



UNHCR/WFP

Joint Assessment Mission (JAM)

Guidelines

Second Edition

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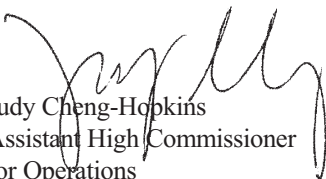
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Foreword

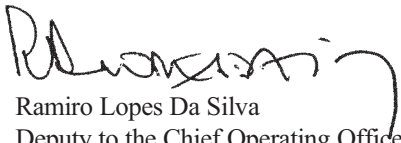
UNHCR and WFP have worked closely together in the service of refugees for many years and the partnership has been progressively strengthened since new working arrangements were introduced in 1992. Joint assessment missions have been organized since 1994 to determine the food and related needs of refugees and other populations of concern to both organizations, and these missions have progressively become more thorough. Building on experience, the 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 second edition of the UNHCR/WFP Joint Assessment Guidelines has followed the first revision of 2004, which resulted from five years 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 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. The second edition has included an update in areas of food security analysis, internally displaced persons, and urban refugee considerations and has updated some key areas such as staff security. This guide is complemented by the Emergency Food Security Assessment Handbook of January 2009 issued by WFP, and Handbook for Self-reliance Activities issued by UNHCR in 2003.

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 ability to meet the needs of a growing number of refugee and internally displaced persons. 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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About these guidelines

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 refugees/returnees and (conflict related) Internally Displaced Persons (IDPs).

The focus is on persons of concern to UNHCR, which includes *refugees* (including asylum seekers, whose status has not yet been determined by the government), as well as *returnees* (*refugees returning to their country of origin*). More recently, due to the Interagency Standing Committee (IASC) work on the cluster approach of the UN family for *internally displaced people* (IDPs), UNHCR also has responsibilities for those displaced who have been relocated within their country as a result of conflict and/or civil strife. *For more information, see IC M(Informal Consultation Meetings) note of 27 February, 2007, The Protection of Internally Displaced Persons and the Role of UNHCR.*

The guidelines apply to ‘regional’ operations, when WFP programmes assistance to refugees/IDPs is 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, and in countries where UNHCR and WFP collaborate to ensure adequate food and nutrition to any given caseload where WFP is involved with refugee or IDP food provision.

Structure of the guidelines

These guidelines are presented in four parts – I *Overview and procedures*, II *Principles of an in-depth food security assessment*, III *Complementary information*, IV *Guidance for response choices*. This set of guidelines is complemented by a CD-ROM containing other documents that may be useful to joint assessment teams.

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.
- **Chapter 4** 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 5** provides brief, preliminary guidance on **joint monitoring**.

In Part II

- **Chapter 6** provides principles and concepts for an **in-depth food security assessments**, within both rural and urban settings. This section introduces the overall framework of availability, access and utilization of food, and the importance of livelihoods, coping strategies and combining data with mortality and nutritional status.
- **Chapter 7** provides a brief sample of considerations in urban refugee and displacement situation, and Chapter 8 provides a linkage between food security and self reliance.
- **Chapter 8** provides an overview of self reliance principles and assessment parameters.
- **Chapter 9** provides general guidance health and nutrition and key areas of assessment, including the organizing of nutrition surveys, review of micro nutrient deficiencies and general review of health data and statistics.

In Part III

- **Chapter 10** provides an overview of numbers and registration and areas to include in an assessment. It offers insight into protection and technical considerations on registration, and ways to analyze the impact of numbers and demography in relation to food programmes.
- **Chapter 11** provides information on environmental and energy (fuel) concerns within a refugee or internally displaced programme.
- **Chapter 12** provides guidance on some key aspects of assessing logistics and storage concerns. In Part IV
- **Chapter 13** discusses aspects of food strategy planning and chapter 14 provides information on planning a general ration, including areas of targeting, distribution, requirements and food composition and aspects of phasing out a general ration programme.
- **Chapter 15** offers guidance in planning and organizing selective feeding programmes, including supplementary feeding and school feeding, and chapter 16 provides standards for programming and for choosing implementing partners.

In the Annexes

Annex A provide an in depth glossary and explanation of terms and terminology used by the distinctive organizations, Annex B provides a report format to be used in any kind of assessment. Annex C Provides the content of the complementary CD Rom, Annex D gives the IASC Cluster Approach description and Annex E provides assessment techniques, including sampling.

Glossary of some key terms

(See Annex A for a more in depth glossary of key agency specific 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 survival, 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.

Food access

Food *access* is a household's ability to regularly acquire adequate amounts of food through a combination of its own home production and stocks, purchases, barter, gifts, borrowing or food aid. .

Food availability

Food *availability* is the amount of food that is physically present in the area of concern through all forms of 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]

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 conversation efficiency of food by the body.

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.

Livelihood

A *livelihood* comprises the capabilities, assets – both material and social - and activities required for a means of living linked to survival and future well being. (Source: Sphere Handbook).

A livelihood group is a group of people who share the same basic means of livelihood and life styles.

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 without resorting to activities that irreversibly deplete the household or community resource base. Within a prolonged refugee or displacement context, self-reliance activities aim to improve the “normalcy” of a situation, and reducing dependency to external aid over the long run, restoring a sense of dignity and an improvement in physical and psychological well being.

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, if prolonged, is difficult to reverse, and is measured by the height-for-age index.

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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 normally reversible once conditions improve. Wasted children are extremely thin, and wasting is measured by the weight-for-height index.

Abbreviations and acronyms

BMI	Body mass index
COP	Country Operations Plan (UNHCR)
DO	Designated Officer, normally the resident Coordinator who is in charge of security matters for the UNCT
DSS	Department of Safety and Security (Previously UNSECOORD)
EFSA	Emergency Food Security Assessment
EDP	Extended delivery point
ELOI	Emergency letter of instruction (UNHCR 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)
IFRC	International Federation of the Red Cross
ILO	International Labour Organization
IR-EMOP	Immediate response emergency operation (WFP)
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
OCHA	Office of Coordination for Humanitarian Affairs

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PLWHA	People living with HIV/AIDS
PRRO	Protracted relief and recovery operation (WFP)
OMXDWFP	Programme Design Service Programme design includes school feeding and nutrition (Nutrition Service, School Feeding Service)
OMXF WFP	Food Security Analysis Service
SFP	Supplementary feeding programme
SGBV	Sexual and gender based violence
SR	Self-reliance
TFP	Therapeutic feeding programme
TOR	Terms of reference
PH/HIV	UNHCR Public Health and HIV/AIDS Section
UNCT	United Nations Country Team
UNDAF	United Nations Development Framework
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, as well as 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, forms the basis of UNHCR-WFP collaboration. The text is reproduced in Annex E.

The MOU is supplemented by the following joint guidelines. In addition, the following documents are considered to complement 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 (this Guideline will be updated in 2009)
- *Model Tripartite Agreement among UNHCR, WFP and the implementing partner*, 1998
- *UNHCR/WFP guidelines for the location and management of EDPs*, 1997

In addition, some recent guidelines have been issued by both organizations that further provide guidance in areas of collaboration, as follows:

- *Emergency Food Security Assessment Handbook*, WFP 2009
- *Self Reliance Handbook*, UNHCR, 2004
- *Technical Guidance Sheet - Urban Food Security & Nutrition Assessments*, WFP 2008.

UNHCR-WFP collaboration is also placed within 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 and communities, as necessary, to fulfil its responsibility to assure the protection of refugees and assistance to refugees and returnees; and

1. Overview of joint assessment activities

1

- more recently the collaboration extends to (conflict related) internally displaced persons, as per the cluster mode and UN reform structures (see Annex D); and,
- within the framework of the UN Country Team (UNCT), and an UNDAF (UN Development Assistance Framework), where support is coordinated for refugee/returnees and IDPs for planning assistance and self reliance activities.

Joint UNHCR / WFP objectives

The ultimate goal of the partnership between UNHCR and WFP is to ensure that food security and related needs of the refugees and returnees [and persons of concern] 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 relate 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]

UNHCR is the lead agency for coordination of all operations (assistance and protection) for refugees, and has recently been made responsible (as agency of `last resort`) for IDP protection. It should be noted that UNHCR is only involved with internally displaced populations who are relocated as a result of conflict. In these situations, UNHCR is also the lead agency for protection, Camp Coordination and Camp Management (CCCM) and emergency shelter. For internal displacement caused by natural disasters, IOM is the lead for CCCM, with IFRC who are responsible for Emergency Shelter.

Regardless of the cause of displacement, WFP is mandated to assist with food and food aid programmes for any emergency, whether refugee, or internally displaced persons, or other - stemming from either man made or natural causes.

In all contexts, whether for refugees, asylum seekers, internally displaced persons or returnees – the importance of thorough food and nutrition joint UNHCR/WFP assessments

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is underlined. For the sake of simplicity, the term JAM (Joint Assessment Mission), herein used in these guidelines will refer to all activities related to joint assessments: planning, missions, studies/surveys, discussions, consultations – and all such assessment and analysis work - that then results in a programme consultation. The word `mission` is retained in its broad sense, but also emphasizes the importance of site visitation to undertake any true assessment.

With the results of the joint assessment as a basis, and after UNHCR and WFP have met together with partners to determine the recommended actions, a Joint Plan of Action (JPA) is jointly drafted and 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, and for WFP: either an emergency operation (EMOP), or a protracted relief and recovery operation (PRRO), and sometimes special (logistic) operations (SOs).¹ These documents are then shared between the organizations. Note: it is also helpful if each organization shares their Letter of Understanding signed between the respective agencies and the government, or sub agreements with NGOs, or with other UN agencies under an UNDAF in areas related to food and nutrition.

In broad terms, and working with other partners, the two organizations seek to ensure that refugees and displaced [and returnees, for an initial period] have access to adequate food and other assistance to meet related essential needs. Coordination also allows the promoting of productive activities that can contribute to eventual self-reliance populations, reducing their dependency on outside assistance.

For WFP, interventions on behalf of refugees/displaced and returnees fall within the Programme's strategic objective #1– save lives and protect livelihoods in emergencies – but also include support for the return of refugees and displaced through food and nutrition assistance to restore and rebuild lives and livelihoods post-conflict or post-disaster (#3), increasing levels of education and basic nutrition and health to reduce chronic hunger and under nutrition (#4) and, occasionally, supporting and strengthening capacities of governments to prepare for, assess and respond to acute hunger arising from disasters (#2).

The following diagram illustrates the assessment and planning phases of various types of operations. In the case of refugees and displaced groups, a joint-assessment mission (JAM) may be conducted within any other type of larger scale evaluation, especially where refugees are repatriating, or are residing in areas prone to natural disasters.

