



Risk and Vulnerability Assessment Guideline



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February 2006

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Introduction

OICI is a nonprofit international development organization that aims to improve the lives of disadvantaged women, children and men, building vibrant communities throughout Africa, and enhancing business development training opportunities in Poland and The Philippines. OICI helps unleash the potential of the world's most valuable resource – its people.

Through comprehensive services that strengthen individuals, communities and organizations, OICI fosters hope, excellence and lasting change by empowering people with the skills they need to become leaders, innovators and productive contributors in their societies.

OICI's strategic plan enables development programs to include and allows emergency interventions that may appear to be relief in nature. OICI's current effort to create more resilient communities to meet recurrent shocks leads it to seek closer integration of emergency and development programming. The organization aims to develop programming guidelines that will orient technical staff on development relief concepts and introduce tools for assessing shocks and vulnerabilities to food insecurity to aid development of food security programs that integrate emergency and development.

OICI has a long and successful history of implementing programs aimed at addressing the root causes of food insecurity and poverty. With the aid of P.L. 480 Title II funding from USAID, the agency intends to build on previous success by strengthening development relief programming aimed at assisting communities and populations transitioning out of emergency situations.

OICI recognizes that in order to do so, they will need to develop improved tools for addressing vulnerability to food insecurity experienced by communities and households. This guideline is intended to enhance the understanding, implementation, and analysis of food insecurity assessments that will be required to achieve a lasting impact on food security among the regions and populations in which OICI operates.

The guideline follows a Development Relief approach as the conceptual foundation for assessing vulnerability to food insecurity. As part of this approach, it offers specific methods for evaluating risks and strategies for managing risk, determining livelihood outcomes, and identifying key leverage points for potential food security interventions. With an eye toward identifying and assisting vulnerable populations, the guideline incorporates the cross-cutting issues of HIV/AIDS, gender and conflict into each of the discussions regarding assessment process guidelines, implementation procedures, and programming considerations.

In developing this guideline, current literature on development relief and Food for Peace's Development Relief Guidelines were extensively reviewed. To take advantages of OICI's best practices, its current expertise and experiences, a regional workshop was facilitated in Guinea where staff members from OICI Headquarters, OICI Guinea, Ghana, Togo, and Cotê D'Ivoire participated and drafted the tools.

1.0 Review of Secondary Data

Before the field assessment process begins, it is critical to have a broad understanding of the region and population among which the assessment will be conducted. For this reason, an important first step in the implementation of a risks and vulnerability assessment is the collection and analysis of secondary data.

It is important to consult the Risk and Vulnerability Analytical Framework (Figure 1) in deciding the information need for the assessment.

The purpose of the assessment findings and project monitoring systems is to facilitate understanding of the dynamic context of vulnerability in which changes in one factor can have diverse impacts on the food security of individual households and communities.

Descriptive information that can be obtained through secondary data review may include the following.

- **Physical and Environmental Features** (Demography, services and infrastructure, agro-ecological conditions and seasonality and livelihood zones.)
- **Social and Political Characteristics** (Local leadership and authority, ethnic groups, formal and informal social networks, existing food security programs, local response capacity, political systems, historical trends and policies).
- **Description of Existing Markets** (National/regional/local food production, existing market systems, trends in market prices, import/export data, access to markets and issues).
- **Institutional/Stakeholders Profiles** (Existing government and non government institutions, nature of institutional programming and strategic plans, comparative advantages, relations with governments and communities).
- **Economic Contexts and Social Differentiation** (Major and minor livelihood strategies, sources of income, farm and off farm employment, seasonal and permanent migration, livelihood profiles and categories, levels of wealth and poverty).
- **Health/Nutrition Profiles and other Livelihood Outcomes** (Health and diseases, access to water and sanitation, consumption patterns, dietary diversity and nutritional status)
- **Shocks and Vulnerability Information** (History of natural disasters, historical shocks and stresses, patterns of food availability/access, traditional coping strategies, mechanisms normally available to target food assistance to the most vulnerable/ food insecure).

Figure 1: Livelihood Risk and Vulnerability Analytical Framework

Information needs	Level I analysis	Level II analysis	Program Design	Targeting	Monitoring/Evaluation
<i>Contextual/External</i>	<i>Hazard/Risk Inventory</i>	<i>Sensitivity</i>	<i>Human Capability Protected and Enhanced</i>	<i>Target Level</i>	<i>Outcomes</i>
Physical and environmental information	Hazard/risk sources <ul style="list-style-type: none"> • Health • Environment • Conflict • Social • Economic 	Dynamic perspectives <ul style="list-style-type: none"> • Trends in household dynamics • Trends in livelihood strategies • Institutional trends 	<ul style="list-style-type: none"> • Saving lives • Health interventions • Supplementary and Therapeutic feeding • HIV/AIDS interventions • School feeding • Price stabilization through market sales • Public works to rebuild water and sanitation facilities 	<ul style="list-style-type: none"> • Geographic • Groups • Households • Intra-household • Individual 	Food security indicators <ul style="list-style-type: none"> • Food consumption • Nutrition • Anthropometric measures
Key features and trends <ul style="list-style-type: none"> • Political <ul style="list-style-type: none"> - Policy reforms (e.g. land tenure) • Social <ul style="list-style-type: none"> - Population dynamics, potential for conflict • Economic • Ecological • Infrastructure • Institutions 	For all hazards/risks <ul style="list-style-type: none"> • Frequency • Severity • Trends • Correlation (covariate, idiosyncratic) • Temporal/spatial attributes • Exposure level 	Current vulnerability (snapshot) <ul style="list-style-type: none"> • Individuals that are vulnerable • Household vulnerability • Vulnerable groups <ul style="list-style-type: none"> - Chronic - Transitory • Vulnerable populations 	<ul style="list-style-type: none"> • HIV/AIDS interventions • School feeding • Price stabilization through market sales • Public works to rebuild water and sanitation facilities 	Criteria(vulnerabilities) <ul style="list-style-type: none"> • Physiological • Economic • Social • Political 	Indicators of Risk and Vulnerability
Community Level	Risk Management (Ex Ante)	Opportunities/Resilience	Livelihood Capacities Protected and Enhanced	Mechanisms	Indicators of Risk and Vulnerability
Social differentiation Socio-political considerations Institutional types Spatial considerations Livelihood systems	Risk reduction Risk mitigation	Capabilities/capacities <ul style="list-style-type: none"> • Households • Communities <ul style="list-style-type: none"> - Informal safety nets 	<ul style="list-style-type: none"> • Public works (building and repairing roads, water reservoirs , irrigation systems and water conservation measures) • Food for Training • Ag and income diversification • Education interventions (eg. nutrition education) 	<ul style="list-style-type: none"> • Market • Self-selection • Administrative • Community-based 	Hazards/risks occurrence <ul style="list-style-type: none"> • Health • Environment • Conflict • Social • Economic • Political
Household Level	Risk Coping(Ex Post)				
Livelihood resources (capital) <ul style="list-style-type: none"> • Physical • Natural • Social • Economic • Human • Political 	Household coping Strategies Community Informal safety nets Formal Safety nets	Stakeholders (local and external) Policy	<ul style="list-style-type: none"> • Public works (building and repairing roads, water reservoirs , irrigation systems and water conservation measures) • Food for Training • Ag and income diversification • Education interventions (eg. nutrition education) 		Community and livelihood changes indicating increasing vulnerability <ul style="list-style-type: none"> • Social networks • Institutions • Inter/intra community dynamics
Intrahousehold Level	Outcomes				
Household characteristics Economic activities/livelihood strategies Norms	Food security proxies Human capital indicators (nutritional status, health status, education) Poverty indicators (income, assets, social exclusion)		<ul style="list-style-type: none"> • Public works to build community infrastructure • Market interventions • Build community grain banks • Local Early Warning systems and disaster plans 		Households <ul style="list-style-type: none"> • Coping strategy index • Asset divestiture • Livelihood strategy changes • Terms of trade • Consumption frequency index
Gender Generational Dependency ratios HIV/AIDS			Community Resiliency Protected and Enhanced		Integrated Humanitarian Information Systems <ul style="list-style-type: none"> • Baseline vulnerability and poverty assessment • Early warning • Needs assessment • Program monitoring • Impact evaluation • Context monitoring • Programme evaluation and lessons learned

Figure 2: Typical Sources of Secondary Data

Government documents	Partnering NGOs	Professional and academic	Internet websites
<ul style="list-style-type: none"> - Municipal development plans - Official statistics - Technical reports - Departments of agriculture, rural development, environment, nutrition, social welfare, roads and transport, disaster management, etc. 	<ul style="list-style-type: none"> - Project reports - Baseline studies - Project evaluations - Technical reports 	<ul style="list-style-type: none"> - Journals/articles - Reference books - Public and private research organizations - Public and private universities - Public and private libraries - Computerized data bases 	<ul style="list-style-type: none"> -Eldis Food Security Resource Guide http://www.eldis.org/food/index.htm -Famine Early Warning System Network (FEWSNET) http://www.fews.net/ -Food and Nutrition Technical Assistance http://www.fantaproject.org/ -United Nations Food and Agriculture Organization (FAO) http://www.fao.org/ -United Nations Development Program (UNDP) Human Development Report http://hdr.undp.org/ -World Bank Global and National Development Reports http://www.worldbank.org/ -World Food Program http://www.wfp.org/ -World Health Organization (WHO) http://www.who.int/en/

1.2. SPECIFIC AREAS OF SECONDARY DATA COLLECTION

1.2.1 Geographic Regions

In areas where good background information (early warning systems, crop forecasting, poverty profiles, nutrition surveillance, etc.) already exists, it can help assessment planners identify the most vulnerable regions (Frankenberger 1992). Boundaries may be determined by:

- administrative jurisdictions
- socioeconomic areas (production or social systems)
- agro-ecological zones

Profiles of vulnerability should be based upon both food insecurity and absolute poverty indicators as much as possible to avoid incorrectly designating areas as vulnerable, when in fact, they are not.

1.2.2 Food Availability

Aggregate food availability is achieved when sufficient quantities of appropriate types of food from household production (cash crops, livestock and food crops) other domestic output, commercial imports, or food assistance are consistently available to all individuals within a country and are within reasonable proximity to them. Food is available if it is physically present in an area, including in markets. Much of this information should be available in secondary data sources. Figure 3 summarizes the minimum data requirements and potential sources of information on food availability for assessments.

Figure 3: Minimum Information Requirements for Food Availability

Type of Information	Source of Information
Secondary Data	
<ul style="list-style-type: none">• Production statistics• Seasonality of production• National food stocks• Market and food supply infrastructure• Import/ export statistics• Macroeconomic situation and government policies (trade policy, exchange rate, balance of payment constraints)	<ul style="list-style-type: none">• Ministry of Agriculture• Ministry of Finance and Commerce• National Statistics Offices• USAID/FEWS http://www.fews.net/• EU Food Security Units• Market information systems, if available• World Bank http://www.wfp.org/

1.2.3. Food Access

Food access is ensured when households and all individuals within them have adequate resources to obtain appropriate foods for a nutritious diet. Access depends on income available to the household, on the distribution of income within the household and on the price of food. It also depends on social or institutional entitlements to which individuals have access--private transfers, public distributions of resources, charity, etc. Households access food through their own production, their ability to purchase food on the market or through barter, and receipts through social support systems. Purchasing power to acquire food on the market is primarily determined by income and prices. When prices rise, access to food for poor households becomes more difficult. A household's reserve of wealth (e.g, savings, assets) is an important determinant of food access when regular livelihood strategies are curtailed or destroyed by disastrous agro-climatic conditions, disruption to means of securing income, or another food insecurity shock. The types of primary data that need to be collected on food access are summarized in Figure 4.

Figure 4: Minimum Information Requirements for Food Access

Type of Information	Source of Information
Secondary Data	

- | | |
|---|---|
| <ul style="list-style-type: none"> • Sources of food (crop production, livestock , purchases, wild foods, fishing/ hunting, remittances, labor exchange, trade, aid) • Socio-political structures • Socio-economic differentiation • Gender considerations relative to food access and use • History of shocks and impacts on food access • Land distribution and use • Mobility and migration trends • Seasonality | <ul style="list-style-type: none"> • Local government • NGO reports • Livelihood profile data generated from secondary data review |
|---|---|

1.2.4. Food Utilization

Food utilization incorporates issues of food safety and quality, storage and processing, sufficiency of intake at the individual level and the conversion efficiency of food by the body that results in sound nutritional status and growth. Food utilization is often impaired by endemic diseases, poor sanitation, lack of appropriate nutrition knowledge or culturally prescribed taboos that affect access to nutritious food according to age or gender. Figure 5 lists specific types of information required for food utilization.

Figure 5: Minimum Information Requirements for Food Utilization

Type of Information	Source of Information
Secondary data	
<ul style="list-style-type: none"> Nutritional status of children under 5 (wasting) Adult nutritional status, especially women (BMI) HIV/AIDS prevalence rates 	<ul style="list-style-type: none"> Ministry of Health DHS surveys UNICEF nutrition surveys http://www.unicef.org/index2.html WHO health surveys http://www.who.int/en/ Local health center data

1.2.5. Vulnerability and Risks

The secondary data analysis should look at potential vulnerabilities within the region. There may not be hard data available, but there generally is some information to be found on issues including populations with (FFP Guidelines 2005):

- Physiological vulnerabilities (People living with HIV/AIDS, disabled populations)
- Socio-economic vulnerabilities (children, women, disenfranchised)
- Political vulnerability (populations of certain ethnicities or political affiliations)
- Physical security (IDPs, etc.)
- Limited or weak governance
- Populations who were affected by a shock

The secondary data analysis should understand the potential nature and frequency and shocks in the region(s). These may include:

- Sudden onset natural disasters (floods, earthquakes, cyclones, landslides, etc.)
- Slow onset natural disasters (drought, crop failures/infestations, etc.)
- Refugee emergencies (conflict, large-scale exodus of refugees, group prosecution)
- Complex emergencies (humanitarian crises, breakdown of authority resulting from internal and external conflict)
- Long-wave emergencies – often referred to as silent emergencies (HIV/AIDS, depletion of soil, water and other natural resources)

Following is a list of potential sources of secondary information on vulnerability to food and livelihood insecurity.

- World Food Program's (WFP) Vulnerability Analysis and Mapping Units (VAM)
http://www.wfp.org/operations/vam/country_experience/index.asp?section=5&sub_section=4
- USAID-funded Famine Early Warning System (FEWS-Net)
<http://www.fews.net/>
- Food and Agriculture Organization's (FAO) Global Information and Early Warning Systems (GIEWS)
<http://www.fao.org/giews/english/index.htm>
- United Nations Development Program (UNDP)
www.undp.org

1.2.6. Institutional Profiling and Identification of Stakeholders

Institutional profiles involve documenting the various government institutions, NGOs and community-based organizations (CBOs) that are operating in the target area. This step is particularly important given the fact that such institutions are likely to significantly influence the food security outcomes of the target population. During the analysis of secondary data, the information about institutions operating in the community can be captured in the institutional mapping process. Such process involves reviewing the background, objectives, main activities, working areas, staff capacities, partnerships, donor funding and horizon, long-range strategies for the area, and the major strengths and weaknesses of the organization.

Although many details of the institutional context can be revealed only through primary research, an initial review of available information will save time and resources, as well as help to avoid issues of contention later in the assessment process. For instance, by identifying the governments, CBOs, utility organizations, NGOs, research institutions and donors involved in the project area, the assessment team can reach an initial understanding of institutions that may have something to gain or lose from the outcome of the assessment. Referred to as stakeholders, institutions with interests in the process and outcomes of project activities share the ability to affect the assessment, either positively or negatively. In addition to identifying individual stakeholders, it is important to investigate their interests, roles, and relative capacity to participate in community activities. It is also important to assess the relationships between various stakeholders while paying particular attention to the potential for both cooperation and conflict (CARE 2002). The factors that are critical in developing institutional profiles include

- geographic focus of the institution,
- primary roles and responsibilities of the institutions,
- their mode of operation,
- number of beneficiaries,
- target groups,
- annual budget, and
- future plans..

1.2.7. Analysis of Local Capacity

Ideally, there will be enough quality secondary data to allow a preliminary analysis of the capacity of communities, government authorities, civil society institutions and the private sector to respond to shocks and reduce vulnerability to food insecurity of local populations.

Assessments of local capacity will serve as an important component of baseline data against which to measure program outcomes. The stakeholder and institution analysis described previously represents a fundamental step in the analysis of local response capacity. In this type of analysis three types of local capacity should be considered – *community response capacity*, *local government response capacity*, and *civil society response capacity*.

Figure 6: Potential Determinants of Local Capacity

Community Response Capacity	Local Government Response Capacity	Civil Society Response Capacity
<ul style="list-style-type: none"> - safety nets and social networks available at the community level - ability to respond to different types of shocks - effect of shocks on safety nets and community response strategies 	<ul style="list-style-type: none"> - capacity and willingness of local authorities to provide for the needs of local population - nature of relationship between international responses and local authorities - level of collaboration and cooperation among local government institutions - likelihood of neutrality and/or impartiality in the event of conflict 	<ul style="list-style-type: none"> - number and role of civil society organizations - possible constraints to supporting rehabilitation and development activities - potential sources of conflict within the community regarding program activities - effect of shocks on local civil society organizations

1.2.8. Market Information

Secondary data may also reveal useful information regarding market structures and characteristics that directly and indirectly influence the level of food insecurity among target populations.

The understanding of how the staple food markets function and how households are linked to markets not only helps the overall needs assessment but also provides critical information to help design suitable market-based interventions to support food security in the short and the long term (TANGO 2004b). Even in emergency situations, almost all households in urban areas and many (especially the poor) in rural areas acquire much of their food, as well as other necessities, through market purchases or barter exchange. At the same time, many households also depend on functioning markets to gain income. Changes in market supply and prices, terms of trade, or wage rates thus influence household’s access to food and their level of food consumption (Caldwell 2004).

Figure 7: Important Market Issues to Address through Secondary Research

- What are the prevailing prices for primary food staples and household goods?
- What are the trends in market prices?
- How would market flows be characterized?
- Do vulnerable households have equitable access to markets?
- What are the perceptions of traders on market conditions?
- Which government policies most influence market conditions?
- What is the government's capacity to import and export?
- How might markets respond to various shocks?
- How have markets been affected by previous shocks?
- What are the strengths and weaknesses of the institutions?

