

UNHCR/WFP
Joint Assessment
Guidelines
(with Tools and Resource Materials)

First Edition

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Foreword


UNHCR and WFP have worked closely together in the service of refugees for many years and the partnership has been progressively strengthened since new working arrangements were introduced in 1992. Joint assessment missions have been organized since 1994 to determine the food and related needs of refugees and other populations of concern to both organizations. Building on experience, the revised memorandum of understanding signed between UNHCR and WFP in July 2002 recognizes the importance of examining both food and non-food aspects relevant to food security, and of capitalizing on opportunities to increase self-reliance.

This first edition of the UNHCR/WFP Joint Assessment Guidelines is the result of a joint effort to distil experience, institutionalize what has worked well and agree on practical approaches to dealing with some issues that have proved to be problematic. It has benefited from inputs from field and headquarters staff of both organizations and consultations with some key partners. It provides guidance on organizing all types of joint assessment activity, and includes a variety of tools and other resource material that may be useful for staff and partners participating in those assessment activities and in joint monitoring. It takes account of, and will be complemented by, the more general emergency food security assessment guidelines currently being developed by WFP and the handbook for self-reliance activities being prepared by UNHCR.

We believe that these joint assessment guidelines will be a valuable tool for staffs of UNHCR, WFP and our partners, and will contribute to further improving our joint assessments. We trust that the planning and implementation of food aid, self-reliance and related programmes for the benefit of the refugees and other populations of mutual concern will improve as a result. We look forward to receiving constructive feedback from all users to help us refine these guidelines and further enhance their usefulness.



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I. About these guidelines

(i) Purpose and scope of the guidelines

The aim of these guidelines is to ensure effective collaboration in the planning and organization of all joint UNHCR-WFP assessment activities, adherence to agreed procedures and standards, the consistent production of reliable information, and the effective use and analysis of that information. This will contribute to improved programme design and impact, facilitate resource mobilization and help to ensure the best possible use of available resources to the benefit of the 'refugees'.

The focus is on *refugees* (including asylum seekers, whose status has not yet been determined by the government), but these guidelines also apply in joint operations in favour of *returnees* and *internally displaced people* (IDPs) when UNHCR is involved at the request of the U.N. Secretary General. They apply when there are at least 5000 refugees (or returnees) in the country concerned, or when otherwise agreed upon by WFP and UNHCR.

They apply to 'regional' operations, when WFP programmes assistance to refugees in a group of neighbouring countries through a regional EMOP or PRRO, as well as to the majority of cases for which programming by both WFP and UNHCR is on a country basis.

(ii) Structure of the guidelines

These guidelines are presented in two parts – I *Overview and procedures*, II *Guidance and tools for assessment teams* – complemented by a CD-ROM containing other documents that may be useful, including almost all the documents referred to in the guidelines themselves.

In Part I:

[Chapter 1](#) provides an overview of the joint objectives of UNHCR and WFP, the various joint assessment activities, and the key principles that underlie all those joint assessment activities.

[Chapter 2](#) provides practical guidelines for planning and undertaking a joint assessment at the onset of an emergency – a new refugee influx. [Chapter 3](#) provides similar guidance for a periodic (usually annual) review/re-assessment of an ongoing operation.

An in-depth assessment of the food security situation of refugees (and sometimes also the host population), including the refugees' current and potential levels of self-reliance, is essential in many refugee operations. [Chapter 4](#) provides guidance on organizing such in-depth assessments. Similar procedures should be followed for any other joint, or jointly sponsored, assessments or studies of specific aspects relating to food or self-reliance activities.

[Chapter 5](#) provides brief guidance for planning and undertaking assessments in preparation for voluntary repatriation (assessment in the country of asylum) and reintegration (in the country of origin).

[Chapter 6](#) provides brief, preliminary guidance on joint monitoring.

In Part II:

[Chapter 7](#) provides guidance on how to proceed when undertaking an assessment in the field – in areas where the refugees are arriving and present – and provides general guidelines for the main components of a joint assessment.

[Chapter 8](#) provides checklists suggesting the information that will often need to be gathered from different groups of interlocutors, while [Chapter 9](#) offers suggestions on the approaches that may be taken to analyse the information on many of the aspects that need to be considered and reported on.

[Chapter 10](#) provides brief notes on some commonly used data collection methods, sampling and estimating numbers.

[Chapter 11](#) provides brief *aide-memoire* on some key programming principles within which joint assessment teams should frame their recommendations.

In the Annexes

Outlines of terms of references and report formats for assessment teams, together with the text of the MOU and the list of documents on the complementary CD-ROM, are presented in [annexes 1 to 8](#).

(iii) How to use these guidelines

<p>All staff should be familiar with the ‘basics’ ...</p>	<p>... in chapter 1.</p>
<p>When there is a new emergency – a new refugee influx, including a major new influx during an ongoing operation...</p>	<p>...the UNHCR Representative and WFP Country Director should refer to chapter 2.¹</p> <p>...staff of both organizations who are to be involved in the joint assessment should refer to chapters 2, 7, 8 and 9, and annexes 1 and 2. They should follow the procedures and guidance provided there and, as needed, use the guidance in chapters 10 and 11 and on the CD-ROM.</p>
<p>During an ongoing operation...</p>	<p>...the senior programme staff of both organizations and those who have specific responsibilities for food and food-related field operations should:</p> <ul style="list-style-type: none"> • assure, and monitor, the implementation of recommendations agreed at the end of the last joint assessment or review; • monitor the progress of operations, the food security/self-reliance situation and the outcomes of related assistance operations on an ongoing basis, referring to chapter 6; and • organize any necessary special studies in advance of the next review/re-assessment, referring to the first part of chapter 3.
<p>When organizing an in-depth assessment of food security and self-reliance...</p>	<p>...staff should refer to chapter 4.</p>
<p>When planning a joint review/re-assessment...</p>	<p>...the UNHCR Representative, the WFP Country Director and relevant staff of both organizations should refer to the early sections of chapter 3, and annex 2.</p>
<p>Staff undertaking a joint review/re-assessment...</p>	<p>...should refer to chapters 7, 8 and 9 and, as needed, the guidance in chapters 10 and 11 and on the CD-ROM.</p>
<p>When preparing for voluntary repatriation and reintegration...</p>	<p>...refer to chapter 5.</p>
<p>These guidelines may also be used in training sessions for staff of UNHCR, WFP, the government and other partners.</p>	

¹ The guidelines in chapter 2 complement those of UNHCR for the overall, multi-sectoral initial assessment coordinated by UNHCR, providing detailed guidance for the initial assessment of food and related aspects.

II. Glossary of some key terms

Coping strategies

Coping strategies are activities that people resort to in order to obtain food and/or income when their normal means of livelihood have been disrupted.

When analysing coping strategies in a particular situation, a distinction must be made between:

- *viable coping strategies* – activities that are sustainable and preserve future means of livelihood, dignity and nutritional health; and
- *negative coping or 'distress' strategies* – activities that undermine future means of livelihood, dignity or nutritional health, increase long-term vulnerability, or are illegal or not socially acceptable.

Some coping strategies may evolve into regular livelihood strategies during protracted displacement while others remain as temporary activities that are resorted to only when normal means of livelihood are disrupted.

(Distress strategies are to be discouraged and should not normally be taken into account when determining what people can be expected to provide for themselves.)

Distress strategies

See under coping strategies.

Food access

Food *access* is a population's ability to acquire available food for the given consumption period through a combination of its own stock and home production, and through market transactions and other forms of transfers.

Food availability

Food *availability* is the amount of food that is physically present in a country or area through domestic production (including household production), commercial imports and food aid.

Food security

Food *security* exists when all people, at all times, have physical, social and economic access to sufficient, safe and nutritious food which meets their dietary needs and food preferences for an active and healthy life. [Definition adopted by the World Food Summit in 1996]

The UNHCR-WFP MOU quotes an abbreviated definition: 'Access by all people at all times to enough food for an active and health life.'

The three pillars – principal elements – of food security are food availability, access and utilization.

Food utilization

Food *utilization* refers to the use that households make of the food they have and the ability of the body to effectively absorb nutrients – the conversion efficiency of food by the body.

Food utilization depends on the facilities, knowledge and practices within households in relation to food storage, processing and preparation, feeding, hygiene and health care and appropriate sharing of food according to the needs of individual household members. It is often impaired by disease, poor sanitation, lack of appropriate nutrition knowledge and /or culturally prescribed taboos that affect access to nutritious food accounting to age and gender.

Household

A *household* is social unit composed of individuals, with family or other social relations among themselves, eating from the same pot and sharing a common resource base.

(A person living alone is considered to be a one-person household. Family members who live permanently away from the household are not considered members of that household.)

Livelihood

A *livelihood* comprises the capabilities, assets and activities required for a means of living, especially with respect to acquiring food and income and meeting other basic needs. A livelihood is sustainable if it can cope with and recover from stress and shocks, maintain or enhance its capabilities and assets, and can provide for future generations. [Adapted from Chambers & Conway 1991]

A *livelihood group* is a group of people who share the same basic means of livelihood and life styles – i.e. the same main subsistence activities, main income activities and social and cultural practices – and the same risks affecting food security. Within each group, there may be subdivisions depending on wealth or social factors.

Nutritional status

Nutritional status is the growth status of an individual, usually based on body measurements in relation to those of a reference population.

Nutritional surveillance

Nutritional surveillance is the regular collection of nutrition information that is used for actions or decisions that will affect nutrition.

Self-reliance

Self-reliance refers to the ability of an individual, a household, or a community, to meet essential needs in a sustainable manner and with dignity, without external assistance, and without resorting to activities that irreversibly deplete the household or community resource base.

(Essential needs include food, water, shelter, personal safety, health and education. The resource base includes human health and capacities as well as productive assets and natural resources. A household or community that is self-reliant should be able to cope with small fluctuations in climatic and economic conditions but could need external assistance in case of a significant change in conditions.)

Self-reliance activities are programme activities that aim to increase self-reliance.

Stunting (chronic malnutrition)

Stunting is growth failure in a child that occurs slowly, cumulatively over time as a result of inadequate nutrition and/or repeated infections. Stunted children are short for their age and may look younger than their actual age. Stunting, which cannot be reversed, is measured by the height-for-age index.

Targeting

Targeting is a process by which geographic areas and/or groups of people are selected and assistance is allocated and delivered to them according to their assessed levels of need. Different amounts of food, other assistance or opportunities are thus made available to different beneficiaries, or groups of beneficiaries, according to specified criteria.

Wasting (acute malnutrition)

Wasting is growth failure as a result of recent rapid weight loss or failure to gain weight; it is reversible once conditions improve. Wasted children are extremely thin, and wasting is measured by the weight-for-height index.

III. Abbreviations and acronyms

BMI	Body mass index
COP	Country Operations Plan (UNHCR)
EDP	Extended delivery point
ELOI	Emergency letter of instruction (HCR procedure)
EMOP	Emergency operation (WFP programme category)
E/NRM	Environment/natural resource management
FAO	Food and Agriculture Organization of the U.N.
FFW	Food for work
GIS	Geographic information system
GPS	Global positioning system
HFA	Height-for-age
IDP(s)	Internally displaced person(s)
ILO	International Labour Organization
IR-EMOP	Immediate response emergency operation (WFP programme category)
JPA	Joint Plan of Action
MOSS	Minimum operating security standards (UN)
MOU	Memorandum of understanding
MND	Micronutrient deficiency
MUAC	Mid-upper arm circumference
NGO	Non-governmental organization
PRRO	Protracted relief and recovery operation (WFP programme category)
PSPF	WFP School Feeding Service
PSPN	WFP Nutrition Service
SFP	Supplementary feeding programme
SGBV	Sexual and gender based violence
SR	Self-reliance
TFP	Therapeutic feeding programme
TOR	Terms of reference
TSS	UNHCR Technical Support Service
UNCT	United Nations Country Team
UNDP	United Nations Development Programme
UNHCR	United Nations High Commissioner for Refugees
UNICEF	United Nations Children's Fund
WFA	Weight-for-age
WFH	Weight-for-height
WFP	World Food Programme
WHO	World Health Organization

PART I: OVERVIEW AND PROCEDURES

1. Overview of joint assessment activities

This chapter outlines the basic elements and principles of UNHCR-WFP joint assessments, which are undertaken in the context of the *Memorandum of Understanding between UNHCR and WFP* signed in July 2002 and other joint guidelines.

1.1 What is the framework for UNHCR-WFP collaboration?

The *Memorandum of Understanding (MOU) between UNHCR and WFP* signed in July 2002 (updated from earlier versions signed in 1994 and 1997) forms the basis of UNHCR-WFP collaboration. The text is reproduced in annex 6.

The MOU is supplemented by the following joint guidelines, which are included on the CD-ROM that complements the present joint assessment guidelines:

- *Food and Nutrition Needs in Emergencies*, UNHCR-UNICEF-WFP-WHO, WHO 2002.
- *UNHCR/WFP Guidelines for Selective Feeding Programmes in Emergency Situations*, 1999
- *Model Tripartite Agreement among UNHCR, WFP and the implementing partner*, 1998
- *UNHCR/WFP guidelines for the location and management of EDPs*, 1997

UNHCR-WFP collaboration is also set in the context of international conventions and general UN coordination arrangements as well as the policies and strategic priorities of each organization. Thus, UNHCR and WFP:

- assist the host government, as necessary, to fulfil its responsibility to assure the protection of refugees and assistance to refugees and returnees; and
- within the framework of the UN Country Team (UNCT), seek to secure the technical and material support of other agencies in:
 - addressing the immediate needs of the refugees [and returnees]; and especially in
 - planning and supporting self-reliance activities and the integration of refugees, when appropriate, [and the reintegration of returnees] into ongoing development programme activities in the area(s) where they are settled [or being reintegrated].

Joint assessments provide recommendations for food security and related assistance strategies, including a strategic plan for self-reliance, and specific programme activities by both UNHCR and WFP. They provide a basis for: the preparation, or updating, of Joint Plans of Action (JPAs) incorporating joint action matrices for the implementation of the agreed recommendations; joint efforts in resource mobilization; joint efforts to improve the effectiveness of programmes; and joint monitoring of the food and food-security related programme activities.

With the latest joint assessment or review as a basis, each organization prepares its own project documents in consultation with the other, and shares copies of all relevant documents. Project documents are prepared in accordance with the project cycles of each organization and include the country operations plan (COP) for UNHCR, emergency operations (EMOPs), protracted relief and recovery operations (PRROs) and sometimes special (logistic) operations (SOs) for WFP.²

² See *Timing of the review/re-assessment*, in chapter 3 for details concerning the different project cycles of UNHCR and WFP.

Joint objectives for refugees

The ultimate goal of the partnership between UNHCR and WFP is to ensure that food security and related needs of the refugees and returnees that UNHCR is mandated to protect and assist are adequately addressed. Food security is defined as access by all people at all times to enough food needed for an active and healthy life.

On the basis of the above principle and through the timely provision of the right quantity of the right food and of related non-food items, UNHCR and WFP seek to contribute to:

- *the restoration and/or maintenance of a sound nutritional status through a food basket that meets the assessed requirements of the different population groups, is nutritionally balanced and is culturally acceptable, as jointly agreed upon and specified in Joint Plans of Action; and*
- *the promotion of the highest possible level of self-reliance among the beneficiaries, through the implementation of appropriate programmes to develop food production or income-generation, which will facilitate a progressive shift from general relief food distribution towards more targeted assistance and sustainable development-oriented activities. [MOU, paragraph 2.1]*

In broad terms, and working with other partners, the two organizations seek to ensure that refugees [and returnees, for an initial period] have access to adequate food and other assistance to meet related essential needs, while promoting self-reliance as a critical element of assuring the protection of refugees and their right to life with dignity. In this, UNHCR and WFP support the host government in fulfilling its responsibilities under international conventions. The same also applies in relation to returnees and to internally displaced people (IDPs) when UNHCR is involved at the request of the U.N. Secretary General.

In a country where UNHCR has undertaken a participatory planning process, the 'mission statement' defined for UNHCR's operations in that country, together with the general goal presented above, establishes the context for all joint assessment (and joint planning) activities.

For WFP, interventions on behalf of refugees and returnees fall within the Programme's strategic priority areas #s 1 and 2 – saving lives and protecting livelihoods in crisis situations – but may also include support for improved nutrition and health status of children, mothers and other vulnerable people (#3), supporting access to education and reducing gender disparity in access to education and skills training (#4) and, occasionally, helping government to establish and manage national food assistance programmes (#5).

1.2 Types and phases of joint assessment activities

Joint assessment activities include the following as part of an integrated process:

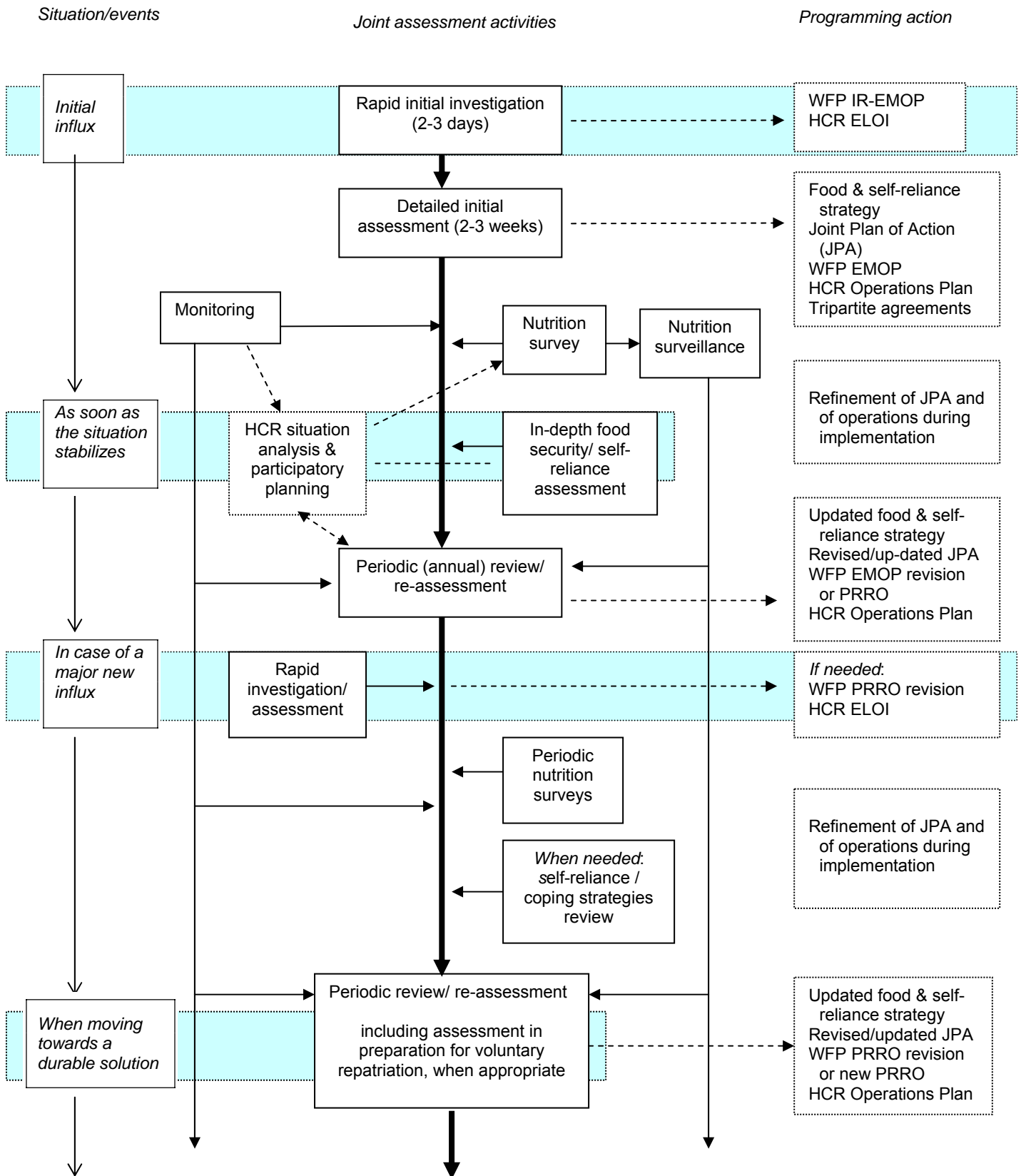
- Initial assessment (normally starting with a rapid initial investigation) at the onset of a refugee emergency/influx
- Periodic reviews/re-assessments of an ongoing operation
- In-depth assessments of food security/self-reliance
- Assessment in preparation for repatriation and reintegration
- Nutrition surveys and surveillance
- Monitoring on an ongoing basis

The whole process, including the sequence of and relationships among the various activities, in a country of asylum is shown in Figure 1 (which also shows the inter-action with UNHCR's situational analysis and participatory planning processes, where implemented³).

³ See *Participatory planning in UNHCR* (on the CD-ROM). Draft UNHCR guidelines on situational analysis are expected mid-2004.

Figure 1

Typical sequence of joint assessment activities



Initial assessment

In most cases, when new refugees arrive in significant numbers and in need of prompt assistance, the assessment will be undertaken in two phases:

1. a **rapid initial investigation** within the first few days (e.g. 2-3 days) to provide a basis for initiating the immediate delivery and distribution of assistance, and submitting preliminary requests to donors
2. a **detailed initial assessment**, following on directly from the rapid assessment and completed within a few weeks (e.g. 2-3 weeks) to provide a basis for the design of assistance programmes with operational plans and budgets for at least 6 months

In some cases, refugees arrive progressively with some possessions and supplies, and for an initial period take care of themselves or are taken care of by local authorities, local communities and/or NGOs already working in the area. In such cases, the government request for international assistance may be delayed and a joint UNHCR-WFP assessment may be organized only several weeks, or even months, after the initial influx.⁴ In such cases, a detailed initial assessment may be undertaken without a preliminary rapid investigation phase, if needs are not urgent. However, the 2-phase process is still needed in many cases.

A new rapid investigation and follow-on detailed assessment may be required in case of a major new influx in an ongoing operation.

☞ Guidelines for initial assessments are provided in chapter 2, and a framework for establishing terms of reference in annex 1.

If needs are urgent and there are no partners or other staff in the locality able to arrange to acquire supplies locally and/or receive supplies sent from elsewhere, and to organize initial distributions, members of the assessment team may have to fulfil these responsibilities while also continuing with the assessment.

Pre-requisites for activation, assessment and intervention

UNHCR and WFP have slightly different pre-requisites for activation, assessment and intervention in response to an entirely new refugee crisis:

- Where UNHCR is already present in a country, it will respond to any new refugee crisis within the framework of its existing agreement with the host government. When a refugee crisis occurs in a country where the organization is not already present, UNHCR offers its services to the host government but requires a request from that government before establishing a presence, undertaking an assessment and providing assistance.
- WFP can act on a request from the government addressed to WFP, UNHCR or the UN system as a whole, or a request from the U.N. Secretary General. Where already present, WFP may initiate an assessment in collaboration with relevant governmental and other partners in advance of a formal government request. The provision of assistance, however, depends on receipt of a written request (or assurance that a request is being prepared).

Reviews/re-assessments

In an ongoing operation, a joint review/re-assessment is undertaken periodically – usually annually – and/or when both organizations agree that one is necessary, in order to determine whether continuing assistance is needed and, if so, the number of beneficiaries to be covered and the type and level of assistance required during the next year or two, and the mechanisms for its distribution.

Reviews also consider prospects for durable solutions and, when appropriate, may incorporate assessment in preparation for voluntary repatriation.

A special review/re-assessment may be needed following a natural disaster, a major change in government policy that significantly affects the refugees' self-reliance, a major relocation of

⁴ This was the case for the Sudanese refugees who arrived in Chad in 2003, for example.

refugees, or the departure of a significant number of people as a result of spontaneous or organized voluntary repatriation.

☞ Guidelines for review/re-assessments are provided in chapter 3, and a framework for establishing reference in annex 2.

Joint review/re-assessment – a process not a mission

A joint review/re-assessment includes a joint mission, which may be conducted by in-country staff and partners or include headquarters and other external participants. In some cases a joint mission gathers primary data but in most cases the mission is only the final step in a process of compiling and analysing data – it reviews, validates and analyses information compiled in the preceding weeks on the situation and operations since the last assessment or review.

The compilation and preliminary analysis of available information, and the organization of special studies when needed, are essential parts of the review/re-assessment process.

Ideally, a standing Joint UNHCR-WFP Operations Committee (or something similar) at country level would plan the review/re-assessment and follow up on the agreed recommendations.

In-depth assessments of food security/self-reliance

An in-depth assessment of the food security and self-reliance situation of the population is necessary in any refugee assistance operation that continues for more than a few months. It is particularly important when the refugees have some access to local markets, agricultural land or livestock. This understanding is necessary to be able: (i) to support activities that enable the refugees to achieve the maximum possible level of self-reliance – an important element of life with dignity – and (ii) to tailor food and related assistance to the real needs. Such an assessment is organized as soon as the situation has stabilized, and is repeated or updated when necessary, especially following any significant change in the situation.

☞ Guidelines for organizing an in-depth assessment of food security and self-reliance are provided in chapter 4, and a framework establishing terms of reference in annex 4.

Assessments in preparation for repatriation and reintegration

Prospects for voluntary repatriation (or any other durable solution) should be explicitly considered during each review/re-assessment of an ongoing operation. If a possibility for voluntary repatriation arises and planning should start before the next review/re-assessment is due, a special assessment in preparation for voluntary (and/or spontaneous) repatriation will be undertaken in the country(ies) of asylum. At the same time, a joint assessment will be undertaken in the country of origin to determine any requirements for food-security related assistance during an initial period of reintegration and the possibilities of integrating the returnees into development activities in the areas to which they will return.

☞ Guidelines for assessments in preparation for repatriation (assessment in the country/ies of asylum) and reintegration (in the country of origin) are provided in chapter 5.

1.3 What is required of a joint assessment?

The purpose of a joint assessment is to *understand* the situation, needs, risks, capacities and vulnerabilities of the refugees and host populations, and thereby *determine what actions may need to be taken* by UNHCR, WFP and others to:

- a) ensure that refugees [and hosts] have access to adequate food, non-food support and protection to save lives and maintain/restore nutritional health, and are able to effectively utilize that food – this may require food distributions, selective feeding, market interventions, action to ensure that refugees have essential non-food items and access to services, public health interventions and/or food-for-work in support of common services; and

- b) help refugees to help themselves and achieve as much self-reliance as possible in the circumstances while avoiding negative effects on the host population and the environment – this may include interventions (material, technical, food-for-work and/or micro-finance) in support of income-generating activities, agriculture, fishing, livestock rearing and other for productive activities, and school feeding.

Each assessment must therefore provide programme planners and managers – and executive staff, donors and host governments – with:

- a clear, concise analysis of (i) the situation, needs and risks; (ii) capacities of the population(s) of concern and opportunities for increasing their levels of self-reliance; and (iii) how food and other resources are being used;
- the numbers of beneficiaries for whom food and related assistance (including assistance for self-reliance) is required. Various planning scenarios should be presented, when appropriate;
- an analysis of (i) the mechanisms and capacities available for targeting and distributing food and related assistance and promoting self-reliance, including the effectiveness of current operations; and (ii) opportunities to build capacity, especially national capacity;
- a clear, concise statement of the options for action in relation to food and self-reliance, specifying the pros, cons and implications of each option;⁵ and
- the recommendations of the assessment team for food and self-reliance strategies, including proposed interventions and arrangements for selection and distribution; ration levels, commodities and food transformation requirements; logistic arrangements; technical and material inputs to support self-reliance; phasing-out/exit strategies; and related non-food and protection measures.

Specific objectives, terms of reference and a report format must be defined for each assessment in the context of what is known about the situation and any particular issues that need to be addressed. For specific guidance, see the sections indicated in the table below:

	<i>Typical objectives</i>	<i>Framework for TOR</i>	<i>Suggested report format</i>
Initial joint assessment of a new refugee crisis	2.2	annex 1	annex 2
Joint review/re-assessment of an ongoing operation	3.2	annex 2	annex 3
In-depth assessment of food security/ self-reliance	4.3	annex 4	annex 5
Assessment in preparation for repatriation & reintegration	5.3	-	-

The recommendations should also be presented in the form of a draft Joint Plan of Action Matrix indicating the actions that would be needed to implement them.

“Related assistance” includes whatever may be needed to: (i) ensure that refugees are able to prepare and cook their food, i.e. utensils, stoves, cooking fuel, water; (ii) address factors that undermine nutritional status and general well-being (e.g. inadequate shelter, clothing, blankets, water quantity, water quality, sanitation, feeding practices, access to health care including essential drugs, and insecurity); and (iii) enhance self-reliance.

Estimating the **numbers** of refugees requiring (entitled to) food and related assistance is a critical element of both the initial assessment and subsequent reviews/re-assessments. Estimates should build on (i) the general estimation and registration undertaken by UNHCR for protection purposes,

⁵ These options should be summarized in a matrix that would then be annexed to the subsequent project proposals – for UNHCR, the COP and any supplementary proposals; for WFP, the EMOP or PRRO – which should explain why particular options have been adopted and others rejected.

and (ii) the findings of joint assessments of food security/self-reliance and the monitoring of food distributions and at community level.

Assessing the adequacy of arrangements for **registration for food assistance** and for the issuing and control of **ration cards** is critical in the review/re-assessment of an ongoing operation.

Assessments of **logistics aspects** and **implementation capacities** are also integral parts of every joint initial assessment and review/re-assessment.

☞ Guidance on all these and other aspects of joint assessments is provided in [chapter 7](#).

1.4 Links with monitoring and nutrition surveys/surveillance

Monitoring

Both UNHCR and WFP have responsibilities for ongoing monitoring (and reporting), and UNHCR and WFP field staff are expected to undertake periodic joint monitoring activities at food distribution sites and at the household level – see MOU # 7.1. The initial assessment and subsequent reviews/re-assessments will identify specific aspects (and specify the indicators) that should be monitored during the subsequent operating period. Monitoring itself provides essential information for the next review/re-assessment as well as for reporting.

☞ Brief guidelines on monitoring are provided in [chapter 6](#). Checklists for monitoring at distribution sites and at community level are in [10.6](#) and [10.7](#) respectively.

Two main types of monitoring

Monitoring at food distribution sites includes monitoring of (i) the process of distribution, and (ii) what beneficiaries are actually receiving (often referred to as ‘food basket monitoring’).

Monitoring at household and community levels, often referred to as ‘post distribution monitoring’ focuses on (i) learning about the use made of food aid by the beneficiaries, (ii) identifying changes in the food security situation and non-food aspects that influence nutritional status, general well-being and the use of food. Problems with the overall planning and management of the targeting and distribution system may also be identified.

Nutrition surveys and surveillance

Data on nutritional status and trends are essential for all joint assessments, but primary data collection is normally done separately, in advance. UNHCR, through its partners (health and nutrition agencies), is responsible for monitoring the nutritional status of refugees by means of regular nutritional surveys and an appropriate surveillance system – see MOU # 3.15. Surveys and surveillance are undertaken in accordance with standard international guidelines. WFP staff is expected to participate in the planning and execution of surveys and, if expertise is available, in the analysis and interpretation of the data. Participating organizations and the Government jointly disseminate the results.

☞ Brief guidance on analysing the nutrition situation, the use of nutrition survey data and interpretation of the results are provided in [9.7](#) to [9.9](#). Guidelines for organizing nutrition surveys and surveillance are provided in: *The management of nutrition in major emergencies*, chapter 3, WHO 2000.

Nutrition surveys and surveillance

Nutritional surveys include anthropometric measurements and assessment of micronutrient status. Mortality and some health data are usually collected at the same time to inform the interpretation of the data and assess the causes of malnutrition. (Data on nutritional status, mortality, and micronutrient deficiencies are essential for every joint assessment/review and, in addition, are core indicators of the impact of interventions and have to be reported on annually to both headquarters (UNHCR and WFP).

Nutritional surveillance involves the systematic collection and analysis of secondary data from a variety of sources (feeding centres, health facilities, etc.) in order to detect changes in the nutritional status of the population over a period of time.

1.5 How to ensure a high quality joint assessment

For a joint assessment to produce quality outputs and enable appropriate programme interventions to be planned and implemented in a timely manner:

- the objectives and terms of reference must be appropriate, realistic and agreed;
- the assessment process must be carefully planned and managed, including preparatory work as well as field work;
- assessment team members must have relevant skills and experience, and work together as a team;
- optimal use must be made of information that is already available; and
- the preliminary findings, conclusions and recommendations must be thoroughly discussed with all main stakeholders, and the final versions be widely disseminated.

There is always a trade-off between speed and accuracy including depth of understanding of the situation. In addition, while every effort must be made to mobilize the resources for a thorough assessment, the scope and depth of an assessment sometimes has to be tailored to the resources and time available. In all cases, close attention to the above aspects is essential to get the most out of the resources and time available. Success depends largely on:

- the commitment of the country offices of both UNHCR and WFP;
- good joint planning and management; and
- *in the case of an ongoing operation*, good monitoring, the effective use of monitoring data, and the compilation and preliminary analysis of a broad range of information prior to the joint assessment 'mission.'

The core principles that assessment teams should adhere to are summarized in 7.3. The table below lists some points that may be checked to ensure that an assessment report meets minimum required standard.

Checklist for verifying the content and quality of an assessment report

Does the report provide/include:

- a statement of the objectives of the assessment (and the TOR in an annex);
- a concise description of the methodology used, the sites visited, how interviewees were selected;
- statements concerning the reliability of the data, the extent to which data are representative, possible margins of error, any gaps in information or differences of opinion;
- information on all the topics covered in the guidelines and/or the TOR (e.g. context, numbers, population characteristics and capacities, health/nutrition situation, food security including coping strategies, self-reliance, selective feeding, non-food requirements, community services, gender & protection, logistics, coordination, contingency planning);
- analysis of food *availability* (including market supplies, food distributions and the status of the pipeline), *access* (including food sources, income sources, expenditures, assets, debts, consumption, the sustainability of food and income sources) and *utilization* (including household food storage, preparation, cooking and sharing practices, child feeding practices, health and care factors) and seasonal considerations;
- analysis of the *health* and *nutrition* situation (including trends in mortality, morbidity, public health risks, malnutrition rates, any micronutrient deficiencies or risks) and the causes of ill-health and malnutrition;
- analysis of opportunities for increasing *self-reliance* (including skills, market demand, access to productive resources, employment, markets);
- analysis of the political, social and security *context*, including the situation and attitudes of the host population, and the implications for food security, self-reliance, and gender and protection concerns;
- analysis of the *capacities* available to implement food security, self-reliance and related activities, including appropriate targeting and distribution;
- analysis of *logistic* possibilities, constraints and performance;
- the *options* for interventions to assure food security and increase self-reliance, with the pros, cons and implications of each;
- recommended *strategies* for food security and self-reliance, and specific recommendations for interventions for the next period, including inputs, implementation (including targeting) mechanisms, logistic arrangements;
- risks* (including possible negative side effects of assistance) and the contingencies for which contingency plans should be maintained;
- the specific aspects that *monitoring* should focus on, and any additional studies required.

If particular information is lacking, is this acknowledged and something said about when and how it should be obtained?

2. Assessment at the onset of a new emergency/refugee influx

This chapter provides guidance for organizing and conducting a joint assessment at the beginning of a new emergency – i.e. following an entirely new refugee influx or a major new influx during an ongoing operation. The assessment will normally be conducted in two phases, as described in [1.2](#).

2.1 Initiating the joint assessment

First steps

When there is an existing UNHCR-WFP contingency plan (or a UN country team/inter-agency contingency plan) for response to a refugee emergency, it should be activated and UNHCR and WFP launch the joint assessment in the manner described in the plan.

In the absence of a contingency plan, the UNHCR Representative and WFP Country Director will immediately contact each other and agree how to proceed. In the absence of a WFP country office, UNHCR should contact the WFP Regional Director directly or via the liaison office in WFP's Rome headquarters. In the absence of UNHCR, WFP should contact the Regional Director in UNHCR's Geneva headquarters.

Whenever possible, the UNHCR and WFP assessment teams should meet and coordinate in the national capital (or another suitable location) and proceed to the area together, in coordination with the government and other partners.

When one organization is present and ready before the other, the first should proceed to the area and begin the assessment while the other follows and joins the process as soon as possible, respecting the efforts of the first and cooperating in completing the assessment. The general terms of reference for the assessment should be agreed (by phone or email) in advance, if at all possible.

☞ A checklist for initial contacts by UNHCR and WFP with other parties is provided in [2.8](#) at the end of this chapter.

Relationship with the overall multi-sectoral assessment and registration processes

The joint UNHCR-WFP initial assessment:

- represents the food/food security component of the overall multi-sectoral assessment coordinated by UNHCR in collaboration with the host government and other partners;
- draws on the findings of the other sectoral assessments, especially those for water, sanitation, health, shelter, domestic energy and other material needs – see UNHCR *Handbook for Emergencies*, chapter 5, and *Initial Assessment of Emergency Situations: a practical guide for field staff*, working draft, UNHCR-EPRS August 2002;
- builds on the 'level-1' data produced by the initial registration process as soon as such data are available – see *UNHCR Handbook for Registration*, provisional release Sept. 2003, sections 4.2 and 5.1; and
- contributes to analysis concerning the selection of sites and related services.

When a joint assessment team visits a location prior to the completion of assessments in related sectors (especially those for water, sanitation, health, shelter and material needs), the team will gather readily available basic data on those aspects to inform the team's own analysis, and make those data available to the UNHCR emergency team and other organizations concerned.

2.2 Defining objectives and terms of reference

The objectives of the assessment must be clearly defined and understood by all concerned. The typical objectives presented below must be adapted according to (i) what is known about the general situation, and (ii) any particular issues that need to be addressed.

Based on the defined objectives, clear and precise **terms of reference** (TOR) for the assessment team and its members must be drawn up specifying the methods to be used, the output required – the topics to be covered in the report – and the timeframe. A framework for defining TORs is provided in [annex 1](#), and a standard report format in [annex 2](#). These should be adapted as appropriate.

Take care to ensure that the objectives and TOR are focused and realistic. Whenever immediate assistance is needed to save lives and maintain nutritional health, assessing those needs and the means by which food can be made available to the refugees will be the first priority. However, always keep in mind the long-term implications of the means adopted and the importance of discussing, and initiating support to, self-reliance – and avoiding negative coping/distress strategies – from the earliest possible moment.

In case of an influx during an ongoing operation, the assessment will include a rapid joint review of the status of existing food aid and related programmes, the impact of the influx on those programmes, and the capacity of the various ongoing programmes to expand to cover the needs of the new arrivals.

Typical objectives for an initial assessment **(at the onset of a refugee crisis)**

Phase-1: rapid initial investigation (2-3 days)

- a) to determine whether the refugees need immediate food assistance and/or other forms of assistance to prepare food and ensure their survival and well-being in the short term and, if so, to define (for the next 15-30 days): the number of people to be provided for, the types and quantities of food and related assistance required, how that assistance can be delivered, and how and by whom it should be distributed;
- b) to begin compiling data that will be required for operational planning, and enable preliminary information to be provided to donors concerning the scale of the assistance that could be required in the coming weeks and months;
- c) to identify the localities and priority topics on which the follow-on more detailed assessment should focus;
- d) to identify factors that could positively or negatively influence possibilities for self-reliance (e.g. location, proximity of markets, access to water, fuel-wood, etc.), bring constraints to the notice of the authorities who are determining the locations for refugee camps and settlements.

Phase-2: detailed initial assessment (2-3 weeks)

- a) to determine what measures are necessary and what assistance is required to ensure that the refugees: (i) have access to food that is adequate in quantity and quality to meet their nutritional needs, and to related non-food supplies, services and protection to maintain (or restore) nutritional health in the next 6-12 months, and (ii) progressively achieve the maximum possible level of sustainable self-reliance pending a durable solution (avoiding damaging or undesirable survival strategies);
- b) to define the types of food and related non-food assistance required; the number of people to be provided for; how the food and related assistance should be delivered, targeted and distributed; how initial assistance to self-reliance should be provided;
- c) to assess the logistic (transport, storage and handling) means and management capacities available to receive imported supplies, acquire in-country supplies, deliver supplies to the refugee sites, and maintain operational reserve stocks, with proper accountability and minimum losses throughout the supply chain, including any logistic constraints to be considered in the design of the overall programme; (cont...)

- d) to determine whether immediate measures are necessary and, if so, what assistance is required to: (i) ensure that the food security of the local host population and the natural resource base of the area are not undermined by the self-reliance and fuel-wood collection activities of the refugees, and (ii) address any acute food shortages or malnutrition among the local population;
- e) to identify and assess the resources and capacities of potential implementing partners to undertake food distribution, self-reliance and monitoring activities;
- f) to assemble the data required for operational planning and budgeting, and to initiate implementation: this includes data on key indicators necessary to establish a baseline against which programme performance can be measured, to the extent possible;
- g) to enable specific, credible project proposals (for the next 6-12 months) to be elaborated and submitted to donors for funding.

2.3 Constituting the assessment team

The assessment team should include:

- *UNHCR and WFP*: each organization will nominate its own representatives/participants and their co-team leader.
The WFP Country Director and the UNHCR Representative (or Deputy) should participate to the maximum extent possible in case of a large-scale, complex operation, especially in important meetings with the government.
- *The government*: at least one representative of the national entity responsible for refugees and of the relevant local authority (regional/provincial/district, as appropriate).
- *Donors*: one or two representative(s) of the donor community should be invited.
- *NGOs*: representatives of the major NGOs should be invited: NGO staff will be key interlocutors at field sites but senior NGO staff with relevant experience should also be encouraged to participate as members of the overall assessment team.

The team should possess skills and experience in:

- food security and food aid management (normally from WFP);
- nutrition (from UNHCR, WFP or an experienced NGO);
- public health (normally from UNHCR);
- sociology/anthropology (e.g. from UNHCR community services);
- self-reliance – agriculture, employment and income-generating activities (normally from UNHCR, FAO, ILO and/or an experienced NGO);
- logistics (normally from both WFP and UNHCR);

and should include:

- individuals with extensive knowledge of the area;
- individuals with cross-disciplinary skills (social, economic and institutional);
- gender balance – a balance of male and female team members.

When feasible, experience in protection issues may also be included (from UNHCR).

All members should be available for the whole time of the assessment, whenever possible, and all should contribute to all aspects according to their qualifications and experience. All should be good 'team players' and in good health.

The size of the team should be decided in relation to the number of sites to be visited. If there are several widely separated sites, sub-teams will have to be formed to visit different sites simultaneously.

One individual, or one from each organization, should be assigned responsibility at the outset to compile and edit the assessment report. Other individual team members may be assigned responsibility for compiling preliminary drafts on specific themes.

2.4 Drawing up an assessment plan

An assessment plan incorporating the elements listed below should be rapidly compiled and agreed.

While making arrangements for field visits, rapidly collect and review information available from authorities and others in the area concerning the refugees and their present situation, and any information available from the country of origin concerning the background of the refugees and the numbers and condition of people believed to be moving towards the border.

Key elements of an assessment plan	
<i>Elements</i>	<i>What needs to be done</i>
Decide the sites to be visited first	<p>All locations where refugees are arriving and settling should be visited during the initial assessment. However, if refugees are arriving in many different places simultaneously, it may not be possible to visit all sites during the rapid initial investigation.</p> <p>In order to rapidly obtain an overview of the situation and needs in different areas, a representative sample of sites must be visited (surveyed) during the first few days, see the box below.</p> <p>Schedule visits simultaneously by logisticians to all locations that will be critical to the logistics of bringing food and other supplies to the area(s) and delivering them to the refugee sites, including potential storage and EDP/hand-over locations.</p>
Form sub-teams, if necessary	<p>If sub-teams will be needed to visit separate locations simultaneously, ensure that each sub-team has a reasonable mix of skills and experience, and gender balance.</p> <p>The size of the team/sub-team visiting any one site should normally be limited to 4 persons.</p>
Agree on assessment methods	<p>In order to ensure efficient use of time during site visits, and comparability among the findings of different sub-teams, agree in advance on:</p> <ul style="list-style-type: none"> • the rapid assessment techniques to be used (and ensure that all team members have a common understanding of how to use the chosen techniques and cross-check information); • the types of key informant to be sought out and the specific types of information to be sought from them, see 8.2; • the approach to be used in selecting interlocutors and focus groups from among the refugees, and the specific types of information to be sought from them, see 8.4. <p>It is rarely appropriate to try to administer questionnaires (organize a household survey) during an initial assessment.</p>
Prepare data collection and reporting formats	<p>Prepare agreed formats for data collection and reporting. Separate formats may be prepared for the rapid initial investigation and the detailed initial assessment.</p>
Itinerary, schedule and logistics	<p>Plan the itinerary taking account of logistic realities.</p> <p>Arrange transport (including drivers and fuel) and accommodation in all locations. If the refugees are in an isolated area where there are few services, be as self-contained as possible.</p>
Communications and security	<p>Check whether there are reliable telecommunications facilities in the refugee areas. If not, take HF radios to be able to report back regularly to the UNHCR and WFP offices in the capital. Ensure that any required security clearances are obtained from relevant national authorities.</p>

Communications and security (cont...)	<p>If the area is classified as UN security phase 1 or higher, ensure that:</p> <ul style="list-style-type: none"> • field visits are cleared by the Designated Official (DO); • communications facilities and all other arrangements comply with UN minimum operational security standards (see MOSS on the CD-ROM); and • all team members have completed security awareness training and receive a security briefing. <p>Arrange for the mission to be accompanied by a field security officer, if necessary.</p>
Coordination	Inform all interested government entities, UN agencies, NGOs and donors of schedule of the assessment team.

Deciding on the refugee sites to be visited first

On the basis of available reports:

1. list the sites where people have congregated or are arriving with the reported numbers of arrivals;
2. if it is known that risks to the health and survival of the refugees are greater at some sites than others, define categories according to (i) reported conditions and (ii) the characteristics of the populations and, if sites are spread across different livelihood zones, the livelihood zones in which they are situated;
3. list the sites by category, highlighting (i) those where risks are reported to be greatest, and (ii) those which may be typical of the other categories and where there are reported to be the largest numbers of refugees;
4. schedule visits to as many of the highlighted sites as possible in the first 2-3 days in order to gain an overview of the whole situation while also getting preliminary information on those sites where intervention may be most urgent.

2.5 Undertaking the assessment and analysis

☞ See [7.1](#) for suggestions on “how to proceed” in undertaking an assessment in the field, and chapter 8 for the information that may need to be collected from different sources.

☞ See [chapter 9](#) for suggestions on how to analyse and interpret information on some of the topics on which the assessment team will usually be required to report.

The success of the assessment will depend on the leadership provided by the co-team leaders and the commitment of all team members to (i) work together in pursuit of the common objective in the framework of the agreed terms of reference, and (ii) find practical, pragmatic solutions to the problems that will inevitably arise.

If sub-teams visit separate locations simultaneously, ensure that (i) each sub-team is balanced, (ii) specific sub-team members are briefed to gather information on particular aspects for which expertise may be lacking within the sub-team, and (iii) one member of each sub-team is designated to compile a note on the sub-team’s findings;

Differences of opinion will be inevitable, and should be thoroughly discussed within the team with the aim of reaching consensus on how to proceed. Any important differences that cannot be resolved within the team should be reflected in the report and be referred to the UNHCR Representative and WFP Country Director. If they cannot be resolved at that level, they should be referred to the regional directors.

2.6 Preparing and disseminating the report

Record findings each day: All assessment team members/participants and/or sub-teams should submit notes on their findings on a daily basis to the team member (rapporteur) responsible for compiling the overall report.

Prepare and present a draft summary report: The rapporteur, working with the co-team leaders and one or two designated core team members when appropriate, should prepare a draft summary report of main findings, analysis of response options and recommendations for presentation to and discussion with all concerned stakeholders at a wrap-up meeting before the end of the mission – before external mission members (if any) leave the country.

Refine, and sign, the summary report: Immediately after the wrap-up meeting, the rapporteur and the co-team leaders should refine the summary report, taking account of discussions at that meeting, and sign off on (approve) it. The UNHCR Representative and the WFP Country Director should also endorse the summary report.

Finalize the full report: The rapporteur, in collaboration with the co-team leaders and one or two other core team members when designated, should finalize the full report within 15 days of the wrap-up meeting. The co-team leaders should sign off on the report (or confirm their approval by email authorizing the rapporteur to sign on their behalf). The UNHCR Representative and the WFP Country Director should also endorse on the report. When feasible, the responsible government entity should also formally endorse the report.

Communicating the report: As soon as the report is finalized, send it to:

- the Government;
- all government entities, other organizations and donors that contributed to the preparations for and/or participated in the assessment, including at field sites;
- the regional bureaux and relevant headquarters units of UNHCR and WFP; and
- the UN Resident Coordinator and other members of the UN country team.

N.B. The project documents that each organization subsequently prepares on the basis of the joint assessment should be prepared in consultation with the other. UNHCR should share with WFP details of its operations plan proposals before they are finalized, and WFP share with UNHCR details (a draft) of the proposed EMOP.

2.7 Preparing a draft joint plan of action (JPA) matrix

As an annex to the full report, a draft joint plan of action (JPA) matrix should be prepared listing the recommendations of the joint assessment, the specific actions to be taken to implement those recommendations, the date by which they should be completed and who will be responsible. Use the format below.

<i>Recommendation</i>	<i>Priority high/low</i>	<i>Action Required</i>	<i>Est. cost (US\$)</i>	<i>Responsibility</i>	<i>Time frame</i>	<i>Action taken</i>

☞ For an example of a JPA matrix, see *Tanzania JPA 2003*, on the CD-ROM

2.8 Checklist for initial contacts

Contacts with the government

- ❑ UNHCR will contact the government authorities at national and/or regional level responsible for refugee affairs to discuss what is known about the situation and how to proceed with the overall assessment.
- ❑ WFP will contact its governmental partners for food aid operations in or near the areas where the refugees are reported to be arriving to discuss what is known about the situation and whether, if needed, stocks in the area might be borrowed to initiate assistance to the refugees.

Contacts with staff in the field

Both organizations will contact any staff based, or travelling, in the area to:

- ❑ ensure their safety;
- ❑ exchange information;
- ❑ arrange for them to undertake a rapid initial assessment/ investigation;
- ❑ agree arrangements and a schedule for reporting.

If there are security risks – contacts with the DO

Whenever the country or the area concerned is at UN security phase 1 or higher, or when there are believed to be security risks and the security situation is under review, UNHCR in coordination with WFP should contact the Designated Official (DO) to:

- ❑ obtain security clearances, when needed, and agree on the security measures to be taken (this may include assessment teams being accompanied by a field security officer);
- ❑ ensure that security provisions and telecommunications for the assessment itself (and subsequent operations in the field) meet the required minimum standards;⁶ and
- ❑ ensure that all staff are properly briefed/trained.

These aspects should have been foreseen as part of preparedness but will need to be reviewed in the light of the actual situation.

Contacts with the UN Resident Coordinator and other agencies

- ❑ UNHCR and WFP should inform the UN Resident Coordinator of the actions being taken.
- ❑ At an appropriate moment, UNHCR should propose that the UN country team be convened to discuss the situation and the contribution other agencies could make to the assessment and response.
- ❑ UNHCR and/or WFP, as agreed, should then follow up directly with those agencies that have a particularly important contribution to make. Depending on the situation, this is likely to be FAO (where refugees may engage in agriculture, livestock, fisheries or forestry related activities), ILO (where employment and income-generating activities will be required), and UNICEF (for all concerns relating to children and mothers).

Contacts with other organizations

- ❑ UNHCR and WFP should coordinate in contacting NGOs and other organizations known to be working in or near the area(s) concerned to exchange information and to agree on arrangements for ongoing contacts and collaboration in the assessment.

Contacts with donors

- ❑ UNHCR and WFP should coordinate in informing donors of the arrangements being made for the assessment and the date when preliminary findings and estimates of needs are expected to be available, emphasizing that the two organizations are collaborating in a joint assessment process.

Contact with the country of origin

- ❑ Both organizations may, when feasible, contact their counterparts in the country of origin of the refugees to learn about the backgrounds of the refugees and the numbers that may be expected to cross the border. Similar information may be received via the respective regional bureaux.

⁶ In any situation where there are security risks, the UN Minimum Operational Standards for Security (MOSS) must be complied with in relation to communications facilities and security measures – see details of the MOSS on the CD-ROM.

3. Review/re-assessment of an ongoing operation

This chapter provides guidance for organizing and conducting a joint review/re-assessment of an ongoing operation. It covers the process leading up to the final joint review/assessment 'mission' as well as the mission itself.

A joint review/re-assessment is organized once a year for most operations,⁷ or when both organizations agree that one is necessary. A special review may be needed following a disaster, a major change in government policy that seriously affects the refugees' self-reliance, a major relocation or the departure of a significant number of people as a result of spontaneous or organized voluntary repatriation.

3.1 What is the purpose of a review/re-assessment?

A joint review/re-assessment of an operation is best considered as a peak, repeated periodically (usually annually), in an ongoing process of monitoring and reflection on where an operation is going and whether it should continue as at present or needs redirection. It focuses on and analyses the:

- the *effectiveness* of the operation since the last assessment or review,
- *changes* that have occurred in the same period, and
- *specific issues* that have arisen in relation to the situation or the assistance operation,

in order propose solutions to current problems and produce recommendations for the next planning period, including updated complementary strategies for food and related assistance and for self-reliance.

The review/re-assessment does not always have to be a comprehensive, detailed 'assessment' of the whole situation. It will often be a focused exercise aimed at fine-tuning – or reorienting – the ongoing operation as needed in line with overall objectives, and resolving problematic policy and operational issues (as illustrated by the quotation in the box below).

Purpose of a review/re-assessment

"The [mission] is a review of an ongoing programme and not an in-depth stand-alone assessment of refugees or their living conditions. The information gleaned ... is used to improve ongoing programmes and create new programmes to fill gaps identified. The ... results often help to support or refute ongoing data collection and analysis ... [and] highlight where there may be inconsistencies or conflicting data as well as new problems, thus prompting appropriate recommendations. The [mission] may also confirm the findings of recent data sources where no recommendation would be necessary [if] actions are already being taken."

[Preface to the report of the Joint Assessment Mission in Tanzania, 2003]

A review/re-assessment is a process, not a 'mission,' and there is no one model:

- Many take the form of a 2-3 week mission (with or without headquarters participation), to review, validate and analyse information that has been compiled by the country offices in the preceding weeks and months. In some cases special food security/food economy or other studies may have been organized in advance. The mission in Tanzania quoted above is an example – see CD-ROM.

⁷ The MOU stipulates that: "Beneficiary numbers and the refugee food security situation will be jointly updated regularly, at least annually, unless otherwise agreed upon by the country offices" [MOU # 3.4].

- A few combine extensive primary data gathering and analysis as an integral part of the 'mission', rather than organizing separate studies in advance. The 1-month exercise in Eritrea in 2003 is an example – see CD-ROM.

For each review/re-assessment, the needs of the situation and the objectives of the exercise must be carefully considered, and the nature and terms of reference for the process be defined accordingly.

3.2 Defining objectives and terms of reference

Determining the nature and focus of the review/re-assessment

Senior programme staff at country level in UNHCR and WFP should begin thinking together 3 to 6 months ahead about the kind of review/re-assessment that would be most useful and what its focus should be, and discuss their preliminary ideas with the respective regional bureaux. The choice may be influenced by the recommendations made by the previous assessment/review, and the actions subsequently taken to collect information during monitoring and organize studies on specific topics. It may also be influenced by any situation analysis or participatory planning processes envisaged by UNHCR.