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

1. Overview of joint assessment activities

Summary of Types of Inter-Agency Food Security Assessments

1

Assessment	Main partners	Context	Comment
Joint Assessment Mission (JAM)	WFP – UNHCR	Refugee and IDP situations	Can occur within the setting of another assessment (eg. CFSAM)
Crop and Food Security Assessment Mission (CFSAM)	WFP – FAO	Agricultural areas affected by crisis – primarily droughts or floods	Appropriate when refugees/IDPs reside within food insecure areas
United Nations Disaster Assessment and Coordination (UNDAC)	WFP – governments – other United Nations agencies – NGOs	Large-scale natural disasters	Uses civil defence – and coordinated under OCHA in Geneva
Consolidated Appeals Process (CAP)	WFP – OCHA – governments – other United Nations agencies – governments – NGOs	Large-scale natural or human-induced disasters for UNCT planning and fund raising	Also used as the emergency funding framework overseen by OCHA
Post-Conflict Needs Assessment (PCNA)	WFP – World Bank – UNDP – other United Nations agencies – governments	Post-conflict recovery and reconstruction	Also feeds into the interagency 4 R mode overseen by UNHCR and UNDP.

Note: Modified from the WFP Emergency Food Security Assessment Handbook, 2009

1.2 Types and phases of joint assessment activities

UNHCR/WFP Joint assessments are conducted with a focus on nutrition and food security and may be initiated in many various stages of a refugee or internal displacement situations as follows:

- 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 (which form a part of food security analysis and monitoring)
- 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 situation analysis and participatory planning processes, where implemented²).

Initial assessment

In most cases, when new refugees or internally displaced persons (IDP) arrive in significant numbers and in need of prompt assistance, the assessment will be undertaken in two phases:

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

a detailed initial assessment, following on directly from the rapid initial investigation 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 and internally displaced persons arrive progressively with some possessions and supplies, and for an initial period take care of themselves, and/or are taken care of by local authorities, local communities and/or NGOs already working in the area. In such cases, and due to other factors (such as security or absence of a formal national presence), 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

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

1. Overview of joint assessment activities

1

the initial influx.³ Here, detailed initial assessment may be undertaken without a preliminary rapid investigation phase, if needs are not urgent. However, the two-phase process is still needed in many cases.

A new rapid investigation and follow-up 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

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).

Review/re-assessments

In an ongoing operation, a joint review is undertaken periodically, when both organizations agree that one is necessary, but generally at least every two years. The objective of the review can vary according to the context. Many reviews can verify seasonal trends, the situation of host populations, as well as related threats for a 'pull factor' of such groups into refugee or IDP camps. Review assessments can also verify predictable shocks, advances or deterioration of adaptation and coping mechanisms.

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

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Reviews will normally incorporate prospects for durable solutions, (or an end to internal displacement), and, when appropriate, may incorporate assessment in preparation for voluntary repatriation or return.

A special review/re-assessment may be needed following a natural disaster or some other “shock” such as a major change in food security in host populations, or shifts in government policy that may significantly affect the legal framework for productive activities undertaken by refugees. In addition, a review may be conducted if there is a major relocation of refugees or internally displaced persons, 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

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 secondary 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.

In-depth assessments of food security/self-reliance

An in-depth assessment of the food security and self-reliance situation of the population forms the core of any joint assessment between UNHCR and WFP and is usually undertaken in the first year of the initial influx or movement. Such an assessment is organized as soon as the situation has stabilized, adequate expertise can be organized, and a proper study can be planned with sufficient resources. It is repeated or updated when necessary, especially following any significant change in the situation.

☞ An introduction to principle concepts for organizing an in-depth assessment of food security and self-reliance for both rural and urban populations is provided in Part II, chapter 6 and in the WFP Emergency Food Security Handbook, 2009.

Assessments in preparation for repatriation and reintegration

Prospects for durable solutions (voluntary repatriation/return, local settlement, or resettlement) should be explicitly considered during each review/re-assessment of an ongoing operation. For refugee and IDP groups, if a possibility for voluntary repatriation or return arises and planning should start before the next review/re-assessment is due, a special as-

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assessment will be undertaken in the country of asylum or regions displacement. At the same time, a joint assessment will be undertaken in the country or region of origin to determine any requirements for food-security related assistance, especially to receiving communities. The model of the '4R' (repatriation, rehabilitation, reintegration, and reconstruction) can be used with key partners, including the World Bank and UNDP, placing the JAM activities within the broader UNCT planning, such as an UNDAF, where one exists.

☞ Guidelines for assessments in preparation for repatriation/return (assessment in the country of asylum) and reintegration (in the country of origin) are provided in chapter 4.

1.3. Why a joint assessment?

The purpose of a UNHCR/WFP joint assessment is to understand the situation, needs, risks, capacities and vulnerabilities of refugees or internally displaced people (and host populations) with regards to food and nutritional needs. The joint assessment is a series of activities which normally includes – consultation between programme and technical staff, joint training, joint missions (with other partners), and joint discussion on results.

As a result of joint assessment activities – programme planners of both UNHCR and WFP, working collectively, are able to make informed decisions on recommendations numbers of persons in need, relevance of food aid and programme parameters, and other food security and livelihood activities to be undertaken or encouraged by other partners. 1.4. Links with monitoring and nutrition surveys/ surveillance

Monitoring

Both UNHCR and WFP have responsibilities for ongoing monitoring of food aid activities and nutrition and health status of stakeholders (recipients). UNHCR and WFP field staff are expected to undertake periodic joint monitoring activities, at least on a quarterly basis, at food distribution sites and at the household level.

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.

☞ Guidelines on monitoring are provided in chapter 5.

Nutrition surveys and surveillance

Data on both mortality and nutritional status and trends are essential for any assessment of the food security of displaced populations. They form an essential component of data re-

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flecting food utilization — and often reflect food availability and food access in a given population. All joint assessments must attempt to include nutritional data; without which, no true reflection of lives at risk will be possible. In addition, nutritional data should always be complemented with mortality data where possible.

Surveys and surveillance are undertaken in accordance with standard international guidelines of anthropometric and micro-nutrient aspects of malnutrition. Both UNHCR and WFP staff are expected to participate in the planning and execution of surveys and, if expertise is available, in the analysis and interpretation of the data. They may sub contract an NGO or other partner where adequate staff are absent. Participating organizations and the Government jointly disseminate the results.

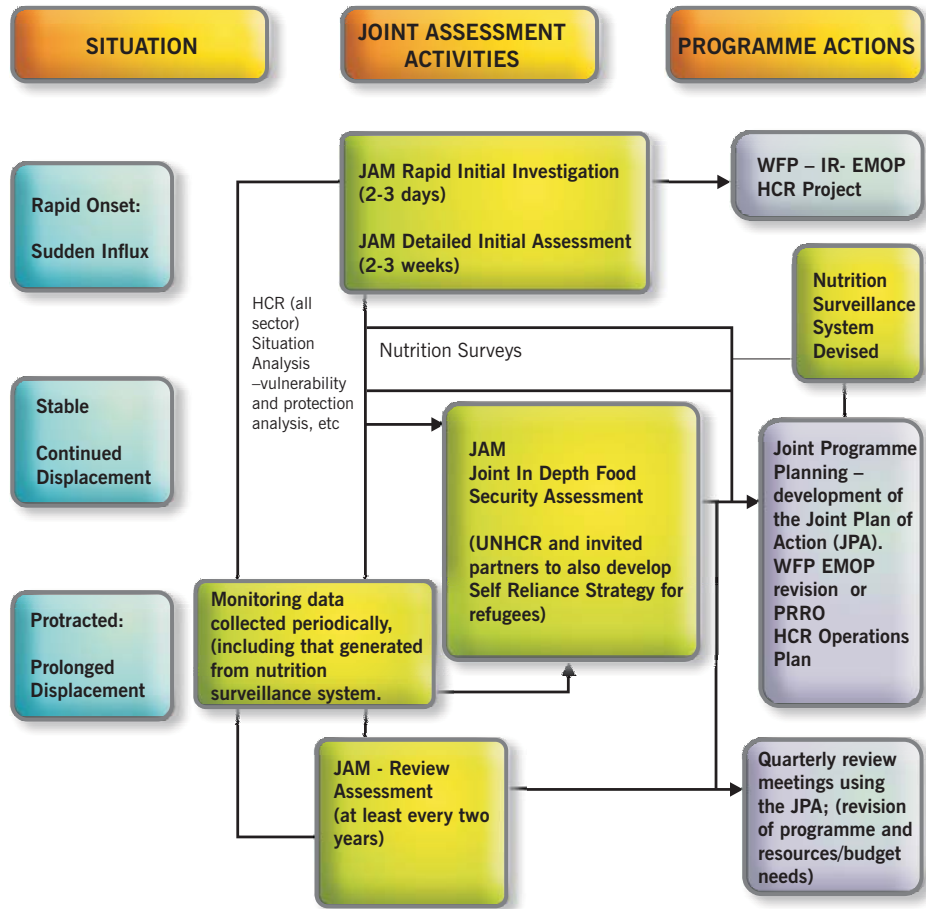
Brief guidance on analysing the nutrition situation, the use of nutrition survey data and interpretation of the results are provided in chapter 9.

☞ Guidelines for organizing nutrition surveys and surveillance are provided in: The management of nutrition in major emergencies, chapter 3, WHO 2000.

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OVERVIEW OF JOINT ASSESSMENT AND PLANNING PHASES

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1.5. Ground Rules for UNHCR/WFP Joint Assessments

The following chart outlines some ground rules to guide assessment teams, and provide general aspects of preparing an assessment team and working in a collaborative manner.

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/IDPs and other stakeholders.

Promote participation and build capacity

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

1.6. Core principles of a JAM

✓ **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/displaced and 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/displaced and 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

✓ **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.

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✓ **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. Be particularly aware of gender biases. Strive to obtain gender disaggregated data;

✓ **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.

✓ **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.

1.7. Gender – a Principle Commitment

Both UNHCR and WFP have made specific commitments to ensure that gender analysis and special consideration for women empowerment and protection/safety is central to any Joint Assessment and any programme planning that follows.

Displacement situations often create risk and opportunities that are distinct to women, as compared to other members of the population. Many refugee and IDP groups lack a normal demographic profile and this often place an increasing burden on women, who must employ survival and livelihood strategies while trying to care for family members. In con-

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trast, traditional norms can be weakened or even shattered in crisis situations, and new and emerging responsible roles of women can be observed. Opportunities may exist for training (in literacy, for example) and other skills-development, which would not be available in a pre displacement environment.

However, risks also increase, in terms of lack of time, physical weakness/poor health, as well as threats to safety and security and the possibility for inequality. This is often particularly the case where combative and military groups operate.

The following describes the set policies of both agencies with regards to their commitment to refugee and IDP women:

UNHCR - Five 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 - Commitments to women

WFP Gender Policy of January 2009 has as its vision to create an enabling environment in WFP for promoting gender equality and the empowerment of women reflected in policies, programmes and actions that support partner countries in addressing food and nutrition challenges.

