

Planning an EFSA

Any assessment must be carefully planned. Activities should be identified in advance and a timeframe established.

Participation in assessment planning should be as broad as possible depending on the time available. Planning the EFSA in consultation with key partners ensures that knowledge of the situation is shared, transparency is enhanced and constraints are identified. It also makes it more likely that stakeholders accept and use the assessment findings in programme responses. Representatives of the national/local government and the organizations participating in the assessment should take part in the planning. Organizations with a stake in the assessment's outcome should also participate; these include organizations working in nutrition and food security sectors, and donors.

The amount of consultation depends on the urgency of the situation and the capacity of stakeholder organizations. For example, if detailed contingency plans have already been developed, extensive consultation may not be necessary. In a quick-onset crisis, common sense should be applied. The objectives of this type of assessment are usually obvious;²⁵ it is likely that only key stakeholders will be consulted rapidly, in person or by telephone, and a set of objectives drafted and circulated.

The **key objectives** of planning an EFSA include:

1. determining whether or not an assessment is required, assisted by trigger mechanisms;²⁶
2. defining the assessment objectives and terms of reference;
3. preparing the budget;
4. developing an analysis plan and identifying the information requirements;
5. reviewing secondary information and collecting reference material;

25. For more guidance, see: Technical Guidance Sheet No. 6 Initial Emergency Food Security Assessments, WFP Emergency Needs Assessment Service, November 2007.

26. For more guidance, see: Technical Guidance Sheet No. 4 Trigger Criteria for an Emergency Food Security Assessment in Slow-Onset Crisis Situations, WFP Emergency Needs Assessment Service, November 2007.

6. determining the data collection methodology;
7. determining the sampling approach;
8. establishing the staffing structure for the assessment, and training the teams;
9. making administrative and logistics arrangements;
10. establishing communications, security and emergency procedures;
11. briefing the assessment teams; and
12. preparing the assessment schedule.

The order in which these tasks are carried out is not fixed and the process is *iterative*. This means that completion of each task may lead to repetition and/or adaptation of other tasks; for example, consideration of logistics issues might lead to adaptation of the sampling approach.

2.1 Trigger mechanisms for an EFSA

An EFSA should be launched when trigger mechanisms show evidence that an assessment is needed. A *trigger* is an event or series of events indicating that the nutrition or food security situation is deteriorating, or has already reached a level of crisis. Trigger indicators are based on the data already collected by early warning and food security monitoring systems, and consist of a few indicators at the macro- and micro-levels that signal the need for a closer look at the situation. Such indicators include the harvest levels of staple crops, the gap between harvests and food consumption requirements at the national or sub-national level, staple food market prices, terms of trade of staple foods against key assets such as livestock and labour, acute malnutrition rates, mortality rates, and context-specific coping strategies that indicate food stress.²⁷ If any of the data monitored give cause for concern, an initial assessment should be launched.

There are three types of EFSA: initial assessment, rapid assessment, and in-depth assessment (see **Part I**).

2.1.1 Sudden-onset crises

Sudden-onset crises are often the result of large-scale disasters such as earthquakes, floods and the outbreak of conflict. Typically, an **initial assessment** is carried out to provide a rough idea of the nature and scope of the crisis and, in urgent situations, the information on which the first stages of the response plan are based.²⁸ After the initial assessment, a follow-up **rapid assessment** is

27. Details of an indicator-based monitoring system for triggering EFSA in slow-onset crises are given in Technical Guidance Sheet No. 4 Trigger Criteria for an Emergency Food Security Assessment in Slow-Onset Crisis Situations, WFP Emergency Needs Assessment Service, November 2007.

28. Extensive guidance on conducting this type of assessment is provided in Technical Guidance Sheet No. 6 Initial Emergency Food Security Assessments, WFP Emergency Needs Assessment Service, November 2007.

undertaken if more in-depth analysis is needed or the initial assessment information is out of date owing to rapid changes in the context.

A follow-up rapid assessment is not necessary if:

- there is compelling evidence that the crisis will have no impact on nutrition and food security;
- other agencies have conducted assessments that provide sufficient reliable information; or
- it is clear that the government or other organizations are capable of covering all the needs.

2.1.2 Slow-onset or protracted crises

Slow-onset or protracted crises include drought, economic or environmental decline, long-term conflict, and pandemics such as HIV/AIDS. **In-depth assessments** gather detailed, representative information about the affected population. The trigger for an EFSA is less clear than in rapid-onset crises because the situation deteriorates *gradually* and there may be no sudden and dramatic escalation that alerts attention. Frequent, large-scale EFSAs may be undesirable or unfeasible, so it is essential to monitor the deteriorating situation and take action before crisis status is reached.

Slow-onset food security crises should be monitored continually through as many different mechanisms as possible, including:

- field offices, where staff members monitor the situation during field visits and through discussions with stakeholders;
- partner organizations, through regular communication with government offices of health, agriculture, meteorology, etc. and organizations working in relevant sectors, such as specialized United Nations agencies and NGOs;
- formal monitoring systems that compare selected trigger indicators with pre-established baselines.

2.2 Objectives and terms of reference

The EFSA planning process is based on the assessment objectives and the terms of reference. These are defined in consultation with the intended users of the results, including country office decision-makers and partners:

- The objectives describe the outputs expected from the assessment (see **Part I**).
- The terms of reference indicate how the assessment will be carried out, and define the roles and responsibilities of the assessment team.

2.3 Budget

The budget is based on the planned data collection methods, sample methodology, number of assessment staff, and vehicles and other equipment required during the assessment schedule. These in turn depend on the assessment's objectives and terms of reference. Revisions to the assessment methodology may be necessary if the resulting budget exceeds the available funding.

The available budget for EFSA activities will determine the following:

- **Professional profiles of participating staff:** If the budget is tight, it may be possible to use only a few experienced staff members, which limits the scope of the assessment and the methodology used; experienced staff are needed to manage teams in the field, analyse data, etc.
- **Logistics arrangements:** Budget considerations will likely determine the amount and type of equipment available and the logistics arrangements for field activities.

WFP has established policies and procedures for funding at least a portion of assessment costs.²⁹ In some cases, such as a high-profile emergency, it may be possible to fund an assessment completely from external donor resources.

2.4 Analysis plan and information requirements

The analysis plan provides a framework for collecting information and interpreting findings based on the EFSA objectives. It specifies:

- the information needed to meet the objectives;
- how this information should be collected;
- the source(s) from which it should be collected.

Part II provides guidance on how to develop and use the analysis plan to identify information requirements.

2.5 Collation and review of secondary data and reference material

Secondary information includes any available contextual information about the area and the local population prior to the current crisis, and information on the current crisis collected by other organizations.

A thorough review of secondary information is crucial for defining assessment objectives and determining further information requirements. It also minimizes

29. Policies and Procedures for the Use of the Immediate Response Account (IRA), WFP Operations Department and Administrative Department Joint Directive, 18 October 2005 (OD2005/005, A 2005/009).

duplication; if good quality data have been collected recently by another organization, there is no need to collect the same data in the EFSA.

Examples of secondary data and sources are given in Table 3.1.

Table 3.1: Secondary data sources	
Type of information	Example of sources
Information about the area and its population before the current crisis	
Nutrition and food security baseline surveys	<ul style="list-style-type: none"> - CFSVA: WFP - Food economy baseline: Save the Children - Nutrition survey: Ministry of Health, UNICEF - FEWS NET
Food production baseline surveys	<ul style="list-style-type: none"> - CFSAM: WFP/FAO - National government: e.g. Ministry of Agriculture
Market surveys	Government, universities, World Bank, United Nations, NGOs
Social, political, historical and anthropological reports	Universities, literature
Information about the current crisis collected by other organizations	
Recent assessments	Government, other organizations: United Nations, NGOs
Education baseline surveys	<ul style="list-style-type: none"> - Government statistics - United Nations, NGO reports - WFP baseline and follow-up surveys
Media reports	Local and international news agencies

If resources allow, one person or a small team should be assigned to go through secondary data and identify useful material. These individuals must be fully conversant with the assessment objectives and terms of reference.