1.2.9. Cross-Cutting Issues

It is increasingly important that assessments of food and livelihood insecurity account for the impacts of a number of cross-cutting issues. For example, the strategies used by households and communities to obtain adequate food and income are often set against a backdrop of pervasive chronic illness, social inequality and social or political instability. For this reason this toolkit offers specific methods of assessing the impact of HIV/AIDS, gender and conflict on the vulnerability to food insecurity experienced by target households and communities. While detailed data on each of these cross-cutting issues can be obtained through primary data collection, much of the contextual information needed to develop livelihood profiles is available through secondary data analysis. Following is a list of useful online resources of information on cross cutting issues.

HIV/AIDS

- The Joint United Nations Programme on HIV/AIDS (UNAIDS)
www.unaids.org
- World Health Organization (WHO)
<http://www.who.int/hiv/en/>

Gender

- International Center for Research on Women
www.icrw.org
- Association for Women's Rights in Development
www.awid.org

- United Nations Development Fund for Women
www.unifem.org

Conflict

- UNOCHA's Humanitarian Early Warning System (HEWS);
<http://ochaonline.un.org/>
- ReliefWeb
<http://www.reliefweb.int/rw/dbc.nsf/doc100?OpenForm>
- African IRIN reports
<http://www.irinnews.org/>
- UNHCR's Center for Documentation and Research
<http://www.unhcr.ch/cgi-bin/texis/vtx/home>

1.3. REPORT BASED ON SECONDARY DATA COLLECTION

In the best case scenario, available secondary data will provide sufficient information to create preliminary livelihood profiles in the region or areas of interests. These livelihood profiles should indicate how different areas derive their incomes, food and access to social services.

In an ideal scenario, the review of secondary data can provide insight into;

- important social, economic and political conditions and trends;
- livelihood resources including both tangible and intangible assets used by households to meet their needs;
- institutional processes and organizational structures that directly influence livelihood outcomes;
- livelihood strategies pursued by various groups for household production and income generation; and
- livelihood outcomes as measured by levels of food insecurity, educational access and attainment, health status, personal and environmental safety and social network stability.

The livelihood profiles should provide sufficient information to allow a preliminary identification of the poorest and most vulnerable groups, with a particular focus on describing their level of food insecurity and nutritional status. Ideally, livelihood profiles will inform the assessment process by providing information on the causes and levels of vulnerability, capacity to cope, issues impacting intra-household distribution of food, and potential roles of targeted food aid. Additionally, the information contained in livelihood profiles can be used as a benchmark against which the impact of the shock to food insecurity can be measured (WFP 2002a).

2.0 Field Assessment

The primary purpose of a food security assessment is to understand the nature of food security strategies of various categories of households, determine their level of food security, and identify the principle constraints and opportunities to address through programming. At a minimum, assessment outputs should include the identification of **risks** to food security faced by households and groups, location-specific criteria for differentiating wealth categories, and identification of key leverage points and opportunities to pursue in future interventions. Accordingly, information gained through primary data collection is often disaggregated by income level, gender, ethnicity, generation and other key factors. In this way, the information gained will facilitate analysis of **vulnerability** to food insecurity that is contextual and differentiated according to specific geographic areas and populations (TANGO 2002).

Comprehensive assessments of vulnerability to food insecurity make use of both qualitative and quantitative information related to household food and livelihood trends. Qualitative information is important for achieving a deeper understanding of community issues and the aspects of food and livelihood insecurity that affect the vulnerability of individual households. Incorporating quantitative methods allows for more precise description and appropriate targeting of vulnerable populations. The use of a mixed methods approach also allows for triangulation of qualitative and quantitative information regarding food insecurity, vulnerability and marginalization, gender, ethnicity, conflict, health status of households and communities, as well as associated programming constraints and opportunities (TANGO 2002).

In any context, food insecurity assessments will be enhanced by information gained through an assessment of local and regional markets.

2.1. DEFINING ASSESSMENT OBJECTIVES

The most common objective of food and livelihood insecurity assessments is to acquire information for the design and implementation of programs. However, the assessment may be designed and implemented to enable achievement of a number of other objectives. The assessment process may contribute to the analytical capacity of staff and improve relationships with partner organizations, as well as enhance strategic planning and allocation of scarce project resources. Given numerous alternatives, it is important that food and livelihood insecurity assessments do not attempt to achieve an inordinate number of objectives. Each objective will require specific strategies, methods and resource allocations, and the amount of primary information that must be collected depends on the availability and quality of existing information. In all cases, the assessment team should carefully and explicitly determine the primary objectives and desired outcomes of the assessment process, and plan accordingly (TANGO 2002, 2004b). Specific objectives will be defined according to the information needs of individual assessments.

2.2. TARGET AREA SELECTION

Another initial step in planning a food insecurity assessment is the identification of vulnerable groups within geographic boundaries. These boundaries are usually based on administrative divisions and socioeconomic and/or agro-ecological characteristics. Administrative boundaries are determined by the structure of government and political borders. Socioeconomic areas are related to production or social systems (e.g. pastoralists, subsistence farming, urban). Agro-ecological zones relate to natural resource characteristics (e.g. flood deltas, arid lands,

mountain zones). Appropriate geographic targeting is dependent upon reliable and accurate information at the national or sub-national level (TANGO 2002).

In areas where good background information (early warning systems, crop forecasting, poverty profiles, nutrition surveillance, etc.) already exists, it can help assessment planners identify the most vulnerable regions (Frankenberger 1992). Profiles of vulnerability should be based upon both food insecurity and absolute poverty indicators as much as possible to avoid incorrectly designating areas as vulnerable, when in fact, they are not. Time and resources permitting, assessment teams may take the lead role in developing vulnerability profiles, however, this task may also be contracted to partner organizations as part of the pre-assessment activities.

2.3. ASSESSMENT PREPARATION

The development of an assessment action plan is an important step in ensuring successful implementation of a food insecurity assessment. An action plan contributes to efficient use of resources as well as effective collection and analysis of food insecurity information to guide future programming. In addition to determining the scope of the assessment, an action plan identifies the target area of the assessment, assessment objectives, sampling strategies, data collection methods, and data analysis guidelines. An assessment action plan is also critical for establishing an assessment timetable and identifying data reporting procedures.

2.3.1. Determining Information Requirements

Assessing the food insecurity status of a particular area or population requires careful consideration of the three dimensions of food security: food **availability**, **access** and **utilization**. Ultimately, successful assessments will provide information that contributes to future interventions designed to reduce **vulnerability** to food insecurity. **Risk and Vulnerability Framework** presented in Figure 1 should be consulted to identify information need. However, specific type and quantity of information needed will largely be determined by the availability and quality of secondary data and the specific objectives of the assessment. Information may be obtained from a variety of sources, though much of it will be collected in the community through the use of both qualitative and quantitative research methods.

2.3.1.1 Food Availability

Aggregate food availability is achieved when sufficient quantities of appropriate types of food from household production (cash crops, livestock and food crops) other domestic output, commercial imports, or food assistance are consistently available to all individuals within a country and are within reasonable proximity to them. Food is available if it is physically present in an area, including in markets. Much of this information should be available in secondary data sources. Figure 8 summarizes the minimum data requirements and potential sources of information on food availability for assessments.

Figure 8: Minimum Information Requirements for Food Availability

Type of Information	Source of Information
Secondary Data	
<ul style="list-style-type: none"> • Production statistics • Seasonality of production • National food stocks • Market and food supply infrastructure • Import/ export statistics • Macroeconomic situation and government policies (trade policy, exchange rate, balance of payment constraints) 	<ul style="list-style-type: none"> • Ministry of Agriculture • Ministry of Finance and Commerce • National Statistics Offices • USAID/FEWS http://www.fews.net/ • EU Food Security Units • Market information systems, if available • World Bank http://www.wfp.org/
Primary Data	
<ul style="list-style-type: none"> • Market locations, accessibility, viability, volumes and prices (locally, nationally and in neighboring countries) • Change in functioning and flow of markets as a result of the shock • Market demand (changes in purchasing power and reliance on market supply) • Terms of trade between major cereals, livestock and income • History of shocks and impacts on food availability 	<ul style="list-style-type: none"> • Key informant interviews with government staff, traders • Market observations in affected localities

2.3.1.2 Food Access

Food access is ensured when households and all individuals within them have adequate resources to obtain appropriate foods for a nutritious diet. Access depends on income available to the household, on the distribution of income within the household and on the price of food. It also depends on social or institutional entitlements to which individuals have access--private transfers, public distributions of resources, charity, etc. Households access food through their own production, their ability to purchase food on the market or through barter, and receipts through social support systems. Purchasing power to acquire food on the market is primarily determined by income and prices. When prices rise, access to food for poor households becomes more difficult. A household's store of wealth (e.g, savings, assets) is an important determinant of food access when regular livelihood strategies are curtailed or destroyed by disastrous agro-climatic conditions, disruption to means of securing income, or another food insecurity shock. The types of primary data that need to be collected on food access are summarized in Figure 9.

Figure 9: Minimum Information Requirements for Food Access

Type of Information	Source of Information
Secondary Data	
<ul style="list-style-type: none"> • Sources of food (crop production, livestock , purchases, wild foods, fishing/ hunting, remittances, labor exchange, trade, aid) • Socio-political structures • Socio-economic differentiation • Gender considerations relative to food access and use • History of shocks and impacts on food access • Land distribution and use • Mobility and migration trends • Seasonality 	<ul style="list-style-type: none"> • Local government • NGO reports • Livelihood profile data generated from secondary data review
Primary Data	
<ul style="list-style-type: none"> • Food stocks and storage • Sources of income (trade, employment, sale of food/non-food produce, remittances, casual labor, theft, aid) • Sources of assets (physical, economic, socio-political, human, natural) • Obligations (rent, energy/ fuel, water, shelter, health, loans) • Debt • Non-food needs (education, health, water, shelter, clothes) • Months of self-provisioning in a normal year • Normal terms of trade between assets and food, services and food • Infrastructure and market access 	<ul style="list-style-type: none"> • Key informant interviews with district officials, village leaders, service providers, merchants, NGOs • Group interviews • Focus group interviews • Household interviews • PRA tools • Transect walks • Visual inspection • Market interviews • Wealth ranking

2.3.1.3 Food Utilization

Food utilization incorporates issues of food safety and quality, storage and processing, sufficiency of intake at the individual level and the conversion efficiency of food by the body that results in sound nutritional status and growth. Food utilization is often impaired by endemic diseases, poor sanitation, lack of appropriate nutrition knowledge or culturally prescribed taboos that affect access to nutritious food according to age or gender. Figure 10 lists specific types of information required for food utilization.

Figure 10: Minimum Information Requirements for Food Utilization

Type of Information	Source of Information
Secondary data	
<ul style="list-style-type: none"> • Nutritional status of children under 5 (wasting) • Adult nutritional status, especially women (BMI) • HIV/AIDS prevalence rates 	<ul style="list-style-type: none"> • Ministry of Health • DHS surveys • UNICEF nutrition surveys http://www.unicef.org/index2.html • WHO health surveys http://www.who.int/en/ • Local health center data
Primary data	
<ul style="list-style-type: none"> • Normal (seasonal) levels of malnutrition • Anthropometric data on nutritional status of children • Food habits, preferences and acceptable food substitutes • Normal consumption patterns and dietary diversity • Availability and access to milling facilities • Food preparation practices • Disease prevalence (seasonal): diarrhea, fever, ARI, outbreaks of cholera, yellow fever, dengue • Normal access to and uptake of health services • Immunization coverage • Water supplies and sanitation provisions • History of shocks and impacts on food utilization 	<ul style="list-style-type: none"> • Key informant interviews with district health officials, health service providers, village leaders, NGOs • Group interviews • Focus group interviews • Household interviews • PRA tools • Transect walks • Visual inspection • Village level primary data (nutritional survey)

2.3.1.4 Vulnerability and Risks

Vulnerability is a forward looking concept aimed at assessing community and household exposure and sensitivity to future shocks. Ultimately, the vulnerability of a household or community is determined by their ability to cope with their exposure to the risk posed by shocks such as droughts, floods, crop blight or infestation, economic fluctuations, and conflict. The ability to manage the risks associated with shocks is determined largely on household and

community characteristics, most notably their asset base and the livelihood and food security strategies they pursue.

For most vulnerable households, risk management involves both *pre-shock* and *post-shock* actions. Pre-shock actions are preventative measures taken to reduce risk (e.g., drought tolerant crops, diversified livestock production, flood proofing barriers) or lower exposure to risk (e.g., livelihood diversification to off-farm employment). Post-shock risk management refers to actions taken in response to the occurrence of shocks. Such actions are often referred to as *coping strategies* in that they are undertaken in an effort to manage the negative impacts and limit potential losses of food security posed by shocks that have already occurred. Common examples include selling assets, removing children from school, migration of selected family members, reducing the number of meals consumed and the variety of foods consumed, and reliance on families for loans. The various types of post-shock support offered by family or community members in response to a shock are often referred to as informal safety nets, while those implemented by governments and NGOs are referred to as formal safety nets.

In assessing a given population or group’s vulnerability, it is also important to understand the distinction between **chronic vulnerability** and **transitory vulnerability** to food insecurity. *Chronic vulnerability* to food insecurity is a situation in which individuals and households are persistently at risk of being unable to meet their food consumption needs. In areas characterized by *transitory vulnerability* to food insecurity, households and communities impacted by shock are temporarily unable to meet their food intake needs without sacrificing productive assets or undermining human capital.

The analytical framework (Figure 1) integrating an analysis of risk and vulnerability serves as the basis for the food insecurity assessment process guidelines, analytical methods and implementation strategies presented later in this document. Minimal information requirements for assessing vulnerability are presented in Figure 11.

Figure 11: Minimum Information Requirements for Vulnerability and Risks

Type of Information	Source of Information
<p>Secondary Data</p> <ul style="list-style-type: none"> • Economic, social, political, environmental and institutional context • Nature and frequency of shocks (environmental degradation, natural disasters, conflict) • Formal safety nets (public works programs, direct food aid, etc.) 	<ul style="list-style-type: none"> • Local government • NGO reports • Livelihood profile data generated from secondary data review

Primary Data

- Risk reduction strategies (drought tolerant crops, diversified livestock, flood production, savings, etc.)
- Risk mitigation strategies
 - Coping strategies (selling assets, migration, loans, reduced meals, etc.)
 - Informal safety nets
- Livelihood outcomes (food security, nutrition, poverty)
- Group interviews
- Focus group interviews
- Household interviews
- PRA tools
- Transect walks
- Visual inspection
- Village level primary data (nutritional survey)

2.3.1.5 Integrating Cross-Cutting Issues into Data Collection

2.3.1.5.1 HIV/AIDS

The incorporation of information on chronic illness is vital to understanding how livelihood strategies can increase susceptibility to HIV exposure and transmission as well as the livelihood factors that can increase vulnerability to post-AIDS infection impacts on income and food production. Illness and death as a result of HIV/AIDS invariably results in declines in food crop production associated with the loss of labor as well as a decline in household cash income. Therefore, HIV/AIDS should be considered in all health and nutrition surveys. In areas that are especially hard hit by the epidemic a separate complementary study should be conducted. The list presented below includes the type of information required in a complementary study of vulnerability to HIV/AIDS (TANGO 2004b).

- **Morbidity and mortality** within the household, particularly chronically ill household heads and adults
- **Dependency ratios**, including information about the presence of **orphans** and the number of contributing adults
- **Costs** associated with health care and funerals
- **HIV prevalence** by affected community
- **Identification of risk factors** to assist in determining appropriate targeting and interventions
- **Cultural attitudes and practices** around sexuality, HIV/AIDS, and reproductive health (through focus group discussions)
- **Intravenous drug use** and by whom
- **Gender-based violence** (through separate female/male focus groups)
- **HIV/AIDS policies** at the local and national levels
- **Resources for AIDS affected families** (educational opportunities, skill building, and income generating opportunities).

To understand the impact of HIV/AIDS on the food insecurity of the community, it is important to account for the effects on availability, through production; access, through income; and on utilization, through changes in dietary diversity and intake. In addition, these impacts have intra-household implications with differential impacts on women (i.e., widows and single headed households), children, orphans, and the elderly. The economic consequences of HIV/AIDS can accelerate gender inequality. For example, when a household loses a productive male adult, food security, access to assets, and coping strategies may disintegrate quickly for the surviving widow and her children.

2.3.1.5.2 Gender

In most food-insecure situations, men and women are impacted differently in terms of their vulnerabilities, capacities, needs and coping strategies. Women may lose a spouse as a result of conflict or natural disaster, or may be required to take on additional tasks if men have out-migrated to seek employment. Failing to take gender into consideration during the assessment process can increase inequality as well as place undue burdens upon either women or men (TANGO 2004b).

Qualitative and quantitative tools can be modified to capture gender-related information during food insecurity assessments. Tools used for gender analysis should be able to clearly identify associations between gender and specific issues facing populations in emergencies (e.g., security, labor allocation, access to credit, and inclusion in social networks).

2.3.1.5.3 Conflict

There are several important benefits of incorporating an analysis of potential conflict into a larger assessment of food insecurity. Most importantly, an accurate assessment of potential conflict can help to minimize violence, deprivation or humanitarian crises that threaten the sustainability and development of affected communities. Second, an understanding of prevailing sources of conflict can help to inform short-term relief strategies and guide the implementation of longer-term development programs aimed at reducing the likelihood of future conflict (Davies 2000).

While OICI is not likely to be operating in areas of rapidly escalating crisis, it is important that assessments are capable of identifying latent or low-level conflicts or instabilities before there is an acute impact on food security. In addition to identifying the key factors driving the instability, the assessment should also consider the effectiveness of preventative strategies used to avoid conflict, as well as their sustainability. Figure 12 lists indicators of three progressive stages of conflict.