As such WFP commits itself to:

- continue providing food assistance for pregnant and lactating women, children under 5 and adolescent girls;

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- continue making women the food entitlement holders and ensuring that they are not put at risk of abuse or violence as a result of this policy;
- continue facilitating the participation of women in food distribution committees; and
- continue improving access to education and reducing the gender gap in primary and secondary education, using take-home rations as an incentive.

In particular in camp situations WFP will reduce the burden on, and improve the safety of, women and girls in camps.

Firewood is often collected exclusively by women and girls, who may walk long distances outside the camps with heavy loads and at personal risk. As part of inter-agency efforts, in camps WFP will:

- i) mobilize resources to provide fuel-efficient stoves to the most vulnerable women;
- ii) use its food assistance to support income-generating activities for women and girls;
- iii) support the creation of safe and private spaces for women and girls; and
- iv) facilitate the formation of women's support groups in camps to enable women to make decisions and be heard concerning food and nutrition security.

2. Assessment of a Quick Onset Emergency

This chapter provides overall principles in organizing and conducting a Joint Assessment Mission (JAM) at the beginning of a new emergency – i.e. following an entirely new refugee influx, major IDP movement, or a major new influx during an ongoing operation.

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 or IDP 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 Rome headquarters. In the absence of UNHCR, WFP should contact the Regional Director in UNHCR 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 2.7 at the end of this chapter.

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Relationship with the overall multi-sector assessment and registration processes

The joint UNHCR-WFP initial assessment in a refugee situation:

- represents the food/food security component of the overall multi-sector assessment coordinated by UNHCR in collaboration with the host government and other partners;
- draws on the findings of the other sector 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, and/or estimates through various methods the population in need;
- 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 keep the team informed, 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.

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/IDPs will be the first priority. Thus logistics and communications will form a primary component of the initial assessment – and the JAM team may be in a position to already communicate immediate needs and organize local responses to avoid undo hardship on refugees or IDPs.

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.

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Typical objectives for an initial assessment

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

- to determine whether the refugee/IDP groups need immediate food assistance and/or other forms of assistance: food preparation equipment and water 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-up more detailed assessment should focus;
- to identify immediate factors that could positively or negatively influence eventual food security / self-reliance and productive activities (e.g. location, proximity of markets, access to water, fuel-wood, etc.), and bring constraints to the notice of the authorities who are determining the locations for refugee/IDP 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/displaced: 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;
- to provide data and information for informed decisions by programme planners for : 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 greater food security, production and self-reliance should be provided;
- 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;
- to assess the situation of food security of the local host population and the natural resource base (environment) of the area and provide information on ways to prevent that these are undermined by the productive activities and fuel-wood collection activities of the refugees/IDPs, and address incorporate ways to include attention to any acute food shortages or malnutrition among the local population;

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- to identify and assess the resources and capacities of potential implementing partners to undertake food distribution, food security/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 programme managers to compile a JOINT PLAN OF ACTION (JPA) and elaborated projects and budgets to submit 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 government: at least one representative of the national entity responsible for refugees/IDPs and of the relevant local authority (regional/provincial/district, as appropriate).
- Donors: one or two key representative(s) of the donor community should be invited.
- NGOs: representatives and/or technicians of key health/nutrition 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 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 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);

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- logistics (normally from both WFP and UNHCR);

and 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).

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

While making arrangements for field visits, rapidly collect and review information available from authorities and others in the regions concerning the refugees/IDPs and their present situation, and any information available from the country or sub regions of origin concerning the background.

Note: This initial series of inquiries should always include investigating the number of likely new arrivals, place of origin, rate of influx and predicted numbers in the future. Rapidly changing contingency plans is required if original estimates are found inaccurate.

Key elements of an assessment plan

Elements	What needs to be done
Decide the sites to be visited first	<p>All locations where refugees/IDPs are arriving and settling should be visited during the initial assessment. However, if refugees/IDPs 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, ● the approach to be used in selecting interlocutors and focus groups from among the refugees/IDPs, and the specific types of information to be sought from them, <p>It is rarely appropriate to try to administer questionnaires (organize a household survey) during an initial assessment. This comes at a later date during a full scale food security assessment. (See chapter 6).</p>

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Elements	What needs to be done
<p>Agree on assessment methods</p>	<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> <p>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);</p> <p>the types of key informant to be sought out and the specific types of information to be sought from them,</p> <p>the approach to be used in selecting interlocutors and focus groups from among the refugees/IDPs, and the specific types of information to be sought from them,</p> <p>It is rarely appropriate to try to administer questionnaires (organize a household survey) during an initial assessment. This comes at a later date during a full scale food security assessment. (See chapter 6).</p>
<p>Prepare data collection and reporting formats</p>	<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>
<p>Itinerary, schedule and logistics</p>	<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/IDPs are in an isolated area where there are few services, be as self-contained as possible.</p>
<p>Communications and security</p>	<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.</p> <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:</p> <ul style="list-style-type: none"> ● field visits are cleared security authority / DSS- the Designated Official (DO);

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Elements	What needs to be done
	<ul style="list-style-type: none"> ● 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/IDP sites to be visited first

On the basis of available reports:

- list the sites where people have congregated or are arriving with the reported numbers of arrivals;
- if it is known that risks to the health and survival of the refugees/IDPs 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
- 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/IDPs;
- 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. 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 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.

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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, and send it to the Government, (or Ministry of Health, for example), where possible, for their clearance.

Programme Recommendation Phase: The report should be widely circulated for a few weeks and then a consultation meeting should be held that allows UNHCR and WFP technical, programme and policy staff to meet to decide on recommendations stemming from the findings. This phase should be formal, inclusive and well structured, to allow a professional and harmonious conclusion on response options to be jointly designed by the two agencies.

Partner Involvement: Finally, when programme recommendations are formulated, the donor, and NGO and other international organizations (UNCT) should be invited to participate on the final design of the programme, to undertake fund raising efforts and to determine the partnership base required for recommended activities. The rapporteur should then annex the programme decisions onto the original JAM report of findings, and the entire report can then be widely circulated.

Communicating the report: As soon as the entire 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.

2.6. 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 always be prepared by a joint planning session after the JAM. This should list the actions that have been agreed upon stemming from the joint assessment, ensuring that partners are invited into the programme planning phase, after data has been analyzed and recommendations agreed upon. Use the format below.

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

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The JPA can take the same structure format and item headings as the JAM report — as listed in Annex B.

2.7. Checklist for initial preparation and proceedings

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/IDPs 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/IDPs.

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 One 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 UN-DSS (UN Department of Safety and Security) through the DO (UN Designated Official) who is normally the UN Resident or Humanitarian Coordinator, in order 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 – MOSS compliance - and telecommunications exist for the assessment itself (and subsequent operations in the field) meet the required minimum standards;⁴ and

4 In any situation of Security Phase One or above -, the UN Minimum Operational Standards for Security (MOSS) must be complied with in relation to communications facilities, vehicle preparations, and other security measures – see details of the MOSS on the CD-ROM.

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- ensure that all staff is 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. They apply to all joint missions, whether in quick-onset or protracted refugee/IDP situations.

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Contacts with partners

- UNHCR and WFP should inform the UN Resident Coordinator (and/or Humanitarian Coordinator) of the actions being taken. Where a Peace Keeping operation or SRSR is appointed, relative UN authorities should also be informed.
- At the prompting of the UN authority (RC/HC), a UNCT meeting should be organized to inform UN sister agencies of the planned JAM. If an OCHA office is present, support in coordination and communication should be sought. Important agencies to participate will be WHO (health), UNICEF (water, nutrition and child protection), FAO (food security) and ICRC, (conflict issues).
- 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.
- 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.
- Both organizations may, when feasible, contact their counterparts in the country of origin of the refugees/IDPs to learn about the backgrounds of the refugees/IDPs and the numbers that may be expected to cross the border. Similar information may be received via the respective regional bureaux.

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 – (see Annex E on sampling techniques).
- Check again that you have the necessary security clearance through the DO through the DSS, for countries/areas in security phase one or above and are MOSS compliant where needed.
- If sub-teams visit separate locations simultaneously, ensure that (i) each sub-team is balanced in terms of expertise, local knowledge, and gender, (ii) specific

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sub-team members are properly briefed, and, (iii) one member of each sub-team is designated to compile a note on the sub-team's findings. Note if primary data on livelihoods and coping strategies are to be employed and an index needs to be constructed ensure adequate expertise by persons with a good knowledge of the country, locality and host populations;

- 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/IDPs (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/IDPs about the general situation while the team members are in meetings and at work at the refugee sites.

In the field

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.
- 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...

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

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- Enquire about the situation in the country or area 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/IDPs 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 (including women leaders – such as traditional birth attenders to meet with women in the team alone) 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).

***Note:** Be careful when identifying 'leaders'. Refugee and IDP leaders can often represent factions of any group and may attempt to manipulate information and food ration control to their advantage, and/or of those of a specific group.. To cross check information (and control for potential corrupt leadership) - especially on refugee protection – ensure a balanced gender approach. It is highly recommended that **female JAM members meet separately and alone with women leaders** (usually traditional midwives in many populations), in order to discuss issues related to food security and protection, understand the root causes of problems and ways to better assist the population, especially vulnerable groups. This should be done with strict confidentiality if protection matters are discussed.*

- 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/IDPs;
- Visit health facilities, water supply and storage points, and sanitation facilities;
- Observe food distribution operations;
- Visit supplementary and therapeutic feeding centres;
- Visit markets within and near the refugee site;
- Organize focus groups representing different socio-economic subgroups among the refugees/IDPs;
- Meet with leaders and representative groups from the local (host) population;

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- Receive a debriefing from 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 9.6.

Before leaving each site/locality...

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

After the field visit

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.

2.8. Gathering data on the general context

The following provides a checklist on contextual information that needs to be gathered as a prerequisite for background information about the population concerned. This is applicable to any type of assessment: initial, review or for repatriation. To initiate a JAM without adequate understanding of the context in which refugees or displaced reside will necessarily make any conclusions or recommendations less practical or sustainable.

What is the physical environment in which the displaced reside?

- 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;

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- 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 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 or IDPs 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 or displaced populations 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 and displaced 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 or displaced in particular are targeted for ethnic, political, military or criminal reasons; whether the presence of the refugee or IDPs and assistance operations could exacerbate local conflicts and insecurity; what is the presence of landmines and dangers in cross border movement;
- conflicts within the refugee population: whether there are conflicts among different groups within the displaced population ;
- 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);

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- ❑ what are the implications of these security conditions and potential conflicts for the refugees or internally displaced 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 or IDP 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). ICRC is an important organization to contact for training in legal aspects of conflict – international humanitarian law, etc..

Contact UNHCR-DOS and WFP-OMXF for further guidance.

