain individuals

- School feeding;
- Food to other social service institutions;
- Neighbourhood care programmes (NCP).

Response options addressing nutritional problems

- Targeted supplementary feeding with a take-home ration;
- Targeted supplementary feeding on site;
- Blanket supplementary feeding with a take-home ration;
- Blanket supplementary feeding on site;
- Therapeutic feeding programme (TFP) on site;
- Community-based therapeutic care (CTC);

⁹ This annex draws on existing WFP guidelines; *Missing the Point: An analysis of food security interventions in the Great Lakes*, Levine S & Chastre C, in Humanitarian Practice Network paper No: 47, 2004; *Cash transfer programming*, Oxfam-GB, draft 2003; and inputs from other sources.

Response Option	When may it be appropriate?	Information required to establish appropriateness of response option
Free (general or targeted) food distribution: Provides households with a free ration of food (see section below on different types of rations).	In a situation of acute/transitory food insecurity where:	<ul style="list-style-type: none"> • Previous and current nutritional status of population, previous and current morbidity patterns, previous and current mortality rates (crude and for children under five). • Presence or absence of structural food aid.
	<ul style="list-style-type: none"> • all, or a significant proportion, of households lack access to food; <i>and</i>	<ul style="list-style-type: none"> • Current levels of household access to food measured by: <ul style="list-style-type: none"> – Quantity/type of food accessed through 'normal' mechanisms – Current consumption levels. – Sustainability of coping strategies employed by households.
	<ul style="list-style-type: none"> • there is a lack of food available; <i>and</i>	<ul style="list-style-type: none"> • Current and potential availability of food measured by: <ul style="list-style-type: none"> - Whether there is a food deficit at local, sub-national and national levels: reasons for deficit, trends (and elasticity) of food supply over the year, factors affecting food supply trends. - Presence of alternative sources of food supply: extent to which any deficit could be filled by local actors (i.e. government and/or commercial traders), and what role humanitarian actors might be able to play in supporting the government or the private sector.
	<ul style="list-style-type: none"> • alternative ways of assisting people access food would either take too long, when the situation is urgent and/or might not be practical or reliable; <i>and/or</i>	<ul style="list-style-type: none"> • Practicality of implementing alternatives to a general distribution: <ul style="list-style-type: none"> - Infrastructure and conditions in place to implement non-food aid project rapidly. - Partners, equipment, technical inputs available and security situation permits.
	<ul style="list-style-type: none"> • the characteristics of the affected population is such that many target households would not be able to participate in an employment type project– e.g. mainly women and children and elderly and/or sick; <i>and</i>	<ul style="list-style-type: none"> • Demographics of affected population. • Health status of affected population.
	<ul style="list-style-type: none"> • the population has no time to engage in other activities, they are not underemployed (They are engaged in their usual livelihood activities e.g. preparing fields, planting for the next harvest) and they do not have surplus labour. 	<ul style="list-style-type: none"> • Daily, seasonal calendar of activities engaged in by men, women and children among affected population.

Response Option	When may it be appropriate?	Information required to establish appropriateness of response option
	In addition, food distributions may be appropriate over a short-term period, rapid intervention of food aid (e.g. one to two weeks) where there is reason to fear possible hunger without knowing whether the above conditions have been met.	

Additional information required to design a free (general or targeted) food distribution programme:

- Number of beneficiaries, location of beneficiaries.
- Duration of the intervention.
- Gender roles and patterns of intra-household distribution.
- Ability to move outside household.
- Security situation.
- Seasonal, daily, weekly calendar of men/women and children – to prevent distributions disruption of their economic and other activities.
- The target populations' food habits, commodity preferences (and acceptable substitutes), and familiarity with (acceptability of) the commodities available for distribution.
- Households' access to fuel to prepare the proposed foods, and ability to store food.
- Micronutrient requirements (for decision on whether need for fortification of food).
- Potential distribution points and appropriate distribution system.
- Media, community networks available to publicize ration entitlements and distribution arrangements.
- Partners' capacity – staff, equipment, administrative – for distribution and monitoring systems.
- Infrastructure – roads, storage capacity and (if required) milling facilities.
- Needs of host population (if distributions are being planned for displaced people).

Response option	When is it appropriate	Information required to establish appropriateness of response option
Food for work (FFW) Provision of a food ration in payment for work.	In a situation where: households lack access to food; <i>and</i>	<ul style="list-style-type: none"> Current levels of household access to food: <ul style="list-style-type: none"> – quantity/type of food accessed through 'normal' mechanisms; – current consumption levels; – sustainability of coping strategies employed by households.
	<ul style="list-style-type: none"> food availability in the area is limited in quantity and/or variety, and there is no indication that this will change; <i>and</i>	<ul style="list-style-type: none"> Current availability of food: <ul style="list-style-type: none"> – Whether there is a food deficit at local, sub-national and national levels: if yes, what is the reason for the deficit, what are the trends (and elasticity) of food supply over the year, and what are the factors affecting food supply trends. – Potential alternative sources of food supply: the extent to which any deficit could be filled by local actors, i.e. government and/or commercial traders and what role humanitarian actors might be able to play in supporting governments and the private sector.
	<ul style="list-style-type: none"> food insecure households include able-bodied persons who are unemployed or under-employed (i.e. there is surplus labour in target households); <i>and</i>	<ul style="list-style-type: none"> Composition of food insecure households: average number of able-bodied persons per household; the % or households that do not have an able-bodied member. Seasonal labour patterns (periods where no work available)
	<ul style="list-style-type: none"> public works projects are required¹⁰; <i>and</i>	<ul style="list-style-type: none"> Current conditions – and requirements for rehabilitation/reconstruction – of infrastructure, physical assets or the environment. Labour-intensive projects that would contribute to long-term food security and services for food insecure households.
	<ul style="list-style-type: none"> the necessary non-food inputs (materials, equipment and technical supervision) can be assured; <i>and</i>	<ul style="list-style-type: none"> Availability of partners to manage, availability of non-food inputs, equipment and technical staff
	<ul style="list-style-type: none"> the assets created will be properly managed and maintained after completion of the project; <i>or</i>	<ul style="list-style-type: none"> Community and/or government arrangements able to ensure ongoing management and maintenance.

¹⁰ Appropriate public works projects could include repairing damaged infrastructure and creating physical assets such as roads, schools, irrigation systems.

Response option	When is it appropriate	Information required to establish appropriateness of response option
	<p>Following a sudden disaster when:</p> <ul style="list-style-type: none"> • there is need for debris removal and general clean-up operations, labour-intensive repair of rural roads, small embankments or other public infrastructure; <p><i>and</i></p> <ul style="list-style-type: none"> • the population has the capacity to undertake the required work without outside technical supervision. 	<ul style="list-style-type: none"> • Nature and extent of physical damage, and the need for initial, labour-intensive clean-up and repair action. • Availability of able-bodied persons in food insecure households able to participate in short-term community rehabilitation activities.

Additional information required to design a food for work (FFW) project

- Number of target beneficiaries/workers.
- Availability of public works benefiting the community and long-term food security.
- When works can/should be undertaken (seasonal considerations).
- Locations of possible public works sites.
- Capacities of partners – staff, equipment, administrative and monitoring systems – to plan and implement the activities.
- Security situation.
- Gender roles and their implication for participation in public works at particular times.
- Local daily wage rate and the transfer value of commodities (to determine FFW wage rate in food).
- Attractiveness of the available food commodity/ies.
- Media, community networks available to publicize the project.
- Infrastructure – roads, storage capacity, milling facilities – to handle the delivery of food commodities and materials for public works activities.
- Ownership of the asset(s) created.
- Possible environmental impact of the public works projects.
- In the case of a large number of displaced people, employment opportunities should be made available to both the displaced people and food insecure groups within the host population, and the activities not be at the expense of local population.

Additional information required to design a food for recovery (FFR) project

- Number of target beneficiaries/workers.
- Locations of possible public works sites.
- Capacities of partners to plan and manage distributions.
- Local daily wage rate and the transfer value of commodities (to determine FFR food incentive rate).

Response option	When may it be appropriate?	Information required to establish appropriateness of response option
Cash for work (CFW)	In a situation where: <ul style="list-style-type: none"> households lack access to food; <i>and</i>	<ul style="list-style-type: none"> Current levels of household access to food: <ul style="list-style-type: none"> quantity/type of food accessed through 'normal' mechanisms; current consumption levels; sustainability of coping strategies employed by households.
	<ul style="list-style-type: none"> food is available in the area; <i>and</i>	<ul style="list-style-type: none"> Current availability of food: <ul style="list-style-type: none"> Whether there is food at local, sub-national and national levels: If there is a deficit, reason for deficit, trends (and elasticity) of food supply over the year, factors affecting food supply trends. Potential alternative sources of food supply: extent to which any deficit could be filled by local actors, i.e government and/or commercial traders and what role humanitarian actors might be able to play in supporting governments and the private sector.
	<ul style="list-style-type: none"> food insecure households include able-bodied persons who are unemployed or under-employed (i.e there is surplus labour in target households); <i>and</i>	<ul style="list-style-type: none"> Composition of food insecure households: number of able-bodied persons and gender per household; the % of households that have no able-bodied member able to work. Activities and seasonality of income-generating activities of able-bodied members.
	<ul style="list-style-type: none"> the risk of inflationary pressure is low (a depressed economy needs a cash injection); <i>and</i>	<ul style="list-style-type: none"> State of the economy, risk of inflation if cash is injected; market prices and the integration of local markets within a wider system.
	<ul style="list-style-type: none"> public works projects are required; <i>and</i>	<ul style="list-style-type: none"> Current conditions – and requirements for rehabilitation/reconstruction – of infrastructure, physical assets or the environment. Labour-intensive projects that would contribute to long-term food security and services for food insecure households.
	<ul style="list-style-type: none"> the necessary non-food inputs (equipment and technical supervision) can be assured. 	<ul style="list-style-type: none"> Capacities of partners to plan and manage projects – availability of necessary material inputs, equipment and technical staff.

Additional information required to design a CFW project

- Number of target beneficiaries/workers.
- Location of public works to be undertaken.
- Security situation.
- Gender roles.
- Local daily wage rate and cost of living (including high medical and funeral costs where the impact of HIV/AIDS is high) to set CFW wage rate.
- Timing of activities and duration.
- Timing of payment.
- Likely duration of project.
- Media, community networks available to advertise project.
- Partners capacity – staff, equipment, administrative and monitoring systems
- Availability of banks.
- Benefits of public works for long-term food security.
- Ownership of public works created asset.
- Environmental implications of public works.

In the case of a large number of displaced people, employment opportunities should be made available to both groups not be at expense of local population.

Response option	When may it be appropriate?	Information required to establish appropriateness of response option
Cash transfer programmes Cash is distributed to target beneficiaries	In a situation where: <ul style="list-style-type: none"> food is available in local markets but households lack means to purchase without depleting essential assets; <i>or</i>	<ul style="list-style-type: none"> Market prices of the usual staple and other, less preferred staples. Price trends Income and purchasing power of food insecure households. (Existence of vulnerable groups who do not participate in economic activity.)
	the costs of procuring and transporting food to affected area are high, but traders would respond to market demand; <i>or</i>	Costs of delivering and distributing food aid. Competitiveness and integration of markets. Ability of traders to respond to increased demand.
	<ul style="list-style-type: none"> mobilising food aid would take a long time; <i>or</i>	Lead times for the delivery of food aid.
	<ul style="list-style-type: none"> the aim is to support economic recovery as well as survival; <i>and</i>	Prospects for economic recovery without intervention.
	<ul style="list-style-type: none"> the risk of inflation due to an injection of cash is low; <i>and</i>	Risk of inflation.
	<ul style="list-style-type: none"> capacity is available to manage the programme; <i>and</i>	Administrative capacity to implement programme, i.e. banking system. Capacity for monitoring and accounting.
	<ul style="list-style-type: none"> donors are willing to support a cash distribution programme. 	The policies of potential donors.
Food vouchers Vouchers distributed to target beneficiaries	In a situation similar to that above (for cash transfer programmes) but where: <ul style="list-style-type: none"> donors are not willing to make cash available for distribution but are willing to support a voucher system; <i>and</i>	The policies of potential donors.
	<ul style="list-style-type: none"> local retailers are willing to cooperate in the scheme and receive vouchers against subsequent reimbursement in cash or in kind (in food). 	The availability of retailers who are willing to cooperate.