The **reliability** of secondary sources must be carefully appraised in terms of the source, methodology used, potential bias, age of the information, relevance, and agreement with other sources. Once the secondary information has been reviewed, the remaining gaps constitute the information that will be collected directly as primary data during the EFSA.

A template for secondary information review and identification of gaps is shown in Table 3.2.

Table 3.2: Identification of information gaps, with examples

Question	Information requirements	Secondary source 1	Secondary source 2	Secondary source...	Ways to fill information gaps (with primary information)
Is there a food security or nutrition problem?	Is there evidence of excess mortality?	Survey data from 6 months ago show mortality rate of 1 death per 10 000 people per day	Doctor interviewed in local press says that mortality rate “seems to be declining”	Recent NGO rapid assessment indicates increased burial ceremonies in last 3 months	Collect data on number of deaths over last 6 months in sampled villages
	Is there evidence of acute malnutrition?	An NGO specialized in nutrition carried out an anthropometric survey in 3 of the 5 affected districts 3 weeks ago	Livelihoods and the emergency’s impact in the other 2 districts seem to differ from those in the 3 surveyed districts		Undertake an anthropometric survey in the remaining 2 districts, using the same methodology as the NGO used
	Have people lost land or access to land?	Government economic data show increased land sales and decreased land prices in drought-affected areas	A market survey by the local university shows no increase in the number of people looking for casual labour opportunities	A report by the International Organization for Migration (IOM) indicates no unusual migration within or out of the affected area	Identify the people selling land. Are these crisis sales? If so, how are people compensating for their lost land assets?
	How do people currently obtain food?	A market survey by a local NGO indicates that demand for expensive foods such as meat has declined	A WFP rapid EFSA undertaken 3 months ago shows most households’ food consumption measured – through the FCS – was acceptable	The local clinic reports increased micronutrient deficiency among children under 5	Evidence suggests that food access has deteriorated over the last 3 months. The EFSA will check the current situation and look for the causes of this

As Example 3.1 illustrates, the availability of reliable secondary data helps determine the types of primary data that must be collected during the EFSA.

Example 3.1: Using secondary data to determine primary information needs

Drought is leading to widespread crop failure and deteriorating livestock health.

One of the objectives of the EFSA is to estimate the impact of crop failure on food access. The following information is available from secondary sources:

- Source 1: A reliable and recent market survey shows that prices of staple crops have doubled since the same season last year, and prices of livestock have declined by one-third.
- Source 2: A livelihoods assessment from five years ago indicates that 25 percent of the population buy staple food using the proceeds of livestock sales, and 50 percent combine consumption of own production with sales of cash crops.
- Source 3: Key informants say that the relative proportions of livestock owners and farmers have changed over the last five years, but percentages cannot be reliably estimated.

This information is summarized in a table, as follows.

Question	Information requirements	Source 1	Source 2	Source 3	Ways to fill information gaps
How has crop failure affected food access?	Price of crops now	2X
	Price of crops this time last year	X*
	Price of livestock now	0.67Y
	Price of livestock this time last year	Y**
	Proportion of households buying food through sale of livestock	...	25%	Changed	Find current proportion and number of households
	Proportion of households buying food through production and sale of crops	...	50%	Changed	Find current proportion and number of households

X* = price of crops this time last year.

Y** = price of livestock this time last year.

The table indicates the following:

- Accurate price data are available, because Source 1 is highly reliable, so it is not necessary to collect price data during the assessment.
- Data on the proportion and number of households utilizing each of the two livelihood strategies are out-of-date, so this information must be sought during the assessment.

Price information from secondary data is combined with information about livelihood strategies from primary *and* secondary data to estimate the impact of the crop failure on the two livelihood groups.

Secondary data also provide contextual information that is essential to the analytical process (see **Part IV**).

Reference material collected from secondary sources is also useful for planning an EFSA. Reference information includes the following:

- **Population data:** Accurate and up-to-date data on population numbers and locations are valuable when determining the approaches to information collection (see **Section 2.6**) and the sampling strategy (see **Section 2.7**). The sources and estimated accuracy of the information must be considered when planning fieldwork and reporting results.
- **Maps:** These are useful for designing the sampling approach, and planning and implementing the fieldwork. Any available information relevant to the emergency, such as population movements, damaged roads and airstrips, is plotted on the most up-to-date maps available of the affected area.
- **Crisis updates and bulletins:** In many emergencies, regular bulletins from the national government, the Office for the Coordination of Humanitarian Affairs (OCHA) and others provide the latest news about population movements, humanitarian operations, security, logistics constraints, etc.

Primary data are collected for most EFSA, but occasionally secondary data are sufficiently comprehensive, reliable and up-to-date to cover all the information requirements. *In such cases, primary data collection is unnecessary.*

2.6 Methodology for primary data collection

The data collection methodology determines the ways in which primary data are collected during the assessment. The following are some of the critical issues that must be considered:

- Is this an initial, rapid or in-depth assessment?
- Will the assessment be based on standard questionnaires, semi-structured interviews or a combination of both?
- What sort of interviews will be used: household interviews, community group discussions, focus group discussions, key informant interviews, etc.?
- Will sampling follow a random, purposive or other approach?

Details of primary data collection methods and techniques are given in **Chapter 4**.

Practical constraints always affect the sampling approach and methods of primary data collection. The following are some of the most common constraints.

Security environment

- If security in the survey area is poor, the number of people and the time spent in the field should be limited. The sampling approach and data collection will be affected, as fewer households and locations can be visited. Instead of household interviews, focus groups might be used to collect information more quickly.

- If it is impossible to visit the affected area, the entire assessment must be based on secondary data and interviews with people who have recently come from the area.

Physical access

- Poor transportation and communication infrastructure may constrain field activities. Assessment team members should consider such factors as road conditions, alternative ways to travel, time taken to travel to and from affected areas, and whether or not teams will be able to maintain contact with field offices.
- If some areas are not accessible, it may be possible to interview individuals who have recently come from these areas, such as displaced people and people working for humanitarian organizations.

Available time and resources

- Programme priorities may dictate a specific period for the assessment. For instance, results of the assessment may be needed for preparing project proposals and appeals such as an emergency operation (EMOP), a protracted relief and recovery operation (PRRO), a flash appeal or a United Nations Consolidated Appeal. Partner organizations may also have specific information needs and deadlines.
- Resource constraints may prevent the country office and partners from sustaining a lengthy assessment, in which case support from the regional bureau or Headquarters may be required. It should be kept in mind that an assessment always places demands on the country office and draws resources for staff, administration, vehicles, etc. away from other activities.

Nature of the emergency

- In a quickly evolving emergency the assessment should focus on collecting essential data: What is the cause of risk? Which groups/people are affected? Where are they? Rapid information collection uses key informants, observation and purposive sampling. Quick assessments are undertaken until the situation stabilizes, at which point a more thorough assessment is carried out.
- In a slow-onset emergency, information needs are less urgent. More time can therefore be spent on developing a rigorous methodology and undertaking an in-depth survey using two-stage sampling.

EFSA vary depending on the type of assessment and the context; some common scenarios and related approaches to data collection are presented in Example 3.2.