3. Review/Re-assessment of an Ongoing Operation

3

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 at least every two years for most operations,⁵ or when both organizations agree that one is necessary. Among other reasons, a special review may be needed:

- a) Following a disaster or additional influx;
- b) A major change in government policy that seriously affects the refugees/displaced capacity to grow food or earn income;
- c) 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 a refugee/displacement operation is best considered as a repeated periodic reflection within the ongoing programme planning cycle, and as part of a sustained process of monitoring.

The review verifies where an operation is going and whether it should continue as at present, or needs redirection. It focuses on and provides analysis on 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.

⁵ 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].

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This is in order to 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.

Unless the situation has changed drastically and major programme changes are contemplated, the review/re-assessment does not always have to be as comprehensive and detailed as the initial assessment; although major changes in the original operation will require a new set of objectives to be formed. 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

“This [mission] specifically assessed, reviewed and evaluated the aspects of the operations below and made clear strategic recommendations for future support by all concerned agencies. Assessment of the current food security and livelihood of the Angolan refugees and non-Angolan asylum seekers/refugees, Evaluation of the relevance and fulfillment of objectives, as well as efficiency, effectiveness, impact and sustainability of the ongoing delivery of both WFP food assistance and UNHCR protection, care and maintenance of refugees and any other assistance provided to the Angolan refugees and non-Angolan asylum seekers/refugees, Provision of clear recommendations on ways to improve future delivery of both food and non food assistance with a view to support the identification of durable solutions for the chronic caseload. From Namibia JAM”

[Preface to the report of the Joint Assessment Mission in Tanzania, 2003]
The mission in Tanzania quoted above is an example – see CD-ROM.

A review/re-assessment is a process that usually implies a joint mission; but 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.
- A few combine extensive primary data gathering and analysis as an integral part of the ‘mission’, rather than organizing separate studies in advance.

For each review/re-assessment, the context – and 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. Review/Re-assessment of an ongoing operation

Wherever possible, a joint assessment should fall within the interagency effort to coordinate information and programmes for example in the development of a Consolidated Appeal Process (CAP) for fund raising purposes, or within a United Nations Development Framework (UNDAF) planning process – or a country wide situation analysis - especially for situations of local integration or return. In situations where greater productive and self reliance activities are relied on (e.g. where partial food basket is provided), careful assessment of nutritional and mortality data and micro economic, agriculture production and other areas need to be included.

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3.2. Defining objectives and terms of reference

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

Within the ongoing UNHCR/WFP coordination mechanism, quarterly review meetings should be included within the activities of the UNHCR/WFP Joint Plan of Action (JPA). Three to six months prior to a review JAM, senior programme staff of each organization should focus discussion on the parameters and scope, requirements and procedures of the upcoming review JAM. These preliminary discussions should lead to:

- a joint decision on the kind of the review/re-assessment process required;
- preparation of a preliminary draft of the objectives and the specific policy and/or operational issues that should be addressed;
- 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
- Joint analysis of secondary data and useful information on trends, that will support a focus of the review assessment and avoid duplication of efforts.

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.

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-DOS and WFP-OMXF) and with the UNCT. The timing will be decided taking account of the following:

- vulnerable seasonal considerations (including crop cycle or seasons with heightened infection/diarrhoea among children) in order to `capture risk` and ensure an accurate reflection of coping strategies and compounding factors that contribute to food insecurity;
- prior events that would introduce a `shock` to the displaced population (natural disaster, population movements, relocation or the departure of a significant number of people as a result of spontaneous or organized voluntary repatriation);
- programme timing in terms of the need to issue a new EMOP or PRRO or new budgetary cycle;
- factors that might affect the ability of the review/re-assessment team to visit certain relevant locations – such as logistics/road conditions, etc. ;
- 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 opens up to permit a thorough review/re-assessment.

3.4. When headquarters/regional bureaux participation is needed

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;⁶
- there are complex and/or sensitive issues to be addressed; or,
- the programme is large and 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. Where possible, always include one technician from outside the country in

⁶ 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.

3. Review/Re-assessment of an ongoing operation

order to better verify results and ensure the respective HQ commitment to findings. This may be in the form of a staff member or a hired consultant where needed.

3.5. Composition the review/re-assessment team

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The composition of the team will be jointly agreed between UNHCR and WFP and will normally include the same mix of programme, technical and policy/managerial staff of both organizations, as with an initial assessment:

- 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.
- A nutritionist, public health and food security expert should be part of the team – whether contributed by either organization or a donor or NGO secondment basis.
- 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/IDPs.
- Donors: one or two representative(s) of the major donors should be invited.
- NGOs: representatives of the major NGOs should be invited.

Refugees/IDP: Where feasible, one or two representatives of the refugees/internally displaced population should be included. 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.

3.6. Preparatory phase

As with the initial assessment, 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 may be a longer process than in a quick onset situation, with greater consultation, use and analysis of secondary data and even initiation of special studies. This will normally include, but not be limited to:

- Involving all stakeholders;

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

Preparing a Briefing Folder

As part of the JPA – review assessments should be scheduled and joint preparation of a briefing folder should form an important preparatory activity of the JPA team. (Note: where OCHA and a CAP are involved, use common documentation of the UNCT.)

All relevant documentation needs to 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/IDPs, including sex/age breakdowns and their occupational and educational backgrounds)
- Camp and district information; maps
- Previous joint assessment reports and reviews
- Government policies vis-B-vis refugees/IDPs (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)

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- Gender & protection issues (including sexually-based violence)
- Socio-economic situation of the hosting area(s) and host populations; impact of the refugees/IDPs 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 (see Nepal, 2003 and Tanzania 1998). 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-DOS and WFP-OMXF 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.

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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	2
Recommendation	Action taken, and when (explain any difference from recommendation)	Results

3.7 Drawing up a mission plan & 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

Elements	What needs to be done
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 or 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>

3. Review/Re-assessment of an ongoing operation

Elements	What needs to be done
Form sub-teams, if necessary	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.
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 Annex D. ● 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/IDPs, and the specific types of information to be sought from them; ● 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>
Undertake Training	Ensure that teams receive the necessary orientation and training. This component may take between one and five days.
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/IDPs are in an isolated area where there are few services, be as self-contained as possible.
Prepare data collection and reporting formats	Prepare agreed formats for data collection and reporting.

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Elements	What needs to be done
Communications and security	<p>Ensure the availability of telecommunications facilities to be able to report back regularly to the UNHCR and WFP offices in the capital.</p> <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:</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	<p>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.</p>

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3.8. Preparing and disseminating the assessment 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 briefing of the overall assessment report.

Prepare and present an assessment 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 and conclusions in a few (3-4) pages;
- the co-team leaders should jointly present these provisional findings and conclusions 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.

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.
- The UNHCR Representative and the WFP Country Director should also sign off on the report.

Use of the Assessment Report: Within 30 days a planning meeting or series of meeting (workshops) should be organized by both agencies to ensure a wide partnership and discussion of concrete programme proposals that can be incorporated in the revision of a Joint Plan of Action (JPA). A resulting food security strategy will be formulated to include food aid options and needs, alternative subsidy programmes (FFW or cash modali-

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ties), specialized feeding requirements, addressing micronutrient needs, non food item requirements, considerations for host communities, etc..

Communicating the report: As soon as the report has incorporated programme recommendations and is finalized, it should be signed off by the respective Representatives (or Regional Directors) and then circulated 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.

3.9. 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.

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

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

4. Preparation for Repatriation/Return and Reintegration

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

4

4.1. What is the 4-R framework for joint planning for repatriation or return?

The **4-R framework** refers to a UN collaborative pilot effort for *Repatriation, Reintegration, Rehabilitation and Reconstruction* – within the country or regions of origin, and involves a wider partnership base coordinated particularly with UNDP and the World Bank, as well as post conflict units within donor institutions. The lessons learned from the 4-R framework have shown that a wide partnership base is required for rebuilding the often weak national capacity of war torn countries, in order to ensure a sustained recovery. For IDP return, UNHCR has a limited role in post return efforts, and an exit strategy is devised to ensure that more other developmental agencies and organizations with more suitable expertise are able and willing to follow the sustained activities after displaced return home.

For *facilitated and/or organized voluntary repatriation*, aspects of departure arrangements concerning 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 other the countries of asylum. In all cases, UNHCR is responsible to keep WFP, as well as other stakeholders, informed of the possibility of a durable solution and involve WFP in consultations from an early stage – as soon as UNHCR and the various parties/Government(s) have agreed on a particular type of solution.

UNHCR, working with the UN Resident Coordinator, is responsible to mobilize concerted, inter-sector action, by the UN country team (UNCT), civil society and other actors, including development agencies, 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.

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In case of *spontaneous repatriation*, a joint assessment should be undertaken rapidly in the country 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.

4.2. 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/IDPs 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 or displaced, and for 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 – here a livelihood and asset assessment is vital;
- local social and economic standards and ability to reabsorb refugees/displaced persons in local economies – especially given possible food shortages and inflation in local markets;
- 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 those 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
- especially for returnees in urban areas, whether 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.

4. Preparation for repatriation/return and reintegration

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]

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Where specific WFP assistance to returnees in an organized/facilitated repatriation operation is appropriate, it will be provided for a **minimum of three months, and usually up to nine months** – until the next harvest for returnees in rural areas. If the initial nine month assistance package is inadequate, as is often the case when livelihoods have been disrupted for lengthy periods, WFP may consider including the returning refugees/displaced within an ongoing relief/assistance or development programme already established within the sub region or among local populations. Alternatively, some vulnerable sub-group of returnees may be integrated in targeted ‘safety net’ programmes – such as food-for-work, school feeding or health based food distribution programmes. Where such a programme is missing, discussion on the need to appeal and create an additional programme need to be undertaken by both organizations and donors, with the possibility of undertaking a separate appeal for this phase. UNHCR is responsible for informing the 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.⁷

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-sector area-based assistance to the localities to which people are returning rather than reintegration packages to individual returnee households.

⁷ Returnee packages have been provided to Toureg nomads leaving Burkina Faso in 1997, and to some Afghan refugees/IDPs leaving Pakistan in the 1990s in exchange for their ration cards.

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 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 or internally displaced 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.

4.3. Initiating assessments in the countries of asylum and origin

In the country 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. 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. Exploring a 4R approach and involvement of UNDP and World Bank in post conflict rehabilitation activities can be employed.

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.

4. Preparation for repatriation/return and reintegration

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.

4.4. Defining assessment objectives and terms of reference

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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, the outline for the report, and the date by which the report should be submitted.

In the country of asylum

Typical objectives are:

- To define any food and related non-food requirements during the movement of the refugees or displaced persons to the departure points from the country 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 or displaced persons 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, and to clean up and restore the environment.