These preliminary discussions should lead to:

- a joint decision on the kind of the review/re-assessment process required;
- the preparation of a preliminary draft of the objectives and the specific policy and/or operational issues that should be addressed;
- a tentative agreement on whether the participation of headquarters/the regional bureaux in the final phase – the mission – would be needed or not (see below) and the duration of that mission; and
- a work plan for the preparatory stage of the review/re-assessment, including action to ensure that relevant monitoring information is being collected, or will be collected, and that any required special studies are organized in good time.

The duration of the final mission will depend on the complexity of the issues to be dealt with and the amount of information gathering and analysis that is undertaken (through monitoring and/or special studies) in the preceding months.

Ideally, a standing Joint UNHCR-WFP Operations Committee (or something similar) at country level would plan the review/re-assessment and follow up on the agreed recommendations.

Drawing up specific objectives and terms of reference

The specific *objectives* of each review/re-assessment must be formulated precisely and agreed between UNHCR, WFP and the government, as a basis for the elaboration of the terms of reference for the exercise. Possible objectives are presented in the table below. These should be adapted according to the situation and any particular issues that need to be addressed.

Based on the defined objectives, clear and precise *terms of reference (TOR)* must be drawn up. They must specify the output required – the topics to be covered in the report – and the methodology to be used as well as deadlines. From the objectives, specify the required output and then work back to the analysis, the information to be gathered and thence the methodology. A suggested framework for TOR is provided in annex 2, and a standard report format in annex 3. These should be adapted as appropriate.

Take care to ensure that the objectives and TOR are focused and realistic:

- Remember, a review/re-assessment is not necessarily supposed to be a complete assessment, nor the report totally comprehensive. While providing recommendations for measures and programmes in the next 12-24 months, it should focus on specific problematic issues.

- The duration of the final mission should be sufficient to accomplish the defined purposes. Many missions in the past have been expected to do much more than was reasonably possible in the time available.
- The objectives and TOR should highlight and focus on the most important issues facing the operation in ensuring that basic needs are met while helping the refugees to become as self-reliant as possible.

It may be useful to draw up specific TOR for the two phases of the process:

1. the compilation and preliminary analysis of data (usually by country-office staffs of UNHCR and WFP in collaboration with relevant government entities and NGO partners) and the organization, if required, of specific additional studies;
2. the joint mission (by UNHCR and WFP staff, the government and selected NGO partners and donors, possibly with consultants and/or regional or headquarters participation).

**Possible objectives for a joint review/re-assessment
(of an ongoing operation)**

- a) to determine whether and how the performance of the ongoing operation can be improved in relation to the defined objectives for the food security, nutritional status, self-reliance and the general well-being of the refugees and host populations;
- b) to identify the positive elements on which to build and any specific problems and constraints that may be impeding the achievement of objectives, and propose solutions;
- c) to determine whether the present objectives remain appropriate in the light of the current situation and prospects for a durable solution, and propose modification if needed;
- d) to develop or update a strategic plan for self-reliance – to determine what new measures are necessary and what continuing assistance is required to ensure that the refugees achieve the maximum possible level of sustainable self-reliance pending a durable solution, and identify possibilities for the involvement of governmental, UN and NGO development agencies and linkages with development programmes in the area;
- e) to develop or update the strategy for food and related assistance – to determine what new measures are necessary and what continuing assistance is required to ensure that the refugees have access to food that is adequate in quantity and quality to meet their nutritional needs and to related non-food supplies, services and protection to maintain nutritional health in the next 12-24 months and avoid damaging or undesirable coping strategies;
- f) if a process of voluntary repatriation could be initiated in the near future, to define the food and other support that should be provided to the repatriation operation, as described in 5.3;
- g) to determine what measures are necessary and what further assistance is required in the next 12-24 months to: (i) ensure that the food security of the local host population and the natural resource base of the area are not undermined by the self-reliance and fuel-wood collection activities of the refugees, and (ii) address any acute food shortages or malnutrition among the local population;
- h) to review the performance and efficiency of the logistic (transport, storage and handling) system and management, the losses incurred, the levels and condition of operational reserve stocks, risks, and possibilities to reduce risks and increase performance and efficiency;
- i) to examine ...*specified problematic issues*... and propose solutions/provide recommendations;
- j) to define the types of food and related assistance (including assistance for self-reliance) required during the next 12-24 months; the number of people to be provided for; how the food and related assistance should be delivered, targeted and distributed; how assistance for self-reliance activities should be provided;
- k) to enable specific, credible project proposals (for the next 12-24 months) to be elaborated and submitted to donors for funding

3.3 Timing of the review/re-assessment

The timing of the review/re-assessment will be agreed between the UNHCR Representative and the WFP Country Director in consultation with their regional directors and headquarters (UNHCR-HCDS and WFP-OEN). The timing will be decided taking account of the following:

- the need for a re-assessment following a disaster, a major change in government policy that seriously affects the refugees' self-reliance, a major relocation or the departure of a significant number of people as a result of spontaneous or organized voluntary repatriation;
- the need for information to inform the programme planning and budgeting processes of both organizations:
 - the preparation by WFP of an EMOP revision/expansion, a new PRRO or a PRRO revision;
 - the preparation by UNHCR of the annual Country Operations Plan (COP);
- the crop cycle (for rural-based refugees) and the periods when reliable estimates for the latest and/or next harvest may be available;
- seasonal factors that may affect the ability of the review/re-assessment team to visit certain relevant locations;
- the availability of the expertise, or reports of specific studies, that may be needed for the review/re-assessment to deal adequately with particular priority issues;
- in a situation of high insecurity, a window of opportunity that open up to permit a thorough review/re-assessment.

For WFP planning, the timing of project (EMOP or PRRO) revision and/or preparation depends on the termination date of the current operation and, for a PRRO, the date of the Executive Board meeting at which the proposal is to be presented for approval and the lead time for the submission of documents.⁸

For UNHCR planning, initial COP proposals have to be submitted in March of the preceding year, and budgets finalized in October. Progressively, UNHCR is introducing a participatory planning process to provide a basis for the development of the COP. Linked to that, situation analyses will be drawn up, also with refugee participation, in a number of pilot countries starting in 2004. Ideally, the joint review/re-assessment would be able to draw on the situation analysis and feed into the subsequent planning process.

In practice, in view of the scale of the resources involved, the WFP planning cycle usually takes precedence and reviews/re-assessments are scheduled so that the proposals for food aid and related WFP inputs can be drawn up and approved on the basis of the latest (most up-to-date) information. However, the WFP Country Director and UNHCR Representative should try to ensure that the review/re-assessment also links to the UNHCR planning process, as much as possible.

The WFP country office may consider the advantages of such linkages when deciding on the duration – hence the termination date – for a new project, or project revision. An appropriately chosen termination date may enable future reviews/re-assessments and project preparation to be undertaken at times that are also opportune for UNHCR planning while also taking account of any important seasonal considerations.

⁸ Draft proposals have to be submitted to WFP headquarters for clearance and processing 4 months before the date of the Executive Board meeting, i.e. in October for the Board the following February; in January for the Board in May; in June for the Board in October.

3.4 Deciding on headquarters/regional bureaux participation

The decision on headquarters/regional bureaux participation in the final joint mission will be taken on a case-by-case basis. In general, such participation will be appropriate when:

- the review/re-assessment is to provide the basis for a new WFP PRRO;⁹
- there are complex and/or sensitive issues to be addressed; or
- it is a major operation of current concern to the donor community.

The UNHCR Representative and the WFP Country Director should make a joint proposal to the respective regional bureaux and headquarters units regarding their participation. If there are differences of opinion, these should be referred to the regional directors for a joint decision.

3.5 Constituting the review/re-assessment team

The composition of the team will be jointly agreed between UNHCR and WFP. It should normally include:

- *UNHCR and WFP*: each organization will nominate its own representatives/participants including their designated co-team leader.
The WFP Country Director and the UNHCR Representative (or Deputy) should participate to the maximum extent possible in case of a large-scale, complex operation, especially in important meetings with the government.
- *Other UN agencies*: depending on the needs of the particular situation and opportunities for self-reliance and integration into local development programmes, UNICEF, UNDP, FAO and/or ILO may be invited.
- *The government*: at least one representative of the national entity responsible for refugees.
- *Donors*: one or two representative(s) of the major donors should be invited.
- *NGOs*: representatives of the major NGOs should be invited: NGO staff will be key interlocutors at field sites but senior NGO staff with relevant experience should also be encouraged to participate as members of the overall assessment team, especially those with a development orientation.
- *Refugees*: Where feasible, one or two representatives of the refugees may be included. Refugees will be key interlocutors at field sites but if the general situation and social organization among the refugees is such that one or two individuals are widely respected among the refugees and recognized to represent them, they could be invited to join the final mission.

The constitution of the team should take account of the particular focus of the review/re-assessment. In most cases, the team would possess skills and experience in:

- food security and food aid management (normally from WFP);
- nutrition (from UNHCR, WFP or an experienced NGO);
- public health (normally from UNHCR) if no separate expert assessment (e.g. by UNHCR and WHO) has already been completed or is underway;
- sociology/anthropology including gender issues (e.g. from UNHCR community services);
- self-reliance – agriculture, employment and income-generating activities (normally from UNHCR, FAO, ILO and/or an experienced NGO);
- logistics (normally from both WFP and UNHCR);

and should include:

- individuals with extensive knowledge of the area;

⁹ PRROs can be approved for up to 3 years. Many are planned and approved for 2 years. In a particularly difficult and unstable situation, a PRRO may be approved for 1 year.

- individuals with cross-disciplinary skills (social, economic and institutional);
- gender balance – a balance of male and female team members.

One individual, or one from each organization, should be designated as rapporteur with responsibility to compile and edit the assessment report. Other individual team members may be assigned responsibility for compiling preliminary drafts on specific themes. In some cases, a small core group of UNHCR and WFP staff (including the two co-team leaders) has been designated as 'core mission members' responsible for working with the rapporteur to prepare the report, consolidating the inputs and taking account of the views of other 'participants'. Responsibilities for reporting should be assigned at the outset.

Participants from other UN agencies, donors and NGOs should have experience in refugee operations and/or in relevant activities in the country concerned.

All members should be available for the whole time of the final mission, and all should contribute to all aspects of the assessment according to their qualifications and experience. All should be good 'team players' and in good health.

The size of the team for the final mission should be decided in relation to the number of sites to be visited. If several widely separated sites need to be visited, sub-teams will have to be formed to visit different sites simultaneously.

The in-country members of the team should, as much as possible, meet and work together on the preparatory steps (see below) as well as being available for the final 'mission'. External participants will normally be present only for the mission, but should be kept informed of the progress of the preparatory work and contribute their suggestions, to the extent possible.

3.6 Preparatory phase

An agreed work plan should be drawn up for the things to be done during the preparatory phase, in advance of the final 'mission'. This will normally include, but not be limited to:

- Involving all stakeholders;
- Compiling information on the refugee and host populations;
- Undertaking a preliminary review and analysis of available information;
- Summarizing actions taken on previous recommendations.

Involving all stakeholders

All 'stakeholders' – all government entities, organizations, donors and the refugees – who have an interest in the assistance operation should be: (i) informed of the review/re-assessment process and schedule well in advance, and (ii) given the opportunity to contribute to the design and preparation of the exercise as well as providing information to the review/re-assessment team.

A special effort should be made to involve development partners, especially when there is a possibility of local settlement and/or involving refugees in local area development programmes.

Compiling information on the refugee and host populations

It is essential that all relevant documentation be compiled prior to the final 'mission'. The documentation will depend on the situation but may usefully be compiled under general categories (headings) such as the following:

- ❑ Demographic data (registration and enumeration data on the refugees, including sex/age breakdowns and their occupational and educational backgrounds)
- ❑ Camp and district information; maps
- ❑ Previous joint assessment reports and reviews
- ❑ Government policies vis-à-vis refugees (including official policies and press statements)

- ❑ The security situation (including any available conflict analysis reports)
- ❑ WFP project documents and pipeline details (recent problems and current projections)
- ❑ Food security/self-reliance information (including any recent livelihood/socio-economic studies and data on crop production, income-generation and self-reliance projects)
- ❑ Food distribution data & monitoring reports (including rations distributed compared with plans; syntheses of monitoring reports and samples of individual reports)
- ❑ Market data
- ❑ Non-food project documents and reports
- ❑ Health and nutrition status (including reports of any recent nutritional surveys)
- ❑ Material needs and natural resources (reports on water, sanitation, shelter, the environment, energy needs assessments)
- ❑ Education and other social services (including any associated feeding programmes)
- ❑ Gender & protection issues (including sexually-based violence)
- ❑ Socio-economic situation of the hosting area(s) and host populations; impact of the refugees on the host population
- ❑ Host country basic economic indicators
- ❑ Implementing partner reports and evaluations
- ❑ Local press reports

For countries covered by a regional WFP operation (EMOP or PRRO), documentation should be compiled for each country, and regional overview material separately.

The CD-ROM includes examples of some background documentation compilations ('briefing kits') that greatly facilitated the work of the joint assessment teams and provided a firm basis for their analysis and recommendations. In one case (Nepal, 2003) the 'information package' was made available to mission members in hard copy and also on diskettes to facilitate analysis by mission members and the incorporation of any required elements in the mission report.

If possible, the background documents should be placed on a website where all mission members and other concerned parties can access them during the preparatory phase. Consult UNHCR-TSS and WFP-OEN on how this may be arranged.

Undertaking a preliminary review and analysis of available information

While compiling data, as indicated above, in-country team members should try, on a preliminary basis, to:

- identify changes, trends, possible underlying causes of food insecurity, malnutrition, etc. and any important information gaps;
- summarize the costs, and changes and trends in costs/investment in (i) food storage, handling and distribution, and (ii) related activities including self-reliance.
- initiate additional data collection to fill any serious gaps – this may include organizing specific socio-economic, nutritional or other studies, if needed.

In some cases, preliminary draft summaries have been prepared in advance of the final mission, which has then verified and refined them for the review/re-assessment report on the basis of the mission's own findings.

For countries covered by a regional WFP operation (EMOP or PRRO), summarize the allocations of food and related resources to the different countries, the basis for those allocations and the extent to which resources were able to be switched in response to changing needs.

Summarizing action on previous recommendations

Prepare a summary matrix showing (i) the recommendations of the last joint assessment/review; (ii) the action taken, noting any differences between what was recommended and what was done and the reasons, and (iii) the results.

Use the format below, which should be appended to the final mission report.

1	2	3
<i>Recommendation</i>	<i>Action taken, and when (explain any difference from recommendation)</i>	<i>Results</i>

3.7 Drawing up a mission plan and schedule

The following elements should normally be specified in the plan for the final review/re-assessment mission. The plan should be finalized at least two weeks in advance, if possible, so that all concerned can be informed and prepare.

Key elements of a mission work plan	
<i>Elements</i>	<i>What needs to be done</i>
Decide the sites to be visited	<p>If there are many separate sites, it may not be possible for the mission to visit all of them, although arrangements should be made to visit as many as possible. In order to obtain a valid picture of the situation in different sites, those to be visited/surveyed must be selected carefully to provide a reasonably representative sample. See the box below.</p> <p>Schedule visits simultaneously by logisticians to locations where there are risks to the continuity of transport, storage and handling operations, or a need to review those operations and consider possibilities to improve their reliability and efficiency.</p>
Form sub-teams, if necessary	<p>If sub-teams will be needed to visit separate locations simultaneously, ensure that each sub-team has a reasonable mix of skills and experience, and gender balance. The size of the team/sub-team visiting any one site should normally be limited to 4 persons.</p>
Agree on assessment methods	<p>Agree in advance on:</p> <ul style="list-style-type: none"> • the rapid assessment techniques to be used (and ensure that all team members have a common understanding of how to use the chosen techniques and cross-check information), see 10.5; • the types of key informant to be sought out and the specific types of information to be sought from them; • the approach to be used in selecting interlocutors and focus groups from among the refugees, and the specific types of information to be sought from them, see chapter 8; • any surveys to be undertaken and the sampling method to be used (see 10.3). If no member of the assessment team has the experience and knowledge needed to design an appropriate sampling strategy, mobilize someone who does to propose an approach that will produce data that can be used to make valid comparisons among different groups, if required. <p>Remember: the focus is on changes and trends as well as the present situation, and on the situation of distinct groups within the population. Data must be disaggregated according to various socio-economic categories of households (this could include, for example, female-headed households).</p>

Prepare data collection and reporting formats	Prepare agreed formats for data collection and reporting.
Itinerary, schedule and logistics	Plan the itinerary taking account of logistic realities. Arrange transport (including drivers and fuel) and accommodation in all locations. If the refugees are in an isolated area where there are few services, be as self-contained as possible.
Communications and security	Ensure the availability of telecommunications facilities to be able to report back regularly to the UNHCR and WFP offices in the capital. Ensure that any required security clearances are obtained from relevant national authorities. If the area is classified as UN security phase 1 or higher, ensure that: <ul style="list-style-type: none"> • field visits are cleared by the Designated Official (DO); • communications facilities and all other arrangements comply with UN minimum operational security standards (see MOSS on the CD-ROM); and • all team members have completed security awareness training and receive a security briefing. Arrange for the mission to be accompanied by a field security officer, if necessary.
Coordination	Inform all interested government entities, local officials and organizations in the refugee areas, UN agencies, NGOs and donors of the itinerary and schedule well in advance.

Deciding where to go

1. Categorize all sites according to (i) their population characteristics (e.g. different ethnic groups or different backgrounds), (ii) their socio-economic environment and opportunities for self-reliance (e.g. whether urban periphery or rural, located in different types of livelihood zone and/or with different levels of access to land, employment and markets), and (iii) their size (the number of refugees).
2. Identify a number of camps in each category that could be representative of sites in that category.
3. Identify camps that pose particular problems that the review/re-assessment is charged to address.
4. Plan an itinerary – or itineraries for separate sub-teams – that takes in at least one site from each category, more than one (if possible) for categories that include many sites.

3.8 Undertaking the assessment and analysis

☞ See [7.1](#) for suggestions on “how to proceed” in undertaking an assessment in the field, and chapter 8 for information that may need to be collected from different sources.

☞ See [chapter 9](#) for suggestions on how to analyse and interpret information on some of the topics on which the assessment team will usually be required to report.

The success of the assessment will depend on the leadership provided by the co-team leaders and the commitment of all team members to (i) work together in pursuit of the common objective in the framework of the agreed terms of reference, and (ii) find practical, pragmatic solutions to the problems that will inevitably arise.

If sub-teams visit separate locations simultaneously, ensure that (i) each sub-team is balanced, (ii) specific sub-team members are briefed to gather information on particular aspects for which expertise may be lacking within the sub-team, and (iii) one member of each sub-team is designated to compile a note on the sub-team’s findings;

Differences of opinion will be inevitable, and should be thoroughly discussed within the team with the aim of reaching consensus on how to proceed. Any important differences that cannot be

resolved within the team should be reflected in the report and be referred to the UNHCR Representative and WFP Country Director. If they cannot be resolved at that level, they should be referred to the regional directors.

3.9 Preparing and disseminating the report

Record findings each day. All assessment team members/participants and/or sub-teams should submit notes on their findings on a daily basis to the team member responsible for compiling the relevant thematic section of the overall report.

Prepare and present a draft summary report. Before the end of the mission – before external mission members (if any) leave the country:

- the rapporteur, working with the co-team leaders and one or two designated core team members when appropriate, should summarise the provisional findings, conclusions and recommendations in a few (3-4) pages;
- the co-team leaders should jointly present these provisional findings, conclusions (including the pros, cons and implications of various possible courses of action) and recommendations to the host Government, other concerned UN-agencies, the major donors and key NGOs in a specially-convened wrap-up meeting.

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

Refine and sign the summary report. Within 2 days after the wrap-up meeting:

- the rapporteur and the co-team leaders should refine the summary report, taking account of discussions at that meeting, and sign off on it;
- the UNHCR Representative and the WFP Country Director should also sign off on the summary report.

Prepare and circulate a draft of the full report. Within 10 days of the wrap-up meeting:

- The rapporteur, in collaboration with the co-team leaders and one or two other core team members when designated, should submit the draft full report to the UNHCR Representative and the WFP Country Director.
- The UNHCR Representative and the WFP Country Director should jointly circulate the draft report to all members of the assessment team, relevant government departments, the principal NGO partners, other UN agencies, the main donors, and the regional directors and relevant headquarters units of UNHCR and WFP, and invite comments within 10 days.

Finalize the full report. Within 30 days of the wrap up meeting:

- the rapporteur, in collaboration with the co-team leaders and one or two other core team members when designated, should finalize the full report, and the co-team leaders sign off on it (or confirm their approval by email authorizing the rapporteur to sign on their behalf);
- the UNHCR Representative and the WFP Country Director should also sign off on the report.

Communicating the report. As soon as the report is finalized, it should be sent to: the Government; all government entities, organizations and donors that contributed to the preparations for and/or participated in the assessment, including at field sites; the regional bureaux and relevant headquarters units of UNHCR and WFP; and the UN Resident Coordinator and other members of the UN country team.

3.10 Preparing a draft joint plan of action (JPA) matrix

As an annex to the full report, a draft joint plan of action (JPA) matrix should be prepared listing the recommendations of the joint assessment, the specific actions to be taken to implement those recommendations, the date by which they should be completed and who will be responsible. Use the format below.

<i>Recommendation</i>	<i>Priority high/low</i>	<i>Action Required</i>	<i>Est. cost (US\$)</i>	<i>Responsibility</i>	<i>Time frame</i>	<i>Action taken</i>

☞ For an example of a JPA matrix, see *Tanzania JPA 2003*, on the CD-ROM

4. In-Depth Assessment of Food Security and Self-reliance

This chapter provides general guidelines for organizing an in-depth assessment of the current levels of food security and self-reliance of refugees, any risks to self-reliance, and the potential for increased self-reliance.

The costs of an in-depth assessment are shared between UNHCR and WFP, especially when a consultancy is required (see [MOU # 3.8](#)).

4.1 When is an in-depth assessment/study needed?

An in-depth understanding of the food security situation of the population, the level of self-reliance and the potential for increased self-reliance, is essential in any refugee assistance operation that continues for more than a few months.

In the early stages of a refugee crisis

The detailed initial assessment (see [chapter 2](#)) should have identified the refugees' early coping strategies and the more obvious possibilities for activities contributing to self-reliance, if any – e.g. when land is available for planting or some refugees are able to find employment in the locality. However, once the situation has begun to stabilize (hopefully after a few months), an in-depth assessment/study of the current and potential levels of self-reliance will be needed to:

- a) determine more precisely what the refugees can provide for themselves (their present levels of self-reliance) and what could change in the amounts of food and income that refugees currently obtain through their own efforts and from sources other than food aid; and
- b) identify opportunities which are (or could become) available to enhance self-reliance, and determine the capacities of the different socio-economic groups to exploit those opportunities; in order to
- c) inform decisions on (i) what food assistance is required by whom; (ii) how to enhance self-reliance and reduce risks to self-reliance; and (iii) how to target assistance and related measures.

During an ongoing operation

The evolution of the situation should be continuously monitored to detect any changes in the coping and food security strategies of the refugees and in the food or income they are able to obtain through their own efforts (as well as any unusual change in nutritional status) – see [chapter 6](#). This information will be thoroughly reviewed as part of the periodic joint review/re-assessment of the operation, as described in [chapter 3](#).

A thorough, in-depth review/re-assessment of the food security and self-reliance situation may be needed following a significant change in the situation – e.g. following relocation of the refugees or a natural disaster, major change in government policy or conflict in the refugee hosting area that disrupts refugees' self-reliance activities. In such circumstances, a new in-depth review/re-assessment should be organized as soon as feasible. In most situations, it will be appropriate to organize an in-depth assessment at least every three years (more frequently if monitoring has been restricted).

When UNHCR is planning to undertake a situation analysis or participatory planning process, the in-depth study of food security and self-reliance should precede and serve as an important input to that multi-sectoral analysis/planning process. Together, they should inform the adjustment and forward planning of assistance operations in relation to food security and self-reliance.

4.2 Steps in planning an in-depth assessment

Senior programme staff of UNHCR and WFP, in consultation with the government and other partners, should:

1. Jointly examine available information and agree on the scope and general objectives of the assessment – see [4.3](#);
2. Mobilize partners and funding – see [4.4](#);
3. Agree an appropriate timing for the assessment, refine the proposed objectives and develop a preliminary outline for the terms of reference (TOR) – see [4.3](#) and [8.5](#);
4. Decide whether (i) existing staff and/or partners can undertake the assessment within the required time frame, or (ii) a competent organization, company or national institute should be commissioned to do it. If (ii), draw up a short list of possible candidates;
5. Finalize the TOR (including the time frame), specify the skills required, develop a work plan and budget for organizing the assessment, and select the assessment/study team – see [4.6](#).

Governmental and NGO partners engaged in food and self-reliance activities should be included from an early stage in consultations concerning the planned in-depth assessment. Consider establishing a steering committee – see box below.

Establishing a steering committee

It may be useful to establish a steering committee to:

- agree the terms of reference and the selection of the team;
- help secure the collaboration of all parties in the field to facilitate the assessment;
- help resolve any problems that arise during the assessment; and
- review the report and collaborate in following up on the findings and recommendations.

A steering committee would normally include representatives of the same entities that would be involved in a joint assessment or review of the operation as a whole, namely: UNHCR, WFP, a representative of the national entity responsible for refugees, one or two representatives of the major donors, and representatives of the major NGOs involved in food security and self-reliance programmes.

Where feasible, one or two representatives of the refugees may be included (e.g. if the general situation and social organization among the refugees is such that one or two individuals can be identified who are widely respected among the refugees and recognized to represent them).

4.3 Defining the scope, objectives and terms of reference

Scope and objectives

An in-depth assessment may be required to look at all aspects listed as ‘possible objectives’ in the box below, or only some of them. The precise objectives must be agreed between UNHCR, WFP and the government and adapted to the local situation.

Terms of reference

Based on the agreed objectives, clear and precise terms of reference (TOR) must be drawn up specifying:

- the particular aspects to be assessed and analysed;

- the methodology/ies to be used; [invite consultants, before any contract is signed, to propose the methods they would use]
- the locations to be visited; [invite consultants, before any contract is signed, to propose the sampling procedure they would use]
- the output required – the style of the report and topics to be covered;
- the dates by which the report and any interim reports are required;
- any other activity required, especially if a consultancy firm or institute is being engaged. This could include the training of a specified number of staff of UNHCR, WFP and partners in assessment techniques or for the monitoring activities that will be required following the assessment.

The timing should be decided to ensure that the data will be available in advance of the next joint review/re-assessment taking account of seasonal factors (e.g. when crop data will be available, or access to the areas be difficult).

Especially when the assessment is to be contracted out, the TOR should specify that an initial report will be submitted in draft (and to whom it is to be submitted) and provide time for refinements to be made to the draft once it has been reviewed.

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

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

☞ A framework for the development TOR is provided in [annex 4](#), and an outline report format in [annex 5](#). These should be adapted as appropriate.

N.B. In case of a **regional operation**, standard methods of enquiry and assessment should be used in all countries to ensure maximum comparability between findings, but analysis and recommendations should be tailored to the specific situation in each country.

Possible objectives for an in-depth assessment of food security and self-reliance

Depending on the situation and the phase of the assistance operation, an in-depth assessment may be very comprehensive – broad in scope – or focused on particular aspects. Specific objectives will be defined accordingly. They may include some or all of the following:

- a) *Food-security/livelihood groups:*
 - To identify socio-economic groups within the refugee population who have different livelihood and coping strategies, define their characteristics and estimate their numbers.
- b) *Current levels of food security/self-reliance:*
 - To determine the extent to which households in each distinct socio-economic group can meet their own food needs in a sustainable manner while also meeting their other essential needs and without engaging in strategies that are illegal or anti-social, that expose the refugees to personal risk, or that undermine their own long-term food security or that of the local, host population.
- c) *Food consumption and use:*
 - To determine what households in each socio-economic group are actually eating, the use they are making of the food aid and other resources currently available to them (including trade/exchange with host populations), any problems in the use of particular items or the preparation of foods for family meals and for young children, sick and

elderly people, and to make recommendations for any changes needed in the current food basket and related non-food assistance.

d) *Targeting:*

- To determine whether and how assistance should be designed and targeted separately to different groups.

e) *Potential and risks for self-reliance and food security:*

- To identify factors – legal, physical, economic, social, cultural and seasonal – that facilitate or constrain the refugees' ability to become more self-reliant;
- To identify factors that could change the amounts of food and/or income that refugees currently obtain through their own efforts and from sources other than food aid, and estimate the amounts that could be gained/lost as a result for each distinct population group/category;
- To determine the impact of training and other activities already implemented with the aim of increasing self-reliance;
- To identify opportunities which are, or could become, available to households in the different locations and/or socio-economic groups to enhance their levels of self-reliance, and any limits on those opportunities;
- To assess market conditions, including any recent changes and trends in prices and the volumes of items traded, and the possibilities for refugees to continue and, if possible, increase purchases food and the sale of labour, other services and any goods they may produce;
- To determine the capacities of the different socio-economic groups to exploit available opportunities, estimate the amount by which their self-reliance could be increased, and when the increase could be realized; and
- To make recommendations for: (i) measures and specific assistance inputs to enhance self-reliance, (ii) measures and inputs to reduce risks to existing and/or future self-reliance activities, and (iii) targeting mechanisms and critical timing considerations for the provision of inputs and the implementation of other measures.

f) *Scenarios of the effects of change:*

- To determine the likely effects on different population groups of contingencies such as changes in government regulations, reduced distributions due to pipeline interruptions, or changes in food basket composition or targeting criteria.

g) *Training* (if a consultancy firm or institute is being contracted).

4.4 Mobilizing funding and partners

Mobilizing funding

The need for such an assessment in the early stages of an operation should have been anticipated in the UNHCR operations plan and WFP EMOP, and budgets set aside for the purpose by both organizations. Similarly, the need for periodic food security reviews/ re-assessments should be foreseen in subsequent UNHCR Operations Plans and WFP EMOPs or PRROs. In the event that additional resources are required, each organization should inform their respective headquarters and make a joint approach to donor missions at the country level, keeping both headquarters informed.

Mobilizing partners and expertise

Specific food security skills are needed to thoroughly assess current levels of self-reliance, and a wide range of skills to identify and quantify (i) opportunities for increased self-reliance and (ii)

potential threats to both current and possible future self-reliance activities. Aspect to be considered may include: production and marketing of food or cash crops; storage capacities and conditions; livestock, hunting, fishing and gathering activities; daily labour, wage employment, provision of skilled/ professional services, home production of items for sale, access to micro-finance services, access to markets, etc.

Relevant expertise and practical experience must be mobilized to:

- help draw up the terms of reference for the assessment and elaborate the workplan;
- participate either in the assessment or in the selection of an appropriate entity to be commissioned to undertake it.

Such expertise may be mobilized within the country through:

- the UN Country Team – especially FAO for agriculture, forestry, livestock and fisheries aspects, and ILO for employment, micro-finance, skills training and income generating aspects; and
- national institutions, specialized NGOs and donor missions.

When necessary, expertise may be mobilized from outside the country through the regional offices or headquarters of UNHCR (Reintegration and Local Settlement Section [RLSS]) and WFP (Emergency Needs Assessment unit [OEN]).

4.5 Deciding on the methodology/ies to be used

A combination of qualitative (rapid assessment) and quantitative (household survey) methods will usually be needed, as outlined in [7.4](#). However, in an unstable or insecure situation, a survey may not be feasible and only rapid assessment methods be used.

☞ For guidance on sampling and the pros and cons of different data collection methods, see [10.3](#) and [10.4](#).

Prior to gathering data, the assessment/study team should:

- review existing relevant information (reports, studies, etc.), and
- together with senior UNHCR and WFP staff, meet all concerned parties, including the local government and representatives of the refugees, to explain the objective and schedule of the assessment/study (setting it in the context of earlier dialogues concerning the goal and objectives of the assistance programme).

During field work, the team should visit relevant sites outside as well as inside the refugee camps/settlements and cross-check and verify all data.

Before finalizing the report, the team should discuss their findings and proposed recommendations with all stakeholders including relevant UNHCR and WFP staff.

4.6 Selecting the assessment/study team

The essential steps are:

1. Specify the skills required to fulfil all the tasks in the terms of reference and produce the required output(s). The table below suggests the skills required for the typical components of a comprehensive food security and self-reliance assessment.
2. Determine whether existing staff and/or partners have the expertise and the time to organize/undertake such an assessment within the required time frame:
 - If so, draw up a work plan (including the recruitment and training of field survey personnel, if necessary) and budget, and secure commitments that the required

staff will indeed be released to prepare and manage/implement the assessment and finalize the report within the defined time period.

- o If not, draw up a short list of competent organizations, companies or national institutes that could be commissioned, circulate the TOR highlighting the deadline for completion of the assessment and submission of the report, and invite proposals.

However the team is constituted, it should include individuals who know the area; individuals with cross-disciplinary skills (social, economic and institutional); and a balance of male and female team members.

Skills required for various components of food security and self-reliance assessments	
<i>Component</i>	<i>Skills likely to be required</i>
<p>Food-security/livelihood groups – identifying distinct group, determining characteristics</p> <p>Targeting – determining whether targeting assistance on the basis of socio-economic criteria would be feasible and, if so, how</p>	<p>Food security analysis</p> <p>Social anthropology</p> <p>Rapid assessment techniques (especially focus group discussions and key informant interviews)</p> <p>Experience in targeting and distribution methods</p>
<p>Current self-reliance – identifying food sources and identifying and estimating income, expenditure, assets and debts</p>	<p>Food security analysis</p> <p>Economic analysis</p> <p>Rapid assessment techniques (especially focus group discussions, proportional piling, pair-wise ranking and key informant interviews)</p> <p>Household surveys (design, implementation and analysis)</p>
<p>Food consumption and use – determining patterns, identifying problems, recommending changes</p>	<p>Nutrition</p> <p>Rapid assessment techniques (especially focus group discussions, proportional piling and observation)</p> <p>Household surveys (design, implementation and analysis)</p>
<p>Potential and risks for self-reliance and food security – identifying, determining capacities, estimating potential, recommending action</p>	<p>Market surveys (design, implementation and analysis)</p> <p>Technical expertise in relevant sectors (e.g. land use, agriculture, livestock, forestry, employment programmes, marketing)</p> <p>Rapid assessment techniques (especially focus group discussions and key informant interviews)</p>

4.7 Preparing the work plan and budget

Work plan

When the assessment is to be organized by staff and/or partners, a work plan should be drawn up as indicated below. When another entity is to be commissioned (contracted) to undertake the assessment, that entity should be prepare and submit its proposed work plan for approval by the steering committee.

Details will depend on the situation and the focus of the exercise, but the table below suggests some of the key elements that should normally be specified in the work plan:

Key elements of a work plan	
<i>Elements</i>	<i>What needs to be done</i>
Assessment methodology	Agree the methodology/ies – qualitative and/or quantitative – to be used (see previous table) and the types of key informants and other interlocutors/respondents to be addressed, and compile corresponding guidelines for field survey personnel.
Sampling	<p>Agree the sampling method – see 10.4.</p> <p>If there are many separate sites, it may not be possible for the survey team to visit all of them. A two-stage sampling process will then be needed to (i) select the sites to be visited/surveyed¹⁰ and (ii) to select households (or groups) to be interviewed at each site.</p> <p>If a household survey is to be conducted, the sampling frame should be defined and the sampling method be specified by someone with experience in designing statistically representative field surveys.</p>
Data collection instruments	Prepare and pre-test the data collection formats (if a household survey is to be organized). This is a crucial step. Don't underestimate the time needed!
Selection and training of field survey personnel	<p>Prepare job descriptions for field survey personnel, including qualification requirements.</p> <p>Designate existing staff and/or arrange to recruit additional personnel, as needed.</p> <p>Prepare materials for and organize short training for the field survey personnel, including supervised field exercises to ensure consistent quality in sampling and data gathering.</p>
Itinerary, schedule and logistics	<p>Plan the itinerary and schedule for meetings and field work taking account of logistic realities and allowing sufficient time for data collection, verification and discussion at each site.</p> <p>Arrange transport (including drivers and fuel) and accommodation in all locations. If the refugees are in an isolated area where there are few services, be as self-contained as possible.</p>
Security	<p>Ensure that any required security clearances are obtained from relevant national authorities.</p> <p>If the area is classified as UN security phase 1 or higher, ensure that field visits are cleared by the DO and that communications facilities and all other arrangements comply with UN minimum operational security standards, see MOSS on the CD-ROM.</p>
Coordination	<p>Inform all 'stakeholders' who have an interest in the assistance operation – all government entities, organizations, donors and the refugees – of the re-assessment [or review], not limited too those who are members of the steering committee.</p> <p>Inform local officials and organizations in the refugee areas of the schedule of the survey team.</p>

Budget

Possible budget items for an in-depth assessment/study include:

- Staff salaries/consultants fees
- Travel/transport costs and DSA
- Training (materials and direct costs)
- Data collection and processing
- Printing and duplication
- Communications
- Support staff
- Supplies and equipment

¹⁰ The notes under *Deciding where to go*, in chapter 3, provide rough indications but, for an in-depth assessment, a formal (probably stratified) sampling process should be followed, as outlined in 10.3.

4.8 Managing the process

The assessment team leader or, in case the assessment is contracted out, the UNHCR/WFP assessment manager must, amongst other things, ensure:

- careful financial planning and management to ensure that work is not delayed by lack of funds in hand, delayed payments, etc.
- the monitoring and day-to-day management of logistics arrangements to ensure that work is not delayed by lack of transport and that assessment teams do not waste time on practical problems relating to transport, accommodation, etc.
- an appropriate level of interaction and ongoing reporting back between the assessment/study team and the senior programme officers in UNHCR and WFP, and through them to the steering committee.

Don't under-estimate the cost, time and resources needed! Be systematic (in planning and supervising), sensitive (to the needs of the team and others involved), and solutions-oriented (anticipate and respond promptly to the problems that will inevitably arise).

5. Assessing in preparation for repatriation and reintegration

This chapter outlines the aspects that need to be jointly assessed in anticipation of voluntary repatriation from the country(ies) of asylum and reintegration in the country of origin.

5.1 What is the framework for joint planning for repatriation and reintegration?

For **facilitated and/or organized voluntary repatriation**, aspects of departure arrangements of concern to both UNHCR and WFP are planned between country offices in each country of asylum, while assessment and planning for reintegration will be a new joint operation in the country of origin. Coordination is essential between offices in the country of origin and those in all the countries of asylum. In all cases, UNHCR should keep WFP (as well as other stakeholders) informed concerning the possibility of a durable solution and involve WFP in consultations from an early stage – as soon as UNHCR and the Government have agreed on a particular type of solution.

UNHCR, working with the UN Resident Coordinator, is responsible to mobilize concerted, inter-sectoral action by the UN country team (UNCT), NGOs and other development actors to support reintegration in the country of origin. UNHCR normally organizes ‘advance visits’ of representatives of the prospective returnees to their country of origin to see whether living conditions are conducive for safe and sustainable return. UNHCR should involve WFP in those visits in the country of origin.

In case of **spontaneous repatriation**, a joint assessment should be undertaken rapidly in the country(ies) of asylum to determine the adjustments to be made in ongoing assistance operations. In the country of origin, UNHCR should work with the Resident Coordinator and UNCT to organize inter-agency assessments of the recovery needs of the areas to which the people are returning, and involve WFP in the process.

On what basis are ‘repatriation’ and ‘reintegration’ packages designed?

A **‘repatriation package’** is a bundle of non-food items (such as plastic sheeting and water containers), and sometimes cash, that is provided by UNHCR to the refugees as they leave the country of asylum to help them during the journey and on arrival in the area of reintegration. When necessary, the package may also include small quantities of food (from WFP) for the same purpose, but this is usually kept to a minimum to avoid transport problems for both the refugees and UNHCR.

A **‘reintegration package’** is the assistance provided to returnees after their arrival in the country of origin and during a short period thereafter to cover their needs while they reintegrate and progress towards food security and self-reliance. It is defined for each group of returnees on the basis of a joint assessment in the country of origin, taking account of:

- what the returnees will be able to provide for themselves and receive from other sources;
- local social and economic standards;
- what is being provided for returnees from other countries in the region to ensure standard treatment;
- the assistance being provided to other groups – such as IDPs, IDPs returning home and demobilised soldiers – and to the general population of the area, so as not to create disparities and potential resentment between the different groups; and
- whether, especially for returnees in urban areas, food or other forms of assistance would be appropriate in the light of market conditions and the need to avoid creating a ‘pull factor’ to urban centres.

Assistance to returnees and/or returnee areas?

Reintegration strategies should be developed that: “help to integrate refugees into their former or new communities, keeping in mind the broader food security situation of such communities as well as government policies and sensitivity. Normally, assistance provided to communities or areas is likely to be more appropriate than that provided to individuals.” [MOU # 3.13]

Where specific WFP assistance to returnees in an organized/facilitated repatriation operation is appropriate, it will be provided for a minimum of 3 months up to a maximum of 9 months – until the next harvest for returnees in rural areas. Separately, returnees may be integrated into food-for-work or other WFP-assisted recovery activities, and/or school feeding or other development activities, in the area. UNHCR is responsible for informing the refugees/returnees of the details of repatriation and reintegration packages.

Exceptionally, a reintegration package of food may be supplied to returnees as they leave the country of asylum. This has been done for some nomadic and other groups whom it will be difficult to reach once they have left the country of asylum, but must take account of transport, storage and shelf-life considerations.¹¹

Any disagreements at country level regarding the reintegration package should be referred to the Regional Directors, and any unresolved issues to the Assistant High Commissioner, UNHCR, and the Deputy Executive Director for Operations, WFP.

In case of *spontaneous repatriation*, the focus should normally be on multi-sectoral area-based assistance to the localities to which people are returning rather than reintegration packages to individual returnee households.

What are the mechanisms for providing assistance?

For UNHCR, assistance is provided initially through the submission and approval of a project within the existing Country Operations Plan (COP), if any, using existing resources, and/or as a new project under a Supplementary Budget (SB) especially if the voluntary repatriation is being launched after the approval of the COP by the Executive Committee (EXCOM).

In most cases, *WFP assistance* to departure from the country(ies) of asylum will be through an existing PRRO. In the country of origin, WFP assistance to reintegration will initially be through an ongoing operation in that country (if any), a new operation (normally an EMOP), or the expansion of ongoing WFP development activities (with additional resources mobilized through an EMOP). Where the refugees have been assisted through a regional operation, assistance in the country of origin may be provided through the same operation using the existing pool of resources.

5.2 Initiating assessments in the countries of asylum and origin

In the country(ies) of asylum

Prospects for voluntary repatriation (or any other durable solution) should be explicitly considered during each review/re-assessment of an ongoing operation, see [chapter 3](#). If a possibility for voluntary repatriation arises and planning should start before the next review/re-assessment is due, the UNHCR Representative should immediately inform the WFP Country Director and initiate a special joint assessment and planning process.

¹¹ Returnee packages have been provided to Toureg nomads leaving Burkina Faso in 1997, and to some Afghan refugees leaving Pakistan in the 1990s in exchange for their ration cards.

In the country of origin

The UNHCR Representative should keep the WFP Country Director informed of the status of any negotiations with the government concerning voluntary repatriation, including the proposed areas of reintegration. As soon as these areas have been agreed, the UNHCR Representative should inform the WFP Country Director, involve WFP in the inter-agency assessment and planning process (normally coordinated through the UN country team), and initiate joint assessment of any requirement for food and related assistance during an initial period of reintegration.

WFP will support UNHCR in mobilizing relevant development partners to collaborate in the assessment, design and implementation of food-security related assistance to reintegrate the returnees.

When there is an existing UNHCR-WFP contingency plan (or a UN country team/inter-agency contingency plan) for repatriation and/or reintegration, it should be activated and UNHCR and WFP launch the joint assessment in the manner described in the plan.

5.3 Defining assessment objectives and terms of reference

Objectives and terms of reference for the assessment must be defined jointly in the context of the particular local situation. Typical objectives are suggested below. The terms of reference should also specify the approach to be used (see [5.5](#) below), the outline for the report and the date by which the report should be submitted.

In the country(ies) of asylum

Typical objectives are:

- To define any food and related non-food requirements during the movement of the refugees to the departure points from the country(ies) of asylum;
- To determine, in consultation with UNHCR and WFP in the country of origin, whether any 'carry-home' food or related material assistance should be distributed to the refugees/returnees before their departure as part of a returnee package and, if so, what should be provided and the modalities for distribution;
- To define arrangements for the withdrawal of ration cards from the departing refugees and the corresponding reduction of deliveries for continuing distributions to the remaining population;
- To determine what joint actions should be taken to preserve (if necessary rehabilitate), for the benefit of the host population and area, the infrastructure (schools, health facilities, etc.) created for the refugees,¹² and to clean up and restore the environment.

The checklist in [7.9](#) suggests aspects on which information should be gathered and analysed.

In the country of origin

Typical objectives are:

- To define any food and related non-food requirements at the arrival or transit centres through which the returnees will pass or where they will initially stay;
- To identify opportunities for the returnees to achieve sustainable food security and self-reliance as fully integrated members of the receiving community;
- To determine when the returnees in rural areas will benefit from their first harvest after their return;

¹² For example, WFP contributed through food-for-work to the rehabilitation of refugee schools in Burkina Faso when the Toureg refugees departed.

- To define requirements for support to reintegration (including both food and non-food assistance) for a jointly agreed initial period taking account of the food and income the returnees will be able to secure for themselves or receive from other sources after their arrival and, exceptionally, any 'carry-home' items they may receive before leaving the country(ies) of asylum – define the assistance to be provided, the duration and the modalities of distribution;
- To identify possibilities for integrating the returnees in ongoing or new WFP-assisted development activities in the areas of their reintegration.

The checklist in [7.10](#) suggests aspects on which information should be gathered and analysed.

5.4 Organizing the assessment

In the country(ies) of asylum

When a special, repatriation-focused joint assessment is organized separately from a periodic review/re-assessment, the team should normally include:

- *UNHCR and WFP*: each organization will nominate its own representatives/participants and their co-team leader.
- *The government*: at least one representative of the national entity responsible for refugees and of the relevant local authority (regional/provincial/district, as appropriate).
- *Donors*: one or two representative(s) of the major donors should be invited.
- *NGOs*: representatives of the main NGOs should be invited.

The team should possess skills and experience in:

- food security and food aid management (from WFP);
- public health and community services (from UNHCR);
- infrastructure development/rehabilitation (from UNHCR);
- protection (from UNHCR);
- logistics (from both WFP, for food logistics, and UNHCR for other logistic concerns).

There should be a balance of male and female team members.

A schedule must be drawn up and logistics, communications and security be assured, as for other joint assessments.

In the country of origin

Whenever possible, the joint UNHCR-WFP assessment should be integrated within a wider inter-agency assessment coordinated by the government, UNHCR and the UN Resident Coordinator, and including a range of development actors – government departments, FAO, ILO, WHO, UNESCO, UNICEF, UN-HABITAT and NGOs – and representatives of the major donors. Exceptionally, a UNHCR-WFP led joint mission may be organized in a manner similar to that outlined in [chapter 3](#).

As a minimum, the team should possess skills and experience in:

- food security and food aid management (from WFP);
- public health (from UNHCR, local expertise or WHO);
- sociology/anthropology (e.g. from UNHCR community services);
- self-reliance – agriculture, employment and income-generating activities (normally from UNHCR, FAO, ILO and/or an experienced NGO);
- protection (from UNHCR)

- logistics (from both WFP, for food logistics, and UNHCR for other logistic concerns);

and should include:

- individuals with extensive knowledge of the area;
- individuals with cross-disciplinary skills (social, economic and institutional);
- gender balance – a balance of male and female team members.

A schedule must be drawn up and logistics, communications and security be assured, as for other joint assessments.

The schedule should integrate the 'advance visits' of representatives of the prospective returnees organized by UNHCR, and WFP should participate in those visits whenever possible.

Effective use should be made of relevant existing information (including WFP-VAM and other documentation).

5.5 What methods to use?

In the country(ies) of asylum

Essential planning data will be drawn from preliminary UNHCR and government plans for repatriation.

Visits should be made to:

- all camps from which the refugees will depart, to discuss arrangements with refugee leaders and representative groups;
- all planned stopping points where the refugees will sleep and/or where food will be provided, to observe facilities and discuss arrangements with local authorities and partner NGOs.

In the country of origin

Essential planning data will be drawn from preliminary UNHCR and government plans for repatriation.

Visits should be made to:

- the proposed arrival and transit centres:
 - to observe environmental conditions and the facilities available; and
 - to discuss with local officials and NGOs that could be involved.
- all, or a representative sample of, the localities where the returnees will be reintegrated:
 - to observe ecological and economic conditions, and infrastructure;
 - to discuss with local officials, community leaders, local businessmen and market traders, and NGOs;
 - to discuss with representative (focus) groups of local people.
- the logistic locations and facilities that will be critical to the delivery of food and other needed supplies:
 - to inspect facilities;
 - to discuss with transporters, forwarding agents and warehouse owners.

For details of planning for repatriation in general, see:

- *Handbook for repatriation and reintegration activities*, UNHCR 2004
- *Reintegration – a practical checklist*, UNHCR Aug. 2003

For more detail on possibilities for self-reliance, see: *Self-reliance handbook*, UNHCR expected end-2004
First edition, 30 June 2004

6. Monitoring

This chapter provides brief guidance for regular monitoring of food distributions and the use of food by the refugees/returnees.

Both UNHCR and WFP have responsibilities for monitoring. Field staffs of both organizations are expected to undertake periodic joint monitoring activities at food distribution sites and at household (and community) level [see [MOU # 7.1](#)]. If for any reason joint monitoring is not possible, then UNHCR and WFP should coordinate who will conduct distribution monitoring and community-level monitoring to ensure UN presence at distribution sites and avoid duplication of effort for the community-level monitoring.

6.1 What is the purpose of monitoring?

The purpose of monitoring is:

- to see whether operations are proceeding as planned and producing the expected results;
- to detect changes in the situation that may require some modification of plans or follow-up expert investigation (e.g. a survey); and
- to enable action to be taken to help ensure that objectives are achieved.

There are some basic indicators (of inputs, process and outcomes) that must be monitored in all situations for result-based management reporting purposes. Other monitoring requirements will be defined according to the needs of the particular situation. The initial assessment and subsequent reviews/re-assessments should specify the aspects/indicators to be monitored during the subsequent operating period. Monitoring itself will provide essential information for the next review/re-assessment.

6.2 Monitoring at food distribution sites

Monitoring at distribution sites focuses on:

- checking on the distribution process – monitoring within the distribution centre; and
- confirming what beneficiaries actually receive – exit monitoring, often referred to as ‘food basket monitoring.’

The purpose is to identify any problems, and solutions to them. Monitors also learn something about the perspectives of the beneficiaries.

☞ A checklist covering the two aspects listed above is provided in [10.6](#). Suggested recording and reporting formats are provided in *Food Tool Kit*, UNHCR 1999.

6.3 Monitoring at household and community levels

Monitoring at household and community levels – sometimes referred to as ‘beneficiary contact monitoring’ (or ‘post distribution monitoring’) – focuses on:

- learning about the use made of food aid by the beneficiaries; and
- identifying any changes in the food security situation including non-food aspects that influence nutritional status, general well-being and the use of food, which should be confirmed through a more thorough expert survey.

Problems with the overall planning and management of the targeting and distribution system may also be identified.

Such 'beneficiary contact monitoring' is most useful when undertaken 1 to 2 weeks after a distribution (for long-interval distributions). If there is a monthly distribution, then the monitoring exercise should take place once a month in the initial stages of displacement or when there are persistent problems in the camp (reports of sexual exploitation, serious malnutrition, persistent reports of theft or taxations, etc), and at least every three months in more stable conditions.

Special attention should also be given to monitoring at household and community level following events that significantly affect refugees' access to food (including climatic or other events that affect self-reliance activities, or changes in the ration, whether planned or unplanned).

Techniques for community-level/beneficiary contact monitoring

Use a combination of careful observation, informal enquiries, sensitive listening and semi-structured interviews with key informants and focus groups of the most vulnerable population subgroups, women's groups and religious groups. Seek feedback directly from women, men and children on their access to, use of and satisfaction with the intervention outputs. Where possible, rapid sample surveys can also be organized (by WFP or others).

- ☞ A checklist is provided in [10.7](#).
- ☞ Some guidance is provided in *Food Tool Kit*, FTM-2(b), UNHCR 1999.
- ☞ [7.5](#) and [7.6](#) provide suggestions concerning information to gather from focus groups and during visits to refugee households during assessment. They may also be relevant for ongoing monitoring of the situation at household and community levels.

Interpreting and using monitoring data

Data from monitoring at household and community levels must be examined to identify trends and unexpected changes, and be considered in the context of the overall situation – they must be triangulated against other data from other sources:

- Look in particular for changes in: what people are actually eating; the proportions of ration items that are consumed, sold or exchanged; the livelihood and coping strategies used – particularly the adoption, or intensification, of 'distress' strategies.
- Other relevant data to be considered include mortality and morbidity; changes in admission rates to supplementary and especially therapeutic feeding programmes; new population movements; changes in distribution arrangements or ration composition; changes in the security situation; etc.

When livelihood and coping strategies are vulnerable to foreseeable, even relatively small changes in the situation, a 'coping strategies index' (CSI) may be established and used to monitor the extent and severity of changes in the coping strategies used.

- ☞ For details concerning the establishment and use of a CSI, see *Food security proxy indicators* in *Emergency food security assessment guidelines*, provisional version expected end-2004).

**PART II:
GUIDANCE AND TOOLS FOR JOINT
ASSESSMENT TEAMS**

7. How to Proceed

This chapter provides brief guidance notes (*aide-memoire*) on the general process a joint assessment team should normally follow. It suggests the kind of approaches and methods that may be appropriate in relation to the main topics that the team is required to assess.

7.1 Things an assessment team should do

Before going to the field sites

- ❑ Examine available *secondary data* and summarize those data under the headings of the overall checklist/report format.
- ❑ If there are many sites and it will not be possible to visit all of them, decide on the *sampling strategy* – where to go, see [2.4](#) (initial assessment) and [3.7](#) (review/re-assessment).
- ❑ If *sub-teams* visit separate locations simultaneously, ensure that (i) each sub-team is balanced, (ii) specific sub-team members are briefed to gather information on particular aspects for which expertise may be lacking within the sub-team, and (iii) one member of each sub-team is designated to compile a note on the sub-team's findings.
- ❑ Within the team (or each sub-team) agree on a sensible *division of labour* – who will collect information on what.
- ❑ Ensure that all assessment team members understand local *cultural norms* and those of the refugees (so as to be able to adopt appropriate, respectful approaches).
- ❑ Thoroughly brief any *interpreters* who will accompany the team. Ensure that they understand the purpose of the assessment exercise, the topics to be addressed, the techniques you will be using, and their own role – to faithfully convey your questions and what the informants say (not to give their own interpretation of what is being asked or said).
- ❑ Brief the *drivers* on the purpose of the assessment exercise and the contribution they can make by talking informally with local people and refugees about the general situation while the team members are in meetings and at work at the refugee sites.