Figure 12: Indicators of the Progressive Stages of Conflict

Structural Tensions or Instability	Escalation	Crisis / War
<ul style="list-style-type: none"> • History of state repression • Exclusionary ideologies • Lack of democratic experience • Increasing gaps in income and opportunity • High cohesion (and external support for) aggrieved groups • Land desertification • Population pressures 	<ul style="list-style-type: none"> • Arms or resource acquisitions • Aggressive posturing or low-intensity violence • New discriminatory and repressive policies • Crop failures • Major currency devaluations 	<ul style="list-style-type: none"> • Coup attempts • Assassinations • Declared States of Emergency • Armed civilian and/or military conflict

Source: Davies 2000

3.0. DATA COLLECTION TOOLS

3.1. Qualitative Tools

Qualitative information gained through an assessment of food insecurity should include the assets held by households and communities, how these are utilized (and by whom), how resources are allocated, and the levels of critical outcomes achieved in terms of food security, nutrition and health status, and access to other basic needs such as water, shelter, education, etc. Assets, of course, include not only productive assets such as land and livestock, or financial assets such as savings or cash, but also the more intangible assets of labor, skills, capacity, and the social relations that underpin livelihood activities. Important among these is the ability of some households or groups to cope with risk and crisis better than others, what these abilities are, and how coping strategies work.

At the intra-household level, it is important to consider gender and generationally differentiated roles and responsibilities, power relations, and differential access to resources and opportunities. Given the context of HIV/AIDS throughout many developing regions, it is also important to obtain qualitative information on the relative food security of infected individuals and HIV/AIDS-affected households. It is critical to obtain community level information so that household food security outcomes can be placed in a broader social, political, and institutional context.

Topical outline to develop community profile including trends in risks and vulnerability and topical outline for market assessment have been developed for OICI and presented in Annex 1. These tools need to be adjusted to make them country specific.

Various types of interview processes and interactive data-gathering tools can be used to generate information using the above mentioned topical outlines. Information to be gathered to

elicit people's perceptions of resources, constraints, social relations, wealth distribution, seasonal trends, and selection criteria. The most common types of qualitative methods in food insecurity assessments include key informant and group interviews, focus group discussions, transect walks and other visual inspection techniques, seasonal calendars, and market interviews.

3.1.1 Qualitative Interviews

 **Group Interviews** are conducted to obtain general background information on a particular community. They usually involve a relatively large, but manageable group of community members and are often gender segregated in order to capture differing views. Group interviews should be directed according to a topical outline and should allow sufficient time for the free and open expression of community members.

Tool	Types of Information Collected	Skills Required	Population Surveyed
Group Interviews	Identify themes for group interviews, including: <ul style="list-style-type: none"> • community infrastructure • service facilities • land tenure systems • markets • population movements • climate/natural disasters • cultural/social institutions • identify prevalent livelihood systems 	Open-ended interview skills Understanding of group dynamics	Diverse members of the community; may be segregated by gender.

 **Key Informant Interviews** may be conducted simultaneously or immediate following group interviews. They are typically held with the community's legal, political and/or natural leaders and authorities. They may also included individuals noted for their unique perspective and/or high degree of vulnerability, such as widows, educated girls, ethnic minority leaders, elders, school teaches, and health post attendants. Key informant interviews should result in the development of more detailed community profiles and a wealth of information useful for cross-checking information gained in other stages of the assessment.

Tool	Types of Information Collected	Skills Required	Population Surveyed
Key Informant Interviews	<ul style="list-style-type: none"> • The result of these interviews should be a better understanding of the community profile. 	Open-ended interview skills	Community leaders, elders, educated professionals, and respected individuals.

 **Focus Group Interviews** are conducted among groups representative of the primary livelihood systems and wealth ranking categories in the particular community under study. Focus Groups are identified and formed based on the information obtained through Group Interviews and Key Informant Interviews and are typically desegregated by gender. Again, the discussions are guided by a topical outline but should remain flexible in time and structure.

Tool	Types of Information Collected	Skills Required	Population Surveyed
Focus Group Interviews	Identify themes for focus group interviews, including: <ul style="list-style-type: none"> • community infrastructure • service facilities • land tenure systems • markets • population movements • climate/natural disasters • cultural/social institutions • identify prevalent livelihood systems 	Open-ended interview skills Understanding of group dynamics	Members of influential institutions and important livelihood groups within the community;

 **Semi-structured Household Interviews** can be viewed as case studies that identify differences among the households of a particular community and allow for comparisons of households of both similar and different livelihood systems. Community samples typically include three to six households opportunistically sampled to represent various livelihood systems and levels of food security.

Tool	Types of Information Collected	Skills Required	Population Surveyed
Semi-structured Household Interviews	Differentiation of food security among households is enabled acquiring information on: <ul style="list-style-type: none"> • methods of obtaining and allocating food • proportion of income spent on food • seasonal stress • assets and resources • specific coping strategies • decision making authority 	Open-ended interview skills	Opportunistically selected households representing distinct levels of food security

3.1.2 Interactive Collection Tools

Interactive data collection tools are typically less structured than interviews, depend on the direct participation of community members, and are especially well-suited for analysis of agricultural, ecological and social systems within a particular community. Among the many interactive tools, the most common are transect walks, seasonal calendars, community maps, Venn diagrams, and wealth ranking.

 **Transects** are typically conducted by walking through the community with an informed local participant to locate important food and livelihood security resources, pockets of poverty and discrimination, environmental assets and hazards, as well as geographic opportunities and constraints. During the transect walk, in-depth interviews may be held with individuals met and identified as useful key informants, or with small (focus) groups. However, be careful not to forget the aim of getting an overview of the whole community, and don't allow yourself to be unduly influenced by the individuals you happen to meet first. It may be better to invite them to a subsequent focus group meeting.

Tool	Types of Information Collected	Skills Required	Population Surveyed
Transect Walk	<ul style="list-style-type: none"> • Seeks out areas of interest such as agricultural areas, water points, schools, the market, health centers, areas where displaced persons are settled. 	Mapping skills	Village location

 **Seasonal calendars** are useful for identifying changes in climate, cropping patterns, labor access, food procurement and major expenditures that determine critical times for household food security. The calendars are drawn by groups of local representatives, either on the ground (using sticks, stones, etc.) or on large sheets of paper. It can be useful to compose calendars with groups of men and women separately as they are often responsible for different activities and may have differing views of which times of year are the most difficult. It may also be useful to develop maps with different groups that represent different socio-economic groups and livelihood types.

Tool	Types of Information Collected	Skills Required	Population Surveyed
Seasonal Calendars	<ul style="list-style-type: none"> Seek to identify annual seasons and/or events that influence food and livelihood security. Elements often include agricultural seasons, timing of natural hazards (floods, cyclones), peaks in seasonal illness, etc. 	Interview skills	Community leaders and representatives of predominant livelihood groups

 **Community maps** are similar to transect walks in that they rely on the direct input of community members that are intimately familiar with their surroundings. They differ in that in addition to agricultural and ecological zones, they typically include useful information on housing, roads, water, schools, churches and/or mosques and other infrastructure. Participatory mapping often conveys a sense of the institutional context and social structure within the community.

Tool	Types of Information Collected	Skills Required	Population Surveyed
Community Map	<ul style="list-style-type: none"> Seeks out areas of interest such as agricultural areas, water points, schools, the market, health centers, areas where displaced persons are settled. 	Mapping skills	Village location

 **Venn diagrams** are typically used to identify the institutional relationships in a given community. They are particularly useful for understanding the informal social networks that vulnerable households rely on for buffers from periodic shocks. They may also help to assess the degree to which they may be empowered, or disempowered by certain institutions, and identify potential conflicts by determining local stakeholders that may be negatively affected by future interventions.

Tool	Types of Information Collected	Skills Required	Population Surveyed
Venn Diagram	<ul style="list-style-type: none"> Used to gauge community perception of linkages between groups/institutions and livelihood systems. Circles represent degree and type of relationships 	Interview skills	Diverse members of the community; may be segregated by gender.

 **Wealth ranking** is used to get an understanding of local perceptions of the different wealth groups within a community and place every household in one of these groups. It not only helps to identify who is poor, it identifies the ways in which they are poor and suggests ways

in which their situation can be improved. Wealth ranking can also be helpful in assessing food needs and comparing changes in wealth over time.

Tool	Types of Information Collected	Skills Required	Population Surveyed
Wealth Ranking	<ul style="list-style-type: none"> Disaggregated information on households according to wealth/poverty status. When cross-referenced with specific indicators (food, housing, education), wealth categories help identify vulnerable groups and potential target populations. 	Interviewing skills	Village location

3.2. Quantitative Tools

Quantitative data is data that can be analyzed using measures and techniques to summarize and describe information into usable numbers (percentages, ratios, rates, mean, average, range). The emphasis of these descriptive and summary statistics should be on the *insight* they can provide to food insecurity rather than the numbers themselves. Most importantly, statistics can condense attitudes, knowledge and behavior in summary numbers that can be easily understood, remembered and used as a basis for making decisions and evaluating interventions (TANGO 2004b).

Quantitative data are usually derived from sources such as censuses, surveys, observation records, attendance records at health centers, schools, etc., or in tests. Surveys are typically conducted using a standardized format such as a questionnaire. In such cases, particular attention should be paid to appropriately coding questionnaires. If data is incompletely or incorrectly entered using questionnaires, a great deal of time will be wasted at the data cleaning stage. Low quality quantitative data will also have a negative impact on the analysis of assessment findings. Ultimately, questionnaires should be designed to obtain precise, quantifiable answers to defined questions that can be extrapolated and generalized to a referenced population. Appropriate sampling of quantitative methods will allow the collection of information on large populations within a precise range of reliability (TANGO 2004b). Quantitative methods are particularly useful for establishing baseline conditions against which to measure program outcomes and tracking trends in key indicators of vulnerability to food insecurity.

While data collected will likely not be analyzed by the assessment team, they must be familiar with survey techniques and issues behind quantitative data collection. Ideally, assessment team members involved in quantitative data collection will be able to combine a strong understanding of the concepts of food security, risk, and vulnerability, with an understanding of the local context, sensitivity to gender issues and applicable knowledge of statistical theory.

The draft questionnaire for household survey and nutrition survey that have been developed for OICI are attached in Annex 2. It is important to keep in mind that the questionnaires need to be adjusted based on the socio-economic and cultural context, risks and vulnerability, demographic factors and other key parameters of any particular country.

3.3. Market Surveys

One dimension that must be considered in food security needs assessments is that of markets and the ways in which they contribute positively or negatively to the food security of the affected populations. Markets and prices play a critical role in determining food consumption, private

trade flows and producer incentives. With the exception of emergency relief situations involving refugee camps where food aid accounts for total supply of food, consumers usually acquire some of their food through market purchases. Changes in market prices thus influence the levels of food consumption. Likewise, market price incentives can induce private trade flows (imports) that enhance local market supplies and help stabilize prices. Market surveys and analysis are therefore a critical component of a food security situation and need assessment.

The analysis of the information collected through market surveys should enable response options to be identified that protect and promote people access to functioning market and producers, consumers and traders. Food security interventions should explicitly seek to promote the (re)establishment of markets and market conditions that contribute to food security, and to mitigate any negative effects on market functioning or household food security, both short and long term. Market surveys should thus be designed to collect information relevant to the following objectives:

- Determine the effects of the crisis on markets;
- Determine the effects of market conditions on different population groups; and
- Assess the likely effects of possible assistance interventions on markets.

Different markets are important and should be considered in needs assessments, including food and non-food (commodity) markets, labor markets, and financial markets. The following guidance focuses primarily on food markets. The analysis of other markets (labor and financial) is more difficult and would require the services of specialized economists.

3.3.1 Required Market Information

When a baseline market assessment exists for the particular target area, the role of the food insecurity assessment team is to ascertain what has changed in the functioning of markets in the intervening time period. In the absence of a markets baseline, the assessment team must collect general information that will be used for initial decision-making and be fleshed out during follow-up studies. Information requirements are similar for baseline and follow-up market studies, and will build on existing secondary data, which can be obtained from sources such as the Central Statistics Office, existing VAM reports, and in-country offices of World Bank, IMF, WFP, FAO, USAID, or the EU.

It is often appropriate to plan market surveys around key themes or questions. In food insecurity emergencies, the key questions will most likely be focused on the nature of the market-related problem, which can be generalized as one of **availability**, **access** or **utilization**.

➤ **Food Availability: *To what extent is there a food supply/availability problem?***

This question must be answered at two levels: national and local. At the **national level** a macro market analysis is needed, to determine possible causes of problems, to assess the availability of surpluses for local or regional purchases, or, in an extended emergency, provide insight into how food availability may be impacted over the course of several months, or into the next growing season or harvest period. This analysis would almost always be based on secondary data (from, for example, Ministry of Commerce/Trade, World Bank, IMF, FAO,). This level of analysis requires an experienced economist or market analyst. It would rarely be part of an initial or rapid assessment but may be conducted in an expanded

assessment. Ideally it would be conducted as part of a baseline information system for emergencies.

At the **community level** a meso/micro market analysis is needed, and is often based on primary data from sources such as local government officers, USAID, VAM, NGOs, or FAO. This level of analysis should look for possible causes of problems in local markets.

➤ **Food Access: *To what extent are markets contributing to problems of household food access?***

To answer this question usually requires a household-level survey, usually through a household economy approach. It identifies changes/shocks to household income. – *macro market analysis* will identify changes in national terms of trade in export sectors that may affect household livelihoods (eg. coffee price decline, livestock ban). – *micro market analysis* will identify market changes (inflation, low wages) eroding the purchasing power of households, and will help assess the size of the household income gap resulting in food insecurity.

➤ **Food Utilization: *To what extent are markets contributing to problems of food utilization at household and individual levels?***

The impact of markets on food utilization is usually related to nutrient deficiency. Micro market analysis can inform whether appropriate nutrient-rich foods are available in the market or whether private processing facilities can be encouraged to manufacture fortified foods.

4.0. CONDUCTING THE FOOD INSECURITY ASSESSMENT

The process of assessment team recruiting and training should ensure that individual team members possess the knowledge and skills to necessary for conducting an accurate and comprehensive assessment of food insecurity. Before arriving in the community, each individual team member should clearly understand their roles and responsibilities as part of the overall team. Ideally, a Field Manual summarizing the protocol and providing guidance on the tools used in the assessment should be developed and distributed to each enumerator as part of the “briefing package”. The manual will help to standardize implementation across the sample.

The Assessment Supervisor and Field Coordinator need to take responsibility for ensuring that data is managed and organized systematically throughout the data collection process to allow for timely processing and analysis. As part of the collection phase, it is important to; 1) Conduct regular debriefing sessions with enumerators to assess and make necessary adjustments to data collection (interview) processes; 2) Confirm logistical arrangements (appointments, travel arrangements); and 3) Allocate sufficient time for processing and cleaning the data.

4.1. Data Collection Process

Step One: Before the arriving to conduct the assessment, it is important to let the community know that the assessment team is coming to visit them on the scheduled day. This can be done by sending out a Country Office Field Representative prior to the team’s arrival. It is also important to notify local authorities that the assessment is going to take place and in which communities, although care must be taken not to politicize the assessment process.

Step Two: Contact local community leaders to explain the purpose of the study. Care must be taken not to raise expectations among the population about follow-on projects or programs.

Step Three: Conduct interviews with groups, key informants and community service providers. Topics typically include community infrastructure, land tenure arrangements, sources of credit, marketing, typical labor arrangements, and government programs in the area.

Step Four: Ask community leaders to accompany the team in a walk to conduct a community transect so that the team can become familiar with the physical surroundings of the community.

Step Four: The team then breaks up into sub-teams for qualitative and quantitative data collection. Members of qualitative teams will focus on data collection methods such as constructing the community map, drawing a seasonal calendar, creating Venn diagrams, and facilitating a wealth ranking exercise. Similarly, quantitative teams will coordinate to conduct household interviews and other quantitative data collection activities. It is unlikely that these activities will occur simultaneously and should be sequenced according to a program schedule agreed on by the assessment team and community leaders.

Step Five: Once the data have been collected, the assessment team returns to a central location and begins entering qualitative information into matrices and quantitative information into data analysis packages.

During data collection it is advisable to conduct periodic random reviews of data collection forms. Forms can be reviewed by a data collection supervisor, by an independent consultant, or by data collection personnel (who can check other members' forms). Check for errors in coding, missing information and legibility.

Field work should proceed according to a time schedule, and it is important that each interviewer understands and follows field procedures and how to handle various problems that may be experienced during the field work.

4.2. Data Entry

Step One: Assessment teams regroup following fieldwork to check questionnaires and discuss relevant issues that may arise.

Step Two: Supervisors should cross-check qualitative collection tools and/or questionnaires for completeness nightly.

Step Three: Qualitative data should be organized using matrices or templates. A matrix contains an outline of headings for the specific measurement objectives and information requirements. Matrices completed by individual team members or assessment teams (in a large assessment with multiple teams) can then be consolidated into a single matrix.

Step Four: After all of the notes from the team members are entered into matrices, the team reviews the information together to identify key trends, issues and areas where the interview process can be improved.

Step Five: Quantitative surveys should be entered into an analytical software package in a central location by a trained data entry team. A template (or data mask) should be developed that reflects the survey to make the transfer of data into the software as smooth as possible.

4.3. Data Cleaning

Data should be thoroughly cleaned and edited before any analysis begins. There are several techniques for cleaning data, but using a data mask as described above will minimize the amount of cleaning that is required. One way to clean data is to look for outliers. Outliers are data points that fall well outside of the “normal” responses, and the best way to discover them is to plot a scatter graph of the data (or use a frequency distribution). Suppose you were looking at agricultural land ownership and every household was within the range of 0-50 acres. If there were, for example, several households with over 100 acres they would be considered outliers, because they lay outside the normal range. Just because something is outside of the normal range, however, does not mean it is wrong, so when outliers are discovered you must go to the original data forms to see if there was an entry error. If errors do exist you must then decide what to do with the data. Another form of error checking is based purely on logic – knowledge of what a reasonable response should be given the characteristics of the respondent. Data should make sense and be consistent within cases.

Discrepancies in logic may require a second look at the original questionnaires for problematic cases. For example, a household with no children should not have responded to questions about child education or health. Similarly, households that practice agricultural production should provide some response to questions about access to land.

5.0 Analysis of Data

5.1. LEVEL I ANALYSIS: DESCRIPTIVE ANALYSIS

The first step in the process of analysis of needs assessment findings is a descriptive one. Descriptive analysis involves reviewing the information, identifying causal links, patterns, and common themes, and then arranging the facts in order to present them in a coherent form.

In this phase, it is very important to consider and describe:

- The current shocks faced by the target population;
- Their level of exposure to risk;
- The range of risk reduction and coping strategies adopted.