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;

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- To determine when the returnees in rural areas will likely benefit from their first harvest after their return and the extent to which this harvest will cover their food and income needs;
- 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 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.

4.5. Organizing the assessment

In the country of asylum

When a special, repatriation-focused joint assessment is organized separately from a periodic review/re-assessment, the team should normally include those usually participating in a review assessment, with greater participation from donors and international organizations such as the World Bank, and development agencies such as UNDP, UNICEF and FAO.

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.

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

4. Preparation for repatriation/return and reintegration

4.6. What methods to use?

In the country of asylum

Essential planning data will be drawn from preliminary UNHCR and government plans for repatriation. If an in depth food security assessment has not been undertaken, the original livelihood base and likely productive activities that will be resumed when returning should be established using the methods outlined in Part II, chapter 6 and in the WFP-EFSA Handbook.

Visits should be made to:

- all camps or sites from which the refugees/displaced will depart, to discuss arrangements with refugee leaders and representative groups;
- all planned stopping points where the refugees/displaced 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. At a minimal, the conditions of return, in terms of productive activities, local economies and risks and opportunities should be assessed to better insert and reintegrate refugee/returnees. Note: if conditions are not adequate for return, then refugees/displaced will likely return to camps to access food aid. It is highly important to ensure adequate longer term productive activities in the country or areas of origin.

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;

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- to discuss with transporters, forwarding agents and warehouse owners.

In the country 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/displaced have to pay);
- Whether food for the journey is to be provided to the refugees/displaced 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/displaced]

- 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

4. Preparation for repatriation/return and reintegration

- health care
- security

Planning for use of the site(s) and facilities after departure: [discussions with local leaders, development officials and NGOs, and focus groups of refugees/displaced 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/displaced taking account of land ownership;
- Arrangements to be made to preserve facilities when the refugees/displaced depart, and to rehabilitate the site and facilities, if needed;
- Arrangements for the continuing use and management of the land and facilities.

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4.7. Assessing in preparation for safe return and reintegration – a checklist

In the country of origin – preparing for return and reintegration

Essential planning data from country 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, livelihood profile, 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;
- Present level of security in that area;
- 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.

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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;

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

4. Preparation for repatriation/return and reintegration

- Expected and predicted 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 and the extent to which this harvest will contribute to their food and cash needs;
- The food and related assistance returnees will need (from WFP and UNHCR), and for how long, (usually three to nine months);
- What, if anything, returnees should receive as 'carry home' items when leaving the country of asylum.

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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.

☞ For details of planning for repatriation in general, see:

- *Handbook for repatriation and reintegration activities*, UNHCR 2004
- *Reintegration – a practical checklist*, UNHCR Aug. 2003
- *Policy Framework and Implementation Strategy – UNHCR's Role in Support of the Return and Reintegration of Displaced Populations*, August 2008

☞ For more detail on possibilities for self-reliance, see:

- *Handbook for self-reliance activities*, UNHCR, 2004

5. Monitoring

Both UNHCR and WFP share the principle responsibilities for monitoring. Field staff from both organizations are expected to undertake periodic joint monitoring activities together at food distribution sites and at household/community level, as well as monitoring general nutritional status. 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.

5.1. What is the purpose of monitoring?

The purpose of monitoring is to:

- verify whether operations are proceeding as planned and producing the expected results;
- Detect changes in the situation that may require some modification of plans or follow-up expert investigation (e.g. a survey); and
- Enable the programme to be modified or re-designed partially, or in its entirety, and prompt action initiated in case *lives are threatened*.

Basic indicators of key programme aspects (*inputs, process and outcomes* must be monitored in all situations for result-based management reporting purposes. In the language of **M&E (Monitoring and Evaluation)**, the following concepts are important:

- **Input Indicators** – are those resources (funds), tangible investments (training materials) and objects (food aid), that have actually been delivered as per a programme plan;
- **Process Indicators** – are those activities that have been undertaken as has been planned. For example, training materials have been created, but a process indicator would reveal that a certain number of people have actually been trained.
- **Outcome Indicators** – are those measurable results that the process had the outcome intended, such as the number of times surveys were conducted as a result of training.

In addition, in evaluations (not monitoring), impact indicators are used to measure actual longer term impact, but this is usually not measurable in the short term monitoring time frame.

Monitoring requirements are *context specific* and 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.

Inclusion of nutritional and mortality data will always form a core aspect of monitoring of any displaced population. The measuring of weights and heights of children under-five years (acute nutritional status) provides a proxy indicator of the nutritional status of the entire population, if other variables are controlled, and especially if the population in question is exhibiting high overall mortality (> 1 death/10,000).

Monitoring itself will provide essential information for the next review/re-assessment. The box below describes the two main types of monitoring that are conducted in refugee/displaced situations.

Two main types of food aid 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.

5.2. What information is gathered 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.

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The following checklist provides guidance on what to look for when monitoring food distribution:

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

5. Monitoring

- 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

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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
- Suggested recording and reporting formats are provided in Food Tool Kit, UNHCR 1999.

5.3. What information is gathered for 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 one to two 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/IDPs’ 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. The following checklist suggests information to be gathered at household level to verify the plausibility of data received from other sources. This is in order to identify areas where more detailed enquiries are needed.

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

- 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;

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- ❑ *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/IDPs 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.

☞ Some guidance is provided in Food Tool Kit, FTM-2(b), UNHCR 2008. 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 Handbook, 2009 (WFP).

PART II

IN-DEPTH FOOD SECURITY

ASSESSMENT

This section deals with overall principles and concepts related to an in depth food assessment, urban settings and principles of self reliance and assessment of nutritional and health status. It is intended to be complemented with methods and indicators found in the WFP Emergency Food Security Assessment (EFSA) Handbook, 2009.

6. Overview of Food Security Concepts

6.1. Introduction

Any joint assessment made by UNHCR and WFP should strive to include some information on food security and self reliance, especially in the second phase of operations, after the acute emergency/influx has passed. UNHCR uses the term 'self reliance' as a part of its mandate for refugee protection. Although an individual or household may have been uprooted, once determined to be a refugee and accepted in the country of asylum, he/she and his /her family deserve the right to a normal existence, within international legal parameters.

An in-depth food security analysis, led by WFP, can identify the prime (original) livelihoods and coping strategies, which can then assist UNHCR in developing a multi-annual self reliance strategy, with programmes to augment knowledge and skills, and activities which will support a greater transition when durable solutions are found.

Normally, the costs of an in-depth assessment are shared between UNHCR and WFP, especially when a consultancy is required (see MOU # 3.8). Food security analysis can be used in rapid appraisals – as in initial assessments in quick onset emergencies - as well as within in-depth studies employed in protracted situations lasting more than a few months. It is extremely important to undertake this type of assessment within the first year of displacement and periodically after this. In the context of displaced persons the assessment will focus on:

- the degree of risk (to lives) and immediate actions required;
- the degree of risk (to livelihoods) that displacement has created;
- the extent of dependency on a food ration and access and consumption of a variety of food (especially when assessing the possibility of micro-nutrient deficiencies) ;
- assets and skills which they may have brought with them or be able to be generated;
- the legal framework (in terms of legality of refugee economic and livelihood activity);
- any negative coping mechanisms and ways to prevent them; and,
- the host communities and environments and opportunities/risks for greater food security among all groups.

6. Overview of food security concepts

In this chapter, the topic is addressed in broad terms and does not intend to provide more than an overview of food security concepts. For a greater discussion of methods, see the WFP Emergency Food Security Assessment Handbook, 2009. Any food security assessment will necessarily fall within a context of other possible data sets, and systems of data collection and interpretation. Thus the JAM must always coordinate with partners to ensure that no duplication of efforts is made, and that it uses all relevant data that may be available for host populations. Primary data may be collected for both a JAM, and/or any other review, (such as conducting a nutritional survey months prior to the mission), but should be coordinated with all other agencies and government partners to maximize data collection funds. Secondary data, for example collected from service statistics (such as an HIS, or Health Information System), or data from studies, (such as a UNICEF supported anaemia research, or a FAO supported livestock census), should always be utilized to the maximum extent possible. In protracted situations or the context of refugee local integration or reintegration, this can best be done by ensuring at least three months of preliminary desk review in collecting and researching existing information among all partners. Collection of secondary data commences at the start of the assessment process and continues through to the end.

For in depth food security assessments, the Emergency Food Security Assessment (EFSA) framework will be employed when possible, using standardized indicators, and ensuring adequate technical resources as possible.

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6.2 What is the emergency food security framework ?

The analysis of food security must use a multi dimensional approach that reflects the social, economic and biological context of an individual or household. In emergency situations, where people have been uprooted, a set of compounding factors are introduced that immediately demand attention to food insecurity, as lives may be in danger. Thus, within an initial JAM in a rapid onset emergency, it is important to ensure that emergency food is provided and adequate where people have lost their livelihoods, and not delay assistance until a more in depth analysis can be made. As UNHCR has noted, it is impossible to protect refugees, if their basic needs are not met.

At the World Food Summit in 1996, food security was defined as:

“Food security exists when all people, at all times, have physical and economic access to sufficient, safe and nutritious food to meet their dietary needs, and food preferences for an active and healthy life.”

Thus, the analysis of food security in unstable situations is similar to any emergency and is based on three pillars: (i) food availability; (ii) food access; and, (iii) food utilization. Food availability concerns the food that is physically present in the area of concern through all forms: usually food aid in the case of relief assistance to refugees, but also through domes-

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tic production and commercial imports. Food availability might be aggregated at the regional, national, district or community level. For the purposes of an EFSA, food availability is usually analysed at the district and community levels, while national and regional food availability may be considered when developing future scenarios and discussing response options. In refugee and displaced situations, it is generally analyzed at the camp level, but can also focus on the district and community levels if these groups are dispersed amongst residents. In displacement situations, food availability is normally determined by:

- transfers – food supplied by aid agencies (WFP) and/or other entities;
- production – food produced in the area;
- trade – food brought into the area through market mechanisms;
- stocks – food held by traders and in government reserves or brought with them;

Food access relates to a refugee or IDP household's ability to regularly acquire adequate amounts of food, through a combination of borrowing or food aid, its own home production and stocks, and purchases. The following are some examples:

- refugee/IDP food ration (and supplementary foods provided to individuals which are shared among all members);
- own production – crops, livestock, handicrafts, etc.;
- foraging - hunting, fishing and gathering of wild foods;
- purchase at markets, shops, etc.;
- barter – exchange of items for food;
- gifts or remittances from friends/relatives;
- grants or one time gifts from community/church, government, aid agencies, etc..

Food may be available but not accessible to certain households if they cannot acquire a sufficient quantity or diversity of food through these mechanisms. In displacement situations, a combination is often found, as refugees and displaced often complement the food aid ration with other food sources, both to make for a diverse and healthier diet, but also due to under rationing which occurs periodically in most relief operations.