Response option	When may it be appropriate?	Information required to establish appropriateness of response option
Exchange against produce Food is given to affected rural households in exchange for their own produce for which there is no market locally	In a situation where: <ul style="list-style-type: none"> drought has led to deaths among cattle, a dramatic fall in the prices paid for livestock and consequent acute hardship among pastoralists;¹¹ or farmers faced with an acute food shortage who would otherwise eat their seed stocks;¹² or marketing systems have totally collapsed so that the rural producers of cash crops are unable either to sell their produce or to buy food. ¹³	Prices of livestock, and price trends; Terms of trade of livestock against grain and other essential items. Livestock death rates.
		On-farm seed stocks of poor farmers. <ul style="list-style-type: none"> Poor farmers' access to food.
		<ul style="list-style-type: none"> Problems of market integration affecting specific areas and produce.
Market assistance programme ¹⁴ Making lower status food available to retailers to sell at affordable price	In a situation where: <ul style="list-style-type: none"> the price of the usual staple is no longer affordable to many, due to shortage and resulting inflation; and	<ul style="list-style-type: none"> Market prices of the usual staple and other, less preferred staples. Price trends – rate of inflation. Price differential between main staple and low cost staple.
	<ul style="list-style-type: none"> targeting general rations not feasible (especially in urban areas) and	<ul style="list-style-type: none"> Options for targeting assistance directly to food insecure households.
	<ul style="list-style-type: none"> retailers are interested to participate in the scheme; or 	<ul style="list-style-type: none"> Numbers of retailers willing to participate in the scheme.
	there is need to revitalise the milling sector	Existence of milling and storage capacity. Capacity for fortifying low cost staple.
Market system support Reducing logistic bottlenecks or making credit	In a situation where: <ul style="list-style-type: none"> damaged roads, bridges or other logistic infrastructure prevent traders from bringing sufficient food into the area; 	Location and nature of logistic bottlenecks that inhibit the movement of food from other parts of the country into the affected area. The feasibility of repairing/improving infrastructure to enable greater quantities of food to be moved into the area.

¹¹ In this kind of situation, grain may be given in exchange for animals – ‘de-stocking’ – and the meat used in other programme activities.

¹² In this kind of situation, grain may be given in exchange for seed, which is stored and distributed in time for the next planting.

¹³ For example, grain was given in exchange for cashew nuts in Mozambique in the 1980s.

¹⁴ See *MAPP-Malawi* case study on the CD-ROM for a brief description of one such programme, implemented by CARE, supported by USAID.

Response option	When may it be appropriate?	Information required to establish appropriateness of response option
available to traders	<i>or</i>	
	<ul style="list-style-type: none"> traders who would otherwise bring food into the area are unable to do so due to lack of finance (credit) or lack of access to fuel and spare parts. 	<p>The constraints (other than logistic) that prevent traders who normally bring food into the area from doing so, or from increasing the quantities that they bring in.</p> <p>The credit-worthiness of those traders and the existence of a mechanism (or possibility to establish one) to make credit available to traders are assure repayments.</p>

Issues relating to cash transfer programmes

Experience with cash transfer programmes is relatively limited. There are therefore a number of unknowns with regard to this type of programme. These include;

- What level of purchasing power is necessary and at what distance from supply to ensure an inflow of food or other items?
- How do prices behave following an injection of cash?
- At what level of cash inflow does inflation become inevitable?
- How do beneficiaries (gender/economic status) in varying circumstances (emergency/non-emergency) spend cash?
- Security risks in situations of conflict and political instability

Issues relating to exchange against produce programmes

- Rates of exchange should normally be fixed by taking account of relative prices on local markets both before the emergency and as they are at present.
- The produce received can be used in local relief programmes or be transported to urban markets where it can be sold. It may be back-loaded on the trucks that bring relief food into the area.

Response option	When may it be appropriate?	Information required to establish appropriateness of response option
Non-food support to livelihood activities: Provision of productive inputs and/or services ¹⁵ to rebuild/restore capital assets to food insecure but economically active individuals and households.	In a situation where: <ul style="list-style-type: none"> targeted households have access to natural resource base; <i>and</i>	<ul style="list-style-type: none"> Household access to natural resource base, ownership patterns.
	<ul style="list-style-type: none"> targeted households lack productive inputs; <i>and</i>	<ul style="list-style-type: none"> Household's stocks of productive inputs (in normal times and now). Household's ability to buy productive inputs – expenditure patterns, household assets, access to credit.
	<ul style="list-style-type: none"> there is a lack of availability of productive inputs of the right quality; <i>and</i>	<ul style="list-style-type: none"> Availability of productive inputs (of satisfactory quality) in local markets.
	<ul style="list-style-type: none"> this lack is limiting, or will limit, production. 	<ul style="list-style-type: none"> Production levels (normal versus now). Factors affecting production levels: access to natural resource base, labour available, security situation and/or as above – access to and availability of productive inputs.

¹⁵ Productive inputs may include, for example, seeds, tools, irrigation, fodder or other livestock inputs. Services may include veterinary care, extension services, improved access to pasture, financial services such as emergency loans to rebuild/restore capital assets to food insecure but economically active individuals and households.

Additional information required to design a livelihood support project

- Number and geographical spread of beneficiaries.
- Likely duration of project.
- Security situation.
- Gender roles.
- Seasonal calendar of livelihood activities.
- Timing of distribution of project inputs.
- Media, community networks available to advertise project.
- Partners capacity – staff, equipment, administrative and monitoring systems.
- Environmental implications of project.
- Access to functioning markets and banks (for micro-finance projects in particular).

Response option	When may it be appropriate?	Information required to establish appropriateness of response option
School feeding Provision of a nutritionally-balanced meal, or snack, to children/youths at school.	In a situation where: <ul style="list-style-type: none"> school attendance is low and a school meal would encourage attendance (among girls as well as boys); <i>or</i> 	<ul style="list-style-type: none"> School enrolment and attendance rates for girls and boys. Opportunity cost to households of sending children to school, and the extent to which food can be an incentive to send children to school on a regular basis.
	<ul style="list-style-type: none"> educational performance is low because children attending school are hungry, do not get enough food at home and/or their diet lacks variety and is low in essential micronutrients; <i>or</i> 	<ul style="list-style-type: none"> Children's food consumption – the access that school children's families have to food, patterns of intra-household distribution and the diversity of the diet. Educational performance and the reasons for poor performance, as reported by teachers.
	<ul style="list-style-type: none"> regular attendance at school could help children to overcome psycho-social trauma or reduce their exposure to abuse and exploitation, and school feeding could encourage and enable such regular attendance; <i>and</i>	<ul style="list-style-type: none"> The degree of stress children have suffered and the extent of psycho-social trauma, as reported by social workers and trained teachers. The risks of abuse and exploitation of children.
	<ul style="list-style-type: none"> schools have the facilities to store and prepare food; <i>and</i> school teachers and parents' committees are willing and have the capacity to organize the preparation and distribution of the food; <i>and</i>	<ul style="list-style-type: none"> Capacity of schools to store and prepare food: availability of staff, cooking fuel, cooking utensils, storage space, access to clean water and sanitation.
	<ul style="list-style-type: none"> if there is a general ration distribution programme, school feeding is planned as an integral part of the overall food assistance strategy. 	<ul style="list-style-type: none"> The overall food security assistance strategy.
	Exceptionally, in a situation where: ¹⁶ <ul style="list-style-type: none"> older children/youths have particular nutritional needs that are not met by a standard general ration; older children/youths attend school. 	<ul style="list-style-type: none"> Nutritional requirements of older children/youths (given their height and level of activity). Presence of schools. Profile of school pupils.

¹⁶ An example is the project for Sudanese refugees in Kakuma, Kenya. The Dinka youths were particularly tall and had higher nutritional requirements than the average on which general rations are normally based. An increase in the general ration would have been spread (diluted) across the whole population. Schools were functioning in the camps and school feeding was a mechanism of targeting the extra food directly to the youths. The assessment determined that school feeding was the most appropriate way of meeting the needs of older children/youths, rather than increasing the level of the general ration.

Additional information required to design a school feeding programme

- The number of schools and the geographical (and social) coverage of schools.
- Number of pupils to be fed.
- Likely duration of the intervention.
- Food preferences and the availability of acceptable foods able to be prepared at each school.
- Security situation.
- Infrastructure – roads, storage capacity, milling facilities.

Response option	When may it be appropriate?	Information required to establish appropriateness of response option
Food to other social service institutions (e.g. orphanages; homes for the elderly or handicapped people; hospitals and health centres).	In a situation where: <ul style="list-style-type: none"> social service institutions do not have the resources to assure adequate food for in-patients or residents; <i>and</i> residents' families do not have access to enough food to feed them; <i>and</i>	<ul style="list-style-type: none"> Quantity and quality of food available in social institution relative to number of patients/residents, diet of patient/residents. Nutritional and health status of patient/residents. Current levels of patients'/residents' families access to food measured by: <ul style="list-style-type: none"> quantity/type of food accessed through 'normal' mechanisms; current consumption levels; sustainability of coping strategies employed by families.
	the physical facilities to store and prepare food as well as staff can be assured at each institution.	Social service institution's kitchen facilities, storage space, cooking utensils, staff available to prepare and cook food.
Neighbourhood Care Programmes (NCP) ¹⁷ For unaccompanied children, orphans and vulnerable children (OVC) in context of high prevalence of HIV/AIDS	In a situation where: <ul style="list-style-type: none"> there are large numbers of orphans and vulnerable children due to HIV pandemic; <i>and</i> communities are under strain to provide care for OVCs including many pre-schoolers, with little food provision; <i>and</i> NCPs will afford protection to this vulnerable age cohort and also provide a means to strengthen food security at village level through agricultural schemes implemented via NCP and OVC initiatives. 	<ul style="list-style-type: none"> Number of OVCs in community. Evidence for higher rates of malnutrition amongst these children. Evidence for higher rates of malnutrition amongst households supporting OVCs. Evidence for sexual risk amongst this age cohort.

¹⁷ NCP and OVC programmes have been developed in the context of protracted relief and recovery operations in the southern Africa region.

Response option	When may it be appropriate?	Information required to establish appropriateness of response option
<p>Targeted supplementary feeding with a <u>take-home</u> ration.</p> <p>Provides mothers of malnourished children and other malnourished persons with a ration to take home in addition to the general ration.</p> <p>Aims to prevent the moderately malnourished becoming severely malnourished including children under five, older children, children discharged from the therapeutic feeding programme, pregnant and lactating women.</p>	<p>In a situation where a general distribution is ongoing and:</p> <ul style="list-style-type: none"> 10-14% of children under five are below 80% (or <- 2SD) of median weight-for-height; <i>or</i> 5-9% of children under five are below 80% (<-2SD) of median weight-for-height and there are aggravating factors; <p><i>and under these conditions:</i></p> <ul style="list-style-type: none"> it is possible to identify and target malnourished individuals; <p><i>and</i></p> <ul style="list-style-type: none"> there is reason to believe that the targeted individual will consume a significant proportion of the food; <p><i>and</i></p> <ul style="list-style-type: none"> the ration size allows for some sharing among family members . (This is taken into account in the standard recommended ration size for take-home distribution.) 	<ul style="list-style-type: none"> Prevalence of malnutrition among children aged between six and 59 months (specifically, the % of children with <-2SD of median weight for height) Presence of oedema among children aged between six and 59 months. Presence of other aggravating factors including: the general ration is below mean energy requirements, crude mortality rate >one per 10,000 per day, there is an epidemic of measles or whooping cough, high prevalence of respiratory or diarrhoeal disease.
		<ul style="list-style-type: none"> Capacity of partners to screen (select) malnourished individuals.
		<ul style="list-style-type: none"> Patterns of intra-household distribution: How is food shared within the household? Are certain foods reserved for children? For women?
<p>Targeted supplementary feeding <u>on site</u></p> <p>Provides malnourished children and other malnourished persons with ready-to-eat food or porridge eaten on the spot in addition to the general ration.</p> <p>Aims to prevent the moderately malnourished becoming severely malnourished including children under five, older children, children discharged from therapeutic feeding programme, pregnant and</p>	<p>In a situation where a general distribution is ongoing and:</p> <ul style="list-style-type: none"> 10-14% of children under five are below 80%(<- 2SD) of median weight for height; <i>or</i> 5-9% of children under five are below 80% (<-2SD) of median weight for height and there are aggravating factors; <p><i>and under these conditions:</i></p> <ul style="list-style-type: none"> it is possible to target malnourished individuals; <p><i>and</i></p> <ul style="list-style-type: none"> there is reason to believe that a take-home ration would be widely shared; <i>or</i> 	<ul style="list-style-type: none"> Prevalence of malnutrition among children aged between six and 59 months (specifically, the percentage of children with <-2SD of median weight for height) Presence of oedema among children aged between six and 59 months. Presence of other aggravating factors including: the general ration is below mean energy requirements, crude mortality rate >one per 10,000 per day, there is an epidemic of measles or whooping cough, high prevalence of respiratory or diarrhoeal disease.
		<ul style="list-style-type: none"> Capacity of partners to screen (select) malnourished individuals.
		<ul style="list-style-type: none"> Patterns of intra-household distribution: How is food shared within the household? Are certain foods reserved for children? For women?
	<ul style="list-style-type: none"> food preparation at the household 	<ul style="list-style-type: none"> Targeted households' access to cooking fuel and cooking utensils