This will allow to accurately assessing the local capacity to respond to shocks and manage risks. A descriptive analysis should indeed provide insight into the current level of vulnerability resulting from the combination of risks, shocks, and coping strategies, by describing livelihood outcomes in surveyed communities. Specific outputs of a Level I Analysis should include

- A risk/shock analysis which includes a risk/shock inventory;
- A risk/shock management analysis that looks at activities associated with risk reduction, mitigation and coping strategies; and
- A description of the current livelihood and food security outcomes.

5.1.1. Developing a Shock/Risk Inventory

A valid risk/shock analysis is central to the ability to conduct an accurate and informative assessment of vulnerability to food and livelihood insecurity. In conducting such an analysis, it is important to understand that shocks, and their associated risks, can come from exogenous climatic or environmental sources, institutional constraints, economic changes, political edicts

and/or conflict or social change. Following are few examples of the types of shocks that have a direct affect on the food and livelihood security of vulnerable populations.

1. Sudden onset of natural disasters such as floods or earthquakes;
2. Slow onset emergencies that include drought and crop failures, HIV/AIDS pandemic, or economic/political changes;
3. Complex emergencies related to conflicts and wars (Internally Displaced People and refugees emergencies).

During emergency situations in which an initial rapid assessment is being implemented amid an on-going crisis situation, the primary analytical focus will be on a description of the current shock, including its causes, severity and coverage. However, most non-crisis situations call for an expanded assessment of food security in which past, current, and potential future shocks are analyzed. Again, this type of assessment is supported by an assessment of information gained through both secondary and primary data collection.

A hazard/risk inventory identifies the types of shocks that have occurred, are currently occurring, or have a possibility of occurring in a given region. For each possible shock, the **frequency, magnitude, duration, timing, speed of onset, correlation, and geographic location** is specified.

Figure 13: Frequency, Timing, and Risk Correlation of Hazards/Shocks

The **frequency** and **timing** of a particular hazard/risk are both critical determinants of its ultimate impact. Some hazards such as earthquakes may strike infrequently while a hazard of low rainfall may be experienced almost every year. Timing refers not only to periodicity but also to how it relates to impacts during the course of a year. For example, floods/droughts will have differential impacts on an agricultural population depending on when they occur in relation to the agricultural calendar. In addition, there may be periods of the year when exposure to several shocks increases simultaneously, increasing the likelihood that a household will experience difficulties.

Risk correlation can be thought of as the type of risk exposure. Idiosyncratic risks are those that have a more random and individual distribution, and that may thus occur for individual households but not whole communities. Covariate or collective risks however, affect groups of households, communities, regions or nations. These include many natural occurring risks (droughts, floods) where most households or communities are exposed. Conflicts also represent a form of collective risks. Depending upon whether the risk is collective or idiosyncratic will determine the type of risk management strategies that will be required to manage the risk.

Once the inventory and categories of risk are determined, the level of risk exposure must be assessed. It is important to remember that a single shock may result in different hazards or risks for distinct regions or groups of people. Risks are not felt evenly among all households and there are several ways in which the population may be disaggregated to look at specific exposure levels. Exposure may be differentiated by socio-economic group, ethnic groups, livelihood groups, geographic regions, or gender among others (TANGO 2004b).

Similarly, the particular challenges faced by a certain population may come from a variety of interrelated sources. Figure 14 presents five categories of hazards/risks impacting specific sectors: environmental, health, social, economic and conflict. The figure presents a matrix in

which the shocks from the hazards/risks are compared with the types of capital which are impacted. An analysis of assessment findings should include a comprehensive list of hazards/risks encountered by the target population as well as an accounting of those that are most likely to produce the shocks which incur the most severe impacts.

Figure 14: Examples of the Association between Hazards/ Risks, Shocks and Capitals

Hazards/Risks	Drought, flooding, land degradation, pests, animal disease	Disease epidemics (malaria, cholera, dysentery), AIDS, injuries	Policy changes, discrimination, unequal access to resources	Macro-economic policies, market and trade	War, violence, discrimination
Sectors	Environmental	Health	Social	Economic	Conflict
Livelihood	Shocks				
Physical Capital	Climatic activity destroys physical infrastructure	Asset divestiture, loss of capacity to provide public services		Asset divestiture	Conflict leads to destruction of physical infrastructure, assets stolen or destroyed
Natural Capital	Destruction of land and resources, Price shocks, rapid inflation, food shortages		Appropriation and loss of common property resources, increased theft	Price shocks, rapid inflation, food shortages	Conflict leads to loss of land, assets, and theft
Social Capital	Recurring environmental shocks breakdown ability to reciprocate.	Morbidity and mortality affect networks	Breakdown of labor reciprocity, Breakdown of sharing mechanisms, lack of social cohesion, reduction in safety net support	Shift to institutional forms of trust, stricter loan collateral requirements, migration for employment	Communities displaced by war, theft leads to breakdown in trust
Economic Capital	Seasonal climatic fluctuations reduce employment, morbidity and mortality of income earner, loss of crops	Employment policies, declining subsidies or inputs, poor investment in infrastructure, taxes		Unemployment, falling real wages, price shocks	Marketing channels disrupted by war,
Human Capital		Declining public health expenditures, user charges, declining education expenditures	Breakdown in community support of social services, unequal access to services	Privatization of social services, reduction in labor opportunities	Conflict destroys social infrastructure, mobility restrictions

5.1.2. Assessing Risk Management

A variety of pre-shock (*ex ante*) risk management activities are typically undertaken by households and communities in order to reduce the likelihood of a shock (risk reduction) or minimize its impacts once it occurs (risk mitigation).

Post-shock (*ex poste*) responses initiated by households are typically referred to as ***coping strategies***. Post shock responses initiated by communities are ***informal safety nets***, while those carried out by governments and NGOs are ***formal safety nets***. A thorough understanding of risk management responses provides entry points for appropriate programming that seeks to support and enhance the positive activities already taking place as well as to fill gaps where support is needed.

5.1.2.1 Household Coping Strategies

The information needed to analyze risk and shock management at the household level is gathered through household surveys. Households typically employ a range of coping strategies to protect consumption levels and prevent falling into acute food shortage. In general, these coping strategies can be sorted into two basic categories.

Households generally begin with the short-term strategies and will transition to longer-term strategies as the impact of the shock continues. The latter type is often referred to as distress strategies and is more detrimental to household livelihoods and will slow the process of recovery. Households using a larger array of coping strategies and/or strategies considered to be more severe in their impacts are usually more vulnerable.

1) Short-term coping strategies

- Migration of household members to look for work
- Searching for wild foods
- Selling non-productive assets
- Reducing number and size of meals
- Changes in diet to less preferred or nutritious foods

2) Unviable (distress) coping strategies

- Selling productive assets
- Household dissolution
- Theft
- Prostitution
- Mass migration
- Begging

5.1.2.2 Social Safety Nets

The concept of a *social safety net* relates to the role played by the network of institutions and organizations operating in any given locale that can play a role in helping to manage risk. These institutions can be either formal or informal groups or organizations. They may include religious groups, social clubs, savings, or credit groups, funeral societies as well as service delivery institutions that may focus on health or education. During analysis, it is crucial to document the existence of these groups, and to determine to what extent these networks and institutions contribute to the ability of households to manage risk.

Information needed to analyze formal safety nets can often be obtained through secondary data and interviews conducted with both government and NGO key informants. Alternatively,

information on risk coping strategies at the community level (informal safety nets) is typically gained through village surveys.

In general, informal safety nets deal better with idiosyncratic shocks due to the fact that they incorporate community-specific knowledge and account for cultural, physical and economic differences among affected communities. However, informal safety nets tend to break down when there is a high level of recurrent shock events and multiple families are in need of assistance (HIV/AIDS, protracted civil conflict, macroeconomic collapse). Furthermore, it is important to assess if certain families or groups are excluded from these network, as that would increase their vulnerability to the shock and possible future crises.

Covariate or collective shocks (shocks that impact everyone) tend to overwhelm community level resources and often require an external response in the form of a formal safety net from government or NGOs. Formal safety nets can take the form of employment programs or cash/food transfers. Most often these measures are targeted at the poorest households as a temporary cushion in the aftermath of a severe shock. An example may be a public works program that sets the wage rate for creating jobs below the market rate thereby discouraging the non-poor from applying. Such public programs are often more effective than household or community coping strategies in dealing with a large scale concurrent shock because they spreads the risk throughout a wider constituency.

Figure 15: Critical questions for assessing the impact of a shock on formal safety nets

- Are public safety net measures being implemented in the region affected by the shock?
- Is the format safety net designed to deal effectively with the specific type of shock?
- Can existing formal safety nets be scaled up to deal with the impact of the current shock? Are the necessary resources available? Managerial capacity?
- What are the current targeting mechanisms being used to deliver current safety nets (self-targeting, administrative targeting)?
- Is there political will to develop formal safety nets if necessary?

5.1.3. Assessing Livelihood Outcomes

A determination of whether households are successfully pursuing livelihood strategies to manage risk and shocks requires consideration of outcome measures that capture levels of need and well-being. Outcome indicators serve as proxies for risk exposure and vulnerability. Different household outcomes are in turn determined by the level of assets and the various risk management strategies employed in response to a shock. As stated previously, this handbook is focused on measuring food insecurity as a primary outcome of livelihood strategies. Again, assessing the level of food security entails an analysis of the level of food availability, food access, food utilization, and the determination of whether a food gap exists among the targeted population. Other livelihood outcomes that may be analyzed include household access to human capital (nutrition, health, education, safety) and household poverty status (income, assets, social exclusion). In addition to these outcome measures, efforts should be made to derive from the community the criteria they use for determining whether their livelihood strategies have managed risk effectively.

Both qualitative and quantitative techniques and tools can be used to analyze livelihood outcomes based on assessment findings. For instance, qualitative results can be organized into consolidated matrices of community livelihood systems with sub-matrices for each identified livelihood group. Specific tools can also be used to provide quantitative measures of food and livelihood security such as dietary diversity, number of daily eating occasions and poverty status.

5.1.3.1 Qualitative Tools and Methods of Data Analysis

Qualitative research methods are designed to provide the researcher with the perspective of target audience members through immersion in their culture or situation and through direct interaction with them. These methods help to answer questions such as how and why. The focus is on presenting perceptions, judgments, and opinions and on explaining meanings, processes and reasons.

Qualitative interviews differ from traditional structured interviews, in which formal questionnaires are used, by not being limited to a set of predetermined questions to be asked in sequence. Instead, the interviewer uses a checklist of topics to guide the interview, pursuing avenues that open along the way. When applying qualitative methods, the researcher becomes the instrument of data collection and results may vary greatly depending upon the researcher. Hypotheses and additional 'follow-up' questions are generated during data collection and analysis, and measurement tends to be subjective. Therefore, by their very nature, the methods are often not objectively verifiable (WFP 2002a).

All assessment reports will have qualitative information that is of a descriptive nature (matrices or summaries). The most common qualitative data analysis techniques include descriptive analysis, content analysis, and inductive analysis. With descriptive analysis the results are organized 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 programs, such as Nudist, that assist in the classification process (TANGO 2004b).

5.1.3.1.1 Problem-Cause Tree/ Causal Tree Analysis

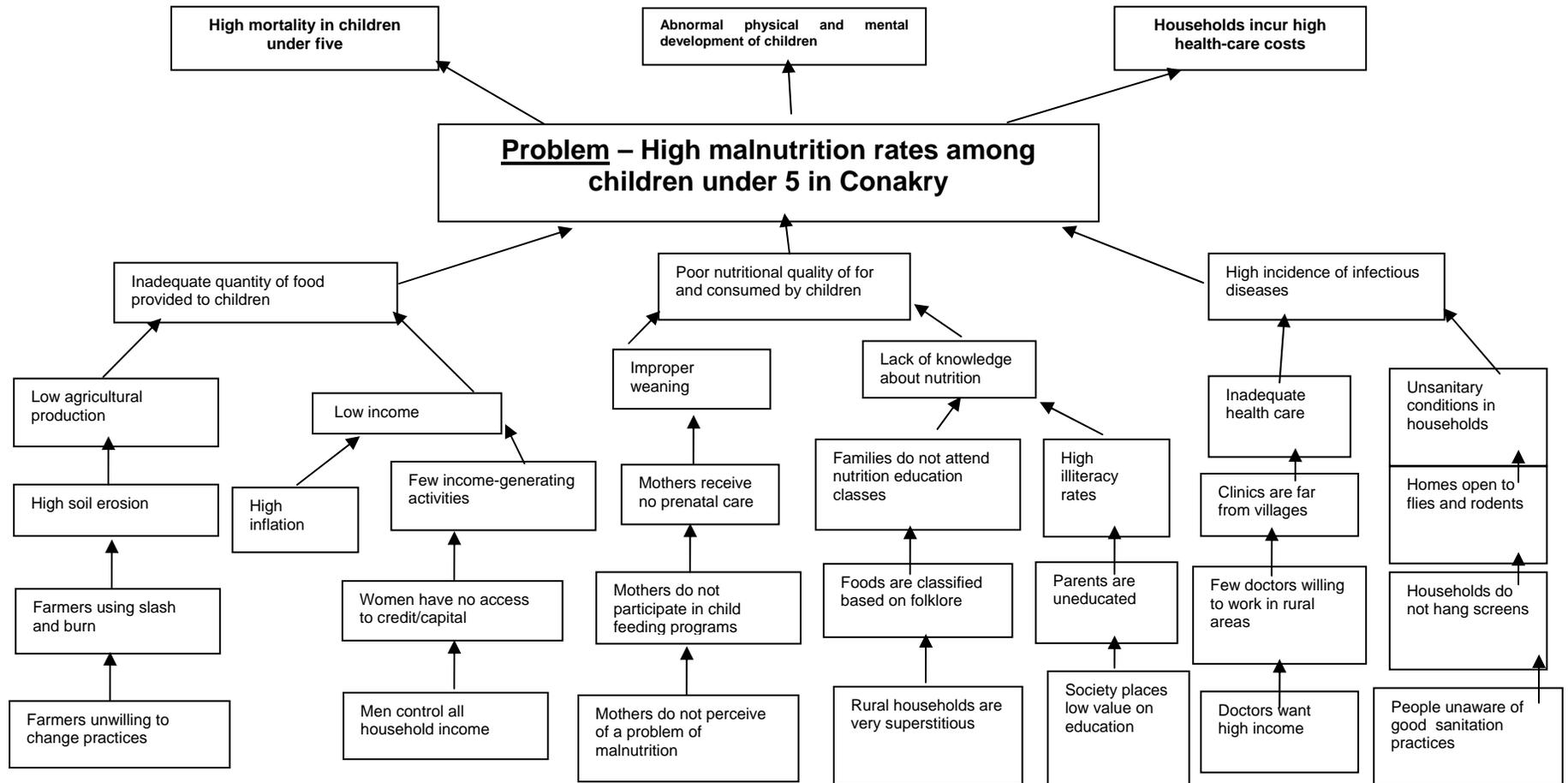
Information collected through focus groups, interviews, and other participatory methods will shed light on the relative importance of the multiple problems faced by the poorest families.

How people prioritize their own problems is important in determining underlying causes and also in mobilizing local support for programmatic solutions. Participatory methods should be used to identify the consequences and immediate (or primary) causes of each problem; underlying (or secondary) causes are identified for each immediate cause; and structural (or tertiary) level causes are identified for each underlying cause. Often, secondary and tertiary causes will contribute to more than one immediate cause (TANGO 2002).

The problem-cause exercise can be used to help the assessment team reach consensus on the main issues to address in the assessment report. The exercise also assists the team in identifying potential interventions, and evaluating the trade-offs between interventions that work on root causes, which may be highly effective, yet more difficult to implement, and those interventions addressing more short-term, immediate causes of vulnerability and food insecurity (TANGO 2004b).

The example casual tree presented in Figure 28 addresses the problem of high child malnutrition (CARE 2002, TANGO 2004b). In this example, the direct consequences of the problem are identified as high child mortality, abnormal physical and mental child development, and high health care costs incurred by households. Thus the identified problem is also a cause of higher level consequences.

Figure 16: Sample Causal Tree Analysis



5.1.3.2 Quantitative Tools and Methods of Data Analysis

Quantitative research uses methods adopted from the physical sciences that are designed to ensure objectivity, reliability and the ability to generalize. They seek to exert maximum control over the questions and potential answers and most often incorporate probability sampling methods to allow for statistical inference to the larger study population. The researcher is considered external to the actual research, and results are expected to be replicable no matter who conducts the research.

Quantitative methods help to answer questions such as who, how much, and how many. Where probability sampling is used, statistical analysis will provide precise estimates for study variables, such as frequencies, averages, ranges, means, and percentages, at a known and quantifiable degree of confidence. The intent is to gather data to test a pre-determined hypothesis and only answers to those questions/variables included in the questionnaire are collected. The proper method for describing a particular population is dependent on case-specific features.

The qualitative data will provide meaning to the quantitative outputs and both should be presented in a supportive manner in the final report.

5.1.3.2.1 Quantitative Analysis Procedures

Quantitative data analysis is a process of tabulating, interpreting and summarizing empirical and numerical data for the purpose of describing or comparing populations. Methods are not mutually exclusive and a variety of descriptive and comparative techniques may be employed as part of the analysis process.

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. 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 idea of center, 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.

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 is currently being utilized. There would be no need to ask this question in the study.

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.

5.1.4. Determining the Food Security Situation

To determine the food security situation of a particular population, or the food security impact of a particular shock, it is important to look at the multiple levels of food security:

1. First, it is necessary to analyze whether the food is **available** to the community or region at the aggregate level through markets, national and regional production, or food assistance;
2. Second, the analysis should determine if households have **access** to food either through their own production or through purchases, gifts, or loans;
3. Finally, the analysis needs to assess whether food is being properly **utilized** at the individual level based on the quality of the diet, caring practices, and prevailing health and sanitation conditions.