Food utilization forms the third pier in food security for any population. Food utilization refers to households' use of the food to which they have access, and the individuals' ability to absorb and metabolize the nutrients – the conversion efficiency of the body. Food utilization includes:

- the health status of each member of the household, (often precarious in crowded displaced and stressed populations);

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- the ways in which food is stored, processed and prepared, including the water used, cooking fuel and hygiene conditions;
- the quality of the food used, such as the milling process used, the possibility of molds or contaminants due to expiration, shelf life, storage;
- feeding practices, particularly regarding individuals with special nutritional needs, such as babies, young children, the elderly, sick people, and pregnant or lactating women;
- the sharing of food within the household, and the extent to which this corresponds to individuals' nutritional needs - growth, pregnancy, lactation, etc.;
- the environmental conditions, exposure to elements (cold) and ways this may increase energy and nutrient demands.

Thus, food may be available and accessible but certain household members may not benefit fully if they do not receive an adequate share of the food in terms of quantity and diversity, or if their bodies are unable to absorb food because of poor food preparation or sickness. Especially in refugee and internally displaced populations, a prolonged journey without adequate food, water and/or shelter (protection from exposure), extreme crowding after settlement and other detrimental health factors often result in a highly vulnerable population resulting from physical, psychological and social trauma. Thus, utilization must be of high consideration in analysis and will be reflected in data related to nutritional status, micro-nutrient and health statistics: morbidity/mortality data.

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Nutritional Status

Assessing the nutritional situation is an integral part of any emergency food security assessment. This does not necessarily mean that a JAM must always carry out direct measurement of the nutrition status, such as collecting anthropometric data, but should strive to obtain such data where acute emergency conditions exist – if only to identify children at risk through MUAC. See Chapter 9 for a full explanation on assessing nutritional status. In food security assessments, in addition to identifying the obvious health risks and problems affecting malnourished people, information on nutrition status is useful because it provides objective and comparable indications of the extent of risks to lives and livelihoods. In particular:

- acute malnutrition (measured as low weight for height, or mid upper arm circumference) is a clear sign that lives are in danger;
- chronic malnutrition (measured as low height for age) indicates that there are long-standing problems related to food, health or care, generally related to poor livelihoods or deterioration of livelihoods.

The **causes of malnutrition** are summarized in the Sphere standards as follows:

“Food insecurity is one of three underlying causes of malnutrition [the others being health and care practices], and therefore wherever there is food insecurity there is a risk of malnutrition, including micronutrient deficiencies. Consideration of the impact of food insecurity on the nutrition situation is an essential part of food security assessment. However, it should not be assumed that food insecurity is the sole cause of malnutrition, without considering possible health and care causal factors.”

All effective food security analysis must use both malnutrition and mortality data to be accurate. If primary data can be gathered at the time of the assessment, greatest accuracy will be achieved in understanding the situation. If surveys cannot be organized at the time of the assessment, secondary data should be used. Two types of malnutrition can be measured and compared: The health status refers to the body’s ability to absorb and use the nutrients that are consumed; sickness, such as diarrhoea, can cause food to pass through the body without being absorbed, and the public health environment refers to the conditions in which people live and the conduciveness or otherwise of these conditions to human health; water, sanitation, waste disposal systems and type of housing are key determinants of the public health environment. In many longer term displacement situations, a Health Information System (HIS) is established based on international norms and provides a wealth of information on disease incidence, trends and severity. Knowing the mortality trends in under five children due to diarrhoea and upper respiratory illness will often inform the mission on the situation of malnutrition, as these conditions are usually linked.

In addition to this, care practices refer to the ways in which dependent members of a household are looked after and fed. Among other factors, it includes feeding practices for babies and young children, particularly breastfeeding and complementary feeding. Individual malnutrition can exist in households with good food access and a healthy environment, if care practices are not adequate due to absence of the mother, who may be deceased or absent due to the need to leave the home in search of inputs such as water, fuel, or work. Where households demography is skewed, such as absence of males, or older females due to displacement, care practices may be compromised for lack of time of mothers and older siblings.

The food security status of any refugee or IDP household or individual is typically determined by the interaction of a broad range of agro-environmental, socioeconomic, and biological factors. Like the concepts of health or social welfare, there is no single, direct measure of food security. However, the complexity of the food security problem can be simplified by focusing on:

- **aggregate food availability,**
- **household food access, and**
- **individual food utilization (focussing on the most vulnerable).**

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These data sets are then complemented with those relating to nutritional status and health (mortality/morbidity) to provide a comprehensive picture. See chapter 9 for more detail.

6.3. What are assets and livelihood?

The standard analysis of livelihood security begins with examination of household **assets** and **livelihood strategies**.

An asset can be defined as “anything that is considered valuable or useful, such as a skill, a quality, a person, etc.”⁸ In the Sustainable Livelihoods Framework, assets are defined under the following six categories:

- **Human:** health and nutrition status; physical capacity; skills; level of education; etc.
- **Social:** household, gender, kinship and other networks; community groups; values and attitudes; etc.
- **Financial:** income; credit and loans; savings; liquid assets; etc.
- **Physical:** productive assets such as tools and equipment; stores; housing; live-stock; infrastructure; etc.
- **Natural:** land; water; forests; etc.
- **Political:** power relationships, access to (and influence on) local and higher level government processes,

Strategies are the ways in which households utilize and combine their assets to obtain food, income and other goods and services, in the context in which they live. This is explained in the Sustainable Livelihoods Guidance Sheets as follows:

People’s choice of livelihood strategies, as well as the degree of influence they have over policy, institutions and processes, depends partly upon the nature and mix of the assets they have available to them. Some combination of them is required by people to achieve positive livelihood outcomes – that is, to improve their quality of life significantly on a sustainable basis.

WFP, EFSA Handbook, 2008

When people are displaced, vulnerability results from abruptly losing assets, livelihood options and resources. It is for this reason that refugees who cross a national border most often require immediate food or cash assistance. Likewise, internally displaced who suddenly move to other regions due to conflict, will likely be removed from their prime livelihood base and require assistance as well.

8 Chambers Compact Dictionary, Chambers Harraps Publishers Ltd, Edinburgh, UK, 2005

However, in longer term operations, an understanding of the actual food security situation of the displaced, whether refugee or IDP, will assist both UNHCR and WFP and other partners to plan for augmenting livelihood strategies and avoid negative coping behaviour that can result from destitution.

6. 4. What are livelihood strategies?

Strategies are used within the parameter of existing or obtainable assets and form a 'household livelihood strategy'. In the case of refugees and IDPs, food aid will often form the central strategy, which is then – eventually – complemented by other activities. The following is an example of an asset profile and use when applied to strategies. For the sake of comparison, scenarios that might be found in rural poor settings versus that of an uprooted population in a conflict zone are compared. Profiling is an important method that is used in food security assessment.

Example 6.1 Profiling Comparison of assets and strategies of typical rural poor versus refugee or internally displaced setting

Example: A family has the following asset profile:

Rural Poor

- **Human:** healthy and able-bodied men and women of working age; good knowledge of agriculture.
- **Social:** well connected in community
- **Financial:** few productive assets
- **Natural:** No land
- **Political:** no local representatives at national level

Uprooted in Conflict Zone

- **Human:** unhealthy, under nourished, many women headed households.
- **Social:** well connected in community
- **Financial:** no productive assets
- **Natural:** No land
- **Political:** No representatives at national level but strong refugee leadership.

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Assets are utilized to form a **livelihood strategy**:

- The household in a rural poor environment might use its strong **social** assets to obtain loans with which to rent land and buy tools and agricultural inputs. This enables it to utilize its **human** assets to cultivate and compensate for the low level of **financial** and **natural** assets.
- The uprooted household in a conflict zone will probably depend on **social** transfers (food aid), which may then become **financial** assets (trade), until such time that **natural** assets and opportunities are generated. The refugee community is likely to be very inter-dependent, and living in close proximity - thus lending and borrowing of food and assets may be stronger in traditional populations of similar ethnic origin.

Adapted from the Emergency Food Security Handbook, WFP 2009

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The above example shows that demography should always form a central area of analysis in any in depth food security assessment of refugees or displaced, as these are often abnormal and refugee groups often show a disproportional number of households headed by women and a high dependency ratio in terms of large numbers of children and youth, with fewer natural and financial assets.

6. 5. The importance of the context

The above example also demonstrates the importance of analyzing the context in which refugees and internally displaced persons reside, and the factors that may be supportive or detracting from food security. In addition to the assets to which a household has access and the strategies that it can employ are affected by the context, as follows:

- **Policies** may affect access to natural assets, through laws governing land tenure and property rights; the use of economic and physical assets, through trade policy; and the development of human assets, through payment for education and health services. In the case of displacement, a refugee may not have a legal basis in which to be employed, although informal economic activity is normally tolerated if it does not replace national opportunities. Here UNHCR will need to explore the legal framework in which refugees may participate in the local economy.
- **Institutions** include formal services, such as health, education and agricultural extension; and informal or customary institutions, such as those governing participation in the workforce, for both men and women, natural resource management of forests, pastureland and water, and conflict resolution. In large scale displacement – refugee or IDP, competing resources often overwhelm local institutions and new government structures must be invented or augmented.

- **Processes** are the ways in which actions take place and change occurs. They are affected by power relations and in turn affect the range of strategies available to a household; for example, access to influential people enhances strategies. Informal relationships, such as traditions of trust and reciprocal support, are crucial to livelihood strategies. Often refugee and internally displaced persons are subject to skewed power relationships/ leadership both outside and within the camp or settlement. Great care must be taken to avoid creating artificial power structures, through food distribution, where manipulation or exploitation of refugees can occur.

6. 6. Resilience, vulnerability and coping of refugee/IDP for food security

Displacement – whether across a border or internal within a country, is almost always the result of a major shock. This shock may have occurred slowly over time, or suddenly within hours or days. One key question to ask regarding the food and nutrition security within refugee groups is the length of time that such populations have been food insecure? If a displaced family has suffered years of chronic deprivation as a result of war in the country of origin, they will be more depleted, more malnourished and less able to adapt, than that household that was displaced abruptly from 'normal' conditions, and has been in good nutritional health prior to movement.

Thus, within a displaced population, households and individuals react in different ways. The extent to which they can withstand shocks without further excessive disruption of their livelihoods depends on their resilience or vulnerability. This very often depends on the history of deprivation, and the assets that they have been able to bring with them, or the degree which they can depend on host communities (for example if from the same ethnic background) – and the conditions of the area and place of displacement: including risks and opportunities.

Resilience and vulnerability are different ways of describing the same thing: a household or individual with low resilience is considered to be vulnerable. Resilience and vulnerability are determined by:

- the type of shocks that people are exposed to, for example, the duration of time during exodus; exposure to elements/cold; exposure to disease; level of pre displacement poverty and food shortages, duration of time without assistance, duration and severity of conditions of conflict, trauma, etc.;
- the degree to which households and individuals can recover from shocks.