lactating women.	<p>level is difficult (households lack cooking fuel and/or cooking utensils); <i>or</i></p> <ul style="list-style-type: none"> insecurity levels are such that beneficiaries are not safe going home with the ration; <p><i>and</i></p> <ul style="list-style-type: none"> it is possible to establish decentralized SFP sites close to the homes of the target beneficiaries (so that opportunity costs for the carers is low). 	<ul style="list-style-type: none"> Security situation Size of the area within which target beneficiaries are living/ Capacity of partners to establish and manage SFP sites in a large number of locations.
<p>Blanket supplementary feeding with <u>take home ration</u></p> <p>Provides all children and other “nutritionally vulnerable” individuals with a ration to take home in addition to the general ration</p>	<p>In a situation where a general distribution is ongoing and:</p> <ul style="list-style-type: none"> 15% of children aged under five are below 80% (or <- 2SD) of median weight-for-height; <i>or</i> 10-14% of children aged under five are 80% (or <- 2SD) of median weight-for-height <i>and</i> there are aggravating factors; <i>or</i> during the early stages of an acute crisis before a reliable pipeline can be established for an adequate general ration; <p><i>and</i></p> <ul style="list-style-type: none"> there is reason to believe that the individual will consume a significant proportion of the food; <p><i>and</i></p> <ul style="list-style-type: none"> the ration size allows for some sharing between family members . (This is taken into account in the standard recommended ration size for take-home distribution). 	<ul style="list-style-type: none"> Prevalence of malnutrition among children 6 to 59 months (specifically, the % of children with <-2SD of median weight for height) Presence of oedema among children aged between six and 59 months. Presence of other aggravating factors including: crude mortality rate >one per 10,000 per day; there is an epidemic of measles or whooping cough, or high prevalence of respiratory or diarrhoeal disease; or the general ration is not (yet) adequate to enable people to cover their mean energy requirements, Patterns of intra-household distribution: How is food shared within the household? Are certain foods reserved for children? For women?
<p>Blanket Supplementary feeding <u>on site</u></p> <p>Provides all children and other “nutritionally vulnerable” individuals with ready-to-eat food or porridge eaten on the spot in addition to the general</p>	<p>In a situation where a general distribution is on-going and:</p> <ul style="list-style-type: none"> 15% of children aged under five are below 80% (or <- 2SD) of median weight for height; <i>or</i> 10-14% of children aged under five are 80% (or <- 2SD) of median weight for height <i>and</i> there are 	<ul style="list-style-type: none"> Prevalence of malnutrition among aged between six and 59 months (specifically, the percentage of children with <-2SD of median weight for height) Presence of oedema among children aged between six and 59 months. Presence of other aggravating factors including: the general ration is below mean energy requirements, crude mortality rate >one per 10,000 per day, there is an epidemic of measles or whooping cough, high prevalence of respiratory or diarrhoeal disease.

ration.	aggravating factors; <i>and</i> under these conditions:	
	<ul style="list-style-type: none"> there is reason to believe that a take-home ration will be widely shared; <i>or</i> 	<ul style="list-style-type: none"> Patterns of intra-household distribution: How is food shared within the household? Are certain foods reserved for children? For women?
	<ul style="list-style-type: none"> food preparation at the hh level is difficult (households lack cooking fuel and/or cooking utensils); <i>or</i> 	<ul style="list-style-type: none"> Household access to cooking fuel and cooking utensils.
	<ul style="list-style-type: none"> insecurity levels are such that beneficiaries would not be safe going home with the ration. 	<ul style="list-style-type: none"> Security situation

Additional information required to design a SFP:

- Number of beneficiaries, location of beneficiaries.
- Likely duration of the intervention.
- Acceptability of the commodities that could be available for the programme.
- Potential sites for SF distribution or feeding centres.
- Security situation.
- Media, community networks available to publicize information concerning supplementary feeding.
- Possible causes of malnutrition other than lack of food, for example: diarrhoeal disease due to lack of access to sanitation and potable water.
- Partner's capacity to address underlying causes of malnutrition (other than lack of food).
- Partners' capacity – staff, skills, equipment, administrative and monitoring systems – to establish and manage a supplementary feeding programmes (including staff, cooking fuel, cooking utensils, storage space, access to clean water and sanitation in case of an on-site SFP).
- Infrastructure – roads, storage capacity, milling facilities.
- Possible arrangements for monitoring and reporting over the life of the project.

Response option	When is it appropriate	Information required to establish appropriateness of response option
Therapeutic feeding programme (TFP) on site Provides medical and nutritional treatment in health centres or specially established therapeutic feeding centres (TFCs) to save the lives of severely malnourished individuals.	In a situation where there are: <ul style="list-style-type: none"> significant numbers of severely malnourished individual (children and/or adults), or there is an evident increase in numbers of severely malnourished individuals; <i>and</i>	<ul style="list-style-type: none"> Prevalence of severe malnutrition among children aged between six and 59 months (specifically, the percentage of children with <-3SD of median weight for height and/or with oedema) Prevalence of severe malnutrition among children aged between 5 -9.9 years (<-3SD of median weight for height and/or with oedema) Percentage of adults 20 to 59.9 years of age with a BMI <16 (excluding disabled persons and pregnant women) and/or with oedema
	<ul style="list-style-type: none"> sufficiently concentrated case-loads to warrant establishing TFCs within all communities concerned; <i>and</i>	<ul style="list-style-type: none"> The geographic distribution of cases of severe malnutrition.
	<ul style="list-style-type: none"> trained health staff are available (or can be made available) to supervise all TFCs. 	<ul style="list-style-type: none"> Availability of trained health personnel
Community-based Therapeutic Care (CTC) Provides therapeutic foods for severely malnourished children through a take-home SFP with community level follow up by trained health workers. ¹⁸	In a situation where there are: <ul style="list-style-type: none"> significant numbers of severely malnourished individual (children and/or adults), or there is an evident increase in numbers of severely malnourished individuals; <i>and</i>	<ul style="list-style-type: none"> Prevalence of severe malnutrition among children aged between six and 59 months (specifically, the percentage of children with <-3SD of median weight for height and/or with oedema) Prevalence of severe malnutrition among children aged between 5 -9.9 years (<-3SD of median weight for height and/or with oedema) Percentage of adults 20 to 59.9 years of age with a BMI <16 (excluding disabled persons and pregnant women) and/or with oedema
	<ul style="list-style-type: none"> Populations are widely dispersed and/or the separated by many hills, rivers, etc., making it difficult to establish TFCs accessible to all concerned households, and default rates are likely to be high; <i>and</i>	<ul style="list-style-type: none"> The geographic distribution of cases of severe malnutrition. The nature of the terrain (topography).
	<ul style="list-style-type: none"> trained community health workers are available to provide home-based follow up. 	<ul style="list-style-type: none"> Availability of trained community health workers.

¹⁸ See, for example, the case study of community-based therapeutic care in Ethiopia, in #.#.

Additional information required to design a Therapeutic Feeding/Care Programme (on-site or community-based)

- Numbers and geographical spread of affected individuals.
- Duration of intervention.
- Potential sites for the establishment of treatment centres (within health centres or as separate TFCs).
- Security situation.
- Capacity of health structures to treat severely malnourished: availability of intensive healthcare facilities.
- Capacity of health structures to address underlying causes of malnutrition.
- Capacity of partners to provide social and psycho-social support for care-givers who bring children for treatment.
- Possible arrangements for monitoring and reporting over the life of the project.

B6 When Particular Targeting Options may be Appropriate, and the Information Required to Decide

The attached matrix should be used at the response options analysis stage. You may use it:

- to establish the kind of targeting options that may be appropriate in your situation (looking in column 2); and/or
 - when considering a particular form of targeting, to see (a) whether it is likely to be appropriate or not (looking in column 2), and (b) whether you have the information needed to decide and, if not, what additional information you need to obtain (looking in column 3).
-

The targeting options included in the matrix are;

Targeting households:

- based on socio-economic status
- based on illness
- based on the nutritional status of children
- based on gender.

Selecting interventions that may be ‘self-targeting’

- through market interventions
- through commodity choice
- food for work.

Targeting individuals

- according to nutritional status
- physiological status as pregnant or breastfeeding women
- elderly or disabled people
- school children
- socially vulnerable individuals through social service institutions.

Targeting options	When may it be appropriate to employ this targeting option	What information is required to determine whether the targeting option is appropriate
Targeting households		
Households on basis of socio-economic criteria Criteria may be set by outside agencies – administrative targeting, or in conjunction with community – community managed targeting ¹⁹	In a situation where: <ul style="list-style-type: none"> significant differences in food security exist at community level; <i>or</i> food aid resources are scarce; <i>and</i> food crisis not too extreme; <i>and</i> the situation is stable politically; <i>and</i> there is cohesion (and there are shared values) within the community, and partners have sufficient capacity to sensitize officials and communities to the principles of community-managed targeting. 	<ul style="list-style-type: none"> Differences in households' access to food within the community (intra-community food security data) The severity of the food crisis Socio-cultural values, community cohesion, political structures and social dynamics at community level Partners' capacity to undertake extensive community sensitisation
Households on basis of illness²⁰ i.e. households affected by HIV/AIDS	<u>Only</u> where: <ul style="list-style-type: none"> there are existing local programmes targeting households with HIV/AIDS affected people (PLWHA)²¹ 	<ul style="list-style-type: none"> Coverage and effectiveness of existing programmes/service infrastructure for households affected by HIV/AIDS Nutrition and food security data on households affected by HIV/AIDS

¹⁹ In most cases involving a large dispersed population there is usually no practical alternative to involvement of community or its administration in the identification of the beneficiaries. Community managed systems are usually distinguished from administrative systems by the more active participation of the recipient population rather than its representatives. Thus, eligibility criteria tend to be more subjective, complex and locally specific. In addition it may be easier for communities to make judgements of relative need, *if* they agree with the principle of distribution according to need.

²⁰ Although one of the effects of HIV/AIDS in most settings is to increase poverty, many food insecure households are not affected by HIV/AIDS. Also, many HIV/AIDS affected households are well off. There are also difficulties to develop criteria to identify HIV/AIDS affected households as many do not know their status or, if they do, there are issues of stigmatisation. Proxy indicators may go some way to identifying these household but run the risk of supporting households which are not food insecure and of excluding households which require food security support.

²¹ Setting up a programme to target PLWHA in the teeth of an emergency response is more or less impossible, unless there is already a structure in place that is doing this and accepted/supported or even implemented by the community. There are too many difficult issues to overcome like stigma and high inclusion/exclusion rates in a short emergency cycle unless the programme has already been accepted.

Targeting options	When may it be appropriate to employ this targeting option	What information is required to determine whether the targeting option is appropriate
Households on basis of nutritional status of children²²	<p>In a situation where:</p> <ul style="list-style-type: none"> child nutritional status is clearly associated with household food insecurity; <p>and</p> <ul style="list-style-type: none"> there are significant differences in food security within the community so that a full (or large) general ration is not justified for all households; <i>or</i> resources for a full/large general ration for everyone are not available; <p>and</p> <ul style="list-style-type: none"> food shortages are not extreme 	<ul style="list-style-type: none"> Nutritional status of children and adults Correlation of household food security data with child nutritional status Severity of food shortage
Households on basis of gender²³ (usually female headed households)	<p>In a situation where:</p> <ul style="list-style-type: none"> greater poverty/destitution was documented amongst FHH before the emergency; <p>and</p> <ul style="list-style-type: none"> food shortages are not extreme 	<ul style="list-style-type: none"> Poverty data on FHH compared to other households Nutritional status and food security data on FHH compared to other households

²² This strategy is easily criticised as a child may be malnourished primarily due to disease or inadequate care. This can be corroborated by assessing the nutritional status of adults (particularly women) in the household. If there is adult malnutrition it is more likely that the child is malnourished due to lack of food. Other weaknesses with the approach are that it may exclude households in need who do not have an eligible child or some children may be kept undernourished to gain access to the programme.

²³ This approach can have a high inclusion and exclusion error, i.e. many included household may not be food insecure and because of the higher frequency of male headed households.