Example 3.2: Choice of data collection and sampling methodology for different scenarios

Rapid-onset emergencies

Initial assessment:

Scenario 1: The beginning of a sudden-onset emergency, such as an earthquake, population displacement, etc.

- It is an **emergency**. Lives are in danger. Information is needed within one day so that relief operations can be initiated.
- The crisis is **highly volatile**. The situation is constantly changing. Assessments must be updated daily.
- There is **little time**. Emergency health and feeding programmes may be needed immediately.
- The **area is small**. Most of the affected people can be reached quickly with available means of transport.
- All parts of the area are **accessible**.

Under this scenario, a snapshot assessment approach is followed:

- Key informants are the core source of information. They include local relief workers and people coming from the affected area who can explain the details and locations of problems. Quick visits to the most severely affected locations are undertaken, based on information from key informants. Observation and short interviews with people in these areas are carried out. Clinics, mortuaries, etc. provide the basis for injury and mortality estimates.
- Ideally, this type of assessment is updated at least once a day until the situation stabilizes (see next scenario).

Rapid assessment:

Scenario 2: A quick-onset emergency has stabilized, such as when mass population movement ceases and mortality and injury rates decline, but there are major fears about disease because of unsanitary living conditions.

- Although lives are not at the same level of risk as in Scenario 1, the situation is still **urgent**, as shelter and water supplies are inadequate and there is a constant risk of disease.
- The crisis is **less volatile**. Population movement has stopped and there is no imminent danger of further shocks.
- There is **little time**, but the reduced volatility of the situation makes it possible to be more rigorous with information collection than in Scenario 1.
- The area and accessibility remain the same as in Scenario 1.

The assessment approach is still rapid, but information is collected more rigorously than in Scenario 1:

- If the affected area is small and compact, such as a refugee camp, a town or a small group of villages, the assessment is completed within one to two days. In larger areas, more time is needed, and it is important to prioritize the areas to visit according to the impact of the emergency. Sampling is therefore mostly **purposive**.
- Key informants continue to provide an overview of what is happening. Relief services such as health, water and food have been established; staff members working on these projects are also consulted.
- Consultation with the affected people is more rigorous. If there are population lists, such as in a refugee camp, a **simple random sample** is taken (see Box 3.2) for household visits. If there are no population lists, the area is mapped with the help of key informants, and priority areas are identified. Households are identified within these areas, using one of the random sampling techniques explained in **Section 2.7.3.5**.
- Semi-structured interviews with households, focus groups and key informants may be combined with a questionnaire survey.

Slow-onset emergencies

In-depth assessment:

Scenario 3: A slow-onset emergency, such as a drought or long-term conflict.

- The crisis is **neither urgent nor volatile**. The situation has been slowly deteriorating for some time, and some factor has now triggered an assessment (see **Section 2.1**).
- There are **no time constraints**, but the assessment results are needed soon for programming.
- The area may be large or small.

Stratified two-stage sampling is applied (see Box 3.2): zones (strata) → locations → households. Where possible, random samples of locations and households within those locations are used. If random samples are not feasible, locations are selected purposively, and households within these are selected randomly or purposively. Both semi-structured interviews and questionnaire surveys are undertaken.

2.7 Sampling

In an EFSA, it is normally neither feasible nor desirable to survey every location and household affected by the emergency. A **sample** must therefore be drawn. A sample is a selection of households or individuals from the total affected population. The sample should represent the larger population and reduce the time and cost of data collection. If a sample is representative, generalizations about the total population can be extrapolated from the results of the **sample survey**.

It is extremely important that the sample be drawn in a methodologically rigorous way. This section explains the key terms used in sampling, and provides guidance on choosing the most appropriate sampling methodology for a given situation.

2.7.1 Sampling frame

The sampling frame represents the area and population that the assessment is intended to cover, for example, a region within a country or a particular population group, such as displaced people. **The sampling frame must be defined at the start of the assessment planning process.**

The sampling frame may cover only areas and groups **directly affected** by the emergency. Alternatively, it may also include **indirectly affected** areas and groups, where the impact on the population can be just as severe. These include the areas into which displaced people have moved;³⁰ host populations for displaced people; and areas suffering economically as a result of the emergency, such as those whose markets depend on produce from a drought-affected area.

30. Technical Guidance Sheet No. 1 Integrating Migration and Displacement into Emergency Food Security Assessments, WFP Emergency Needs Assessment Service, May 2007.

The directly and indirectly affected areas and population groups are identified from secondary information and key informant interviews.

2.7.2 Types of sampling

The choice of sampling methodology depends on the time and resources available, the level of access and the specific objectives of the assessment. There are two major types of sampling approach, **probability sampling** and **non-probability sampling**. The following two sampling approaches are commonly used in EFSAs:

- **Purposive sampling** (non-probability sampling): The researcher decides which particular groups to interview. Non-probability sampling does not involve random selection, so the results cannot be used to characterize the wider population. Its value lies in selecting information-rich cases to gain a deeper understanding of the situation when random sampling is not possible. The researcher selects what she/he regards as representative sampling units, but the generalization of findings from such a sample can always be contested.

Purposive sampling techniques are normally used in initial and rapid assessments for rapid-onset emergencies.

- **Random sampling** (probability sampling): All members of the population have a known, non-zero chance of being selected. Random sampling is based on formal statistical theory, which allows reliable estimates to be calculated and minimizes bias. Results can be extrapolated to the entire population with a degree of accuracy that depends on the sample size and the variability of the indicator.

Random sampling techniques are normally used for in-depth assessments, usually in slow-onset emergencies, and in emergency situations once conditions have stabilized.

Table 3.3 shows the circumstances under which each type of sampling is used.

Table 3.3: Circumstances under which each type of sampling is used

Sampling approach	Circumstances
Non-probability	Initial and rapid assessments
Purposive	<ul style="list-style-type: none"> - Population data do not exist or are not reliable - Access is limited to certain areas - There is little time - The situation is unstable and changing continuously - Can be used for initial, rapid and in-depth EFSA
Snowball	<ul style="list-style-type: none"> - Very little information is available about the location of groups or individuals - People are reluctant to be registered on a list - Time is short - In an initial EFSA it can provide background information for a subsequent rapid or in-depth EFSA
Convenience	<ul style="list-style-type: none"> - Time or access is limited - In an initial EFSA it can provide background information for a subsequent rapid or in-depth EFSA
Probability	In-depth assessments
Random	<ul style="list-style-type: none"> - Unbiased estimates with known precision are needed - Population data exist - All parts of the affected area are accessible - The situation is reasonably stable - There is sufficient time to visit all the selected households and carry out the required number of interviews - Can be used for rapid and in-depth EFSA in slow-onset emergencies or once an emergency situation has stabilized

2.7.3 Purposive sampling

This section presents methods for initial and rapid assessments using purposive sampling.

2.7.3.1 Principles of purposive sampling

Purposive sampling might be used when any of the following conditions apply:

- It is difficult to reach every area, household or individual member of the population.
- Reliable information about population locations and numbers is not available.
- There is insufficient time to visit the number of households or individuals needed for statistical analyses using a random sample. The most severely affected areas are prioritized, for example, agricultural areas during a drought, or villages inhabited by targeted groups during a conflict.
- There is strong evidence that nutrition and food security risks are concentrated in certain areas or population groups, such as particular livelihood groups or displaced people. In many cases, it is not possible to set up a sampling frame that allows these groups or areas to be stratified.

- The assessment objectives necessitate in-depth investigation of specific issues. For example, if the EFSA is expected to provide detailed information about the impact of market disruptions, groups of people who depend on the markets will be prioritized, such as traders, cash crop growers and people who rely on purchasing their food at markets.