When shocks go beyond the difficulties faced in normal times, households and individuals employ coping strategies. Migration, whether forced or not, is often seen as an extreme

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coping strategy that understandably results in great disruption to survival and normal livelihood strategies, thereby reducing resilience and increasing vulnerability. However, in other cases the receipt of remittances sent by migrants is an essential contribution to recipients' livelihoods.

In general, the more assets to which a household has access and the more varied the strategies available, the more resilient that household will be. However, it is possible that households with many physical, financial or natural assets are targeted during conflict or civil unrest. In such cases, a strong asset profile increases vulnerability.

In displacement situations, assets will normally be determined by a number of more complex factors, such as:

- the pre displacement conditions;
- what they have been able to bring with them;
- how long the refugees and displaced have been residing in their current location;
- the characteristics of the post displacement locality (e.g. whether isolated or near markets), the extent of crowding, exposure, etc..

In addition, and especially where informal cross border and internal migration may be more frequent, such as with pastoralists - access to original assets may be sustained and family members may move seasonally back to their original farms or livestock holdings, to sustain assets and obtain income on a seasonal basis. In this case, leaving family in camps and receiving food aid is a coping strategy, and allows a dual mode of enhancing the survival and recovery prospects of a household. The above example demonstrates one means in which some displaced groups diversify and strengthen their assets and also pinpoints the importance of seasonality of vulnerability: when livelihood opportunities may be decreased or increased. Especially with regards to the timing of relief assistance, the seasonal aspect of planning becomes essential.

6.7. Use of indicators

In an in-depth emergency food security assessment uses a standardized set of indicators, in order to determine the nature of risks faced by individuals and households balanced against their capacities (coping and resilience) and vulnerabilities. The analysis is divided into two key stages:

- **Situation analysis:** focuses on the current food security and nutrition status of the population at the time of the assessment.
- **Forecast and response analysis:** scenarios are developed for forecasting the direction and magnitude of future trends. The types of intervention and capacity of stakeholders to provide assistance are determined.

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The severity of a food security or nutrition crisis depends on the extent to which health and/or livelihoods are threatened and is estimated using proxy indicators.

It is essential that WFP and UNHCR staff working in refugee situations strive to harmonize the indicators (terminology, definition and use) within and without refugee/displaced environments to avoid confusion. According to the emergency food security assessment (EFSA) methodology used by WFP, key sets of indicators are employed: mortality rates, nutrition indicators and food security indicators with adjustments in the actual indicators used according to the context and circumstances and supported by contextual and qualitative information. Proxy indicators to estimate the severity of food insecurity include: *A) Food Consumption Score; B) Food Access Indicators, C) Coping Strategy Index; in addition to D) Nutritional and Mortality, as follows:*

- A) **Food Consumption Score.** This is a proxy indicator that represents the energetic (calories) and nutritional (macro- and micronutrient content) value of the food that people eat. It is based on dietary diversity (the number of food groups consumed by a household over a reference period), food frequency (the number of times, usually days, a particular food group is consumed), and the relative nutritional importance of different food groups. The food consumption score is calculated from the types of foods and the frequencies with which they are consumed during a seven-day period. The mean of calculating a food consumption score as described in the box below:

Example of Calculating the Food Consumption Score

In the household questionnaire

Households are asked to recall the **foods that they consumed in the previous seven days**. Each item is given a score of 0 to 7, depending on the number of days on which it was consumed. For example:

- If potatoes were eaten on three of the last seven days, they are given a frequency score of 3.
- If potatoes were eaten on three of the last seven days, even if they were eaten twice on each of those days, at two meals, they are still given a frequency score of 3.

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In the analysis

Food items are grouped according to **food groups** and the frequencies of all the food items surveyed in each food group are summed. Any summed food group frequency value over 7 is recoded as 7.

Each food group is assigned a **weight** reflecting its **nutrient density**. For example:

- Beans, peas, groundnuts and cashew nuts are given a weight of **3**, reflecting the high protein content of beans and peas and the high fat content of nuts.
- Sugar is given a weight of **0.5**, reflecting its absence of micronutrients and the fact that it is usually eaten in relatively small quantities.

For each household, the **household food consumption score** is calculated by multiplying each food group frequency by each food group weight, and then summing these scores into one composite score.

The household score can have a maximum value of 112, implying that each of the food groups was consumed every day for the last seven days.

The household score is compared with pre-established **thresholds** that indicate the status of the household's food consumption. WFP finds the following thresholds to be applicable in a wide range of situations:

- Poor food consumption: 0 to 21.
- Borderline food consumption: 21.5 to 35.
- Acceptable food consumption: > 35.

These thresholds can be adjusted if there is clear justification for doing so.

For example in populations where consumption of sugar and/or oil is frequent among nearly all households surveyed, even when the consumption of other food groups is rare and the food score is otherwise low. In these cases if this base diet of oil and sugar is combined only with frequent (7 days) consumption of starch base, the score already arrives at 21. However, this clearly cannot be classified as even a borderline diet. For this reason the thresholds can be raised from 21 and 35 to 28 and 42 (by adding 7 to each threshold, this accounts for the daily consumption of oil and sugar which gives 7 points to the FCS).

If the consumption of oil and sugar on the overall population is higher the FSC thresholds should be changed as follow.

- Poor food consumption: 0 to 28.
- Borderline food consumption: 28.5 to 42.
- Acceptable food consumption: > 42.

Note: For greater detail on how to construct a food consumption score, see the Emergency Food Security Assessment Handbook, WFP- 2009.

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Although this indicator provides essential information on people's current diet, the food consumption score is of limited value when undertaking in-depth analysis of food consumption patterns, for the following reasons:

- It is based on a seven-day recall period only. This is insufficient for a full analysis of food consumption for longer periods, which is likely to vary according to season, for example.
- It provides no indication of the quantity of each foodstuff consumed.
- It does not give information on intra-household food consumption, such as who eats first and last.
- It does not show how food consumption has changed as a result of the crisis, unless previous food consumption scores for the same households are available.

B) **Food Access Indicators.** Food access is a measure of a household's ability to acquire available food over a given period and indicators are tailored to the population being assessed. In a refugee/displaced environment food access indicators can include:

- foraging or use of wild or famine foods
- food stocks (general ration distribution)
- local market data such as terms of trade (cost of staple food or livestock compared as a ratio with daily wage rate) and diversity of foods available
- expenditures
- income

In refugee situations, use of secondary data related to food and warehouse stocks and distributions, and primary data collection of market values, as well as key informant interviews on typical labour opportunities and wages, will normally make up a profile on food access.

C) **Coping Strategy Indicators.** These refer to the behaviour that people employ to adapt to food insecurity and are a reflection of the degree of risk that they may face. In displacement situations, this may prove to be the most sensitive to identifying risk. Viable coping strategies indicate those behaviours that are employed that assist in survival, in livelihood and in generating well being. Negative coping strategies are those behaviours which may have a detrimental affect on long term well being, and which introduce social and/or environmental risk. The coping strategy index (CSI) can be used to analyse the structure of coping strategies. The development of a **coping strategy index** is constructed in relation to **the context**, and forms a prime indicator to fine - tune the food security indicators.

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It can be noted that in terms of rapid appraisal particularly, coping strategy index research has led to a reduced version. The **reduced CSI** is a sub-set of the context-specific CSI, but is calculated using a specific set of behaviours with a universal set of severity weightings for each behaviour. Note: The reduced index is less valuable in identifying the most vulnerable households in a given location but it is very useful for comparing across crises zones or for geographic targeting because it is measuring only the same set of behaviours and uses the same weights. Often in refugee/displacement situations these actions are employed when general rations fall below requirement levels and can indicate this problem. These actions include:

- eating less-preferred/expensive foods,
- borrowing food or relying on help from friends and relatives,
- limiting portion size at mealtime,
- limiting adult intake in order for small children to eat, and
- reducing the number of meals per day.

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Note on the risk of Negative Coping Strategies in refugee situations

Because of the inherent vulnerabilities in refugee and displaced groups, a special warning should be made on negative coping. The identification of negative coping strategies that can occur as a result of destitution and life threatening circumstance in uprooted populations is an obvious warning that immediate interventions are required. Where these are employed, it is questionable whether to wait for a full fledged food security analysis, but to go ahead and initiate aid, while undergoing more in depth analysis. Most negative coping is completely contrary to international protection instruments and rights based legal conventions, which guide activities on behalf of the displaced. These can include:

- refugee or displaced children dropping out of school to assist in income generating activities
- refugee or displaced women or children resorting to prostitution or forced labour in exchange for food aid or in order to purchase food;
- further displacement or sending out family members - including that of younger members of the household, in search of work or food (sometimes crossing areas infested with landmines);
- bribery or other forms of corrupting the aid workers for access to food security, resulting in faulty registrations.

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This list is not exhaustive, and it is noted that displaced women and children will be most often those who suffer the physical and social consequences of a highly food insecure environment where aid is not forthcoming.

Particularly in refugee/IDP camps, food aid access and consumption may vary widely from week to week and month to month due to ruptures in pipeline, donor response, etc., thus a seven day recall may not reflect real values over a longer period of time.

For the reasons stated above, more information is needed if food consumption practices and trends are to be fully understood. For example, questions on usual food consumption should be asked to complement the seven-day household food consumption score.

- D) **Nutrition and Mortality.** Finally, together with food security indicators measuring availability, access, and coping — with the development of a CSI and administration through focus groups or sample surveys, *always* include indicators of **mortality and nutritional status data**. See chapter 9 for more information.

Mortality indicators are measured at the *population* level. In acute rapid influx refugee situations, mortality is normally first gathered through grave counting. Later it is often obtained from secondary sources, which are commonly camp service centres such as hospitals statistics. Primary mortality data can also be collected, *but a representative random sample must be used*. It is rarely possible to obtain accurate mortality data in the early stages of an emergency owing to the lack of reliable data collection and reporting mechanisms, poor access and rapidly changing circumstances. Moreover, in many disaster prone-countries, reliable data do not exist for normal times.

Significance of Crude mortality rate in emergencies

Crude mortality rate	Significance
< 1 death per 10 000 people per day	Reasonable health situation
1–2 deaths per 10 000 people per day	Elevated mortality
> 2 deaths per 10 000 people per day	Health emergency

Nutritional status is measured through surveys that measure the anthropometric (body) measurements of children six months to five years and comparing these with international standards. In emergencies, especially with refugee and displaced populations, the use of weight for height or Mid upper arm circumference (MUAC) index is recommended to identify wasting.

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Comparison of a variety of different indicators including the above, is an effective way of determining the severity of a crisis.

- ☞ Further details about indicators and analysis can be found in the 2009 WFP Emergency Food Security Assessment Handbook, in parts II and IV.