Targeting options	When may it be appropriate to employ this targeting option	What information is required to determine whether the targeting option is appropriate
Selecting interventions that may be 'self-targeting'		
Market interventions Increase the market supply of food to lower food prices	In a situation where: <ul style="list-style-type: none"> the price of the usual staple has risen due to scarcity and is no longer affordable to many poor food insecure households; <i>and</i> <ul style="list-style-type: none"> targeting general rations not feasible (especially in urban areas); <i>or</i> there is a need to revitalise the food market (including milling) sector. 	<ul style="list-style-type: none"> Numbers of retailers willing to participate in scheme Existence of milling and storage capacity Price differential between main staple and low cost staple Capacity for fortifying low cost staple, if risk, or evidence of micronutrient deficiencies
Commodity choice ²⁴ Select a food commodity that is only attractive for people in greatest need?	In a situation where: <ul style="list-style-type: none"> rich and poor people have different staple diets; <i>and</i> <ul style="list-style-type: none"> targeting general rations not feasible (especially in urban areas). 	<ul style="list-style-type: none"> Data on food consumption patterns for socio-economic groups
Food for work (FFW)	In a situation where: <ul style="list-style-type: none"> FFW is an appropriate and feasible options – see response options, annex #.1; <i>and</i> <ul style="list-style-type: none"> FFW will be attractive only to poor, food insecure households; <i>and</i> <ul style="list-style-type: none"> The majority of poor, food insecure households include an adult able to work and participate in FFW activities. 	<ul style="list-style-type: none"> Data relevant to determining the appropriateness of FFW – see response options, annex #.1. The availability of alternative employment opportunities that are more attractive for households that are not among the poorest and most food insecure. Composition of food insecure households: average number of able-bodied persons in households.
Targeting individuals		
Individuals according to nutritional status (supplementary and therapeutic feeding)	See SFP in response option matrix (annex #.1) (Criteria may be adjusted in extreme crisis or where resources inadequate.)	See SFP in response option matrix (annex #.1) <ul style="list-style-type: none"> Anthropometric survey data on prevalence of global and severe malnutrition. Evidence of micronutrient malnutrition²⁵

²⁴ A limitation may be that richer households sell the commodity to obtain the food they really want.

²⁵ In some cases micronutrient malnutrition has been a trigger for an SFP programme using a fortified blended food, e.g. pellagra in Angola where CSB was targeted to all those with symptoms presenting at health centres.

Targeting options	When may it be appropriate to employ this targeting option	What information is required to determine whether the targeting option is appropriate
Pregnant and breastfeeding women A supplementary ration is usually provided in conjunction with ante and post-natal care. In a targeted SFP, pregnant and breastfeeding women are usually included if nutritionally vulnerable for medical or social reasons. In a blanket SFP, all pregnant women from third month and all lactating mothers up to six months are normally included.	In a situation where: <ul style="list-style-type: none"> intra-household food distribution is inequitable or women receive less than their share of a general ration resulting in women being malnourished; <i>or</i> women need encouragement to attend ante-natal and/or PMTCT programmes; <i>and</i> <ul style="list-style-type: none"> there is extensive coverage of mother and child health (MCH) care. 	<ul style="list-style-type: none"> Intra-household food consumption data, e.g. meal frequency differences between genders. types of food consumed by gender Data on adult women BMI Prevalence of HIV and mother to child transfer rates of HIV ²⁶ Coverage of MCH services and Attendance rates at ante-natal clinics
Elderly and disabled people (especially those who are alone, without family support)	In a situation where: <ul style="list-style-type: none"> social support networks have broken down so access to food for these people is compromised, e.g. in IDP or refugee situations; <i>or</i> elderly and disabled people have been left behind following a crisis. 	<ul style="list-style-type: none"> Nutritional status data on elderly and disabled people (based on arm span and weight criteria). Proportion of elderly and disabled in population. Numbers of elderly living on their own.
School children ²⁷ (meals/snacks distributed during school hours, usually mid-morning)	See response options, annex #.1. ²⁸ In a situation where: <ul style="list-style-type: none"> school enrolment and attendance have declined following the crisis (or were already low); <i>or</i> (exceptionally) older children/youths have particular nutritional needs that are not met by a standard general ration. 	<ul style="list-style-type: none"> Enrolment and attendance data from schools Data on other types of food distribution in area

²⁶ Where prevalence of HIV is really high and evidence for high transmission rates during pregnancy and lactation this type of programme is increasingly being seen as a legitimate part of the food aid response especially in the second phase of an EMOP or a PRRO(?)

²⁷ Generally, children enrolled at school are likely to be from more powerful socio-economic groups, better nourished and more likely to be boys. Therefore they are less likely to be vulnerable to nutritional crises. The reverse may be true in pastoral societies where children from richer households are away with the livestock and children of poorer households remain in towns and villages. In general, targeting school children is not a primary means of targeting food according to need in emergencies.

²⁸ Note that school feeding may miss the most vulnerable households and children, but may be justified for educational and psycho-social reasons.

Targeting options	When may it be appropriate to employ this targeting option	What information is required to determine whether the targeting option is appropriate
Socially vulnerable individuals through social service institutions (e.g. churches, prisons, neighbourhood care programmes) Food given for a variety of objectives, i.e. to encourage attendance, to take pressure off supporting families	In a situation where: <ul style="list-style-type: none"> groups in institutions are perceived to be nutritionally vulnerable, i.e. not in receipt of general ration attendance at institution needs strengthening ²⁹ food security of families supporting institutionalised groups is compromised 	<ul style="list-style-type: none"> Nutritional and/or food security data on vulnerable institutionalised groups and supporting families

²⁹ This may not be a priority in an emergency, but this type of programme is increasingly being used in second or third phase WFP EMOPs and PRROs in southern Africa(?).

B7 Determining whether school feeding would be appropriate

This annex provides guidance on determining whether school feeding is appropriate and, if so, what form it should take. In all cases, representatives of the community and the education sector *must* participate fully in the assessment and decision-making.

Education of children is important for the future of the community and an opportunity for learning life-saving knowledge and skills, such as HIV/AIDS prevention, landmine awareness, peace building and conflict resolution. In case of a catastrophic sudden onset crisis, especially a conflict, attending school can also help to reduce the effects on children of traumatic stress arising from the events and, for displaced people, the journey to their present location and the camp environment itself.

School feeding is one way to encourage enrolment and facilitate the attendance and retention of children – especially girls – in school. In many situations, it can contribute to achieving the ‘Education For All’ and ‘Millennium Development’ goals on education, and gender parity in education.

School feeding can also improve children’s learning performance by helping to ensure that short-term hunger does not inhibit their capacity to learn when they spend 4 or more hours at school without any other food and/or do not eat a proper meal before going to school. Properly managed, it may also help to reduce the sexual exploitation of girls in camp situations and shield children from exploitative activities such as child labour, military recruitment, abuse and violence.

Some lessons to bear in mind when considering school feeding

- A breakfast or mid-morning meal (that suits local food habits with a minimum of on-site cooking) is the most appropriate modality in most cases.
- The involvement of both mothers and fathers in the school management committee is important, and the community should contribute actively to the programme.
- Regular de-worming treatment should be provided.
- Attention should be given to ensuring adequate water, sanitation and hygiene facilities.

What is required of a joint assessment in relation to school feeding?

The assessment should:

- Determine whether there are problems in school attendance, retention, academic performance, exploitation of children or other issues that school feeding could help to resolve;
- Determine whether there are problems in school attendance, retention or academic performance that require other (non-food) interventions;³⁰

³⁰ For instance, some parents have been reluctant to send their children to school due to lack of proper clothing or separate latrines. Early marriage and abusive teachers can also inhibit girls’ enrolment and attendance. These impediments apply disproportionately to girls.

- Establish the extent to which school feeding could accelerate girls' participation in school or the participation of other particularly vulnerable children;
- Determine whether, exceptionally, school feeding can serve as a mechanism to target food specifically to school-age children to meet measurable nutritional objectives;
- Propose appropriate modalities for the effective implementation and monitoring of school feeding activities, when found to be appropriate, and specify any other complementary measures needed to ensure that the objectives are achieved.

Before school feeding is implemented, a standard WFP school feeding baseline survey must be completed and the objectives be clearly stated. Follow-up surveys and subsequent reviews should determine whether the objectives are being achieved.

School feeding and basic nutritional needs

In general, the nutritional needs of children and their households should be met through food and/or non-food responses that address food security and nutritional problems (e.g. market interventions, general food distribution, food-for-work, supplementary feeding). The objectives of school feeding, where undertaken, are primarily educational and psycho-social, in most cases.

Exceptionally, an existing school feeding programme may be expanded, or a new programme be introduced, if the assessment determines that school feeding would be the most effective and efficient way of targeting additional food to children who have special food needs or to their households (recognizing that school feeding will not benefit households that do not have children or school age).

Example: In a refugee camp in Kakuma Kenya, where there were a significant number of very tall youths whose nutritional needs were not met by the standard general ration, the assessment determined that school feeding would be a more effective and efficient way of targeting additional food to them than increasing the general ration for the whole population.

Determining the need for school feeding – questions to ask

- ❑ What are school enrolment and attendance rates for girls and boys in various grades?
- ❑ What are the reasons why parents do not enrol their girl and boy children in school?
- ❑ What are the specific causes why girl and boy children do not attend school regularly?
 - according to girls and boys themselves
 - according to parents and teachers
 - school and relevant authorities
- ❑ Does the attendance rate decrease at specific times? When? Does the attendance rate decrease just prior to food distribution?
- ❑ What are the drop-out rates for girls and boys, and the reasons for dropping out?
- ❑ What are the type(s) of measures, assistance or incentives that could overcome the constraints on school attendance and retention of girls and boys at school;
- ❑ What is the length of school day/number of hours children spend at school;

- ❑ What are children doing when not in school?
- ❑ Do children eat at home before going to school, or go home to eat during the school day?
- ❑ What are the patterns of eating and food preferences in the typical household?
- ❑ Do teachers observe a decline in children's attention and learning capacity during the day; if so, at what time?
- ❑ Is there evidence of widespread traumatic stress among school age children?
- ❑ Are there concerns for sexual or other forms of exploitation, or harassment, of school-going girls and boys? Could those be addressed if they attend school and have school feeding?
- ❑ Are the specific nutritional objectives for school-age children that can appropriately be met through school feeding?

School feeding and girls participation in school

- ❑ What is the percentage of girls who are unable to go to school? What percentage attend school irregularly? What percentage have dropped out of school due to food/nutrition-related causes (if that can be ascertained)?
- ❑ What is the passing rate for girl students?
- ❑ What appropriate food/nutrition-related measures should be in place for girls, to increase their attendance, retention and performance in school and/or to address specific nutritional needs?
- ❑ What other initiatives organized by the community promote girls' enrolment and retention in school?

Determining how school feeding could be organized – questions to ask

- ❑ Do parents/women's committees exist? (Note: It is critical that women and the committees play a substantive role in decision making in the school.)
- ❑ What can parents contribute (cash, complementary food commodities, other)?
- ❑ Will fathers and mothers share responsibility for all aspects of the programme?
 - Will women and men participate equally in both the committee controlling food stocks and the preparation of food?
 - Do women and men participate equally in decision-making in other sectors and activities? If so, which activities and decisions? If not, why not?
- ❑ Which other entities within the community would be interested to promote school feeding programmes, and what can they do?
- ❑ What other organizations, including local organizations, would be interested and help to make school feeding sustainable?
- ❑ Are safe and appropriate food storage and cooking facilities available at schools or nearby? If not, can they be constructed?
- ❑ Is cooking fuel readily available?
- ❑ What activities or facilities are in place to ensure necessary hygiene standards? (e.g. hand-washing facilities, latrines/toilets)? To what extent are they used?
- ❑ What forms of technical support would be required?
- ❑ What capacity building activities would be needed?

Other considerations

- *Protection concerns*: if there is a risk of sexual exploitation, or harassment, of girls at school or on their way to/from school, consider measures that could be put in place to protect them (e.g. male and female teachers; other adults in attendance and/or escorting them to/from school with or without compensation).
- *Partnership options*: consider whether there is an opportunity to work with partners who can assure complementary interventions (community mobilization, post-trauma ‘healing’ activities for the children, infrastructure improvements, health interventions, etc.).
- *De-worming*: appropriate de-worming treatments should be administered to all children in areas with a parasite prevalence warranting treatment. Ideally, the whole family should be treated.³¹
- *Quality of education factors*: school feeding can be an effective intervention even if school conditions are far from ideal. Quality factors are important, however. They should be reviewed and considered, but they should not be the determining factor as to whether school feeding should be implemented. In fact, school feeding (especially when parents become actively involved in decision-making) often has the effect of stimulating improvements in the school environment.
- *Environmental issues*: school-feeding operations should not have a negative impact on the environment. Therefore consideration must be given to fuel-efficient cooking arrangements, waste disposal, environmental education and other practical interventions complementary to the school feeding activity.

Performance results			
	Girls	Boys	Total
Output: Numbers receiving food in primary schools			
Planned number			
Actual number			
Outcomes			
Number enrolled (absolute enrolment)			
% of school-age girls and boys enrolled (net enrolment)	%	%	%
Ratio of girls to boys enrolled			%
% of enrolled girls and boys who attended classes at least 80% of the school year (attendance)	%	%	%
Teachers' perception of children's ability to concentrate and learn as a result of school feeding			

For further guidance, refer to:

³¹ WHO has determined that de-worming treatment is safe even for pregnant women and very young children. Only children under 1 year of age should not be treated.