At district level

- ❑ Divide the team into sub-teams to meet simultaneously with: the heads of the local administration and police; the local health and social services officers; the local water supply and natural resources officers. In case of a review/re-assessment, also meet with the local agriculture, livestock, labour and other officials relevant to self-reliance activities. [8.1](#) provides checklists of information to seek during these initial meetings.
- ❑ Re-assemble the team in the office of the local administration to: exchange and consolidate information; plan (or confirm) the itinerary and schedule to visit as many as possible of the refugee sites, and potentially important logistics centres, together with local officials and including security escorts, if needed.

At each arrival/transit point (during an initial assessment)

- ❑ Observe conditions;
- ❑ Estimate the numbers present and the numbers arriving per day; check trends for numbers arriving;

- ❑ Enquire about the situation in the country of origin and any information available concerning the numbers and characteristics of people who may still be moving towards the border.

At each refugee site/settlement

- ❑ Meet with the local official or NGO managing the site (if responsibility has already been assigned, or assumed)
- ❑ Determine whether the refugees at the site are from the similar or different localities, backgrounds and ethnic origins:
 - *If the population is more-or-less homogeneous*, identify the leaders and meet with them to introduce the team and start gathering information (as below);
 - *If the population includes distinct population groups*, identify the different groups and their leaders, and immediately divide the team to meet with those leaders simultaneously to introduce the team and start gathering information (as below).
- ❑ Walk through the site (or the section of the site occupied by the population sub-group concerned) to observe conditions and discuss informally with refugees – see [8.3](#) and [10.5d](#);
- ❑ Visit health facilities, water supply and storage points, and sanitation facilities;
- ❑ Observe food distribution operations – see [8.6](#);
- ❑ Visit supplementary and therapeutic feeding centres;
- ❑ Visit markets within and near the refugee site – see [8.7](#).
- ❑ Organize focus groups representing different socio-economic subgroups among the refugees – see [8.4](#) and [10.5b](#);
- ❑ Meet with leaders and representative groups from the local (host) population – see [8.8](#).
- ❑ Debrief the drivers to benefit from what they have learned.

At each logistics site

- ❑ Determine the adequacy of present transport, storage, handling and management capacities for the types and quantities of supplies to be delivered, and identify possibilities to enhance capacities and improve performance and efficiency, if required, possibly including alternative logistic arrangements – see [7.8](#).

Before leaving each site/locality

- ❑ Discuss the team's findings/observations and tentative conclusions with refugee leaders (when feasible), local authorities and organizations present.

Re-assemble the assessment team each evening

- ❑ *Before leaving each site/locality*, discuss the team's findings/observations and tentative conclusions with refugee leaders (when feasible), local authorities and organizations present.
- ❑ *At the end of each day*, the team should meet to discuss findings and all team members prepare notes on their findings and submit them to the team/sub-team rapporteur.

Some ground rules for assessment teams

Commitment to a common objective

- *Mutual respect.* Commitment of all team members to work together in pursuit of common objectives, fulfil the agreed terms of reference, and find practical/pragmatic solutions to the problems that will inevitably arise. This will be facilitated by mutual respect, positive attitudes and building on each other's strengths.
- *Deal constructively with differences of opinion.* Differences of opinion will be inevitable, and should be thoroughly discussed within the team with the aim of reaching consensus on how to proceed. Any important differences that cannot be resolved within the team should be reflected in the report and be referred to the UNHCR Representative and WFP Country Director.

Work as a team

- Agree on a sensible division of labour – who will collect information on what (including what market information programme and logistics personnel should collect)
- If sub-teams visit separate locations simultaneously, ensure that (i) each sub-team is balanced, (ii) specific sub-team members are briefed to gather information on particular aspects for which expertise may be lacking within the sub-team, and (iii) one member of each sub-team is designated to compile a note on the sub-team's findings.
- *At the end of each day*, the team should meet to discuss findings and all team members prepare notes on their findings and submit them to the team/sub-team rapporteur.
- *Before leaving each site/locality*, discuss the team's findings and tentative conclusions with refugee leaders (when feasible), local authorities and organizations present.

Seek understanding and consensus

- Ensure that the goal of the assistance programme – the maximum possible level of self-reliance pending a durable solution – is understood and shared by the refugees and other stakeholders.

Promote participation and build capacity

- *Encourage and facilitate refugee participation* as much as possible in analysing the situation and in identifying possible solutions to problems and options to improve the situation. Thus reinforce (or help to build) community-based mechanisms and capacity.

7.2 What to include in the report?

The standard format for the report of a joint assessment or review/re-assessment is presented in [annex 3](#). The same format is presented below with annotations indicating the kinds of information that may be included under each heading, as and when appropriate. This would be for a comprehensive initial assessment or review/re-assessment. It must be adapted to the terms of reference of the exercise and the needs of the particular situation. Some headings may be modified or removed; others may be added.

When data/information relevant to any of the items listed in the terms of reference are not available, or are inadequate, the report should state this and explain why, whether and when the data may become available, and what has been initiated (or needs to be done) to obtain them.

Recommendations should be specific, limited to measures that are feasible, and suggest priorities and how to resolve the (almost inevitable) gap between needs and the resources available.

In case of a *regional operation*, findings should be presented separately for each country together with a regional overview. Recommendations should be tailored to the particular situation in each country, taking account of the regional context.

In all cases, specify the sources of any secondary data used/quoted.

a) Executive summary (including main recommendations) [1-2 pages]

b) Methodology

<i>Initial assessment</i>	<i>Review/re-assessment</i>
<ul style="list-style-type: none"> <input type="checkbox"/> <i>how the assessment/review was conducted, the numbers of sites visited and people/groups interviewed and how they were selected;</i> <input type="checkbox"/> <i>the sources of data and the confidence/uncertainty in the data.</i> 	

PART 1 – BASIC FACTS

c) Refugee numbers and demography

<i>Initial assessment</i>	<i>Review/re-assessment</i>
<ul style="list-style-type: none"> <input type="checkbox"/> <i>present numbers and demographic breakdown, rate or new arrivals and changes expected in the next 6 months;</i> <input type="checkbox"/> <i>ethnic and/or other important differentiations within the refugee population;</i> <input type="checkbox"/> <i>whether present data have been, or need to be, verified;</i> <input type="checkbox"/> <i>planning figures to be adopted for the next plan period, or alternative figures for different specified scenarios.</i> 	<ul style="list-style-type: none"> <input type="checkbox"/> <i>present numbers and demographic breakdown; recent changes and changes expected in the next 12-24 months;</i> <input type="checkbox"/> <i>whether present data have been, or need to be, verified;</i> <input type="checkbox"/> <i>planning figures to be adopted for the next plan period, or alternative figures for different specified scenarios.</i>

d) General context

<i>Initial assessment</i>	<i>Review/re-assessment</i>
<ul style="list-style-type: none"> <input type="checkbox"/> <i>causes and development of the situation;</i> <input type="checkbox"/> <i>political context; government policies;</i> <input type="checkbox"/> <i>physical and economic characteristics of</i> 	<ul style="list-style-type: none"> <input type="checkbox"/> <i>changes in the overall context (including government policies vis-à-vis refugees);</i> <input type="checkbox"/> <i>changes and trends in the economic situation of the area; impact of the</i>

- the area(s), including the informal economy;*
 - relations with and attitudes of the local population;*
 - political and social structures among the refugees; power structures; social support systems; resource control at household level; gender biases;*
 - security situation; potential conflicts.*
- continuing refugee presence and assistance operation on the local economy and infrastructure;*
 - changes in, and the current state of, the physical environment, shelter, sanitation, etc.; impact of the continuing refugee presence on the natural environment;*
 - changes in the local population's attitude towards the refugees;*
 - prospects for a durable solution, and for integrating refugees into local area development programmes in the meantime;*
 - the security situation; potential conflicts.*

e) Health and nutrition situation; environmental conditions

- | <i>Initial assessment</i> | <i>Review/re-assessment</i> |
|---|--|
| <input type="checkbox"/> <i>nutritional and health status of the refugees; mortality rates; malnutrition rates;</i> | <input type="checkbox"/> <i>current status, changes and trends in the nutritional and health status of refugees – malnutrition rates; mortality rates; any epidemics; prevalence of communicable (especially food and water-borne) diseases; micronutrient deficiencies; immunization rates;</i> |
| <input type="checkbox"/> <i>any epidemics, prevalence of food and water-borne diseases, micronutrient deficiencies, immunization rates;</i> | <input type="checkbox"/> <i>public health risks;</i> |
| <input type="checkbox"/> <i>diseases endemic in the area, and in the areas of origin of the refugees; seasonal risks;</i> | <input type="checkbox"/> <i>the quantities and quality of water available to the refugees, changes and trends;</i> |
| <input type="checkbox"/> <i>the quantities and quality of water available;</i> | <input type="checkbox"/> <i>health and nutritional status of the local population.</i> |
| <input type="checkbox"/> <i>other environmental health risks.</i> | |

PART 2 – FOOD SECURITY & SELF-RELIANCE

f) Food access and use

- | <i>Initial assessment</i> | <i>Review/re-assessment</i> |
|--|---|
| <input type="checkbox"/> <i>refugees' present sources of food and their relative importance; variations among different sub-groups;</i> | <input type="checkbox"/> <i>changes and trends in the general socio-economic situation of refugees; variations among different sub-groups;</i> |
| <input type="checkbox"/> <i>food habits; preferred items and acceptable substitutes;</i> | <input type="checkbox"/> <i>refugees' present sources of food and their relative importance; how this may change;</i> |
| <input type="checkbox"/> <i>actual food consumption; use actually made of available food and other resources;</i> | <input type="checkbox"/> <i>actual food consumption; variations among different sub-groups;</i> |
| <input type="checkbox"/> <i>any income, assets and debts; essential expenditures; (income/expenditure balance if available); households' choices/trade-offs between food and non-food needs;</i> | <input type="checkbox"/> <i>use made of food aid commodities – proportions sold/exchanged; reasons for selling; any problems with the acceptability or use of particular items;</i> |
| <input type="checkbox"/> <i>present coping strategies and their sustainability (including impact on the natural resource base);</i> | <input type="checkbox"/> <i>items purchased or acquired from other sources; market prices for ration items and other foods;</i> |
| <input type="checkbox"/> <i>seasonal considerations relevant to people's food security;</i> | <input type="checkbox"/> <i>the use likely to be made of specific commodities during the next period;</i> |
| <input type="checkbox"/> <i>recommendations.</i> | <input type="checkbox"/> <i>recommendations.</i> |

g) Food aid targeting, distribution and monitoring

<i>Initial assessment</i>	<i>Review/re-assessment</i>
<ul style="list-style-type: none"> <input type="checkbox"/> <i>whether targeting is needed and appropriate; if so, criteria and procedures;</i> <input type="checkbox"/> <i>options available for targeting and distribution;</i> <input type="checkbox"/> <i>how and when ration cards should be introduced (if not already done);</i> <input type="checkbox"/> <i>how distribution arrangements should be refined; capacity building required;</i> <input type="checkbox"/> <i>how monitoring should be developed progressively; aspects on which monitoring should focus in the coming months;</i> <input type="checkbox"/> <i>recommendations.</i> 	<ul style="list-style-type: none"> <input type="checkbox"/> <i>the effectiveness of current arrangements for targeting and distributing general rations; problems, if any; possibilities for improved targeting and distribution systems;</i> <input type="checkbox"/> <i>the adequacy of registration lists and ration card control system;</i> <input type="checkbox"/> <i>the effectiveness of food-for-work, school feeding and/or other food aid activities;</i> <input type="checkbox"/> <i>the effectiveness of current monitoring arrangements; aspects on which monitoring should focus in the coming months;</i> <input type="checkbox"/> <i>recommendations.</i>

h) Selective feeding programmes

<i>Initial assessment</i>	<i>Review/re-assessment</i>
<ul style="list-style-type: none"> <input type="checkbox"/> <i>whether there is need for therapeutic and/or supplementary feeding;</i> <input type="checkbox"/> <i>capacities available; what has been established; refinements and capacity building required;</i> <input type="checkbox"/> <i>recommendations.</i> 	<ul style="list-style-type: none"> <input type="checkbox"/> <i>the performance of current therapeutic and/or supplementary feeding programmes;</i> <input type="checkbox"/> <i>recommendations – if continuation is justified, any modifications to be made;</i> <input type="checkbox"/> <i>recommendations.</i>

i) Food supplies

<i>Initial assessment</i>	<i>Review/re-assessment</i>
<ul style="list-style-type: none"> <input type="checkbox"/> <i>use made and further availability of government or food aid stocks in country;</i> <input type="checkbox"/> <i>use made and further possibilities for local purchases;</i> <input type="checkbox"/> <i>current stocks and pipeline status;</i> <input type="checkbox"/> <i>recommendations.</i> 	<ul style="list-style-type: none"> <input type="checkbox"/> <i>rations distributed; reasons for and effects of any differences from what had been planned; regularity of deliveries to distribution sites;</i> <input type="checkbox"/> <i>current stocks and pipeline status;</i> <input type="checkbox"/> <i>problems (if any) with local purchase operations, commodity quality, commercial milling, fortification, storage, packaging;</i> <input type="checkbox"/> <i>possibilities for local purchases in the coming months;</i> <input type="checkbox"/> <i>recommendations.</i>

j) Self-reliance opportunities

<i>Initial assessment</i>	<i>Review/re-assessment</i>
<ul style="list-style-type: none"> <input type="checkbox"/> <i>current self-reliance activities, if any;</i> <input type="checkbox"/> <i>government policy, market conditions and other factors that enable or constrain self-reliance;</i> <input type="checkbox"/> <i>recommendations.</i> 	<ul style="list-style-type: none"> <input type="checkbox"/> <i>changes in enabling and constraining factors, risks;</i> <input type="checkbox"/> <i>results of activities that have sought to enhance levels of self-reliance; whether these activities will continue;</i> <input type="checkbox"/> <i>opportunities for increasing levels of self-reliance; constraints and risks; the roles of (and burdens on) women, men and children;</i> <input type="checkbox"/> <i>recommendations.</i>

k) Food and self-reliance strategies

Initial assessment

- recommendations.*

Review/re-assessment

- the effectiveness (and costs) of the overall food and self-reliance strategies to date;*
- recommendations.*

PART 3 – NON-FOOD AND OTHER RELATED CONCERNS

l) Non-food items – requirements and distributions

Initial assessment

- adequacy of utensils, water, cooking facilities and fuel for food preparation; requirements (if any) for additional inputs;*
- adequacy of shelter and hygiene materials (especially soap) available to the refugees;*
- the effectiveness of current arrangements for targeting and distribution of non-food items; problems, if any; possibilities for improved targeting and distribution systems;*
- recommendations.*

Review/re-assessment

m) Community services

Initial assessment

- refugees' access to and use of health and other community social services; the quality of those services;*
- the ability of especially vulnerable individuals to access and use available assistance;*
- recommendations.*

Review/re-assessment

- refugees' access to and use of health, education and other community social services; the quality of those services; recent changes and trends;*
- impact of the services, and changes, on the well-being of refugees (their mental and physical health) and the ability of especially vulnerable individuals to access and use available assistance;*
- the effectiveness of capacity building efforts among the refugees;*
- the adequacy of budget provisions and funding for community services;*
- recommendations.*

n) Gender and protection concerns

Initial assessment

- current major protection concerns;*
- involvement of women in food aid distribution planning and management; current level of involvement;*
- risks faced by women, girls and other vulnerable people in receiving food, collecting water or fuel; possibilities to reduce those risks;*
- recommendations.*

Review/re-assessment

- changes and trends in protection concerns; current major protection concerns;*
- changes and trends in the involvement of women in food aid distribution planning and management; current level of involvement; constraints (if any); possibilities to increase involvement (if needed);*
- changes and trends in the risks faced by women, girls and other vulnerable people in receiving food, collecting water or fuel; current levels of risk; possibilities to reduce those risks;*
- recommendations.*

PART 4 – LOGISTICS

o) Logistics

Initial assessment

- problems and constraints (if any) in in-country transport, storage and handling operations; possibilities to overcome constraints, reduce losses, increase efficiency and/or reduce costs;*
- seasonal considerations, if any;*
- adequacy of warehouses and warehouse management practices at EDPs and distribution sites;*
- recommendations.*

Review/re-assessment

PART 5 – PARTNERSHIPS, PLANNING AND OTHER ISSUES

p) Partnerships and coordination

Initial assessment

- effectiveness of current arrangements, any gaps, possibilities for new/more effective partnerships and coordination among all partners;*
- recommendations.*

Review/re-assessment

q) Specific issues

Initial assessment

- (not applicable)

Review/re-assessment

- findings and proposals in relation to the specific issues identified in the terms of reference of the review/re-assessment that have not been covered above;*
- recommendations.*

r) Contingency planning

Initial assessment

- contingencies that need to be planned for; the adequacy of current contingency plans; action required to improve current plans (if necessary) and to prepare for other specific contingencies;*
- recommendations.*

Review/re-assessment

PART 6 – OPTIONS AND FINAL RECOMMENDATIONS

s) Programme options

Initial assessment

- matrix summarizing the options for response, and the pros, cons and implications of each.*

Review/re-assessment

t) Final recommendations

Initial assessment

- proposed strategic plan for food security, and related assistance; inputs required and implementation arrangements for the next 6 months;*
- actions to be taken to encourage and facilitate self-reliance activities;*

Review/re-assessment

- proposed strategic plan for food security, self-reliance and related assistance; inputs required and implementation arrangements for the next 12-24 months;*
- measures/actions required in related sectors;*

- ❑ *measures/actions required in related sectors;*
- ❑ *aspects requiring further assessment; indicators to be monitored.*
- ❑ *aspects requiring further assessment; indicators to be monitored.*
- ❑ *aspects requiring further assessment; indicators to be monitored.*

ANNEXES

Mission TOR, maps, statistics and graphs relevant to various aspects mentioned above.

For a review/re-assessment: Matrix (format below) summarizing action taken on previous recommendations:

1	2	3
<i>Recommendation</i>	<i>Action taken, and when (specify and explain any difference from the recommendation)</i>	<i>Results</i>

For all joint assessments/reviews: Draft JPA matrix (format below) – columns 1, 2, 3 and 6 should be completed, if possible.

1	2	3	4	5	6	7
<i>Recommendation</i>	<i>Priority high/low</i>	<i>Action Required</i>	<i>Est. cost (US\$)</i>	<i>Responsibility</i>	<i>Time frame</i>	<i>Action taken</i>

☞ For an example of a JPA matrix, see *Tanzania JPA 2003*, on the CD-ROM

7.3 Core principles to remember when undertaking an assessment

✓ **Make optimal use of available information**

Build on information that is already available, after rapidly checking its present validity and relevance. Gather information from scratch only if particular information is lacking. Make the maximum use of existing registration information and databases.

✓ **Use multiple sources and methods**

In order to achieve an adequate and accurate understanding quickly and economically:

- use both qualitative and quantitative methods and information;
- use both secondary data (existing reports) and primary data (new information specifically gathered for the assessment); *and*
- compare (triangulate) information from different sources to get as complete and balanced a picture as possible.

✓ **Seek participation and consensus**

As much as possible, involve people from all groups in the refugee/returnee population in the assessment process. Seek to build consensus from the outset among the refugees/returnees, UNHCR, WFP and all other concerned parties (including the government, local authorities, host population and NGOs), on:

- whose (short- and long-term) survival is most at risk;
- the objectives of food and food-security related assistance and the goal of the maximum level of self-reliance possible in the circumstances, pending a durable solution;
- the capacities/resources of the refugees/returnees and the host communities upon which the programme can rely and build;
- the targeting/selection criteria to be adopted and the procedures to be used; *and*
- how and when assistance will be phased out.

(Without such consensus at the outset, it will be difficult to achieve effective targeting of the most needy households or a smooth transition to recovery and self-reliance.)

✓ **Be objective – and be seen to be objective – and consistent**

This is essential in order to build and maintain respect trust. Measure (compare) the situation against accepted standards. Obtain information from a broad range of people representing all the different groups in the population, including (especially) women and the poor.

✓ **Respect and record differences of opinion**

When consensus is not possible, record the different opinions (especially those of local stakeholders) in a respectful, mutually acceptable and constructive manner.

✓ **Consider the accuracy of data**

Consider – estimate, when possible – the likely margin of error in data and its significance for the conclusions being drawn or the calculations being made. If data are only approximate, say so and specify a range rather than an absolute figure.

✓ **Be sensitive to possible biases**

Be aware of possible biases in people's perceptions and reports, including those of the assessment team.

✓ **Ensure transparency and feedback**

Ensure that community leaders, local officials and other concerned agencies understand the information-gathering process and the basis for the conclusions. Share tentative conclusions with these groups. Keep them informed about decisions concerning the allocation of food assistance.

✓ **Adopt a cross-sectoral, holistic approach**

Narrow sectoral approaches can overlook crucial inter-sectoral influences and inter-relationships, and lead to inappropriate recommendations.

✓ ***Disaggregate: be cautious about generalizing***

The situation and needs may vary considerably between different locations as well as among different groups. Look out for groups and individuals with special needs/vulnerabilities. Record the specific areas or groups to which particular information relates.

✓ ***Record the sources of information***

Copy any important information from documents found in the field. Don't take the originals away from their owners.

✓ ***Provide timely but reliable information and recommendations***

Information that does not reach decision-makers in time to inform (influence) the decisions that have to be taken is not useful. There may be trade-offs between accuracy and timeliness: get the balance right. If data are uncertain due to lack of time, say so. Tell decision-makers how much time will be needed to provide reliable information.

Remember ...

The need is to:

- *Understand the context* (social, economic, political, security and environmental, including public health risks).
- *Get to know the refugees* (their capacities, resources, problems and vulnerabilities).
- *Identify actions necessary* to protect the lives, health and dignity of the refugees, and possibilities to increase their self-reliance, while also protecting the rights and food security of the host population.

7.4 Assessing food security; determining the level of assistance required

This section suggests how to go about assessing household food security and estimating what people can be expected to provide for themselves. This is an essential step in determining the level of assistance that is required to (i) avoid malnutrition and (ii) avoid the refugees/returnees having to engage in 'distress strategies.'

Determining what people can provide for themselves

There are four principal steps in determining what people can provide for themselves, by their own efforts, using the resources that are available to them, without engaging in 'distress strategies' – without engaging in activities that are unsustainable, illegal or anti-social, that undermine the dignity of the refugees or that irreversibly reduce the natural resource base and hence their own long-term food security or that of the local, host population.

The four steps are indicated in the table below, which also suggests the sources of information and methods of analysis typically used. Sections [8.1](#) to [8.5](#) provide more detail on information that may be gathered from the various sources. Triangulation – cross-checking information from different sources and methods – is crucial to counteract biases and misinformation as well as to ensure that all relevant aspects are considered.

The assessment will initially be based on secondary data and data obtained using rapid, qualitative assessment techniques. Household surveys based on representative sampling may also be used once the situation has stabilized. The characteristics, strengths and weaknesses of the various primary data collection methods available are summarized in [10.4](#).

Steps in determining what refugees/returnees can provide for themselves	
Step	Sources/methods
1. Identifying the distinct 'livelihood groups' within the population of concern – this may include distinctions between settlements and/or within settlements.	Key informants among the refugees Observation (transect walks) Informal discussions with groups of refugees
2. Understanding and describing how people in each livelihood group presently access food and meet other essential needs; how they are using the food and other resources that are available to them; and how access and use varies within each livelihood group according to the wealth or status of the household.	Focus group discussions, proportional piling and seasonal calendars with groups representing each livelihood group and subgroup Observation (transect walks) Household visits and/or Household surveys using stratified sampling covering each livelihood group
3. Examining the general availability of food and other resources in the locality and, in an ongoing operation, how changes – e.g. in food distributions, market conditions, climate, etc. – have affected people's access to and use of food, their nutritional status or indebtedness.	Key informants among the refugees, local authorities, local traders, etc. Food distribution data Monitoring reports Nutrition surveys and surveillance data Market surveys/analysis
4. Estimating the difference between nutritional needs and what people in the different groups can provide for themselves – the deficit that needs to be made up by a general ration, other forms of food assistance or other assistance in support of food security.	Analysis of household economic balances and/or Analysis of changes and trends in the use households make of resources, and in economic and nutritional outcomes

Determining the level of assistance that may be needed

As indicated in step 4, there are presently two main approaches to estimating how much food people can provide for themselves and, therefore, how much assistance households may require during the next planning period:

Household economic balance analysis:

- i. establish, for each livelihood subgroup (using rapid appraisal methods), quantitative estimates for all sources of food, income and essential expenditures;
- ii. convert all elements into either kcal- or cereal-equivalents; and
- iii. draw up a balance sheet showing the current degree of reliance on food aid and market purchases, and the estimated deficit, if any.

Analysis of changes and trends in the use of resources and in outcomes:

- i. estimate, for each livelihood subgroup (using rapid appraisal methods or a household survey), the proportions of the food consumed that comes from different sources and, for an ongoing operation, examine how this has changed, whether the use of 'distress' strategies has increased or decreased;
- ii. examine trends in malnutrition rates;
- iii. examine how households are using the resources available to them and, in particular, the amounts going for 'non-essential' expenditures or contributing to the

accumulation of assets and whether debts incurred for consumption purposes are increasing or decreasing;

- iv. judge, on that basis of the above, whether present levels of food and/or related assistance are appropriate or can be adjusted.

During the early stages of an operation when decisions have to be made rapidly and, in most cases, refugees have few (if any) sustainable food acquisition strategies of their own, crude estimates of the proportion of their food needs that they can provide for themselves (e.g. 10%, 25%) will normally be made on the basis of:

- observation;
- interviews with selected key informants (e.g. refugee and religious leaders, health and social workers, NGOs working among the refugees); and
- preliminary discussions with groups of refugees (women, men and young people) in different parts of the settlement.

As soon as the situation has stabilized, a detailed, systematic assessment should be undertaken and thereafter the refugees' means of obtaining income and food for themselves should be kept under constant review through regular monitoring and periodic re-assessments.

☞ For further guidance, see:

- *WFP Emergency food security assessment handbook*, expected end-2004
- *Emergency needs assessment guidelines*, WFP-ODT 1999, pending finalization of the new handbook above (includes guidance on converting into cereal-equivalents, see part IV.3)
- *Food security analysis field kit*, 3rd draft, M Lawrence, WFP Sierra Leone technical support unit, January 2002
- *The household food economy approach: a resource manual for practitioners*, J Seaman, P Clarke, T Boudreau & J Holt, Development manual 6, Save the Children UK, 2000 (includes guidance on converting into kcal-equivalents)

7.5 Identifying opportunities to increase self-reliance

This section outlines the enquiries that have to be made to identify opportunities to increase self-reliance. At the same time, the assessment should estimate when and by how much the capacity of the refugees (or returnees) to meet their own needs may be increased, and identify risks to current or future self-reliance activities.

Key informant interviews and focus group discussions aimed at determining how much food people can provide for themselves (see 7.4), can also be used to look ahead and foresee how levels of self-reliance could evolve. However, assessing the potential for increased self-reliance requires additional enquiries – in particular, careful analysis of market conditions and the potential demand for the goods and services the refugees (or returnees) might offer – as indicated in the table below.

Careful consideration must also be given to:

- ❑ government policy and relations among the refugees and local, host populations: whether the refugees have/will have access to land, markets, employment, etc.;
- ❑ the backgrounds, skills and attitudes of the refugees;
- ❑ the sustainability of current activities and new ones that might be considered;
- ❑ the impact on the local population and the environment/natural resource base;
- ❑ the impact on gender roles, responsibilities and care practices within the refugee/returnee community; and

- the level of economic activity generated by the assistance operations themselves and what will happen as those operations and the presence of outside agencies diminish.

Do not under-estimate the time it takes to organize training and other activities to promote income-generation, and for those activities to yield benefits in terms of increased self-reliance. See *With an eye to the future*, ILO 2003, especially section 4 *In retrospect*.

Possibilities to consider when assessing potential and risks for self-reliance	
Possible activities/aspects to consider	Sources/methods
<p>Agriculture/vegetable gardening: access to land/water; yields; crop diversification; extension services; market demand; etc.</p> <p>Livestock: access to grazing & water; fodder production; environment carrying capacity; veterinary services; poultry & other small animals; market demand; etc.</p> <p>Aquaculture: access to water; market demand, etc.</p>	<p>Collaboration with FAO.</p> <p>Key informant interviews with agriculture, livestock, fisheries, water resources and environment/natural resource management officials; agronomists, veterinarians, fisheries experts; local cooperatives/farmers' associations, specialist NGOs, market traders.</p> <p>Data on production/yields (previous years' and forward estimates).</p> <p>Market survey/analysis (if any sale of produce is envisaged).</p> <p>Focus group discussions with refugees/returnees.</p>
<p>Employment: potential demand for labour, skills, goods & services in local market and development activities; refugees' skills & potential for skills development; available raw materials; local development plans; opportunities for food-for-work; etc.</p>	<p>Collaboration with ILO.</p> <p>Key informant interviews with local employers, development planners & programme managers, local businessmen, specialist NGOs, market traders.</p> <p>Market survey/analysis (if production of goods for sale is envisaged).</p> <p>Focus group discussions with refugees/returnees.</p>
<p>Income generating activities: potential demand goods & services in local market and development activities; refugees' skills & potential for skills development; available raw materials; local development plans;</p> <p>Micro-finance services: availability of services or potential service providers in the area; familiarity and repayment rates among refugees and local population</p>	<p>Collaboration with ILO.</p> <p>Key informant interviews with development planners, specialist NGOs, market traders, local businessmen, banks, other credit/micro-finance agencies.</p> <p>Market survey/analysis.</p> <p>Focus group discussions with refugees/returnees.</p>
<p>Vocational training: skills needed within the settlement and/or to take advantage of employment or income-generating opportunities; skills needed to facilitate reintegration following voluntary repatriation</p>	<p>Collaboration with ILO, UNESCO, UNICEF.</p> <p>Key informant interviews with development planners & programme managers, local businessmen, specialist NGOs.</p> <p>Focus group discussions with refugees.</p>
<p>Engagement in local area development: existing development plans; potential</p>	<p>Collaboration with UNDP, UNICEF.</p> <p>Key informant interviews with development</p>

for integrating refugees in the planned activities; possible new development activities and required approval processes	planners & programme managers, specialist NGOs. Group discussions with refugees/returnees and local population together.
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Remember, the *purpose of enhancing self-reliance* is to enable refugee households and communities to assume as much responsibility as possible for themselves and their well-being in order to preserve their dignity and self-esteem and facilitate their (re)integration when a durable solution becomes possible.

- "... the promotion of self-reliance of refugees is an important means to avoid dependency, take advantage of the initiative and potential contributions of refugees, and prepare them for durable solutions." [*Agenda for Protection*", addendum, UNHCR A/AC.96/965/Add.1, 26 June 2002, p 18]
- "... from the outset, assistance programmes for refugees integrate strategies for self-reliance and empowerment ... look at relief-substitution strategies¹³ tapping in particular the resourcefulness and potential of refugee women ... expanding possibilities for education, vocational training, and agricultural and other income-generating programmes benefiting men and women equitably ... ensure that refugees, particularly refugee women and adolescents, and host communities themselves, participate in the design and development of self-reliance programmes ... " [*Agenda for Protection*", addendum, UNHCR A/AC.96/965/Add.1, 26 June 2002, p 21]

☞ For further guidance, see:

- *Handbook for self-reliance activities*, UNHCR, expected 2004
- *Self-reliance, employment and microfinance*, operational guidelines, UNHCR-RSRU, Dec. 1997 (pending finalization of the new handbook, above)
- *Livelihood options in refugee situations: a handbook for promoting sound agricultural practices*, UNHCR-EESS & CARE, Dec. 2002
- *With an eye to the future: ILO refugee programmes in Africa*, working paper 12, ILO-IFP-Crisis, April 2003 [describes ILO's experience in promoting income-generating activities among refugees in Africa in the 1980s]

7.6 Assessing the health and nutrition situation

This section outlines the enquiries that have to be made, in collaboration with partners, to understand the health and nutrition situation, and the causes of health problems and any observed malnutrition.

Approaches to assessing the nutrition and health situation	
What to assess	How to assess (Sources/methods)
Mortality rates: crude and under 5 mortality rates and trends	<input type="checkbox"/> Data from grave-watching; <input type="checkbox"/> Obtain data from the health information system; <input type="checkbox"/> Collect retroactive data during nutrition surveys.

¹³ E.g. efforts involving both refugees and local communities in producing certain items (e.g. cooking oil, flour, blankets, stoves).

<p>Morbidity, public health risks and health services:</p> <p>disease outbreaks; water availability and quality; environmental sanitation; people's access to health services and the quality of those services</p>	<ul style="list-style-type: none"> ❑ Obtain data from the health information system, health department and NGOs providing health services; ❑ Review health monitoring reports and those of previous assessments and evaluations; ❑ Discuss risks and the quality of services with key informants – local health officials, health agencies, epidemiologists and experienced health workers; ❑ Observe environmental health conditions and practices and discuss with refugee groups, public health workers and NGOs to confirm or update the data and recommendations for action; seek clarification if data are not consistent with your own observations; ❑ Discuss with refugees in focus groups to learn of their perceptions; ❑ Summarize current recommendations, the status of action on them, and the additional actions required to protect health.
<p>Prevalence and distribution of malnutrition:</p> <p>the present situation and recent trends (wasting, oedema and, in a protracted situation, stunting)</p>	<ul style="list-style-type: none"> ❑ Obtain reports of nutrition/anthropometric surveys (primarily of children under 6 to 59 months of age and, if possible, for adults); ❑ Review monitoring reports and those of previous assessments and evaluations; ❑ During the initial phase, review data for admission to selective feeding programmes; ❑ Obtain information on the nutritional status of pregnant women and the prevalence of low birth weights (LBW) from clinics; ❑ Identify patterns of malnutrition among different groups, trends and any seasonal variations;
<p>Causes and risks of malnutrition:</p> <p>risks related to: food access and use; disease and health-related practices (including water and sanitation); care and feeding practices</p>	<ul style="list-style-type: none"> ❑ Review data on food access and use from food security assessments; ❑ Review information on outbreaks and prevalence of communicable disease; ❑ Discuss risks associated with feeding practices, water availability, hygiene and sanitation, with key informants – nutrition workers, health agencies and experienced health workers; ❑ Discuss with refugees in focus groups to learn of their perceptions; ❑ Observe food preparation and feeding practices at household level. ❑ Summarize available data and the implications for nutritional status and general well-being, including any specifically-identified causes of malnutrition.

<p>Presence, prevalence and risks of micronutrient deficiencies:</p> <p>endemic and epidemic deficiencies; risks related to the diet available to beneficiaries (the food basket and locally available items)</p>	<ul style="list-style-type: none"> ❑ Examine the epidemiological profiles for the area, and the areas of origin of the refugees, to identify any endemic deficiencies; ❑ Examine any reports of micronutrient surveys conducted among the refugees; ❑ Obtain from data on any clinical signs reported from health clinics/agencies; ❑ Review the composition of the ration and the diet of the refugees; ❑ Obtain data on public health problems that may contribute to micronutrient deficiencies (e.g. malaria).
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The data should be broken down by different locations and population sub-groups, whenever possible.

☞ For further guidance on nutrition assessment, see *The management of nutrition in major emergencies*, chapter 3, WHO 2000

☞ For guidance on promotion and support for breastfeeding and use of alternatives, including in situations of high HIV/AIDS prevalence, see the following (available at <http://www.enonline.net>):

- *Infant Feeding in Emergencies Operational Guidance*, Interagency Working Group on Infant and Young Child Feeding in Emergencies, 2001, 2004
- *Infant Feeding in Emergencies: Policy, Strategy and Practice. Report of the Ad Hoc Group on Infant Feeding in Emergencies, 1999*
- *Infant feeding in emergencies: Module 1 for emergency relief staff*, rev. 1, WHO/UNICEF/LINKAGES/IBFAN/ENN, 2001

7.7 Assessing needs for related non-food assistance

This section outlines the enquiries that have to be made to assess the refugees' (or returnees') access to and use of a range of materials, facilities and services that are essential to their well-being including to their use of food and the protection of nutritional status.

"Related non-food needs" include whatever non-food items, services or other measures may be needed to:

- ensure that refugees are able to prepare and cook their food – e.g. utensils, stoves, cooking fuel, water (for food preparation and cooking), grinding/milling facilities (when needed);
- address other factors that could undermine nutritional status and well-being – e.g. shelter, clothing, blankets, water quantity (for hygiene purposes), water quality (for drinking), sanitation, feeding practices, communicable diseases and psycho-social distress, access to education and health care including essential drugs, personal (in)security; and
- enhance sustainable self-reliance – e.g. the materials, facilities, technical assistance, training, administrative measures, etc.

Joint assessment teams must consider all of the above. This will be done largely on the basis of secondary data, especially the reports of surveys, assessments, ongoing monitoring, and evaluations conducted by competent organizations, but also include discussions with key informants and groups of refugees as well as the team's own observations during visits to refugee sites.

The analysis and the report should:

- compare the available data with the standards and indicators in the relevant sections in [9.13](#); and
- examine trends and the implications for food use, nutritional status and general well-being.

What is expected of joint UNHCR-WFP assessment teams in relation to non-food needs	
Topic	Approach
<p>Requirements to store food and water, and to prepare and cook food:</p> <p>– utensils, stoves, cooking fuel, water, grinding/milling facilities (where needed)</p>	<ul style="list-style-type: none"> ❑ Examine available secondary data on what is available to households and compare with the standards below; ❑ Observe food preparation and cooking at household level to confirm the plausibility of the available data; ❑ Discuss with refugees in focus groups; ❑ If needed, undertake (or organize) a survey to gather reliable up-to-date data; ❑ Specify what (if anything) needs to be done to ensure that all households are able to adequately prepare and cook their food.
<p>Factors that affect nutritional status and well-being:</p> <p>– shelter, clothing, blankets, water quantity, water quality, sanitation,</p> <p>– feeding practices,</p> <p>– prevalence of diarrhoea, communicable diseases and psycho-social distress,</p> <p>– access to education health care and essential drugs,</p> <p>– personal (in)security</p>	<ul style="list-style-type: none"> ❑ Examine available secondary data on the current situation and compare with the standards below; ❑ Review the conclusions and recommendations of relevant assessment, monitoring and evaluation reports; ❑ Observe conditions and practices and discuss with refugee groups, public health workers, nutritionists and NGOs to confirm or update the data and recommendations for action; seek clarification if data are not consistent with your own observations; ❑ Exceptionally, if no information is yet available from a competent source, gather whatever information you can during your visits, and try to arrange for competent bodies to undertake professional assessments as soon as possible; ❑ Discuss with refugees in focus groups; ❑ Summarize available data and the implications for nutritional status and general well-being, including any specifically-identified causes of malnutrition; ❑ Summarize current recommendations, the status of action on them, and the additional actions required to protect health and nutritional status.
<p>Requirements for self-reliance:</p> <p>– materials, facilities, technical assistance, training, administrative measures, ...</p>	<ul style="list-style-type: none"> ❑ Review the findings, conclusions and recommendations of relevant assessment, monitoring and evaluation reports; ❑ Observe self-reliance activities and discuss with refugee groups, development workers and agencies the effectiveness of activities to enhance self-reliance and confirm or update recommendations for action; ❑ If needed, organize (or recommend) an in-depth assessment of risks and possibilities for self-reliance (see chapter 5); ❑ Specify the actions (if any) that need to be taken to enhance self-reliance at household and community levels.

7.8 Assessing logistics aspects (possibilities, capacities, costs)

This section outlines the logistics aspects that need to be covered in all joint initial assessments and reviews/re-assessments. It indicates how logistic aspects need to be incorporated in the overall analysis to define the measures and actions to be taken to ensure that refugees (and returnees) have access to adequate food and related non-food items.

The logistics component of the joint assessment must:

- ❑ determine how needed supplies – food and non-food items – for the refugees (or returnees) can be delivered to specific areas, where the supplies can be stored, and the measures that may be needed to secure (and where necessary to increase) transport, storage and handling capacities on existing supply routes and/or to open new routes to assure the delivery of supplies;
- ❑ define – get agreement on – roles and responsibilities in logistics management for food and non-food items, and on measures to strengthen logistics/supply management capacity, where needed;
- ❑ identify any specific logistic constraints that must be taken into account in the overall analysis of the situation and in the design of food aid and related assistance interventions;
- ❑ estimate transport, storage and handling costs for food and non-food items;
- ❑ identify measures that could enhance the ability of the commercial transport market to assure the delivery of supplies and/or support local markets and hence the possibilities for refugees (or returnees) and the local population to gain income from whatever they may have to sell;
- ❑ foresee how the logistics situation may evolve, and identify risks that may call for pre-emptive (preventive) measures or specific contingency planning (including buffer stocks and plans for alternative supply routes) to avoid losses or pipeline interruptions.

The logistics assessment should be an integral part of the overall joint assessment. At the onset of a crisis, information gathering should start at the same time as the other components of the overall assessment and be tailored to take account of the types and quantities of supplies that may need to be moved to and stored in different areas as estimates become available and are refined.

The logistics part of the assessment should be undertaken, or coordinated, by a competent logistics officer and benefit from the knowledge and experience of local logisticians. When data need to be collected from a number of widely separated locations, the senior logistician should:

- define the particular logistic information that other assessment team members should collect from specific locations; and
- provide guidance on how that information should be collected, cross-checked, recorded and reported.

When collecting data on *costs*, any recent changes in rates, and any changes expected in the immediate future, should be recorded in addition to current rates (per ton).

For an initial assessment

Information is required on:

- ❑ transport and storage possibilities within the areas where the refugees are located (or where returnees are expected);
- ❑ the entry points – ports, land border crossings and airports – through which supplies could be imported for delivery to the affected areas (if imports are likely to be required);
- ❑ the locations of in-country stocks that may be made available or purchased and need to be moved into the affected areas (if in-country stocks of suitable items exist);

- ❑ all potential means and routes for getting supplies into the affected area(s) from those entry points and/or in-country locations: this may include road, rail, sea, river, air, animal carts, head-loads, etc.;
- ❑ national regulations, customs and other formalities relating to the importation or in-country purchase and movement of food and other supplies;
- ❑ the capacity of the government and other partners – their own transport and storage capacity, and their ability to manage a logistic operation and opportunities to strengthen that capacity;
- ❑ transport, storage and handling costs;
- ❑ foreseeable risks (e.g. insecurity, natural or man-made disasters) that could disrupt specific transport routes or the use of particular transshipment or storage locations.

If a recent WFP logistics capacity assessment (LCA) is available, the emergency assessment needs only to determine what has changed in relation to the points listed above. If no recent LCA is available, a full logistics capacity assessment must be undertaken covering all aspects of the points listed above. In all cases:

- use as a guide the checklist in *WFP Emergency Field Operations Pocketbook*, 9.1 *Assessing logistics capacity*, and refer to the LCA guidelines in the WFP Transport Manual for further details;
- if the logistics operation is large and complex, the UN Joint Logistics Centre (UNJLC) formats may be used to record data – see the CD-ROM or the UNJLC website: unjlc.org [UNJLC > Field Op. Manual > Annexes > Assessment Forms];
- use the checklist in *WFP Emergency Field Operations Pocketbook*, 9.3 *Collecting data for LTSH cost estimates* as a guide when collecting cost data for food and any non-food items to be supplied by WFP.

Guidance on the use of different modes of transport can also be found in UNHCR Manual 8, *Supply Management*, 3.5.2 *Mode of transport*.

For a review/re-assessment

The focus will be on:

- ❑ the performance of the current logistics system/arrangements including costs;
- ❑ the timeliness and regularity of deliveries to the distribution sites;
- ❑ losses, and possibilities to reduce them;
- ❑ possibilities to reduce constraints, increase efficiency and reduce risks (including consideration of alternative routes and/or storage facilities).

All recommendations should be considered in relation to the impact the offered solution may have on the host and beneficiary populations.

Transport, storage and handling costs

The assessment must obtain/provide estimates of per ton costs for:

- costs at the point of origin
- transport from points of origin to storage facility locations
- transport between storage facility locations (where relevant)
- costs at storage facilities, and
- transport from storage facilities to distribution sites and costs at distribution sites

Any recent changes in rates, and any changes expected in the immediate future, should be recorded in addition to current rates.

Overall transport, storage and handling costs must be calculated using the standard WFP LTSH¹⁴ matrix software, following the guidelines in the WFP *Transport Manual*.

Analysing logistic possibilities; preparing a logistics plan

Analysis of the logistic data should lead to:

- ❑ an estimate of the capacity (tonnes/day) of each transport route, transshipment point (tonnes/day) and storage location (tonnes);
- ❑ specification of constraints and identification of any possibilities to increase capacity, where increase may be needed, and estimates of how and when specified increases could be achieved;
- ❑ a judgement concerning the reliability and vulnerability to disruption of each route and possible storage location (taking account of security risks, seasonal factors, etc.);
- ❑ an estimate for each route of the costs of (i) transport, storage and handling and (ii) any measures required to increase capacities to meet the demands of the proposed programme interventions;
- ❑ the identification of measures that could enhance the ability of the commercial transport market to (i) assure the delivery of supplies and (ii) support local markets;
- ❑ the identification of alternative supply routes and storage locations that may be used in case any of the normal routes or locations should be disrupted.

On that basis, the assessment team must:

- determine whether the proposed programme is logistically feasible and specify:
 - any logistic constraints that must be taken into account, at least initially, in the design of the programme, and whether and when those constraints might be eased – constraints may be ceilings on the quantities that can be delivered to particular locations, routes that may be impracticable during certain seasons, or the need to prioritise nutrient-dense foods for airlifts;
 - reserve/buffer stock requirements – quantities and where they should be held – in order to assure uninterrupted operations in all areas;
 - the pros and cons of different types of food commodities and the types (weight and quality) of packaging required in the light of storage conditions, any transport and handling constraints, and the availability (or not) of milling facilities;
- specify the risks that could be involved;
- draw up a logistic plan, with alternatives where feasible, and associated LTSH cost estimates;

¹⁴ LTSH is the WFP acronym for landside, transport, storage and handling. LTSH costs include all costs from receipt of food commodities at the port or in-country delivery point through to the distribution points.

- specify what (if anything) may need to be done to improve/maintain access roads to the refugee sites;
- specify the contingencies to be planned for to deal with foreseeable risks (including an increase in demand).

Storage facility locations and hand-over points should be selected on the basis of the principles and criteria presented in the joint WFP-UNHCR *Guidelines for locating EDPs and operating EDP storage facilities*.¹⁵

Whenever WFP is to organize (or help the government to establish) storage facilities, the warehouses available and/or sites for the erection of prefabricated warehouses should be evaluated on the basis of the criteria presented in the WFP Transport Manual 3.11.2 *Warehouses*, and WFP *Emergency Field Operations Pocketbook*, 9.4 *Warehouse requirements*.

Equivalent guidelines for UNHCR warehouse operations can be found in UNHCR Manual, 8, *Supply Management* 3.6.1 *Warehouse planning*.

¹⁵ It has been suggested that these joint guidelines be amended to reflect/be consistent with WFP's more recent guidelines presented in the Emergency Pocketbook. In the meantime, the earlier joint guidelines remain in force for refugee operations, as stipulated in the revised MOU, 2002, paragraph 5.3.

7.9 Assessing in preparation for voluntary repatriation – a checklist

In the country(ies) of asylum – preparing for departure

Essential planning data [*from preliminary UNHCR & government plans*]:

- Numbers and demographic breakdown of people from each refugee settlement/area expected to leave; social profile including female-headed houses and people with special needs;
- The planned schedule for facilitated/organized departures and/or the likely timing of spontaneous departures;
- Whether complete households will leave together or some members go ahead while the rest wait? If so, for how long;
- Routes and means of transport to be used (and estimated costs if refugees have to pay);
- Whether food for the journey is to be provided to the refugees before departure and/or at stopping points? If so, when and where food will need to be provided/ distributed, what food (in dry or ready-to-eat form), how much (for how many people).

Arrangements prior to departure: [*discussion with key informants & focus groups of refugees*]

- Arrangements for withdrawal of ration cards: when, how, what incentive;
- Any 'carry-home' items to be provided before departure: what, how much, when;
- Arrangements for transport of belongings including (exceptionally) any 'carry-home' food;
- Quantities (reduced) to be delivered to distribution sites for those remaining;
- Coordination of plans and schedules with all implementing partners, governmental and NGOs.

Arrangements at stopping points en route (if needed): [*through observation & discussion with key informants including leaders in the localities concerned*]

- food storage
- cooking facilities
- water
- shelter
- sanitation
- health care
- security

Planning for use of the site(s) and facilities after departure of the refugees: [*discussions with local leaders, development officials and NGOs, and focus groups of refugees and the local population*]

- The continuing and future benefits that the local population and area can gain from the site and the facilities constructed for the refugees, taking account of land ownership;
- Arrangements to be made to preserve facilities when the refugees depart, and to rehabilitate the site and facilities, if needed;
- Arrangements for the continuing use and management of the land and facilities.

7.10 Assessing in preparation for return and reintegration – a checklist

In the country of origin – preparing for return and reintegration

Essential planning data from country(ies) of asylum [*from UNHCR*]:

- Numbers, schedule for arrivals; whether complete households will arrive together, or some members first and others later;
- Demography, socio-economic background, skills, assets & resources expected to be brought back, number and characteristics of especially vulnerable households.

Essential planning data in country of origin/return [*from government & secondary data*]:

- Locations where returnees are to be reintegrated;
- Socio-economic and cultural profiles of those areas;
- Present levels of infrastructure and services in those areas;
- Existing, planned and projected development activities in those areas (including but not limited to WFP development activities);
- Government policy in relation to re-possession of land and housing by the returnees, or allocation of land and housing to them;

Arrangements at arrival and transit centres: [*through observation & key informants*]

- food storage
- cooking facilities
- water
- shelter
- sanitation
- health care
- security

Prospects for reintegration and self-reliance [*through secondary data, observation, and discussions with key informants and focus groups of visiting future returnees and local residents*]

- Political and security conditions;
- Agriculture and livestock potential – land per household, ownership rights, fertility, water, market potential;
- Crop seasons;
- Employment opportunities (regular & seasonal);
- Development programmes (existing & new) into which returnees can be integrated;
- Untapped resources available to be exploited in the area;
- Opportunities for income generation (for returnees in general and for especially vulnerable people);
- Constraints on increasing economic activity; possibilities to reduce the constraints;
- Whether returnees' skills and assets match the opportunities that will be available to them;
- Opportunities and capacities for skills training (for returnees in general and for especially vulnerable people);
- Gender considerations and the needs of especially vulnerable households;
- Local population situation and attitudes – need and possibilities for area development activities integrating returnees and the resident/local population;
- ... etc.

Short-term food security [*through observation and discussions with key informants and focus groups of visiting future returnees and local residents*]

- ❑ Expected food availability in the areas of reintegration;
- ❑ The food returnees will be able to provide/acquire for themselves during the first few weeks and months after their return;
- ❑ When returnees in rural areas will benefit from their first harvest after their return;
- ❑ The food and related assistance returnees will need (from WFP and UNHCR), and for how long (not more than 9 months);
- ❑ What, if anything, returnees should receive as 'carry home' items when leaving the country(ies) of asylum.

Other essential needs and developmental opportunities [*through observation, key informants & focus groups*]

- ❑ Shelter, water, sanitation – adequacy of present and planned provisions;
- ❑ Community services, health, education – adequacy of present and planned systems;
- ❑ Possibilities to integrate the returnees into ongoing or new development activities including school feeding, other WFP-assisted activities, and other development programmes.

8. What Information to Gather, Where and From Whom?

This chapter provides checklists for the information that joint assessment teams may need to seek from different individuals and groups, and during visits to settlements, markets and other locations. In all cases, these checklists should be used only as a general guide and be adapted to the needs of (i) the particular situation, and (ii) the phase of the assessment and operation.

8.1 What information to gather from local officials?

The following may be gathered from the administrative head of the district, district police, and district-level health, social welfare, water resources and other officers. The information received from each of these key informants will be triangulated against that from the others and against information gathered at site level.

During an initial assessment, the focus will be on factual data, and arranging for local officials to accompany the team on visits to the sites. The data will be used to prioritise the sites to be visited and to plan any immediate assistance taking account of the measures already being taken locally.

During a review/re-assessment the focus will be on obtaining up-to-date information on the perspectives of the local authorities concerning the refugees and the impact on the area and local population.

<p>Basic facts about the refugees</p>	<p>Key informants: Administrative authority; social services</p>
<p style="text-align: center;"><i>Initial assessment</i></p> <ul style="list-style-type: none"> ❑ <i>Locations:</i> the locations (or geographic areas) where refugees are present, or starting to arrive and towards which they are moving. ❑ <i>Numbers:</i> estimated numbers of refugees present at each location (or in each area); the number of arriving each day in each location/area. Any information available on the numbers in the country of origin who are believed to be moving towards the border. ❑ <i>Characteristics:</i> the general make-up of the population – ethnic backgrounds and whether there are abnormally large numbers of women and children, single parents, lone adults, unaccompanied children, etc. ❑ <i>Social organization:</i> the nature and apparent effectiveness of leadership within the population (traditional, political or military leadership). 	<p style="text-align: center;"><i>Review/re-assessment</i></p> <ul style="list-style-type: none"> ❑ <i>Numbers:</i> present figures; how and when numbers were last verified/up-dated and whether further verification/up-dating is needed; the rate at which refugees are arriving (or departing); any expectations of new movements. ❑ <i>Locations:</i> any plans to open new sites or relocate any of the present populations. ❑ <i>Characteristics:</i> any significant changes in the make up of the refugee population; the implications of those changes. ❑ <i>Social organization:</i> any significant changes in leadership; the implications of those changes.

<p>Access, security and protection</p> <p><i>Initial assessment</i></p> <ul style="list-style-type: none"> ❑ <i>Access</i>: means of access to the locations of the refugees; whether there are any security risks and/or controls on access (e.g. permits or clearances required). ❑ <i>Protection</i>: any immediate protection concerns; whether relocation to a safer or more appropriate site is planned, or appears to be necessary; risks that need to be considered when planning food and other relief distributions or the delivery of services (risks for the whole population and/or groups at particular risk). 	<p>Key informants: Administrative authority; police; social services</p> <p><i>Review/re-assessment</i></p> <ul style="list-style-type: none"> ❑ <i>Security and access</i>: the present situation; how it has changed; any changes expected. ❑ <i>Protection</i>: present concerns; what has changed; any changes expected.
<p>Other facts about the refugees' location(s)</p> <p><i>Initial assessment</i></p> <ul style="list-style-type: none"> ❑ <i>Geography and economy</i>: the general characteristics of each location/area; whether there are functioning markets; the benefits and any risks associated with each location. ❑ <i>Services</i>: the nature, quality and capacity of health and other services available in each area/location. ❑ <i>Climatic and seasonal considerations</i> affecting access, type of shelter needed and food availability in the area now and in the next few weeks and months. ❑ <i>Natural resources</i>: the availability of shelter/shelter materials, water and cooking fuel; any immediate risks to the environment and natural resource base. ❑ <i>Local population</i>: the characteristics of the local (host) population, and relationships between them and the refugees. ❑ <i>Utilities</i>: the availability of utilities and services for a field office/operational support base in the area, if needed. 	<p>Key informants: Administrative authority; social services; agriculture/environment services; public works/transport services</p> <p><i>Review/re-assessment</i></p> <ul style="list-style-type: none"> ❑ <i>Socio-economic situation of the area</i>: what has changed during the last year (or so). ❑ What are the trends; what further changes are expected, with what implications.
<p>Condition of the refugees</p> <p><i>Initial assessment</i></p> <ul style="list-style-type: none"> ❑ <i>Health and nutritional status</i>: the reported general health and nutritional status of the refugees in the various locations. ❑ <i>Resources</i>: the resources, if any, the refugees have brought with them including shelter, clothing, sleeping materials and domestic household items. ❑ Any variations among different groups or 	<p>Key informants: Health service; social services</p> <p><i>Review/re-assessment</i></p> <ul style="list-style-type: none"> ❑ <i>Health and nutritional status</i>: the reported general health and nutritional status of the refugees in the various locations; how this has changed; trends. ❑ <i>Public health risks</i>: present risks arising from environmental conditions and local epidemiology. ❑ Any variations among different groups or

different locations.

different locations.