5.1.4.1 Food Availability

In order to understand the current status of food availability and how it may be affected by a particular shock, the following analytical questions should be answered:

1. ***Is there a food supply deficit in the markets in the areas surveyed?*** Contrast pre-event and current situation of market availability of and prices for major commodities and livestock.
2. ***What is current food availability based on latest crop production information and what has changed from past times (which crops were most affected)?***
3. ***What are changes/ trends in terms of trade/ purchasing power of the crisis affected group? If there is a food supply deficit, will it drive up prices?***
4. ***Is there potential for local traders to make transfers from food surplus areas to deficit areas given infrastructure and storage capacity and barriers to trade inflows?*** Barriers include damaged infrastructure such as roads and bridges, insecurity, and trader incentives.
5. ***What is the potential of local actors to fill any food deficit through in-country transfers or imports (local producers, government, traders) given current trade policy and traders perceptions of government action and food markets?***
6. ***Does the macroeconomic policy environment present an opportunity or constraint to addressing the supply problem?***

5.1.4.2 Food Access

The primary objective here is to determine which vulnerable groups in an affected area do not have adequate access to food. In order to meet this objective, the analysis must be able to differentiate the population within the community by determining differences that may exist among households in resource endowments and livelihood strategies. These differences will determine the ability of a particular group of households to access sufficient food. Analysis of food access is greatly enhanced through the use of livelihood and vulnerability profiles. This is

due to the fact that different livelihood strategies have an enormous impact on the ability of a particular group to access sufficient food.

An assessment of food access for a given region or population requires consideration of the following questions:

- 1. Which livelihood groups are more vulnerable to lack of access to food?**
- 2. Which livelihood groups are most affected by the shock?**
- 3. What has been the impact of the shock on sources of food for each of the different livelihood groups? What is the differential impact of the shock on different wealth groups within each of these groups?**
- 4. What has been the impact of the shock on the household income/ expenditure balance?**
- 5. What affect has the shock had on household assets?**

5.1.4.3 Food Utilization

Food utilization refers to the intra-households food sharing practices, care practices for infants, children and mothers, and level of disease and hygiene which directly impact the nutritional uptake of food consumed. Food utilization is often impaired by endemic diseases, poor hygienic practices, lack of nutritional knowledge, or cultural taboos which restrict access to food for particular household members according to age or gender.

In most cases, food insecurity assessments will not collect primary data on the nutritional status of target populations and instead rely on secondary data sources. If nutritional surveys are part of the food security assessment, several guidelines are available on how to collect anthropometric data¹. Anthropometric data that will typically need to be obtained to assess food utilization include: nutritional status of children under 5, weight-for-height, and sometime weight-for-age to determine whether chronic or acute malnutrition is a problem within the particular region or population. Given the impact of HIV/AIDS on changing household demographics and malnutrition among infected individuals, it is also important to include prevalence rates in a review of secondary data on food utilization.

Certain types of primary data can also be useful in assessing food utilization for a target group or region: level of dietary diversity, or number of items in the regular household diet. This is because poorer households often have access to fewer items, omitting protein sources or more nutritious vegetables, which will limit the nutritional status of its members. Similarly, capturing the typical caring practices of infants and children by mothers or care-takers will provide information on the practices that influence nutritional outcomes for infants and children. Key informant and group interviews can also be used to collect information on cultural food taboos that bar individuals within a household from consuming nutritionally adequate diets and seasonal disease levels that play a major role in rates of malnutrition or nutritional intake.

¹ The FANTA Anthropometric Indicators Measurement Guide, (FANTA, 2003) provides crucial information and guidance on how to collect and report nutrition indicators. In particular, section 5 of the Guide explains how to take measurements and collect nutrition data during nutrition surveys. The Guide can be found on line at <http://www.fantaproject.org/publications/anthropom.shtml>

In terms of food utilization, the following questions need to be answered during the analysis process:

1. ***What factors typically affect food utilization for each livelihood groups? What have been the trends and what is the current status of health and nutrition in each group?***
2. ***Which groups are most vulnerable to poor utilization of food? What are the primary reasons? How has the shock affected food consumption patterns and dietary diversity?***
3. ***What have been changes in health and nutritional status as a result of the shock?***
4. ***Has the shock affected water and sanitation conditions?***

5.1.4.4 Problem Analysis

After all three food security dimensions have been considered, the analysis should determine what the food security situation in surveyed areas is given their current livelihood systems and market infrastructure. This analysis should determine which dimensions of food security are the problems (food availability, access, utilization). In particular:

- The results of an analysis of food **availability** will help assessing what proportion of the population is or will be adversely affected by current conditions in the area. This is done taking into consideration production shortfalls, quantities and types of food available in the market and fluctuating prices. From this analysis it should be possible to determine what proportion of food needs could be met by the local and regional markets.
- The analysis of food **access** will help determining which vulnerable groups are likely to be experiencing significant shortages in food given their current livelihood strategies and access to resources.
- The analysis of food **utilization** will allow determine which individuals within the household will be most adversely affected by the food shortfalls, and will also help determine whether food aid is an appropriate response to address malnutrition problems in the area.

It is critical to combine the descriptive analysis of food security with an assessment of community and household coping strategies. This is due to the fact that the determination of actual food needs of the local population is dependent on the varying levels of success and sustainability of different coping strategies.

5.1.4.5 Calculating the Food Gap

Taking into consideration the nature of the shock, the livelihood system and the coping capacity of an affected population, the next step is to determine what the food gap is in the affected area. An approximate calculation of the food gap is a relatively simple conceptual process. It entails comparing a household or community's access to food compared to their needs. The difference between the two is the food gap.

There are two basic methodological approaches to calculating the food gap. First, the food gap can be calculated using a household income/expenditure balance sheet. The calculation of food needs should be based upon a baseline consumption level during non-crisis, food secure years. The field assessment should focus on obtaining information related to the percentage change in income and estimate total expenditure between the defined baseline period and the current food insecure period. Alternatively, the food gap can be approximated by determining the proportion of food derived from each food source for a household and the degree to which a particular shock affects that source. This information is used to calculate the percentage drop and food provisioning for a given livelihood group.

Whichever method is used, the aggregate food aid needs for each socio-economic group equals individual household needs of each group multiplied by the respective number of households who are not able to cover their own minimum needs without endangering their health or their access to essential non-food items such as education. Estimates of the food gap based solely on qualitative measures will only be roughly approximate. More precise estimates can be gained only through proper sample surveys and or screening exercises.

The following questions may be asked in estimating food gaps to design potential interventions.

1. What is the nutritional dimension of the intervention and the ration size?
2. Which livelihood groups need food aid in which areas?
3. What is the urgency/ timing of the intervention?
4. What are the scale and coverage of the intervention?
5. What are the duration and seasonality of the intervention?

Individual assessments will likely use different methods of calculating food needs. For instance, some assessments may not have time to gather in-depth information by different livelihood group, for example, and their estimates of the food gap will rely more on general information from group interviews and key informants. Other assessments may be able to differentiate among different livelihoods or socio-economic groups, but will be limited in their ability to gather quantitative information at the household level and generalize their findings. Ideally, food security assessments should be able to gather detailed, household-level information and calculate food gaps with more precision.

Household's typically gain access to food from their own production (crops, livestock, etc.) or through other food inflows (i.e. wild foods, food aid, cash income through wages, asset sales, or remittances). In addition, they can apply a range of coping strategies to account for food deficits. Some coping strategies, such as the collection of wild foods, can serve as an additional inflow, but may not be sustainable if employed over long periods of time and may be detrimental to livelihoods if they significantly alter resource availability. Other coping strategies, such as substituting cheaper foods for preferred foods, change the balance sheet of food inflows and expenditures, but often at a nutritional cost to the household, and if used over a long time period these diet changes will adversely impact nutritional status, especially among vulnerable household members.

5.2. LEVEL II ANALYSIS: DYNAMIC ANALYSIS

Level II analysis is more inductive, and can also be described as a dynamic analysis addressing the nature and degree of changes in vulnerability among households and communities. Based on the identification of livelihood profiles within the target region or population, this dynamic

analysis draws on observed trends and relationships to inform the development of potential food and non-food interventions.

5.2.1. Determining Livelihood, Institutional and Demographic Trends to Understand Future Vulnerability

In this phase it is necessary to determine trends in livelihood strategies and changes that are occurring in internal household dynamics. For example, are households following certain livelihood strategies more likely to sell off assets than other types of households? Are these households more likely to dissolve? Answers to these questions will help determine the future dimensions of vulnerability as they continually evolve.

At the same time, it is important to analyze intra- and inter- community dynamics, paying special attention to the ways in which social networks and institutions adapt or deteriorate in response to the changing livelihood context.

An important example is offered by the negative impact of HIV/AIDS on informal safety nets throughout southern Africa. The continual erosion of these community social support networks will make HIV/AIDS affected households and communities more vulnerable to food and livelihood security in the future.

5.2.2. Identifying the most vulnerable Individuals, households, groups, populations

Combining a descriptive analysis of exposure to risks, risk management strategies, and outcomes with an analysis of livelihood, institutional and demographic trends, it is possible to differentiate vulnerability at the individual, household, community and regional levels. This phase of the analysis allows for the identification of vulnerable groups that should be the focus of future interventions. These vulnerable groups can be characterized by common demographic factors, socio-economic differentiation, intra-household distribution issues as well as by social and institutional access (Ellis 2003).

Differentiating Chronic and Transitory Vulnerability

Some households are chronically vulnerable to shocks and experience food insecurity on a continuing basis while others are vulnerable only on a transitory basis. The distinction between chronic and transitory vulnerability is particularly useful for enhancing the effectiveness of development relief interventions aimed at strengthening safety nets, building livelihood resilience, and predicting the onset of food crises. Taking the distinction between chronic and transitory vulnerability to food insecurity into account, development relief programs should devise interventions that focus on human capital investments and livelihood diversification for the chronically and transitory food insecure. Such programs will help pull the chronically vulnerable out of poverty traps, while smoothing consumption and protecting assets of the transitory food insecure.

5.3. ANALYZING THE IMPACT OF CROSS-CUTTING ISSUES

5.3.1. HIV/AIDS

HIV/AIDS and food insecurity are increasingly entwined in what is described as a 'vicious cycle, with food insecurity heightening *susceptibility* to HIV exposure and infection, and HIV/AIDS in turn heightening *vulnerability* to food insecurity. To gain a comprehensive understanding of the interaction between HIV/AIDS and food insecurity, it is important that the assessment engage in analysis at the societal, community/household, and individual levels. (Gillespie and Kadiyala 2005). The impacts of the epidemic at the societal level have been well-documented and are felt most dramatically in the reduction of the labor force, impoverishment, and in the loss of essential knowledge that is transmitted from generation to generation. All exacerbate food insecurity and poverty; in a devastating cycle, the poor become poorer and more vulnerable to HIV/AIDS (Villareal et al. 2004).

The effects of HIV/AIDS on the household have been shown to depend upon: the demographic structure of the household, the number of people infected, the length of time that the household has to cope with the effects of the epidemic, and the resources the household has at its disposal to cope with the disease and the costs implied (Villareal et al., 2004). The risks people face of contracting HIV will be thus governed partly by the susceptibility of the livelihood system and strategies on which they depend. The effect of HIV/AIDS on assets and institutions is a measure of vulnerability. These effects will determine the strategic responses that households adopt to deal with this threat. Such responses in turn will have outcomes—nutrition and food security among them—that will themselves condition future susceptibility and vulnerability (Gillespie and Kadiyala 2005).

At the individual level poor nutrition can damage the immune system, increase frequency, duration, and severity of opportunistic infections, and contribute to the acceleration of full-blown AIDS. In turn, HIV/AIDS itself may lead to malnutrition through decreased food intake and malabsorption, as well as increased utilization and excretion of nutrients (FANTA 2004, Piwoz and Preble 2000, Gillespie and Kadiyala 2005, Semba and Tang 1999).

5.3.2. Gender

Women are among the most vulnerable to food insecurity, along with children and the elderly. Gender analysis focuses on identifying and understanding different gender roles, rights and responsibilities. It seeks to better understand women's needs and roles in relation to men's, and to their social, cultural, political and economic context, acknowledging that neither women nor men are homogenous groups. Gender analysis considers the roles of both men and women in production, reproduction, management of household and community activities, and access to community resources.

Gender analysis helps identify gender-based differences in access to resources to determine how different members of households will participate in and be affected by project interventions, and incorporate gender equity and empowerment into the project design process and subsequent goals and interventions.

As part of a holistic problem analysis, gender analysis should evaluate the differences between men's and women's activities and responsibilities, as well as their access to resources and decision-making. The analysis draws on the data collected through both secondary and qualitative tools, disaggregated by gender.

Tools used for gender analysis should be able to clearly identify associations between gender and specific factors influencing risk and vulnerability to food insecurity (e.g., security, labor allocation, access to credit, and inclusion in social networks).

Additionally, an analysis of the relationship between food security and gender should evaluate the differences between men's and women's activities and responsibilities, as well as their access to resources and decision-making. The analysis draws on the data collected through both secondary and qualitative tools, disaggregated by gender.

5.3.3. Conflict

Unlike natural disasters, complex emergencies are also characterized by the deliberate destruction of political, economic, social and environmental systems, rendering complex emergencies fundamentally more devastating than other disasters (Lautze 1997). Furthermore, in situations of violent conflict there is often a lack of authority and institutional capacity which may require an international response that goes well beyond the mandate or capacity of any single community-based organization, NGO or government. Conflict factors thus explain the rapid increase in refugees and internally displaced persons (IDPs). But conflict also has more broad reaching impacts: it hampers economic growth and investment; it has led to fragmented national politics and the rise of a set of economic actions based on plunder rather than production; and it directly destroys people's livelihoods, assets and institutions—sometimes deliberately, sometimes as by-product. Conflict has serious food security impacts because competition for scarce resources underpins many of the local conflicts—particularly in pastoral areas; and competition for other resources (oil, mineral wealth) underpins larger scale conflict (CARE 2003a). In areas characterized by chronic conflict and political instability, it is the practical focus of the analysis should be place on the capacity of local institutions to support and protect food and livelihood security.

6.0 Determining Strategies

A variety of recommendations can be derived from food security assessments. While certain recommendations may focus on the immediate causes of food insecurity in order to address short-term needs, other recommendations should be developed for addressing the root causes of poverty, deprivation and human rights violations that often result in chronic vulnerability to food insecurity. A development relief approach to food security programming requires an effective integration of short and long-term interventions that may not be successfully completed within a five-year project cycle.

Ultimately, each proposed intervention should be aimed at helping people enhance their level of food security and sustain their livelihood. This may be achieved through:

- 1) A focus on increasing or retaining productive assets at the household level;
- 2) Expanding alternative economic activities;
- 3) Stabilizing markets during food shortages;
- 4) Devising appropriate interventions in conflict situations; and
- 5) Designing self-reliance and local empowerment strategies.

In order to facilitate effective implementation, it is important that each of the recommendations proposed by the assessment team is outlined on the basis of three critical areas:

- 1) Targeting elements;
- 2) Programming elements; and
- 3) Mechanisms for implementation

6.1. DETERMINING APPROPRIATE TYPES OF FOOD AND NON-FOOD STRATEGIES

When it comes to selecting interventions, the following questions will help to determine the most appropriate recommendations for follow up to the food security assessment (TANGO 2002).

Following questions should be asked to determine most appropriate interventions.

A. *Has the assessment identified priority interventions across sectors that can be considered the greatest leverage points for improving the food and livelihood security of the local populations?*

Do these vary by region or vulnerable group? Does OICI has a comparative advantage in these intervention areas or should collaborative links be established with other partners that do specialize in these interventions?

B. *How do the recommendations fit in with existing OICI programs?*

Will adjustments have to be made in ongoing programs (e.g. targeting, cross-project coordination etc.), or do new initiatives have to be pursued? If new initiatives are recommended, does OICI presently have the skilled staff to take on such initiatives? If not, where will the staff and resources come from? Is there a development niche that is

not presently being filled for which OICI can obtain donor funding? Does this activity fit in with OICI's strategic plan for the country? Does it fit in with the Government's overall development strategy? How does it fit in with donors' strategies? If the proposed initiatives do not fit Government or Major donor strategies, what approaches will be developed to bring these entities on board?

C. *When considering a recommended food aid action, have the disincentive effects or changes on local production, marketing, and consumption been taken into account in the recommendation?*

Has consideration been given to ration size and quality, as well as timing? In addition, how is targeting information being used in the selection of project interventions and determination of wage rates? What is the Government's role in the intervention? Has a plan been considered on how to phase out of the food distribution activity? How will project benefits be sustained?

D. *Have partners been identified to implement the project activities?*

How were these partners selected? What additional institutional capacity building is necessary to improve partner performance? What are the constraints to successful partnerships?

E. *What is the influence of Government and donor macro policy on the success of the interventions proposed?*

F. *What are the steps that need to be taken into account to set up monitoring and evaluation systems for proposed project activities?*

What resources and technical assistance are needed for establishing baselines and M and E systems? How will unintended consequences be monitored?

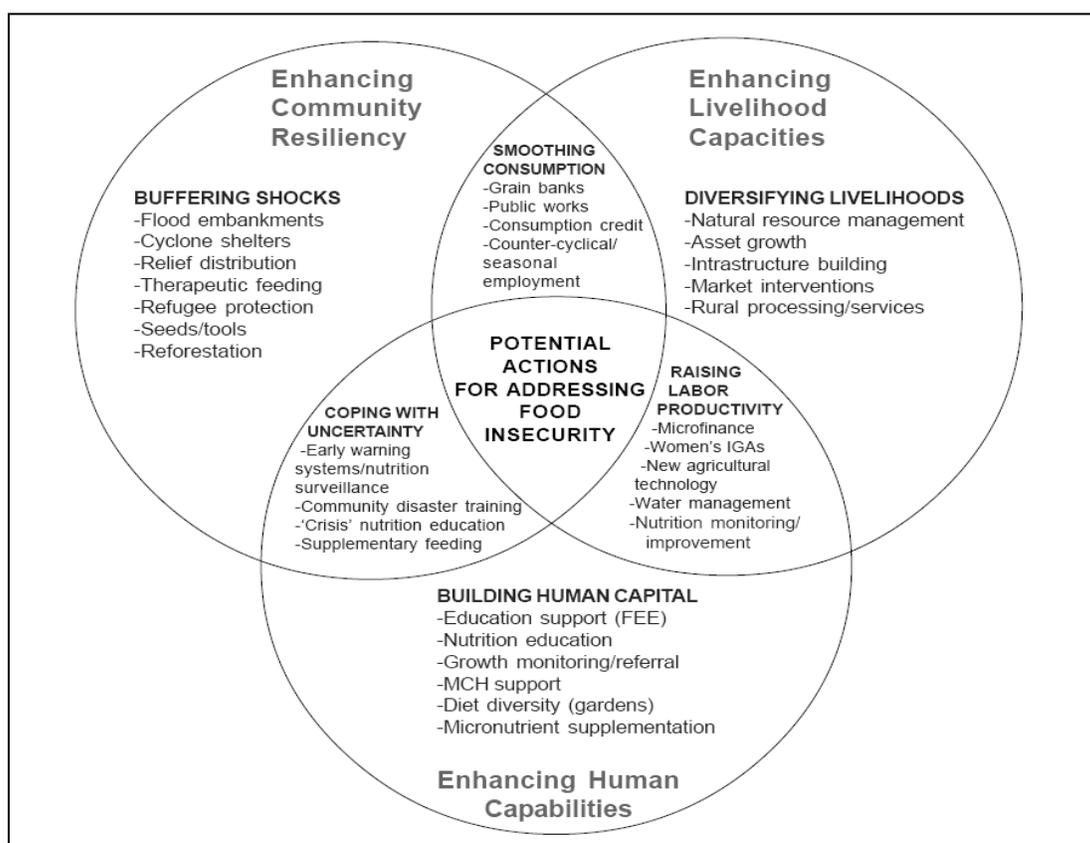
Each of these questions raises a variety of complex issues regarding program selection and implementation. Although they are not likely to be answered completely prior to implementation, program effectiveness and sustainability will both be enhanced by emphasizing these questions from the outset of the program selection process.