- WFP/UNESCO/WHO School Feeding Handbook (1999)
- WFP *School Feeding Works for Girls Education*
- INEE website: ineesite.org
- WFP School Feeding Service (PSPF) and Nutrition Service (PSPN)

B8 Domestic energy requirements

The following are points that assessment teams should consider in relation to the needs for, and use of, cooking fuel and other domestic fuel requirements, especially for *displaced populations*.³²

Fuel-wood collection for cooking, heating and/or sale as an income-generating activity can be an important cause of natural resource depletion and environmental degradation around refugee camps. In all cases, an assessment of energy needs and availability must be carried out with a view to ensuring that the displaced people are able to cook their food while preventing environmental damage. Where necessary, a specific energy needs assessment by a partner organization or consultant may be required to:

- examine the availability and current rates of usage of *cooking fuel*, and determine whether measures are required to:
 - reduce cooking fuel requirements and conserve energy,
 - develop alternative sources of energy, or
 - as a last resort, organize external fuel provision; and
- determine, when measures are required, how and by whom they should be implemented, taking account of other energy requirements, e.g. for domestic heating.

The assessment must be carried out with the full participation of the community and the local (host) population, and consider short and long term resource management and socio-economic aspects.

Assessment teams should review any such assessments or other relevant reports, and complement this by their own observations and enquiries, to determine whether energy sources are limited and there is a risk of fuel-wood being collected in an unsustainable manner and, if so, what actions should be taken.

Analysing cooking/domestic fuel requirements and supply

Determine the extent to which:

- ❑ there is, or will be, a shortage of fuel for cooking and domestic heating;
- ❑ the collection of fuel-wood or the production of charcoal (for domestic use and/or sale) is sustainable or risks leading to deforestation and environmental degradation;

and, where problems exist or can be foreseen:

- ❑ whether *cooking fuel requirements can be reduced and energy be conserved* by:
 - providing foods that need less cooking (e.g. finely milled grains, split peas instead of beans) promoting the use of fresh foods or, more expensively, using pre-cooked blended foods and soy-fortified blends;
 - assuring grinding/milling facilities for whole grains, when necessary;
 - educating the population on fuel-saving cooking techniques, see box below;

³² This annex is adapted from *UNHCR-WFP Joint Assessment Guidelines*, 2004.

- promoting multi-family cooking or shared cooking stoves: both are facilitated by clustered living arrangements and the building of cooking shelters, and communal cooking by the provision of large pots;
- promoting the use of improved stoves, see box below;
- ensuring that refugees have sufficient clothes and blankets (to reduce heating requirements).
- whether *alternative sources of energy* could be used, see box below;
- whether, as a last resort, the *external provision of fuel* should be organized, see box below.

Cooking techniques that minimize fuel requirements

- Using lids, preferably tight fitting lids with a weight on top;
- Pre-soaking hard foods;
- Milling or pounding hard grains and beans;
- Cutting hard food into small pieces and/or using tenderisers;
- Using appropriate pots – metal pots for boiling water and fast cooking foods such as rice and potatoes, but clay pots for dishes requiring long simmering such as maize and beans;
- Double/stacked cooking (one pot on top of another);
- Not over-cleaning the outside of pots;
- Adding water as needed during cooking rather than filling the pot at the beginning;
- Transferring food to an insulating 'haybasket' to complete slow cooking;
- Improved firewood preparation – cutting, splitting and drying of firewood;
- Improved fire management – using shields to control the fire and its air supply, simmering gently, and putting out the fire promptly.

Promoting the use of fuel efficient stoves

Fuel-efficient stoves can be available to people – preferably as an incentive that is earned – or people can be helped to produce their own. Possibilities include:

- user-built mud stoves;
- prefabricated metal or fired clay stoves (which may be appropriate only when energy is scarce, the displaced people have to pay for fuel, and they perceive the benefits for themselves).

Possible alternative energy sources

- Loose wastes and residues (e.g. maize cobs, rice husks, cow dung).
- Locally produced fuel briquettes made from rice husks, bamboo or sawdust (as in

Bangladesh, Thailand).

- Grass, using a special grass-burning stove (as in Tanzania, Uganda).
- Peat extracted from local swamp areas (as in Tanzania).
- Biogas produced on site from human and organic wastes (as in Afghanistan, Nepal).
- Kerosene using cloth wick or pressurized stoves (as in Nepal).
- Solar energy using curved, box/oven-type or panel-type reflectors. (However, pilot projects in Ethiopia, Kenya and Pakistan have encountered a number of problems in relation to eye protection.)

When may the external provision of fuel be needed?

Fuel provision may be considered on an exceptional basis when:

- there is a total lack of fuel in the area or when resources are so depleted that the displaced people are forced to spend an unacceptable amount of time and labour to secure sufficient fuel to cook their basic rations;
- there are security risks and going outside the camp to collect of fuel is dangerous, particularly for women; or
- there are severe threats to the natural resource base/environment (including when a camp is located near a nature reserve).

When fuel is supplied, the fuel should be culturally acceptable, easy to use but unattractive for re-sale, and its distribution should be targeted to specific groups. The provision of fuel should be explicitly linked to conservation measures (such as participation in tree planting) – it should not be free – and communities themselves should manage the distribution. The impact of fuel distribution should be closely monitored.

For further details on external fuel provision, see:

- *Refugee operations and environmental management*, 4.2 Organized fuel supply (p 42), UNHCR-EESS 2002
- *Cooking options in refugee situations*, 5 Energy supply, UNHCR-EESS 2002.

For case examples of energy-saving practices, see → *Refugee operations and environmental management*, UNHCR 2002, pp 23, 40.

For more guidance on cooking fuel options in general, see → *Cooking Options in Refugee Situations: a handbook of experience in energy conservation and alternative fuels*, UNHCR-EESS, December 2002

Annex series C:

Tools for data collection and management

Strengths and weaknesses of different methods

- C1 Rapid appraisal vs. survey methods
- C2 Characteristics, strengths and weaknesses of various primary data collection methods

Conducting interviews and managing enumerators

- C3 conducting semi-structured interviews
- C4 working with interpreters

The following additional annexes are on the complementary CD-ROM

Designing data collection instruments

- C6 designing a structured questionnaire
- C7 designing a semi-structured interview guide

Sampling

- C8 sampling essentials (what, why, how)
- C9 sampling for a rapid assessment
- C10 organizing sampling for an in-depth assessment

Data management

- C11 managing and processing data

Selected participatory techniques

- C12 Undertaking a *Transect Walk*
- C13 Preparing a *Seasonal Calendar*
- C14 Preparing a *Time Line*
- C15 Using *Proportional Piling*
- C16 Using *Pair-wise Ranking*
- C17 Preparing a *Venn Diagram*
- C18 Preparing a *Community Map*
- C19 Undertaking *Wealth (or well-being) Ranking*
- C20 *Ranking and scoring*

C1 Rapid appraisal vs. survey methods ¹

The key features of rapid appraisal are that information and analysis are generated relatively quickly, and that the approach is open-ended and semi-structured. It is therefore well-suited to emergency situations, where decisions have to be taken quickly, and where there is little prior information (so that often the questions being asked have to be framed/refined as the assessment proceeds).

Sample surveys are generally valued for the level of detail in the data collected, its precision and its representative-ness. Most sample surveys focus on the household level, collecting data using a standardised questionnaire from a carefully selected and (usually) large number of households, ensuring an answer that is both precise and representative of the population sampled.

It is difficult to argue that one approach is consistently better than another – to some extent they serve different purposes, they have different requirements in terms of time, staff and technical input, and – a key factor - both types of assessment can be well or badly done. As indicated elsewhere in this handbook, the need for timely information and analysis often dictates the use of rapid appraisal approaches, but where a choice has to be made between them, the following issues can usefully be considered. Perhaps the overriding consideration in any context should be, which approach is most likely to be successful given the current situation and the resources available (financial, logistical and personnel)?

Issues to Consider when Choosing between a Rapid Appraisal and a Sample Survey	
Issue	Commentary
Timeliness	<p>In a <i>rapid appraisal</i>, data collection and analysis are continuous processes undertaken throughout the field work. Typically, therefore, a rapid appraisal team is able to present its main findings and conclusions shortly after completing the field work.</p> <p>For a <i>sample survey</i>, on the other hand, data analysis cannot begin until the field work is completed and all the data has been compiled centrally. Cleaning and processing of data may take considerable time, and sample survey results are rarely available until at least a month (and often much longer) after the completion of the field work.</p>
Cost	<p>Differences in cost between the two approaches are a function of two things: a) sample size and b) staff costs.</p> <p>Sample size (both the number of sites visited and the number of interviews undertaken) is almost always larger in a sample survey, which pushes up the both the transport and staff costs for this type of assessment.</p> <p>Fewer people are involved in a rapid appraisal than a sample survey, but their unit cost tends to be higher because this type of assessment requires a higher calibre of staff.</p> <p>Another factor to consider is the cost of international technical consultants, who may be required to lead either type of exercise, or at least to have input at the design and analysis stages.</p>
Flexibility in Implementation	<p><i>Sample surveys</i> always make use of standardised questionnaires or survey instruments. These require careful design and rigorous pre-testing (preferably in a range of the situations to be encountered) to ensure that all the relevant data are being collected and that the various questions are being asked in an appropriate and sensitive manner.</p> <p>For a <i>rapid appraisal</i>, the main technique for obtaining information is the semi-structured interview, in which the interviewer works from a checklist or semi-structured format which encourages discussion, clarification and cross-checking in a way that cannot be achieved with a questionnaire. The approach also allows new and unexpected information to be included in the analysis. This reduces the requirement for extensive pre-testing of the instruments before the teams set off for the field. It also means that the assessment can change direction where the initial findings indicate that this is necessary.</p>
Personnel, training requirements and ownership of the	<p>A <i>rapid appraisal</i> requires a higher calibre of personnel than a sample survey because every member of the rapid appraisal team is expected to participate to a greater or lesser extent in the analysis. Nobody is simply a form-filler. This also means that more time is required for staff training than for a sample survey. While this is in one sense a drawback,</p>

¹ Text provided by Mark Lawrence, Food Economy Group.

output	<p>it also has its benefits. These include capacity building (i.e. staff with a better understanding of food security concepts in general and of the current situation in particular) and shared ownership of the analysis and therefore the output from the exercise.</p> <p>Having said that, staff calibre and training are also key factors in ensuring the success of a <i>sample survey</i>. Surveyors have to understand the basics of the subject they are enquiring into, otherwise the questions are likely to be posed badly. They also have to understand how to do the minimum of basic cross-checking (to avoid obvious inconsistencies within the interview) and they have to be sufficiently committed to the exercise to not simply sit under a tree and fill in the interview formats themselves.</p>
The Output – qualitative vs quantitative; objective vs subjective.	<p>The basic output from a <i>sample survey</i> is a set of <i>quantitative</i> statistics (e.g. average maize production last harvest was x sacks per household; y% of households have visited a health post within the last month, etc.). What is often missing is the more <i>qualitative</i> or descriptive aspects of the analysis, i.e. the story behind the statistics. This story can only be obtained using rapid appraisal techniques, and it is for this reason that sample surveys often also incorporate elements of rapid appraisal (e.g. 'key informant' interviews with administrative officials or market traders or community leaders).</p> <p><i>Rapid appraisal</i> can be used to generate both <i>qualitative</i> and <i>quantitative</i> data. Certainly the quantitative data is not of the measured or <i>objective</i> kind (i.e. an investigator may ask a village key informant how many sacks an average household harvested, but s/he cannot count those sacks). But in truth this is also the case with most food security data collected via sample surveys (where the number of sacks harvested is also reported, not counted)².</p> <p>The main difference is the level at which the data is collected, i.e. individual household vs. village focus group or community key informant. Data collected by either approach is therefore subject to a degree of <i>subjective</i> judgement (i.e. the feelings or opinions of the respondents).</p>
Representativeness, precision and accuracy	<p><i>Sample surveys</i> typically make use of random samples, while rapid appraisals generally rely upon purposive sampling. The use of <i>random sampling</i> is generally considered to be a strength of sample surveys. However, truly representative sampling requires two things: a complete list of locations to sample (e.g. villages for a rural survey) and accurate data on the population of each unit sampled. If this information is not available, or is incomplete or inaccurate or out-of-date (as is often the case), then the representativeness of the sample is adversely affected.</p> <p>One of the advantages of sample survey methodology is that standard <i>statistical analyses</i> can be used to estimate how precise the data is (i.e. to estimate whether the same result would be obtained if the survey were repeated) and to make statistically valid comparisons between the results from different population groups. It should however be noted that <i>precision</i> is not the same thing as <i>accuracy</i>. Suppose that household interviewees consistently under-estimate their crop production by 10%-30%, so that the average result obtained in repeated surveys is 8 sacks per household rather than 10, the true or accurate figure. In this case, the result (8 sacks) is inaccurate (because the true figure is 10 sacks) but it is precise (because the same result would be obtained in a repeat survey).</p> <p>It is very difficult to determine accuracy with respect to data on food security, but one approach is to see whether the data make sense or 'add up' in general terms. For instance, if people have clearly not starved within the last 12 months (however disadvantaged they may be in many ways), but the information they are giving suggests household food access significantly below the 2100 kcal per person per day threshold, then more questions need to ask and clarification obtained. This type of analysis is possible with either the rapid appraisal or the sample survey approach. Ideally, this type of analysis should be done and followed up while the team is still in the field – which tends to be easier in the case of a rapid appraisal than a sample survey.</p>

² The measurement of nutritional status is a noteworthy exception to this general rule. Nutritional status can only be determined by direct measurement, and is therefore a valuable measure of nutritional outcome that is both quantitative and objective.