Impact on the locality and the local population

Key informants: Administrative authority; agriculture/environment services; social services

Initial assessment

Review/re-assessment

The impact to date and what can be expected on:

The impact to date and what can be expected on:

- the environment*
- the economy*
- security*

- the environment*
- the economy*
- security*

Action taken by local authorities and others

Key informants: Administrative authority; police; social, health and other services

Initial assessment

Review/re-assessment

Action taken in relation to:

Actions recently taken, and planned, in relation to:

- Security:*
- Shelter and environmental sanitation:*
- Provision of medical and health services:*
- Provision of food and water.*
- Other ...*

- Security*
- Environmental sanitation and protection*
- Provision of services*
- Other ...*

How long such provisions will continue with presently available resources.

Resources for providing food assistance

Key informants: Administrative authority; social services; public works/transport services

Initial assessment

Review/re-assessment

If assistance is needed immediately:

- Any possibilities for local procurement of food.
- Resources available to the local authorities to mobilize and deliver assistance.

- Local stocks:* any stocks of suitable foods available in the area, who owns or controls them and whether/how they can be quickly mobilized (donated, borrowed or purchased).
- Logistics:* how locally available supplies can be brought to the refugees' locations, and what it will cost. The supply routes available to bring supplies from elsewhere, and the potential bottlenecks and aspects that a detailed logistic assessment should focus on.
- Receipt and distribution:* the capacities of the government, other organizations and/or the refugees themselves, to receive supplies and organize distributions in a reasonably equitable manner during the coming days and weeks.
- Funds:* what funds are available locally to acquire, deliver and distribute immediately needed supplies.

8.2 What information to gather from key informants in a camp/settlement?

The following information may be sought from camp management/administration staff, refugee leaders (men and women), religious leaders, and government entities or NGOs providing services.

The information received from each key informant will be triangulated against that from the others, that from the refugees themselves (see [8.4](#)), and the assessment team's own observations.

During an initial assessment, questions will focus on the current situation. During a review/re-assessment, questions will focus on what has changed, trends and the causes/reasons for changes.

THE REFUGEES

Refugee numbers, demography and subgroups

Key informants: site managers; organizations providing services at the site; refugee leaders; religious leaders

Initial assessment

- ❑ **Numbers:** the best estimate for the number of refugees present at the site; the rate at which refugees are arriving (or departing); any information available on the numbers in the country of origin who are believed to be moving towards the border.
If available estimates are not considered to be reliable, make your own estimate following the guideline in 8.1 and try to get broad agreement on a figure for planning purposes.
- ❑ **Demography:** the breakdown by age and sex.
If no reliable breakdown is available, observe whether the distribution appears to be abnormal and consider making a quick rough determination as suggested in 8.1.
- ❑ **Subgroups** within the population that are recognized as having different identities, means of livelihood and/or social status; the characteristics of each subgroup and an estimate of the number of households (and individuals) in each;
- ❑ **Especially vulnerable individuals; groups at particular risk:** the characteristics and estimated numbers of groups within the population who are especially vulnerable or have special needs (e.g. ethnic minorities, unaccompanied children, infant orphans, people living with HIV/AIDS, etc.).

Review/re-assessment

- ❑ **Numbers:** how and when numbers were last verified/up-dated and whether further verification/up-dating is needed; the rate at which refugees are arriving (or departing); any expectations of new movements.
If figures are not considered to be reliable, make your own estimate following the guideline in 8.1 and try to get broad agreement on a figure for planning purposes.
- ❑ **Demography:** any changes in demographic composition; any changes expected; the implications of those changes.
- ❑ **Especially vulnerable individuals; groups at particular risk:** any changes in the numbers and situation of groups who are especially vulnerable or have special needs.

Health and nutritional status

Key informants: health professionals and organizations providing health care services

Initial assessment

- ❑ **Mortality rates:** crude and under-5 mortality rates if available from credible sources.
- ❑ **Health status:** the general health status of the

Review/re-assessment

- ❑ **Mortality rates:** crude and under-5 mortality rates from credible sources and how these have changes from previously; trends in

refugees; the presence and prevalence of communicable, food- and water-borne diseases (and HIV/AIDS).

- ❑ *Nutritional status:* malnutrition rates from initial nutrition surveys and screening; evidence or risks of micronutrient deficiencies; admission rates to for supplementary and therapeutic feeding programmes.

mortality rates.

- ❑ *Health status:* general health status; the presence and prevalence of communicable, food- and water-borne diseases (and HIV/AIDS); any recent changes; current trends shown by health surveillance reports.
- ❑ *Nutritional status:* malnutrition rates from properly conducted nutrition surveys; evidence or risks of micronutrient deficiencies; admission and discharge rates for supplementary and therapeutic feeding programmes.

Social organization and attitudes

Key informants: organizations providing services at the site; refugee leaders; religious leaders

Initial assessment

- ❑ *Social organization:* the degree of cohesion and mutual support; nature and effectiveness of leadership (traditional, political or military); existing associations (e.g. women's groups, religious groups, youth groups, occupational associations).
- ❑ *Control of resources:* who (men and/or women) controls resources within the household and at community level – food, cash, non-food household and productive items – and access to any household means of transport (e.g. bicycle, cart); whether this has changed from what was normal for the refugees.
- ❑ *Attitudes and expectations:* the general mental health of the refugees (degree of psycho-social trauma) and their ability and willingness to engage in self-help and community-based activities; their perceptions of the prospects of returning home.

Review/re-assessment

- ❑ *Social organization:* any changes in the degree of cohesion, mutual support and leadership; emergence of new associations.
- ❑ *Control of resources:* any changes in who controls resources; the implications of those changes.
- ❑ *Attitudes and expectations:* any changes attitudes; present perceptions of the prospects for durable solutions.

THE LOCATION

Characteristics of the location

Key informants: site managers and organizations providing services at the site

Initial assessment

- ❑ *Resources and economy:* the availability of land and water for food production; the level of economic activity; the availability of employment and markets.
- ❑ *Risks:* any physical risks associated with the location (e.g. flooding, attack).
- ❑ *Access and utilities:* the means of access to deliver supplies and supervise operations; any constraints/restrictions on access and measures that could reduce them.
- ❑ *Local population:* the characteristics of the local (host) population, and social and economic relationships between them and the refugees.

Review/re-assessment

- ❑ *Resources and economy:* any changes in the natural resources available, the level of economic activity and the availability of employment and markets.
- ❑ *Risks:* any changes in physical risks associated with the location.
- ❑ *Access and utilities:* any changes in the means of access to deliver supplies and supervise operations; the effectiveness of any measures taken to reduce constraints; further measures that could be taken.
- ❑ *Local population:* any changes in the local population of the area, or in social and economic relationships between them and the

- ❑ *Natural resources*: the availability of, and refugees' access to, shelter/shelter materials, water and cooking fuel; any risks to the environment and natural resource base due to the arrival and activities of the refugees.

refugees.

- ❑ *Natural resources*: any changes in refugees' access to natural resources the availability of; the impact of refugees on the environment and further risks to the natural resource base.

FOOD SECURITY

Food issues during the *first few days*

Key informants: organizations providing services at the site; refugee leaders

Initial assessment

Review/re-assessment

- ❑ *Refugees' own resources*: whether the refugees have brought any food supplies with them, or have their own resources and are able to buy food locally. If so, the range of food items available to them.
- ❑ *Local resources and assistance*: whether the refugees are able to find food locally; whether they receive assistance from local people or authorities; if so, how long that assistance is expected to continue.
- ❑ *Food habits*: the refugees' preferred staples, acceptable substitutes, usual sources of protein, essential condiments, any religious or cultural taboos.
- ❑ *Food preparation*: whether the refugees can prepare food for themselves; whether communal food preparation or ready-to-eat food is necessary during an initial, short period (a few days).
- ❑ *Food distribution capacity*: the capacities available to receive supplies and organize distributions of food in a reasonably equitable manner during the coming days and weeks.

Not applicable.

Refugees' access to food, income and essential non-food supplies

Key informants: site managers, organizations providing services at the site (especially social scientists); refugee leaders; religious leaders

Initial assessment

Review/re-assessment

- ❑ *Access to food and other essentials*: preliminary information on the means by which the refugees – or different groups among the refugees – presently obtain food and essential non-food supplies and services; the resources and sources of income they have to acquire those items
- ❑ *Effects of refugees' coping strategies*: the probable short and long term effects of the coping/survival strategies adopted by the refugees.
- ❑ *Markets*: the locations of markets where

- ❑ *Access to food and other essentials*: how the refugees – or different groups of refugees – presently obtain food (other than food aid) and essential non-food supplies and services.
- ❑ *Sustainability*: any changes in the strategies used by different groups of refugees; the effects and implications of the strategies used, and whether their use can (or should) continue.
- ❑ *Markets*: changes in market conditions and the possibilities of refugees to purchase food, or sell labour, other services and any goods

refugees can purchase food, non-food essential (such as soap, medicines, clothing), or sell their labour, other services and any goods they may produce; the levels of activity in those markets.

- ❑ *Access to land, employment, markets:* whether refugees' have physical access; if government policy is restrictive, the extent to which restrictions are enforced.
- ❑ *Seasonal calendar:* the crop calendar and how seasonal considerations (including any seasonal disruptions of transport) will affect the ability of the refugees to obtain food.

they may produce.

- ❑ *Government policy:* any changes in policies towards the refugees and their access to land, employment and markets, or in the manner in which any restrictions are enforced.

Food handling, targeting and distribution

Key informants: site managers, organizations providing services at the site; refugee leaders; religious leaders

Initial assessment

- ❑ *Food handling capacity:*
- ❑ *Targeting:* the mechanisms that are, or could be, available to target food (and/or other assistance) to those who need it most.
- ❑ *Distribution:* the capacities (and willingness) of government entities, other organizations and the refugees themselves, to organize distributions in a reasonably equitable manner.

Review/re-assessment

- ❑ *Food deliveries:* any problems with deliveries, on-site storage and handling.
- ❑ *Targeting:* the effectiveness of the mechanisms used; whether improvements, or alternative methods, are needed and possible.
- ❑ *Distribution:* the effectiveness and efficiency of current arrangements; whether the most vulnerable/at risk individuals and groups are able to receive their entitlements without too much difficulty; what improvements, or alternative arrangements, are needed and possible; the capacities (and willingness) of government entities, other organizations and the refugees themselves, to improve or adopt new arrangements to ensure equitable distributions.

Supplementary and therapeutic feeding

Key informants: organizations providing services at the site; public health workers; refugee leaders; religious leaders

Initial assessment

- ❑ The rates of malnutrition and whether these require the initiation of supplementary and therapeutic feeding (see 9.10).
- ❑ Numbers of beneficiaries registered for and receiving supplementary and therapeutic feeding; the criteria for admission and discharge; recovery rates and death rates.
- ❑ The population groups from which new cases are being admitted and, if some groups are disproportionately represented, the reasons.

Review/re-assessment

- ❑ The numbers of beneficiaries registered for and receiving supplementary and therapeutic feeding; trends in admissions and discharges; the criteria for admission and discharge; recovery rates and death rates.
- ❑ The population groups from which new cases are being admitted and, if some groups are disproportionately represented, the reasons.

NON-FOOD FACTORS AFFECTING NUTRITIONAL STATUS AND GENERAL WELL-BEING

<p>Household food utilization</p> <p><i>Initial assessment</i></p> <ul style="list-style-type: none"> ❑ <i>Food storage:</i> arrangements and facilities for food storage at household level; losses incurred during storage. ❑ <i>Food preparation:</i> the extent to which the refugees are able to prepare food for themselves – the availability of necessary utensils, stoves, grinding/milling facilities, water and cooking fuel – and their ability to prepare easily digestible foods suitable for very young children and sick and elderly people. ❑ <i>Infant and young child feeding and care practices:</i> the traditional practices of the refugees and whether these are maintained; the extent of breastfeeding, arrangements for complementary (weaning) foods and care; risks for the health of infants and children; arrangements for the feeding of infant orphans and infants of mothers who cannot breastfeed. 	<p>Key informants: organizations providing services at the site; refugee leaders</p> <p><i>Review/re-assessment</i></p> <ul style="list-style-type: none"> ❑ <i>Food storage:</i> any changes in arrangements and facilities for food storage at household level; losses currently incurred during storage and how that compares with conditions previously. ❑ <i>Food preparation:</i> any changes in the ability of the refugees are able to prepare food for themselves – the availability of necessary utensils, grinding/milling facilities, water and cooking fuel – and their ability to prepare easily digestible foods suitable for very young children and sick and elderly people. ❑ <i>Infant and young child feeding and care practices:</i> the extent of breastfeeding and arrangements for complementary (weaning) foods and care, and how this compares with conditions previously; risks for the health of infants and children.
<p>Public health conditions and health care</p> <p><i>Initial assessment</i></p> <ul style="list-style-type: none"> ❑ <i>Material condition:</i> adequacy of shelter, clothing, sleeping materials and domestic household items for the refugees present and arriving. <p><i>Water supplies:</i> the quantity of water available to households; the adequacy of arrangements for water storage at household level; whether water quality poses health risks and, if so, the adequacy of arrangements for water treatment at source and/or at household level.</p> <p><i>Environmental sanitation:</i> environmental health conditions – toilets/excreta disposal arrangements, waste disposal, evidence of disease vectors; any arrangements in hand to improve these conditions.</p> <ul style="list-style-type: none"> ❑ <i>Health care:</i> the refugees' access to health care services, including essential drugs, and the quality of those services. ❑ <i>Action to meet related non-food needs:</i> arrangements (or plans) to (i) provide shelter, clothing, sleeping materials or domestic household items, where needed, or (ii) improve the quantity and/or quality of water available, the sanitary environment and health services. 	<p>Key informants: public health workers, organizations providing health services at the site; refugee leaders</p> <p><i>Review/re-assessment</i></p> <ul style="list-style-type: none"> ❑ <i>Material condition:</i> adequacy of shelter, clothing, sleeping materials and domestic household items and how that compares with conditions previously. ❑ <i>Water supplies:</i> the quantity of water available to households, the adequacy of arrangements for water storage at household level and how that compares with conditions previously; whether water quality poses health risks and, if so, the adequacy of arrangements for water treatment at source and/or at household level. ❑ <i>Environmental sanitation:</i> environmental health conditions – toilets/excreta disposal arrangements, waste disposal, evidence of disease vectors and how these arrangements and conditions have changed. ❑ <i>Health care:</i> the refugees' access to health care services, including essential drugs, and the quality of those services.
<p>Education and community services</p>	<p>Key informants: site manager; organizations</p>

<p style="text-align: center;"><i>Initial assessment</i></p> <ul style="list-style-type: none"> ❑ The prospects for organizing primary schooling and other educational services when the situation stabilizes; the resources available within the refugee community. ❑ The capacity of the refugee community to support its most vulnerable members; the community support services required. 	<p style="text-align: center;"><i>Review/re-assessment</i></p> <p>providing services at the site; refugee leaders; religious leaders</p> <ul style="list-style-type: none"> ❑ Enrolment, attendance and drop out rates among girls and boys; reasons for non-attendance and dropping out; whether there are differences among different groups. ❑ The quality of education; constraints on increasing coverage and improving quality. ❑ The effectiveness of community-based social services.
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<p>Protection concerns</p> <p style="text-align: center;"><i>Initial assessment</i></p> <ul style="list-style-type: none"> ❑ The risks faced by the refugees, or groups within the population (women, girls, unaccompanied minors, traditionally marginalized groups, etc.); the specific factors to be taken into consideration in the design of distribution systems and other implementation arrangements. ❑ Any evidence of sexually based or other forms of violence. 	<p style="text-align: center;"><i>Review/re-assessment</i></p> <p>Key informants: site manager; organizations providing services at the site; refugee leaders; religious leaders</p> <ul style="list-style-type: none"> ❑ Any changes in the risks faced by the refugees, or groups within the population; the specific factors to be taken into consideration in the design of distribution systems and other implementation arrangements. ❑ Any changes in the prevalence of sexually based or other forms of violence; the reasons.
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LOCAL (HOST) POPULATION

<p>Situation and needs of the local (host) population</p> <p style="text-align: center;"><i>Initial assessment</i></p> <ul style="list-style-type: none"> ❑ The food security situation of the host population; their access to services; their attitudes towards the refugees. 	<p style="text-align: center;"><i>Review/re-assessment</i></p> <p>Key informants: site manager; organizations providing services to the host populations; host population leaders (community and religious)</p> <ul style="list-style-type: none"> ❑ Changes in general economic and market conditions and the food security situation of the host population. ❑ Changes in the host population's access to services. ❑ Changes in the host population's attitudes towards the refugees.
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8.3 What to look out for when walking through a camp/settlement

The following are things that assessment team members should look out for when visiting a refugee site. For details of how to conduct a 'transect walk' see [10.5d](#).

Shelter, clothing

- whether these are adequate for the prevailing climatic conditions and those that may be expected;
- whether over-crowding or poor shelter could pose a health hazard.

Space

- whether households have space around their shelters for essential domestic activities, vegetable gardens and/or keeping small livestock;
- whether children have places to play.

Condition of the refugees

- any obvious signs of malnutrition (oedema, extreme thinness, goitre).

Water supplies

- the number of water points and the distances people have to go to collect water;
- the nature and adequacy of arrangements to protect water sources and/or water at the delivery points (exclusion of animals; control of children; special [not individual] containers used to draw water from wells, etc.);
- if water is being treated at source/the point of delivery, whether the treatment is systematic and controlled;
- the adequacy of the containers refugees use to collect and carry water.

Environmental sanitation conditions: the general sanitary state of the environment including:

- toilets/excreta disposal arrangements (their number, distance from shelters and water points, cleanliness and the extent to which they appear to be used);
- the nature and adequacy of arrangements for waste disposal (solid and liquid);
- any evidence of disease vectors;
- any efforts underway to improve these conditions.

Who is doing what

- what men are doing;
- what women are doing;
- what young people (adolescents) are doing;
- what children are doing;
- what elderly people are doing;
- who is collecting water and fuel-wood;
- who is building or maintaining shelters and community facilities;
- who is supervising young children;

Markets within the site

- the range and quantities of food being sold;
- the range and quantities of other items on sale.

8.4 What information to gather from focus groups of refugees

The following checklist suggests the kinds of information that assessment team members may seek when meeting with focus groups of refugees during initial assessments and review/re-assessment missions. Enquiries should generally be focused on issues that have been identified as requiring clarification or verification. More detailed and precise information would be gathered in an in-depth assessment of food security and self-reliance.

Health and nutrition problems

- ❑ *Health problems*: their perceptions of the most important health problems, the causes of those problems and what they and/or others should do to reduce them; whether the importance of personal, domestic and environmental hygiene is understood.
- ❑ *Nutritional problems*: their perceptions of causes of malnutrition and what they and/or others can do to reduce them; whether the importance of breastfeeding and proper infant feeding practices is understood; whether traditional practices have been disrupted; arrangements for the feeding of infant orphans and infants of mothers who cannot breastfeed.

How households and the community organize themselves

- ❑ *Control of resources*: who (men and/or women) controls resources within the household and at community level – food, cash, non-food household and productive items, access to any household means of transport (e.g. bicycle, cart).
- ❑ *Social organization/mutual support*: who are the leaders and what gives them their legitimacy; what associations (formal or informal) exist within the community, e.g. women's groups, religious groups, scouts, youth groups, occupational associations; what do they do; what could they do.
- ❑ *Especially vulnerable individuals/groups at particular risk*: the characteristics and estimated numbers of groups (such as ethnic minorities, unaccompanied children, infant orphans, people living with HIV/AIDS, etc.) within the population who are especially vulnerable or have special needs; the arrangements that have been or are being made within the community to meet their special needs; the help the community needs from outside agencies.

The local population and environment

- ❑ *Local population*: relationships; any help received; what has changed or may change.
- ❑ *Natural resources*: whether they have access to shelter materials, water and cooking fuel; whether access is becoming more difficult; whether resources are being depleted; the attitudes of the local population to the refugees' use of natural resources; what the refugees and the local population can do together to preserve the natural resource base of the area.

Food security: self-reliance and food aid

- ❑ *Food habits*: preferred staples (and reasons for preferences), acceptable substitutes, usual sources of protein, essential condiments, any religious or cultural taboos.
- ❑ *Sources of food*: the proportions of their food that they obtain from their own production, market purchases, food aid, gifts, other sources; seasonal variations; how sources have changed and are expected to evolve.
- ❑ *Income*: the income they gain from employment (skilled/unskilled), sale of ration items, sale of own production (food/other), remittances, gifts, other sources; seasonal variations; how incomes have changed and are expected to evolve.
- ❑ *Essential expenditures*: expenditures on food (per week); expenditures on other essentials (per month); how expenditures have changed and are expected to evolve.

- ❑ *Sustainability*: which food and income acquisition activities are sustainable in the long term, which are not; which should be supported, which should be avoided.
- ❑ *Seasonal calendar*: the crop calendar and how seasonal considerations will affect food security.
- ❑ *Level of self-reliance*: the proportion of their food needs that they can meet themselves in the next 6-12 months without disposing of productive assets or engaging in coping strategies that undermine the natural resource base or their own human capital.
 - ❑ *Food preparation*: the problems faced in preparing family meals and easily digestible foods suitable for very young children and sick and elderly people.
 - ❑ *Food aid targeting*: whether different groups of households have different levels of need and should receive different levels of assistance; how such 'targeting' can be achieved; whether current mechanisms are effective and appropriate.
 - ❑ *Food aid distribution*: whether current distribution arrangements are fair and transparent; how they could be improved (if necessary).

Protection concerns

- ❑ The risks faced by women, girls, unaccompanied minors, traditionally marginalized groups and/or others. etc.; what can be done to minimize those risks (including by modifying food distribution and other implementation arrangements).
- ❑ Whether any refugees suffer sexually based or other forms of violence; what can be done to reduce such violence.

Looking ahead...

- ❑ *Expectations*: whether they expect more refugees to arrive; when they expect to be able to return home (or find another form of durable solution); what changes they anticipate in their present situation.
- ❑ *Self-reliance*: whether they understand that the goal of international assistance is to help them to achieve the maximum degree of self-reliance possible in the circumstances pending a durable solution (while helping them to meet their essential needs in the meantime); what possibilities they see to increase their self-reliance; what can they do for themselves and what assistance do they need.

8.5 What information to gather during visits to refugee households

The following checklist suggests aspects that assessment team members should look out for and ask about when visiting individual households during initial assessments and review/re-assessment missions. The purpose of such visits is to verify the plausibility of detailed information received from other sources or focus group discussions, and to identify aspects on which more detailed enquiries may be needed. The information cannot be assumed to be representative of the whole population.

More detailed and precise (and representative) information would be gathered in a household survey – see, for example – *Refugee camp vulnerability survey – Iran – household questionnaire* (on the CD-ROM).

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- ❑ *Material condition*: adequacy of shelter, clothing, sleeping materials and domestic household items;
 - ❑ *Food storage*: arrangements and facilities for food storage at household level; evidence of losses incurred during storage;
 - ❑ *Food preparation*: the availability of necessary utensils, stoves, grinding/milling facilities, water and cooking fuel; the preparation of easily digestible foods for very young children and sick and elderly people separate from family meals;

- ❑ *Cooking fuel and practices*: the source(s) of cooking fuel; where they have to go to collect it; whether cooking practices are fuel efficient;
- ❑ *Infant and young child feeding and care practices*: the extent and duration of breastfeeding; the types of complementary (weaning) foods used for young children; whether practices have changed; any obvious risks for the health of infants and children; whether the adults are aware of the dangers of poor practices;
- ❑ *Water supplies*: distances to water sources; the quantity of water collected daily; the adequacy of arrangements for water storage (including protection of water quality) at household level;
- ❑ *Environmental sanitation*: distance to toilets; adequacy of toilets; arrangements for waste disposal (solid and liquid); any evidence of disease vectors; what the refugees are doing to improve conditions;
- ❑ *Health care*; whether any household members are sick or have recently been sick; if so, where they sought treatment, how they obtained drugs, and their perceptions of the quality of service.

8.6 What to look for at food distributions

The following checklist suggests aspects that assessment team members should look out for and ask about when observing distribution operations during initial assessments and review/re-assessment missions. The purpose is to see how distributions are organized, verify the plausibility of information received from other sources, and identify aspects on which more detailed enquiries may be needed. The information cannot be assumed to be representative of all distribution sites.

More detailed and precise information would be gathered by monitoring staff in regular monitoring – see [10.6](#).

Assessment team members should observe all aspects of the distribution process and talk with a random sample of beneficiaries.

Handling and management of food supplies

- ❑ The quantities of each commodity available at the site for distribution, compared with the quantities required and allocated (and any planned operational stock)
- ❑ Adequacy of on-site storage and stock management (where food is stored at the site)
- ❑ The condition of scales, scoops and other essential equipment, and whether they are adequate in number
- ❑ Evidence of loss/damage incurred during transport to and unloading at the site
- ❑ Whether the food is properly stacked; whether bags of food are left open and without proper custody; whether food is spilt on the ground of the distribution area
- ❑ The condition of the commodities

Management of the site and process

- ❑ The ratio of women to men on community food committees and in positions of responsibility in managing the distribution process
- ❑ Participation and contribution of beneficiaries: e.g. for unloading, organizing the distribution, ensuring security/crowd control
- ❑ How complaints are dealt with
- ❑ Whether there is a system to track absentees, and to follow up on them

The distribution process

- ❑ The percentage of women among those collecting rations
- ❑ The orderliness of the distribution 'line' and effectiveness of arrangements to ensure that vulnerable individuals/households have easier access to the food ration, or are assisted
- ❑ Whether any specific support has been provided for women (e.g. care centres for the children, assistance in the transport of the food ration, sensitization of the "male" community...)
- ❑ Whether adequate security mechanisms are in place and appear to be effective
- ❑ The orderliness and efficiency of the process of checking beneficiaries' registration and ration cards – the state of registers; are there any obvious discrepancies; the validity of beneficiaries' ration cards, on a random sample basis;
- ❑ The recording of distributions to designated beneficiaries; whether beneficiaries sign upon receipt of the food rations
- ❑ Orderliness and efficiency of the measuring and distribution of commodities – the way in which scales or scoops are used; the extent of loss or wastage during distribution; how losses are recorded
- ❑ The adequacy of the containers that the beneficiaries use for receiving and carrying away their rations
- ❑ Procedures for checking, accounting for and dealing with empty containers and any surplus commodities after completion of the distribution

Exit surveys: food basket monitoring

- ❑ Whether/to what extent beneficiaries are interviewed and their rations checked as they leave the site; the sampling method used (random or systematic e.g. every 30 recipient);
- ❑ The rigour exercised in weighing what beneficiaries have actually received; the levels of deviation that are being found
- ❑ Whether the possession of valid ration cards is checked (and the percentages of eligible and ineligible recipients calculated)
- ❑ Whether monitors check the profiles of the recipients and whether they correspond to the established criteria for inclusion

Random interviewing of beneficiaries by assessment team members

- ❑ Whether they understand their entitlement; what they received in previous recent distributions
- ❑ Whether they have reported any problems/complaints and what, if anything, has been done to resolve these
- ❑ Beneficiaries' satisfaction with the type and quality of commodities, the selection/registration process, the distribution process and any recent changes in ration levels or composition or in distribution procedures

8.7 What information to gather in markets and from traders

The following checklist suggests aspects that assessment team members should look out for and ask about when visiting markets in and near the refugee sites.

The purpose is to understand current market conditions and prospects for prices, supply and demand for items the refugees and local people (especially poor people) may need to buy or want to sell, and for labour (especially unskilled labour). This is essential for analysing current food security and prospects for increased self-reliance.

Enquiries addressed to wholesale traders help to understand how the markets for various types of produce work; the links and relationships with markets in the rest of the country and in

neighbouring countries; seasonal variations in market supplies and demand; the factors that are influencing prices; and possibilities for local procurement of food or non-food items.

During an initial assessment, the aim is to gain a preliminary understanding of market conditions), verify the plausibility of information received from other sources, and identify aspects on which more detailed enquiries may be needed. More detailed and precise information would be gathered in an in-depth assessment of food security and self-reliance, and by monitoring staff in regular monitoring, with particular attention to changes in prices and availability.

How to gather information ¹⁶

- Walk through the market and observe what is being bought and sold, and what is missing.
- Talk with buyers, sellers (retailers), traders (wholesalers) and grain millers – a small sample of each.

Enquiries in informal markets that function daily within a refugee settlement may be conducted at any time. Enquiries in nearby local markets must be conducted on market days.

Talk with a sample of traders covering all the main commodities that are commonly produced or sold in the area. (Most traders deal with only a small range of commodities, perhaps only one.) Do not rely on the information given by one trader only. Try to include a balanced mix of very small traders and larger traders for each type of produce, including different types of livestock.

For information on local daily unskilled wage rates, find out how much a loader/porter in the market receives by asking traders and the porters themselves.

Approaching Traders

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

Some do’s and don’ts:

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

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

What information to seek in retail markets

- ❑ selling prices of *staple food items* and *other important food items* (e.g. beans, essential condiments) of average quality – prices per kg or the usual local measure; how these prices compare with what is normal for the season; how prices have changed in the last few weeks and in the last year-or-two;
- ❑ selling prices for *essential non-food items* (e.g. soap, fuel-wood and/or other cooking fuel, household utensils, clothing); how prices have changed in the last few weeks and in the last year-or-two;

¹⁶ Adapted from *WFP Emergency food security assessment guidelines*, draft April 2004.

- ❑ selling prices for *agricultural inputs* (e.g. seeds) and *other raw materials* used in local productive activities; how prices have changed in the last few weeks and in the last year-or-two;
- ❑ buying and selling prices of *agricultural* (including livestock – healthy animals) and *other products* that refugees and local people (especially poor people) have to sell; how prices have changed in the last few weeks and in the last year-or-two;
- ❑ how *terms of trade* between produce and basic foods and essential non-food items have changed in the last few weeks and in the last year-or-two;
- ❑ items that are in short/declining supply and relatively expensive; items that are plentiful/in increasing supply and relatively cheap;
- ❑ the reasons for changes in availability and price as perceived by buyers and sellers.

What information to seek from wholesale traders

- ❑ wholesale selling prices for staple food items, other important food items, essential non-food items;
- ❑ buying prices for the agricultural and other products produced by the refugees and/or in the locality;
- ❑ whether any food supplies are being moved out of the area; if so, which items;
- ❑ other supplies that are moved out to be sold in other markets;
- ❑ costs of taking supplies to, the main markets in other areas; whether transport capacity is a constraint; any other constraints;
- ❑ whether stocks of any particular items are low; if so, why; whether stocks of any particular items are building up because of weak demand and/or transport difficulties; if so, which items.

What information to seek about labour and services markets

- ❑ daily wage rate for casual, *unskilled labour*; how the rate compares with what is normal for the season; how the rate has changed in the last few weeks and in the last year-or-two;
- ❑ the reasons for changes in the supply and demand for unskilled labour, and in daily rates, as perceived by contractors and labourers themselves;
- ❑ the skills and services that are in plentiful supply, and those for which demand exceeds supply.

☞ For further details concerning macro-level assessment of food markets, see: *WFP emergency food security assessment handbook*, provisional version expected end-2004.

☞ For further details concerning market potential to support increased self-reliance, see: *Handbook for self-reliance activities*, UNHCR, expected 2004.

8.8 What to look out for in food warehouses ¹⁷

The following are aspects that should be checked during inspection visits to food (and other) warehouses.

Premises (inside and outside the store)

- gates, fences, doors, roofs, windows, gutters and drains are in good repair
- all locks are secure
- floors are sound and clean
- fire extinguishers are accessible
- no smoking is permitted in or close to the store
- there are no signs of the entry of rats/mice
- open ground is clear and tidy

Indoor stacking

- different commodities, different packages and different consignments are stacked separately
- between stacks and all walls and pillars there is at least 1 m space
- between stacks and the roof structure there is some space
- between stacks there are passages of at least 2 m for loading/unloading (5 to 6 m passages in a large store where the entry of trucks has been authorized)
- all stacks are built on pallets or round-pole dunnage (with priority to flours and blended foods)
- pallets/dunnage are smooth and level; there are no projecting nails or splinters
- stacks are orderly, built to edge of dunnage and 'bonded' (the containers in each layer are oriented at right angles to the layer below)
- height limits are respected; lower layers are not crushed

Outdoor stacking (when indoor capacity is insufficient)

- only whole grain cereals, pulses and vegetable oil in drums are stacked outside (no flour, blended food, milk powder or canned items)
- the ground is firm and flat (ideally with a *slight* slope for drainage); no danger of flooding
- all stacks are on dunnage on a raised gravel platform surrounded by drainage ditches
- there is a polythene/PVC sheet between the dunnage and first layer, and this sheet is turned up and tucked in between 3rd and 4th layers
- a canvas (or plastic) tarpaulin covers the stack and is tied down on all sides

Handling

- bags are carried, not dragged or thrown; no hooks are used; bags and cartons are not carried in the rain
- commodities from damaged containers are recovered – repacked or the containers repaired – and stacked separately
- mechanical handling equipment is in good condition, regularly maintained and correctly used

General warehouse management

¹⁷ Reproduced from *Emergency field operations pocketbook*, section 9.5, WFP 2002

- ❑ dispatch priority is decided taking account of food and packaging condition, expiry date and stock rotation (first-in-first-out)
- ❑ cleaning materials are available and well-kept
- ❑ other basic equipment is available and well-kept (see [9.6](#))
- ❑ cleaning schedule and responsibilities are defined and respected
- ❑ damaged commodities are stacked well away from other commodities pending disposal
- ❑ sweepings and other dirt are disposed of well away from the store
- ❑ fumigation is undertaken by licensed fumigators, when needed
- ❑ bag weights are checked on a sample basis on receipt (unloading) and dispatch (loading)

Records

- ❑ stack cards on each stack are up-to-date
- ❑ central inventory records are orderly and up-to-date
- ❑ separate records are kept for similar commodities of different origin
- ❑ procedures for writing off spoiled items are strictly followed
- ❑ physical stocks correspond to recorded stock balances taking account of recorded damage and loss

Condition of stocks

Look all round each stack, use a torch in dark places and look out for:

- ❑ split/broken containers
- ❑ webs or cocoons of beetles and moths between bags or in the seams
- ❑ heating (lift a bag in the middle of the top layer)
- ❑ unusual smells
- ❑ hardening of DSM sacks
- ❑ rusting or swelling of cans (open a few randomly selected cartons; reseal them after inspection)
- ❑ leakage of oil

☞ For details concerning the storage of specific commodities, see: *WFP food storage manual*.

9. How to Analyse and Interpret Information

This chapter provides some suggestions and checklists for analysing information on the range of topics that a joint assessment may be expected to cover.

9.1 Analysing refugee numbers and demography

Establishing planning figures for the number of refugees (or returnees) to be provided with particular forms of food assistance in the next period a key function of joint assessments. Every effort must be made to reach consensus among all stakeholders but, at the end of the day, the joint mission is responsible to present, and justify, its own conclusions.

Numbers

- ❑ Are the numbers reported, or estimated, by different authorities or organizations similar? If not, what could account for the differences?
- ❑ Are they plausible? Do they correspond to the team's own observations? Are they consistent with data on school enrolment, data from vaccination campaigns and from other sources?
- ❑ Where registration has already been completed, is there evidence (or are there reports) that the data are inaccurate or out-of-date?

If there are significant differences, or if the numbers do not seem plausible, check the bases of the different estimates, make spot checks of physical presence (see [9.3](#)) and organize a quick estimation following the guidelines in [10.1](#).

Demography

Check the following, and monitor changes over time:

- ❑ the numbers of households headed by women, elderly persons or children;
- ❑ dependency ratios (the number of children, elderly and disabled persons divided by the number of able-bodied adults);
- ❑ the proportion of able-bodied males in the population.

Consider the implications for:

- ❑ nutritional requirements (see [10.3](#)); and
- ❑ the ability of households to construct and maintain their own shelters, to access services, and to engage in self-reliance activities – see example in the box below and note that this may also be influenced by the prevalence of HIV/AIDS (see [9.13](#)).

An example of the importance of analysing demographic trends

“The ability to maintain a year-round garden and to do shelter repairs depended on the support of an able-bodied male, and current statistics showed that there was one man aged 20-59 years among six refugees, i.e. one per typical household size. However, over the previous year the percentage had dropped from one among five refugees, and the population trends due repatriation and entry of new refugees from Liberia forecasted further reduction.”

[Assessing refugee self-reliance: a food economy assessment: Kountaya and Telikoro refugee camps, Kissidougou, Guinea, B Reed, UNHCR Dec 2002]

9.2 Analysing the general context

All other data must be interpreted, and the assessment team's recommendations must take account of, the general political, social and security context. This analysis is therefore critical and a preliminary analysis should be completed early in the assessment process.

What is the physical and economic environment?

- ❑ *physical* characteristics of the area – whether agricultural (rain-fed or irrigated?), pastoral, arid or predominantly urban; whether homogeneous or separated into distinct zones by hills, rivers or other features;
- ❑ *climatic* conditions – present day- and night-time temperatures and rainfall; normal seasonal variations to be expected;
- ❑ *economic* characteristics of the area – whether part of a thriving economic area, well-connected to other areas and markets, or isolated; the main economic activities and trading links; general level of economic activity and standards of living in the area and in the country as a whole;
- ❑ *site* characteristics of the various settlements – space, topography, soil conditions, availability of water and shelter/shelter materials, physical access, availability of electricity, telecommunications, health and other services, any physical risks (e.g. prone to flooding or landslides);
- ❑ what are the *implications* of these conditions for the refugees in the short and long terms? What is being done, or could be done, to improve general conditions?

What is the political and social environment?

- ❑ *government policy and regulations*: whether refugees are granted freedom of movement and access to land, employment and markets, and permitted to establish businesses; whether they are encouraged, or allowed, to participate in local development activities and receive training;
- ❑ *local attitudes*: the extent to which any legal restrictions are actually enforced; the relationship between the refugees and host communities; whether local authorities or non-state actors have a positive attitude towards the refugees, or impose their own restrictions;
- ❑ what are the *implications* of these policies and attitudes for the refugees in the short and long terms? What is being done, or could be done, to strengthen positive policies and attitudes, and to reduce negative ones?

What is the general security situation? What present and potential conflicts must be considered?

- ❑ *security and risks in the area*: whether the area in general is affected by armed conflict, social tensions and/or widespread crime and banditry; whether the refugees in particular are targeted for ethnic, political, military or criminal reasons; whether the presence of the refugees and assistance operations could exacerbate local conflicts and insecurity;
- ❑ *conflicts within the refugee population*: whether there are conflicts among different groups or refugees;
- ❑ *conflict analysis*: whether a conflict analysis been undertaken by the UN country team or another group; what risks need to be considered when planning interventions (see box below);
- ❑ what are the *implications* of these security conditions and potential conflicts for the refugees and for the design of programme interventions?

Conflict analysis

Conflict analysis (i) helps in understanding political and social conflicts, their causes and impacts, and the risks of conflict and violence; (ii) enables programme interventions to be designed to minimize the risks of activities exacerbating conflicts or being negatively impacted by them; and (iii) may indicate activities, or approaches to the implementation of activities, that could help to reinforce factors that lessen conflicts or reduce risks of conflict.

Conflict analysis typically involves:

- describing the conflict(s);
- analysing the causes of the conflict(s) – historical, economic, social, political and other causes;
- analysing the interests and positions of the various actors or ‘stakeholders’, the relationships among them and influences on them;
- analysing the dynamics of the current situation, the factors prolonging conflict and those that tend to reduce it, and events that could trigger a new crisis;
- identifying the implications for the refugees and programme interventions.

This is done on the basis of secondary data and discussions with key informants and focus groups representing as many as possible of the groups (stakeholders) concerned. Data are best presented in matrices and diagrams (not text).

UN inter-agency guidelines for conflict analysis are being developed in 2004. Contact UNHCR-TSS and WFP-OEN for further guidance.

9.3 Assessing the registration and ration card control system

Joint assessment teams should:

- review, and judge the adequacy of, the systems for (i) up-dating registration records and the entitlement lists for food distributions and receipt of non-food items, and (ii) controlling ration cards; and
- make their own spot checks of physical presence and household composition.

The spot checks should not be taken as representative of the general situation but, when problems are found, will indicate a need for systematic follow up, possibly an extensive verification exercise.

Where an up-to-date computerized registration system is in place, the system will print out lists of households as a basis for the issuance of ration cards, for use at distribution centres to control the ration cards presented, and for use in the distribution of non-food items. The same registration database may be used as a basis for the issuance of identity documents, in places where UNHCR has a role in that activity. When certain individuals or households are registered as refugees but not entitled to food assistance, they will not appear in the food-lists.

Where an integrated computerized system is not yet in place, there may be separate mechanisms producing lists for food distribution and for other purposes.

In all cases:

- arrangements must be in place to incorporate new arrivals, births, marriages, deaths and departures, and to cancel and replace lost, stolen or damaged ration cards;
- the registration data base and entitlement lists for rations and, separately, non-food items should be regularly screened for multiple records of the same person or family;

- registration data and entitlement lists should be regularly updated on the basis of verification of physical presence – see box below;
- if rations are targeted only to selected population groups, entitlement according to the established criteria of eligibility should also be verified regularly;
- the ration cards of households who are no longer present or eligible should be invalidated – see box below.

Re-registration is a measure of last resort and should be avoided if at all possible in view of the complexity and cost of such an exercise, and the tensions that may be created. Arrangements to incorporate new arrivals, etc., plus regular verification of physical presence and the suspension and eventual cancellation of entitlements for people not found to be present, is more appropriate in most cases.

The timing of registration, verification or revalidation will be agreed upon between UNHCR and WFP, and UNHCR will fully involve WFP in the planning and execution of registration and verification exercises – see MOU # [3.4](#), [3.5](#).

Checklist for assessing the registration and ration card control system

- Actual place of residence and family/household composition is verified by on-site checks and home visits
- All dependency relationships within a family and/or household are established and verified
- Family relationships are counter-checked with both parties, to the extent possible, and verified through documentation where feasible (information is always solicited directly from the individual concerned, to the extent possible)
- Language and knowledge about the place of origin are verified during individual interviews
- New arrivals are registered
- Departures (for voluntary repatriation or other reasons) are registered
- Births and deaths are registered
- Records are adjusted for marriages and, when necessary, for other events
- Procedures are in place, and adequate, to check claims that rations cards have been lost, or stolen, and to cancel and replace lost, stolen or damaged cards
- Regular checks of physical presence are made, on a random sample basis, both through unannounced home visits and by calling households to present themselves at the distribution centre
- Interviews and visits to verify presence are also used to check household composition and that the household or individual is indeed of concern to UNHCR, not of the local population
- The data base and entitlement lists are regularly screened for multiple registrations
- When a ration card is not presented at two or three successive distributions, a home visit is made to check physical presence; if the persons concerned are not present the entitlement is suspended
- When registration is cancelled or the entitlement withdrawn, the corresponding ration card is invalidated, by changing its physical appearance in a distinctive and permanent way. The card is also withdrawn unless the household or individual has no other identity document of proof that they were once entitled to UNHCR/WFP assistance.

Making spot-checks of physical presence

Randomly select a number of households from the ration entitlement list (e.g. by using a random number table), find their places of residence and then, at each residence, in the company of a member of the refugee community and someone from the host population:

- check the ration card and the identities of the people present; ask that other registered members of the household be called; check their identities; and

- ❑ check the origin(s) of the household members by checking their language/dialect, their knowledge of locations and conditions in the country of origin, and their interest in returning to the country of origin.

Regular verification of physical presence

Physical presence and household composition should be verified by a combination of household visits and calling households to present themselves all together at the registration centre or the distribution centre. Household visits should be made without warning or with only short notice and may be undertaken by 2-person teams comprising someone from the refugee community and someone from the local host community. High school graduate (or student) volunteers have been successfully used in some operations.

Explanations of absence should be cross-checked.

True absence should be based on a pattern of behaviour over time.

Interviews and visits to verify presence can also be used to check that the household or individual is indeed of concern to UNHCR, not of the local population.

☞ For details of verification techniques, see *Handbook for registration, section 20 Verification and deregistration process*, UNHCR Sept. 2003

Cancellation/withdrawal of registration and ration cards

Where refugees have separate identity cards, ration cards should be invalidated and withdrawn. It can be invalidated by punching through any remaining entitlement boxes, clipping two or more corners of the card, drawing across the face of the card in permanent red ink, or any other way of changing the physical appearance of the card in a distinctive and permanent way.

Where the ration card is the only piece of identifying documentation that a household or individual may possess and the only proof that they were once of concern to UNHCR and benefited from food assistance, the cancelled ration card or a photocopy of the card may be left with the household or individual concerned.

Separate identity cards are preferable. In Yemen, for example, some refugees who had left the camp and moved to urban areas still returned to the camps from distant areas to collect their ration, spending more on transportation than the value of the ration. It has been reported that they do so because they are afraid that they might otherwise lose their status as refugees and any hope of resettlement in a third country or assisted repatriation.

9.4 Analysing food supply

This section suggests what an assessment team needs to consider when looking into the food supply situation, including domestic food availability and the provision of food aid.

Joint assessment teams must examine:

- the availability, in the area and/or the country, of food that could be acquired by the Government, WFP or others to be made available to the refugees (or returnees).
- data on food aid distributions, stocks and the pipeline.

Food in-country that could be acquired

- ❑ *government and other organizations' stocks*: what food – types and quantities – is presently held in government and other organizations' stocks that could be released for distribution to the refugees/returnees, or borrowed by WFP for distribution against subsequent replacement;
- ❑ *commercial stocks*: what food – types and quantities – is presently available in commercial stocks that could be purchased; whether it is of acceptable quality; who owns or controls it;
- ❑ *next harvest*: when is the next harvest: whether there is likely to be a surplus of any items – types and quantities – that could become available at that time.

Food aid distributions, stocks and pipeline

What has been distributed

- ❑ the quantities distributed since the last assessment/review (or since the start of the operation in case of an initial assessment);
- ❑ how actual distributions compare with what had been planned, the reasons for any differences and the implications for the beneficiaries.

Current stocks

- ❑ the quantities of the various items in stock, and the condition of those stocks;
- ❑ any considerations relating to the location of stocks relative to the refugee/returnee sites and logistic constraints (e.g. restrictions on movements).

Pipeline status

- ❑ the quantities of the various items in the external pipeline and whether any pipeline breaks are foreseeable;
- ❑ action taken, or required, to avoid pipeline breaks and/or minimize the impact on beneficiaries.

Indicators for reporting performance results (outputs)							
For UNHCR reporting							
Number of kilocalories per person per day (available to households):							
<ul style="list-style-type: none"> • for the entire population • for specific groups (when relevant) 							
For WFP reporting							
Quantity of food distributed:							
<ul style="list-style-type: none"> • planned • actual 							
	Girls <5 yr	Girls 5-17	Women	Boys <5 yr	Boys 5-17	Men	Total
Number of beneficiaries (average number during the last year, or period)							

9.5 Analysing people's access to, and utilization of, food and income

This section suggests how to determine the access that each socio-economic group has to food and income and the use they make of it – to understand the extent to which they are able to meet their needs for food and other essential items and pay for essential services for which there is a charge, and therefore to determine how much food they can be expected to provide for themselves.

People's access to food and the extent to which they can meet their own food needs are determined and affected by many factors, especially their:

- *food sources* (other than food aid): people obtain food in many different ways, including their own production (crops/livestock), fishing, hunting, foraging, gifts (from kinship and community solidarity), bartering and purchases from the local market;
- *income*: cash for purchases of food and other items and services may come from wage employment, casual labour, trading, gifts (including remittances from relatives elsewhere), loans, and from the sale of crops, animals, fish, services, items produced (e.g. handicrafts, charcoal) or items gathered (e.g. fuel-wood);¹⁸
- *essential expenditures*: other (non-food) essential demands on available cash income may include rent and payments for water, fuel, health services, education, etc.

When incomes are limited but households have to pay for some essential items and/or services, there are inevitable trade-offs between food consumption and other household needs (often including the fuel required to cook the food).

Whether people obtain full nutritional benefit from the food they have also depends on many factors, notably: nutrient losses incurred during storage and food preparation and cooking; whether food is shared equitably (according to nutritional need) within the household; feeding practices for young children and sick and elderly people; and whether the absorption of nutrients by the body is reduced by disease.

An assessment of the extent to which people can meet their own food needs must consider all such factors including:

- the stability, sustainability and social acceptability of the various food sources and income activities, and the underlying reasons for restricted access;
- people's access to supplies and services to meet other essential needs, and the costs involved;
- whether improvements can be made in the utilization of food; and
- any differences among distinct population groups.

Distinguishing among 'coping' strategies

When analysing the coping strategies adopted by refugees (and returnees) in each situation it is important to distinguish, with the refugees/returnees and local populations:

- *viable coping strategies* – activities that are sustainable and preserve future means of livelihood, dignity and nutritional health; and
- *negative coping or 'distress' strategies* – activities that undermine future means of livelihood, dignity or nutritional health, increase long-term vulnerability, or are illegal or not socially acceptable.

Distress strategies are to be discouraged and should not normally be taken into account when determining what people can be expected to provide for themselves.

¹⁸ For a small number of refugees, cash may also come from savings.

Determining people's access to food, and what they can provide for themselves

In order to estimate the proportion of their food needs that households can meet by their own efforts and/or from food obtained other than through food aid – and specify any important seasonal variations – work with the refugees, the local population and other stakeholders, to determine the following for typical households in each distinct socio-economic group:

- ❑ *Food sources*: Identify the various sources from which they acquire food (e.g. own production, market purchases, food aid, hunting/gathering, other...), the relative importance of each (preferably as a % of total food available to the average household), and how the sources or their relative importance change seasonally, have changed recently for other reasons and may change in the coming months, and the implications for households;
- ❑ *Income sources*: Determine the various sources of income (e.g. agricultural labour, other labour, sale of own products or items gathered, sale of ration items, remittances), the relative importance of each, how the sources or their relative importance has changed recently and how they may change in the coming months;
- ❑ *Sustainability and social acceptability*: Determine the sustainability and social acceptability of the various sources of food and income: distinguish between (i) viable coping strategies that are sustainable, do not have negative consequences and should be supported, and (ii) distress strategies that are not sustainable, do have negative consequences or are socially undesirable, and should be discouraged;
- ❑ *Essential expenditures*: Estimate the essential expenditures they incur for food and non-food requirements (e.g. for rent, fuel, water, clothes, medicines, health care, children's education, weddings, funerals, condiments and other food items not supplied in rations), the relative importance of each, how these expenditures have changed recently and how they may change in the coming months.

If it is possible to obtain reasonably reliable data not only for household food production and expenditures but also for income, determine their *income/expenditure balances*, taking account of the amounts of food traded or exchanged for other items. Thus calculate the household food deficit (or 'gap').

In most cases it is not possible to obtain reliable figures for income and proxy indicators must be used together with the above data in order to get an idea of the food security of households and how it is changing. The most commonly used proxy indicators are:

- ❑ *Ration duration*: Determine how many days the ration lasts compared with the interval between distributions.
- ❑ *Assets and debts*: Identify the type and level of economic assets and debts, and how these have changed. Distinguish debts incurred for consumption purposes and those incurred for productive investments.
- ❑ *Diet diversity and food frequency*: Determine how frequently households eat different food items (see below) and whether this has changed. Low diversity and infrequent consumption of more desirable items indicates that the household is under stress and food insecure.

Proxy indicators of food insecurity	Indicators of increasing food insecurity	Indicators of improving food security
Diet diversity	Declining diet diversity.	Increasing diet diversity.
Food frequency	Declining frequency in the consumption of desirable items.	Increasing frequency in the consumption of desirable items.
Assets and debts	Declining assets. Rising debts for consumption.	Increasing assets. Declining debts for consumption.
Ration dependence and duration	Increase in the percentage that the ration contributes to the totality of households' food, and/or reduction in duration,	Decrease in the percentage that the ration contributes to the totality of households' food, and/or increase in duration, without any change in the

	without any change in the ration itself.	ration itself.
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Food frequency – example of a data collection sheet ¹⁹				
<i>Could you please tell me how many days in the past week your household has eaten the following foods?</i>				
Data item #	Food item	DAYS eaten in past week (0-7 days)	Sources of food (see codes panel)	Food source codes
	Rice			<i>Purchase = 1 Own production = 2 Traded goods or services = 3 Borrowed = 4 Received as gift = 5 Food aid = 6 Other (specify) = 7</i>
	Sorghum			
	Potatoes			
	Beans (kidney) / Pulses			
	Vegetable oil, fats			
	Fish			
	Eggs			
	Vegetables (including leaves)			
	Fruits			
	Sweets, sugar			

Determining the use made of food and other resources

Working with the refugees and other partners, for each distinct socio-economic group:

- Determine/analyse the use actually made of the food aid and other resources currently available to them, including the proportions of ration items that are (i) consumed and (ii) sold or exchanged;
- Identify any problems in relation to the suitability and use of particular items or the preparation of foods for family meals and for young children, sick and elderly people, including any recent changes in the ability of the refugees to prepare food for themselves (due, for instance, to the inadequate availability of necessary utensils, grinding/milling facilities, water or cooking fuel);
- Identify food and non-food measures that could improve the diet, enable households use food items and resources more effectively, and overcome the problems identified.

Drawing conclusions concerning the need for/adequacy of a general ration

The analysis should:

- Determine (i) the extent to which different groups of refugees are presently able to meet the food needs of their families, (ii) how the level of their self-reliance based on current strategies can be expected to change during the next 12-24 months, and (iii) the vulnerability of their self-reliance to foreseeable risk factors.
- Identify the political, economic, social and climatic factors that could change the amounts of food and/or income that refugees currently obtain through their own efforts and from sources other than food aid, and estimate the amounts that could be gained/lost as a result for each distinct population group/category.
- Identify the factors inhibiting the effective and efficient use of available food, and measures that could reduce those constraints.

¹⁹ Adapted from *Refugee camp vulnerability survey, Iran*, household questionnaire, WFP-VAM October 2003.

When an *economic balance approach* is used, the analysis should provide a specific estimate of the 'gap' – expressed in kcals or cereal-equivalents for a typical household in each distinct population socio-economic subgroup.

When *changes in resource use and economic and nutritional outcomes* are examined, the analysis should result in a judgement as to whether present levels of assistance are necessary and appropriate in the light of trends in (i) the nutritional situation and (ii) the extent to which refugees are using the resources available to them for non-essential expenditures and/or to accumulate assets. This analysis and judgement must also take account of any recent changes in rations or distribution arrangements, and seasonal considerations.