Figure 17 presents a framework for addressing three main operational goals in a strategy to eradicate food insecurity:

1. Enhancing people's resiliency to shocks (protecting lives);
2. Building people's capacity to grow out of insecurity by securing a more durable and diverse livelihood base (assets, resources and infrastructure);
3. Enhancing the capability of individuals to make better use of available and potential resources by increasing their human capital.

While short-term gains derived through relief aid, consumption smoothing or training are important for each potential intervention, it is important that they are seen in the context of longer-term household resiliency to shocks, productive capacity and human capability. Consistent with the development relief approach, the immediate welfare benefits of food-aid supported activities in each sphere also represent opportunities for reducing long-term vulnerability to food and livelihood insecurity (Webb and Rogers 2003).

Figure 17: Framework of Potential Actions for Addressing Food Insecurity



Source: Webb and Rogers 2003

6.1.1. Protecting and Enhancing Human Capabilities

Food can be used in a variety of ways and settings to protect and enhance human capabilities from saving lives in the aftermath of a natural disaster, to helping reduce chronic undernutrition among young children, improving women’s nutrition, helping prevent and treat HIV/AIDS and improving education levels. These types of activities help vulnerable populations cope with uncertainty through development of early warning systems or provision of nutrition education. Potential activities might also be designed to build human capital, such as food-for-education activities, growth monitoring and referral, enhancing dietary diversity through home gardens, or micronutrient supplementation. In all cases food may be an important contribution, but cannot alone insure success. To ensure effectiveness and sustainability, it is important that these types of programs are coupled with education, training and/or counseling to support long-term behavior change.

6.1.2. Protecting and Enhancing Livelihood Capacities

Food also can be used in a variety of ways and settings to protect and enhance livelihood capacities. This includes providing direct food transfers to households in the aftermath of a shock as a bridging mechanism until their new or reestablished livelihoods become productive (e.g., food for farming) or through a variety of public works programs, including for building or repairing roads, water reservoirs, irrigation systems and soil conservation structures.

Public works programs are particularly attractive ways to use food because they can be designed to have multiple effects. The income transfer from the food provides a safety net for vulnerable households, while the infrastructure creates assets that can help households increase their productivity and incomes and/or reduce their vulnerability to risk during the agriculture production cycle, for example. Other activities to help individuals and households manage risk may include providing technical assistance and training on soil and water conservation techniques, agricultural technologies that reduce risk (e.g., drought-resistant crops, low-external input agriculture, labor saving technologies for HIV/AIDS affected households) and improved post-harvest handling to reduce post harvest losses. Crop and income diversification activities are also important as supporting more diversified livelihoods is an important risk reducing as well as income enhancing strategy. This latter focus will necessitate paying more attention to markets and market demand and working more closely with the private sector, to take advantage of market strengthening activities wherever possible.

Food can be provided as an incentive and to offset the opportunity costs for participating in these public works programs, training and technical assistance activities. However, food is not the only resource necessary to complete public works or ensure long-term maintenance. Food aid may not be necessary to insure participation in training programs, particularly if the programs are well designed to use existing resources or so that people can see their economic benefits. There is also the danger that food could distort behaviors, encouraging farmers to adopt new farming practices that are not profitable or sustainable and/or attracting participants away from other agricultural development programs that do not have a subsidy component.

6.1.3. Enhancing Community Resiliency

Building resiliency requires specific risk reduction activities where they are most needed. Reducing vulnerability rests on helping communities better predict and manage risk. There are three main dimensions of enhancing community resiliency:

1. Emergency relief and reconstruction;
2. Consumption smoothing; and
3. Helping communities cope with uncertainty (Webb and Rogers 2003).

Building cyclone shelters, flood embankments, gully plugs and other soil and water conservation structures, for example, can buffer shocks and help communities reduce damage due to tropical storms and floods. Repairing and building roads can help connect communities to markets, expanding economic opportunities and increasing the competitiveness of local markets. Smoothing consumption through public works, grain banks or consumption credit is also critical, particularly in times of crisis to protect the asset base of the transitory vulnerable and prevent a spiral downward to chronic food insecurity and poverty. Technical assistance and training is essential to help communities prepare for and mitigate uncertainty through early warning and food security information systems, as well as disaster preparedness and mitigation plans and the capacity to implement them.

6.1.4. Choosing the No-Response Option

In many complex situations characterized by wide-spread vulnerability, proposed food and non-food responses may actually jeopardize the well being of the target population. In such

situations, it is important to undertake a ‘*do no harm*’² analysis to determine the appropriateness of a food aid response. Aid can have important impacts on inter-group dynamics and conflict. Do no harm analysis helps to understand the complexity of conflict environments by:

- Mapping the interactions of aid and conflict;
- Analyzing dividers and sources of tension;
- Analyzing local capacities for peace/ connectors; and
- Analyzing potential intervention impacts on sources of tension and connectors.

6.2. TARGETING VULNERABLE GROUPS

Interventions should be targeted to the most vulnerable communities and households within those communities. In order to do so, it is essential to identify targeting criteria that are consistent with assessment findings regarding risk and vulnerability. These criteria should take into account the target population’s vulnerability to food insecurity with respect to the three basic food security outcomes of availability, access, and utilization. Ultimately, groups targeted for assistance should include those who are at risk of food insecurity because of their physiological status, socioeconomic status or physical security, as well as people whose ability to cope has been temporarily overcome by a shock (TANGO 2004a).

Furthermore, development relief programming requires targeting approaches that are flexible, both initially and throughout the course of interventions. In general, targeting involves **three main steps**:

Step 1: Defining the target group

Identifying the criteria on which specific regions, populations or livelihood groups, and households or individuals (i.e., levels) are given priority for the receipt of food or non-food assistance.

Step 2: Identifying the targeting mechanism

Developing tools or mechanisms to ensure that only those who meet the criteria actually receive the benefits.

Step 3: Allocating resources and monitoring distribution

Determining the quantity of goods and services to be provided to those who are targeted as beneficiaries and ensuring that the allocation reaches those beneficiaries.

Targeting is inextricably linked to the assessment process. Successfully carrying out the targeting steps outlined above depends on accurate information. Targeting based on assumptions of need and levels of risk among particular groups may result in artificial targeting criteria and an inappropriate response.

² For more information on Do No Harm analysis, see Anderson (1999) Do no harm: How aid can support peace or war and (2000) Options for Aid in Conflict.

6.2.1. Determining the Targeting Level and Defining the Target Group

Depending on the context and intervention objectives, targeting occurs at multiple levels including:

➤ **Geographic targeting**

Select areas or locations, ranging from countries or regions, to villages and neighborhoods (e.g., agro-ecology, food economy zone, disaster areas, administrative zones);

➤ **Group targeting**

Population groups may be defined by livelihoods (e.g., smallholder farmers in food insecure area), or groups that have lost normal access to food or livelihoods (e.g., IDPs or refugees);

➤ **Household targeting**

Within geographic areas and population groups, some families will be targeted, excluding others. Examples of target groups include the poorest or most food-insecure households;

➤ **Intra-household or individual targeting**

Selection of individual beneficiaries within households. Examples include children, women, livelihood activity, or those with the willingness to participate.

Geographic targeting should be combined with other levels of targeting to enhance the impact and cost-effectiveness of the intervention. In many contexts, targeting based on geographic level alone misses a large percentage of vulnerable people. Multi-stage targeting approaches combine geographic targeting with other targeting levels (e.g., group or livelihood system) and vulnerability criteria to capture the degree of variation in income and assets across households within regions.

Choosing Eligibility Criteria

One useful way to approach defining target groups and identifying criteria is through alternative types of vulnerability criteria. Figure 18 categorizes vulnerability into four types: physiological, economic, social and political. These different analyses suggest different descriptions of beneficiaries and possible criteria.

Figure 18: Target Groups and Criteria for Different Types of Vulnerability

Type of vulnerability	Relevant target groups	Possible criteria
PHYSIOLOGICAL vulnerability	<ul style="list-style-type: none"> ▪ age groups vulnerable to malnutrition (children and the elderly) ▪ pregnant and lactating women ▪ sick and convalescent individuals 	<ul style="list-style-type: none"> ▪ nutritional status (food utilization) ▪ anthropometric data ▪ health status ▪ observable characteristics (e.g., age, gender)
ECONOMIC vulnerability	<ul style="list-style-type: none"> ▪ poor areas / groups / households / individuals ▪ groups facing livelihood threat or loss ▪ people suffering food insecurity due to inadequate incomes, 	<ul style="list-style-type: none"> ▪ income ▪ assets ▪ livelihood characteristics ▪ dependency ratio / household size ▪ coping strategies ▪ production (food availability)

	livelihoods, market access or entitlements	<ul style="list-style-type: none"> ▪ market conditions (food access)
SOCIAL vulnerability	<ul style="list-style-type: none"> ▪ unsupported old people, widows, orphans, and people with disabilities ▪ socially excluded individuals or households (including PLWHA and HIV/AIDS survivors) ▪ female-headed households (<i>in some context</i>) 	<ul style="list-style-type: none"> ▪ observable characteristics (e.g., age, gender, disability, physical exclusion from community) ▪ community ranking or categorization
POLITICAL vulnerability	<ul style="list-style-type: none"> ▪ refugees, IDPs or communities exposed to violence or conflict ▪ groups or households exposed to discrimination (e.g. exclusion from relief distributions or government services) 	<ul style="list-style-type: none"> ▪ ethnic, religious or caste affiliation (<i>in many cases, it may be unacceptable or dangerous to apply this criteria</i>) ▪ self-registration as refugees or displaced ▪ place of origin

In Sharp 2001, p. 13, adapted from Jaspars and Young 1995.

6.2.2. Identifying Targeting Mechanism

There are four basic types of targeting mechanisms:

➤ **Market-based**

Market interventions influence supply or demand of food or commodities sold by the target group in exchange for food (e.g., releasing strategic grain stocks to increase supply and lower or stabilize prices);

➤ **Recipient self-targeting**

Beneficiaries choose whether or not to participate, depending on costs and benefits;

➤ **Administrative targeting**

Beneficiaries selected by *outsiders* using pre-defined criteria or indicators that are objective, measurable and standardized (applied at any targeting level); and

➤ **Community-based targeting**

Beneficiaries selected by *insiders* – by community members themselves. Relies on participatory methods such as wealth-ranking, with variable input from government or project staff.

6.2.3. Allocating Resources and Monitoring Distribution

The third main step in targeting in emergencies is the allocation of limited quantity of goods and services to achieve a desired impact on beneficiaries. In this way, targeting is closely linked to a number of processes including:

1. Standard thresholds for food assistance response
2. The estimation of beneficiary numbers
3. Determination of ration size
4. The type of intervention selected

Considerations for chronic and transitory vulnerability

In settings characterized by recurrent shocks, previously identified food insecure households are often targeted first for food assistance programming. These households may be chronically food insecure (e.g., landless, chronically ill, headed by disabled people, widows, or elderly). In contrast, the transitory food insecure may be given a lower priority in targeting and food assistance. As a result, these households may be forced to dispose of many of their productive assets to cope with a crisis, thereby increasing their vulnerability through time. Targeting households faced with transitory food insecurity can prevent these households from becoming chronically food insecure.

Inappropriate targeting of chronically and transitory food insecure populations can lead to exclusion and inclusion errors. Exclusion errors may result in the omission of target-group members from a program. Inclusion of non-target members may lead to the reduction in food aid allocation per beneficiary. In practice, there are trade-offs between two types of errors, depending on program objectives, priorities and resources.

Considerations for gender, HIV/AIDS, and conflict

HIV/AIDS

Targeting in the context of HIV/AIDS faces similar challenges to general targeting. In any case, it is unlikely that resources will be sufficient for meeting the needs of all who are vulnerable, leading to a certain degree of inclusion and exclusion error. Nevertheless, the presence of HIV/AIDS compounds these difficulties. First, many PLWHA (People Living with HIV/AIDS) are unaware of the status which makes direct targeting an impossibility. Secondly, fear of stigmatization often precludes infected individuals and affected households from participating in HIV/AIDS targeted assistance programs.

Although continual increases in prevalence rates have generally reduced social stigmatization of HIV/AIDS affected households, it remains one of the primary challenges in targeting. In response to this challenge, several development agencies recommend using community-based targeting systems to reduce stigma. Community-based targeting draws upon tools such as participatory social mapping of vulnerable households which helps to stimulate discussions about chronic illness, the situation for orphans and other vulnerable groups, the availability of community services, and related community development projects. It has been suggested that these types of discussions, in addition to other sensitization efforts such as meetings with local leaders, youth groups, women's groups and community groups, contributes to stigma reduction within a given community (TANGO 2005a).

Another potential targeting response to social stigmatization of HIV/AIDS affected households and individuals is the use of proxy indicators. Common proxy indicators of vulnerability to food security as a result of HIV/AIDS include rates of chronic illness, number of orphans, and household dependency ratios. There are however, valid criticisms against the use of proxy indicators for targeting food aid in the context of HIV/AIDS. They are based on the observation that proxy indicators may not be directly associated with HIV/AIDS prevalence and may not directly influence the level of household food security (Fisher and Munk 2005).

Targeting food in the context of HIV/AIDS is also made more difficult by the presence of highly mobile populations. The nature of livelihoods pursued by mobile groups often places them at higher risk of HIV infection and presents significant challenges to interventions such as HIV/AIDS education, health services and treatment for sexually-transmitted diseases (STIs),

and condom distribution. Similarly, the urban-rural connections maintained by migrant populations often makes them difficult to identify and include in geographically-targeted food distribution programs (FAO 2003, CARE 2003b).

Finally, households affected by HIV/AIDS are likely to undergo changes in composition whether due to a loss of a head of household or the addition of AIDS orphans. This dynamic requires regular monitoring as more and more household configurations shift and additional households qualify for food aid or other services (TANGO 2003). Similarly, food insecurity, HIV/AIDS prevalence, and health data require continual monitoring and surveillance as they are subject to both seasonal shifts and sudden drops or increases.

GENDER

Gender roles and relations differ from place to place and should always be assessed in context. Women may also comprise a nutritionally vulnerable demographic group themselves, especially when pregnant or breastfeeding. In many societies, women are also socially and economically vulnerable, particularly in the role of head of household.

However, there can be both positive and negative impacts of targeting women. The gender analysis conducted during the analysis of needs assessment findings should help to investigate the potential for differential gender impact (both positive and negative) for a range of proposed intervention options, and provide relevant information to guide the decision about targeting both gender or only women. Figure 19 provides examples of women's roles that should be carefully considered when targeting assistance to the household and intra-household levels.

Figure 19: Gender Considerations in Targeting

Household food managers: Experience from multiple countries shows that food delivered to women rather than men is less likely to be sold, and more likely to be given to children. Furthermore, cash provided to women is more likely to be spent for nutrition, health and other basic needs of family members;

Mothers and caretakers: Women are generally the main point of access to children, the elderly, and ill -- among the most nutritionally vulnerable demographic groups;

Decision-makers: Women are often excluded from community representation in the management and distribution of food aid or other forms of assistance, unless their participation is actively promoted;

Workers: It is important to consider the additional burdens that can be placed on over-worked women by traveling and waiting in line to collect food aid or other support, or to attend meetings, and by participating in time-consuming projects such as FFW or training;

Informants: In food security need assessments, women's special knowledge of household food supplies and receipts (as well as farming conditions in many societies) should be specifically sought. Otherwise, they can easily be left out of information gathering;

Security issues: It is crucial to take into consideration the safety and security issues related to women as the direct recipients of food aid rations, particularly in conflict settings. There are experiences of women being attacked after food distributions, or used to misappropriate food aid;

Intra-household dynamics: It is important to consider which could be the impact of gender-based targeting in intra-household dynamics. Targeting women might indeed increase tensions and domestic violence within the households.

C

In case of political instability or conflict, program interventions face the difficult task of gathering a dispersed, disunited, and wary populace into a legitimate decision making body. However, attempts to build local capacity to make decisions and advocate for community needs can be threatening to authorities and the elite still responding to a conflict situation. For these reasons, it is important to understand the particular agendas of all stakeholder institutions (USAID 2000, CARE 2003a).

In Sierra Leone, where poverty, inequality, social exclusion and bad governance were among the underlying causes of a decade-long war, the Consortium for Relief and Development (CORAD) Developmental Relief Program (DRP) is supporting the country's recovery from civil war by focusing on restoring livelihoods for rural households in 29 Chiefdoms in five districts which suffered some of the worst effects of the war. The consortium, comprised of CARE, Catholic Relief Services (CRS), World Vision (WV), and Africare has two program objectives – to improve health status and to re-establish livelihood activities associated with agriculture – in order to facilitate a transition to long-term development. The DRP will seek to bring the most vulnerable rural households back to at least the level of livelihood security that existed before the war, while also addressing the need to protect the human capital that is required to rebuild the country. This objective includes maintaining a safety net to respond to ongoing or immediate food needs of the most vulnerable.

6.3. PROGRAM MONITORING AND EVALUATION

Monitoring and evaluation are important for a number of reasons.