C2 Characteristics, strengths and weaknesses of various primary data collection methods³

This annex provides a summary comparison of the characteristics, strengths and weaknesses of the principal methods available for collecting primary data related to self-reliance: household (or individual) surveys; key informant interviews; household or individual interviews, and focus group discussions. There are 4 tables:

- Utility of different methodologies...
- Characteristics of different methodologies...
- Strengths/weaknesses...I - for assessing levels of self-reliance
- Strengths/weaknesses...II - for assessing opportunities for building self-reliance

For each assessment/study, the most advantageous method/s should be chosen in the light of the context and the objectives of the exercise. Good preparation, training and supervision are necessary in all cases.⁴

Utility of different methodologies for primary data collection				
	<i>Household or individual survey (probability)</i>	<i>Key informant interviews</i>	<i>Household or individual interviews (non-probability)</i>	<i>Focus group discussions</i>
Utility for assessing (I) levels of access (quantitative)	High	Moderate	Low	Moderate
Utility for assessing (II) opportunities for restoring livelihoods (qualitative)	Low	High	High	High

³ This annex is adapted from *UNHCR-WFP Joint Assessment Guidelines*, section 10.4, 2004

⁴ This includes careful questionnaire design and testing (for surveys); the selection of individuals who have the right aptitudes for field work; and the training of field workers in questionnaire administration (for surveys) and/or in conducting semi-structured interviews and group discussions, always with a focus on cross-checking data for plausibility and consistency.

Characteristics of different methodologies for primary data collection				
	Household or Individual Survey (probability)	Key Informant Interviews	Household or Individual Interviews (non-probability)	Focus Group Discussions
Sampling approach	Probability sampling: selection of sample from sampling frame using random selection process	Purposive sampling (quota, snowball, etc.).	Purposive sampling or random. Differs from method in column 1 due to small sample size and lack of intent to infer statistically to the population.	Purposive sampling or random (quota, snowball, etc.).
Sample selection	Random (can be also systematic), often employs 2-stage selection process due to lack of household or individual level sampling frame (e.g. select village or other aggregate for which a sampling frame exists at first stage)	Informants chosen subjectively based on their perceived knowledge of local context and issues of interest	Informants chosen subjectively or randomly with the aim of selecting 'typical' households or individuals to represent the population or sub-populations	Groups of 6 to 8 participants in a facilitated discussion. Groups usually represent sub-groups of interest. Groups may intentionally be a mixture of sub-groups. Selection; usually purposive, sometimes random
Generalizing from sample (n) to population/sub-population of interest (N)	Inference based on statistical theory. Estimates have quantifiable levels of confidence and error.	Key informant's perspective and informed opinion about the population or sub-population.	Although not statistically representative, 'typical' households or individuals are thought to be indicative of the experience of others like them.	Discussion is focused on generalized experience of population of sub-populations and not on the experience of individual participants in the discussion.
Tools	Questionnaire	Checklist, structured interview guide, semi-structured interview guide, none	Checklist, structured interview guide, semi-structured interview guide, none	Semi-structured discussion guide, none

Characteristics of different methodologies for primary data collection				
Participatory techniques commonly used (in addition to interviewing)			Proportional piling, ranking, mapping, time trends, seasonal calendars, transect walks, direct observation, and other PRA tools	
Skills and training required	<i>Enumerator team:</i> basic literacy and numeracy skills, training on use of questionnaire	<i>Interviewer:</i> Skilled and experienced interviewer able to adjust to strengths of each informant, skills in substantive area, training in particular research interest of interview	<i>Interviewer:</i> Skilled and experienced interviewer able to adjust to strengths of each interviewee, skills in substantive area, training in particular research interest of interview	<i>Facilitator:</i> Skilled and experienced facilitator able to balance need to maintain focus while allowing the group to raise issues important to them <i>Reporter:</i> Basic literacy and numeracy skills, training in topic and verbatim recording of discussion
	<i>Design/Supervisory Team:</i> Research design and probability sampling skills	<i>Design/Supervisory Team:</i> Experience in tool development	<i>Design/Supervisory Team:</i> Experience in tool development	<i>Design/Supervisory Team:</i> Experience in tool development

Strengths and weaknesses of different methodologies for primary data collection				
I – For assessing households' access to food				
	Household or Individual Survey (probability)	Key Informant Interviews	Household or Individual Interviews (non-probability)	Focus Group Discussions
<i>Strengths</i>	Estimates of levels of access with quantifiable degrees of error and confidence	Takes advantage of local experts and maximizes the utility of information gathered from each interview.	Small sample size is relatively cost-effective (time, financial, human resources) in comparison to other methods	Group discussion allows for dissent and consensus building about levels of access from various perspectives/interest groups
	Separate estimates for sub-groups (e.g. social, economic, spatial, and other characteristics) <i>if</i> an appropriate sample design and sample size is used	Can provide crucial contextual and retrospective insights for interpreting current and future access situation and sub-groups of interest that can be missed by a structured questionnaire	Can provide crucial contextual and retrospective insights for interpreting current and future access situation and sub-groups of interest that can be missed by a structured questionnaire	Can provide crucial contextual and retrospective insights for interpreting current and future access situation and sub-groups of interest that can be missed by a structured questionnaire
	% of population by sub-groups of interest can be disaggregated geographic/administrative boundaries that are meaningful for targeting	Small sample size is relatively cost-effective (time, financial, human resources) in comparison to a household survey		Small sample size is relatively cost-effective (time, financial, human resources) in comparison to a household survey

Strengths and weaknesses of different methodologies for primary data collection				
I – For assessing households' access to food				
	Statistically supported inference from sample (n) to population (N)			
<i>Weaknesses</i>	Sample size requirements can be relatively costly (time, financial, human resources) depending on the degree of precision/ confidence desired	Selection of informants is highly subjective and prone to bias.	Selection of respondents may be highly subjective and prone to bias.	Selection of respondents may be highly subjective and prone to bias.
	Stratification by sub-group can add additional sample size requirements depending on the number of strata and the degree of precision and confidence desired for each strata estimate	Estimates of levels of self-reliance are difficult to quantify, lack error and confidence parameters, and represent 'best-estimates' from the perspective of the informants	Estimates of levels of self-reliance are difficult to quantify, lack error and confidence parameters, and represent 'best-estimates' from the perspective of the respondents	Estimates of levels of self-reliance are difficult to quantify, lack error and confidence parameters, and represent 'best-estimates' from the perspective of discussion participants

Strengths and weaknesses of different methodologies for primary data collection

I – For assessing households' access to food

	Descriptive analysis of data requires basic knowledge of statistics and statistical software. Additional knowledge/skills required for analyzing multiple and conditional relationships between variables.	Small sample size means that personal interests of individual informants exerts a strong influence on estimates of levels of access	Small sample size means that personal experience of individual respondents exerts a strong influence on estimates of levels of access. Difficulty in generalizing from sample (n) to population (N)	Small sample size means that the perspective/interests of participants exerts a strong influence on estimates of levels of access. Difficulty in generalizing from sample (n) to population (N)
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Strengths and weaknesses of different methodologies for primary data collection

II – For assessing opportunities for restoring livelihoods

	Household or Individual Survey (probability)	Key Informant Interviews	Household or Individual Interviews (non-probability)	Focus Group Discussions
<i>Strengths</i>	Separate estimates for sub-groups (e.g. social, economic, spatial, and other characteristics)	Can provide crucial contextual and retrospective insights for interpreting current and future access potential	Allows for in-depth investigation on household assets, capacities and livelihood priorities.	Allows for gender perspectives to emerge on key issues related to building self-reliance, especially control of resources that might be generated as a result of a particular intervention.
	The % of population by sub-groups of interest can be disaggregated by geographic/administrative boundaries that are meaningful for targeting	Small sample size is relatively cost-effective (time, financial, human resources) in comparison to other methods. Can build on the findings of Type 1 assessments so as to develop key areas of inquiry	Can build on Type 1 assessments by focusing on specific types of households who have the necessary profile to benefit from self-reliance efforts	Respondents' views and priorities are actively sought so as to ensure appropriate interventions that have the right fit to respondent needs and abilities.
	Useful in monitoring progress made towards self-reliance--short questionnaires	Respondents are knowledgeable of local economic conditions and can identify potential constraints and opportunities in pursuing certain types of self reliance activities	Respondents' views and priorities are actively sought so as to ensure appropriate interventions that have the right fit to respondent needs and abilities.	

<i>Weaknesses</i>	Not necessarily suited for in-depth investigation of household capacity to engage in self-reliance activities	Need skilled interviewers and facilitators who are able to guide discussions towards meeting objectives.	Need to have skilled facilitators who are able to guide discussions and analyse qualitative data for programme purposes--i.e., resulting in an intervention	Need to have skilled facilitators who are able to guide discussions and analyse qualitative data for programme purposes--i.e., resulting in an intervention
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C3 Conducting semi-structured interviews and discussions ⁵

The annex provides practical guidance on preparing for and conducting interviews with community groups and subgroups. The same principles apply for key informant interviews, whether with individual key informants or small groups of key informants, such as a group of district level officers.

Preparing for an interview/group discussion

Do your own homework:

- Review the interview/discussion guide and be absolutely clear about what you are trying to find out.
- Make sure you know the reason behind every question and how the responses will be analysed.
- Review the secondary data you have on the area and the current situation, and your notes from your interviews/discussions to date. (If you are preparing for a community group interview, look at your notes from the district level interviews.) This will help you prioritize the different topics and ask the right follow-up questions.
- Think about what sort of answers you might expect to the questions you will be asking.
- Make sure you understand local weights and measures.

Make sure you have a good translator with you, if you are not fluent in the local language, and that s/he is well briefed (see annex #.2).

Ensure that there are two of you, whenever possible, and particularly for a group interview/discussion – one to lead/facilitate the discussion while the other takes notes.

Deciding where to meet

Try to find somewhere where the group can sit in a circle, if possible, so that everyone can see everyone else and you can have *eye contact* with everyone. Avoid meeting rooms where you are behind a desk – it would be better to sit together under a tree! However, a degree of privacy is desirable: you don't want a lot of spectators.

How to start – give a careful introduction

Your introduction is critical. It will set the tone for the whole interview/discussion. Always begin with a traditional greeting, thank the participants for coming, and introduce yourselves: tell them a bit about yourself, who you work for, and why you are there. (It can be useful to include a few personal facts about yourself, such as how many children you have. People relate more easily to individuals they can identify with. But don't ask participants to tell you about themselves.)

- Explain, for example, that you are there to assess food production and consumption, and that you are interested to understand what's going on in the community in general, how people are living and what they are able to do for themselves, as this will help you understand the best way to assist.

⁵ Adapted from WFP *Emergency Field Operations Pocketbook*, 2002; *Rapid Food Security Assessment Missions*, Kenya Food Security Steering Group, 2004; *Notes on Interviewing*, WFP-Food Economy Group Technical Support Unit, WFP Sierra Leone, 2001; and *Participation guide*, draft, ALNAP, 2004.

- Avoid saying that the purpose of your visit is to assess food aid needs. However, if the area has a long history of relief assistance, point out that requests for relief assistance are evaluated on a number of considerations, not just the responses during the interview. Stress that there is no benefit to exaggerating the problems. The more accurate the information, the more likely it is that there will be a response. You might also mention that food and other aid resources are scarce, and must be allocated strictly on the basis of need.
- Explain that you are not the decision-makers, and avoid making promises about assistance that may be provided (unless you are absolutely sure that it will arrive). Emphasize that you need to be able to provide the decision-makers with good, accurate information on the situation faced by the community – on their achievements and capacities as well as their needs.
- Tell participants that they have the right not to answer specific questions if they wish, and that you will respect that right.
- Don't ask for names, as this might make some people less willing to talk honestly.

For a community group: Ask the participants to say what they do for a living and what part of the community they come from. Take careful note of the characteristics of the participants – e.g. gender, age and socio-economic status – and the population subgroups represented.

For a subgroup: Ask the participants:

- (i) to quickly describe their own households and means of livelihood, so that you can be sure that you are speaking with a more-or-less homogeneous group representing the livelihood subgroup you intended; and then
- (ii) to put their own household conditions to one side and speak as representatives of the population subgroup they have been chosen to represent (e.g. poor farmers, or daily labourers), answering the questions from the point of view of a 'typical' household in their subgroup, not that of their own household.