Although the information collected through purposive sampling cannot be extrapolated to the entire population – as it can be in random sampling – generalizations can be extended to the wider population under the following circumstances:

- Triangulation is applied to all data (see **Part IV**). In triangulation, data are collected from numerous sources and their convergence, or otherwise, is appraised. If data from at least three reliable sources converge, the conclusions can be treated with reasonable confidence.
- Purposive sampling is combined with semi-structured interviews for primary data collection (see **Section 4.3.2**). This allows in-depth discussion and, consequently, a greater understanding of the crisis, its causes and effects. Conclusions from all the semi-structured interviews provide a sound basis for judging the extent to which they can be extrapolated.

It is not known how representative the sample is, so generalizations made through the purposive sampling approach are subjective (or biased), and confidence intervals for the estimates would be irrelevant.

Good purposive sampling depends on having a thorough knowledge of the context – the type of emergency and the characteristics of the population. Such knowledge is initially gained through secondary data review (see **Section 2.5**). If secondary data are incomplete or inaccurate, or if the situation is changing rapidly, sampling can be adjusted as the assessment progresses. For example, population groups and areas may be added or removed as more information about the crisis is obtained.

Purposive sampling can be combined with random sampling techniques. For example, households might be selected through random sampling in a location selected through purposive sampling. Note that this does not make the sample statistically representative, which requires that *the entire sampling process follow random sampling principles* (see **Section 2.7.4**).

2.7.3.2 Determining the sample size

There is no formula for setting the sample size for purposive sampling. Instead, judgements must be made, based on the expected heterogeneity of areas, population groups, locations, households and individuals. If heterogeneity is high and units are very different from each other, a large sample is needed, but the sample size also depends on the time and resources available. If heterogeneity is low and units are similar to each other, a smaller sample will suffice. This is illustrated in Example 3.3.

Example 3.3: Heterogeneous populations: implications for purposive sampling

An EFSA is undertaken in the urban and rural areas of a region affected by economic collapse. One of the objectives is to determine the impact of the crisis on livelihoods. The assessment team decides that to do this, they need to sample according to livelihood groups.

In the urban area, six main livelihood groups are identified:

- civil servants;
- traders;
- professional workers: doctors, engineers, teachers, etc.;
- salaried workers: shop assistants, storekeepers, construction supervisors, etc.;
- casual labourers;
- unemployed/beggars.

To understand the situation, and taking the time constraints into account, the team decides that ten households must be interviewed from each livelihood group. This gives a total sample size for the urban area of $6 \times 10 = 60$ households.

In the rural area, three main livelihood groups are identified:

- farmers producing crops for consumption and sale;
- pastoralists living from the consumption and sale of animal products;
- landless farm workers.

Again, the team decides to interview ten households per livelihood group. The total sample size for the rural area is therefore $10 \times 3 = 30$ households.

If areas and population groups are heterogeneous, a separate sample size should be estimated for each. The **rule of thumb** explained in Box 3.1 can be used,

Box 3.1: Rule of thumb for estimating sample size in purposive sampling

As a rule of thumb based on empirical experience of household food security surveys, **between 50 and 150 households** per reporting domain can be included in a purposive sample, and the following guidance applied.

If locations are clearly very different from each other:

- divide them into groups of locations with similar characteristics;
- within each group, visit seven to fifteen locations;³¹
- within each location, interview seven to ten households or individuals.³²

If locations seem to resemble each other:

- check that there are no less obvious characteristics that may influence household food security (see **Section 2.7.3.4**), such as:
 - geographical dispersion of the locations, which could affect crop production patterns, access to markets and other services, and roads;
 - population size;

(cont...)

31. However, whenever possible, random probability sampling is preferable to purposive sampling.

32. Here too, random sampling should be considered if it fulfils the assessment requirements.

(...cont)

distribution of ethnic or social groups within the locations, such as different ethnicities or social strata within communities, which may affect access to assets, including food and income;

- direct and indirect impacts of events, etc;
- if differences exist, group the locations according to the chosen characteristic and proceed as indicated above.

If there is no information for identifying differences among locations:

random sampling is applied, as described in **Section 2.7.4.4**; fewer locations and households can be sampled because the statistics derived cannot be extrapolated with known confidence intervals, and time is limited. The number of locations can be ten to fifteen, with seven to ten households within each location.

In purposive sampling, the sample size can be adjusted during the assessment. For example, if it becomes apparent that all locations within a group are very similar, the number of locations to be visited can be reduced to seven or eight, instead of ten to fifteen. When households are seen to be very similar, the number of households visited in each location can be reduced in the same way. Conversely, if there is *more* heterogeneity than expected, groups of locations may be subdivided and additional groups added.

2.7.3.3 Selection of geographical zones

In purposive sampling, the geographical zones to be covered are determined according to the nature of the crisis and the assessment objectives:

- If the crisis is small-scale and concentrated, the assessment may cover only the directly affected area, such as when flooding affects only one isolated part of a country.
- In a sudden-onset crisis, early assessments will prioritize the zones directly affected, where lives are most at risk. Subsequent assessments may consider wider economic, social and health implications.
- In a slow-onset emergency affecting the whole country, such as in a drought in a small country that relies on agriculture, zones may be selected in any part of the country, but random sampling would be more appropriate if time and resources permit.

Wherever possible, it is useful to select a range of zones that include some directly affected, some indirectly affected and some minimally affected, to provide the basis for comparison. This is rarely possible in sudden-onset emergencies, however, so zones are prioritized according to the expected severity of the situation in each.

In some situations, it is worth visiting areas covered by previous assessments to allow qualitative comparisons between current and previous situations.

2.7.3.4 Selection of locations within geographical zones

The locations - villages, communities or neighbourhoods - to be visited can be identified in either of the following ways:

- They can be selected according to the expected severity of the situation, or the characteristics of the locations and the people living in them. This method is used when there are significant differences among the locations in a geographical zone, or when constraints such as time and accessibility limit the number of locations that can be visited.
- When locations are known to be similar, or when little is known about their characteristics, those selected should be more dispersed, and hence more representative. The number of locations should also be increased – i.e. from ten to fifteen (see Box 3.1).³³

When choosing locations, it is important to minimize the “**hub effect**”³⁴ In many emergencies, humanitarian hubs develop in the affected areas, typically main towns, where aid agencies congregate, set up field offices and stockpile resources. Villages close to a humanitarian hub tend to receive more attention and services than those further away. When choosing locations to visit for an EFSA, it is important to bear this in mind and visit some locations that are less easily accessible.

The list of purposively selected locations to be visited can be changed during the assessment, for example, if it is found that initial assumptions about the most affected locations were wrong or incomplete. New locations can be added, and existing ones removed from the list.

As with random sampling, it is better to visit a relatively large number of locations and interview a few households in each, than to visit fewer locations and interview many households in each.

2.7.3.5 Selection of households and individuals within locations

Within each of the locations visited by the assessment team, households, individuals and groups are selected for interview. The aim is to achieve as valid and accurate an impression of the location’s entire population as possible.

If the location is reasonably homogeneous and there is sufficient time, households and individuals can be selected through random sampling (see **Section 2.7.4.5**).

When time is limited, the groups expected to be most severely affected are prioritized. Within these vulnerable groups, households may be selected purposively, such as the most severely affected within the group. This gives the sample a high bias

33. However, when the means allow, random sampling is still preferable.

34. Guidelines for Emergency Assessment, International Federation of Red Cross and Red Crescent Societies (IFRC), 2005.

towards the most affected. In this case *no* generalizations of findings to the general population can be made, only statements about the worst-affected households.