- First, within a development relief framework, it is important that program personnel continually track the changing levels of risk, vulnerability and coping strategies in order to effectively manage responses to contextual shifts.
- Second, given the limited resources available for assistance, it is important that implementing organizations accept accountability to donors, policy makers, and other stakeholders in order to build support for future efforts.
- Third, consistent evaluation is critical for demonstrating positive, sustainable outcomes of food and non-food interventions.

Given the importance of each of these functions, it must be noted that monitoring and evaluation should be approached as a continual learning process rather than a single information gathering exercise (Twigg 2004).

6.3.1. Monitoring the Context of Risk and Vulnerability

Tracking risk and vulnerability represents a critical shift in development relief monitoring and evaluation. It involves monitoring contextual trends, risks, shifts in coping capacity and the factors that cause assets and coping capabilities to deteriorate. This includes monitoring trends at three levels.

1. First, programs should monitor shifts in the occurrence of hazards or risks that affect the context such as the health environment, the natural environment, governance and conflict, socio-economic factors, and shifts in the policy and institutional environment at the regional, national and local levels. In sub-Saharan Africa, for example, the general reasons behind increased vulnerability to food insecurity include macro-level forces (e.g., growth failure tied to rising poverty), declines in migration options, market failures in the context of market

liberalization (e.g., worsening terms-of-trade), governance factors, and the HIV/AIDS pandemic (Ellis 2002). Each of these factors influences the ability of people to manage risk and cope with shocks that determine their access to food and are important components of a development relief monitoring system.

2. Second, it is important to track changes at the community level that increase vulnerability. This could include the deterioration of existing social networks, community institutions, informal safety nets, and inter/intra-community dynamics that may exacerbate or result in conflict and/or disenfranchisement of a sector of the community. It is also important to consider changes in livelihood strategies that increase vulnerability, such as an increase in seasonal migration or transactional sex that leads to an increased exposure to HIV/AIDS.
3. Third, programs need to monitor risk and vulnerability at the household level. This includes tracking changes in coping strategies, asset levels, shifts in livelihood strategies at the household level, and deteriorating terms-of-trade. Information such as the exhaustion of food stocks, food rationing within a household, withdrawing children from school or sending them away to live with relatives are important pieces of information that help us to assess the direction in which vulnerability to food insecurity is moving (Ellis 2003).

The indicators used to monitor these contextual changes are referred to as “weathervane” indicators. These indicators help to direct program priorities in dynamic and oftentimes unpredictable operating environments. For example, these indicators help determine the thresholds at which programs need to shift between emergency and non-emergency situations. They also help programs refine and adjust interventions depending on changes in context and the factors that influence vulnerability to food insecurity.

To manage the cost and resources required for continual monitoring of weathervane indicators, programs can implement a series of sentinel sites that track the current status of livelihoods and food insecurity, as well as risk and vulnerability factors at both the household and community levels. This information should be linked to macro-level monitoring/early warning systems.

6.3.2. Identifying Appropriate Indicators of Program Outcomes

To avoid collecting unnecessary information in an effort to analyze all aspects of a particular program, monitoring and evaluation systems need to identify the most useful indicators for risk reduction. Keep in mind that those that are the easiest to collect are not necessarily the most useful (Twigg 2004). Indicators should be selected to fit the program objectives, interventions and operational context – not the other way around. In addition, the choice of indicators depends on the level of the food security intervention. For example, income or consumption indicators would be used to assess the impact of a program that aims to improve access to food. Programs that combine food access interventions with health and nutrition interventions would use nutrition indicators. Other criteria influencing the choice of indicators include (Reily et al. 1999; FANTA 2003):

- Time, resources and capacity required for data collection;
- Timeliness of data collection and analysis (temporal and seasonal factors);
- Usefulness to programmers for tracking risk and vulnerability;
- Comparability across programs.

As stated earlier, food security indicators need to be evaluated for their context-specificity and appropriateness to the program type and interventions. In addition, it is important to identify indicators using a risk and vulnerability lens. For example, evaluations often measure the percentage of loan repayments. From a development relief perspective, however, a better

indicator is savings rates, which provides insight into the future sustainability of a household. If households are repaying loans through asset sales or other loans, they are increasing their vulnerability to future shocks (McCorkle 2004).

While appropriate monitoring of the food and livelihood security context will typically provide an accurate assessment of food availability, Title II program evaluations are often oriented towards the other two levels of food security indicators; those that measure food access (consumption outcomes) and food utilization (nutrition outcomes). These are discussed below.

6.3.2.1 Food Availability

While appropriate monitoring of the food and livelihood security context will typically provide an accurate assessment of food availability, Title II program evaluations are often oriented towards the other two levels of food security indicators; those that measure food access (consumption outcomes) and food utilization (nutrition outcomes). These are discussed below.

6.3.2.2 Food Access Indicators

Food access indicators fall into two major categories. The first category includes indicators relating to household production, income and wealth. These are proxy indicators for access that reflect the means to access food. The second measure is food consumption, reflecting the outcome of improved access.

Core Food Security Consumption (Access) Indicators

- ***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.
- ***Number of daily eating occasions*** serves as a proxy for gauging household caloric and protein intake.
- ***Months of adequate food stocks*** estimates the number of months per year that households are able to adequately meet their food needs and identifies the months of food shortages.

6.3.2.3 Food Access Indicators

Food factors influencing nutritional status include food availability, household access to adequate quantity and nutritional quality of food, appropriate feeding practices (including breastfeeding, complementary feeding and other feeding practices) and intra-household distribution of food. Health factors that affect the nutritional status of mothers and children include health status (i.e., prevalence and severity of illness); immunization; personal and domestic hygiene; and availability, access to and quality of health services (Bonnard et al. 2002, WFP 2002b).

Core Food Security Utilization (Nutrition) Indicators

Weight-for-height/ length reflects recent weight loss or gain and is used as an indicator of wasting (acute malnutrition). This indicator is most commonly used in emergency settings.

Height-for-age reflects skeletal growth and is the best indicator of stunting (chronic malnutrition).

Weight-for-age is a composite index that reflects a combination of both wasting and stunting that is used as a measure of underweight. This indicator is commonly used to monitor the weight gain of children in Mother and Child Health (MCH) programs.

6.3.3.0 Monitoring and Evaluation Considerations for the Design of Development Relief Programs

There are a number of critical considerations that need to be considered in the design and implementation of monitoring and evaluation systems in development relief programming. These are reviewed below.

6.3.3.1 Seasonality

As discussed above, development relief programming is highly contextualized. This requires an understanding of temporal as well as spatial factors specific to the target area. For example, in settings characterized by continuous rainfall variability, measuring production levels at a given point in time is not as useful as the inter-annual stability of production which assesses the resiliency of the system (McCorkle 2004). Accurate seasonal knowledge about how key indicators vary across an annual basis is a critical gap in current systems, as a result of the time and cost requirements of ongoing monitoring (Ellis 2003). Sentinel sites could be a useful mechanism to fill this gap.

6.3.3.2 Scale and cross-program comparability

As development relief programs scale up to achieve impact, the development of monitoring and evaluation systems that are able to measure outcomes from across a range of operating environments becomes a key issue, particularly for regional programs. Livelihood systems, coping strategies and factors influencing vulnerability to food insecurity vary widely even within relatively small geographic areas. To manage this challenge, programs should first choose the appropriate effect level indicators for the context and intervention type. Programs with the same objectives, as determined by the problem analysis, can identify a set of core food insecurity and nutrition indicators to measure and compare across program areas.

6.3.3.3 Flexibility

In development relief programming, the flexibility of indicators, targets and systems cannot be overemphasized. Indicators and targets will shift depending on the type of emergency and the state of food and livelihood security in a target area, as well as the type of programming. When program priorities shift as a result of a sudden shock, for example, a simultaneous shift in the types of primary indicators will be required.

6.3.3.4 Relevance for programmers

Balancing the information needs of programmers with the time and level of effort required to collect and analyze quality data is a common challenge. Particularly in development relief programs, it is essential to have continuous and timely feedback to adjust targets and program interventions. To address this problem, programs can identify critical monitoring information required on a regular basis, and core food security and nutrition impact indicators that would be measured less frequently. Programmers and researchers (e.g., M&E specialists) should work together to identify indicators and determine the appropriate periodicity during the initial design stages to negotiate acceptable (and flexible) trade-offs for information requirements.

6.3.3.5 Participatory monitoring and evaluation

With the emphasis of long-term impact, sustainability and local capacity building, it follows that communities should be involved to the greatest extent possible in determining appropriate indicators and targeting criteria, and collecting and interpreting data. Examples of common risk indicators identified by beneficiaries and local communities include (Twigg 2004):

- Sales of animals and other assets;
- Changes in market prices;
- Seasonal migration;
- School attendance;
- Crop yields; and
- Failure to carry out funeral ceremonies.

Sharing and reviewing monitoring feedback with community organizers, health volunteers and local implementing partners enables cooperating sponsors to better work with communities to enhance capacity, improve programs, and set priorities collaboratively. This requires a strategic investment in community-based partners to foster local capacity and ensure collection of quality data.

6.3.3.6 Measuring capacity, preparedness and risk mitigation

Integrating capacity building and risk reduction and mitigation strategies into programs requires a reorientation of monitoring and evaluation systems. Twigg (2004) notes, for example, that structural mitigation measures are easier to measure than non-physical interventions involving changes in attitudes about risk and capacity to cope when confronted with a disaster.

Monitoring and evaluation systems are designed to measure change. In risk reduction programming, “the success of an initiative is that something – the disaster – does *not* happen” (Twigg 2004:353). FFP is committed to working with its partners to fill gaps in appropriate Title II indicators for these types of interventions.

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Annex - 1

Food Security and Vulnerability Assessment Qualitative Topical Outline for OICI 2006

I. Contextual Information

Access to Infrastructure (Transects, community maps and group interviews)

- Condition of existing infrastructure? (roads, schools, drinking water, transport, irrigation, communication, sanitation)
- Who benefits from this infrastructure?
- Do people pay fees or taxes to use this infrastructure?
- Distance to the administrative capital and time required to travel.

Historical Information (focus group)

- What shocks (environmental, economic, social, political) have affected the community during last ten years?
- Have there been any changes in women's status or decision-making power over the last 10 years? What are these changes?

Social Information (Venn Diagrams, Wealth Ranking and focus groups)

- What is the level of participation of women and of poorer households in social gatherings, community meetings and in development activities?
- Describe cultural/social trends (marriage, land renting, etc.).
- Do women have ownership or usufruct (right of using and enjoying all the advantages and profits of the property of another without altering or damaging the substance) rights?
- What are the inheritance practices relating to men and women? Do boys and girls get equal treatment under the same cultural environment.
- Who are the most vulnerable groups in the community? Who are the most vulnerable individuals?
- Do women have control over the income they earn?
- Inequalities in work load, wage rate, access to economic resources, between women and men.
- Are there socio-cultural practices that work against women, children, minorities and the underprivileged?
- What are the different types of the organizations that work in the community? What are their activities? Who benefits? Describe any impact from these activities.
- What are the community-based groups currently operating? What are their activities? Who benefits? Describe any impact from these activities.

Economic Information (focus group)

- What are the major occupations or livelihoods in the area currently? What were the major occupations/livelihoods 10 years ago?
- Describe differences in wages and labour by gender.
- With the same amount of money are people able to buy more goods and services now compared to last year?
- What are the types of livestock owned by different groups within the community?

- Has there been a significant loss of livestock over the last 10 years? What was the cause? Have the stocks recovered?
- Are there are current threats to livestock? What is being done to protect livestock against these threats?
- Describe the fisheries resources in the area?
- Describe the migration trends over the last 10 years.
- What are the major agricultural crops produced locally?
- Are there local market facilities? If not, where do people sell/buy their products?
- What types of financial institutions exist to support the economic activities of people?
- Access to loan, sources, costs, and terms.
- In the past 10 years, have there been any economic changes or shocks that have affected your employment opportunities? If so, what were these changes and how did it affect your income earning opportunities?

II. Access to Resources

Natural Resource Information (Transects, maps and focus groups)

- Where do you get the drinking water? Are they are protected from pollution? Who is responsible for getting it? What is the time required?
- What water-borne diseases are prevalent in the community? (Guinea worm, Diarrhea, etc.)
- Land type, soil fertility, hazards (flooding, drought, etc.)
- Patterns in access to land, water resources, pastures, and other community resources.
- Land tenure system.
- Trends in land availability.
- Constraints and opportunities for getting access to natural resources
- What changes have occurred in the household access to agriculture land and agriculture wages opportunities during the last ten years?

III. Access to Institutional Structures and Organizations

Relationship with Local Government, Community Based Organizations (focus groups)

- Do you or your family participate in any food assistance programs? If so please describe these?
- Is it adequate?
- What is needed? Or not being provided?
- Any ideas about why services are not being delivered?

IV. Livelihood Strategies

Livelihood Strategies (focus groups, seasonal calendar)

- What are the main sources of income and work available for each livelihood group?
- What opportunities exist in the community for livelihoods?
- What are the major risks associated to the different livelihood strategies perused by different occupation groups.
- What is the seasonality of work/income generating activities?

- What are the gender differences in access to work, types of work, and income generating activities?
- Do people migrate for work? If so what do they do and where do they go? Which household members migrate? How long are they gone? How important are remittances to household income?
- Are the current patterns of migration normal for this time of year?
- What are the major risks to the livelihood in the community, and how will these risks be managed?

Coping Strategies (focus groups, seasonal calendar)

- How do people cope when their income or agricultural production is not enough?
- Which months are the leanest times in terms of food and income?
- What happens to consumption patterns during the lean season? (Adjustment of meals, types of food eaten, etc.)
- What are substitute foods when food is in short supply?
- When food is in short supply, do some family members receive preference in food access? Who and why?

V. Well Being or Livelihood Outcome Information

Food Security Situation (focus groups, seasonal calendar)

- How do you manage getting access to food in times of scarcity?
- How many months can you meet your own consumption from your own production or from your own cash?
- What do you think the food security situation will be in the next 6 months? Is this normal for your community?
- What are the priorities for your community to improve food security?

Human Capital - Education (focus groups, some household case studies)

- What types of schools does the community have access to? (both public and private)
- What is the highest education level attainable in the schools?
- Tell us about the quality of education.
- Is there any informal education?
- What sorts of skills are found in the community? Where do people go to get these skills?
- Describe local levels of literacy, dropout rates –noting gender differences
- Are there certain times of the year when dropout rates are more likely? When are they? Who is most likely to drop out and why?

Human Capital - Health (focus groups, seasonal calendar, some household case studies)

- Describe the types of diseases experienced by the community over the last one year. Is this normal for your community?
- Describe the seasonal variations in disease and illness.
- Does the community have access to a health clinic? What types of health facilities are available locally? Who has access to these services? What are the costs to seeking care (time included)?
- Where do you go when you are sick?
- What could be done to improve the health situation in your community?

- What sanitation facilities most of the people have access to (toilet, hand washing, garbage disposal)?

Human Capital – Social (focus groups)

- Do people get social support when they run out of food or income? If so, from whom and in what form?
- Do some groups have more social support than others?
- Has the level of social support changed over the last 10 years?

Shelter (focus groups)

- What is the quality of the housing in the community? Does this vary by social group? (floor, walls, roof)
- What are the sanitary conditions of the houses?

Environment (focus groups, seasonal calendar)

- What is the status of water access for household consumption (quality, distance)? What are the seasonal variations?
- What is the status of water access for consumption by livestock (quality, distance)? What are the seasonal variations?
- Have the community sanitary conditions gotten better or worse in the past 10 years? Why?
- Describe the rainfall pattern over the last year. Is this different from that of the previous 10 years?
- Where do most people dispose human waste? How do people dispose of waste water and other solid wastes?

VI. Risks and Vulnerability

Hazards (Open-ended questions: focus group, key informant interviews, visual inspection)

- Can you provide a list of factors that increases your vulnerability?
- How frequent your community expose to those shocks and how severe they are? How long do they last?
- What types of occupational groups or social groups are likely to be affected most for each of these shocks?
- What types of Early Warning Systems does the community have to mitigate the effects of these disasters/catastrophes?

HIV/AIDS (Open-ended questions: focus group, key informant interviews)

- What do people know about HIV/AIDS and STIs?
- Do you know anyone with these diseases or anyone who has died from these diseases?
- How people in this community get information about HIV/AIDS and STIs?
- What do most people think the modes of transmission are?
- Is HIV/AIDS curable?
- What do people think about the causes of these diseases?

- How do community members behave towards people known to be infected and affected?

Conflict (Open-ended questions: focus group, key informant interviews)

- Is there a history of conflict in this community? (intra and extra community)
- What are the types of conflicts? (Chieftaincy, religious, ethnic and cross-ethnic, generational)
- How the current conflict situation is different compared to past.
- Are there tradition systems for conflict resolution? What institutions are involved in conflict resolution?

OICI Community Interview

(one interview per community)

(Questions related to IDPs are relevant if IDPs are living in the community. If not, then do not ask those questions)

Date mm / __ / __ / dd / __ / __ / 2006

District _____ Dcode |__|

Perfecture _____ Pcode |__|

Village _____ Vcode |__|__|

Section 1: Demographic and Community Information

Current Population (Approximate %)

1.0a - Population of **Residents** |__|__|__|__|__|

1.0b - Number **Resident** households |__|__|__|__|

1.0c - Percent Female headed households (**Residents**) |__|__| %

1.0d - Population of **IDPs/Refugees** |__|__|__|__|__|

1.0e - Number **IDPs/Refugees** households |__|__|__|__|

1.0f - Percent Female headed households (**IDPs/Refugees**) |__|__| %

1.1a - What are the main tribes of **Residents** living in this community?

(i) _____ |__|__| (ii) _____ |__|__|
(iii) _____ |__|__| (iv) _____ |__|__|

1.1b - What are the main tribes/nationalities of **IDPs/Refugees** living in this community?

(i) _____ |__|__| (ii) _____ |__|__|
(iii) _____ |__|__| (iv) _____ |__|__|

1.2 - In the past 2 years, have more people moved to your community, or have there been more people that moved away?

More arrivals.....1
More departures.....2
About the same of both.....3
Neither arrivals nor departures.....4

1.3 - For about how many years has this community existed?

YEARS: |__|__|__|

1.4 Does your community have a mosque?

1 = Yes
2 = No (if no, skip to ???)