☞ For further details, see *Emergency food security assessment guidelines*, WFP expected 2004.

☞ For an example of a questionnaire for a household survey, see *Refugee camp vulnerability survey, Iran*, WFP-VAM October 2003.

9.6 Analysing opportunities to increase self-reliance

This section suggests how to identify the opportunities for and constraints on self-reliance for each socio-economic group, and the measures that may be needed to increase self-reliance.

Economic self-reliance may be increased by:

- increasing household food production;
- increasing household income; and/or
- reducing expenditure.

The assessment and analysis must seek to identify ways in which some or all of the above can be achieved while protecting the dignity of the refugees and the resource bases of the refugees and the host community.

Working with the refugees, the local population and a range of development actors, governmental, UN and NGO:

- check that the refugees, local population and national and local authorities all understand – and agree with – the aim of helping the refugees to achieve the highest possible level of self-reliance in the circumstances;
- identify the factors that influence – facilitate or constrain – the ability of refugees in the different locations and/or socio-economic groups to become more self-reliant, and determine, or estimate, the importance of each; and
- determine what measures may be needed to (i) reduce constraints and create an enabling environment for self-reliance, and (ii) help individual groups and households to take advantage of available opportunities.

The principal issues to be examined are:

Political and legal factors

- national policies and attitudes towards the refugees, their right to life with dignity and the quality of the asylum provided;
- national and local government regulations concerning: refugees' access to land, employment, markets, financial services; their freedom of movement; their access to and use of natural resources (e.g. water, firewood) and social services; the integration

of refugees into local development programmes; the promotion of self-reliance activities by aid organizations;

- ❑ the degree of enforcement of those regulations, and any indications that policies or their enforcement could change;
- ❑ the membership and effectiveness of official national and local coordination arrangements for refugee-related operations – the involvement of development oriented departments and organizations;
- ❑ the commitment demonstrated by UNHCR, WFP and the UN country team as a whole, including development agencies (especially FAO and ILO), to promote and support self-reliance among the refugees and to integrate them in the CCA/UNDAF planning process and overall poverty reduction strategies;
- ❑ the willingness of the donor community to support self-reliance pending a durable solution.

Economic factors

- ❑ the refugees' access to *land*; the fertility of that land; land tenure and ownership; the availability (and cost) of water and other essential agricultural inputs including extension services; possibilities for intensive small-scale (including multi-storey) gardening or chicken and other small livestock rearing on household plots; crop/food storage facilities;
- ❑ the availability of *pasture* and veterinary services; endemic livestock diseases;
- ❑ current *employment* opportunities (formal and informal) in the locality, for skilled and unskilled workers; unemployment rates among the local population; local labour laws and taxation considerations;
- ❑ *financial opportunities*:
 - whether and how households save or access cash (credit) through informal, traditional or community-based mechanisms;
 - the availability of micro-finance services (credit, savings); government regulations concerning credit and micro-finance services;
- ❑ possibilities for *natural resource* management programmes (including but not limited to environmental protection and rehabilitation) and other infrastructure works programmes inside and outside the refugee settlements;
- ❑ the *backgrounds* and *skills* of the refugees; how those skills match the opportunities available; any changes in skill profiles due to continuing population movements (departures and new arrivals);
- ❑ *market conditions*:
 - the *prices* of cereals, other food items and essential non-food items in local markets, recent changes and trends in those prices and whether they correspond to normal seasonal variations or not;
 - the *terms of trade* for the labour and/or produce (including ration items) the refugees have to sell against their essential expenditures, how the terms of trade have changed recently and how they may change in the coming months;
 - the *demand* among the refugees and in the locality for items that could be produced by the refugees (e.g. vegetables, other food items, soap, tools, utensils, containers); present availability, trends in prices and the volumes of items traded, and the potential unmet demand and its limits;
 - the *demand* for services among the refugees and in the locality (e.g. food processing, bicycle repair); present availability, trends in remuneration rates and the potential unmet demand and its limits;
 - access to other markets – the degree of integration of local markets with national markets (or markets in neighbouring countries); the capacity of those local markets to absorb the items (food and non-food) that the refugees may produce; transport

facilities and costs; measures that could open access to other markets for the benefit of the refugees and host populations;

- the factors (if any) that constrain market operations (e.g. transport difficulties).
- climatic factors that facilitate or constrain agricultural, employment and other self-reliance activities, or access to markets; seasonal considerations.

Social factors

- demographic characteristics – household size; proportion of able-bodied adults and adolescents; general health/nutrition status including prevalence of HIV/AIDS (ability to work);
- mental health and attitudes of the refugees – degree of psycho-social trauma; expectations of return or resettlement; ability/willingness to engage in self-reliance activities;
- community cohesion and intra-community support – kinship and other structures; power structures and leadership; marginalized groups;
- relations with the host population.

Hence:

- Identify opportunities that are, or could become, available to refugee households (or cooperative groups of refugees) in the different locations and/or socio-economic groups to enhance their levels of self-reliance, including possibilities to participate in natural resource management efforts (including but not limited to environmental protection and rehabilitation) and other works programmes inside and outside the refugee settlements, and in skills/vocational training, and the limits on those opportunities.
- Determine the capacities of the different socio-economic groups to exploit available opportunities, estimate the amount by which their self-reliance could be increased, and specify when the increase could be realized;
- Identify the specific measures and assistance inputs that would enhance self-reliance and/or reduce risks to existing or future self-reliance activities, and specify the periods within which particular measures need to be taken and the inputs made available to the beneficiaries in order to have the desired impact;
- Identify possible targeting and implementation mechanisms for assistance to enhance self-reliance, and the pros and cons of each option.
- Identify any protection implications – measures that may be needed to assure the protection of people (especially women) participating in self-reliance activities, and the potential of self-reliance to contribute towards overall protection objectives.

☞ For detailed guidance on assessing the opportunities for enhancing self-reliance, including assessment of market demand and related aspects, see *Handbook for self-reliance activities*, UNHCR expected mid-2004.

☞ For guidance on the overall approach to enhancing self-reliance, see *Development Assistance for Refugees (DAR) in Framework for durable solutions for refugees and persons of concern*, UNHCR May 2003.

9.7 Analyzing the nutrition situation

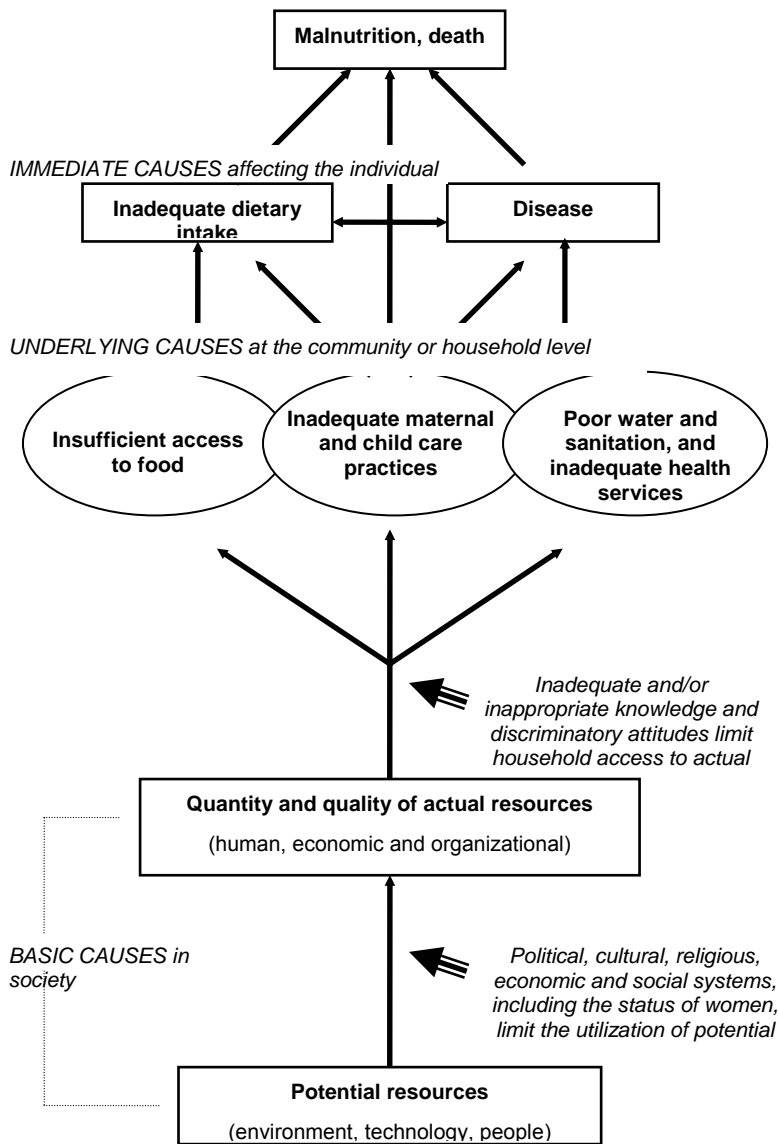
This section outlines the aspects to be considered – analysed – in relation to the presence and risks of protein-energy malnutrition, and the need for, and effectiveness of, actions to prevent and/or correct such malnutrition. Guidance in relation to micronutrient deficiencies is provided in [9.9](#).

Data on the prevalence and distribution of malnutrition must be complemented by information on the various factors that influence nutritional status. As outlined in the conceptual framework below, these include:

- *food*: specifically households' access food and their utilization of that food;
- *health*: the public health environment including water and sanitation, access to health services, the quality of those services, hygiene practices (personal, domestic and environmental), endemic diseases, HIV/AIDS prevalence;
- *care*: the ability of families and the community to care for infants and young children – also sick, elderly and disabled people – and the appropriateness of infant and young child feeding practices.

Conceptual framework of the causes of malnutrition among children

[adapted from UNICEF 1997]



Analyzing data on nutritional status

Examine data from anthropometric surveys to determine:

- ❑ the reliability of the data (see 9.7);
- ❑ present rates of wasting (weight-for-height data); whether they indicate a need for selective feeding (see 9.8); how they compare with previously measured rates for the same populations; trends in rates of wasting;
- ❑ differences among different sites and socio-economic subgroups; whether the differences are statistically significant (analysis of sample sizes and confidence intervals);
- ❑ rates of stunting (height-for-age data); how they compare with previously measured rates for the same populations;
- ❑ whether changes in data on wasting (acute malnutrition) correlate with other data collected at the same time;
- ❑ rates of acute and chronic malnutrition (wasting and stunting) in the local, host population; trends (if available).

During an initial phase when few surveys have been undertaken, examine data from nutrition screening for admission to selective feeding programmes to determine/identify:

- ❑ proportions of children screened falling into different categories of malnutrition;
- ❑ proportions of pregnant women identified (by mid-upper arm circumference, MUAC) as being moderately or severely malnourished; changes/trends in numbers and proportions;
- ❑ differences among different sites and socio-economic subgroups.

Examine data from clinics (especially mother-and-child health/MCH clinics) to detect changes in:

- ❑ proportion of low-birth-weights (<2.5 kg) among attended births; trends;
- ❑ the numbers of severely and moderately malnourished children, adolescents and adults seen in outpatient clinics.

Examine data from supplementary or therapeutic feeding centres to determine/identify:²⁰

- ❑ numbers of new admissions in recent weeks and months; trends;
- ❑ numbers of re-admissions in recent weeks and months; trends;
- ❑ differences among different sites and socio-economic subgroups, and between new and old arrivals;
- ❑ reasons for failure to recover and non-attendance of those registered.

Examine any information available on the nutritional status of the people prior to displacement

Analyzing information on the risk of malnutrition related to inadequate food access or poor utilization at household level

Collate and analyse information from WFP, UNHCR and its implementing partners, including monitoring reports, and discuss with refugees in focus groups to determine/identify:

- ❑ data on food access from food security assessments, including differences among sites and socio-economic groups;
- ❑ data on general food distributions in recent weeks and months – rations actually distributed; numbers of beneficiaries; any differences among sites;
- ❑ data on food made available through other food assistance programmes (selective feeding, food-for-work, vouchers, etc.)

²⁰ For guidance on analysing the effectiveness of supplementary and therapeutic feeding programmes, see 9.10.

- ❑ changes, if any, in selection and/or distribution arrangements for general distributions or other food assistance programmes;
- ❑ changes in conditions affecting people's ability to acquire food for themselves;
- ❑ storage and food preparation at household levels; levels, and changes in levels, of food/nutrient losses incurred.

Analyzing information on the risk of malnutrition related to poor health conditions or practices

Collate and analyse information on:

- ❑ recent disease outbreaks and the prevalence of diseases that may have affected nutritional status (e.g. measles, acute diarrhoeal disease [defined, for instance, as three or more loose stools per day], acute respiratory infections, whooping cough);
- ❑ any risk such outbreaks will occur (e.g. due to over-crowding, poor sanitation, contaminated water);
- ❑ estimated measles vaccination coverage of the population;
- ❑ whether vitamin A is routinely given with measles vaccination; estimated vitamin A supplement coverage;
- ❑ the prevalence of parasite infections; whether de-worming treatment has been received recently.
- ❑ estimated mortality rates (both crude and under five); the basis of the estimations and their reliability;
- ❑ any recent significant change in ambient temperature that could have affected nutritional energy requirements; any changes expected that could affect requirements and the prevalence of acute respiratory infections;
- ❑ whether the population is already suffering high rates of HIV/AIDS, TB and/or malaria;
- ❑ the access that each distinct population group has to health care services, the quality of those services and the use people make of them; [This may be done by analysing clinic/health centre attendance records, discussions with health workers and health service managers, and focus group discussions with refugee women, men and children.];
- ❑ risks associated with personal, domestic and environmental hygiene practices; the refugees' understanding of those risks and how to reduce them.

Analyzing information on the risk of malnutrition related to inadequate care and feeding practices

Check whether/to what extent:

- ❑ roles, responsibilities and work patterns in the household have changed, reducing the time that carers (usually women) can give to the care of young children, sick and elderly people;
- ❑ there are large numbers of unaccompanied children and/or single-parent headed, or child-headed, households;
- ❑ there are less than normal proportions of able-bodied adults available to fulfil essential household functions;
- ❑ HIV/AIDS has affected caring practices at households level;
- ❑ infants under six months are exclusively breastfed, and breastfeeding being actively promoted;
- ❑ whether feeding bottles are being used (UNHCR and WFP ban the use of bottles);
- ❑ for very exceptional cases – e.g. when the mother has died or the baby is already fully artificially fed – infants have access to an adequate amount of an appropriate breast milk substitute, which is prepared and administered hygienically;

- ❑ children aged 6-24 months have access to nutritious, energy-dense complementary foods, while breastfeeding continues;
- ❑ support is provided to pregnant and lactating women;
- ❑ support is available from within the community for families with large numbers of children or sick or disabled family members, and for pregnant women and nursing mothers;
- ❑ men and women understand the causes of malnutrition and the importance of proper feeding practices and how to prepare appropriate foods for young children, sick and elderly people.

Analyzing information on the scope and effectiveness of activities to prevent or correct malnutrition

Examine information available and discuss with health professionals and refugees:

- ❑ the coverage and impact of measures taken to prevent malnutrition; the reasons for success or failure;
- ❑ the coverage and impact of supplementary and therapeutic feeding and any other measures taken to correct malnutrition; the reasons for success or failure;

Synthesizing: analysing the nutritional situation and the causes of malnutrition

Review all the above information (together with health professionals, social scientists and groups of refugees) to determine/make judgements concerning:

- ❑ the reasons for any differences in the malnutrition rates at different sites or among different socio-economic subgroups;
- ❑ whether changes and trends in rates of wasting (and stunting, in a protracted operation) could be explained by changes in the rations distributed, changes in public health conditions, epidemics, changes in the overall situation/context, etc.;
- ❑ the probable causes of malnutrition, the likely importance of the various causes, and hence the priority actions that would be most effective in reducing malnutrition;
- ❑ the groups suffering the highest rates of malnutrition and the possibility of targeting specific preventive and corrective measures to them;
- ❑ any need for additional information and social mobilization among the refugees (and host population) in relation to food preparation, feeding, hygiene and health care practices;
- ❑ any need for additional nutrition information, education and training for relevant professionals, care givers and organizations on infant and child feeding practices (possibly including training in re-lactation).

Analysing capacity for effective response to malnutrition among the refugees (and host population)

- ❑ any formal and informal local structures currently in place through which potential interventions could be channelled; the capacities of the Ministry of health, religious organisations, infant feeding support groups, NGOs present in the area;
- ❑ any nutrition interventions or community based support already in place organised by local communities, NGOs, government organisations, religious organisations, etc.; their willingness and capacity to expand activities to include refugees (and/or larger number of the host population) while maintaining necessary standards of service and performance.

9.8 Analysing and interpreting nutrition data

This section provides guidance on analysing and using information from nutrition surveys. UNHCR is responsible to ensure nutritional surveys and monitoring in consultation with WFP.

How to check the reliability of nutrition survey data

Survey data can be considered reliable, and be compared with data from other surveys, only if standard methods and procedures were systematically applied. Check the points listed in the box below:

Reliability check for survey results ²¹	
Points to check	What you need to know – standards that should be met
<input type="checkbox"/> <i>Nutritional indices</i> – were they appropriate for the objectives of the survey?	The recommended indicators for <i>wasting</i> (acute malnutrition) are: <ul style="list-style-type: none"> ○ for children – weight-for-height (WFH) ○ for adults – body mass index (BMI) In a protracted operation, both <i>wasting</i> and <i>stunting</i> (chronic malnutrition) for children – WFH and height-for-age (HFA)
<input type="checkbox"/> <i>Cut-off points</i> – were appropriate cut-offs used?	As in the table below.
<input type="checkbox"/> <i>Sample population</i> – was it appropriately defined?	<i>For children:</i> children 6 to 59 months of age (or children 65 to 100 cm in height/length) and, when needed, 6 to 9.9 years of age. <i>For adults:</i> 20 to 59.9 years.
<input type="checkbox"/> <i>Sampling procedure and sample size</i> – was an random sampling methods used? Was the sample size appropriate?	One of the following: <ul style="list-style-type: none"> ○ <i>Two-stage cluster sampling:</i> At least 24, preferably 30, clusters selected using strict random procedures from a list of all identifiable units/zones; 30 children randomly selected from within each cluster. ○ <i>Systematic/interval sampling:</i> Dwellings numbered on a plan of the site; sample size determined to give an appropriate confidence level (usually 95%); sampling interval calculated accordingly and strictly applied. ○ <i>Random sampling:</i> About 450 selected from a list of the entire population using a random number table. Comparisons among different groups within the total population will only be valid if the sample size was adequate for each distinct group.
<input type="checkbox"/> <i>Sample bias</i> – might the sample have been biased?	Sample bias can arise if standard procedures are not strictly applied everywhere: <ul style="list-style-type: none"> ○ all selected households must visited, none missed out; no other households included; ○ all subject members of each selected household must be measured/interviewed, none missed due to temporary absence from the home.
<input type="checkbox"/> <i>Measurement error</i> – might there be any systematic measurement error?	Systematic error can arise if measuring equipment, techniques or recording is faulty: <ul style="list-style-type: none"> ○ scales should be accurate and read to 0.1 kg; ○ height/length boards should be well made and read to 0.5 cm.

²¹ Adapted from WFP *Food and Nutrition Handbook* and *Emergency Field Operations Pocketbook*
First edition, 30 June 2004

<input type="checkbox"/> <i>Measures taken to reduce bias and error</i> – were staff employed for the survey already competent or appropriately trained? Was supervision adequate?	<p>In order to minimize bias and error:</p> <ul style="list-style-type: none"> ○ all survey personnel should have been trained following standard procedures and good practice guidelines, including adequate supervised practical field training; ○ trainers must be competent and experienced; ○ supervisors should verify the standard measuring and recording by surveyors.
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Classification of malnutrition – standard indicators (cut-offs)²²			
	Moderate	Severe	Total malnutrition
Children 6 to 59 months (and, exceptionally, 6 to 9.9 years)			
Oedema	No	yes	yes
Weight-for-height (WFH) <i>acute malnutrition</i> [wasting]	-3 to <-2 Z-scores or 70% to <80% median	<-3 Z-scores or <70% median	<-2 Z-scores or <80% median
Height-for-age (HFA) <i>chronic malnutrition</i> [stunting]	-3 to <-2 Z-scores or 85% to <89% median	<-3 Z-scores or <85% median	<-2 Z-scores or <89% median
Weight-for-age (WFA) ²³ [underweight]	-3 to <-2 Z-scores or 60% to <80% median	<-3 Z-scores or <60% median	<-2 Z-scores or <80% median
Adults 20 to 59.9 years (excluding pregnant women and disabled people)			
Body mass index (BMI)	16 to <17	< 16	< 17
<p>Pregnant women: There are no internationally agreed cut offs categorizing malnutrition among pregnant women, but the following mid-upper-arm circumference (MUAC) cut offs are suggested in the <i>Sphere handbook</i> 2004, chapter 3, appendix 5 <i>Measuring acute malnutrition</i>, as screening criteria for admission of pregnant women to targeted selective feeding:</p> <p>MUAC < 23 cm = moderate risk of growth retardation for the foetus MUAC < 20.7 cm = severe risk of growth retardation for the foetus</p> <p>For WFP core indicator reporting purposes, the MUAC cut-off for malnutrition among adult women is < 18.5 cm.</p>			

Analysing nutrition survey data²⁴

Rates of malnutrition should be examined/analysed as follows, whenever possible:

- Different age groups:* Ideally, data on children under 5 years should be disaggregated into one-year age groups (6-11 months, 12-23 months, 24-35 months, 36-47 months, 48-59 months), or by height ranges, to identify any significant differences and to pinpoint the children at particular risk within the under-5 age group. ☞ See *The Management of Nutrition in Major Emergencies*, p 50, WHO 2000.
- Norms and trends:* How do the present rates compare with the rates previously found in the same population?

²² Cut-offs provided in *The management of nutrition in major emergencies*, WHO 2000.

²³ Weight-for-age is not used in the analysis of the nutrition situation but only for reporting against the U.N. Millennium Development Goals.

²⁴ Adapted from *The management of nutrition in major emergencies*, chapter 3, p 49, the WFP *Emergency Field Operations Pocketbook*, 6.2, and Sphere 2004

- ❑ *Seasonal fluctuations*: Could normal seasonal fluctuations account for changes in observed malnutrition rates?
- ❑ *Recent mortality*: What has been the mortality rate since the last survey? Could apparent malnutrition rates have been reduced by high death rates?
- ❑ *Differences among different population subgroups*: Are there significant differences in the rates reported from different sites or different socio-economic groups? Do these differences correlate with other known differences (in rations distributed, times since arrival, vaccination rates, feeding practices, etc.)?
- ❑ *Host population*: Have levels of malnutrition in the host population changed in a similar manner to that in the refugee population?

Interpreting nutrition survey data

The presence of malnutrition might be due any, or a combination, of the factors listed below (and does not necessarily mean that more food aid is needed). Together with health workers and social scientists, consider which of the following might be contributing to observed malnutrition:

- ❑ *Food availability and access*: Have there been interruptions in planned food distributions? Have supplies on local markets been reduced? Are some groups unable to access the food available?
- ❑ *Food utilization*: Is food being shared inequitably within households? Is food being lost during storage at household level? Is there excessive loss of nutrients during food preparation?
- ❑ *Care practices*: Are infant and young child feeding practices poor? Is childcare inadequate? Is necessary care and support available for other vulnerable groups?
- ❑ *Health-related factors*: Is there high prevalence of measles, malaria and/or diarrhoeal diseases? Is hygiene poor? Is health care inadequate?

For details of how to analyse the nutrition situation and a conceptual model of the causes of malnutrition, see [9.7](#).

Caution when comparing nutrition survey results!

Results obtained at different times will show trends in the nutritional status of the population *if* the surveys used standardized survey methods and sampling techniques. However, comparisons must be interpreted with caution:

- Many severely malnourished children die in a nutritional emergency leaving fewer children to be counted as malnourished in later surveys. A declining malnutrition rate may thus be due to a high death rate among the severely malnourished rather than to any improvement in the nutritional situation.
- Similarly, improvements in nutritional conditions might be the result of seasonal or short-term economic factors, not evidence of an effective feeding programme or a sustainable improvement any of the factors influencing nutritional status.

The findings of a series of nutritional surveys must always be compared with mortality data gathered between the survey dates and with other available information relevant to health (such as morbidity data, especially during an epidemic) and socio-economic conditions.

Core indicators and standards for reporting purposes				
	Standard		Disaggregation	
	<i>emergency phase</i>	<i>stable situation</i>	<i>by gender</i>	<i>by age</i>
UNHCR + WFP				
% children < 5 years malnourished (<-2 Z-scores weight-for-height)	≤ 10%	≤ 5%	✓	-

UNHCR				
% new born babies of low birth weight (<2.5 kg)	≤ 15%	≤ 15 %	-	-
Presence of micronutrient deficiencies (MND)	<i>Epidemic MND</i> : no outbreak <i>Endemic MND</i> : rates below WHO cut-offs for public health concern		-	-
WFP				
Prevalence of malnutrition among adult women (BMI < 18.5 cm and/or low birth weight < 2.5kg)	✓	✓	-	-
Prevalence of anaemia	✓	✓	-	-
UNHCR Supplemental indicators and standards				
Chronic malnutrition rate (height-for-age)	< 20%	< 20%	✓	✓
Severe malnutrition rate (% children <5 years <-3 Z-scores weight-for-height)	< 2%	< 1%	✓	✓

9.9 Analysing micronutrient deficiency problems and risks

This section outlines how to analyse need for action to combat micronutrient deficiencies and the risks of such deficiencies.

Three deficiencies are of particular concern – anaemia, vitamin A deficiency and goitre (iodine deficiency). Assessments must also look out for evidence, or risks, of pellegra, beriberi, scurvy and ariboflavinosis (vitamin B2 deficiency). There is a risk of micronutrient deficiencies whenever refugees are largely dependent on food aid rations and do not have regular access to fresh foods, which may include wild foods.

Obtain information on micronutrient deficiency risks

Examine:

- the epidemiological profile of the local, host area (from local health authorities and personnel);
- the epidemiological profiles of the areas of origin of the refugees (from reports and any trained health workers among the refugees)
- the diet available to beneficiaries (including the food basket and items to which they have access locally) and their consumption habits.

On that basis identify the deficiencies that can be expected.

Obtain information on current micronutrient deficiency problems

Examine:

- reports of any micronutrient surveys conducted among the refugees;
- data on any clinical signs reported from of health clinics/agencies (from clinic reports and discussions with health workers).

On that basis determine the extent of:

- anaemia
- vitamin A deficiency
- goitre

and whether there are any cases of:

- pellagra
- beriberi
- scurvy
- ariboflavinosis

If/when it is considered necessary to undertake a specific survey using biochemical testing (e.g. to determine the prevalence of anaemia, vitamin A deficiency or goitre), seek specialist advice and assistance from UNHCR-TSS and WFP-PSPN.

Review the composition of the ration and the diet of the refugees

Determine whether people have regular access to the following:

- fresh foods (vegetables, fruits, wild foods)
- fortified blended food
- fortified cereal flour
- fortified oil
- iodised salt

and whether, as a result:

- the ration/diet is likely to be deficient in any specific micronutrients (see table below)

On that basis, determine whether action is needed to reduce the risks of specific micronutrient deficiencies.

Obtain data on the distribution of vitamin supplements

Determine whether there is:

- regular administration of iron (and folic acid) tablets to pregnant women
- administration of vitamin A capsules to all children 1-5 years every 6 months and lactating women after delivery
- administration of de-worming treatment to:
 - all children 1 to 5 years
 - school age children

What deficiencies to anticipate? What measures to take?

If the refugees are in, or from, an area where anaemia, vitamin A deficiency or goitre (iodine deficiency) is endemic, counter-measures should automatically be implemented.

When a population is largely dependent on rations:

- a varied food basket including pulses and a fortified cereal or fortified blended food is essential;
- the cultivation and consumption of fruits and vegetables should be promoted wherever possible and, in the meantime, fresh items should be supplied whenever feasible.

In all situations:

- beneficiaries should be encouraged, through health/nutrition education and social mobilization, to avoid long storage, over-washing or over-cooking of foods, all of which reduce the micronutrient content of all food items; and
- public health action should be taken to reduce the incidence of diseases – especially acute respiratory infection, parasitic infection, malaria and diarrhoea – that deplete micronutrient stores.

A single case of scurvy, pellagra or beriberi is probably indicative of a population-wide problem and population-wide counter-measures should be initiated. However, such deficiencies should be avoided if a fortified blended food is included in the ration.

Micronutrient deficiency risks and counter-measures ²⁵	
Risks	Action whenever signs are present or there is a public health risk
<p>Anaemia (the bioavailability of iron is low in rations composed largely of cereals and legumes; anaemia also results from parasite infections)</p>	<p>Include fortified cereals, blended foods or lentils in the ration.</p> <p>Promote the cultivation of leafy green vegetables.</p> <p>Administer iron and folic acid supplements to pregnant and lactating women.</p> <p>Administer de-worming treatment to children and pregnant and lactating women.</p> <p>Promote the use of bed nets and vector control measures to reduce the incidence of malaria.</p> <p>Administer malaria prophylactics to pregnant women.</p>
<p>Vitamin A deficiency (all food rations are likely to be deficient in vitamin A unless fortified foods are included)</p>	<p>Distribute vitamin A capsules at 6-month intervals to all children and post-partum pregnant women.²⁶</p> <p>Promote the cultivation of tomatoes, carrots, etc.</p> <p>Include fortified vegetable oil, fortified flour, blended food or sugar in the ration.</p>
<p>Goitre (iodine deficiency)</p>	<p>Provide iodized salt and promote public awareness.</p>
<p>Pellagra</p>	<p>Include pulses, groundnuts, fortified blended food or dried fish.</p> <p>Administer supplements in case of an outbreak.</p>
<p>Riboflavin (vitamin B2) deficiency</p>	<p>Include fortified food in the ration.</p> <p>Encourage vegetable production and the sprouting of pulses.</p> <p>Administer supplements in case of an outbreak.</p>
<p>Beriberi – thiamine deficiency (is likely among populations who consume polished rice)</p>	<p>Provide parboiled rather than polished rice.</p> <p>Include pulses, nuts and/or fortified blended food in the ration.</p> <p>Promote the production and consumption of vegetables and eggs. (Brewers yeast is also a good source of thiamine and is readily available where cereals are fermented.)</p>
<p>Scurvy – vitamin C deficiency (is found among populations with no access to fruit or vegetables)</p>	<p>Include fortified blended food in the ration.</p> <p>Promote the cultivation and use of fresh fruit and vegetables.</p> <p>Provide vitamin C supplements.</p>

²⁵ Adapted from *WFP Food and Nutrition Handbook*, WFP 2000, and *Micronutrient Malnutrition – detection, measurement and intervention: a training package for field staff*, version 1.1, UCL-ICH/UNHCR 2003

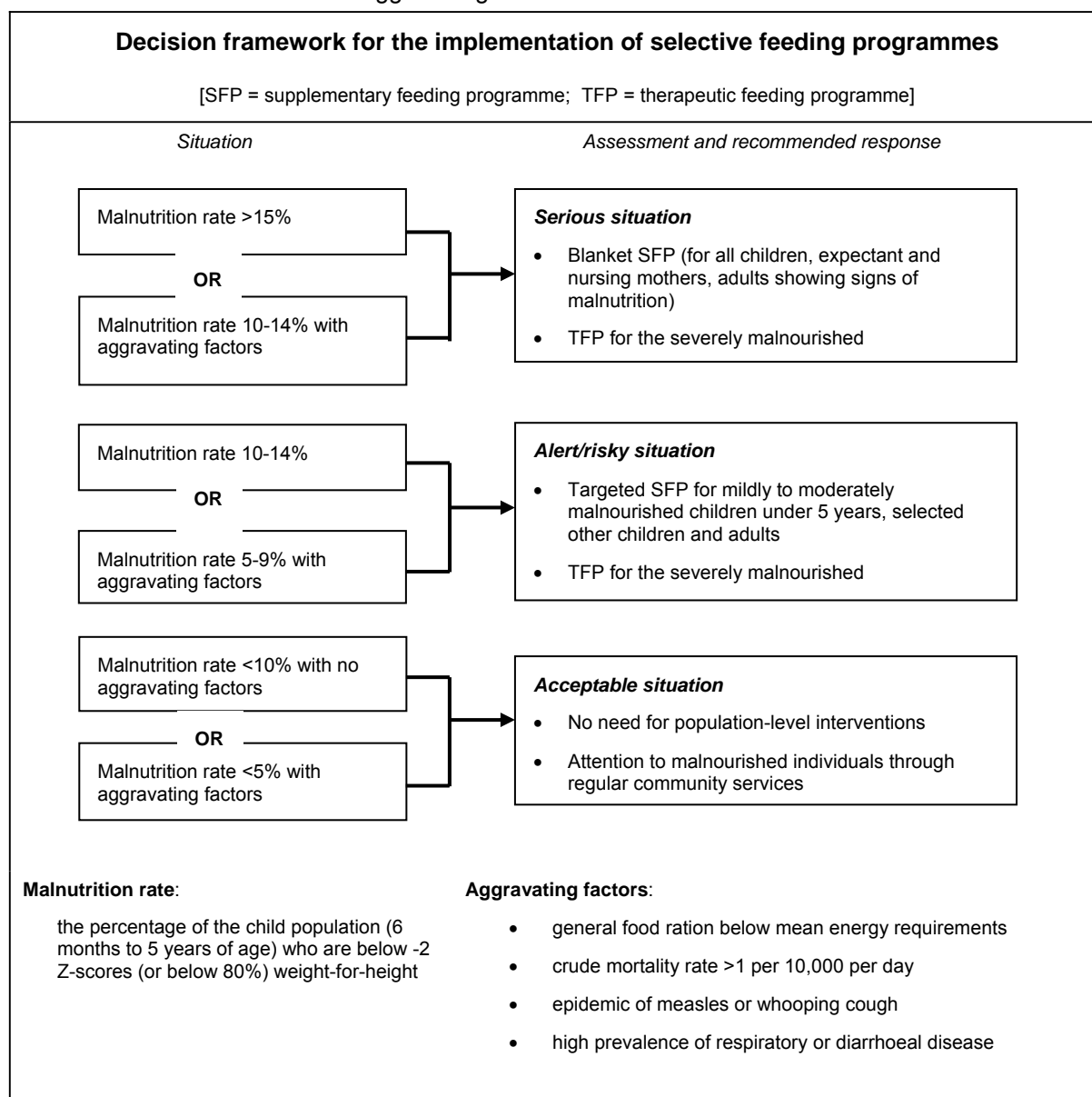
²⁶ Capsules may be distributed in conjunction with measles vaccination and/or blanket supplementary feeding.

☞ For further detail, see *The Management of Nutrition in Major Emergencies*, chapter 2, WHO 2000.

9.10 Determining the need for and effectiveness of selective feeding ²⁷

Determining the need for a selective feeding programme

The need for supplementary and therapeutic feeding programmes is determined by the prevalence of acute malnutrition and other 'aggravating' factors as shown in the table below.



If food at the household level is <2,100 kcal/person/day, action should also be taken to improve the general ration. To be effective, the extra ration must be additional to, not a substitute for, the

²⁷ Condensed and adapted from *UNHCR/WFP Guidelines for Selective Feeding Programmes in Emergency Situations*, 1999

general ration.²⁸ The various possible causes of malnutrition (poor hygiene, disease, etc.), must also be taken into account in decisions and in the design of selective feeding programmes.

Reviewing the organization and effectiveness of selective feeding programmes²⁹

- ❑ Objectives are clearly stated;
- ❑ Criteria for admission, discharge and programme closure are clearly defined and systematically applied;
- ❑ The purpose of the programme is clearly understood by the target population and communities are involved in:
 - deciding where to locate SFP distribution and therapeutic feeding centres (TFCs);
 - assuring support to caregivers at home and to the households of caregivers accompanying each patient admitted to a TFC;
 - monitoring implementation and results.
- ❑ Clear information is given to carers on:
 - how to prepare the food supplement in a hygienic manner, how and when it should be consumed;
 - the importance of continued breastfeeding for children less than 24 months of age;
 - general care practices (infant feeding, psycho-social care, sanitation and hygiene practices, food processing and preparation, and home health practices).
- ❑ The SFP is based on the weekly or bi-weekly distribution of dry take-home rations, unless there is a clear rationale for on-site feeding (normally only when there are security concerns). Where fuel, water or cooking utensils are in short supply, ready-to-eat-foods are distributed.
- ❑ The programmes are linked with community health programmes:
 - they include the provision of provision of anti-helminthes, vitamin A supplements and immunisations, and protocols to identify health problems and refer patients accordingly;
 - when numbers are small, targeted supplementary feeding may be implemented through community health facilities, and TFCs be established within or near them.
- ❑ An adequate monitoring system is in place. Reporting includes data on: attendance, coverage and recovery rates; defaulting and readmission; and external factors such as morbidity patterns and malnutrition prevalence in the population.
- ❑ Individual causes of readmission and defaulting and failure to respond are investigated on an ongoing basis.
- ❑ The causes of moderate malnutrition are addressed simultaneously through other interventions, and an adequate general ration is assured.
- ❑ Performance is judged against the criteria in the table below.

Benchmarks for the performance of selective feeding programmes		
	<i>Satisfactory</i>	<i>Alarming!</i>

²⁸ In specific cases, supplementary feeding *may* be implemented in the short term before other interventions assure that the nutritional needs of all population groups are met.

²⁹ Includes some elements from *Minimum standards in nutrition*, Sphere Handbook 2004

<i>Reason for exit</i>	<i>SFP</i>	<i>TFP</i>	<i>SFP</i>	<i>TFP</i>
Recovered	> 70%	> 75%	< 50%	< 50%
Defaulted	< 15%	< 15%	> 30%	> 25%
Died	< 3%	< 10%	> 10%	> 25%
<i>Weight gain per kg bodyweight</i>		> 8g/kg/day		

N.B. WFP is also required (in 2004) to report on the number of pregnant and lactating women reached through selective feeding. This does not imply that all, or a maximum number, of these women should be included in a supplementary feeding programme.

Usual objectives and criteria for different types of selective feeding programmes		
Programme	Objectives	Criteria for selection and target group
Targeted supplementary feeding programme	<p>Correct moderate malnutrition</p> <p>Prevent moderately malnourished from becoming severely malnourished</p> <p>Reduce mortality and morbidity risk in children under 5 years</p> <p>Provide nutritional support to selected pregnant women and nursing mothers</p> <p>Provide follow up service to those discharged from therapeutic feeding programmes</p>	<p>Children under 5 years moderately malnourished (70% to 79% [or -3 to -2 Z-scores] of the median weight-for-height)</p> <p>Malnourished individuals (based on weight-for-height, BMI, MUAC or clinical signs):</p> <ul style="list-style-type: none"> - older children (5 to 9.9 years) - adolescents - adults and elderly persons - medical referrals <p>Selected pregnant women (from date of confirmed pregnancy) and nursing mothers (until 6 months after delivery), for instance using MUAC <22 cm as a cut-off indicator for pregnant women</p> <p>Referrals from TFP</p>
Blanket supplementary feeding programme	<p>Prevent deterioration of nutritional situation</p> <p>Reduce prevalence of acute malnutrition in children <5 years</p> <p>Ensure safety net measures</p> <p>Reduce mortality and morbidity risk</p>	<p>Children under 3 or under 5 years</p> <p>All pregnant women (from date of confirmed pregnancy) and nursing mothers (until maximum 6 months after delivery)</p> <p>Other at-risk groups</p>
Therapeutic feeding programme (TFP)	<p>Reduce excess mortality and morbidity risk in children <5 years</p> <p>Provide medical/ nutritional treatment for the severely malnourished</p>	<p>Children under 5 years severely malnourished: <70% of the median (or <-3 Z-scores) weight-for-height and/or with oedema</p> <p>Severely malnourished children older than 5 years, adolescents and adults admitted based on available weight-for-height standards or presence of oedema</p> <p>Low birth weight babies</p> <p>Orphans <1 year when traditional care practices are inadequate</p> <p>Infants (<1 year) whose mothers suffer breast-feeding failure, in exceptional cases when re-lactation through counselling and traditional alternative feeding have failed</p>

Usual closure criteria for selective feeding programmes	
Programme	Criteria (to be used with discretion)

Targeted supplementary feeding programme	<ul style="list-style-type: none"> • General food distribution is adequate (meeting planned nutritional requirements); • Prevalence of acute malnutrition is <10% without aggravating factors; • Control measures for infectious diseases are effective; and • Deterioration of nutritional status is not anticipated. <p>[Exceptionally, a targeted SFP may be maintained as a safety net in an unstable and insecure situation, or if there are considerable numbers of malnourished children even through <10% of the total child population.]</p>
Blanket supplementary feeding programme	<ul style="list-style-type: none"> • General food distribution is adequate (meeting planned nutritional requirements); • Prevalence of acute malnutrition is <15% without aggravating factors (or <10% with aggravating factors); and • Disease control measures are effective.
Therapeutic feeding programme (TFP)	<ul style="list-style-type: none"> • The number of patients is small and decreasing (e.g. the number drops below 20); and • Adequate medical and nutritional treatment is available in either a clinic or a hospital for all severely malnourished patients.

☞ For details concerning the planning and implementation of selective feeding programmes, see:

- *UNHCR/WFP Guidelines for selective feeding programmes in emergency situations*, 1999
- *The management of nutrition in major emergencies*, chapter 5, WHO 2000

9.11 Assessing targeting arrangements and possibilities

This section briefly outlines possible options for targeting food assistance to those who need it most, and suggests the information to collect and how to analyse what form of targeting, if any, would be appropriate and whether an existing targeting system is effective.

The purpose of targeting is to ensure that, where different groups enjoy different levels of self-reliance, people in each group receive the aid they need to meet their basic needs, while making effective and efficient use of available aid resources.

A subsidiary purpose is to avoid an over-supply of particular commodities that could distort local markets and act as a disincentive to both local food production and the self-reliance efforts of the refugees themselves.

Targeting can take place at two levels:

- *Geographic targeting*: different levels of provision for settlements/localities whose populations have different levels of self-reliance (and which are sufficiently far apart to avoid people moving between them). For Eritrean refugees in Sudan, for example, different levels of provision have been made for 'rural' camps and camps close to urban areas where refugees have more access to employment opportunities.³⁰
- *Household targeting*: different levels of ration are provided to different households within a settlement/locality, or rations to some and not to others, according to their levels of self-reliance.

³⁰ See *Joint WFP/UNHCR/COR food assessment mission (PRRO 6189.00)*, Khartoum August 2001, and *Assistance to Eritrean Refugees in Central/Eastern Sudan, WFP/UNHCR/COR joint food needs assessment mission*, June 2003.

Household targeting

Household targeting on the basis of socio-economic criteria linked to food security and self-reliance can be done only with the full collaboration of the population themselves. In Sudan, different levels of ration have been planned for 'highly vulnerable' and 'less vulnerable' households within each camp. Among a similar group of refugees in the 1980s, a partial general ration was provided for all households and additional food through a separate safety-net programme to those the community identified as being 'most needy'. Community-based targeting has been implemented more recently among some drought-affected populations.³¹

Targeting of additional food to 'vulnerable' households on the basis of *nutritional or physiological criteria* (e.g. female-headed households or households with a malnourished child or a disabled family member) is easier. However, these criteria do not always correlate well with food insecurity (low levels of self reliance), so there may be substantial inclusion and exclusion errors, and the primary objective of targeting may not be achieved.³²

In a few cases, targeting has been based on the *time of arrival* or the *duration of stay* – rations have been phased down, and eventually out, after a defined number of years (e.g. 2 or 3 years).

Household targeting is likely to be easier if the principles of promoting self-reliance and providing food aid on the basis of need are discussed openly with the refugees and local authorities from an early stage.

What needs to be considered during an assessment or review/re-assessment

Assessment must determine:

- ❑ the proportion of households that are able to provide a significant proportion of their food needs for themselves and therefore do not need a full ration;
- ❑ the coverage and effectiveness of any existing community mechanisms to share resources and ensure that the poorest and most needy households have at least the minimum necessary to survive;
- ❑ the cohesion and social values of the refugee community, and their willingness and ability to identify those households that need a full ration and those that do not (or those that are the most needy and need a safety-net ration in addition to the general partial ration for all households);

and whether:

- ❑ in light of the above, targeting would be justified and appropriate;
- ❑ a committee that is genuinely representative of all groups exists, or can be formed, at community/camp section level to serve as a community-based Food Targeting Committee (FTC);
- ❑ a committee that is genuinely representative of all groups exists, or can be formed, at district/municipality/camp level to serve as an appeal body;
- ❑ community/camp section meetings can be organized to agree selection criteria.

Where a community-based targeting system is in place, a review/re-assessment must examine whether:

- ❑ targeting criteria that effectively identify the most needy were agreed in a public meeting of the whole refugee population;

³¹ Community-based targeting has been implemented in Kenya and Tanzania, and (proposed) in Ethiopia. The points in the checklist below are adapted from those operations.

³² The *inclusion error* is the proportion of total recipients who are not members of the intended target group. The *exclusion error* is the proportion of the intended target group who do not actually receive rations (people who meet the criteria but receive nothing). The inclusion of recipients who do not correspond to the established criteria leads to the exclusion of intended beneficiaries and/or the dilution of rations so that people receive less than they should.

- ❑ the FTC identifies the most needy households based on the agreed criteria;
- ❑ population members who are not happy with the FTC proposal are able to raise the issue in a community meeting and, if the matter cannot be resolved on the spot, appeal to the appeal body;
- ❑ the appeal body deals effectively and promptly with grievances and explains its decisions in the context of the agreed criteria;
- ❑ the final beneficiary list established by the FTC takes account of decisions in the community meeting and the appeal body's decisions.

Where another form of targeting is in place, a review/re-assessment must examine whether:

- ❑ there is any evidence that those selected are indeed the most food insecure, and how many food insecure households are excluded (the exclusion error);
- ❑ there is an effective safety net for the most needy (food insecure) households;
- ❑ community leaders (including women, religious and youth leaders) and groups representing different socio-economic subgroups within the population agree with the targeting criteria and feel that the selection process is appropriate and fairly applied.

The above will normally be done through:

- interviews with selected key informants (e.g. refugee and religious leaders, health and social workers, NGOs working among the refugees); and
- separate focus group discussions with women, men and young people from all distinct population sub groups.

☞ For further guidance concerning community-based targeting arrangements that might be adapted to refugee situations, and issues relating to targeting in general, see:

- *Food security assessments, self-reliance, targeting and phasing out in ongoing refugee situations*, report of an inter-agency workshop in Nov 1999, chapter 5 *Targeting*, UNHCR-WFP-ENN January 2000
- *Food security and food assistance among long-standing refugees*, background paper for an inter-agency workshop, chapter 5 *Targeting*, Ron Ockwell, November 1999
- *Is it possible to target the vulnerable*, S Jaspars & J Shoham, May 1999
- *An overview of targeting approaches for food assisted programming*, K Sharp, CARE 2001
- *Food aid targeting handbook*, draft, DPPC, Ethiopia 2001

9.12 Assessing distribution arrangements and possibilities

This section suggests aspects to consider when assessing the appropriateness of distribution arrangements including distribution sites.

Some guidance concerning the advantages and disadvantages of different types of distribution system, distribution intervals and the number of distribution points is provided in [11.5](#).

In general, UNHCR is responsible for organizing the distribution of food through implementing partners selected in consultation with WFP (MOU # [5.4](#)). In a few countries, WFP is organizing distribution on a pilot basis during 2004/05 (MOU # [5.8](#)).

Characteristics of a good distribution system

A good distribution system has the following characteristics. Keep the following points in mind when considering possible arrangements during an initial assessment. Use them as a checklist when assessing distribution arrangements in an ongoing operation (and refer to [11.5](#)).

Fairness

- Rations and allocations are based on an objective assessment of need.
- Distribution is made according to household size.
- Ration cards or other means of identification are used as soon as the situation has stabilized sufficiently for a registration to be completed.
- The receipt of agreed rations is monitored. Absentees are recorded and consistent absences are followed up.

Accountability to beneficiaries

- The distribution system takes account of social, ethnic and political divisions within the population.
- Socially and politically vulnerable people are identified and arrangements are made to ensure that they receive their entitlements.
- Beneficiary food committees are established to communicate beneficiaries' views on distribution processes and any complaints. WFP and/or NGO partners carry out independent monitoring during and after distribution.

Accountability to donors and within WFP

- There is regular reporting and analysis of the quantities being distributed and the numbers of beneficiaries. WFP/NGO monitors are present during distribution.

Transparency

- Information on ration entitlements and the method and timing of distributions is widely disseminated.
- Distributions are made openly in a public place.
- Beneficiaries are informed in advance of any problems in food supply, changes in rations or distribution schedules, etc.

Respect

- The distribution process recognizes the physical and psychological vulnerability of those being assisted and is specifically designed to preserve their dignity and self-respect.

Gender sensitivity

- Women are represented on food committees.
- Women (normally) receive the food in recognition of their role in household food management.
- Distributions are planned to avoid interfering with women's other domestic responsibilities and putting them at unnecessary risk.

Choice of sites

In general, especially in any area of high population density:

- Sites should be in open areas well away from crowded places such as markets or hospitals and, preferably, at some distance from dwellings and food stores; they must be easily accessible for food deliveries during all seasons.
- Sites should be enclosed by a fence and partitioned with separate areas for queuing, distribution and food stocks; there should be emergency exits.

- ❑ Water, shelter, sanitation facilities and first aid services should be available for beneficiaries as well as staff.
- ❑ There should be a smooth floor, which is well drained and above ground level, on which to unload and move food sacks.

☞ For detailed guidelines see:

- *Commodity distribution*, UNHCR, 1997
- *Food distribution guidelines*, provisional version, WFP-OHA 2003
- *WFP food and nutrition handbook*, chapter 10, WFP 2000

9.13 Analysing non-food public health aspects

This section provides brief guidance on how joint assessment teams should analyse data relating to non-food public health aspects. This analysis will generally be done on the basis of secondary data (especially the reports of surveys, assessments, ongoing monitoring, and evaluations conducted by competent organizations), but also include discussions with key informants and groups of refugees as well as the team's own observations during visits to refugee sites, as outlined in [8.3](#).

The analysis should normally focus on:

- ❑ comparing available data on a range of indicators with the standard reference values (benchmarks) established for humanitarian assistance operations, in particular those defined in *Practical guide to the systematic use of standards and indicators in UNHCR operations*, UNHCR Jan. 2004, and reproduced below;
- ❑ reviewing the recommendations of relevant technical assessments and evaluations, the extent to which the recommendations have been implemented and the reasons for non-implementation, where relevant.

The analysis should highlight:

- aspects for which the present level of provision is significantly below the established standard and the implications for the health and well-being of the refugees in the local context;
- the recommendations that have not yet been implemented and which remain valid and would have the greatest impact in improving the health and well-being of the refugees.

Whenever there is a high prevalence of HIV/AIDS or a high risk of transmission (which is common in many refugee settings), the analysis should review (i) data on the prevalence of HIV/AIDS and the risks of transmission, and the (ii) adequacy of the inter-sectoral action to prevent transmission and assure services to people living with HIV/AIDS (PLWHA), including arrangements for the treatment of chronic illness.

☞ For further details, see:

- *Programme strategies for integrating HIV/AIDS, food and nutrition activities in refugee settings*, UNHCR, UNICEF, WFP, expected end 2004
- *Guidelines for HIV/AIDS interventions in emergency settings*, IASC 2004

Standards/reference values for non-food provisions ³³

Indicator	Standard		Disaggregated	
	Emergency	Stable	Sex	Age

Essential domestic items for food preparation and personal hygiene

# of sets of kitchen utensils per family	1	1		
# of kilogrammes of dry firewood per person per day	1	According to needs		
# of 100-kilogramme food containers per family	1	1		
water containers (number per average household of 5 persons)	2 of 10-litres 2 or 5-litres	1 of 20 litres 2 of 10-litres 2 or 5-litres		
soap	250 g per person/month	350 g per person/month		

Water supply (non agricultural)

Average quantity of water available per person per day	>15 liters	>20 liters		
% of population within standard distance between usable water points and dwellings	<300 meter	< 200 meters		
# persons per usable water point (tap/well/handpump)	>1 water tap/120 persons; >1 water well, handpump/300 persons	>1 water tap/80 persons; >1 water well, handpump/200 persons		
# of total coliform organisms at distribution points	0 per 100 ml treated water	0 per 100 ml treated water		

Sanitation

# of persons per communal latrine in use	20 persons	20 persons	✓	
% of households having an individual latrine		100%		
# of persons per shower in use	80 persons	50 persons	✓	
% of communal buildings with adequate water and sanitation	100% (within 6 months)	100%		
# of communal refuse pits (2x2x5m) to population size		1 per 500 persons		

Health & health services

Crude Mortality Rate (CMR)	< 1 death/10,000/day	<1.5 deaths/1,000/month		
Child Mortality Rate (U5MR)	<2 deaths/10,000/day	<3 deaths/1,000/month	✓	
Number of primary health care facilities	1/10,000 population	1/10,000 population		
Number of new visits to primary health facilities per person per year	3.0 to 5.0	1.0 to 4.0	✓	✓
Number of consultations per trained clinician per day in primary health care facilities	≤50	≤50		

³³ Reproduced from *Standards and indicators for operational management*, UNHCR 2004. These standards also incorporate those defined by WFP for results based management purposes.

Measles vaccination coverage	≥90% aged 6 months to 15 yrs	≥90% aged 9-59 months	✓	
% of live births attended by skilled personnel		50%		
% blood drawn for transfusion screened for HIV	100%	100%		

Shelter/Physical Planning

Surface area per person for a refugee camp	45 m ²	45 m ²		
Average floor area of shelter per person	3.5m ²	3.5m ²		
% of dwellings constructed of an adequate nature		Up to 100%		
Natural Resource Management plan developed	Yes	Reviewed annually		

Education

% of refugees aged 5 – 17 enrolled in primary and lower secondary education	80% of boys 80% of girls	>100% of boys >100% of girls	✓	
% of students successfully completing school year		≥ 90% of boys enrolled ≥90% of girls enrolled	✓	
Students per teacher ratio	40:1	40:1		
% of male/female teachers who are qualified/trained	50%, aspiring to gender parity	80% (>40% female and trained, >40% male and trained)	✓	
% of schools with structured initiatives to support girls' retention in school	50% of schools have ≥ 1 structured initiatives	80% of schools have ≥ 1 structured initiatives		

Community services – camp management

Camp Population Profile Survey conducted	Within 3 months	Within the last 12 months		
Frequency of multi-sectoral structured dialogue involving refugees, partners, and UNHCR	Weekly	Monthly		
% of women in all Camp Management Committees	50%	50%		

9.14 Analysing gender and protection aspects

This section provides brief guidance on how joint assessment teams should analyse the situation with respect to gender and protection aspects. This analysis will generally be done on the basis of secondary data but also include discussions with key informants and groups of refugees as well as the team's own observations during visits to refugee sites.