For key informants: Ask how long they have been in the area and what contact they have had with the communities themselves, and be clear about the geographical area they are referring to.

How to behave and what to be sensitive to during an interview/discussion

During the interview/discussion, your own attitude and sensitivity are important:

- Keep it informal. Be friendly and relaxed, and put participants at their ease.
- Adapt your own behaviour to local customs. (This can help to gain respect.)
- Refer to the interview/discussion guide discretely. Memorize it as much as possible. Don't use it as a questionnaire. Use it to ensure that all topics are covered by the end of the interview/discussion but be flexible and allow new and unexpected issues to be brought up and pursued.
- Respect people's sensitivities and their right not to answer certain questions if they choose not to.
- Listen.
- Look at people while they talk – maintain eye contact. This enhances their confidence and helps you to listen.
- Be aware of non-verbal communication from your informants.
- Avoid passing value judgements (either verbally or through body language) on what is being said.

- Rephrase what has been said to make sure that you (and other people) have understood a point correctly, when there could be some doubt.
- Don't be (or appear to be) in a hurry, but show that you value the time people are giving up to talk with you, so don't waste it.
- Don't be afraid to admit your ignorance or mistakes. Ask the group to help you understand.
- Don't talk too much: you are there to listen and learn.
- Don't take more than 45 minutes for an individual interview, or 90 minutes for a group interview/discussion.

The team member leading/facilitating the discussion should note important facts, points of agreement, and points that need to be followed up, but should not attempt to take detailed notes. The note taker should do this. It can be very disconcerting for the people being interviewed if the person putting the questions continually breaks off to write notes.

The note-taker may occasionally pose a question to clarify or expand on a particular point, but should concentrate on recording what is being said and the emotions being expressed. He/she may quietly remind the facilitator of the time and any points that need to be followed up, if necessary. Ideally both members of the team should be competent facilitators and they may change roles when moving on to the next interview or discussion.

Keep the interview/discussion flowing, and relevant

The purpose of a semi-structured interview or discussion is to find out what concerns the participants, and generate information and ideas that would not be captured by responses to a questionnaire. A free flow of ideas is essential, but the facilitator must keep the objective in mind. Here are some hints:

- Start each topic with an open question (one that does not have a simple answer); prompt with specific questions if response is limited.
- The next question should follow on from the answer to the previous question, whenever possible.
- Finish enquiries into one topic before moving on to the next, but also follow the flow of the conversation, keeping a track of leads, so that you can follow these up later.
- Don't interrupt the flow to ask a question or propose an exercise that is not clearly related to the topic under discussion.
- Allow participants to explain their points fully, even if they seem to be going off at a tangent. Try to understand their logic and concerns. When necessary, gently bring the discussion back to the topic about which you seek information. Politely interrupt if a respondent strays too far from the subject: ask if what they are saying is relevant to the topic.

Involve everyone: avoid domination

Getting balanced participation is likely to be one of your biggest challenges:

- Ensure that everyone has a say in a group interview/discussion; don't allow more powerful individuals or groups to dominate the proceedings. Although it is better to avoid dictating who should answer questions, if one or two individuals are dominating, ask the same question to different individuals or politely ask the main talkers to let somebody else have a chance to respond.
- Pay attention to participants who remain silent. Try to include them by using your eyes to invite them to speak out, or by asking them questions.

- In a community interview, get people from all subgroups to participate. If this proves to be impossible, either (i) split the group and continue discussions with the subgroups separately, asking one subgroup to wait while you pursue discussions with the other, or (ii) bring the interview to a close and move on to focus group discussions.

Analyse and cross-check during the interview/discussion

Keep track of the story you are being told:

- Is it consistent? Clarify any apparent inconsistencies.
- Cross-check as much as possible both by asking the same question in different ways and by comparing the responses of different people. But don't ask the same question over and over again.
- Do not accuse participants of lying. If something does not make sense, take the blame for being slow to understand.

Take a break, and stop when it's time

Watch the time, as well as progress:

- Keep a regular check on progress. If you sense that the interview/discussion is not providing useful, accurate and credible information, politely bring it to a close and move on to another group, or go elsewhere.
- It can be useful to take a short (e.g. 10 minute) break after about 40 minutes in a group interview or discussion to allow participants to move around and relax. The team members can use this time to compare notes on the interview/discussion so far, agree on key aspects to follow up, and decide whether any change of approach is needed.
- Wrap up each interview/discussion by rapidly summarizing what has been discussed and the main ideas expressed by the group.

As quickly as possible after the end of the discussion, the facilitator and the note-taker must sit together to:

- review the notes and agree whether anything needs to be modified or added; and
- reflect on how the interview went, what might have motivated the respondents to give certain answers and, for key informants, whether they were well-placed to know about the various subjects under discussion.

How to ask questions

- Ask clear and direct questions, e.g.: How...? Where...? When...? Who...? What...? How much...?
- Keep asking: Why?
- Ask questions about groups of people, not individual informants, e.g.: "How many goats do most poor families have?" (not "How many goats do you have?").
- Ask one question at a time; don't ask more than one question in the same sentence.
- Only ask questions to which the respondents can be expected to know the answers.
- Be clear about the time period to which the question refers.
- Keep sensitive issues until later in the interview or discussion, and avoid asking sensitive questions directly, if

possible (e.g. don't ask about total income, but about things that will allow you to estimate income, such as the number of days worked and daily labour rates).

- Ensure that each question is clearly understood, especially when working with an interpreter.
- Don't phrase questions in a way that assumes or implies that the informant(s) should follow (or have followed) a specific course of action.
- Avoid leading questions, in particular questions that invite people to paint a very pessimistic picture. Examples of such questions are: "Has anyone died of famine in this area?" or "How many households need food assistance?" or "What have been the main problems with crop production this year?"
- Don't induce particular answers by helping the group, or interviewee, to respond.

How to tell, and what to do, if things are going badly wrong

How to tell if things are going badly wrong:

- Information is not being volunteered readily.
- One person is dominating the discussion and not allowing others to participate.
- When you cross-check, things do not become clearer and contradictions get worse.
- If the information were true, the informants would be dead.
- Members of the group cannot reach a consensus.

What to do if things are going badly wrong:

- Check again who is in the group. Sometimes problems arise because participants come from different social groups. In this case, reform (split) the group.
- Sometimes explaining that things are not making sense – and that you will disregard the data if this continues – can lead to a change of attitude by the respondents.
- If things are really bad, give up as soon as politely possible and move on to the next interview.

C4 Working with an interpreter

The following are some hints for how to work with an interpreter during data collection:

1. Meet regularly with the interpreter in order to keep communications open and facilitate an understanding of the goals and purpose of the interview, meeting, or counselling session.
2. Speak in short units of speech – not long involved sentences or paragraphs. Avoid long complex discussion of several topics in a single interview.
3. Avoid technical terminology, abbreviations, and professional jargon.
4. Avoid colloquialisms, abstractions, idiomatic expressions, slang, similes, and metaphors.
5. Encourage the interpreter to translate the interviewee's own words as much as possible rather than paraphrasing or "polishing" it into professional jargon. This gives a better sense of the interviewee's concept of what is going on, his or her emotional state, and other important information.
6. Encourage the interpreter to refrain from inserting his or her own ideas or interpretations or omitting information.
7. To check the interviewee's understanding, and the accuracy of the translation, ask the interviewee to repeat instructions or whatever has been communicated in his or her own words, with the translator facilitating.
8. During the interaction, look at and speak directly to the interviewee, not the interpreter.
9. Listen to the interviewee and watch their nonverbal communication. Often you can learn a lot regarding the affective aspects of the interviewee; responses by observing facial expressions, voice intonations, and body movements.
10. Be patient. An interpreted interview takes longer. Careful interpretation often requires that the interpreter use long explanatory phrases.

Even if you are using an interpreter, there are ways you can become more actively involved in the communication process.

1. Learn proper forms of address in the interviewee's language. Use of titles conveys respect for the interviewee and demonstrates your willingness to learn about their culture.
2. Learn basic words and sentences of the interviewee's language. Become familiar with special terminology used by interviewees. Even though you can't speak well enough to communicate directly, the more you understand the greater the chance you will pick up on misinterpretations and misunderstandings in the interpreter-interviewee interchange.
3. Use a positive tone of voice that conveys your interest in the interviewee. Never be condescending, judgmental, or patronizing.
4. Repeat important information more than once.
5. Reinforce verbal interaction with materials written in the interviewee's language and with visual aids.

Source: Randal-David, Elizabeth; *Strategies for Working with Culturally Diverse Communities and Interviewees*; Association for the Care of Children's Health; Washington D.C. 1989.

Glossary

Access	See: <i>Food access</i>
Acute malnutrition	<p>Protein-energy malnutrition caused by a recent and severe lack of food intake or disease that has led to substantial weight loss or nutritional oedema. There are different degrees/stages of acute malnutrition, which are often categorized as follows:</p> <p><i>moderate malnutrition</i> corresponding to -3 to <-2 Z scores <u>or</u> 70 to 80% median weight-for-height;</p> <p><i>severe malnutrition</i> corresponding to <-3 Z scores <u>or</u> $<70\%$ median weight-for-height and/or nutritional oedema; and</p> <p><i>global acute malnutrition</i> encompassing both of the above and corresponding to <-2 Z scores <u>or</u> $<80\%$ median weight-for-height and/or nutritional oedema.</p>
Agro-ecological zone	A land resource mapping unit, defined in terms of climate, landform and soils, and/or land cover, and having a specific range of potentials and constraints for land use. [<i>Agro-ecological Zoning Guidelines</i> , FAO 1996]
Analysis	<p>An examination of a situation, its elements and their relations.</p> <p><i>In the context of food security assessment</i> (or monitoring), analysis is the process of examining data to identify particular characteristics, trends and relationships to inform recommendations or for reporting purposes.</p>
Anthropometric survey	<p>A sample survey in which specific body measurements are taken of population groups (usually children 5 to 59 months of age) and compared with standard reference values to measure the prevalence of protein-energy malnutrition in a given population. Strict probability sampling procedures must be used.</p> <p><i>Note:</i> The usual measures of nutritional status in an acute emergency are weight-for-height for young children, mid-upper arm circumference for pregnant women and body-mass-index for other adults. In a protracted crisis, height-for-age and weight-for-age are also used for young children.</p>
Assessment	<p>The critical appraisal of a situation before it is decided whether and how to carry out an intervention. Assessment is a structured process of data collection and analysis.</p> <p><i>In relation to emergency situations</i>, an emergency needs/food security assessment is the process of collecting and analysing data (both quantitative and qualitative) to provide an understanding of the food security situation and of any related threats to life, livelihoods, health and dignity in order to determine whether a response is required and, if so, the nature of that response.</p>
Availability	See: <i>Food availability</i>
Body Mass Index (BMI)	An indicator used to assess the nutritional status of adults and older children. It is measured by dividing the weight of an individual in kg by the square of the height measured in metres (weight/height ²).
Chronic food insecurity	A situation in which people and households are persistently unable over time to meet their food consumption needs.

Cluster sample	A representative sample where the sampling unit, children or adults, are selected in groups (clusters) rather than individually.
Community group (interview)	A mixed group that includes men, women and young people from all subgroups within the community (village, camp, urban neighbourhood).
Complex emergency	A humanitarian crisis in a country, region or area where there is a total or considerable breakdown of authority resulting from internal or external conflict, and which requires an international response that goes beyond the mandate or capacity of any single agency and/or the ongoing UN country programme.
Contingency planning	The process of establishing programme objectives, approaches and procedures to respond to specific situations or events that are likely to occur, including identifying those events and developing likely scenarios and appropriate plans to prepare for and respond to them in an effective manner.
Consolidated appeal	<p>A reference document for the international community on the humanitarian strategy, programme and funding requirements in response to a complex emergency.</p> <p>A consolidated appeal is typically prepared for a 12-month period (usually a calendar year) but may cover a shorter period in a rapidly-evolving situation. The appeal may include humanitarian relief interventions and emergency relief and recovery interventions.</p>
Coping strategies	<p>Activities that people resort to in order to obtain food, income and/or services when their normal means of livelihood have been disrupted.</p> <p>(See also: <i>distress strategies</i> and <i>viable coping strategies</i>, which must be distinguished.)</p>
Distress strategies	Strategies that undermine future means of livelihood, dignity or nutritional health, increase long-term vulnerability, or are illegal or not socially acceptable. (See also: <i>coping strategies</i> .)
Emergency	An urgent situation in which there is clear evidence that an event or series of events has occurred which causes human suffering or imminently threatens human lives or livelihoods, and which the government concerned has not the means to remedy; and it is a demonstrably abnormal event or series of events which produces dislocation in the life of a community on an exceptional scale.
Exclusion error	The proportion of intended beneficiaries that does not receive benefits (people who meet the criteria but receive nothing).
Food access (at household level)	A household's ability to regularly acquire adequate amounts of food through a combination of their own home production and stocks, purchases, barter, gifts, borrowing or food aid.
Food access shortfall (at household level)	The difference between households' nutritional requirements – what they need in order to re-establish or maintain satisfactory nutritional health and to carry out productive activities – and what they are able to provide for themselves without adopting distress strategies.
Food availability	The amount of food that is physically present in a country or area through all forms of domestic production, commercial imports and food aid.