1.5 What is the condition of the mosque?

1 = Poor
2 = Good
3 = Excellent

1.6 Is the practice of Zakat prevalent in your community? (This is relevant if it is a Muslim community)

- 1 = Yes (if Yes, skip to ??)
- 2 = No

1.7 If not, why not?

Basic Community Information

1.8 Which of the following social groups or organizations are present in your community? (circle all that apply)

- Credit groups.....1
- Savings and Loan groups.....2
- Farmers Associations.....3
- School-related groups.....4
- Mosque committee.....5
- Community-based organizations.....6
- Health Groups.....7
- Other (list).....8

1.9 What types of development activities are currently taking place or have taken place in the last 6 months in your community? (circle all that apply)

- NGO activities.....1 Please describe_____
- Government activities.....2 Please describe_____
- Other activities.....3 Please describe_____

1.10a How have the following events affected your community in the last year?

1.10b How are the following events likely to affect your community in the current year?

- A = Not at all
- B = Minorly Affected
- C = Moderately Affected
- D = Severely Affected

Shocks	1.10a Last year	1.10b This year
Insecurity affecting the community/conflict		
IDP Influx		
Returnee Influx		
Major Pest Infestation / locusts		
Drought and Major Dry Spells		
Floods or Excess Rain		
Wind Damage		
Poor Production		
Human Disease Epidemic		
Livestock Disease Epidemic or Loss		
Shortage of food		
Hampered Physical Access to Roads or Transportation		
Increased Prices for Food and other Necessities		
Other __ (specify) _____		

Section 2 – Economy and Infrastructure

Using the following codes, please answer the following questions

1 = Cereals/staple crop farming	2 = Cash crop farming (tobacco, vegetables, etc)	3 = Sale of livestock and livestock products
4 = Trading /Small Business	5 = Non-ag. Wage Labour	6 = Agricultural labour
7 = Skilled Labor	8 = Remittances	9 = Handicrafts

10 = Blacksmiths	11 = Leatherwork/Tannery	12 = Sale of Fish
13 = Other (Specify)	14 = Other (Specify)	

2.0a – *In order of importance* what are **currently** the major income sources of the **Residents** of this community?

1st 2nd 3rd 4th

2.0b – *In order of importance* what are **currently** the major income sources of the **IDPs/Refugees** of this community?

1st 2nd 3rd 4th

2.1a - Do you think life for the people of this community is better or worse than it was two years ago? (Circle answer)

1 = Better 2 = Worse 3 = No change

2.1b Why? WRITE THE THREE MAJOR RESPONSES

- (a) _____
- (b) _____
- (c) _____

2.2a - Is the road that comes to (or passes by) this community impassable by trader's truck during certain times of the year?

YES.....1 NO.....2 (skip to 2.3a)

2.2b – During which month does the road become impassable? For how many months is the road impassable?

MONTH ? **NUMBER OF MONTHS:**

2.3a - Is there a permanent (daily) market in this community? (circle)

YES.....1 NO.....2

2.3b - Is there a rotating market in this community? (circle)

YES.....1 NO.....2

2.4a - During certain times of the year, do **Residents/IDPs/Refugees** in this community temporarily leave to look for work elsewhere?

1 = Yes 2 = Never (skip to 3.0a) 3 = Currently Not

2.4b - Where do most of them go? (circle all that apply)

1 = Community in this state 2 = Community in other prefecture
3 = Community outside prefecture 4 = Other country

2.4c - What type of work do they look for during these times of the year?

- Agricultural wage labour.....1 Non-agricultural wage labour.....2
- Employment/Salary.....3 Livestock herder.....4
- Trading.....5 Other (specify).....6

2.4d – Each year, how long do they work away from the community before returning?

|__|__| weeks/months (circle one)

What ages are most of the people who find seasonal work outside the community? List ages for both males and females below. Enter N/A if either group does not travel for seasonal work.

2.4e Males

2.4f Females

Section 3 – Land Use & Food Production

3.0a What proportion of **Resident** households in this community is cultivating land for agricultural production?

- 1. Almost all
- 2. Half of households
- 3. Less than half of households
- 4. Very few
- 5. None

3.0b - For those **Residents** not cultivating, what are the reasons for not cultivating? (Circle all that apply)

- 1 = No access to land
- 2 = Lack of labour
- 3 = No seeds and tools
- 4 = Rely on other income sources
- 5 = Insecurity
- 6 = Poor rains
- 7 = Distance to farms
- 8 = Others (specify) _____

3.0c - For **Resident** households cultivating, how do most access the land?

- 1. Sheikh allocation
- 2. Inherited
- 3. Squat by permission
- 4. Sharecropping
- 5. Rent
- 6. Other (specify) _____

3.0d – What are the tenure arrangements used by **Residents** in this community? (Percentages)

d1 Owner |__|__| % **d2** Labourer working for landowner |__|__| %

d3 Borrowing/ Renting/ Sharecropping |__|__| %

3.0e – Compared to last year, how is the total area planted by **Residents** this year different?

1 = Increased 2 = Decreased 3 = Remained the same

3.1a What proportion of **IDP/Refugee** households in this community is cultivating land for agricultural production?

- 1 = Almost all
- 2 = Half of households
- 3 = Less than half of households
- 4 = Very few
- 5 = None

3.1b - For those **Refugees/IDPs** not, what are the reasons for not cultivating? (Circle all that apply)

- 1 = No access to land
- 2 = Lack of labour
- 3 = No seeds and tools
- 4 = Rely on other income sources
- 5 = Insecurity
- 6 = Poor rains
- 7 = Distance to farms
- 8 = Others (specify) _____

3.1c For **Refugee/IDP** households cultivating, how do most access the land?

- 1. Sheikh allocation
- 2. Inherited
- 3. Squat by permission
- 4. Sharecropping

- 5. Rent
- 6. Other (specify) _____

3.1d – What are the tenure arrangements used by **Refugees/IDPs** in this community? (Percentages based on proportional piling)

d1 Owner |__|__| % **d2** Labourer working for landowner |__|__| %
d3 Borrowing/ Renting/ Sharecropping |__|__| %

3.1e – Compared to last year, how is the total area planted by **Refugees/IDPs** this year different?

- 1 = Increased
 - 2 = Decreased
 - 3 = Remained the same
 - 4 = Did not plant
-

What is the date of first planting? (Convert from local calendar)

3.2a - Normal year: |__| *week* |__|__| *month*

3.2b - This year: |__| *week* |__|__| *month*

3.3 – What types of soil are found in agricultural areas surrounding this community? (Percentage based on proportional piling)

Sandy |__|__|% *Clay* |__|__|% *Wadi* |__|__|%

3.4a – **Currently**, what are the main constraints to good agricultural production for people in this community?

- (1) _____ |__|__|
- (2) _____ |__|__|
- (3) _____ |__|__|

3.4b - What are the suggestions to solving these problems for agricultural production for people in this community?

- (1) _____ |__|__|
- (2) _____ |__|__|
- (3) _____ |__|__|

3.5 Currently, what proportion of households in this community has a *jubrakā*?

- 1 = Almost all
 - 2 = Half of households
 - 3 = Less than half of households
 - 4 = Very few
 - 5 = None
-

Section 4 -Livestock and pasture

4.0a – **Today**, what type of livestock are owned by **Residents** in this community? (circle all that apply)

- Cattle.....1
- Sheep.....2
- Poultry.....3
- Goats.....4
- Donkeys.....5
- Horses.....6
- Camels.....7

4.0b – What happened to any livestock lost by **residents** during the last year? (Circle all that apply)

- 1 = Looted 2 = Abandoned 3 = Killed 4 = Sold 5 = None lost

5.2a What are the major health problems for **male adults** in this community? List them in order of importance.

(1)	_____		__		__
(2)	_____		__		__
(3)	_____		__		__

5.2b What the major health problems for **female adults** in this community? List them in order of importance.

(1)	_____		__		__
(2)	_____		__		__
(3)	_____		__		__

5.3 What are the main problems with health services for the people of this community? List them in order of importance.

(1)	_____		__		__
(2)	_____		__		__
(3)	_____		__		__

Is there an HIV/AIDS program in the community?

YES.....1 NO.....2

Is HIV/AIDS is an issue in the community?

YES.....1 NO.....2

Section 6 - Education

6.0. Are there any functioning schools in this community? YES.....1 (skip to 6.2)
 NO.....2

6.1. If not how far is the nearest one? (Minutes walking).
 Provide also the name of the location _____

6.2 What is the number of male and female teachers at this school?

6.2a Male Teachers 6.2b Female Teachers

6.4 Which of the following types of schools, if any does your community have access to?

	Yes = 1 No = 2
6.4a Girls School	
6.4b Boys School	
6.4c Mixed School	
6.4d Madrassa / Koranic School	

6.4 If your community has access to a mixed school, does the mixed school have separate toilet facilities for female students?

1 = Yes 2 = No

6.5a About what proportion of the **Resident** boys of primary school age are attending?

- Almost all of the boys.....1
- More than half, but not all.....2
- Half of the boys.....3
- Less than half.....4
- Only a few boys.....5
- None.....6

6.5b About what proportion of the **Resident** girls of primary school age are attending?

- Almost all of the girls.....1
- More than half, but not all.....2
- Half of the girls.....3
- Less than half.....4
- Only a few girls.....5
- None.....6

6.5c What are the main reasons why **Resident** children in this community are not attending primary school? *List them in order of importance.*

(1)				
(2)				
(3)				

6.6a About what proportion of the **Refugee/IDP** boys of primary school age are attending?

- Almost all of the boys.....1
- More than half, but not all.....2
- Half of the boys.....3
- Less than half.....4
- Only a few boys.....5
- None.....6

6.6b About what proportion of the **Refugee/IDP** girls of primary school age are attending?

- Almost all of the girls.....1
- More than half, but not all.....2
- Half of the girls.....3
- Less than half.....4
- Only a few girls.....5
- None.....6

6.6c What are the main reasons why **Refugee/IDP** children in this community are not attending primary school? *List them in order of importance.*

(1)				
(2)				
(3)				

6.7 What are the most serious schooling problems/needs from the point of view of the people of this community? *List them in order of importance*

(1)				
(2)				
(3)				

6.8 What are the community's main sources of drinking water?

(circle all apply)

- Piped1
- Tubewell/borehole with pump.....2
- Protected dug well.....3
- Open/unprotected well.....4
- Protected spring.....5
- Rain water.....6
- River/stream.....7
- Pond/lake/dam.....8
- Tanker/bladder.....9
- Other_(list).....10

Section 7 – Food Aid and External assistance

7.0a – Today, are any households in this the community receiving any type of food assistance?

YES.....1 NO.....2 (*Skip to Section 8*)

7.0b – If yes, who are they?

1 = Residents 2 = Refugees/IDPs 3 = Both

7.0c - If yes, what type of assistance? (*Circle all that apply*)

- a) General food distribution b) Supplementary/therapeutic feeding
- c) Vulnerable group feeding d) School feeding
- e) Food for Work f) Seed and tool distribution
- g) Other_(list).....

7.0d – Who is providing the food aid? (*Circle all that apply*)

1 = ICRC 2 = Government of Sudan
 3 = World Food Programme 4= FAO 5 = OICI 6 = Other _(list).....

Section 8 – Price information (key informants and merchants)

8.1 - For the following items in the chart below, please provide the following information for each item: the common retail unit of measure and the price during the last month.

Item	Retail Unit	Price per retail unit	Price per unit 6 months ago	Price per unit 1 year ago
Rice	8.1a	8.1b	8.1c	8.1d
Corn	8.1e	8.1f	8.1g	8.1h
Casava	8.1i	8.1j	8.1k	8.1l
Cooking oil	8.1m	8.1n	8.1o	8.1p
Sugar	8.1q	8.1r	8.1s	8.1t
Beans	8.1u	8.1v	8.1w	8.1x
Water	1 jerry can (20 litres)			

8.2 - Livestock prices

	Current price/head	Price same time last year
Cattle	8.2a	8.2b
Sheep	8.2c	8.2d
Goats	8.2e	8.2f
Donkey	8.2g	8.2h

8.3 - Other prices

	Current price	Price same time last year
Fodder (bundle/heap)	8.3a	8.3b
Firewood (small)	8.3c	8.3d
Firewood (large)	8.3e	8.3f
Charcoal (small)	8.3g	8.3h
Charcoal (large)	8.3i	8.3j

8.4 – What is the cost of milling one sack of grain?

4a. Cash (francs) |__|__|__|__| **4b.** In kind |__|__|__|__|

8.5a – What are the **current** main cereal suppliers for this location? (Percentage based on proportional piling)

a1 Commercial merchant |__|__| % **a2** Local stock |__|__| %

a3 GoS supply (Zaka, etc) |__|__| % **a4** Food aid |__|__| %

8.5b – **Last year**, what were the main cereal suppliers for this location? (Percentage based on proportional piling)

b1 Commercial merchant |__|__| % **b2** Local stock |__|__| %

b3 GoS supply (Zakat, etc) |__|__| % **b4** Food aid |__|__| %

8.6a – Where is most of the **current** commercial cereal supply coming from? (Percentage based on proportional piling)

a1 Same locality |__|__| % **a2** other locality |__|__| %

a3 Other states |__|__| % **a4** Other country |__|__| %

8.7 – How does the current supply of cereals compare to last year?

1 = Increase 2 = Decrease 3 = Same/similar to last year

8.8 – What are the main issues in cereal supply, if any? (Circle all that apply)

1 = Transport 2 = Insecurity 3 = No local production

4 = Rains 5 = Other_(list)_____

Section 9 – Community Priorities

9.0a – For *Residents* of the community, what are the main three priorities?

(1)	_____		__		__	
(2)	_____		__		__	
(3)	_____		__		__	

9.0b – For *Refugees/IDPs* of the community, what are the main three priorities?

(1)	_____		__		__	
(2)	_____		__		__	
(3)	_____		__		__	

OICI
Food Security and Vulnerability Assessment
Topical Outline for market assessment

____/____/____

I. Background Information

- What role does the private sector play in the marketing and distribution of food commodities?
- What is the overall structure of the private sector - monopolistic, oligopolistic, or competitive?
- What are the government's trade policies?
- What is the impact of regional commodity trade?
- What is the proximity of markets to affected populations?

II. Price Monitoring

A. Wholesale Prices

- What is the price in the main markets of a 50 or 100kg bag or typical quantity traded between districts. Monthly data is preferable for approximately 2-3 years to obtain the trend.

B. Import Parity (official & parallel)

- What is the price, usually per ton, to import a cereal from the nearest surplus market.
- This price equals the price of the commodity plus the costs of delivering the food into the main domestic market (usually encompassed as cost, insurance and freight or “c.i.f.” in statistics). This should be valued at the official exchange rate and at the parallel (black market) exchange rate.

C. Exchange Rates

- What is the nominal exchange rate is the current market rate on the official and parallel foreign exchange markets.
- What is the real exchange rate is the nominal exchange rate adjusted for the relative price levels between countries – this exchange rate is calculated by economists to assess a country’s purchasing power over time.
- The parallel, or ‘street’ exchange rate can be obtained at least on a daily basis from traders or money changers.

III. Commodity Flows

A. Spatial flow

- What is the geographic flow of food around the country (from surplus areas to the main markets and to deficit areas) and across the country’s borders?
- This should take into account formal flows (by private sector traders, officially declared) and informal and cross-border flows (by traders that are undeclared, by people on a direct exchange basis like farmers markets, or unrecorded trade across the border).

- Barriers to trade inflows (roads/bridges damaged, insecurity, loss of backhauling transport capacity)

B. Logistics of Flows

- Who is moving food and how? (e.g., formal traders in big trucks, informal traders on small trucks or mules, farmers carrying bags)
- Trader transport capacity and costs into affected area (frequency of arrivals, size of trucks, haulage rates)
- Storage capacity in affected area (avg. size of trader stores, % of traders in market with storage capacity)
- Quantity of flows: net import levels (on a monthly basis) and if possible some assessment of the quantity of food moving between main markets internally.

IV. Macro-Economic

- What is the countries policies for its national food security reserve/strategic grain reserves?
 - What is the government policy regarding food procurement to stabilize markets?
 - What is the private sector capacity to import?
 - What is the capacity to earn foreign exchange to adjust to any change in the food import bill?
 - What is the macro-economic position of the country and its financial ability to import food?
 - Exchange Rate (control policies, foreign exchange reserves, parallel rates, domestic inflation)
 - Balance of Payments constraints (access to capital markets, relative prices of food, food terms of trade)
- Other macro issues (has their been a national income shock? fiscal policy, regional trade & economies, domestic trade/commodity mix)

V. Policy

- Are there any tariffs, taxes or other restrictions that would act as a hindrance for traders to move food from one place to another (internally or import/export)? What are the traders' perceptions?
- Are there governmental subsidies for food items and tow what degree do they act as a disincentive to private traders, local millers etc. What are the consequences to ending the subsidies and to what extent have alternatives been put in place (e.g. social markets)?
- Are there disincentives and market insecurity for private traders due to political pressure to keep prices low?

Are market liberalization policies or an increase in global market processes affecting food availability for poor households?

VI. Market Behavior

- Has there been a production shock?
- Have there been any regional shocks affecting normal import levels?
- Is there any shock affecting the amount of production that is marketed?
- Has there been any household income shock?
- What does the livelihoods analysis reveal about the Terms of Trade of the crisis-affected group?
- What proportion of households has too low a purchasing power to meet their basic food needs?

A. Performance

- Market information available to different types of market stakeholders
- Level of market concentration (number of large traders, medium traders, etc)
- Degree of social capital/institutions determining where traders do business
- Transaction costs (including high transport/storage costs)
- Profitability of trading in staple food vs. alternative crops/products
- Availability of credit and risk insurance

B. Risks

- Potential security risks, trader business risk perceptions (security, transport, profitability)
- Perceptions of government/agency intervention in markets, particularly market interventions by a grain marketing board, free distribution or subsidized sale of food aid stocks

C. Supply

- Staple food production in surplus & deficit areas
- Structure of farms producing staple foods (commercial, small-holder, subsistence)
- Import levels

D. Demand

- Who are the most vulnerable groups (female headed households, landless farm workers) and what is the purchasing power of vulnerable groups?
- To what extent do they depend on markets for their livelihoods and access to food?
- What proportion of households normally has weak access to markets?
- What proportion of household incomes is spent on basic food (this allows for estimates of the impact on purchasing power of a rise in food prices)?
- What proportion has secure access to markets?