The analysis should normally focus on:

- ❑ comparing available data on a range of indicators with the standard reference values (benchmarks) established for humanitarian assistance operations, in particular those defined in *Practical guide to the systematic use of standards and indicators in UNHCR operations*, UNHCR Jan. 2004, reproduced below;
- ❑ reviewing the recommendations of relevant technical assessments and evaluations, the extent to which the recommendations have been implemented and the reasons for non-implementation, where relevant;
- ❑ reviewing:
 - all aspects of food distribution, self-reliance and other related programmes for their impacts – especially unintended impacts – on women and girls, and on the safety, security and dignity of the refugees in general;
 - how roles and responsibilities within households – especially decision-making on the use of resources – have changed due to the displacement (based on what has been learned from discussions with women and men separately), and the implications of any differences in perception between women and men. Don't assume that current patterns are long-established!

The analysis should highlight:

- aspects of current programme operations that should be modified to promote gender equity and protection in general, and reduce negative impacts on (i) women and girls, or (ii) the safety, security and dignity of the refugees in general;
- other measures that could promote gender equity and protection in general;
- opportunities for incremental beneficial changes in social relationships, including finding constructive roles for men and youth who, especially in a camp environment, may have been deprived of their normal social roles.

Indicator	Standard		Disag.	
	Emergency	Stable	Sex	Age
Physical Protection				
# of cases of refoulement	None	None		
Legal Status				
% of refugees individually registered	In total, 100%	In total, 100%	✓	
% of refugees issued individual documentation	100%	100%	✓	✓

% of refugees with status either 1) following individual RSD; 2) on the basis of prima facie/group recognition; or 3) by other means such as temporary protection		100%	✓	
% of newborns who have been issued individual birth certificates ³		100%		

Enjoyment of Rights

Refugees can freely move in and out of the camp	Yes	Yes		
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Addressing special protection needs

% of unaccompanied and separated children for whom durable solutions are found		100%		
% of SGBV survivors who have received psycho-social, medical, legal or any other form of support	100%	100%	✓	✓
SGBV trainings for different stakeholders (UNHCR, partners, authorities, refugees) provided		Yes		
% of refugees who participated in SGBV training /sensitisation		10%	✓	✓

Camp Management

Camp Population Profile Survey conducted	Within 3 months	Within the last 12 months		
Frequency of multi-sectoral structured dialogue involving refugees, partners, and UNHCR	Weekly	Monthly		
% of women in all Camp Management Committees	50%	50%		

Targeted Community Assistance

% of refugees participating in community based structured programmes on HIV/AIDS		10% of the female population 10% of the male population	✓	✓
% refugees participating in community based structured programmes on Conflict Resolution/ Peace-Building		10% of the female population 10% of the male population	✓	✓
% of individuals with special needs met	50%	80%	✓	✓
% adequacy of sanitary material kit received by women and girls of menstruating age	100%	100%		✓

9.15 Analysing the potential value of school feeding

This section provides guidance on determining whether school feeding is appropriate in a refugee *camp* and, if so, what form it should take. There is a brief note at the end concerning school feeding in situations where refugees are *dispersed* among the local population. In all cases, representatives of the refugee community and the education sector *must* participate fully in the assessment and decision-making.

Education of children is important for the future of the refugees and an opportunity for learning life-saving knowledge and skills, such as HIV/AIDS prevention, landmine awareness, peace building and conflict resolution. Attending school can also help to reduce the effects on children of traumatic stress arising from the events that forced their families to flee, the journey to the country of asylum, and the camp environment itself.

School feeding is one way to encourage enrolment and facilitate the attendance and retention of children – especially girls – in school. In many situations, it can contribute to achieving the ‘Education For All’ and ‘Millennium Development’ goals on education, and gender parity in education.

School feeding can also improve children’s learning performance by helping to ensure that short-term hunger does not inhibit their capacity to learn when they spend 4 or more hours at school without any other food and/or do not eat a proper meal before going to school. Properly managed, it may also help to reduce the sexual exploitation of girls in camp situations and shield children from exploitative activities such as child labour, military recruitment, abuse and violence.

Some lessons to bear in mind when considering school feeding

- A breakfast or mid-morning meal (that suits local food habits with a minimum of on-site cooking) is the most appropriate modality in most cases.
- The involvement of both mothers and fathers in the school management committee is important, and refugees should contribute actively to the programme.
- Regular de-worming treatment should be provided.
- Attention should be given to ensuring adequate water, sanitation and hygiene facilities.

What is required of a joint assessment in relation to school feeding?

The joint assessment should:

- Determine whether there are problems in school attendance, retention, academic performance, exploitation of refugee children or other issues that school feeding could help to resolve;
- Determine whether there are problems in school attendance, retention or academic performance that require other (non-food) interventions;³⁴
- Establish the extent to which school feeding could accelerate girls’ participation in school or the participation of other particularly vulnerable children;
- Determine whether, exceptionally, school feeding can serve as a mechanism to target food specifically to school-age children to meet measurable nutritional objectives;

³⁴ For instance, some parents have been reluctant to send their children to school due to lack of proper clothing or separate latrines. Early marriage and abusive teachers can also inhibit girls’ enrolment and attendance. These impediments apply disproportionately to girls.

- Propose appropriate modalities for the effective implementation and monitoring of school feeding activities, when found to be appropriate, and specify any other complementary measures needed to ensure that the objectives are achieved.

Before school feeding is implemented, a standard WFP school feeding baseline survey must be completed and the objectives be clearly stated. Follow-up surveys and subsequent reviews should determine whether the objectives are being achieved.

School feeding and basic nutritional needs

In general, the nutritional needs (of refugees in camps) should be met through general food distribution, supplementary feeding and/or food-for-work. The objectives of school feeding, where undertaken, are primarily educational and psycho-social, in most cases.

Exceptionally, in Kakuma Kenya, where there were a significant number of very tall youths whose nutritional needs were not met by the standard general ration, the assessment determined that school feeding would be the most effective and efficient way of targeting additional food to them.

Determining the need for school feeding – questions to ask

- What are school enrolment and attendance rates for girls and boys in various grades?
- What are the reasons why parents do not enrol their girl and boy children in school?
- What are the specific causes why girl and boy children do not attend school regularly?
 - according to girls and boys themselves
 - according to parents and teachers
 - school and relevant authorities
 - refugee communities
- Does the attendance rate decrease at specific times? When? Does the attendance rate decrease just prior to food distribution?
- What are the drop-out rates for girls and boys, and the reasons for dropping out?
- What are the type(s) of measures, assistance or incentives that could overcome the constraints on school attendance and retention of girls and boys at school;
- What is the length of school day/number of hours children spend at school;
- What are children doing when not in school?
- Do children eat at home before going to school, or go home to eat during the school day?
- What are the patterns of eating and food preferences in the typical household?
- Do teachers observe a decline in children's attention and learning capacity during the day; if so, at what time?
- Is there evidence of widespread traumatic stress among school age children?
- Are there concerns for sexual or other forms of exploitation, or harassment, of school-going girls and boys? Could those be addressed if they attend school and have school feeding?
- Are the specific nutritional objectives for school-age children that can appropriately be met through school feeding?
- Is school feeding provided in schools in the surrounding area?

School feeding and girls participation in school

- What is the percentage of girls who are unable to go to school? What percentage attend school irregularly? What percentage have dropped out of school due to food/nutrition-related causes (if that can be ascertained)?
- What is the passing rate for girl students?

- ❑ What appropriate food/nutrition-related measures should be in place for girls, to increase their attendance, retention and performance in school and/or to address specific nutritional needs?
- ❑ What other initiatives organized by the community promote girls' enrolment and retention in school?

Determining how school feeding could be organized – questions to ask

- ❑ Do parents/women's committees exist? (Note: It is critical that women and the committees play a substantive role in decision making in the school.)
- ❑ What can parents contribute (cash, complementary food commodities, other)?
- ❑ Will fathers and mothers share responsibility for all aspects of the programme?
 - Will women and men participate equally in both the committee controlling food stocks and the preparation of food?
 - Do women and men participate equally in decision-making in other sectors and activities? If so, which activities and decisions? If not, why not?
- ❑ Which other entities within the refugee community would be interested to promote school feeding programmes, and what can they do?
- ❑ What other organizations, including local organizations, would be interested and help to make school feeding sustainable?
- ❑ Are safe and appropriate food storage and cooking facilities available at schools or nearby? If not, can they be constructed?
- ❑ Is cooking fuel readily available?
- ❑ What activities or facilities are in place to ensure necessary hygiene standards? (e.g. hand-washing facilities, latrines/toilets)? To what extent are they used?
- ❑ What forms of technical support would be required?
- ❑ What capacity building activities would be needed?

Other considerations

- Protection concerns: if there is a risk of sexual exploitation, or harassment, of girls at school or on their way to/from school, consider measures that could be put in place to protect them (e.g. male and female teachers; other adults in attendance and/or escorting them to/from school with or without compensation).
- Partnership options: consider whether there is an opportunity to work with partners who can assure complementary interventions (community mobilization, post-trauma 'healing' activities for the children, infrastructure improvements, health interventions, etc.).
- De-worming: appropriate de-worming treatments should be administered to all children in areas with a parasite prevalence warranting treatment. Ideally, the whole family should be treated.³⁵
- Quality of education factors: school feeding can be an effective intervention even if school conditions are far from ideal. Quality factors are important, however. They should be reviewed and considered, but they should not be the determining factor as to whether school feeding should be implemented. In fact, school feeding (especially when parents become actively involved in decision-making) often has the effect of stimulating improvements in the school environment.
- Environmental issues: school-feeding operations should not have a negative impact on the environment. Therefore consideration must be given to fuel-efficient cooking arrangements,

³⁵ WHO has determined that de-worming treatment is safe even for pregnant women and very young children. Only children under 1 year of age should not be treated.

waste disposal, environmental education and other practical interventions complementary to the school feeding activity.

School feeding for dispersed refugees (not in camps)

For refugees who are dispersed among the local population, arrangements should be made for them to be integrated into the school feeding programme in the host-country schools that they attend, where such schools benefit from a regular WFP-supported school feeding programme. Where there is no ongoing school-feeding programme in the area, the possibility of establishing one benefiting all schools in the area may be explored within the framework of WFP's standard school feeding guidelines.

Performance results (for WFP reporting)			
	Girls	Boys	Total
Output: Numbers receiving food in primary schools			
Planned number			
Actual number			
Outcomes			
Number enrolled (absolute enrolment)			
% of school-age girls and boys enrolled (net enrolment)	%	%	%
Ratio of girls to boys enrolled			%
% of enrolled girls and boys who attended classes at least 80% of the school year (attendance)	%	%	%
Teachers' perception of children's ability to concentrate and learn as a result of school feeding			

☞ For further guidance, refer to:

- WFP/UNESCO/WHO School Feeding Handbook (1999)
- WFP School Feeding Works for Girls Education
- UNHCR Education Field Guidelines, February 2003
- INEE website: ineesite.org
- WFP School Feeding Service (PSPF) and Nutrition Service (PSPN)
- UNHCR DOS (Food/Nutrition and Education Units)

9.16 Analysing environment/natural resource management concerns

This section outlines the points that joint assessment teams should consider in relation to the environment/natural resource base of any area where refugees are concentrated. It focuses on aspects relating to self-reliance activities. See [9.17](#) concerning domestic fuel needs and use.

Assessment and analysis of environmental and natural resource aspects should:

- determine what action (if any) is needed to protect the environment and the natural resource base of the area; and
- identify natural resources that may be used in a sustainable manner to enhance self-reliance and food security (e.g. water resources for fish farming, seeds of specific trees that are good for poultry production).

Potential negative impacts of refugees on the environment and natural resource base

Large numbers of refugees, whether in camps, rural or urban settlements, place considerable demands on local natural resources. Large-scale fuel-wood collection for cooking, heating and/or sale as an income-generating activity deplete the natural resource base and contribute to environmental degradation. Other coping and self-reliance strategies adopted by the refugees may add to the depletion and degradation. This can:

- undermine the long term food security and well-being of local population as well as the refugees themselves;
- have serious health consequences for both populations;
- give rise to conflicts between them, and result in increasing exposure of women and girls to sexual violence, as they have to go further in search of fuel-wood (and sometimes water).

There may also be high costs to the host government on account of resource depletion and needs for environmental rehabilitation – costs that are largely underestimated and often ignored.

What joint assessments must do

Both UNHCR and WFP prioritize strengthening environmental/natural resource management (E/NRM) practices to support livelihood strategies, recognizing the need to avoid (as much as possible) undermining the future food security of refugee and host populations, while meeting immediate needs and promoting/supporting self-reliance. Joint assessments, therefore, must:

- review the findings of E/NRM assessments organized by UNHCR and/or partners, and the mechanisms in place to ensure the protection of the environment and the responsible use of natural resources;
- examine requirements for, and the availability and current rates of usage of, *domestic (especially cooking) fuel*, and determine whether measures are required to minimize environmental damage and the irreversible depletion of the natural resource base, see [9.17](#);
- consider the natural resource/environmental implications of all coping strategies and self-reliance activities that are, or could be, employed by the refugees, using the checklist below as a guide, and propose measures/interventions that ensure, to the extent possible, that refugees' livelihood strategies are sustainable from a natural resource/environmental perspective (as well as a socio-economic perspective).

If an adequate E/NRM assessment (or plan) has not yet been completed, the team should discuss the issues listed below with (i) local officials responsible for natural resources/the environment, agriculture, livestock, water resources, etc. (ii) the refugees, and (iii) local community leaders.

Commitment to, and framework for, responsible natural resource management

Determine the extent to which:

- ❑ rights and regulations in relation to the use of land are clear and respected, and land use is appropriately planned;
- ❑ an assessment of natural resources and environmental conditions has been undertaken and an E/NRM plan developed (by UNHCR with the refugees, local authority and local communities). The plan is based on thorough understanding of topography, geology, hydrology, vegetation/forest cover, soils, local climatic conditions, proximity of protected or fragile areas, socio-economic conditions and infrastructure;
- ❑ site plans and all sectoral programmes respect the E/NRM plan and/or benefit from specialist E/NRM inputs during the design and planning stage;
- ❑ project planning, appraisal, monitoring and evaluation systems explicitly consider E/NRM issues (including soil erosion, pollution risks and the protection of mother trees). Refugees, local hosting population and other stakeholders have the opportunity to participate in appraising environmental implications of projects and contributing to project decisions;
- ❑ coordination among the national refugee authorities, national and local natural resource management/environment authorities, UNHCR and other concerned partners is effective;³⁶
- ❑ local organizations and development-oriented partners (UN and NGOs) are engaged;
- ❑ funds are allocated (by UNHCR and/or other partners) to promote good environmental management, which should reduce/eliminate the need for environmental rehabilitation;
- ❑ environmental conditions are monitored on an ongoing basis.

Engagement of the refugees, in partnership with local people

- ❑ refugees' and local people's awareness of the importance of the responsible use of natural resources is raised through effective public information and social mobilization, including the school curriculum;
- ❑ joint refugee/local population environmental management committees, or working groups, with equal representation, discuss common concerns and promote joint action. [See *Refugee operations and environmental management*, UNHCR 2002, case study on p 15.]

Analysing the sustainability of coping and self-reliance activities

Determine the extent to which:

- ❑ income-generating activities that exploit natural resources use those resources in a sustainable manner;
- ❑ appropriate personnel are trained in natural resource/environmental management practices;
- ❑ environmentally friendly technologies are demonstrated, after local field-testing;
- ❑ implementing agencies have the necessary organizational and technical capacity to manage effective, sustainable and environmentally sound agricultural activities.

Agricultural activities

- ❑ agricultural activities are adapted to the land area available, the topography, soils, climate and water availability, and the skills of the refugees and extension services that can be assured;
- ❑ cultivation is encouraged on the most appropriate land, and discouraged on inappropriate land and fragile soils;
- ❑ sustainable cultivation methods and technologies (e.g. legume-based rotations), and soil and water conservation methods, are used;

³⁶ Coordination may include a task force that brings together the concerned entities on a regular basis.

- ❑ water is conserved through rainwater harvesting, recycling of waste water in kitchen gardens, adoption of water-efficient cultivation techniques (e.g. contour planting, mulching);
- ❑ soil conservation practices avoid loss of nutrients, organic matter or structure, erosion or salinization;
- ❑ organic fertilizers (compost and manure) are used rather than chemical fertilizers;
- ❑ the potential of refugees' residential plots as sources of fresh food, vegetables, fruit and small stock is maximized using environmentally friendly techniques (e.g. permaculture, multi-storey gardening in sacks or other small containers);
- ❑ trees are planted around refugee homes and fields.

Livestock

- ❑ livestock numbers are managed (restricted) to match the feed and space available;
- ❑ livestock are fenced in to prevent indiscriminate grazing or pollution of water sources;
- ❑ slaughtering of animals is confined to designated places, and wastes are disposed of carefully.

General measures to limit, or reverse, environmental pollution and degradation

- ❑ shelters are constructed using materials that are either environmentally benign or have been gathered in a sustainable manner, possibly including use of compacted, sun-dried and/or stabilized earth blocks?
- ❑ forest resources are properly managed and wood harvesting is controlled?
- ❑ organic wastes are recycled by composting, or in bio-gas generators, etc.?
- ❑ other solid wastes are contained and disposed of minimizing environmental health risks?
- ❑ activities that use/require harmful materials, or produce large quantities of dust or smoke, are avoided?
- ❑ activities that require large quantities of wood are avoided (unless readily available in a sustainable manner)?

Minimization of storage losses of food and crops

- ❑ losses of food and crops due to pests, damp, vermin and mould are minimized by the use of appropriate crop stores (if long-term settlement is in view);
- ❑ appropriate techniques are used at household level for (small-scale) crop preservation and storage. (E.g. drying of cereals, pulses, leafy vegetables and most fruits; 'bottling' fruits and some vegetables in sealed containers; protection against pests using repellents made from local materials [such as ash, chilli peppers and various herbs] or storage in the smoke above the kitchen fire.)

Key principles of environmental/natural resource management in refugee situations

- There should be an integrated, proactive, broad-based approach to environmental/natural resource management in and around the refugee camp/settlement (not a narrow focus on fuel-wood alone, for example).
- The refugees must be aware and participate, together with the local population, in assuring the responsible use and management of natural resources. Activities should be community based.
- Environmental 'commodities' such as tree seedlings, stoves or fuel-wood should not be provided without some commitment from the refugees.³⁷ When, exceptionally, fuel is provided, the refugee community should manage its distribution.
- Self-reliance activities should be 'environment-friendly', to the maximum extent possible. The environment should not be accorded a higher value than human subsistence but a socially acceptable balance has to be struck between the protection of the natural resource base for the host population and (short term) concerns for refugee welfare.

Food-for-work (FFW)

FFW has sometimes been used to support activities to protect, preserve or rehabilitate the environment (e.g. construction of stone check dams to control gully erosion, tree nurseries and reforestation, hillside terracing). However, this may undermine refugee and local community commitments to, and initiatives that support, environmental protection. Proposals to use FFW for such purposes must therefore be critically examined (in addition to ensuring the all FFW activities form part of a coherent strategy for food security and the use of food aid).

Special considerations relating to livestock

Potential problems include: overgrazing (deterioration of plant cover); destruction of unprotected fields and seedlings; cutting of bushes and trees to make enclosures; competition for grazing and water; water pollution; spreading of animal diseases; human health hazards due to animal borne diseases, unsanitary disposal of slaughter wastes or uncontrolled use of veterinary drugs ... all of which can lead to conflicts with local population.

On the other hand, livestock can make an important contribution to refugees' self-reliance and are a key asset that should be protected. Furthermore, the keeping of livestock by refugees *may* create synergies and work opportunities for local people and stimulate local markets.

☞ For more guidance, see:

- *Environmental Guidelines*, UNHCR 1996
- *Environmental Guidelines: forestry in refugee situations*, UNHCR May 1998
- *Environmental Guidelines: livestock in refugee situations*, UNHCR May 1998
- *Environmental review guidelines*, WFP Jan. 1999
- *Livelihood Options in Refugee Situations: a handbook for promoting sound agricultural practices*, UNHCR-EESS & CARE International, December 2002
- *Natural Resource Management and Livelihoods: programming guidance*, WFP 2002
- *Permaculture in Refugee Situations: a refugee handbook for sustainable land management*, SAFIRE & UNHCR Feb 2001 [not on CD-ROM, not available electronically]

☞ For examples of combining environmental rehabilitation with food production, forest related income-generating activities, and other successful strategies, see *Environmental Guidelines: forestry in refugee situations*, UNHCR May 1998.

³⁷ Incentives can take many forms as long as they are valued – seen as beneficial – by the refugees. Cash incentives for participation in environmental activities are not sustainable, but may be used temporarily as part of a planned progression to more sustainable alternatives.

9.17 Analysing domestic energy needs, availability and use

The following are points that joint assessment teams should consider in relation to the needs for, and use of, cooking fuel and other domestic fuel requirements.

Fuel-wood collection for cooking, heating and/or sale as an income-generating activity can be an important cause of natural resource depletion and environmental degradation around refugee camps. In all cases, an assessment of energy needs and availability must be carried out with a view to ensuring that the refugees are able to cook their food while preventing environmental damage. Where necessary, a specific energy needs assessment by a partner organization or consultant may be required:

- to examine the availability and current rates of usage of *cooking fuel*, and determine whether measures are required to:
 - reduce cooking fuel requirements and conserve energy,
 - develop alternative sources of energy, or
 - as a last resort, organize external fuel provision; and
- to determine, when measures are required, how and by whom they should be implemented, taking account of other energy requirements, e.g. for domestic heating.

The assessment must be carried out with the full participation of the refugees and the local (host) population, and consider short and long term resource management and socio-economic aspects.

Joint assessment teams should review any such assessments or other relevant reports, and complement this by their own observations and enquiries, to determine whether energy sources are limited and there is a risk of fuel-wood being collected in an unsustainable manner and, if so, what actions should be taken.

Analysing cooking/domestic fuel requirements and supply

Determine the extent to which:

- there is, or will be, a shortage of fuel for cooking and domestic heating;
- the collection of fuel-wood or the production of charcoal (for domestic use and/or sale) is sustainable or risks leading to deforestation and environmental degradation;

and, where problems exist or can be foreseen:

- whether *cooking fuel requirements can be reduced and energy be conserved* by:
 - providing foods that need less cooking (e.g. finely milled grains, split peas instead of beans) promoting the use of fresh foods or, more expensively, using pre-cooked blended foods and soy-fortified blends;
 - assuring grinding/milling facilities for whole grains, when necessary;
 - educating the population on fuel-saving cooking techniques, see box below;
 - promoting multi-family cooking or shared cooking stoves: both are facilitated by clustered living arrangements and the building of cooking shelters, and communal cooking by the provision of large pots;
 - promoting the use of improved stoves, see box below;
 - ensuring that refugees have sufficient clothes and blankets (to reduce heating requirements).
- whether *alternative sources of energy* could be used, see box below;
- whether, as a last resort, the *external provision of fuel* should be organized, see box below.

Cooking techniques that minimize fuel requirements

- Using lids, preferably tight fitting lids with a weight on top;
- Pre-soaking hard foods;
- Milling or pounding hard grains and beans;
- Cutting hard food into small pieces and/or using tenderisers;
- Using appropriate pots – metal pots for boiling water and fast cooking foods such as rice and potatoes, but clay pots for dishes requiring long simmering such as maize and beans;
- Double/stacked cooking (one pot on top of another);
- Not over-cleaning the outside of pots;
- Adding water as needed during cooking rather than filling the pot at the beginning;
- Transferring food to an insulating ‘haybasket’ to complete slow cooking;
- Improved firewood preparation – cutting, splitting and drying of firewood;
- Improved fire management – using shields to control the fire and its air supply, simmering gently, and putting out the fire promptly.

Promoting the use of fuel efficient stoves

Fuel-efficient stoves can be available to people – preferably as an incentive that is earned – or people can be helped to produce their own. Possibilities include:

- user-built mud stoves;
- prefabricated metal or fired clay stoves (which may be appropriate only when energy is scarce, refugees have to pay for fuel and they perceive the benefits for themselves).

Possible alternative energy sources

- Loose wastes and residues (e.g. maize cobs, rice husks, cow dung).
- Locally produced fuel briquettes made from rice husks, bamboo or sawdust (as in Bangladesh, Thailand).
- Grass, using a special grass-burning stove (as in Tanzania, Uganda).
- Peat extracted from local swamp areas (as in Tanzania).
- Biogas produced on site from human and organic wastes (as in Afghanistan, Nepal).
- Kerosene using cloth wick or pressurized stoves (as in Nepal).
- Solar energy using curved, box/oven-type or panel-type reflectors. (However, pilot projects in Ethiopia, Kenya and Pakistan have encountered a number of problems in relation to eye protection.)

When may the external provision of fuel be needed?

Fuel provision may be considered on an exceptional basis when:

- there is a total lack of fuel in the area or when resources are so depleted that refugees are forced to spend an unacceptable amount of time and labour to secure sufficient fuel to cook their basic rations;
- there are security risks and going outside the camp to collect fuel is dangerous, particularly for women;

- there are severe threats to the natural resource base/environment (including when a camp is located near a nature reserve); or
- host government concerns are such that the institution of asylum (and therefore the protection of the refugees) is at risk.

When fuel is supplied, the fuel should be culturally acceptable, easy to use but unattractive for re-sale, and its distribution should be targeted to specific groups. The provision of fuel should be explicitly linked to conservation measures (such as participation in tree planting) – it should not be free – and refugees themselves should manage the distribution. There should be a multi-year donor commitment. The impact of fuel distribution should be closely monitored.

For further details on external fuel provision, see:

- *Refugee operations and environmental management*, 4.2 Organized fuel supply (p 42), UNHCR-EESS 2002
- *Cooking options in refugee situations*, 5 Energy supply, UNHCR-EESS 2002.

☞ For case examples of energy-saving practices, see *Refugee operations and environmental management*, UNHCR 2002, pp 23, 40.

☞ For more guidance on cooking fuel options in general, see *Cooking Options in Refugee Situations: a handbook of experience in energy conservation and alternative fuels*, UNHCR-EESS, December 2002

10. Some Methods and Tools for Data Collection and Analysis

This chapter provides brief notes on a number of tools that joint assessment teams may find useful, and indicates where additional details can be found (on the CD-ROM or elsewhere), if required.

10.1 Estimating numbers ³⁸

The following methods may be used to estimate the total population in a defined area before a full registration takes place. The same methods may also be used to cross-check figures reported by the refugees themselves or by local authorities and, later, to quickly check the plausibility of figures that may be out of date.

Once an estimate has been made for the total population, the proportion – hence numbers – in need of food assistance may be estimated on the basis of the assessment of the food security situation (the percentage of households that can meet defined proportions of their food needs). That assessment together with observations and information from such key informants as health workers, teachers, local authority officials, NGOs, and religious and community leaders should enable initial estimates to be made for the numbers in groups needing special attention, such as isolated elderly people or unaccompanied children.

N.B. Any enumeration exercise should be planned and conducted with care and, wherever possible, the collaboration of local authorities and community leaders. Whatever method is used, a number of literate and numerate interviewers will be needed, preferably from the community itself. UNHCR and WFP should discuss and agree with the other stakeholders on the most suitable methodology to use, and should involve them in the estimation exercise. The more agreement there is as to the numbers and the basis for them, the more useful the results are likely to be for all subsequent purposes.

When people are on the move

To make a very quick estimate of the rate at which people are moving – the number per day: count the number of people passing a particular point (e.g. a border check-point or a bridge) during a 30-minute period, multiply by 2 for the number passing per hour, and multiply by the number of hours per day that people are passing.

When possible, deploy monitors, or mobilize border authorities, military personnel, staff of partner agencies, or some of the refugees themselves, to count people passing the chosen point(s) throughout the day, and provide simple reporting forms for them record the data (e.g. for each 1-hour period throughout the day and, if relevant, the night).

Whenever there are large numbers, provide each monitor with a hand-held mechanical counter.

When there are very large numbers, spread over a large area...

... aerial photography, or remote sensing, may be used to identify the locations where refugees are concentrated and make very rough initial estimates of the numbers.

When the site is small or orderly...

... there are three basic steps:

³⁸ Adapted from *Handbook for Emergencies*, chapter 11, UNHCR 1999, and *Emergency Field Operations Pocketbook*, 2.11, WFP 2002

1. Count, or estimate, the number of shelters.
2. Estimate the average number of people per shelter by systematic sampling.
3. Multiply the number of shelters by the average number of people per shelter.

To do this:

- Ask one or more auxiliaries or community members to count the number of dwellings in the area, and give each dwelling a unique number. Alternatively, if a recent aerial photograph is available on which individual dwelling can be distinguished and counted, number the dwelling on the photograph.
- Decide on the sample size: for example, 40 dwellings for an area/camp with fewer than 5,000 inhabitants; up to 100 dwellings for an area/camp with more than 20,000 inhabitants.
- Calculate the sampling interval 'N' by dividing the total number of dwellings by the chosen sample size.
- Randomly choose the number (between 1 and N) of the first dwelling to be visited. Go to that dwelling and then to every Nth dwelling after it. Record the number of people living in each of the selected dwellings.
- Sum the number of people in the dwellings visited and divide the total by the number of dwellings visited. This gives the average number of inhabitants per dwelling.
- Multiply this average number by the total number of dwellings in the camp to obtain an estimate for the total population.

Example of a systematic sampling calculation

The total number of dwellings is 1,700

The sample size chosen is 60 (with 1,700 dwellings the population will be more than 5,000 but probably well below 20,000, so a figure between 40 and 100 is chosen)

Therefore, the sampling interval is $1,700/60 = 28$

Randomly choose (e.g. from a random number table) a number between 1 and 28: say 11 is chosen

Visit dwelling #11, then dwelling #39 ($11+28=39$), then dwellings #67 ($39+28=67$), #95, etc.

The total number of people living in the 60 dwellings visited is 288

The average number of inhabitants per dwelling is $288/60 = 4.8$

Therefore, the estimated total population is: $1,700 \times 4.8 = 8,160$

The usefulness of the data for planning and management purposes may be enhanced by:

- estimating the number of people in each ***distinct physical subdivision*** of the site (such as blocks or sectors separated by roads, paths, rivers or ditches, for example). For this, samples of 40-100 shelters should be systematically selected in each subdivision. Subsequently, it would be possible to check or refine the data sector-by-sector.
- collecting data at each selected shelter broken down by ***age group and sex***. For this, a recording sheet such as the one below could be used.

Sample demographic data collection sheet											
Shelter No.	Women & girls					Men & boys					Total (both sexes)
	<5 yrs	5-17	18-59	60+	Total	<5 yrs	5-17	18-59	60+	Total	
1											
2											
...											
Total											

When the site is very large or not very orderly...

... there are four basic steps:

1. Estimate the total surface area of the site;
2. Randomly select at least 3 points and define sub-areas of the same surface area around each point;
3. Either (i) count the number of people living in each sub-area, or (ii) estimate the numbers by estimating, for each sub-area, the number of shelters and the average number of people per shelter, and multiplying the two;
4. Extrapolate from the sample sub-areas to the whole site by summing the estimates for the selected sub-areas, dividing by the sum of their surface areas and multiplying by the total surface area of the site.

A 'quick and dirty' method to obtain a very rough estimate is as follows:

- Prepare a rough map and estimate the total surface area of the site. To do this:
 - *If you have a GPS and GIS software:* go around the perimeter with a GPS, taking readings every 10 to 20 metres (or at every change of direction) and feed the data into the GIS programme. The programme will calculate the area enclosed and enable you to print out a map of the perimeter.
 - *If you do not have a GPS and GIS software:* walk [or drive] around the area, preparing a rough sketch of the perimeter and measuring the length in metres of each distinct sector using a wheel meter or rope of known length [or the vehicle's trip meter/odometer]. Calculate the total length perimeter. Draw a schematic map as regular as possible (e.g. square, rectangular or triangular in shape) corresponding roughly to the measurements taken and with the measured perimeter length. Then estimate the total area in square metres.
- On the map, select three or more random points that are well spread out.
- Draw a square of 100 m by 100 m around each point. Each square represents an area of 10,000 m².
- Mark the squares on the ground and count the total number of people living inside each square. (This may best be done in the evening, when the majority of people are at home.)
- Sum the numbers of people living in the selected squares and divide by the number of squares. This gives a rough estimate for the number of inhabitants per 10,000 m².
- Multiply this figure by the total area in square metres and divide by 10,000. This gives a rough estimate of the total population of the area.

Example of a rough estimate calculation

The area is a rough rectangle of 700 m × 1,500 m

The total area is therefore roughly $700 \times 1500 = 1,050,000 \text{ m}^2$

The numbers of people in each of three of the squares are 2,200, 1,750 and 2,450

The estimated average number of inhabitants per 10,000 m² is:

$$(2,200 + 1,750 + 2,450)/3 = 6,400/3 = 2,133$$

Therefore, the estimated total population is:

$$(2,133 \times 1,050,000)/10,000 = 223,965 \text{ (roughly 224,000)}$$

☞ For further, up-to-date guidance, contact UNHCR-PGDS or WFP-OEN.³⁹

10.2 Identifying distinct socio-economic groups

This section suggests how to identify distinct socio-economic groups within the refugee community, and how to form focus groups representing each subgroup in order to assess the food security situation and self-reliance potential of each group.

Working with the refugees and other partners, the assessment or in-depth study team would typically be required to:

- ❑ Identify, describe and categorize the principal *subgroups* within the population that have different capacities to exploit the options available to produce food or earn income; this may include distinctions between settlement areas and within individual settlement areas.
- ❑ Determine the demographic and socio-economic characteristics, the locations and the numbers of people in each subgroup or category.

This information will provide basis for gathering disaggregated data on the food security situation of the distinct groups and, if there are significant differences, for determining the feasibility of designing and targeting assistance separately to the different groups on the basis of their needs.

The subgroups should be ones that the refugees themselves recognize as having different backgrounds and capacities.

How to do it

Step 1: Identify any distinct 'livelihood groups' among the refugees – e.g. professionals, wage labourers, highland farmers, lowland farmers, pastoralists, fishermen. To do this:

- Interview key informants including refugee leaders (including women), religious leaders, and organizations already working with the refugees. If possible, bring a group of these key informants together to agree on a minimum list of distinct groups. In an ongoing operation, build on information available in existing assessment reports.
- Ask the same key informants to estimate the proportion of each livelihood group in the total population of the camp/settlement.

Step 2: Within each 'livelihood group,' identify subgroups according to categories of relative wealth – e.g. poor, middle, and better-off, as defined by the refugees in each livelihood group. To do this:

³⁹ UNHCR and WFP are planning to develop and test refinements of the above methods during 2004/05.

- Ask the key informants to identify a number of households to represent each livelihood group, including poor and better-off households.
- Bring the men and women from those households together in a focus group and ask them to:
 - i. define the criteria to distinguish the poor, middle, and better-off households within their livelihood group (or any other breakdown they prefer);
 - ii. estimate, using proportional piling, the proportion of household within each category within all the households of the same livelihood group in the camp/settlement; and
 - iii. identify a number of households to represent each wealth group (or other subdivision of the livelihood group).

10.3 Sampling for a food security/self-reliance assessment

Food security/self-reliance assessments aim to understand how and to what extent the population is meeting its essential needs, and the differences (if any) in the ways and/or the extent to which different subgroups within the population are able to meet those needs – differences which may depend on location and/or the socio-economic characteristics of the refugees/returnees.

When there are large numbers of refugees, and especially when they are located in a number of separate settlements or areas or are dispersed among the local population, it is necessary to decide where to go and whom to talk to – to decide on a sampling frame – for gathering data on the situation at household level. This applies regardless of the methods used to gather the data (whether rapid appraisal/qualitative and/or survey/quantitative).

The following notes outline the approaches most commonly used in refugee situations. See the documents listed at the end of this section for more detail on these and other possible sampling approaches.

Step-1: Determine whether distinctions or comparisons may have to be made among different sites/areas and/or among different population subgroups within sites/areas:

- if so, a 2- or 3-stage sampling process beginning with stratified sampling of sites and/or population subgroups will be needed to ensure that all the different contexts/subgroups are adequately covered;
- if not, the whole refugee population can be considered as a single sampling frame, but it will then be possible to draw conclusions only for the population as a whole, not to make comparisons among different parts of the whole.

In all cases, the initial food security/self-reliance assessment will begin with the following preliminary data gathering activities that, amongst other things, will determine whether distinctions exist and comparisons may be needed:

- A rapid review of available data on (i) the area(s) where the refugees are settled or arriving, including geographic and economic characteristics and infrastructure, (ii) the backgrounds and characteristics of the refugees themselves, (iii) their freedom of movement and whether they have any access land, employment or markets, and (iv) how/to what extent the refugees are meeting their essential needs.
- Contacts/interviews with a number of key informants in each area, normally including the administrative head of the locality, other officials (health, social welfare, water resources, environment, agriculture, etc.), and national agencies and NGOs working in the area and/or with the refugees.
- Preliminary visits to all sites (if they are few) or a sample of sites (if they are many) to observe conditions and refugee activities (through transect walks) and interview refugee leaders including women, and local community leaders including women.

In the majority of cases, a 2- or 3-stage sampling process will be needed.

Step-2: Decide on an appropriate sampling approach and sample size:

When distinctions or comparisons are to be made:

1. Develop a short list of key characteristics that describe, and distinguish, the various situations in which refugees are living and the options available to them to contribute to meeting their own needs. For example, settlement areas may be categorized as:
 - closed camps, open camps/rural settlements, urban settlements;
 - reception camps, wage-based camps, land-based camps (as in E Sudan);
 - any other breakdown relevant to the local situation (e.g. whether close to transport routes or isolated, predominance of different ethnic groups, different agro-ecological settings).
2. List each settlement/area under one or other of the categories and add the (estimated) population of each settlement/area. If a settlement is large and conditions are significantly different in different sectors, the distinct sectors (and their populations) may be listed separately under different categories. The stage-1 sample is then drawn as follows:
 - if the number of distinct settlements/areas/sectors is small, all should be included;
 - if the number is large, select from the list a number of settlements/areas/sectors that represent the full range of characteristics.
3. Decide on the most appropriate procedure to establish focus groups and/or select households to represent the population in each of the selected settlements/areas/sectors taking account of the time and resources available for the assessment and any further variations that it is important to capture. This stage-2 sampling could proceed as follows:
 - *For rapid appraisal:* in each selected settlement/area/sector determine, through key informant interviews and discussions, the asset characteristics of households in different social/wealth groups – e.g. very poor, poor, middle, better-off – and, for each social/wealth group, organize discussions with at least 3 focus groups drawn from different parts of the settlement.

(Each pair of interviewers, male + female, should be able to complete 3 focus group discussions per day in a given locality.)
 - *For a household survey:*
 - If reliable population lists are available and the layout/organization of each settlement/area/sector is such that individual households can be found without too much difficulty, simple random sampling or stratified random sampling may be used, with a sample size of 300 in each settlement, area or sector.
 - Otherwise, cluster random sampling should be used – within each settlement/area/sector randomly choose 24 points and then 24 households at random around each point.

When there do not appear to be any differences, and therefore no distinctions or comparisons to be made, between different locations:

- *For rapid appraisal:* proceed as for # 3 above, applying the sampling procedures described to the total population.
- *For a household survey:* proceed as for # 3 above, applying the sampling procedures described to the total population, but using a sample size of 450 for random sampling or 30 × 30 for cluster sampling.

N.B. When refugees are spread across different ecological or economic zones, or come from different ethnic or socio-economic backgrounds, a larger number of sites will have to be visited and a larger number of sampling units and larger sample sizes will have to be used in order to obtain

representative data. When the population and the settlements are relatively homogeneous, fewer visits and sampling units, and a smaller total sample size, will be needed. (Sample size depends on the heterogeneity of the population and environment. Sample size is independent of the size of the population itself.)

- ☞ For further detail on sampling for food security/self-reliance assessments, see:
 - *WFP Emergency food security assessment handbook*, expected end-2004
 - *Key Issues in emergency needs assessments*, vol. I, *Report of the technical meeting Oct 2003*, WFP Dec. 2003 (chapter 5) and vol. II, *Background technical paper – Sampling...* T Frankenberger & R Caldwell

10.4 Characteristics, strengths and weaknesses of various primary data collection methods

This section provides a summary comparison of the characteristics, strengths and weaknesses of the principal methods available for collecting primary data related to self-reliance: household (or individual) surveys; key informant interviews; household or individual interviews, and focus group discussions. There are 4 tables:

- Utility of different methodologies...
- Characteristics of different methodologies...
- Strengths/weaknesses...I - for assessing levels of self-reliance
- Strengths/weaknesses...II - for assessing opportunities for building self-reliance

For each assessment/study, the most advantageous method/s should be chosen in the light of the context and the objectives of the exercise. Good preparation, training and supervision are necessary in all cases.⁴⁰

<i>Utility of different methodologies for primary data collection</i>				
	<i>Household or individual survey (probability)</i>	<i>Key informant interviews</i>	<i>Household or individual interviews (non-probability)</i>	<i>Focus group discussions</i>
Utility for assessing (I) levels of SR (quantitative)	High	Moderate	Low	Moderate

⁴⁰ This includes careful questionnaire design and testing (for surveys); the selection of individuals who have the right aptitudes for field work; and the training of field workers in questionnaire administration (for surveys) and/or in conducting semi-structured interviews and group discussions, always with a focus on cross-checking data for plausibility and consistency.

Utility for assessing (II) opportunities for building SR (qualitative)	Low	High	High	High
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Characteristics of different methodologies for primary data collection				
	Household or Individual Survey (probability)	Key Informant Interviews	Household or Individual Interviews (non-probability)	Focus Group Discussions
Sampling approach	Probability sampling: selection of sample from sampling frame using random selection process	Purposive sampling (quota, snowball, etc.).	Purposive sampling or random. Differs from method in column 1 due to small sample size and lack of intent to infer statistically to the population.	Purposive sampling or random (quota, snowball, etc.).
Sample selection	Random (can be also systematic), often employs 2-stage selection process due to lack of household or individual level sampling frame (e.g. select village or other aggregate for which a sampling frame exists at first stage)	Informants chosen subjectively based on their perceived knowledge of local context and issues of interest	Informants chosen subjectively or randomly with the aim of selecting 'typical' households or individuals to represent the population or sub-populations	Groups of 6 to 8 participants in a facilitated discussion. Groups usually represent sub-groups of interest. Groups may intentionally be a mixture of sub-groups. Selection; usually purposive, sometimes random
Generalizing from sample (n) to population/sub-population of interest (N)	Inference based on statistical theory. Estimates have quantifiable levels of confidence and error.	Key informant's perspective and informed opinion about the population or sub-population.	Although not statistically representative, 'typical' households or individuals are thought to be indicative of the experience of other like them.	Discussion is focused on generalized experience of population of sub-populations and not on the experience of individual participants in the discussion.
Tools	Questionnaire	Checklist, structured interview guide, semi-structured interview guide, none	Checklist, structured interview guide, semi-structured interview guide, none	Semi-structured discussion guide, none

Common techniques (in addition to interviewing)	Proportional piling, ranking, mapping, time trends, seasonal calendars, direct observation	Proportional piling, ranking, mapping, time trends, seasonal calendars, transect walks, direct observation, and other PRA tools	Proportional piling, ranking, mapping, time trends, seasonal calendars, transect walks, direct observation, and other PRA tools	Proportional piling, ranking, mapping, time trends, seasonal calendars, transect walks, direct observation, and other PRA tools
Skills and training required	<i>Enumerator team:</i> basic literacy and numeracy skills, training on use of questionnaire	<i>Interviewer:</i> Skilled and experienced interviewer able to adjust to strengths of each informant, skills in substantive area, training in particular research interest of interview	<i>Interviewer:</i> Skilled and experienced interviewer able to adjust to strengths of each interviewee, skills in substantive area, training in particular research interest of interview	<i>Facilitator:</i> Skilled and experienced facilitator able to balance need to maintain focus while allowing the group to raise issues important to them <i>Reporter:</i> Basic literacy and numeracy skills, training in topic and verbatim recording of discussion
	<i>Design/Supervisory Team:</i> Research design and probability sampling skills	<i>Design/Supervisory Team:</i> Experience in tool development	<i>Design/Supervisory Team:</i> Experience in tool development	<i>Design/Supervisory Team:</i> Experience in tool development

Strengths and weaknesses of different methodologies for primary data collection

I – For assessing levels of self-reliance

	Household or Individual Survey (probability)	Key Informant Interviews	Household or Individual Interviews (non-probability)	Focus Group Discussions
<i>Strengths</i>	Estimates of levels of SR with quantifiable degrees of error and confidence	Takes advantage of local experts and maximizes the utility of information gathered from each interview.	Small sample size is relatively cost-effective (time, financial, human resources) in comparison to other methods	Group discussion allows for dissent and consensus building about levels of SR from various perspectives/interest groups
	Separate estimates for sub-groups (e.g. social, economic, spatial, and other characteristics)	Can provide crucial contextual and retrospective insights for interpreting current and future SR situation and sub-groups of interest that can be missed by other methods	Can provide crucial contextual and retrospective insights for interpreting current and future SR situation and sub-groups of interest that can be missed by other methods	Can provide crucial contextual and retrospective insights for interpreting current and future SR situation and sub-groups of interest that can be missed by other methods
	% of population by sub-groups of interest can be disaggregated geographic/ administrative boundaries that are meaningful for targeting	Small sample size is relatively cost-effective (time, financial, human resources) in comparison to other methods		Small sample size is relatively cost-effective (time, financial, human resources) in comparison to other methods
	Statistically supported inference from sample (n) to population (N)			
<i>Weaknesses</i>	Sample size requirements can be relatively costly (time, financial, human resources) depending on the degree of precision/ confidence desired	Selection of informants is highly subjective and prone to bias.	Selection of respondents may be highly subjective and prone to bias.	Selection of respondents may be highly subjective and prone to bias.

	Stratification by sub-group can add additional sample size requirements depending on the number of strata and the degree of precision and confidence desired for each strata estimate	Estimates of levels of self-reliance are difficult to quantify, lack error and confidence parameters, and represent 'best-estimates' from the perspective of the informants	Estimates of levels of self-reliance are difficult to quantify, lack error and confidence parameters, and represent 'best-estimates' from the perspective of the respondents	Estimates of levels of self-reliance are difficult to quantify, lack error and confidence parameters, and represent 'best-estimates' from the perspective of discussion participants
	Descriptive analysis of data requires basic knowledge of statistics and statistical software. Additional knowledge/skills required for analyzing multiple and conditional relationships between variables.	Small sample size means that personal interests of individual informants exerts a strong influence on estimates of levels of SR	Small sample size means that personal experience of individual respondents exerts a strong influence on estimates of levels of SR. Difficulty in generalizing from sample (n) to population (N)	Small sample size means that the perspective/interests of participants exerts a strong influence on estimates of levels of SR. Difficulty in generalizing from sample (n) to population (N)

Strengths and weaknesses of different methodologies for primary data collection

II – For assessing opportunities for building self-reliance

	Household or Individual Survey (probability)	Key Informant Interviews	Household or Individual Interviews (non-probability)	Focus Group Discussions
<i>Strengths</i>	Separate estimates for sub-groups (e.g. social, economic, spatial, and other characteristics)	Can provide crucial contextual and retrospective insights for interpreting current and future SR potential	Allows for in-depth investigation on household assets, capacities and livelihood priorities.	Allows for gender perspectives to emerge on key issues related to building self-reliance, especially control of resources that might be generated as a result of a particular intervention.
	% of population by sub-groups of interest can be disaggregated geographic/administrative boundaries that are meaningful for targeting	Small sample size is relatively cost-effective (time, financial, human resources) in comparison to other methods. Can build on the findings of Type 1 assessments so as to develop key areas of inquiry	Can build on Type 1 assessments by focusing on specific types of households who have the necessary profile to benefit from self-reliance efforts	Respondents' views and priorities are actively sought so as to ensure appropriate interventions that have the right fit to respondent needs and abilities.
	Useful in monitoring progress made towards self-reliance--short questionnaires	Respondents are knowledgeable of local economic conditions and can identify potential constraints and opportunities in pursuing certain types of self reliance activities	Respondents' views and priorities are actively sought so as to ensure appropriate interventions that have the right fit to respondent needs and abilities.	
<i>Weaknesses</i>	Not necessarily suited for in-depth investigation of household capacity to engage in self-reliance activities	Need skilled interviewers and facilitators who are able to guide discussions towards meeting objectives.	Need to have skilled facilitators who are able to guide discussions and analyse qualitative data for programme purposes--i.e., resulting in an intervention	Need to have skilled facilitators who are able to guide discussions and analyse qualitative data for programme purposes--i.e., resulting in an intervention

10.5 Selected rapid assessment techniques

Some of the rapid – participatory, qualitative – methods most commonly used in assessments in emergency situations are outlined in the following pages:

- How to use rapid assessment techniques – general principles
- Conducting *semi-structured interviews* and group discussions
- Identifying resources and locating activities – preparing a *community map*
- Observing conditions – undertaking a *transect walk*
- Identifying events that affected well-being – preparing a *time line*
- Understanding seasonal aspects – preparing a *seasonal calendar*
- Determining relative magnitudes – using *proportional piling*
- Determining what is more important – using *pair-wise ranking*

☞ For more details of these and other techniques, see: *WFP participation tool kit*, Booklet 5, *Working with Communities*, WFP 2000.

10.5a How to use rapid assessment techniques – general principles

Rapid appraisal (RA) methods can provide information for decision-making more rapidly and cheaply than structured surveys, provide important information on attitudes and perceptions, and permit enquiries to be adapted on-site in response to findings.

A careful, systematic approach is essential in order to ensure that a valid picture is built up:

- **Preparedness:** before initiating enquiries on the spot, study the available information on the population and locality and prepare a preliminary checklist of topics on which you want to gather information.
- **Sampling:** although formal sampling techniques may not always be used, sites and informants should be selected carefully and consciously in order to ensure that all the main subgroups are covered.
- **Gender considerations:** talk separately with men, women and children.
- **Interpretation:** if you do not speak the local language fluently, find a knowledgeable interpreter so that informants will not be restricted to those who speak your language. Discuss the topic thoroughly with the interpreter in advance and ensure that he/she understands the main issues, the techniques you will be using and his/her own role – which is to convey your questions and what the informants say faithfully (and not to give his/her own interpretation of what is being said).
- **'Real-time' analysis and checking:** reflect on the significance of information and analyse it for coherence and internal consistency during the interviews and discussions. Ask follow-up questions to explore new aspects, clarify any apparent inconsistencies or fill gaps in understanding.
- **Triangulation:** seek the same kind of information from a number of different informants and people of different socio-economic groups and in different localities; identify patterns and differences in information and perceptions; and, if differences cannot be explained, consider whether certain information may be inaccurate or biased.
- **Focus:** focus on aspects that may influence the livelihoods and household food security of different groups and the ways in which each group might best be helped. Don't waste your own or your informants' time in gathering data that may be interesting but that are not relevant to your purpose.

The purpose is to get a sufficiently accurate understanding of the situation to enable decisions to be made on food-related programme interventions.

- **Progressive, participatory learning:** recognize that you are engaged in a learning exercise – learning from and with your informants. Your understanding will increase as more issues are raised and explored with members of the affected population.

Be flexible and opportunistic. While keeping a clear focus on food and livelihoods, be alert to and follow up on aspects that you may not have thought of previously.

- **Bias:** be conscious of and try to counteract your own possible biases and those of interpreters and key informants.

10.5b Conducting semi-structured interviews and group discussions

The following are hints for interviewing individuals or groups.

How to start

- Always begin with a traditional greeting and explain:
 - who you are
 - who you work for
 - why you are there
 - what your role is
- If (as is likely) you are not a decision-maker, say so. Explain that by collecting good, accurate information from the community you will be able to inform decision-makers more accurately about the community's situation.
- Identify and record the characteristics of the individual or group (e.g. gender, age and socio-economic status).

How to conduct yourself and the discussion

- Begin by referring to someone or something visible.
- Use your checklist to ensure that all topics are covered, but be flexible. Allow new and unexpected issues to be brought up and pursued.
- Maintain an informal approach – don't interrogate. Mix questions with discussion.
- Be aware of non-verbal communication from your informants.
- Respect people's sensitivities and their right not to answer certain questions if they choose not to.
- In a group discussion, ensure that all participants contribute; don't allow more powerful individuals or groups in the community to dominate. (If an individual persists in dominating, politely bring the discussion to an end and form a new group.)
- Let informants and groups explain points fully; allow them to 'wander' if it helps them to make their point. Understand their logic and concerns and, when appropriate, gently bring the discussion back to the topic about which you seek information.
- Don't be (or appear to be) in a hurry; allow sufficient time.
- Avoid passing value judgements (either verbally or through body language) on what an informant says.
- Don't take more than 45 minutes for an individual interview, or 90 minutes for a group discussion.

Whenever possible, and particularly in group discussions, use two interviewers (preferably a woman and a man):

- One interviewer leads the discussion while the other takes notes; exchange roles regularly.

- Don't interrupt each other: wait until your colleague has finished his/her line of enquiry before bringing up another topic.

How to ask questions during semi-structured interviews

- Ask direct, clear questions, e.g.: How? Where? When? Who? What? Why? How much?
- Ask questions about groups of people, not about the individual informants themselves, e.g. "How many goats do most poor families have?" (not "How many goats do you have?").
- Listen carefully to every answer and ask follow-up questions if needed to get more detail or to understand perspectives or aspects that you might not have thought of before.
- Ensure that each question is clearly understood, especially when working with an interpreter.
- Ask one question at a time; don't ask more than one question in the same sentence.
- Only ask questions that you think the informant(s) can answer.
- Keep sensitive questions until later in the interview or discussion.
- Don't phrase questions in a way that assumes or implies that the informant(s) should follow (or have followed) a specific course of action.
- Don't induce particular answers by helping an interviewee to respond.

10.5c Identifying resources and locating activities – preparing a community map

The aim of community mapping is to achieve a shared understanding of what is available and important to members of the community, along with the extent of any damage. It can be a good way of initiating a useful dialogue with a broad range of people in a community and it can identify distinct food-economy areas within the locality.

Participants determine the contents of the community map, focusing on what is important to them. You prompt with questions and record.

The information gathered will be useful in directing further enquiries and interpreting other information received later.

In rural areas, community maps are best drawn on the ground, using sticks, stones, leaves, etc. They may also be drawn on a very large sheet, or sheets, of paper.

What to do

- Decide how the map will be drawn:
 - if on the ground, select a large open space;
 - if on paper, ensure the sheet is large enough for everyone to see.
- Gather together a broad range of people. Encourage all the different groups in the locality to participate. It may be useful to do the exercise separately with men, women and children, as they have different perspectives and priorities of what is most useful and important.
- Agree a starting point: choose an important, central landmark and place a rock or other marker in the centre of the map to represent that point.
- Ask participants to mark on the map other features that are important to them. Try to ensure that these are placed at least roughly in the right direction from the central point.
- Don't interrupt participants, but prompt them if and when necessary by asking 'where' questions.
- Copy the final map on to a clean sheet of paper.

A map may also be extended beyond the immediate vicinity of the community to include: trading links to neighbouring areas, seasonal migratory movements, recent abnormal population movements, etc.

Time required: It takes about 30 minutes to compile a satisfactory map on the ground, and a further 20 minutes for follow-up questions and copying of the final map on to paper.

<i>'Where' questions to prompt participants during community mapping</i>	
Where are crops grown?	Where do people go when they are sick?
Where are the sources of water?	Where are the displaced people?
Where do people find work?	Where are the flooded areas?
Where do people fish?	Where do we need to visit in order to see and understand the effects of the crisis?
Where is the nearest market?	