Alternatively, within the vulnerable groups, representative households can be selected by the analyst or, preferably, at random.

For some social stratifications it is often difficult to develop a proper sampling frame, so purposive sampling is used. These groups include:

- displaced people living in a host community;
- the community hosting the displaced people;
- the landless and the poor;
- the livelihood groups that are expected to be most severely affected by the crisis, such as pastoralists during droughts or traders during market collapse;
- members of an ethnic group that is targeted during conflict.

It is advisable also to consider groups that are less severely affected. This gives a basis for comparison, and helps to confirm or reject initial assumptions about vulnerability.

2.7.3.6 Example of purposive sampling

Example 3.4 describes purposive sampling from an EFSA carried out in Rwanda in 2006.

Example 3.4: Purposive sampling in the 2006 Rwanda EFSA

In April 2006, WFP and partners undertook an EFSA in Rwanda to assess the impact of drought on household food security. The EFSA was triggered by indications of severe hardship after two years of poor rainfall. Sampling was based on Rwanda's administrative system: the country is divided into districts, which are subdivided into sectors, and then into cells of 20 to 40 households each.

Sampling approach

Five of the most drought-affected districts were identified from a review of field mission reports by various agencies and government services, and discussion with the country office.

In each of the five districts, a purposive sample of eight cells was drawn. The cells were identified as follows:

- The most affected sectors were selected by the district executive secretaries.
- The head of each of the most affected sectors selected the most affected cells.

Within each selected cell, interviews were held with four to eight of the worst-off households. Key informant interviews, focus group discussions and market and health centre surveys were undertaken, to complement and triangulate the information.

This sampling approach did not provide an overview of the situation, as it focused on the most severely affected areas and households. However, given the time and information limitations, this type of sampling enabled conclusions to be drawn about the severity of the situation and how the worst-affected people can or cannot cope with it.

A sample of the “worst of the worst” is severely biased towards the most food-insecure and is not at all representative of the five districts as a whole; no estimates of numbers of affected households can be made.³⁵

When purposive sampling is used, the assessment report should explain why it has been used and describe the process for selecting which people to interview.

2.7.3.7 Snowball sampling

Snowball sampling can be used if neither random nor purposive sampling is feasible. This may be the case when the population of interest cannot easily be found, such as refugees scattered across a large city, or when people do not wish to be identified, such as illegal immigrants or people affected by HIV/AIDS who do not want to be stigmatized.

Snowball sampling is undertaken as follows:

- Key informants are identified on the basis of their knowledge of the emergency and the people affected by it.
- The key informants are interviewed, and act as entry points by recommending other people who can provide useful information.
- The next group of informants is interviewed and the process continues.

Snowball sampling incurs a high risk of bias. Each informant is likely to refer the assessment team to people that he/she knows. These people may all belong to a particular sub-group within a larger population. For example, if the assessment team is looking for refugees, they may end up interviewing people from only a particular region, or belonging to certain political parties or ethnic groups.

When snowball sampling is used, the assessment report should explain why it has been used and describe the process for selecting which people to interview.

2.7.3.8 Convenience sampling

Convenience sampling is the least effective of the sampling approaches, but if time and access are very short, such as during initial assessments, it may be the only option. In convenience sampling, informants are chosen because they are accessible. For example, if an initial assessment involves only one short visit to the affected area, with little or no preparation, the EFSA team should talk to everyone who is available; team members should apply judgement, such as by visiting health

35. As an alternative, local key informants can be asked to stratify the districts according to whether they are “most affected”, “moderately affected” or “least affected”. Within each of these strata, further substrata can be defined. Households can be randomly selected within each substratum. If the population of each substratum is known, the appropriate sample weights can be applied to make unbiased estimates of the prevalence of food-insecure households.

clinics and other places where they can expect to find good quality information.

With convenience sampling, the risk of bias is very high. Generalizations to other areas and population groups must therefore be made with caution.

2.7.4 Random sampling³⁶

This section presents **methods for in-depth assessments** using random sampling.

2.7.4.1 Principles of random sampling

Random sampling is based on the principle that each unit in a population has exactly the same chance³⁷ of being selected as every other unit. In an EFSA, a unit is usually a household when analysing food security, or an individual when collecting anthropometric measurements.

In random sampling approaches, **all selections within a stratum are made randomly**, including the selection of:

- locations within the geographical strata;
- households and individuals within the chosen locations.

Random sampling is the preferred method because, theoretically, it is the only one that allows findings to be generalized to the entire sampling frame. It is used when there is need for statistically representative data that can be extrapolated to the wider population with a known degree of confidence, such as for estimating the prevalence of malnutrition or food insecurity.

Random sampling requires the following:

- There must be sufficient information about the population, location and numbers to construct the sampling frame from which a random sample is to be drawn, and it must be possible to find each of the households selected for interview. Population lists or maps showing the location of each residence must exist, or it must be possible to construct them.
- It must be possible to assess every area, household and individual within the sampling frame. There can be no physical or security constraints to access.
- There must be sufficient time and resources to visit the selected areas and interview each selected household or individual, including travel time.

36. For more detailed guidance, see: Guidelines for Comprehensive Food Security and Vulnerability Analysis (CFSVA), WFP Food Security Analysis Service, January 2009, and Thematic Guidelines on Sampling, WFP Vulnerability Analysis and Mapping Branch, December 2004.

37. The probability of being selected does not have to be equal for each unit, see: Guidelines for Comprehensive Food Security and Vulnerability Analysis (CFSVA), WFP Food Security Analysis Service, January 2009. It is enough that the probability is known and not zero, so that sample weights can be constructed to calculate unbiased population estimates.

2.7.4.2 Geographical stratification

Normally an EFSA targets a specific area of a country, and a stratified two-stage sampling approach is often used within that part of the country.

Depending on the expected homogeneity of the survey area, geographical zones can be selected in either of two ways:

- If the characteristics of the population and the impact of the emergency are expected to vary across the sampling frame, geographical zones are defined according to such characteristics as the extent to which each is expected to be affected by the crisis. The survey area is **stratified**, meaning that zones are grouped according to characteristics that are important for the food security situation. Random sampling of locations according to population size is then carried out *within* each stratum. Results are representative of each stratum, results from the various strata can be compared, and the number of households to be targeted can be calculated for each zone separately. Such stratification is designed to ensure that each stratum is as homogenous as possible and that there are important differences among strata. A typical stratification could be the agro-ecological or livelihood zones in a country, or the areas that have been affected by a flood vs. those that have not. These approaches are illustrated in the worked example in **Section 2.7.4.6**.
- If no particular food security pattern is expected across the survey area, the area can be subdivided using the existing administrative divisions. If there are too many of these, they can be regrouped. For example, in a survey covering eight provinces of a country, three geographical strata could be maintained: stratum A - covering the three western provinces; stratum B - the three central provinces; and stratum C - the two eastern provinces.

Within a stratum, households and individuals can be chosen through either **two-stage sampling** or **simple random (direct) sampling**.

Box 3.2: Two-stage and simple random sampling

Two-stage stratified sampling (see Section 2.7.3)

This is the most common approach used in an EFSA. The sample is defined in stages:

1. *Stratification*: The **geographical zones** to be assessed are determined. In an EFSA these are based on the expected extent of the emergency's impact, and include both directly affected and indirectly affected areas. For instance, for an assessment after the passage of cyclone Nargis in Myanmar, the delta region was divided into a "severely affected", a "moderately affected" and a "mildly affected" zone. Geographical zones may also correspond to those chosen in previous assessments, for the purpose of comparison.
2. *First stage*: The **locations** to be visited within the chosen geographical zones are selected. These might be villages, groups of villages, towns, neighbourhoods within towns, livelihood zones, camps or any other unit appropriate to the local context and

(cont...)