Food for work (FFW)	<p>Food given as full or partial payment for work performed in the context of supervised public works that benefit the targeted beneficiaries.</p> <p>In the case of an emergency operation, this can include activities in which beneficiaries receive food in exchange for time invested in work that require little supervision but enables the community to begin the process of recovery and/or facilitates the delivery of relief assistance. Examples include debris removal and general clean-up operations in the immediate aftermath of a sudden disaster, or labour-intensive maintenance of assets under a food for assets programme.</p>
Food insecurity	A situation in which household members lack stable, secure access to sufficient amounts of safe and nutritious food for normal growth and development and an active and healthy life. It may be caused by the unavailability of food, insufficient purchasing power, inappropriate distribution, or inadequate use of food at the household level.
Food security	A situation in which all people at all times have physical, social and economic access to sufficient, safe and nutritious food which meets their dietary requirements and food preferences for an active and healthy life.
Food transfers	Programme activities through which food is made available (in kind) to beneficiary households or individuals. This includes general (free) distributions, targeted distributions to vulnerable groups, food for work, supplementary feeding, school feeding, etc.
Food utilization	This refers to: (a) households' use of the food to which they have access, and (b) individuals' ability to absorb and metabolize the nutrients – the conversion efficiency of food by the body.
General food distribution	A programme in which food is provided to enable households to meet their basic nutritional needs. Such programmes may include all families within a specified population or be "targeted" to selected sub-groups.
Global acute malnutrition prevalence (GAM)	<p>The percentage of children whose weight-for-height measurements fall below the cut-off of -2 Standard Deviations (or $<-80\%$ median) and/or who suffer from oedematous malnutrition.</p> <p><i>Note:</i> GAM is sometimes referred to as 'total' malnutrition.</p>
Household	A social unit composed of individuals, with family or other social relations among themselves, eating from the same pot and sharing a common resource base.
Household survey	<p>A random sample of households is selected and the relevant household member is interviewed using a pre-formulated questionnaire.</p> <p>Interviewers are trained to undertake interviews in a standardized way. Results are analyzed statistically, at a central point once all interviews have been conducted.</p>
Inclusion error	The proportion of total recipients who are not members of the intended target group, or the proportion of resources that goes to people not among the intended beneficiaries.

In-depth Emergency Food Security Assessment (EFSA)

An assessment that is undertaken using either: (i) a combination of rapid appraisal methods and a household survey based on probability sampling, or (ii) rapid appraisal methods including multiple in-depth interviews with small groups of people representing distinct subgroups within the affected population.

The aim in both cases is to generate a household economic profile for each distinct subgroup within the population and a detailed understanding of the food security situation, the causes of food insecurity and malnutrition (if any), and the prospects for recovery for each subgroup.

Indicator

Quantitative or qualitative factor or variable that provides a simple and reliable means to measure achievement or to reflect changes connected to an intervention.

Note: Where possible and relevant, indicators should allow for the collection of disaggregated data (by sex, age and other relevant variables).

Initial investigation

A preliminary enquiry undertaken following a sudden disaster or the receipt of a report of a new crisis.

Its purpose is to determine whether there is, or could be, a food security problem meriting an immediate life-saving response and/or an assessment of the situation and to provide preliminary indications of the type and scale of external assistance, if any, that might be needed.

Internally displaced persons

Persons or groups who have been forced or obliged to flee or to leave their homes or places of residence, in particular as a result of or in order to avoid armed conflict, situations of generalized violence, violations of human rights or natural or human-made disasters, and who have not crossed an internationally-recognized State border.

Livelihood

A livelihood comprises a household's capabilities, assets and activities required to secure basic needs – food, shelter, health, education and income.

Livelihood group

A group of people who share the same basic means of livelihood and life styles – i.e. the same main subsistence activities, main income activities and social and cultural practices – and the same risks affecting food security.

(Within a livelihood group there may be subdivisions depending on wealth or social factors.)

Malnutrition

In the context of WFP's work, malnutrition refers to a state of undernutrition, either resulting from inadequate intake of protein, energy or micronutrients, or from disease. This state may be characterized by a variety of symptoms such as wasting, stunting or other clinical signs.

See also: *acute malnutrition*

Market assessment

Assessment that provides critical information on market dynamics, market prices of key commodities, merchant credit and debt, food and non-food transactions, availability of essential food commodities, and market access. Necessary to adjust interventions to reach people in need without distorting market signals.

Mid-upper arm circumference (MUAC)	<p>The circumference of the upper arm measured at the mid-point between the shoulder and the elbow, which is an approximate indicator of wasting in children 6 to 59 months of age and pregnant women.</p> <p><i>Note:</i> MUAC is typically used for rapid assessment and screening for acute malnutrition among children in emergency situations. However, it is inferior to weight-for-height as an indicator of wasting and should not be used for assessment or evaluation purposes.</p>
Micronutrients	Micronutrients include all vitamins and minerals essential for a wide range of body functions and processes.
Non-food needs	Household needs apart from food: in particular, shelter, fuel, cooking utensils, water, health care, basic education and personal security.
Non-food responses/transfers	Measures other than food transfers to address problems of household food insecurity. This may include cash transfers, credit, tax reductions or the distribution vouchers or other (non-food) material supplies.
Non-probability sampling	Sampling that does not follow procedures that ensure that each unit in the population of interest has an equal chance of being selected. The sample is not statistically representative of the whole population of interest but some inferences may be drawn if a clearly defined selection procedure is systematically applied.
Nutritional requirements	The amount of energy, protein, fat and micronutrients needed for an individual to sustain an active and healthy life.
Pre-crisis data/baseline	<p>Data on the situation of the area(s) and population(s) of interest prior to the impact of a recent shock/crisis.</p> <p>(Note: This is distinct from the 'programme baseline' which describes the situation prior to the start of a WFP operation, against which change can be assessed or comparisons made.)</p>
Preparedness	Awareness of the likely effects of a disaster or emergency, and readiness to respond rapidly. Actions taken in anticipation of an emergency to facilitate rapid, effective and appropriate response to the situation.
Primary data	Primary data are data collected through the use of surveys, meetings, group discussions, interviews or other methods that involve direct contact with respondents – women, men, boys and girls.
Probability sampling	Individual sampling units are selected following procedures that ensure that each unit in the population of interest has an equal chance of being selected. The sample is therefore considered to be statistically representative of the population of interest.
Proxy indicator	An indicator which is used to approximate for one that is hard to measure directly.
Purposive sampling	<p>Respondents are chosen based on the fact that they are likely to give you the best picture of the phenomena you wish to enquire about.</p> <p>Purpose sampling is often used to select key informants and participants for community or subgroup interviews.</p>

Qualitative data	<p>Observations that are categorical rather than numerical, and often involve attitudes, perceptions and intentions.</p> <p><i>Note:</i> Where relevant and possible, data should be disaggregated by sex, age and other relevant variables.</p>
Quantitative data	<p>Observations that are numerical.</p> <p><i>Note:</i> Where relevant and possible, data should be disaggregated by sex, age and other relevant variables.</p>
Rapid appraisal techniques	Data collection using semi-structured interviews with key informants, community groups and subgroups.
Rapid Emergency Food Security Assessment (EFSA)	<p>An assessment in which the assessment team visits a number of sites to collect primary data through key informant and group interviews and, sometimes, questionnaires addressed to a limited number of households.</p> <p>Its purpose is to gain a sufficient understanding of the situation to decide on the type, scale and timing of response needed, if any. A rapid EFSA would normally to produce a report within a maximum of 6 weeks, sometimes within a week.</p>
Safety nets	Policy and programme instruments such as general food subsidies, targeted income transfers, public works, school feeding, social funds, and small scale credit designed to reduce poverty and protect the income entitlements of particularly vulnerable groups.
Sampling	The process of selecting a limited number of individual units of analysis from a population of interest with the purpose of inferring something about that population from the individual units selected in the sample.
Scenario	An account or synopsis of a possible course of event that could occur, which forms the basis for planning assumptions.
School feeding	Provision of meals or snacks to school children to promote education and/or improve nutrition.
Secondary data	Existing data collected (by WFP or others) prior to the current data collection process. This includes Vulnerability Assessment and Mapping data, data from regular reporting systems, reports and evaluations.
Semi-structured interviewing	An informal approach to interviewing key informants who are purposefully selected individuals. A mental or written checklist of key areas or open-ended questions is prepared in advance as part of the assessment team's orientation and training. Points of interest raised in the discussion with the key informants may be followed up.
Slow-onset crises	Critical situations that develop slowly over time including natural disasters such as drought, crop failures, pests, diseases and economic crises that result in an erosion of families' capacities to meet their food needs.
Snowball sampling	A sampling approach in which respondents identify additional members to be included in the sample. (Also known as Dendritic sampling.)

Stakeholder	An agency, organization, group or individual that has a direct interest in the operation or its evaluation.
Stakeholder analysis	An analysis of the interests and relative influence of the various stakeholders involved. x
Standard deviation (SD or Z score)	This is a measure of the distance between the individual's measurement and the expected value (or median) of the reference population. The distance is expressed in multiples of the reference standard deviation.
Stunting (shortness)	<p>An indicator of chronic malnutrition. The prevalence of stunting reflects the long-term nutritional situation of a population.</p> <p>It is calculated by comparing the height-for-age of a child with a reference population of well-nourished and healthy children.</p>
Sub-group (interview)	A more-or-less homogeneous group of people of similar social status from a particular livelihood group. Normally, subgroup interviews are organized with women and men separately.
Sudden-onset crisis/emergency	<p>A calamity which strikes with little or no warning and has an immediate adverse impact on human populations, activities and economic systems.</p> <p>This includes both sudden natural disasters such as floods, earthquakes, landslides and cyclones, and human-made crisis such as conflict and forced population displacement.</p>
Supplementary feeding	<p>The distribution of food to supplement the energy and other nutrients available in the basic diets of individuals who have special nutritional requirements or who are malnourished.</p> <p>Supplementary feeding aims to correct or prevent malnutrition. Beneficiaries are selected according to prescribed criteria as being malnourished or nutritionally at risk, and they are discharged when it is determined that they are no longer malnourished or at risk. When, in an emergency, a supplementary feeding programme (SFP) is organized in parallel with a general distribution, the SFP rations are additional to what the beneficiaries would normally receive as their share of the general household ration.</p>
Targeting	<p>The process by which areas and populations are selected for a resource and given it.</p> <p>A targeting system comprises mechanisms to define target groups, to identify members of the target groups and to ensure that assistance reaches the intended beneficiaries and meets their needs.</p>
Technical rosters	Contains specialists both within WFP as well as external consultants who provide critical support in emergency operations.
Therapeutic feeding	Feeding and medical treatment to rehabilitate severely malnourished children.
Transect walks	A walk through the area, specifically seeking out areas of interest: agricultural areas, water points, schools, the market, health centres or hospitals, areas where new arrivals are settled, etc.
Transitory food insecurity	A situation of people and households who, following a shock, are temporarily unable to meet their food intake needs without sacrificing productive assets or undermining human capital.

Triangulation	<p>Triangulating is learning from several methods, disciplines, individual or groups, locations and/or types of information to cross-check, compare and verify information.</p> <p>Using triangulation can capture a more complete, holistic and contextual portrayal and reveal the varied dimensions of the given phenomenon.</p>
Unaccompanied child	<p>A child – an individual under the legal age of majority – who is not accompanied by a parent, guardian or other adult who by law or custom is responsible for him/her. [UNICEF 1985].</p> <p>In emergencies, children often become separated from their families and the fact that a child is ‘unaccompanied’ does not necessarily mean that he/she is an orphan.</p>
Viable coping strategies	<p>Coping strategies that are sustainable and preserve future means of livelihood, dignity and nutritional health.</p>
Vulnerability	<p>The presence of factors that place people at risk of becoming food insecure or malnourished, including those factors that affect their ability to cope.</p> <p><i>Note:</i> This is the definition used by WFP in relation to food security. Vulnerability is a result of exposure to risk factors, and of underlying socio-economic processes, which serve to reduce the capacity of populations to cope with those risks.</p>
Vulnerable group feeding	<p>Provision of food to nutritionally vulnerable groups, preferably at Mother and Child Health clinics, to promote growth and health.</p>
Wasting (thinness)	<p>An indicator of acute malnutrition that reflects a recent and severe process that has led to substantial weight loss. This is usually the result of starvation or disease and strongly related to mortality.</p> <p>It is calculated by comparing the weigh-for-height of a child with a reference population of well-nourished and healthy children.</p>