<i>Examples of key features to be included in a community map</i>		
Settlements	Roads	Cultivated land
Rivers	Schools	Grazing land
Water points	Health centres	Fishing areas
Lakes	Markets	Forests

10.5d Observing conditions during a transect walk

A transect walk and careful observation helps you to get a 'feel' for the situation and to identify aspects that require probing and on which you should seek additional information using other methods.

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.

What to do

- Walk from one extremity of the community to the other with one or two community members (preferably a man and a woman) as guides to answer questions about what is observed on the way.
- If starting from near the centre of the community, spin a bottle and walk in the direction in which it stops; then return to the centre and walk in the opposite direction.
- Make diversions to visit locations of specific interest, such as relief centres, markets, clinics, schools and water sources, but keep to (or return to) the same general direction.
- Visit homes on a randomly selected basis (e.g. every 10th house).
- In the homes you visit, ask to see any sick or very thin children or adults. (If you do not ask you may not see them.)
- If an important site has not been seen because it was far from the chosen direction, make a separate visit to it.
- Note the time of day. (It may be useful to repeat the exercise at a different time.)
-

What to observe (and record) during a transect walk

- ❑ the range and quantities of food available in homes and markets
- ❑ the prices in markets
- ❑ food preparation, eating and drinking habits
- ❑ water collection and storage
- ❑ the general state of cleanliness/sanitation
- ❑ what work is being done by men, women and children
- ❑ any obvious signs of malnutrition (oedema, extreme thinness, goitre)
- ❑ the general state of roads; means of transport

10.5e Identifying events that affected well-being – preparing a time line ⁴¹

A time line helps to identify events that may have influenced people's well-being, including their ability to access adequate food and their health and nutritional status. It can serve as a valuable reference point when analysing and interpreting other data (especially changes in data). The exercise can also determine people's perceptions of, and responses to, threats to their well-being.

A time line can be drawn by groups, either on the ground using sticks, stones, other local materials and/or picture cards to symbolize events, or on a large sheet of paper with marker pens. It can be useful to compose calendars with:

- groups of men and women separately – they often have different perspectives on the importance of different events; *and*
- different groups that represent people of different socio-economic status and livelihood type.

What to do

- As preparation, make a preliminary list of the kinds of events you are aware of that could be relevant – e.g. population movements; fighting/insecurity; changes in rations or distribution arrangements; outbreaks of disease; events affecting food production and income. Keep this as a prompt sheet for yourself.
- Select groups that represent particular communities or population subgroups.
- Decide whether to draw on the ground or on paper, and find a suitable space.
- Describe the idea of a time line as a way to identify and talk about events that may have influenced people's well-being.
- Agree on the time period to be covered, e.g. two years (up to 5 years in a protracted operation).
- Draw a line down the side of the cleared space (or paper) and explain that the line represents the agreed period. Divide it into years, and each year into seasons.
- Ask participants to list the types of events that have influenced their well-being during the period; suggest one or two examples from your own list. List the types of event across the top of the space (or paper).
- Ask participants to describe individual events and when they occurred. Place them on the time line.
- When participants feel that they have a time line that includes all the important events that affected their well-being, especially their access to food and their health and nutritional status, ask them:

⁴¹ Adapted from *Participatory techniques and tools*, WFP 2000, Booklet 5 *Working with communities*, and the guidance notes for the *Vulnerability Assessment of Refugees in Iran*, WFP-VAM 2004.

- which events had the greatest impact on their well-being, and to list them in order of priority;
 - how they managed or responded to those events to (i) mitigate negative effects on household welfare, or (ii) to capitalize on opportunities to enhance household welfare;
 - whether their responses were successful or not.
- Summarize the discussion in a table as below using the main categories of events that the participants identified as having affected well-being.

Category of event	Effect on household welfare	Household responses	Outcome of household responses
e.g. Insecurity			
...			

The data from the time lines of different groups may later be consolidated into a time line for the overall situation that can help in forming an understanding of the situation and indicating possible causal linkages (while recognizing that it is often difficult to attribute effects to specific causes). Below is an example of such a consolidation:

Category of event	2003												2004				
	J	F	M	A	M	J	J	A	S	O	N	D	J	F	M	A	M
Political/security	Attack on ...				Peace accord				Progressive decline in insecurity								
Food distributions	Interruption of distributions due to flooding					Replacement of FBF by flour due to pipeline break...					Reduction of numbers following verification of registration						
Health & nutrition conditions	Outbreak of diarrhoeal disease...					Increased rates of malnutrition...											
... etc.																	

10.5f Understanding seasonal aspects – preparing a seasonal calendar

Seasonal calendars help you to understand the seasonal changes in activities and food security in a community (or for a particular population group) and to identify normal periods of stress and vulnerability.

The calendars are drawn by groups of the people involved, 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 – they are often responsible for different activities and may have differing views of which times of year are the most difficult; *and*
- different groups that represent people of different socio-economic status and livelihood type.

What to do

- As preparation, make a preliminary list of the changes you want the calendar to describe.
- Select groups that represent particular communities or population subgroups.
- Decide whether to draw on the ground or on paper, and find a suitable space.

- Draw a line across the top of the cleared space (or paper) and explain that the line represents a year.
- Ask participants to divide the year into either months or seasons, whichever has more meaning for them, and to mark the appropriate divisions along the line.
- Start the calendar by asking about rainfall patterns; ask participants to put counters (stones or beans) under each period (month or season) to represent relative amounts of rainfall – more stones equal more rain. Draw a line under this section of the calendar.
- Next ask them to mark when they normally plant and harvest their main crop.
- Ask them to do the same for other elements that are relevant to the food security of the groups concerned, for example:
 - other crops and food gathering activities in descending order of importance;
 - employment opportunities and income-generating activities (sales of labour, crops, animals, handicrafts, etc.) in descending order of importance;
 - expenditures (e.g. for food, production inputs, schooling, etc.).
- Ask participants to rank each period in terms of the availability/stocks of food and cash. Assign a value of 1 for the least stocks, 2 for the next least, etc. Sum the scores. The period with the lowest score is that of the greatest scarcity.

10.5g Determining relative magnitudes using proportional piling

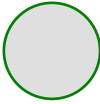



Proportional piling is a way of helping unsophisticated informants to define the relative importance of a number of different items or issues.

It may be useful to get men and women to rank items separately, and then to compare their different perspectives.

Requirements: You need a bag of 100 counters – e.g. beans, seeds or marbles – of similar size.

What to do

- List the items (or issues) to be compared.
- Write or draw each item/issue on a separate sheet of paper.
- Ask the participants to rank the items/issues in order of importance. Lay the sheets out in this order.
- Ask the participants to divide the 100 counters into piles that represent the relative amounts, or importance, of each item (or issue). Ask them to place each pile on the relevant sheet of paper.
- When the participants have agreed among themselves, count the number of counters on each sheet. The numbers represent the percentage importance assigned to each item by the participants.

Example of proportional piling			
Relative importance of crop production, market purchases, poultry and wild fruits in the food basket of poor farmers			
<i>Crops</i>	<i>Market</i>	<i>Poultry</i>	<i>Fruits</i>
			
46%	29%	17%	8%

10.5h Determining what is more important using pair-wise ranking

A quick and easy way of helping informants to list different items, or issues, in order of importance, e.g.: which foods are consumed most frequently; which foods are preferred; on which items families spend most; which problems are the most important.

What to do:

1. List the items (or issues) to be compared;
2. Prepare a matrix with the items listed in the same order down the side and across the top; blank out the lower triangle as shown in the example below;
3. Starting at the top left and working line-by-line, ask participants which of the two items represented by each box is the more important; write the one selected in the box; complete all the boxes; [In the example below, the first question was “On which do poor families spend more money, food or repaying debts?” and the answer was “food.”]
4. Count the number of times each item has been selected;
5. Rank the items according to the number of times each was selected.

The most frequently selected is the most important to the participants.

Example of Pair-Wise Ranking				
Items on which poor families spend money				
Selections	<i>Food</i>	<i>Debts</i>	<i>Water</i>	<i>Fuel</i>
<i>Food</i>		food	food	food
<i>Debts</i>			debts	fuel
<i>Water</i>				fuel
<i>Fuel</i>				

Analysis:	<i>Food</i>	<i>Debts</i>	<i>Water</i>	<i>Fuel</i>
<i>Number of selections</i>	3	1	0	2
<i>Rank</i>	1	3	4	2

10.6 Monitoring distributions – a checklist

The checklist below provides basic guidance for monitoring distributions. The list is by no means exhaustive. Add to it as necessary.

Priority items to monitor in the early stages of a refugee programme are printed in *italics*. Other items (in normal type) should be included as soon as is feasible.

Monitoring within the distribution centre

Observe all aspects of the distribution process, including inputs, activities and outputs:

Inputs

- The quantities of each commodity available at the site for distribution, compared with the quantities required and allocated (and any planned operational stock).*
- Adequacy of on-site storage and stock management.*
- Number and condition of scales, scoops and other essential equipment.*
- Rate of loss/damage incurred during transport to and unloading at the site.
- Weights of bags and the condition of the commodities (check on a random sample basis).
- Is the food properly stacked? Is any bag of food left open and without proper custody? Is there food spilt on the ground of the distribution area?
- Participation and contribution of beneficiaries: e.g. for unloading, organizing the distribution, ensuring security/crowd control.

Activities

- Orderliness and efficiency of the distribution “line”: Is it easy to follow visually the distribution “line” (from the person who checks the refugee identity/ration card, to the person who scoops the food, to the person who controls the exit of the refugee)?
- Security mechanisms in place (how ensure security at the distribution place? Is it effective?..)
- Orderliness and efficiency of the process of checking beneficiaries’ registration and ration cards – the state of registers; are there any obvious discrepancies; the validity of beneficiaries’ ration cards, on a random sample basis; the correct recording of distributions to designated beneficiaries.*
- Are refugees (from the young man to the elderly woman) informed about the distribution day, the quantity due to each refugee and the quantity of food contained in the scoops?
- If the scooping method is used, are standard and precise scoops used? (verify the announced quantity of food scooped from each containing).
- Is there a system in place to guarantee vulnerable groups have easier access to the food ration or are assisted?
- Does the beneficiary sign upon receipt of the food rations?*
- Orderliness and efficiency of the measuring and distribution of commodities – the way in which scales or scoops are used; the loss or wastage rate during distribution.*
- Containers that the beneficiaries use for receiving and carrying away their rations.
- Number of people or household representatives present, and the number registered to receive rations at the site.
- Percentage of rations distributed to (collected by) women.

- ❑ Time taken to process all (or a given number) of the households.
- ❑ Is there a clear division of responsibilities between the staff who calls and checks the names of the refugees, the person who scoops, the person who monitors those previous activities and the person who ensures the orderly processing of refugees?
- ❑ If refugees are involved, is there a UN, Government or other IP staff designated to monitor their work?
- ❑ Does the NGO use computerized beneficiary lists?
- ❑ Does the list have a column for the name, the family size and their signature?
- ❑ The ratio of women to men on community food committees and in positions of responsibility in managing the distribution process.
- ❑ Has any specific support been provided to women attending the food distribution process (e.g. care centres for the children, assistance in the transport of the food ration, sensitization of the “male” community...)?
- ❑ The way in which losses are recorded and complaints dealt with.
- ❑ Procedures for checking, accounting for and dealing with empty containers and any surplus commodities after completion of the distribution.

Outputs

- ❑ *Number of rations distributed; the number that had been planned for.*
- ❑ *The composition of the rations distributed; any divergence from the planned ration; the reasons for such divergence.*
- ❑ *Total quantity distributed; the quantity that had been planned.*
- ❑ Whether records are analysed to identify repeated absences, and what is done to follow up on absentees.

Exit surveys: food basket monitoring

On a sample basis, using a random or systematic sample (e.g. every 30th recipient), interview beneficiaries as they leave the site to check:

Activities

- ❑ *Beneficiaries' possession of valid ration cards – in order to calculate the percentages of eligible and ineligible recipients.*
- ❑ Their profile and whether they correspond to the established criteria for inclusion – in order to calculate the percentage of recipients who do not meet the criteria.
- ❑ When they last received rations and when they expect the next distribution to be made.
- ❑ What they understand to be their entitlement and what they received in previous recent distributions.
- ❑ Whether they have reported any problems/complaints and what, if anything, has been done to resolve these.

Outputs

- ❑ *What the beneficiaries are actually carrying away – the quantities of each commodity and any deviation from what they should have received; ensure that the scales are accurately calibrated.*
- ❑ *How they use the commodities, especially any that are not part of their traditional diet; whether they have particular problems in using any items.*
- ❑ Beneficiaries' reactions to (satisfaction with) the type and quality of commodities, the selection/registration process, the distribution process and any recent changes in ration levels or composition or in procedures.

10.7 Monitoring at community level – a checklist

The checklist below provides basic guidance for monitoring at community level. The list is not exhaustive. Add to it as necessary.

Priority items for the first phase of monitoring printed in *italics*. Items in normal type should be included as soon as is feasible.

Use a combination of careful observation, informal enquiries, sensitive listening and semi-structured interviews with key informants and focus groups. Seek feedback directly from women, men and children on their access to, use of and satisfaction with the intervention outputs. Where possible, rapid sample surveys can also be organized (by WFP or others).

Activities

- When were distributions received recently; how distribution was organized; who received rations (#men/women); how the community participated in the process, and men's and women's satisfaction with the process.*

Outputs

- The numbers of households and people – women, men, girls and boys – in each beneficiary category (refugees/returnees/IDPs/residents) who have actually received rations; the numbers who are eligible/registered to receive rations.*
- What beneficiaries received (items and quantities per person).*
- Numbers of households (and people) who: a) meet the selection criteria; b) meet the criteria but do not receive; and c) do not meet the criteria but receive.
(Hence estimate the percentage of the intended target population who is not receiving rations [the exclusion error] and the percentage of the actual beneficiaries who do not meet the criteria [the inclusion error].)
- Extent of any redistribution of food rations within the community (voluntary sharing or taxation).
- Use made of food containers (if kept by beneficiaries).
- Any specific problems or constraints relating to the storage, preparation and use of the food aid commodities.
- Changes in prices and in the availability of food and other necessities in the market.
- Changes in migration/displacement movements.
- Satisfaction of men, women and children with the composition and quality of the ration.
- How families are preparing: a) family meals; and b) weaning foods for young children.
- What facilities households have for food preparation and cooking; access to cooking fuel and water; what, if anything, people have to pay for milling and for fuel and water.
- The food actually consumed in the last week/month; the estimated energy (kcal) intake per person; any recent change.
- Food stocks now held at the household level and the access that different population subgroups have to food and resources from other sources; how this has changed recently.
- The strategies that people have adopted to acquire food and other necessities; how these have changed recently; what the long-term effects will be.
- Ask about the use of the food ration – e.g. how much is used for consumption, trade, reimbursement of debts, etc.; how long does the ration last?
- Ask about other sources of food than food aid.
- What activities are carried out by the family members in their daily life?

- Are these activities regular or seasonal only?
- What is the daily income (or "in-kind" benefit), if any, received for their activities?
- How many members of the family are involved in these activities?
- Which are the main expenditures the family has on a daily/weekly basis?
- Did the family find itself needing to sell personal belongings in order to purchase food and non-food items? If yes, when did this last happen? Did the family have to sell food to purchase non-food items?
- Was the family in need of reducing the number of meals consumed per day and/or to consume unusual food? If yes, since when?

☞ For further guidance, see *Socio-economic and gender analysis (SEAGA) for emergency programmes*, draft guidelines, module 10, box 10.4.3 (*Beneficiary contact monitoring checklist*), FAO/WFP, 2001

11. Some Programming Principles and Standards

This chapter provides brief notes on some general principles and standards for programming food assistance and support to self-reliance, and indicates where additional details can be found (on the CD-ROM or elsewhere), if required.

11.1 Formulating a food security assistance strategy

A coherent overall strategy for ensuring that refugees (or returnees) have access to adequate food must be defined on the basis of the joint assessment. Food aid and other forms of assistance should be considered. The medium and long-term effects of interventions should also be considered and, from the outset, the strategy be linked to and complement efforts to enhance self-reliance (see 1.1 and 11.2). Community-based responses and organization should be encouraged as a basis for promoting self-reliance. In general:

- During the early stages of many operations, especially when large numbers of refugees are in remote areas, the strategy typically includes a combination of some or all of: general food distribution; supplementary feeding; therapeutic feeding; and, when necessary, support for temporary shelters providing care for especially vulnerable individuals such as unaccompanied children pending their placement in foster care.
- Food for work (FFW) may be included for the construction and maintenance of basic infrastructure for the refugees and the local population.
- Support to education (school feeding) may be phased in once the situation has stabilized, when assessment shows that it would be appropriate.
- Targeted safety-net distributions may be introduced as a general ration is reduced or phased out.
- In some cases, particularly in urban settings or when numbers are small, employment programmes, support to other self-reliance activities, vouchers and/or subsidized sales of food may enable refugees (or returnees) to access food through market mechanisms.

The strategy, including whether food supplies should be imported or acquired by local procurement, should ensure that the needs of the refugees are met while minimizing any negative effects on local food markets and the local population and evolve as the situation evolves. It must be part of an overall assistance strategy that ensures necessary attention to shelter, water supplies, sanitation, health care, education and social welfare services, and active support to self-reliance.

For any population with high prevalence of HIV/AIDS, specific strategies must be envisaged to enable people living with HIV/AIDS (PLWHA) and their families to meet their nutritional needs while also being helped to achieve maximum self-reliance. Various alternatives may be possible, including: targeting additional food to PLWHA and HIV/AIDS affected households through a home-based care or other community-based programme; incorporating PLWHA in a supplementary feeding programme; modifying (increasing) the general ration; or planning FFW or food-for-training activities appropriate for PLWHA. Milling and fortification of food aid, or the provision of fortified blended foods, can improve PLWHAs' access to an adequate diet.

In addition, all food distribution and other food-security related activities should be designed to contribute to preventing HIV transmission and, when appropriate, food/FFW may be used in the short term as an incentive for individuals providing services for PLWHA and their families until sustainable community support is available.

☞ For further details, see *Programme strategies for integrating HIV/AIDS, food and nutrition activities in refugee settings*, UNHCR-UNICEF-WFP, expected end-2004

In all cases, food security assistance should be designed to prevent the loss/disposal of productive assets that the refugees/returnees may have and on which their future livelihoods will depend. Appropriate partners must be available to provide the technical and material non-food inputs

necessary for FFW, employment and other activities that fall outside UNHCR or WFP's mandates or capacity

General food distribution

General food distributions aim to provide households with food to make up the difference between their nutritional needs – what they need in order to re-establish and maintain satisfactory nutritional health – and what they are able to provide for themselves without adopting distress strategies. Distributions should be targeted to those who need them, whenever appropriate and feasible (see [9.11](#)) and be phased down gradually as refugees achieve increasing levels of self-reliance.

In general, food is distributed at regular intervals as '*dry rations*' to be prepared and cooked at household level. Households must have containers in which to receive and store the food. They also need to have (or have access to) utensils, stoves and fuel with which to cook the food. If whole grains are provided, facilities for milling or grinding must be available at household or community level. Special action may be needed in order to avoid micronutrient deficiencies. Guidance on planning a general ration is provided in [11.3](#).

Exceptionally, *ready-to-eat* foods will be provided during the first few days of a sudden crisis, and *Cooked meals* may be necessary at transit and reception centres when people are on the move or in situations of extreme insecurity where people carrying food home would be at risk and the food is likely to be taken by combatants.

Phasing down of general rations

Ration reductions should normally be contingent on:⁴²

- sound evidence of sustainable level of self-reliance among the population as a whole;
- analysis of the potential impact of the change on different population groups (e.g. the proportion of households likely to be put at risk);
- the existence or simultaneous creation of safety nets (probably nutritionally-based) for the most needy/vulnerable households;
- information/surveillance systems being in place to monitor the situation of the population, particularly marginalized groups;
- agreement with the host government; and
- timely sensitisation of the refugees.

Supplementary and therapeutic feeding

The need for supplementary and therapeutic feeding programmes is determined by the prevalence of acute malnutrition and other factors as shown in the table in [9.10](#). They should be phased out when malnutrition rates fall below the levels specified in [9.10](#). Supplementary feeding is *not* a substitute for an adequate general ration and must always be accompanied by efforts to ensure that such rations and distribution systems are adequate, and appropriate hygiene and feeding practices at household level.

Food for work (FFW)

FFW provides food-insecure households with opportunities for paid work (from which to earn food) that produces outputs of benefit to themselves, the whole refugee community and, when possible, the host community.

Preference is given to able-bodied individuals from the most needy households. Activities should be selected and planned with the refugees themselves and the local population. Activities should not be a disincentive to local agricultural production nor should they undermine long-term development projects.

⁴² *Food security assessments, self-reliance, targeting and phasing-out in ongoing refugee situations*, report of an inter-agency workshop, Rome, Nov. 1999, UNHCR/WFP/ENN, Jan. 2000.

Technical supervision as well as appropriate tools and materials must be available – provided by competent implementing partners – to ensure that outputs are of satisfactory quality, and therefore useful and durable.

Remuneration:

- Payment should normally be based on work norms that are appropriate to the local circumstances. (If cash is available from other sources it may be preferable to pay part in food, part in cash.)
- During an emergency phase, activities that are entirely within the capabilities of the population and do not require outside technical supervision may be remunerated on a daily basis, or a fixed amount of food should be supplied for a specified task.

Relationship with the general ration:

- Where large-scale FFW activities are possible and most households include able-bodied adults capable of working, the FFW programme and the food that it provides can be included as part of the overall strategy to ensure that households have access to adequate food. Any general ration would then take account of the food households can acquire through FFW, and a safety net be provided for households that are not able to participate in and benefit from FFW.
- When FFW benefits only a small proportion of households, it would not be taken into account when establishing the level of the general ration.

School feeding

In general, the nutritional needs (of refugees in camps) are met through general food distribution, supplementary feeding and/or food-for-work. The objectives of school feeding, where undertaken, are primarily educational and psycho-social, in most cases. Exceptionally, school feeding may be used to target additional food to school age children, see [9.15](#).

Alternatives to food aid

In urban areas, action to help refugees (or returnees) to access food through the market is generally more appropriate than general food distribution. Possible measures include assistance to employment and other self-reliance activities, possibly complemented by subsidized sales of food. A voucher system may be considered to enable registered households to obtain food supplies (and other items) from traders or food producing households, see *Handbook for self-reliance activities*, UNHCR expected end-2004. Similar measures may also be possible in some rural contexts, especially when numbers are small.

11.2 Formulating a strategic plan for self-reliance

Ideally, a multi-year, area-based strategic plan for self-reliance should be prepared through a participatory planning process involving representatives of all socio-economic groups among the refugee/returnee population, representatives of the host/receiving population and the local authority. It should be based on a thorough, participatory analysis of:

- the potential to increase the agricultural production (including food, cash crops and livestock) of households in different socio-economic groups, and of risks that may need to be addressed to maintain even current levels of production;
- the potential to increase income from current livelihood or coping activities, or to develop new employment or income-generating activities (especially for people who have little income), and any risks that may need to be addressed to maintain even current levels of income;
- the potential to reduce the essential expenditures of refugees/returnees, or at least limit increases;

- the natural resources available that might be able to be exploited in a sustainable manner;
- the capacities of the refugees/returnees in the different subgroups;
- the political, legal, social, cultural, security and other factors that enable or constrain self-reliance;
- existing development programmes in the area and the potential for the refugees to participate in and contribute to those development activities (whether supported by the Government, UN agencies, bilateral donors, NGOs or community-based organizations);
- how returnees can be included in national and local economic development plans;
- the potential impact of self-reliance activities and programmes on relationships among the refugees/returnees and local communities, and the potential for them to contribute to promoting social and economic interaction and peaceful coexistence;
- the sustainability of existing and possible future activities, and the impact they may have on prospects for durable solutions for refugees;
- the potential for the private sector as well as government programmes to adopt technologies and implementation modalities that provide as much employment as possible and generate economic activity in the refugee/returnee areas.

The plan should include both:

- a) measures to create an enabling environment for self-reliance; and
- b) specific interventions aimed at increasing the self-reliance of identified target groups from both refugee/returnee and local communities.

It should balance (i) activities aimed at promoting economic activity in the community as a whole and strengthening the capacity of the community to meet the needs of its weaker members, and (ii) those that seek to directly help – protect the rights of – the poorest and most disadvantaged households among the population.

This strategic plan should then form the basis of annual plans corresponding to UNHCR's operations planning cycle, and plans corresponding to the planning cycles of other partners (NGOs, Government, donors, UN) involved in supporting self-reliance activities. It should be reviewed and up-dated each year. It should also be integrated into the UN development assistance framework (UNDAF) of the UN country team, whenever possible.

The role of joint assessment teams

When a participatory planning process has been undertaken involving representatives of all socio-economic groups among the refugees (or returnees), and in consultation with representatives of the local population and administration, the joint assessment team should:

- review the resulting plan, checking that it is based on analysis of the points listed above and addresses both the needs of the community as a whole and those of the most disadvantaged/food insecure households;
- endorse the plan, when possible, or suggest additional elements for consideration by the stakeholders;
- report on the team's assessment of the plan and make recommendations regarding its implementation and/or a process that could lead to improvement of the plan.

When no participatory planning process has yet been undertaken, the assessment team should itself rapidly:

- analyse the points listed above;
- help to initiate a participatory planning process by meeting with representatives of the various stakeholders to discuss (i) their perspectives and priorities, and (ii) the team's own analysis; and
- make recommendations for the continuation of the process.

☞ For further guidance, see *UNHCR Handbook for self-reliance activities*, expected 2004.

11.3 Planning a general ration

Energy requirements

For initial planning purposes, 2,100 kcal/person/day is taken as the average minimum daily energy requirement for a 'typical' population in a warm climate undertaking light physical activity. (The average requirements of different groups within a population are shown in the table below.)

When data are available, the initial planning figure should be adjusted according to:

- *Temperature:* Add 100 kcal for every 5°C that the mean daily temperature falls below 20°C (i.e. +100 kcal at 15°C, +200 kcal at 10°C, +300 kcal at 5°C, +400 kcal at 0°C).
- *Age/sex distribution:* When adult males make up more than 50% of the population, requirements are increased; when the population is exclusively women and children, requirements are reduced. Adjustments of plus or minus 5% may be appropriate.
- *Physical activity level:* Add 140 kcal for moderate activity, and 350 kcal for heavy activity (e.g. during construction or land preparation works).

When the nutritional situation of the population is extremely poor (e.g. or the crude mortality rate significantly elevated, an additional 100-200 kcal may be added to the basic ration. However, this may not be needed if there is extensive supplementary and therapeutic feeding.

Other nutrient requirements

Protein: 10 to 12% of the energy in the diet should be in the form of protein (i.e. 52 to 63 g of protein).

Fat/oil: At least 17% of the energy in the diet should be in the form of fat (i.e. 40 g of fat).

Micronutrients: A range of micronutrients vitamins and minerals are required for good health.

☞ For further detail see:

- *Food and nutrition needs in emergencies*, WHO 2002
- *The management of nutrition in major emergencies*, WHO 2000

Demographic Breakdown and Energy Requirements						
(for a typical developing country population)						
Age group	Male		Female		Male + female	
Years	% of total population	kcal/person/day	% of total population	kcal/person/day	% of total population	kcal/person/day
0	1.31	850	1.27	780	2.59	820
1	1.26	1,250	1.20	1,190	2.46	1,220
2	1.25	1,430	1.20	1,330	2.45	1,380
3	1.25	1,560	1.19	1,440	2.44	1,500
4	1.24	1,690	1.18	1,540	2.43	1,620
0-4	6.32	1,320	6.05	1,250	12.37	1,290
5-9	6.00	1,980	5.69	1,730	11.69	1,860
10-14	5.39	2,370	5.13	2,040	10.53	2,210
15-19	4.89	2,700	4.64	2,120	9.54	2,420
20-59	24.80	2,460	23.82	1,990	48.63	2,230
60+	3.42	2,010	3.82	1,780	7.24	1,890
Pregnant	-		(2.40)	285extra	(2.40)	285extra
Lactating	-		(2.60)	500extra	(2.60)	500extra

Whole population	50.84	2250	49.16	1910		2080
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People living with HIV/AIDS (PLWHA)

PLWHA have increased nutritional (energy) requirements as indicated in the box below. However, they face greater risk of malnutrition because of appetite loss or difficulties eating; poor absorption of nutrients due to diarrhoea; parasites or damage to intestinal cells; changes in metabolism; and chronic infections and illness. Milling and fortification of food aid, or the provision of fortified blended foods, are possible strategies for improving their access to an adequate diet. A small increase in the level of the general ration is one of a number of possible strategies to enable PLWHA to meet their nutritional needs. Assessment should determine whether this or other strategies that more directly target PLWHA would be appropriate.

Changes in nutritional requirements due to HIV/AIDS ⁴³

Energy requirements:

- ... increase by 10% to maintain body weight and physical activity in asymptomatic HIV-infected adults, and growth in asymptomatic children.
- ... increase by approximately 20% to 30% to maintain adult body weight during symptomatic HIV, and subsequently during AIDS.

Energy requirements increase by 50% to 100% over normal requirements in children experiencing weight loss, regardless of HIV status.

No change is indicated in the proportions of protein or fat required in the diet.

To ensure micronutrient intakes at RDA levels, HIV-infected adults and children are encouraged to consume healthy diets.

Choosing commodities

When choosing items, take account of:

- **Nutritional and dietary requirements:** The mix of commodities must provide the nutrients required to ensure that beneficiaries have access to adequate energy, protein, fat and micronutrients taking account of what they can acquire from other sources.
- **Local food habits:** Foods should be familiar to beneficiaries, correspond to their traditional dietary habits and respect any religious taboos.
- **Children's and elderly persons needs:** Families must be able to prepare easily digestible energy-dense foods for young children. Easily chewed and digestible foods are also needed for elderly people.
- **Ease of storage and use:** Foods should be reasonably easy to store, including at the household level, and to prepare using a minimum of fuel. They must be adapted to the availability of cooking facilities, water and cooking fuel.
- **Cost-effectiveness, attractiveness and local value:** Consider for each of the various items that could be provided:
 - cost in relation to the nutrient value it delivers to beneficiaries;
 - local exchange value: beneficiaries may trade limited quantities of some items to obtain other essential items – e.g. fruits and vegetables – from the local market;
 - whether some items are more likely to be misappropriated than others; items that do not reach the target groups, or are stolen from them, are of no benefit.

Other factors to consider include:

⁴³ Summarized from *Nutrient requirements for people living with HIV/AIDS*, WHO 2003

- whether whole grains or milled cereals should be provided and whether fortified blended foods might be produced locally rather than being imported (see below);
- whether ready-to-eat foods are required (e.g. during the first few days or at transit centres during repatriation);
- whether any suitable items are available for local purchase or can be obtained in exchange for food aid commodities (especially bulk wheat), and the quality and shelf-life of the commodities available.

Milk powder should *never* be distributed as part of a general dry ration. Local ready-to-eat foods may be available. Bread may be produced locally. High-energy biscuits (HEB) can be useful for short periods, and for night feeds in therapeutic feeding centres. Special emergency rations and military rations are nutritionally complete but very expensive and may include inappropriate items.

Wheat and maize: whole grain or flour?

Wheat and maize are normally milled into flour or meal prior to cooking. Cooking then requires less fuel and water, and more varied dishes can be prepared:

- *Fortified milled grain/flour* should be provided to refugees, IDPs and other deprived groups during the early stages of an emergency.
- *Whole grain* may be provided in a protracted operation if local milling/grinding capacity is available. Allowance must then be made for losses during milling and for the cost of milling.⁴⁴

Whole grain stores better – has a longer shelf-life and is more easily re-bagged – than flour/meal. Flour/meal can be fortified with vitamins and minerals, and delivers calories more efficiently when transport capacity is severely limited (as in air operations). When whole grain is supplied, arrangements must be made, by WFP, to ensure that milling or grinding facilities are available to the beneficiaries.

Sample daily rations for a food-aid reliant population			
Items	Rations (<i>quantities in g</i>)		
	Sample 1	Sample 2	Sample 3
Cereal flour	400*	350*	450*
Pulses	60	100	50
Oil (vitamin A fortified)	25	25	25
Fortified blended food	50	50	-
Sugar	15	20	20
Iodized salt	5	5	5
Fresh vegetables, fruits	-	-	100
Spices	-	-	5
Total (<i>g/day</i>)	555	550	655

⁴⁴ The allowance for milling losses depends on the commodity, the type of milling and whether the beneficiaries have to pay (usually in kind). Typical compensation rates are 15% in East Africa, 20% in West Africa.

⁴⁷ Extracted from *Food and nutrition in the management of group feeding programmes*, FAO 1993, and other sources.

Nutritional value of the above rations

Energy (<i>kcal</i>)	2,113	2,087	2,116
Protein (<i>g; % kcal</i>)	58 g; 11%	72 g; 14%	51 g; 10%
Fat (<i>g; % kcal</i>)	43 g; 18%	43 g; 18%	41 g; 17%
* Nutrient values calculated for maize meal. For other cereals, fat in particular will be less. Rice is low in protein and needs to be complemented by more pulses (or be provided unmilled).			

Short-term commodity substitutions

When certain ration items are temporarily unavailable, replace them by other available foods to maintain as far as possible the energy value of the ration distributed. Inform beneficiaries in advance. Substitution rates for common items are shown in the box below.

Examples of substitution rates		
Blended food for beans	1 : 1	<i>For example:</i> <ul style="list-style-type: none"> • 25 g oil could be replaced by 50 g of sugar or 75 g of cereal; • some quantities of cereal may be replaced by beans, but cereal can never be replaced by oil.
Sugar for oil	2 : 1	
Cereal for beans	2 : 1	
Cereal for oil (but not oil for cereal)	3 : 1	

11.4 Nutritional values of common food items

The following tables give the nutritional energy, protein and fat content of the most common food aid commodities and some tropical country food items. For details of micronutrient content, see *Food and nutrition needs in emergencies*, UNHCR-UNICEF-WFP-WHO, 2002, [annex 4](#) and the NUTVAL 2004 calculator on the CD-ROM.

Food aid commodities

(Nutritional value per 100 g; FOB cost in Feb 2004)

Commodity	Energy (kcal)	Protein (g)	Fat (g)	Cost (\$/MT)
Cereals				
Wheat	330	12.3	1.5	145
Rice	360	7.0	0.5	260
Sorghum / Millet	335	1.0	3.0	150
Maize	350	10.0	4.0	140
Processed cereals				
Maize meal	360	9.0	3.5	260
Wheat flour	350	11.5	1.5	260
Bulgur wheat	350	11.0	1.5	260
Blended foods				
Corn-soy-blend (CSB)	380	18.0	6.0	290
Wheat-soy-blend (WSB)	370	20.0	6.0	420
Soy-fortified bulgur wheat	350	17.0	1.5	260
Soy-fortified maize meal	390	14.0	1.5	260
Soy-fortified wheat flour	360	16.0	1.4	260
Soy-fortified sorghum grits	360	16.0	1.0	260
Dairy products				
Dried skim milk, enriched (DSM)	360	36.0	1.0	2,200
Dried skim milk, plain (DSM)	360	36.0	1.0	2,100
Dried whole milk (DWM)	500	25.0	27.0	2,300
Canned cheese	355	22.5	28.0	
Therapeutic milk (TM)	540	14.7	31.5	
Meat and fish				
Canned meat	220	21.0	15.0	2300
Dried salted fish	270	47.0	7.5	
Canned fish	305	22.0	24.0	1800
Oil and fats				
Vegetable oil	885	-	100.0	800
Butter oil	860	-	98.0	
Edible fat	900	-	100.0	740
Pulses				
Beans	335	20.0	1.2	440
Peas	335	22.0	1.4	400
Lentils	340	20.0	0.6	450
Miscellaneous				
Sugar	400	-	-	380
Dried fruit	270	4.0	0.5	
Dates	245	2.0	0.5	
Tea (black)	-	-	-	
Iodized salt	-	-	-	85
High energy biscuits	450*	10-12*		700

* Standards that all biscuits supplied by WFP should meet

Common foods in tropical countries ⁴⁷

(Nutritional value per 100 g edible portion)

Commodity	Energy (kcal)	Protein (g)	Fat (g)
Starchy roots, tubers and fruits			
Fresh cassava	149	1.2	0.2
Cassava flour	344	1.6	-
Ensete	190	1.5	0.3
Plantain	135	1.2	0.3
Potato, Irish	79	2.1	0.1
Potato, sweet	105	1.7	0.3
Yam, fresh	118	0.2	0.2
Legumes and vegetables			
Groundnuts	332	15.0	25.0
Groundnuts, dry	567	25.8	49.2
Vegetables, mixed	30	1.0	-
Milk			
Cow, whole	64	3.3	3.6
Buffalo	102	3.8	7.5
Goat	71	3.3	4.5
Sheep	108	5.6	7.5
Meat and eggs			
Beef	262	16.0	22.0
Goat	145	16.0	9.0
Mutton	249	15.0	21.0
Poultry	139	19.0	7.0
Eggs	158	14.0	11.5
Miscellaneous			
Honey	286	0.4	-
Beer (maize/sorghum)	35	0.6	-

11.5 What to consider when designing a distribution system

Advantages and disadvantages of different distribution systems		
Mechanism	Advantages	Disadvantages
Through local government	<ul style="list-style-type: none"> Quick and efficient when local infrastructure is sufficient Builds local capacity 	<ul style="list-style-type: none"> Government capacity may be limited High cost when local infrastructure needs to be reinforced Government (or officials) may have financial or political motives for controlling food distribution
Through traditional leaders	<ul style="list-style-type: none"> The social and cultural values of the population are respected Easy in the initial stages of emergency and for dispersed populations Low-cost and quick No external registration or ration cards are needed 	<ul style="list-style-type: none"> Knowledge of social structures and power relations is essential Effective only in small intact communities Risk of abuse if social structures are broken down or are replaced by abusive leadership Difficult to monitor
Through new groups or committees	<ul style="list-style-type: none"> Undermines abusive power relations and has a lower risk of abuse Agency understanding of the local society Some community participation, particularly women's representation, occurs Self-monitoring Low-cost 	<ul style="list-style-type: none"> External registration and ration cards are needed in some cases Appropriate in stable situations only Groups must be elected so that they truly represent communities Resentment from traditional leadership Extensive information campaigns are needed
Direct to households in groups or individually ¹	<ul style="list-style-type: none"> Efficient for large unstructured populations Initial control over beneficiary numbers Undermines abusive power relations and leadership Less risk of unequal distribution Easy to monitor 	<ul style="list-style-type: none"> High-cost (staff, materials, time). Little beneficiary participation Registration and ration cards are necessary
Direct to individuals (cooked food)	<ul style="list-style-type: none"> No scope for manipulation or discrimination Self-targeting No registration or ration cards are needed Easy to monitor Overcomes problems of limited fuel, utensils, water 	<ul style="list-style-type: none"> Extremely high-cost (staff, materials) Time-consuming Possible only for small groups (1,000 per kitchen) No possibility for beneficiaries to exchange ration items so all nutritional needs have to be met Risk of creating population concentrations Health risks
¹ Where distribution is to households: <ul style="list-style-type: none"> distribution to representatives of individual households assures more direct agency control but requires considerable resources; distribution to pre-defined groups of households is less resource-intensive and less demeaning for beneficiaries, but is feasible only where there is good registration and homogeneous groups of households can be identified. 		

Advantages and disadvantages of having few or many distribution points	
Few distribution points	Many distribution points
<i>Advantages</i>	
<ul style="list-style-type: none"> • Fewer staff are needed • Less infrastructure (fewer roads and distribution centres) are needed • Less transport is required 	<ul style="list-style-type: none"> • Fewer crowd-control problems • Easier access for women • Shorter journeys home • Beneficiaries can see distribution taking place – easier self-policing • Special arrangements for weaker groups are easier
<i>Disadvantages</i>	
<ul style="list-style-type: none"> • Longer journeys home • Potential crowd problems • Difficult for beneficiaries to see distribution – lack of self-policing • Difficult access for weaker groups 	<ul style="list-style-type: none"> • More staff and transportation are needed • More structures, roads, access and cleared sites are needed

Advantages and disadvantages of short and long distribution intervals	
Short distribution intervals <i>(e.g. weekly)</i>	Long distribution intervals <i>(e.g. bi-weekly or monthly)</i>
<i>Advantages</i>	
<ul style="list-style-type: none"> • Each distribution takes less time • Beneficiaries have smaller to carry and store – less risk in a conflict situation • Greater flexibility when deliveries are uncertain • Some items can be distributed less frequently (e.g. at every second distribution) 	<ul style="list-style-type: none"> • Better when beneficiaries have far to travel or many other things to do • Less effort and cost for the distributing organization
<i>Disadvantages</i>	
<ul style="list-style-type: none"> • Beneficiaries have frequently to devote time to food collection • Distributing organization has to arrange deliveries, distribution and monitoring more frequently • Beneficiaries may be encouraged to abandon their homes and settle around the distribution sites. 	<ul style="list-style-type: none"> • Distributions take more time • Beneficiaries have larger quantities to carry and store at home • More likely that items will be sold by, or stolen from, beneficiaries • Short-term delivery problems are more serious for the beneficiaries • More likelihood that bandits or militias will raid sites

11.6 Commitments to women; gender concerns

This section recalls the commitments of UNHCR and WFP in relation to women and gender concerns.

UNHCR's 5 commitments to women

1. UNHCR will encourage the active *participation of women* in all refugee committees in urban, rural and camp settings and return areas. The final aim is to ensure that 50% of representatives are women.
2. UNHCR commits to the *individual registration* of all refugee men and women. Men and women must be provided with the necessary documentation so each refugee can individually enjoy security, freedom of movement and access to essential services.
3. It is a fact that SGBV (*sexual and gender-based violence*) continues to be a severe impediment to the advancement of women and the enjoyment of their rights. UNHCR will develop integrated strategies in each country to combat it.
4. UNHCR will continue to ensure that refugee women participate in the management and *distribution of food and non-food items*.
5. The provision of *sanitary materials* to all women and girls of concern will become standard practice in all UNHCR assistance programs. This is central to women's dignity and health.

WFP's enhanced commitments to women (2002)

1. Meet the specific nutritional requirements of expectant and nursing mothers and adolescent girls, and raise their health and nutrition awareness.
2. Expand activities that enable girls to attend school.
3. Ensure that women benefit at least equally from the assets created through food for training and food for work.
4. Contribute to women's control of food in relief food distributions of household rations.
5. Ensure that women are equally involved in food distribution committees and other programme-related local bodies.
6. Ensure that gender is mainstreamed in programming activities.
7. Contribute to an environment that acknowledges the important role women play in ensuring household food security and that encourages both men and women to participate in closing the gender gap.
8. Make progress towards gender equality in staffing, opportunities and duties, and ensure that human resources policies are gender sensitive and provide possibilities for staff members to combine their personal and professional priorities.

Specifically in relation to general ration distributions:

- WFP will assess where food distribution points are best established to allow women to collect the rations themselves and to avoid burdensome and unsafe travel to the distribution points.
- WFP will also determine if special packaging is required to facilitate the collection and carrying of food rations by women.
- Except in situations where there is no adult woman in a household, each household ration card for free food distributions will be issued in a woman's name.
- In polygamous families, a separate ration card will be issued for each wife and her dependents; the husband will be considered as a member of one of these groups/households.

- In situations of high insecurity or social breakdown, distribution arrangements will be designed in consultation with women to avoid putting them at risk.
- Information will be provided to male and female beneficiaries about distributions:
- Women will be encouraged to receive the food themselves but will be given the right to formally designate someone to collect the rations on their behalf.

11.7 Criteria for choosing implementing partners

The following are aspects to be considered when selecting NGO partners. Items in *italics* may also be relevant when assessing the capacity of a government entity to serve as an implementing partner.

Basic conditions:

- ❑ Legally registered at the location of their HQ and/or in the country of operation;
- ❑ Have authority to operate a bank account in the country and ability to maintain separate accounts for funds from different sources;
- ❑ *Demonstrate financial reliability through the production of official annually audited financial statements;*
- ❑ Willing to adhere to the rules and procedures of UNHCR and WFP for project implementation, to follow the jointly agreed policies of UNHCR and WFP, and to comply with national laws and the policies of the host government.

Additional criteria:

- ❑ *Quality of service: demonstrated previous ability to deliver assistance/services effectively in the same country or in a similar situation elsewhere;*
- ❑ *Rapid response: able to respond and adapt at short notice; able to be involved in the planning stage;*
- ❑ Local experience: able to build on existing experience and contacts in the country and expand operations to the refugees;
- ❑ Commitment to humanitarian principles including respect for human rights, impartiality, and actively seeking to minimize actual or potential conflicts;
- ❑ Contribution of resources: a willingness and ability to commit some of their own resources to the project in a true partnership;
- ❑ *Continuity of staff: ability to maintain staff for considerable periods of time and benefit from accumulated knowledge and personal relationships;*
- ❑ *Experience of working with refugees, UNHCR and/or WFP – an advantage but not essential;*
- ❑ *Phase out potential: the partner should be able to plan and implement a smooth phase-down of their operations, train refugees and local personnel.*

Other considerations:

- *International or national/local organization?* A national or local NGO, or an international NGO with a local affiliate, is more likely to understand the local situation and be able to operate effectively (including having appropriate language skills and recognition from local authorities), but they may lack the necessary skills...
- *Single NGO or a consortium?* Consortia that pool their resources can sometimes be very effective.

At the beginning of an operation, partners may be largely self-selected – agencies already working in the area. Subsequently, more rigorous criteria and procedures may be used in selecting partners.

ANNEXES

Annex 1: Terms of reference for an initial assessment

When there is a new influx of refugees who arrive in significant numbers and may need prompt assistance, the assessment will be undertaken in two phases:

Phase 1: a *Rapid Initial Investigation* normally within 2-3 days

Phase 2: a *Detailed Initial Assessment* normally within 2-3 weeks

The following is a framework for terms of reference (TOR) for the two phases. They should be adapted according to what is known about the local situation at the time when the assessment is being planned. The TOR for the phase-2 detailed assessment should be refined on the basis of the findings of the rapid initial investigation.

Simultaneously, UNHCR, working with the government and other partners, will normally be initiating appropriate pre-registration procedures and site planning, and organizing assessments in the health, water and sanitation, and community services sectors.

Objectives

Phase-1: rapid initial investigation (2-3 days)

- to determine whether the refugees need immediate food assistance and/or other forms of assistance to prepare food and ensure their survival and well-being in the short term and, if so, to define (for the next 15-30 days): the number of people to be provided for, the types and quantities of food and related assistance required, how that assistance can be delivered, and how and by whom it should be distributed;
- to begin compiling data that will be required for operational planning, and enable preliminary information to be provided to donors concerning the scale of the assistance that could be required in the coming weeks and months;
- to identify the localities and priority topics on which the follow-on detailed assessment should focus;
- to identify factors that could positively or negatively influence possibilities for self-reliance (e.g. location, proximity of markets, access to water, fuel-wood, etc.), bring constraints to the notice of the authorities who are determining the locations for refugee camps and settlements.

Phase-2: detailed initial assessment (2-3 weeks)

- to determine what measures are necessary and what assistance is required to ensure that the refugees: (i) have access to food that is adequate in quantity and quality to meet their nutritional needs, and to related non-food supplies, services and protection to maintain (or restore) nutritional health in the next 6-12 months, and (ii) progressively achieve the maximum possible level of sustainable self-reliance pending a durable solution (avoiding damaging or undesirable survival strategies);
- to define the types of food and food-security related assistance⁴⁸ required; the number of people to be provided for; how the food and related assistance should be delivered, targeted and distributed; how initial assistance to self-reliance should be provided;
- to assess the logistic (transport, storage and handling) means and management capacities available to acquire in-country supplies, receive imported supplies, deliver supplies to the refugee sites, and maintain operational reserve stocks, with proper accountability and minimum losses throughout the supply chain, including any logistic constraints to be considered in the design of the overall programme;

⁴⁸ "Related assistance" includes whatever may be needed to: (i) ensure that refugees are able to prepare and cook their food, i.e. utensils, stoves, cooking fuel, water; (ii) address factors that undermine nutritional status (e.g. inadequate shelter, clothing, blankets, water quantity, water quality, sanitation, feeding practices, access to health care including essential drugs...); and (iii) enhance self-reliance – see 7.7.

- to determine whether immediate measures are necessary and, if so, what assistance is required to: (i) ensure that the food security of the local host population and the natural resource base of the area are not undermined by the self-reliance and fuel-wood collection activities of the refugees, and (ii) address any acute food shortages or malnutrition among the local population;
- to identify and assess the resources and capacities of potential implementing partners to undertake food distribution, self-reliance and monitoring activities;
- to assemble the data required for operational planning and budgeting, and to initiate implementation: this includes data on key indicators necessary to establish a baseline against which programme performance can be measured, to the extent possible;
- to enable specific, credible project proposals (for the next 6-12 months) to be elaborated and submitted to donors for funding.

If needs are urgent and there are no partners or other staff in the locality able to arrange to acquire supplies locally and/or receive supplies sent from elsewhere in the next few days, and to organize initial distributions, the assessment team may have to fulfil these responsibilities while also continuing with the assessment.

Methodology

Phase-1: rapid initial investigation (2-3 days)

Information should be collected and compiled through a combination of:

- Contacts with the responsible national and/or regional authorities.
- Reviewing any information already available on the new refugees and their situation (including reports from local authorities, other organizations and journalists).
- Quick preliminary meetings with local authorities, NGOs and other organizations already working or in contact with the refugees.
- Interviews with a few local community leaders, health officials, public health workers, market traders, truck drivers who are transporting the refugees, and other 'key informants'.
- Visits to the locations where the refugees are installed, or are arriving, to:
 - observe general conditions at the site, in household or communal shelters, in cooking areas, around water sources, in toilets/defecation areas, in storage areas on or near the site;
 - observe food and water availability and cooking arrangements at household level, any assistance operations already underway, and local markets;
 - meet with identifiable refugee leaders, including women;
 - discuss with groups of refugees, men and women, in different parts of the settlement.
- Quick preliminary visits to local markets, grain merchants, grain mills, truck parks, railway yards, airports, transport companies and warehouses in the area.

Phase-2: detailed initial assessment (2-3 weeks)

Information should be collected and compiled by the assessment team through a combination of:

- Reviewing and analysing available reports on (i) the numbers and the situation of the refugees in different locations, (ii) their backgrounds, skills and capacities, (iii) the progress of food and related assistance programmes underway, and (iv) the situation and any continuing population movements in the country origin.
- Meetings with local authorities, NGOs and other organizations working with the refugees (following up on meetings during the rapid initial investigation and meeting additional organizations).

- Visits to refugee settlements and reception centres that were not visited during the preliminary rapid investigation and, when needed, follow-up visits to those that were visited during the first few days:
 - meetings with site managers, the personnel responsible for food, health, water, sanitation and community services, and with refugee leaders and representatives involved in the implementation of food and nutrition-related programmes;
 - meetings/focus group discussions with groups of refugees – men, women, young people –representing distinct socio-economic subgroups identified within the population;
 - detailed inspection of general conditions at the site, in household or communal shelters, in cooking areas, around water sources, in toilets/defecation areas, in storage areas on or near the site;
 - observation of food and water availability and cooking arrangements in a sample of households, and informal discussions with women, men and children in the household;
 - observation of food distribution operations and any selective feeding programmes already underway;
 - visits to clinics and discussions with health workers;
 - observations, and discussions with traders, in markets within the settlement and in the vicinity;
- Interviews with local community leaders, health officials, public health workers, market traders – meetings with a larger sample of ‘key informants’ than contacted during the rapid initial investigation .
- Visits to local food markets, grain mills, truck parks, railway yards, airports, transport companies and warehouses in the area, and:
 - discussions with managers/traders;
 - observation of operations;
 - inspection of facilities and records;
- Visits to (and/or contacts with reputable clearance and forwarding agents at) ports, airports, border crossings, and possible transshipment and primary storage locations in other parts of the country through which supplies may have to pass.

Before leaving each location/area, discussion with the local authority, local leaders, major NGOs and refugee leaders, of the team’s observations and tentative conclusions concerning immediate food and related needs, and recommendations for action (including targeting and distribution mechanisms).

The analysis should do the following, demonstrating how the conclusions derive from the information available and presented:

- determine whether there are distinct, identifiable groups within the refugee population who need different forms or levels of food and related non-food assistance, and whether there are criteria and distribution methods and capacity available to target the assistance according to need;
- determine the average nutritional requirements of the refugees taking account of demography, activity levels, temperature and their general health and nutritional status;
- determine the extent to which the refugees, or different groups among them, can meet the food needs of their families now and during the next 6-12 months, and hence determine the level of assistance needed (as a proportion of the refugees’ nutritional requirement) the form the assistance should take and how it should be targeted;
- identify the ways in which the refugees access to sufficient appropriate food can be assured during the next 6-12 months and, where there are alternatives, the pros, cons and implications of each;

- determine whether there are any possibilities for increasing the refugee's self-reliance in the next 6-12 months, and what measures and inputs would be required;
- identify the factors inhibiting, or likely to be inhibiting, the effective and efficient use of available food, and measures that could reduce those factors;
- identify the factors that could be contributing to observed malnutrition, and possible measures to address those factors;
- determine the logistic feasibility of delivering the required quantities of supplies to the refugees' locations and specify: (i) any logistic constraints⁴⁹ that must be taken into account, at least initially, in the design of the programme, and whether and when those constraints might be eased, and (ii) the risks that could be involved;
- propose the indicators of the food situation and related concerns that should be monitored on an ongoing basis during the coming months.

Required output

Phase-1: rapid initial investigation (2-3 days)

A concise report (4-5 pages) that:

- summarizes the preliminary findings;
- proposes a WFP Immediate-Response EMOP, if appropriate, and/or any action to be taken by UNHCR in relation to non-food items (including cooking fuel), community mobilization, etc.;
- specifies (when possible) the locations/areas and the particular priority topics that the follow-on detailed assessment should focus on;
- indicates (to the extent possible) how the situation may develop in the coming weeks.

Phase-2: detailed initial assessment (2-3 weeks)

A concise report that:

- summarizes the findings and analysis, specifying any uncertainties due to data limitations (quoting margins of error, when possible, and providing ranges rather than absolute figures, when appropriate);
- describes possible scenario(s) for the next 6-12 months and proposes (i) a set of core planning assumptions and (ii) the contingencies for which specific contingency plans should be prepared;
- presents the pros, cons and implications of various possible measures and assistance interventions that could improve the food security and self-reliance of the refugees, and address any problems of malnutrition;
- highlights any inter-dependence between food aid and non-food interventions;
- presents (when relevant) similar information concerning measures needed to protect or enhance the food security and nutritional status of the local host populations;
- demonstrates (where appropriate) how food aid and the manner in which food aid is distributed, together with complementary non-food measures, can also contribute to protection and other objectives (including UNHCR's and WFP's commitments to women);
- describes the logistic system/arrangements envisaged, any logistic constraints and any measures proposed to increase capacity, and provides initial cost estimates;
- proposes specific objectives, including the outlines of a strategic plan for food security and self-reliance, and provides specific recommendations for actions to be taken by the government, WFP, UNHCR and other partners, and for coordination;

⁴⁹ Constraints may be ceilings on the quantities that can be delivered to particular locations, or the need to prioritise nutrient-dense foods for airlifts.