(...cont)

type of crisis. The locations are selected with probability proportional to size (PPS).³⁸
3. *Second stage*: Within each location, **groups, households or individuals** are randomly chosen for interview, based on an existing or specially prepared list.

Two-stage sampling saves resources and time, as only selected locations are visited. However, the **sample size must be increased** to compensate for the relative homogeneity of households within locations.³⁹

The number of locations to visit and the number of households or individuals to interview within each location depend on the total sample size required. This is estimated differently for random and purposive sampling (see **Sections 2.7.3 and 2.7.4**). In all cases, **it is better to select a large number of locations and interview relatively few households/individuals at each location than to select a small number of locations and interview many households/individuals at each.**

Simple random sampling

Households and individuals are selected from lists covering the entire area under study – i.e. all the units within the sampling frame. This avoids the need to select locations from which to draw the sample. This approach depends on having up-to-date population lists and accurate data on the locations of households and individuals. It also depends on access; if the population is widely dispersed, it may not be possible to reach all units within the time available for the assessment.

Because of these restraints, EFSAs rarely use simple random sampling, unless the sampling frame is small and geographically concentrated, such as in an internally displaced person (IDP) camp.

2.7.4.3 Determining the sample size

The sample size is the number of surveyed units – generally households or individuals – required to give the desired level of precision.

The sample size is calculated on the basis of the main characteristic of interest for the assessment. For example, to estimate acute malnutrition among children under 5 years of age, the sample size is calculated on the basis of the *expected prevalence of wasting*. The number of households to be visited is derived⁴⁰ from the average number of children under 5 per household.

This approach is problematic for food security assessments however, because no single food security indicator can be used to estimate the size of the sample. If baseline studies exist,⁴¹ the proportion of food-insecure households in the baseline study can be adjusted according to the expected impact of the crisis.

38. Guidelines for Comprehensive Food Security and Vulnerability Analysis (CFSVA), WFP Food Security Analysis Service, January 2009.

39. *ibid.*

40. For more details see: Emergency Nutrition Assessment: Guidelines for Field Workers, Save the Children, 2004.

41. For example, the CFSVAs carried out by WFP.

There are formulae and statistical software for calculating sample size once the characteristics to be measured and the expected prevalence have been determined.⁴²

If there are no relevant data from which to estimate prevalence, the rule of thumb explained in Box 3.3 can be used.

Box 3.3: Rule of thumb for estimating the sample size in a household survey

Based on experience from many household food security surveys, a simple rule of thumb is to consider a **sample size of between 150 and 250 households for each reporting domain**. Ideally, the sample size should be towards the upper end of this scale, to increase the reliability of the results and the validity of their extrapolation to other households in the sampling frame. For example, in one reporting domain the sample size is 200 households (ten households interviewed in each of twenty villages). If the sample prevalence of food insecurity is 40 percent, it could be generalized, with 95 percent confidence, that for the entire reporting domain the prevalence of food insecurity is between 31 and 49 percent.⁴³

The following points should be noted when using this rule of thumb:

1. The sample size applies to each geographical area, population group or other reporting domain. For example, if prevalence of food insecurity is to be estimated for both IDPs and residents, a sample of 150 to 250 households must be drawn *from each*. If food insecurity is to be compared among districts, a sample of 150 to 250 households should be drawn *from each district*.
2. If sampling is done in stages (see Box 3.2), the upper limit of 250 households must be used to factor in the homogeneity of the households within each location sampled during the first stage.⁴⁴
3. Anthropometric measurements to estimate the prevalence of malnutrition are sometimes combined with indicators to estimate the prevalence of food insecurity. In this case, **the size of the household sample is based on the sample size required for estimating the prevalence of malnutrition with the required degree of precision**. Typically, the sample required for an anthropometric survey is larger than the 150 to 250 households required for household food security analysis, and a sample of up to 900 children may be recommended.

2.7.4.4 Selection of locations/clusters within geographical zones

When simple random sampling is used, there is no need to select locations, or clusters, as the sample of households or individuals is drawn directly from the entire sampling frame (see Box 3.2).

42. Guidelines for Comprehensive Food Security and Vulnerability Analysis (CFSVA), WFP Food Security Analysis Service, January 2009; and Thematic Guidelines on Sampling, WFP Vulnerability Analysis and Mapping Branch, December 2004.

43. Assuming a design effect of 2.

44. This phenomenon is known as the “design effect”. In EFSAs it may require a doubling of the sample size.

The first step is to determine the number of clusters to visit within each zone or stratum. This depends on:

- the sample size: the total number of households or individuals to interview (see **Section 2.7.3.5**);
- practical considerations, such as time, access, logistics and human resource constraints.

As explained in Box 3.2, it is better to select a large number of clusters and interview a relatively small number of households/individuals in each than to select fewer clusters and hold more interviews in each. The **rule of thumb** explained in Box 3.4 can be applied.

Box 3.4: Rule of thumb for determining the number of clusters in a random sample

Based on experience of assessing household food security, a total of **ten households per cluster** is usually sufficient. The main result of adding households in each cluster is an increase in the design effect. The sample size can therefore be decided according to the following, based on the level of precision desired:

- if the sample size is 150 households, at least 15 clusters should be selected, and at least 10 households within each cluster;
- if the sample size is 250 households, at least 25 clusters should be selected, and at least 10 households within each cluster.

Clusters, often villages, within each zone are selected randomly with probability according to their size (see **Section 2.7.4.6**). The communities or villages to visit are determined according to the selected clusters. There may be more or less than one cluster in a village.

In nutrition surveys of children under 5, it is common to use a 30 x 30 sample: 30 locations are selected, and anthropometric measurements of 30 children are taken in each location. The total sample size is therefore 900 children. It is advisable to fine-tune this sample size according to the expected prevalence of malnutrition.⁴⁵

2.7.4.5 Selection of households or individuals within locations

In each location/cluster, simple random sampling of households or individuals is carried out (see Box 3.2) in either of two ways:

- **Simple random sampling** is preferred and can be used when accurate population lists exist or can be created and when each of the listed households can be located and reached easily within the time available. All the households are listed. Households are then selected at random, using a random number table or by picking names out of a hat. This approach is feasible in small

45. The 30 x 30 sample is valid for an expected prevalence of 50 percent and a desired confidence (at 95 percent) interval of +/- 5 percent, with a non-response rate of about 10 percent. For more guidance, see: A Manual: Measuring and Interpreting Malnutrition and Mortality, CDC and WFP, 2005.

communities and camps with known boundaries.

- Systematic sampling is used when population lists do not exist, but each house can be identified and reached within the time available. Households can be chosen by walking through the location and visiting houses at pre-selected intervals, such as every tenth house, or by spinning a pen and counting off the houses in the direction indicated. Both of these approaches are illustrated in Example 3.5.

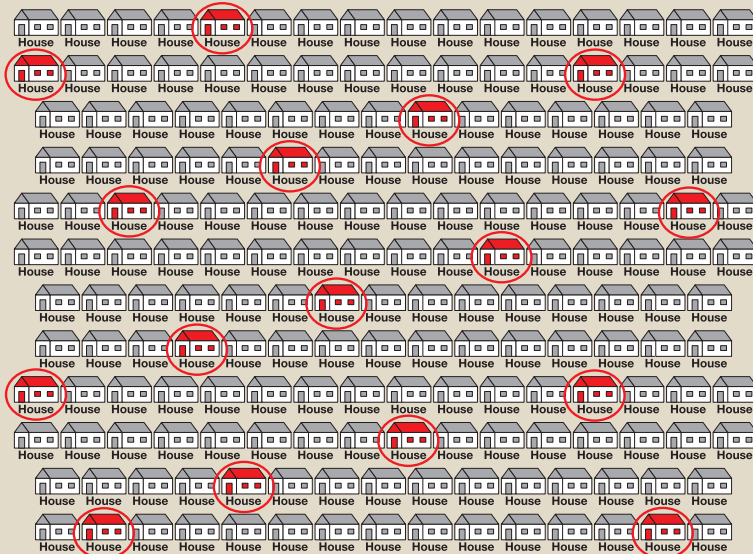
Example 3.5: Selection of households or individuals within locations

Option 1: Houses are laid out in streets and each can be identified from either a map or observation.

Example: A sample of 15 households is to be selected from a total of 186 houses in the location:

- Calculate the sampling interval by dividing the total number of houses by the sample size. In this case: $186/15 = 12.4$ houses.
- Round the sampling interval up/down. In this case: down to 12 houses.
- Agree a starting point for the assessment, usually one end of a particular street.
- Choose a number between one and the sampling interval randomly. In this case: between one and 12, say five.
- Count off five houses from the first identified. Interview this household.
- Count off the next 12 houses and undertake the second interview in the twelfth.
- Repeat the process at intervals of 12 houses until the entire location has been covered, and the sample of 15 households has been completed.
- If there are fewer than 12 houses in the street, continue the count in the next street. Clear instructions about the procedure should be given; for example, “at the end of the street, turn right into the next street”.

The process is illustrated in the following diagram.



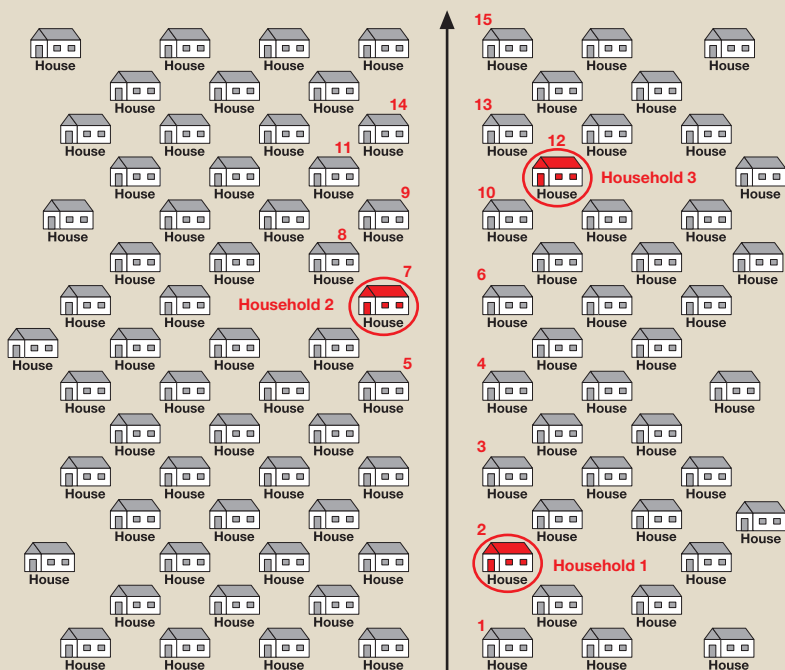
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Option 2: Houses are not laid out in streets, but each can be identified by observation on the ground.⁴⁶

Example: A sample of three households is to be selected:

- Stand in the centre of the location.
- Spin a bottle on the ground or throw a pen in the air and watch where it lands.
- Walk in the direction indicated by the end of the bottle or pen as far as the edge of the location, counting the houses passed. In this case, there are 15 houses.
- Calculate the sampling by dividing the number of houses by the sample size. In this case: $15/3 = 5$ houses.
- Choose a number between one and the sampling interval randomly. In this case, between one and five. This is the first house to be visited.
- After this house, walk in the same direction and count another five houses. The fifth is the second household to be visited. Carry out the same procedure to identify the third household in the sample.

The process is illustrated in the following diagram.



46. Adapted from Guidelines for Emergency Assessment, IFRC, 2005.

2.7.4.6 Example of random sampling

An EFSA is being carried out in a conflict-affected area. Some people have been displaced to camps, while others remain in their homes. Two of the objectives of the EFSA are *to determine the rate of under-5 malnutrition* and *to determine the levels of food insecurity among both displaced and resident populations*.

In this case, the affected area is the basis for **the sampling frame** and it is large, with villages and IDP camps widely dispersed. Although each of these locations could be reached, there is insufficient time to do so. The dispersion means that simple random sampling of the whole population cannot be carried out. Instead, a **two-stage sampling** approach is chosen (see Box 3.2).

The following steps are undertaken:

1. The population is divided into two strata: **resident population** and **IDPs**.
2. For each stratum, a sample of **localities** is needed. For residents, localities are defined as villages; for IDPs they are camps.
3. Because the rates of malnutrition are unknown and therefore cannot be used to calculate the sample size more accurately, it is decided that a 30 x 30 cluster sample will be drawn for each stratum, to obtain a sufficient number of children for statistical analysis of the anthropometric data. Thus, 30 clusters are identified (stage 1), and 30 units – households or individuals – are selected in each cluster (stage 2). In each locality, 30 households will be interviewed to estimate the level of household food insecurity, and 30 children under 5 will be examined to determine their nutrition status.
4. The samples to be drawn are therefore:
 - resident population: 900 households and 900 children under 5;
 - IDP population: 900 households and 900 children under 5.
 Children under 5 are selected from the households where food security interviews take place. The sample size for each stratum is therefore 900 households.
5. A table similar to Table 3.4 is constructed and its columns filled in as explained in the following steps. A separate table is constructed for each stratum: residents and IDPs.
6. To identify where the clusters will be located, the names of the localities – the villages and camps – are entered in the second column. To ensure a truly random procedure, each location is assigned a random number and ranked in the table according to that number.

7. The best available population data for each of these localities are entered in the third column. For the villages, this information may come from a population census or district-level records. Information on camps is obtained from the NGOs, United Nations agencies and/or government organizations that manage them. Camp records should indicate the villages from which IDPs come; this information may be used to modify the data on village populations.
8. The best available data on the number of children under 5 in the population are used. In this example, secondary data sources indicate that approximately 20 percent of the total population is under 5. These data are entered in the fourth column of the table.

Table 3.4: Table for identifying clusters

Randomized order	Geographical unit	Estimated total population	Estimated children 6-59 months	Cumulative population 6-59 months	Attributed numbers	Number of clusters
1	Locality F	2500	500	500	1-500	1
2	Locality N	1000	200	700	501-700	1
3	Locality D	800	160	860	701-860	0
4	Locality A	3250	650	1510	861-1510	2
etc.	etc.	1511-...	...
	Total	50000	10000	10000		

9. The **sampling interval** is calculated by dividing the population of children under 5 by the number of clusters. In this case, the population of under 5 children is 10,000 and the number of clusters is 30. The sampling interval is therefore $10,000/30 = 333$.
10. The location of the first cluster is determined by randomly selecting a number within the sampling interval of one to 333. Say that the randomly chosen number is 256, the first cluster is in locality 1 to which the number range 1 to 500 has been attributed.
11. The remaining clusters are identified by adding the sampling interval sequentially to the starting number until 30 clusters have been selected. In this example:
 - the first cluster is at 256, in locality 1
 - the second cluster is at $256 + 333 = 589$, in locality 2
 - the third cluster is at $589 + 333 = 922$, in locality 4
 - the fourth cluster is at $922 + 333 = 1,255$, in locality 4

The process continues until the required number of clusters have been chosen. Note that the larger the population of the locality, the more clusters it contains.