- specifies for food assistance:
 - a planning figure for the number of persons to be provided with specific levels of food assistance during the next 6-12 months, and appropriate targeting/selection and distribution methods;
 - the types of food required, the ration (or rations for different groups), the total quantities of each commodity and the required delivery schedule, arrangements for milling (when necessary);
 - how/by whom supplies will be received and distributed;
 - the related assistance (e.g. utensils, water containers, cooking fuel, etc.) necessary to ensure that the food supplied can be efficiently used by the refugees;
 - cost/budget estimates;
- specifies any aspects requiring further assessment, including specific in-depth studies if necessary, and aspects (including specific indicators) that should be monitored on an ongoing basis (including population movements, nutritional status, etc.).

Before finalizing the report, the provisional conclusions and recommendations should be presented to the host Government, other concerned UN-agencies, the major donors and key NGOs in a specially-convened wrap-up meeting, in order to benefit from last-minute contributions and with a view to securing the endorsement of all these parties and their support for the recommendations, if possible.

The final report should be:

- prepared following the format attached [... *developed from the outline in [annex 3](#) ...*]
- concise – generally not more than 20 pages plus tabulated data in annexes
- submitted to the UNHCR Representative and the WFP Country Director by [... *date ... usually within 10 days of completion of field visits ...*]

Annex 2: Terms of reference for a periodic joint review/re-assessment

The following is a sample framework for the terms of reference (TOR) for a review/re-assessment process and mission. In each case, the TOR must be specifically adapted not only to the needs of the local situation but also to the particular focus of the exercise, see [3.2](#).

Objectives

Objectives may include elements such as the following:

- a) to determine whether and how the performance of the ongoing operation can be improved in relation to the defined objectives for the food security, nutritional status, self-reliance and the general well-being of the refugees and host populations;
- b) to identify the positive elements on which to build and any specific problems and constraints that may be impeding the achievement of objectives, and propose solutions;
- c) to determine whether the present objectives remain appropriate in the light of the current situation and prospects for a durable solution, and propose modification if needed;
- d) to develop or update a strategic plan for self-reliance – to determine what new measures are necessary and what continuing assistance is required to ensure that the refugees achieve the maximum possible level of sustainable self-reliance pending a durable solution, and identify possibilities for the involvement of governmental, UN and NGO development agencies and linkages with development programmes in the area;
- e) to develop or update the strategy for food and related assistance – to determine what new measures are necessary and what continuing assistance is required to ensure that the refugees have access to food that is adequate in quantity and quality to meet their nutritional needs and to related non-food supplies, services and protection to maintain nutritional health in the next 12-24 months and avoid damaging or undesirable coping strategies;
- f) if a process of voluntary repatriation could be initiated in the near future, to define the food and other support that should be provided to the repatriation operation, as described in 5.3;
- g) to determine what measures are necessary and what further assistance is required in the next 12-24 months to: (i) ensure that the food security of the local host population and the natural resource base of the area are not undermined by the self-reliance and fuel-wood collection activities of the refugees, and (ii) address any acute food shortages or malnutrition among the local population;
- h) to review the performance and efficiency of the logistic (transport, storage and handling) system and management, the losses incurred, the levels and condition of operational reserve stocks, risks, and possibilities to reduce risks and increase performance and efficiency;
- i) to examine ...[...*specified problematic issues*...]... and propose solutions/provide recommendations;
- j) to define the types of food and related assistance (including assistance for self-reliance) required during the next 12-24 months; the number of people to be provided for; how the food and related assistance should be delivered, targeted and distributed; how assistance for self-reliance activities should be provided;
- k) to enable specific, credible project proposals (for the next 12-24 months) to be elaborated and submitted to donors for funding.

In case of a *regional operation*, standard methods of enquiry and assessment should be used in all countries to ensure maximum comparability between findings, but recommendations should be tailored to the specific situation in each country.

Methodology

Information should be collected and compiled by the assessment team through a combination of:

- Reviewing and analysing available reports on (i) the numbers and the situation of the refugees in different locations and any recent movements, (ii) their backgrounds, skills and capacities, (iii) the effectiveness and efficiency of current food and related assistance programmes, (iv) the current health and nutrition situation and factors influencing health and nutritional status, (v) natural resource potential, particularly fuel-wood, (vi) security, protection and gender concerns.
- Meetings with relevant national, regional and local authorities, NGOs and other organizations working with the refugees in food and related programmes (including self-reliance).
- Visits to all, or a representative sample of, refugee sites for:
 - meetings with site managers, the personnel responsible for food, health, water, sanitation and community services, and with refugee leaders and representatives involved in the implementation of food and nutrition-related programmes;
 - meetings/focus group discussions with groups of refugees – men, women and young people/adolescents –representing distinct socio-economic subgroups identified within the population;
 - discussions with refugees engaged in self-reliance activities;
 - inspection of general conditions at the site, in household or communal shelters, in cooking areas, around water sources, in toilets/defecation areas, in storage areas on or near the site;
 - observation of food and water availability and cooking arrangements in a sample of households, and informal discussions with women, men and children in the household;
 - observation of food distribution operations, selective feeding programmes operations and self-reliance activities;
 - visits to clinics, schools and other community services; discussions with health workers, teachers and community service workers;
 - observations in markets within the settlement and in the vicinity, and discussions with traders.
- Meetings with local community leaders, health officials, public health workers, agricultural extension officers, market traders.
- Visits to warehouses and key locations in supply and logistics chain, and other facilities that could be used:
 - discussions with managers/traders;
 - observation of operations;
 - inspection of facilities, the condition of food stocks, and records.

Before leaving each location/area, discussion with the local authority, local leaders, major NGOs and refugee leaders, concerning the team's observations and tentative conclusions concerning immediate food and related needs, and recommendations for action (including targeting and distribution mechanisms).

Analysis should:

- Document the progress of actions taken to implement the recommendations of the last assessment or review and the related Joint Plan of Action (including any amendments or addendums to it), including the reasons for lack of progress;
- Identify any aspects on which there are disagreements on matters of fact or on the interpretation of available data, check the plausibility of data and try to resolve discrepancies or differences of interpretation;

- Determine whether current targeting and distribution arrangements succeed in providing assistance to different groups of refugees according to need, and whether there are alternative methods that could be more effective and efficient;
- Determine whether the rations distributed have enabled refugees to meet their nutritional requirements and what the effects have been of any failure to deliver the planned rations;
- Determine the extent to which the refugees, or different groups among them, are able to meet the food needs of their families and how the level of self-reliance can be expected to change during the next 12-24 months, whether there are any possibilities for increasing the refugee's self-reliance and what measures and inputs would be required;
- Identify the ways in which the refugees access to sufficient appropriate food can be assured during the next 12-24 months and, where there are alternatives, the pros, cons and implications of each;
- Identify factors that assure or inhibit the receipt of food rations by vulnerable/at risk individuals, and measures that could reduce inhibiting factors;
- Identify factors contributing to or inhibiting the effective and efficient use of available food, and measures that could reduce inhibiting factors;
- Identify factors that could be contributing to any observed malnutrition, and possible measures to address those factors;
- Identify factors contributing to or inhibiting the effectiveness of supplementary and therapeutic feeding activities, and measures that could reduce inhibiting factors;
- Determine the effectiveness and efficiency of logistic arrangements and the level of losses in the supply chain, and identify ways of increasing efficiency, reducing losses and overcoming any logistic constraints;
- Assess the usefulness and relevance of indicators used for monitoring and, if needed, propose revised indicators of the food situation and related concerns that should be monitored in future;
- *For countries covered by a regional WFP operation (EMOP or PRRO):* determine whether allocations of food and related resources to the different countries were appropriate, and resources able to be switched in response to changing needs.

Required output

A concise report that:

- summarizes the findings and analysis, specifying any uncertainties due to data limitations;
- highlights the changes that have occurred in the general situation since the last joint assessment/review;
- describes the extent to which previous recommendations have been implemented, the outcomes of those actions and/or the reasons for no action;
- analyses the particular problematic issues identified in the TOR, and any that may have been identified during the review/re-assessment process, and proposes solutions;
- describes the prospects for durable solutions and the probable scenarios for the next 12-24 months, and proposes (i) a set of core planning assumptions and (ii) the contingencies for which specific contingency plans should be prepared;
- presents the pros, cons and implications of various possible measures and assistance interventions that could improve the food security and self-reliance of the refugees, address any problems of malnutrition and contribute towards durable solutions, in the next 12-24 months;
- highlights any inter-dependence between food aid and non-food interventions;
- presents similar information concerning any measures needed to protect or enhance the food security and nutritional status of the local host populations;

- demonstrates (where appropriate) how food aid and the manner in which food aid is distributed, together with complementary non-food measures, can also contribute to protection and other objectives;
- describes any logistic constraints and proposes measures to increase capacity and efficiency, where possible, and provides cost estimates for those measures;
- provides, in light of all the above, recommendations for specific objectives and a strategic plan for food security and self-reliance for the next 12-24 months, and the corresponding actions to be taken by the government, WFP, UNHCR and other partners;
- specifies for food assistance:
 - a planning figure for the number of persons to be provided with specific levels of food assistance during the next 12-24 months, and appropriate targeting mechanisms;
 - the types of food required, the ration (or rations for different groups), the total quantities of each commodity and the required delivery schedule;
 - how/by whom supplies will be received and distributed, and action to be taken to build capacity;
 - the related assistance (e.g. utensils, water containers, cooking fuel, etc.) necessary to ensure that the food supplied can be efficiently used by the refugees;
 - cost/budget estimates.

Before finalizing the report, the provisional conclusions and recommendations should be presented to the host Government, other concerned UN-agencies, the major donors and key NGOs in a specially-convened wrap-up meeting, in order to benefit from last-minute contributions and with a view to securing the endorsement of all these parties and their support for the recommendations, if possible.

The draft final report should be prepared following the format [...*attached* (see [annex.3](#))...] and be submitted to the UNHCR Representative and the WFP Country Director by [...*date ... within 10 days of the wrap-up meeting at the end of the mission ...*] and the report be finalized by [...*date ... within 30 days of the wrap-up meeting...*].

Annex 3: Format for the report of a joint assessment/review

The format below would be for a comprehensive initial assessment or review/re-assessment. It must be adapted to the terms of reference of the exercise and the needs of the particular situation. Some headings may be modified or removed; others may be added.

An annotated format, indicating the kinds of information that may be included under each heading, as and when appropriate, is provided in [7.2](#).

- a) Executive summary (including main recommendations) *[1-2 pages]*
- b) Methodology

PART 1 – BASIC FACTS

- c) Refugee numbers and demography
- d) General context
- e) Health and nutrition situation; environmental conditions

PART 2 – FOOD SECURITY & SELF-RELIANCE

- f) Food access and use
- g) Food aid targeting, distribution and monitoring
- h) Selective feeding programmes
- i) Food supplies
- j) Self-reliance opportunities
- k) Food and self-reliance strategies

PART 3 – NON-FOOD AND OTHER RELATED CONCERNS

- l) Non-food items – requirements and distributions
- m) Community services
- n) Gender and protection concerns

PART 4 – LOGISTICS

- o) Logistics

PART 5 – PARTNERSHIPS, PLANNING AND OTHER ISSUES

- p) Partnerships and coordination
- q) Specific issues
- r) Contingency planning

PART 6 – OPTIONS AND FINAL RECOMMENDATIONS

- s) Programme options
- t) Final recommendations

ANNEXES

Mission TOR, maps, statistics* and graphs relevant to various aspects mentioned above.

For a review/re-assessment: Matrix (format below) summarizing action taken on previous recommendations:

1	2	3
<i>Recommendation</i>	<i>Action taken, and when (specify and explain any difference from the recommendation)</i>	<i>Results</i>

For all joint assessments/reviews: Draft JPA matrix (format below) – columns 1, 2, 3 and 6 should be completed, if possible.

1	2	3	4	5	6	7
<i>Recommendation</i>	<i>Priority high/low</i>	<i>Action Required</i>	<i>Est. cost (US\$)</i>	<i>Responsibility</i>	<i>Time frame</i>	<i>Action taken</i>

☞ For an example of a JPA matrix, see *Tanzania JPA 2003*, on the CD-ROM

* Data on the following 'results' indicators should be included, when possible:

- Mortality (crude and under-5 mortality rates).
- Child malnutrition: the % of under-5 children < -2 SD Z-scores weight-for-height (or < 80% weight-for-height), broken down boys/girls.
- Malnutrition among adult women: the % of women < 18.5 BMI and/or % of low-birth-weight babies.
- Prevalence of anaemia among pregnant and lactating women, and children.
- Food available at household level: kcals/person/day.
- Number of children reached through selective feeding.
- Number of pregnant and lactating women reached through selective feeding.
- Where school feeding is implemented: numbers of boys and girls enrolled; percentages of school-age boys and girls enrolled; ratio of girls to boys enrolled; percentages of boys and girls attending at least 80% of the school year; teachers' perceptions of children's ability to concentrate and learn as a result of school feeding.

Other 'results' data that should be reported on, when available, are indicated in the various sections of [chapter 9](#).

Annex 4: Terms of reference for an in-depth assessment of food security and self-reliance

The following is a typical framework for the terms of reference (TOR) for a comprehensive, in-depth assessment of food security and self-reliance. In each case, the TOR must be specifically adapted to the needs of the local situation and the particular focus of the exercise, see [chapter 5](#).

Objectives

Depending on the situation and the phase of the assistance operation, an in-depth assessment of food security and self-reliance may be very comprehensive (broad in scope) or focused on particular aspects. Objectives will be defined accordingly. They may include some or all of the following:

- a) *Food-security/livelihood groups:*
 - To identify socio-economic groups within the refugee population that have different food security and coping/survival strategies, estimate their numbers, and recommend whether and how assistance should be designed and targeted separately to the different groups.
- b) *Current levels of food security/self-reliance:*
 - To determine the extent to which households in each distinct socio-economic group can meet their own food needs in a sustainable manner while also meeting their other essential needs and without engaging in strategies that are illegal or anti-social, that expose the refugees to personal risk, or that undermine their own long-term food security or that of the local, host population.
- c) *Food consumption and use:*
 - To determine what households in each socio-economic group are actually eating, the use they are making of the food aid and other resources currently available to them (including trade/exchange with host populations), any problems in the use of particular items or the preparation of foods for family meals and for young children, sick and elderly people, and make recommendations for any changes in current food and related assistance.
- d) *Potential and risks for self-reliance and food security:*
 - To identify factors – legal, physical, economic, social, cultural and seasonal – that influence (facilitate or constrain) the refugees' ability to become more self-reliant;
 - To identify factors that could change the amounts of food and/or income that refugees currently obtain through their own efforts and from sources other than food aid, and estimate the amounts that could be gained/lost as a result for each distinct population group/category;
 - To determine the impact of training and other activities already implemented with the aim of increasing self-reliance;
 - To identify opportunities which are, or could become, available to households in the different locations and/or socio-economic groups to enhance their levels of self-reliance, and any limits on those opportunities;
 - To assess market conditions, including any recent changes and trends in prices and volumes of items traded, and the possibilities for refugees to continue and increase purchases food, or the sale of labour, other services and any goods they may produce;
 - To determine the capacities of the different socio-economic groups to exploit available opportunities and the support (if any) needed for them to do so; estimate the amount by which their self-reliance could be increased and specify when the increase could be realized; and

- To make recommendations for: (i) measures and specific assistance inputs to enhance self-reliance, (ii) measures and inputs to reduce risks to existing and/or future self-reliance activities, and (iii) targeting mechanisms and critical timing considerations for the provision of inputs and the implementation of other measures.
- e) *Scenarios of the effects of change:*
- To determine the likely effects on different population groups of contingencies such as changes in government regulations, reduced distributions due to pipeline interruptions, or changes in food basket composition or targeting criteria.

Methodology

Information should be collected and compiled by the assessment team through a combination of:

- Reviewing and analysing available reports on (i) the numbers and the situation of the refugees in different locations and any recent movements, (ii) their backgrounds, skills and capacities, (iii) the food security situation and levels of self-reliance, (iv) local market prices of food and items that could be produced by the refugees, (v) the potential for increased self-reliance, and (vi) the progress and impact of agricultural, income-generation and other projects to increase self-reliance.
- Reviewing UNHCR and WFP monitoring reports, and meeting with field monitors.
- Visits to all, or a representative sample of, refugee sites for:
 - meetings with site managers, the personnel responsible for food and self-reliance activities and community services, and with refugee leaders and representatives involved in the implementation of food and self-reliance programmes
 - meetings/focus group discussions with groups of refugees – men and women – representing distinct socio-economic subgroups identified within the population
 - observation of self-reliance activities and discussions with refugees engaged in self-reliance activities
 - observations in markets within the settlement, and discussions with traders
- Visits to local and regional markets; meetings with market traders and transporters.
- Meetings with leaders and members of the local (host or neighbouring) communities, agricultural and other extension officers, and those responsible for the implementation of development programmes in the area.
- Meetings with relevant national, regional and local authorities, NGOs and other organizations working with the refugees in self-reliance and related programmes, and those responsible for development planning.

Before leaving each location/area, discussion with the local authority, local leaders, major NGOs and refugee leaders, of the team's observations and tentative conclusions concerning possibilities for self-reliance, and recommendations for action (including targeting mechanisms).

Analysis should:

- Determine (i) the extent to which different groups of refugees are presently able to meet the food needs of their families, (ii) how the level of their self-reliance based on current strategies can be expected to change during the next 12-24 months, and (iii) the vulnerability of their self-reliance to foreseeable risk factors.
- Identify the factors inhibiting the effective and efficient use of available food, and measures that could reduce those constraints.
- Highlight the principal opportunities which are, or could become, available to households in the different locations and/or socio-economic groups to enhance their levels of self-reliance, including through their integration in local development activities, and the limits on those opportunities;

- Determine the capacities of the different socio-economic groups to exploit available opportunities, estimate the amount by which their self-reliance could be increased, and specify when the increase could be realized;
- Identify the specific measures and assistance inputs that would enhance self-reliance and/or reduce risks to existing or future self-reliance activities, and specify the periods within which particular measures need to be taken and the inputs made available to the beneficiaries in order to have the desired impact;
- Identify possible targeting and implementation mechanisms for assistance to enhance self-reliance, and the pros and cons of each option.

Required output

A concise report that:

- summarizes the above information and analysis, specifying any uncertainties due to data limitations;
- highlights the changes that have occurred since the last in-depth assessment/review of food security and self-reliance (if any);
- presents the various possible measures and assistance interventions that could improve the food security and self-reliance of the refugees, and contribute towards durable solutions, in the next 12-24 months, and the pros, cons and implications of each;
- provides recommendations for specific objectives for the next 12-24 months and the corresponding actions to be taken by the government, WFP, UNHCR and other partners to protect and increase self-reliance (including cost estimates, if possible).

A draft report should be submitted to UNHCR and WFP by [...*date* ... *within 15 days of the completion of field work* ...], and the main findings and conclusions be presented to the steering committee. The report should then be finalized taking account of the feed back provided.

The final report should be prepared following the format [...*in [annex 5](#)*...] and be submitted to the UNHCR Representative and the WFP Country Director by [...*date* ... *within 15 days of the meeting with the steering committee*].

Annex 5: Format for the report of an in-depth assessment of food security and self-reliance

The following is a typical format for the report of a comprehensive assessment of food security and self-reliance. It must be adapted to the needs of the particular situation and the terms of reference of the exercise.

- a) Executive summary (including main recommendations)
- b) Background (problem and context)
- c) Objective(s) of assessment/study
- d) Methodology
 - o how the assessment was conducted, the numbers of sites visited and people/groups interviewed and how they were selected, how data were verified, the sources of secondary data, and the confidence/uncertainty in the data
 - o the analytical approach used (e.g. household economy, livelihoods, other)
- e) Findings
 - Food security/livelihood groups – distinctions and targeting possibilities
 - Current levels of self-reliance – food sources, income, expenditures, assets and debts
 - Food consumption and use
 - Potential and risks for self-reliance and food security – political, economic and social factors; constraints, opportunities and capacities; links with development programmes and plans for the area, etc.
- f) Options and recommendations – practical and achievable actions, including targeting criteria and methods of applying the proposed selection criteria

When data/information relevant to any of the items listed in the terms of reference are not available, or are inadequate, the report should state this and explain why, whether and when the data may become available, and what has been initiated (or needs to be done) to obtain them.

The report should specify the sources of the secondary data used/quoted.

Annex 6: Memorandum of understanding between UNHCR and WFP

1. Introduction

1.1 Even before the conclusion of the 1985 Memorandum of Understanding (MOU), UNHCR and WFP had established a very close partnership in the service of refugees. This was significantly strengthened with the new working arrangements introduced progressively from the start of 1992. A revised MOU, reflecting experience with these new arrangements, became effective at the start of 1994 and was further revised in 1997. This 2002 revision reflects the experience in implementing the provisions of the second revision.

1.2 The MOU sets out its objectives and scope, and establishes the division of responsibility and arrangements for, *inter alia*, needs assessment; resource mobilization; logistics; appeals; monitoring and evaluation; nutritional surveillance, reporting, and coordination. The last section describes the general conditions governing the MOU.

1.3 By virtue of its Statute (General Assembly resolution 428 (V) of 14 December 1950), the role of UNHCR is to provide international protection to refugees and to seek durable solutions to refugee problems. As regards UNHCR's assistance activities, the basic provisions of the Statute were expanded by the General Assembly in its resolution 832 (IX) of 21 October 1954. Subsequent resolutions of the General Assembly, the Economic and Social Council and the Executive Committee of UNHCR have called on the Office, in the context of its basic mandate, to protect and assist other groups of persons regarded as falling within the competence of UNHCR. For the purpose of this MOU, the following categories of persons are of concern to UNHCR:

- *Refugees*

UNHCR is mandated to provide international protection and humanitarian assistance to refugees as well as to promote durable solutions to their problems.

- *Asylum seekers*

The term *asylum seeker*, in the context of this MOU, refers to persons who are part of large-scale influxes of mixed groups, the nature of which makes individual refugee status determination impractical. UNHCR is mandated to promote the right of all persons, whether individually or as part of mass movements, to seek and to avail themselves of asylum, until a solution is found and in accordance with basic humanitarian standards of treatment.

- *Returnees*

UNHCR's mandate concerning returning refugees, based on its legitimate concern for the consequences of return, includes substantive involvement to ensure that return takes place in conditions of safety and dignity and to provide assistance to returnees in their country of origin with an aim towards their full reintegration. UNHCR's activities in favour of returnees are limited in time and aimed at ensuring the sustainability of returns, and vary according to each operation. UNHCR's involvement may be determined by specific tripartite or bilateral agreements with respective countries that outline the framework of voluntary repatriation operations.

- *Internally displaced persons (IDPs)*

UNHCR's involvement with IDPs is selective, applying to persons displaced internally for reasons that would make them of concern to UNHCR had they crossed an international boundary. In line with relevant General Assembly resolutions, UNHCR's involvement in any IDP situation is based on a specific request from the Secretary-General or a competent principal organ of the United Nations, the consent of the State or other entities concerned, and the availability of adequate resources.

1.4. WFP is mandated to feed the hungry poor, regardless of their status. As the food aid arm of the United Nations, WFP uses food to save lives, alleviate hunger and enable poor, food-insecure people to make investments that will help them in the longer term. This entails assessing the needs of targeted populations, planning and implementing appropriate activities, organizing and managing logistics, monitoring impact and working with a range of partners. Refugees, asylum seekers, returnees and IDPs, especially women and children, are important categories of food-insecure people of particular concern to WFP, given the impact of displacement on food security.

1.5 Under the framework of this MOU, UNHCR and WFP will work together, in partnership, where their mandates overlap, to address the food security and related needs of refugees and others of concern to UNHCR.

2. Objectives And Scope

2.1 The ultimate goal of the partnership between UNHCR and WFP is to ensure that food security and related needs of the refugees and returnees that UNHCR is mandated to protect and assist are adequately addressed. Food security is defined as access by all people at all times to enough food needed for an active and healthy life. On the basis of the above principle, and through the timely provision of the right quantity of the right food and of non-food items relevant to the safe and effective use of the food ration provided, UNHCR and WFP seek to contribute to:

- the restoration and/or maintenance of a sound nutritional status through a food basket that meets the assessed requirements of the different population groups, is nutritionally balanced and is culturally acceptable, as jointly agreed upon and specified in Joint Plans of Action (see article 3.2); and
- the promotion of the highest possible level of self-reliance among the beneficiaries, through the implementation of appropriate programmes to develop food production or income-generation, which will facilitate a progressive shift from general relief food distribution towards more targeted assistance and sustainable development-oriented activities.

2.2 UNHCR and WFP are committed to ensuring that food aid and non-food items affecting health and food security are targeted at the household level and reach the most vulnerable, with their delivery respecting the guiding principles of humanitarian action, especially accountability and transparency. WFP and UNHCR will take measures to ensure that, to the extent possible and taking into account the demographic profile of the beneficiary population, at least 80 per cent of food inputs are directly managed by the adult female in the household. They will also work together to implement strategies to involve the beneficiary community, and particularly women, in all aspects of the management of food aid. Women should be encouraged to participate in decision-making bodies and should represent at least 50 per cent of the members in refugee committees.

2.3 UNHCR and WFP have a legitimate interest in the creation of suitable conditions for durable solutions. The promotion of self-reliance, although not a durable solution on its own, is one of the essential elements for lasting solutions. The achievement of self-reliance implies a whole range of activities aimed at socio-economic empowerment of refugees and returnees, as part of a local community. Given the need for self-reliance to be featured within a larger context of local development, WFP and UNHCR will make efforts to link self-reliance and reintegration activities to the longer-term recovery and development plans of governments and other actors.

2.4 The MOU is a management tool that contributes to the achievement of these objectives by recognizing the mandates of each organization and defining clearly the responsibilities and arrangements for cooperation between UNHCR and WFP. It does so in a way that maximizes the strengths of each organization and builds on their comparative advantages in arrangements for cooperation that provide both added value for the beneficiaries and the discharge of these mandates and responsibilities.

2.5 The MOU covers cooperation in the provision of food aid and related non-food items to refugees (including asylum seekers), returnees and, in specific situations (as defined in article 1.3) to IDPs. It applies when the number of people in need of food assistance in a given country is at least 5,000, unless otherwise determined and agreed upon by WFP and UNHCR on a case-by-case basis. Where the beneficiaries are located in developed countries,⁵⁰ the provisions of the MOU will still apply, provided that the availability of the necessary donor resources is not at the expense of WFP's relief operations in developing countries. This will be determined by WFP on a case-by-case basis.

2.6 UNHCR and WFP will separately meet the food needs of persons of their concern that lie outside the scope of the MOU as defined above, as well as the needs of any persons who, while falling within the MOU's scope, have been excluded by a situation-specific agreement.

3. Planning and Needs Assessment

Contingency planning

3.1 UNHCR and WFP will establish early-warning systems, undertake contingency planning and maintain contingency plans for countries where this is deemed appropriate. Each will seek to ensure joint participation of others concerned in the process, and share relevant contingency plans where these can not be developed jointly.

Plan of Action

3.2 At the field level, a Joint Plan of Action setting out the agreed-upon objectives and implementation arrangements for operations under this MOU shall be developed at the onset of each joint operation and updated regularly, at least annually.

Registration/verification

3.3 The host government is primarily responsible for determining the number of refugees. In the context of its protection mandate, UNHCR will fully support the government in processes relating to the determination of refugee status and the registration of and provision of identity cards to refugees. WFP and UNHCR will jointly assess the number of refugees/returnees eligible for food assistance, in consultation with the government concerned. An accurate identification of beneficiaries and a sound assessment of their needs are essential for the mobilization and efficient use of the resources made available to both organizations.

3.4 In normal circumstances registration will take place within three months of the start of a major influx. The size and nature of the influx will determine the type of registration mechanism to be used. UNHCR will work together with the government to put in place local arrangements to register, to the extent possible, any new arrivals, departures, births, changes in marital status and deaths. This will ensure that changes in the family size of the beneficiaries of food items are followed by a corresponding change in family rations. Where a satisfactory registration has not been possible within three months, UNHCR and WFP will jointly determine the number of beneficiaries in need of food assistance and estimate the demographic breakdown of the population, in consultation with the host government. Beneficiary numbers and the refugee food security situation will be jointly updated regularly, at least annually, unless otherwise agreed upon by the country offices. The timing of the registration, verification or revalidation exercise will be agreed upon at the country level in the Joint Plan of Action.

⁵⁰ Countries other than those listed in the OECD/DAC Annual Report as aid recipient countries that fall below the threshold for World Bank loan eligibility.

3.5 UNHCR will fully involve WFP in the planning and execution of refugee enumeration, registration and verification exercises for actual or potential beneficiaries of food aid and related non-food items. Operational partners and representatives of donor governments should be closely associated with this and other aspects of enumeration and registration. Should there be any disagreement between the respective country offices on the number of beneficiaries to use in the absence of a satisfactory initial registration, the matter shall be referred to the respective regional bureaux for resolution. Pending such resolution, and in consultation with the host government, WFP will provide food to the number of beneficiaries it estimates to be in need of assistance.

Needs assessment

3.6 In consultation with the relevant government authorities, donor representatives, operational partners, beneficiaries, and experts as appropriate, UNHCR and WFP will jointly assess the overall food aid and related non-food requirements. Both agencies will agree on the modalities of food assistance, the composition of the food basket, ration size, duration of assistance, and related non-food inputs. Special consideration will be given to the needs and views of women, children and vulnerable groups. Needs in different settlements may be established individually, if so jointly agreed upon at country level. The proposed food and non-food assistance programmes will take into account all relevant factors, including the socio-economic and nutritional status of the beneficiaries, cultural practices, overall food availability, prospects for self-reliance, availability of cooking fuels and milling facilities, and environmental impact. Energy requirements for cooking and corresponding energy supply options and quantities should be carefully assessed in each situation.

3.7 In a major new emergency, the initial assessment to determine the number of beneficiaries and the most urgent food and non-food needs will normally be carried out within the framework of the emergency response being mobilized by both agencies. This would involve the participation of emergency response teams from UNHCR, WFP and prospective operational partners, as appropriate.

3.8 In ongoing operations, a jointly led review of food and other relief needs will normally take the form of a periodic joint assessment mission (JAM), undertaken by the country offices and involving outside staff, as appropriate. The composition of the mission will be mutually agreed upon. When a consultancy is required to assess the beneficiaries' socio-economic or health situation — such as their household food economy, self-reliance potential, health behaviours, underlying causes of malnutrition and gender aspects of distribution modalities — its cost will be shared by both organizations. The participation, as full mission members, of selected donor and operational partner representatives will be encouraged so as to promote donor support for the mission's findings. Jointly established assessment mission guidelines will be developed. The JAM report will be finalized within a month of the completion of the mission, and circulated immediately thereafter.

3.9 Should either the UNHCR or the WFP country office consider that developments since the last needs assessment warrant a change in the agreed-upon ration or number of beneficiaries, the other organization shall be informed of this immediately. The implications of these developments will be reviewed jointly and a course of action agreed upon. Should the country offices not agree on a course of action, the issue shall be referred to the respective regional bureaux for appropriate and immediate resolution.

3.10 UNHCR and WFP will also consider the food security situation of communities surrounding refugee camps and of individuals and families hosting refugees, and will address these needs as appropriate.

Durable solutions

3.11 In accordance with their respective mandates, UNHCR and WFP will promote the use of assistance to encourage and build the self-reliance of beneficiaries. This will include programming food and non-food aid to support asset-building, training, income-generation and other self-reliance

activities. With the increase in self-reliance, UNHCR and WFP will carefully plan for the reduction of assistance in consultation with the government, non-governmental organization (NGO) partners and beneficiaries. Possibilities for allocating agricultural land for use by refugees will be pursued with host governments, whenever possible.

3.12 WFP will be closely associated with the planning and implementation of repatriation operations, particularly with regard to timing, security and other components that would affect food aid planning and implementation. Decisions on the use of WFP food will be taken jointly. If a repatriation commission is established by the governments concerned, UNHCR will request WFP's participation (as an observer or as otherwise agreed) in its meetings.

3.13 UNHCR, in consultation with WFP and other relevant partners, will develop reintegration strategies that help integrate refugees into their former or new communities, keeping in mind the broader food security situation of such communities as well as government policies and sensitivity. Normally, assistance provided to communities or areas is likely to be more appropriate than that provided to individuals. UNHCR and WFP will make efforts to link UNHCR's short-term reintegration programmes to longer-term development plans/programmes of the region, including those of WFP and other development actors.

Nutrition

3.14 The indicative average energy and protein requirements for human beings established by the Food and Agriculture Organization (FAO) and the World Health Organization (WHO) (2,100 kcal per person per day, with 10–12 per cent coming from protein) will be maintained as the initial planning figure to apply at the onset of any emergency situation. This figure will be adjusted as soon as possible to take into account the temperature in the area and the demographic composition, health, nutritional status and physical activity levels of the beneficiaries, as specified in the Joint WFP/UNHCR/UNICEF/WHO Guidelines for Estimating Food and Nutritional Needs in Emergencies. Other factors, such as the ability of the population to provide its own food and those factors specified in article 3.6, will also be taken into consideration when estimating the food aid needs of the beneficiaries. Agreed-upon nutritional guidelines will be used to assess the food needs for both the general and any selective feeding programmes that may be necessary.

3.15 UNHCR, through its implementing partners (health agencies), is responsible for monitoring the nutritional status of refugees and for the implementation of any selective feeding programmes that may be necessary. UNHCR will organize regular nutritional surveys and maintain an effective surveillance system for monitoring the nutritional status of refugee populations. UNHCR will ensure the full involvement and the effective participation of WFP staff in both the planning and the execution of the nutritional surveys, and in the analysis or interpretation and dissemination of the results. The nutritional status of the refugees will also be reviewed as part of a joint assessment mission. The decision to implement selective feeding programmes will be taken jointly by UNHCR and WFP on the basis of agreed-upon guidelines (WFP/UNHCR Selective Feeding Guidelines). UNHCR will keep WFP informed regularly on the implementation of such programmes. WFP, on the basis of the evaluation of its technical staff at the country and regional levels, may recommend to UNHCR specific actions in the nutrition field.

HIV/AIDS prevention

3.16 The HIV/AIDS pandemic affects the socio-economic and security situation of the beneficiaries of this MOU. In its implementation, both agencies will seize every opportunity to address the impact of HIV/AIDS on the populations of mutual concern and to promote prevention and care activities.

4. Responsibilities For Resource Mobilization And Milling

4.1 WFP is responsible for mobilizing the following commodities, whether for general or selective feeding programmes: cereals; edible oils and fats; pulses (or other sources of protein when appropriate and jointly agreed upon); blended foods; salt; sugar; and high-energy biscuits. Where beneficiaries are totally dependent on food aid, WFP will ensure the provision of blended foods or other fortified commodities in order to contribute to preventing or correcting micronutrient deficiencies.

4.2 UNHCR is responsible for mobilizing complementary food commodities when recommended by JAMs or on the basis of specific health/nutritional and/or social assessments, particularly when refugees have limited access to fresh food items. These complementary commodities include local fresh foods and therapeutic milk (to be used in selective feeding programmes). UNHCR may mobilize spices and tea, when recommended.

4.3 Within its assistance activities, UNHCR is responsible for ensuring adequate supplies of non-food items and services, in particular those relevant to the safe and effective use of food aid, such as cooking utensils, fuel, water and sanitation, medicines, soap and shelter. UNHCR and WFP should promote nutritionally and environmentally sound practices, and cooking techniques and technologies for saving fuel.

4.4 Furthermore, UNHCR and WFP will facilitate the mobilization of seeds, tools and fertilizers, in cooperation with relevant government bodies and competent United Nations and development cooperation agencies.

4.5 The joint assessment mission will determine the specific food commodities and quantities required. The assessment will also determine whether cereals are to be provided in whole grain or as flour. For practical, nutritional and environmental reasons, it is generally preferable to provide flour in the early stages of an emergency, but such provision may be difficult to sustain in protracted operations. If whole grain is provided, local milling capacity must be available. The ration should include compensation for milling costs (normally between 10 and 20 per cent of the cereals provided), if these costs are borne by the beneficiaries. WFP is responsible for mobilizing the necessary resources for milling and will provide milling facilities for the beneficiaries where feasible. Women will be particularly encouraged to play a key role in the management of the milling services, when appropriate.

4.6 WFP and UNHCR will maintain effective systems for monitoring their commodity pipelines and will keep each other closely and regularly informed, at both the country office and regional bureau levels, of any significant developments. UNHCR and WFP will consult immediately should it become clear that either organization may not be able to ensure the timely arrival (including milling) of food and non-food commodities under their responsibility, whether because of unavailability of resources, delayed deliveries, logistical problems, or other constraints. Systems should be put in place to ensure that such information is available at least three months in advance. As a consequence, appropriate remedial action will be taken jointly, such as the issuing of joint donor appeals, press statements, temporary modifications of the food basket composition to maintain the agreed-upon energy (kcal) level and any other action agreed upon at the field and regional levels.

5. Responsibilities For Food Delivery And Distribution

5.1 WFP is responsible for the timely transport to agreed-upon extended delivery points (EDPs) of sufficient quantities of those food commodities it is responsible for mobilizing (specified in article 4.1). WFP is also responsible for storing these commodities at the EDPs, and for managing the latter. WFP will keep UNHCR informed of the in-country logistic arrangements made to implement the agreed-upon programme.

5.2 UNHCR is responsible for the timely transport and for the storage of sufficient quantities of those food and non-food commodities it is responsible for mobilizing (specified in article 4.2). Unless otherwise agreed, UNHCR is also responsible for the transportation of WFP food commodities from the EDPs to the final delivery points (FDPs) and for their final distribution to beneficiaries. Responsibility is assumed ex-warehouse (i.e. EDP) or free-on-truck/free-on-rail, taking into consideration practice in the country. UNHCR will keep WFP informed of the logistical arrangements made to implement the agreed-upon programme.

5.3 The location of an EDP is proposed by the country offices, in accordance with agreed-upon Guidelines for Locating EDPs and Operating EDP Storage Facilities, and confirmed by UNHCR and WFP regional bureaux. The location selected should minimize overall costs and maximize management efficiency of the operation as a whole. EDPs should be located where sufficient warehousing space can be made available to ensure regular final distribution and the most efficient possible onward transportation, thus avoiding the need for further intermediate storage or transshipment between the EDP and the distribution location. Management and security considerations are particularly important. The distribution site should also be as close as possible to households, to minimize the burdens and risks to women managing food distribution and/or collecting the food.

5.4 Arrangements for the final distribution of food commodities to beneficiaries are agreed-upon jointly by the government, UNHCR and WFP, in consultation with beneficiaries, particularly women's committees, and in conformity with the established commodity distribution guidelines. These arrangements will respect UNHCR and WFP's policy of ensuring the maximum possible appropriate involvement of the beneficiary community, and of women in particular, in all aspects of distribution. The final distribution of food commodities will be normally the responsibility of an implementing partner of UNHCR (except in those countries selected for the pilot activities mentioned in article 5.8), whose designation shall be jointly agreed upon by UNHCR and WFP. The distribution modalities and the responsibilities of the implementing partner for reporting on the distribution and use of food commodities are the subject of a tripartite agreement among UNHCR, WFP and the implementing partner. Tripartite agreements will be signed in every joint operation. UNHCR is responsible for ensuring, in collaboration with WFP, that implementing arrangements also provide appropriate guidance to beneficiaries on their entitlements, distribution schedules and how to prepare food in a manner that minimizes cooking time and safeguards the food's nutritional content.

5.5 Bearing in mind the broader context in which the food distribution process takes place, and its impact, in particular on the protection situation of the assisted population, the country office of either UNHCR or WFP may, at any moment, request modifications to the pattern of distribution, or stop distribution altogether, if deemed appropriate. Should the country office of either agency disagree with this request, the matter will be submitted to the corresponding regional bureaux of both organizations for final joint decision. Pending this final resolution, the process of food distribution will proceed as previously agreed.

5.6 In targeted feeding programmes such as school feeding and food for work, and in non-camp situations in the country of asylum or in situations where food assistance is targeted to both IDPs and refugees, UNHCR and WFP may agree to transfer the responsibility for distribution to WFP.

5.7 There is no automatic retroactive entitlement when full distribution of the agreed-upon ration has not been possible. The decision on any exceptional retroactive distribution will be made jointly by UNHCR and WFP and will be based on substantive evidence of any negative effects of the reduced ration on refugees' well-being.

5.8 On a pilot basis and for an initial duration of 12 months (per country), WFP will assume, at its own cost, responsibility for the final distribution of the basic food ration in five refugee programmes. The pilot country programmes will be selected jointly by UNHCR and WFP based upon jointly agreed criteria and in consultation with the concerned WFP/UNHCR country teams. For the countries in which WFP will take responsibility for food distribution, WFP and UNHCR will agree on transitional provisions so as to ensure a smooth hand-over of related responsibilities. The pilot activities will be jointly evaluated. The findings of that evaluation and their implications will be the subject of further discussions between UNHCR and WFP.

5.9 UNHCR will maintain its responsibility for distribution of food in selective feeding programmes.

6. Responsibilities For Funding And Approaches To Donors

6.1 UNHCR and WFP will each mobilize the cash and other resources necessary for the discharge of their respective responsibilities.

6.2 UNHCR and WFP will ensure that the resource implications for each organization are set out in all approaches to donors and related documentation in a manner that makes these responsibilities and their complementarity clear. Details on country-specific landside transport, storage and handling (LTSH) and distribution costs will be provided. Approaches to donors will be coordinated, and UNHCR will share with WFP in advance the text covering food needs in any appeal to donors. Joint approaches will be made whenever appropriate, both at the start of a new operation and at any time should it appear that the response of donors will not ensure the timely delivery of the necessary relief items.

6.3 UNHCR and WFP will urge donors to pledge commodities and cash for all food requirements under this MOU through WFP. Sole exception will be for the few food items that UNHCR is responsible for mobilizing. WFP will manage all contributions channelled through it, and coordinate and monitor donor pledges and shipments, including bilateral and non-governmental donations, of all commodities, seeking to adjust delivery schedules as necessary. UNHCR will be kept informed accordingly.

6.4 WFP will seek to ensure that bilateral food resources for refugees (and asylum seekers), returnees and IDPs falling under this agreement, whether channelled through WFP or not, are accompanied by the full cash resources needed to cover LTSH and other related support costs.

6.5 UNHCR will support WFP's specific approaches to donors to provide cash for local, regional or international purchase, so as to ensure that the needs of beneficiaries are met in the most timely and cost-effective manner possible. UNHCR will also support WFP's general approaches to donors for cash contributions to bring the Immediate Response Account (IRA) up to, and maintain it at, the approved level, and for contributions to any similar fund, so that WFP can respond swiftly to new emergency food needs.

7. Monitoring, Reporting and Evaluation

7.1 UNHCR and WFP are both responsible for operational reporting and ongoing monitoring. They will establish an effective monitoring and reporting system for each operation under this MOU, with special attention given to gender-specific quantitative and qualitative data on the socio-economic status of beneficiaries. The agreed-upon distribution of responsibilities for monitoring activities will be specified in the Joint Plan of Action developed in each operation under this MOU. The responsibilities of the government or any other implementing partner entrusted with the distribution of WFP food will be set out in the tripartite agreement (referred to in article 5.5) in a manner that allows effective programme management and meets WFP's and UNHCR's responsibilities to donors. This agreement will require the partner entrusted with distribution to report directly to both WFP and UNHCR on the distribution and use of WFP food. UNHCR and WFP field staff will undertake periodic joint monitoring activities at the food distribution sites (which includes food basket monitoring activities) and at the household level (which includes post-distribution monitoring of the end use of the distributed commodities). The capacity of refugees and local communities to contribute to monitoring and evaluation of projects should be taken into account.

7.2 UNHCR and WFP will seek to have multilateral donors accept the standard reports and documentation provided to their Executive Committee and Executive Board, respectively, as fulfilment of reporting requirements, instead of requiring donor-specific reporting.

7.3 The evaluation services of UNHCR and WFP will organize joint evaluations as appropriate, taking into account the scale and complexity of operations covered by the MOU. When an evaluation of a joint operation is organized by one organization, the other shall be informed and invited to participate.

8. Coordination

8.1 Close cooperation and regular exchange of information between UNHCR and WFP at the field level are essential. This should also enable the resolution of existing and potential problems without referring them to Headquarters or to the regional bureaux. Focal points or liaison officers will be appointed in both UNHCR and WFP field offices to deal with operational matters covered by the MOU.

8.2 The UNHCR and WFP country offices, in liaison with the relevant government authorities as appropriate, will establish and maintain food aid coordinating mechanisms that allow regular consultation and exchange of information with multilateral and bilateral donors, the diplomatic community, other relevant United Nations organizations and NGO partners. Moreover, for each operation, WFP will establish and chair a joint food security committee. The government and all interested partners will be invited to participate and exchange information on all issues pertaining to food aid, non-food related assistance, food security and nutrition relevant to that operation.

8.3 WFP and UNHCR will share with each other the project documents for assistance under the MOU before they are finalized. Letters of Understanding (LOUs) between WFP and the government will expressly provide for full access to and monitoring by both organizations of all aspects of the operation covered by the LOU. WFP will request UNHCR's association (as an observer or as otherwise agreed) with discussions pertinent to the LOU when it concerns people falling under UNHCR's mandate.

8.4 WFP and UNHCR will collaborate on public information activities to promote awareness of the food security and related non-food needs of beneficiaries, understanding of each organization's role, and support for the work of each organization in addressing these needs. In all joint operations, WFP and UNHCR will regularly acknowledge the role of the other to both the media

and the general public in order to ensure the common goal of donor and host government support. At the field level, there should be adequate visibility for each organization.

8.5 At the Headquarters level, coordination on operation-specific matters is the responsibility of the respective operations managers or bureau directors. Joint field missions will be undertaken when warranted by specific situations. Coordination for commodity and resource mobilization issues is the responsibility of the respective resource mobilization services. Responsibility for coordinating overall policies and functional issues lies with the respective directors of UNHCR's Division of Operational Support and WFP's Operations Department, who will encourage direct contact among the technical, logistic and programme coordination staff concerned.

8.6 When either UNHCR or WFP is elaborating or developing emergency response capacities, systems and guidelines or taking any other action that could potentially benefit (or duplicate) the work of the other, the responsible unit in the other organization is to be informed. Furthermore, every effort should be made to maximize the benefits to both.

8.7. UNHCR and WFP will collaborate, as appropriate, on transport and logistics issues, at both the field and Headquarters level, to ensure coordination and best use of their assets and resources. Where possible, this will include regular information exchange, joint logistics planning, and use of common services and tools.

8.8. UNHCR and WFP will exchange information, collaborate and coordinate activities in regards to the safety and security of staff and beneficiaries. UNHCR and WFP will work together to enhance the United Nations Security Management System and, while doing so, promote an integrated approach to staff safety and security for the United Nations and NGO implementing partners.

8.9. UNHCR and WFP will collaborate, as appropriate, on telecommunications and information technology issues, at both the field and Headquarters level, to ensure coordination and best use of their assets and resources. Collaboration in the area of geographic information, such as Geographic Information Systems (GIS), Global Positioning System (GPS) and satellite imagery, will be strengthened to increase inter-agency collaboration and sharing of relevant data in standardized formats.

8.10. UNHCR and WFP will collaborate as appropriate in formulating and implementing joint policies and strategies aimed at promoting gender mainstreaming in all activities. The two agencies will make every attempt to implement joint operations in full respect of their common commitment to enhance the status and role of women. Task forces or gender theme groups at the field level would follow up on the strategies elaborated at Headquarters and would formulate joint action plans.

8.11 Each organization will develop and maintain its own training materials for discharging its responsibilities. Joint workshops will be organized, with priority given to the field. These workshops will focus on enhancing the skills and knowledge required for joint support to operations falling under this MOU. In addition, each organization will invite the other to participate in courses of a more general nature, such as emergency management training, nutrition and vulnerability assessment.

8.12 Joint Headquarters-level meetings with governments and other parties concerned in specific country or regional operations will be organized as required. If either UNHCR or WFP organizes a meeting with external bodies on operations covered by the MOU, the other organization will be invited.

8.13 Both agencies are committed to ensuring adherence by their staff and those of the partner organizations to their respective codes of conduct and/ or other internationally agreed-upon principles of accountability pertinent to humanitarian workers.

9. General Provisions

9.1 This revised MOU shall come into effect on the date of its signing and supersedes the revised MOU dated March 1997.

9.2 It governs cooperation in all operations covered by its terms except those operations, or parts thereof, that may be specifically excluded by mutual agreement.

9.3 Should there be disagreement between the respective country offices on a course of action, the matter will be submitted to the corresponding regional bureaux of both organizations for resolution. If it is not possible to reach an agreement at the regional level, the matter will be referred to the Assistant Executive Director for Operations of WFP and to the Assistant High Commissioner of UNHCR for final resolution.

9.4 Whenever the timely supply of the agreed-upon food and related relief items and services to the jointly identified beneficiaries is delayed or totally disrupted, UNHCR and WFP will jointly investigate all possible remedial actions to be taken and the modalities for resourcing.

9.6 The MOU may be modified at any time by mutual written agreement.

James T. Morris
Executive Director
WFP

Ruud Lubbers
High Commissioner
UNHCR

Date: ____ July 2002 ____

Annex 7: Documents on the CD-ROM

The following are the documents proposed for inclusion at the time of printing of the guidelines. Check the CD-ROM itself for the final contents.

a) Joint UNHCR-WFP documents

Food and Nutrition Needs in Emergencies, UNHCR-UNICEF-WFP-WHO, WHO 2002
Memorandum of Understanding between UNHCR and WFP, July 2002
UNHCR/WFP Guidelines for Selective Feeding Programmes in Emergency Situations, 1999
UNHCR/WFP guidelines for the location and management of EDPs, 1997
Model Tripartite Agreement among UNHCR, WFP and the implementing partner, 1998
Food Security Assessments, Self-Reliance, Targeting and Phasing Out in Ongoing Refugee Situations, summary report of an inter-agency workshop, Rome Nov.1999, UNHCR & WFP January 2000

b) UNHCR documents

Agenda for Protection, UNHCR March 2003
Code of Conduct, UNHCR
Commodity Distribution, UNHCR June 1997
Cooking Options in Refugee Situations: a handbook of experience in energy conservation and alternative fuels, UNHCR-EESS, December 2002
Environmental Guidelines, UNHCR 1996
Environmental Guidelines: forestry in refugee situations, UNHCR May 1998
Environmental Guidelines: livestock in refugee situations, UNHCR May 1998
Food Tool Kit, UNHCR-HCDS 2001
Framework for durable solutions for refugees and persons of concern, UNHCR May 2003
Framework for UNHCR involvement in Self-Reliance, Employment and Micro-finance: operational guidelines for developing a self-reliance strategy in refugee and returnee situations, provisional version, UNHCR December 1997
Handbook for registration, UNHCR 2003
Handbook for repatriation and reintegration activities, provisional version, UNHCR 2004
Initial Assessment of Emergency Situations: a practical guide for field staff, working draft, UNHCR-EPRS, August 2002
Livelihood Options in Refugee Situations: a handbook for promoting sound agricultural practices, UNHCR-EESS & CARE International, December 2002
Nutrition Tool Kit, UNHCR-HCDS, 2001
Participatory Planning in UNHCR, 2003
Partnership: an operations management handbook for UNHCR's partners, revised edition, UNHCR Feb 2003
People-Oriented Planning: a framework for POP in refugee situations taking account of women, men and children, UNHCR Dec 1992
People-Oriented Planning at Work: using POP to improve UNHCR programming, UNHCR Dec 1994

Practical Guide to the Systematic Use of Standards and indicators in UNHCR Operations, UNHCR Jan. 2004

Reintegration checklist, UNHCR 2004

Repatriation checklist, UNHCR, 1998

Refugee Operations and Environmental Management: a handbook of selected lessons learned from the field, UNHCR-EESS, 2002

Sexual and gender-based violence against Refugees, Returnees and Internally Displaced Persons: guidelines for prevention and response, UNHCR May 2003

Sexual and gender-based violence checklist, ...

UNHCR Handbook for Emergencies, UNHCR 1999

UNHCR Handbook for Registration, provisional release, September 2003

UNHCR manual, chapter 4

UNHCR project format

c) WFP documents

Emergency Food Security Assessment Guidelines, preliminary draft, WFP April 2004

Emergency Field Operations Pocketbook, WFP 2002

Environmental review guidelines, WFP Jan. 1999

Food and Nutrition Handbook, WFP 2000/03

Food Aid and Livelihoods in Emergencies: strategies for WFP: WFP/EB.A/2003/5-A, WFP May 2003

Food storage manual, WFP 1992

Format for a Letter of Understanding with the government

Format for an EMOP

Format for an immediate response (IR)-EMOP

Format for a PRRO

Guidelines for the preparation of a PRRO, WFP January 1999

Humanitarian Principles, WFP/EB.1/2004/4-C, WFP Feb. 2004

LCA template

Logistic Capacity Assessments

Natural Resource Management and Livelihoods: programming guidance, WFP 2002

NUTVAL 2004 calculator

Participatory Techniques and Tools: a WFP guide, WFP 2001

Refugee camp vulnerability survey, Iran, questionnaire, WFP-VAM October 2003.

Results Based Management Orientation Guide, WFP Oct. 2003

School Feeding Handbook, WFP/UNESCO/WHO 2000

Strategic Plan for 2004-2007, WFP/EB.3/2003/4-A/1

Strategic Plan Indicator Compendium, WFP 2004

Warehouse management manual, WFP 2001

WFP Mission Statement

WFP's enhanced commitments to women, WFP 2002

d) UN and inter-agency documents

Consolidated Appeal Guidelines, OCHA 2004

Minimum Operational Security Standards, UNSECOORD 2002

Security Awareness: an aide mémoire, UN/UNHCR 1995

Security in the Field, UNSECOORD, 1995

Terms of reference for an Humanitarian Coordinator,

The Management of Nutrition in Major Emergencies, WHO-IFRC-UNHCR-WFP, WHO 2000

UNJLC assessment reporting formats

e) Other documents

Food Security and Food Assistance among long-standing Refugees, Background paper for an inter-agency workshop Nov. 1999

Guidelines for Rapid Nutritional Assessments in Emergencies, WHO-EMRO 1995

Infant and Young Child Feeding in Emergencies, GIFA/ENN final report 2003

Infant Feeding in Emergencies Operational Guidance, Interagency Working Group on Infant and Young Child Feeding in Emergencies, 2001

Sphere Handbook: Humanitarian charter and minimum standards in disaster response, 2004 edition, Sphere Project 2004

With an Eye to the Future: ILO refugee programmes in Africa (lessons from employment programmes for refugees and others), E Hall, IFP-Crisis working paper 12, April 2003

f) Sample Joint Assessment Reports

Ethiopia 2003: *2003 Joint assessment mission (Ethiopia)*, ARRA/UNHCR/WFP, July 2003

Sudan 2003: *Assistance to Eritrean Refugees in Central/Eastern Sudan*, WFP/UNHCR/COR joint food needs assessment mission, June 2003

Sudan 2001: *Joint WFP/UNHCR/COR food assessment mission (PRRO 6189.00)*, Khartoum August 2001

...

g) Sample Briefing Kits for Joint Assessment Missions

Nepal 2003: *Information Package: WFP-UNHCR Joint Mission for Assistance to Bhutanese Refugees in Nepal*, WFP & UNHCR Kathmandu, August 2003

Tanzania 1998: *Briefing Kit*, Tanzania 1998