Therefore, locality 3, with a small population, has no cluster, while locality 4, with a large population, has two clusters. Hence the approach is called **probability proportional to size (PPS)**.

12. Within each of the selected localities, households are identified by one of the methods explained in Example 3.5.

2.8 Human resources

Human resource requirements for an EFSA depend on the assessment methodology that has been chosen:

- For an in-depth large-scale household survey, enumerators, field managers, data analysts, vehicles, drivers, translators, etc. will be needed.
- For an initial or rapid assessment based on purposive sampling and semi-structured interviews, fewer staff will be needed, but the people carrying out the interviews will have to be very well trained and experienced.

Human resources should be drawn from the country office and partners in the country. If capacity is lacking at the national level, additional resources may be requested from the regional bureau and Headquarters, or consultants may be employed.

Human resource needs also depend on the assessment type. The following staff may be required:

- **Assessment managers and team leaders:** See following paragraph on management structure.
- **Enumerators** for questionnaire-based surveys: These individuals need to be well-educated, resourceful and prepared to travel for the assessment period. They do not need in-depth knowledge of food security, nutrition or assessment, but should have at least a basic understanding of these issues and preferably some experience of field-based research.
- **Interviewers** for semi-structured interviews and focus group discussions: These people require a good understanding of food security and nutrition, and must be experienced in interview techniques.
- One **translator** should be available for each member of the field team who does not speak the local language. Ideally, translators should be hired at the same time as the rest of the team, and should go through the same pre-assessment training. Translators are sometimes hired in the field, in which case time should be set aside to brief them on the assessment objectives and data collection methods.

- **Drivers** are required for the vehicles to be used.
- In large assessments, dedicated **administrators** and **logisticians** may be used. In smaller assessments, administrative and logistics capacity may be shared with the country office, in which case the time it allocates to the assessment must be clearly agreed with the country office.
- **Data analysts** and **data managers** are needed if much statistical analysis will be required.

To ensure that gender issues are addressed during field activities, **the enumerators, interviewers and translators should include both men and women**, preferably in equal numbers.

The **management structure** for an EFSA depends on the scope of the assessment. For a large-scale in-depth assessment involving a household survey, different layers of management are needed: overall assessment manager, team leaders, etc. For an assessment in an insecure area, a single team with an experienced team leader is more appropriate.

Management positions typically include the following:

- **Assessment manager** with overall responsibility for the assessment: In addition to strong technical assessment skills, this person should also be able to manage people, organize multiple, simultaneous tasks, and deliver results within a specified period. She/he is ultimately responsible for ensuring that the assessment fulfils its objectives.
- **Field team leaders**: If multiple field teams are deployed to different parts of the affected area, such as in a household survey, each team needs a leader. This person ensures that his/her team works according to the plan agreed with the assessment manager, and is responsible for the team's administrative and logistics arrangements in the field.
- **Analytical team leader**: If large quantities of data are to be processed, an analytical team is established. The analytical team leader ensures that data are properly entered and cleaned, analysis is completed on time, and problems are identified and rectified quickly. This involves collaboration with field teams throughout the assessment.
- **Administrative and logistics team leaders**: For a large-scale assessment, these people are assigned to provide full-time support to other management personnel and assessment team members. For small-scale assessments, they may work part-time on the assessment and part-time in their usual country office roles. In the latter case, it is important to assess the time requirements for each role, and agree these with the country director.

In assessments involving external staff, the country director should assign a senior manager from the country office to liaise with the assessment team. This person does not have a hands-on role in the assessment, but is kept up-to-date with its

progress and any changes in the planning. She/he meets the assessment manager regularly and helps to resolve any operational problems that arise.

All the people working on the assessment must receive training, even if they have undertaken assessments in the past. This is particularly important for enumerators. **Trainers** must be deployed for the time needed, which is typically about two days for enumerators' training and one week for interviewers'.

2.9 Administration and logistics

Most assessments involve a lot of administrative work, such as:

- organizing contracts and payment arrangements for the staff employed specifically for the assessment;
- managing cash flow during the assessment, including paying hotel bills, purchasing food, and other incidental expenses; reliable and *safe* procedures must be developed for teams working in the field, as it is best to avoid carrying large quantities of cash;
- booking hotels, flights, etc.;
- booking office space for training, briefings, debriefings, etc.;
- arranging security clearance, visas and internal travel permits when needed; this can take several weeks, so it must be addressed as soon as the assessment is agreed to.

Teams must have all the equipment and systems they need to operate efficiently and safely in the field, including:

- fully functional and equipped vehicles, with spare wheels, tools and first aid equipment;
- radios, satellite and/or mobile telephones, depending on the context;
- supplies of food and drinking water, where needed;
- camping equipment, where needed;
- adequate quantities of checklists, questionnaires and all the stationery required.

2.10 Communications, security and emergency procedures

Communications procedures must be established to ensure that assessment teams remain in contact with assessment managers and country offices.

Regular contact times should be set; these might be once a day in a secure situation and more frequently when security is poor. Fall-back plans should be made, in case a team cannot report for some reason.

Emergency and security procedures are important, and should include:

- obtaining the latest version of the agency's security procedures for the specific

- context, and ensuring that all team members read them;
- training all staff in the agency's security procedures;
- providing an up-to-date briefing from the security officer;
- establishing field security procedures, such as travel times and no-go areas;
- identifying medical facilities in the areas to be visited;
- establishing evacuation procedures.

2.11 Briefing

All members of the assessment team, including translators and drivers, are briefed before fieldwork commences. Briefing includes:

- the assessment objectives and methodology;
- techniques and tools to be used, such as semi-structured interviews and proportional piling;
- the time schedule;
- communications, security and emergency procedures;
- administrative and logistics arrangements, such as transport and accommodation.

2.12 Assessment schedule

An assessment schedule must be drawn up during the early stages of the EFSA planning process, giving all the major activities and the dates on which they should start and finish. The assessment manager and team members consult the schedule regularly to ensure that their work is progressing according to plan. If the schedule has to be changed during the assessment, the assessment manager consults the country office and partners to ensure that the proposed changes are feasible. Once agreed, the revised schedule is circulated among all assessment team members and partners.

Table 3.5 shows a sample EFSA schedule. The schedule may expand or contract depending on whether it is an initial, rapid or in-depth assessment.

Table 3.5: Example of an EFSA schedule

Activity	Time (days)																				
	Week 1							Week 2							Week 3						
	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21
1. Establish/confirm working arrangements with partners	■																				
2. Collate and review secondary data	■	■	■	■	■	■	■	■	■	■	■	■	■	■	■						
3. Review working scenario from initial investigation	■																				
4. Define assessment objectives and time frame	■	■																			
5. Draw up assessment plan	■	■																			
6. Establish analysis plan and define information requirements	■	■																			
Decide data collection methods and sampling procedure	■	■																			
7. Design/customize data collection instruments			■	■																	
Pre-test assessment tools, with team training					■	■	■														
Finalize assessment tools								■													
8. Prepare briefing kit, supplies and equipment		■	■	■																	
9. Identify and recruit team members	■	■	■	■																	
Train and brief team(s)					■	■	■														
10. Arrange transport, security and communications		■	■	■				■	■	■	■	■	■	■	■						
11. Collect data at field sites								■	■	■	■	■	■	■	■						
12. Process and analyse data										■	■	■	■	■	■	■	■				
13. Identify and analyse response options															■	■	■				
14. Write report															■	■	■	■	■	■	■
15. Present findings																			■		
Finalize and disseminate the report																					■