6.8. Population based classifications

In addition to cross tabulation of food security and consumption scores to determine household risk, population based classification is now being developed which can grade a given group's risk in terms of various levels of food insecurity. Developed from models of famine prone zones in the Horn of Africa, the Integrated Food Security Classification is useful when categorizing food insecure situations.

The IPC is generally not used for analysis in camp settings, unless the purpose is to compare between camps, in which case, exact same methods and use of data and indicators would be required. The IPC is more useful when looking at local or resettlement/return situations of refugees/displaced who are moving or returning to areas of chronic food insecurity. In this case, UNHCR and WFP may determine the need to integrate refugees into a drought relief programme, for example, rather than apply the arbitrary "three month ration" cut off that is often applied in repatriation programmes. The five phase model is provided below.

Further inter-agency work on indicators and thresholds will take place in 2008-09 under the aegis of FAO, in order to refine the Phases and their description.

Key reference indicators and thresholds used in the IPC approach

Phase Classification		Indicators and thresholds	
1A Generally Food Secure		Crude Mortality Rate	< 0.5 / 10,000 / day
		Acute Malnutrition	<3 % (w/h <-2 z-scores)
		Stunting	<20% (h/age <-2 z-scores)
		Food Access/ Availability	usually adequate (> 2,100 kcal ppp day), stable
		Dietary Diversity	consistent quality and quantity of diversity
1B Generally Food Secure		Water Access/Avail.	usually adequate (> 15 litres ppp day), stable
		Hazards	moderate to low probability and vulnerability
		Civil Security	prevailing and structural peace
		Livelihood Assets	generally sustainable utilization (of 6 capitals)
2 Moderately/ Borderline Food Insecure		Crude Mortality Rate	<0.5/10,000/day; U5MR<1/10,000/day
		Acute Malnutrition	>3% but <10 % (w/h <-2 z-score), usual range, stable
		Stunting	>20% (h/age <-2 z-scores)
		Food Access/ Availability	borderline adequate (2,100 kcal ppp day); unstable
		Dietary Diversity	chronic dietary diversity deficit
		Water Access/Avail.	borderline adequate (15 litres ppp day); unstable
		Hazards	recurrent, with high livelihood vulnerability
		Civil Security	Unstable; disruptive tension
		Coping	'insurance strategies'
		Livelihood Assets	stressed and unsustainable utilization (of 6 capitals)
		Structural	Pronounced underlying hindrances to food security

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Phase Classification		Indicators and thresholds	
3	Acute Food and Livelihood Crisis	Crude Mortality Rate	0.5-1 /10,000/day, U5MR 1-2/10,000/dy
		Acute Malnutrition	10-15 % (w/h <-2 z-score), > than usual, increasing
		Disease	epidemic; increasing
		Food Access/ Availability	lack of entitlement; 2,100 kcal ppp day via asset stripping
		Dietary Diversity	acute dietary diversity deficit
		Water Access/Avail.	7.5-15 litres ppp day, accessed via asset stripping
		Destitution/ Displacement	emerging; diffuse
		Civil Security	limited spread, low intensity conflict
		Coping	'crisis strategies'; CSI > than reference; increasing
		Livelihood Assets	accelerated and critical depletion or loss of access
4	Humanitarian Emergency	Crude Mortality Rate	1-2 / 10,000 / day, >2x reference rate, increasing; U5MR > 2/10.000/day
		Acute Malnutrition	>15 % (w/h <-2 z-score), > than usual, increasing
		Disease	Pandemic
		Food Access/ Availability	severe entitlement gap; unable to meet 2,100 kcal ppp day
		Dietary Diversity	Regularly 3 or fewer main food groups consumed
		Water Access/Avail.	< 7.5 litres ppp day (human usage only)
		Destitution/ Displacement	concentrated; increasing
		Civil Security	widespread, high intensity conflict
		Coping	'distress strategies'; CSI significantly > than reference
Livelihood Assets	near complete & irreversible depletion or loss of access		
5	Famine / Humanitarian Catastrophe	Crude Mortality Rate	> 2/10,000 /day (example: 6,000 /1,000,000 /30 days)
		Acute Malnutrition	> 30 % (w/h <-2 z-score)
		Disease	Pandemic
		Food Access/ Availability	extreme entitlement gap; much below 2,100 kcal ppp day
		Water Access/Avail.	< 4 litres ppp day (human usage only)
		Destitution/Displacement	large scale, concentrated
		Civil Security	widespread, high intensity conflict
Livelihood Assets	effectively complete loss; collapse		

7. Urban Household Food Security

This chapter discusses some differences with assessing food insecurity in urban settings, where refugee and displaced households are normally dispersed and inter-mingled within, often food insecure and poor, host-communities.

7.1. Differences of urban versus rural settings

In determining food access, sources and consumption of refugees in urban settings, some complexity is introduced. For example, in urban areas, the balance between ‘own production’ and other sources is likely to be reversed when compared to rural areas. Urban poor households often identify ‘foods purchased in the market’ as their primary food source; where refugees and/or displaced may show a mix with transfers: mostly food aid options (including vouchers), if such programmes operate and food purchased.

Thus, the more limited food basket and fewer categories that typically suffice in rural areas where food aid and ‘own production’ predominate may mask important differences between food sources in urban areas that are potentially associated with refugee household food security and vulnerability.

This suggests that when measuring food access of urban refugees, foods purchased with cash should be distinguished from foods purchased on credit to capture debt accumulation associated with meeting household food needs. In turn, there is also a need to distinguish between food purchased on credit and food borrowed from family and friends as - despite both carrying an obligation for repayment - it is important to understand when each is engaged and by whom in order to gauge the resources available to households to withstand temporary shocks.

7.2. Food transfers in refugee / IDP urban settings

Another compounding factor in analyzing food sources in urban settings is that there is likely to be a wider array of unconditional food transfer opportunities in urban areas even if many households do not have access to them, or they don’t cumulatively add up to a greater amount of ‘free food’ than in rural areas. The value of distinguishing between these sources is that it provides a means of gauging the status of informal, formal and semi-formal safety nets, as well as who is able to access them and when.

7. Urban household food security

Most registered refugees in an urban situation, who are of concern to UNHCR, will receive a small cash stipend until such time that greater self reliance is achieved. Until recently, the numbers of urban (individual cases) of UNHCR was minimal and could be dealt with on a case by case basis. However, UNHCR and WFP faced some very large urban displacement situations in the past years, and better identifying vulnerabilities and opportunities for stimulating better transfer programmes, including those that support viable coping mechanisms, is required. The box below describes the array of likely food sources for urban refugees/displaced populations.

Urban relevant food sources (food aid includes food/vouchers for food)

1. own production (crops, animal products)	7. beg for food
2. purchase in market with cash	8. scavenge for food
3. purchase in market on credit	9. food aid from government
4. work for (or paid with) food	10. food aid from local civil society
5. borrow from family/friends	11. food aid from UNHCR/WFP or partner
6. gifts from family/friends	12. other (specify)

7

7.3. Income sources in urban settings

The issues raised in relation to food sources apply equally to assessing income sources in that the balance of household income derived from 'own production' and other sources in urban refugee situations - is likely to be inversely related to the balance found in rural areas.

Moreover, income sources in urban refugee groups are typically more diverse, fluid and complex – both within and between households. In addition, income derived from the informal sector is likely to dominate in refugee and IDP urban groups, especially if the 'legal framework' and policies for viable employment are lacking. One very important part of any assessment in urban displacement settings, will be the recommendations that can be formulated for improving the options of refugees to integrate in the formal sector of employment. In addition, the legal framework (within refugee protection activities) existing or required needs to be thoroughly addressed, as well as exploring innovative programmes that would benefit both refugees and host communities. These options, together with market subsidy and other actions that may stabilize food prices, may avert the deterioration of coping strategies that would create social and health risks to vulnerable groups.

7.4. Livelihood strategies

Livelihood strategies of urban displaced, are likely to differ greatly between urban groups, and when compared with rural populations. For this reason, measures of livelihood and coping strategies must be tailored to the actual context to be accurate. The following chart describes a typical array of coping strategies:

Likely Urban Livelihood Coping Strategies

1. reduce non essential expenditures (education, health, transport, rent, etc)
2. borrow food or money from family/friends
3. send household members to eat/live with family or friends
4. purchase food/non food items on credit
5. borrow money from informal money lenders or banks
6. work additional hours or take on additional casual employment
7. produce more of own food
8. send HH members elsewhere in search of work
9. send children or elderly to work
10. engage in illicit/high risk income generating activities (prostitution, stealing)

7.5. The use of macro level indicators

Macro-level market profiles at the national and regional level are a necessary component of this urban food security analysis. To truly integrate the analysis of markets into food security assessments, meso-level measures that link local market conditions to household outcomes are also needed. The following table identifies a number of key indicators to fill this gap that can be collected through a combination of secondary sources (where timely and relevant), key informant interviews and focus group discussions with traders, employers and others knowledgeable about local market conditions. Indicators related to skilled and unskilled wage labor should utilize the same sub-categories used in defining information needs for wage labor as income sources.

7. Urban household food security

Key macro level market indicators

Indicator	Description
Wage rates	wage rates for skilled/unskilled labor
Labor markets	changes in the demand for skilled/unskilled wage labor
Terms of trade	<ul style="list-style-type: none"> ● skilled/unskilled wage labor rates -to- staple food ● skilled/unskilled wage labor rates -to- cooking oil ● skilled/unskilled wage labor rate -to- rent
Purchasing power	consumer price index (food and non-food basket)
Formal and informal credit markets	availability of consumer credit
Changes in retailer/trader debt load (or debt ratio)	interest rates, presence of usury/predatory lending at exorbitant rates

7

7.6. Analyzing possible urban shocks

Potential shocks impacting urban refugee food security are listed below, and constitute very real threats to families maintaining food diversity and adequately meeting their nutritional needs. In examining income (wage and transfer), such as price index and minimum wage, or household surveys or information gathered from key informant group interviews, the analysis of urban food insecurity must include the inclusion of possible shocks to food access or consumption should always be included in any urban setting. In addition to natural disasters that may affect urban groups (floods, earthquakes, or civil strife or war), the following table lists some shocks that will quickly affect the access and availability of food to urban poor.

Possible Shocks for Urban Refugees / Displaced Regarding Food Security

● commodity price increase (food/non-food)	● closure of large company or layoffs	● inflation
● strikes	● transportation cost increase	● structural adjustment programs (SAPs)
● electricity/water cuts	● riots (food and otherwise)	● currency devaluation

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● changes in policy/ regulation	● increase in interest rates	● crime/conflict/insecurity
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With the identification of shocks, the population at most risk can be included in more in depth analysis of risks to livelihood, food access, food consumption, and coping mechanisms.

7.7. Special note on methods and sampling

In terms of refugee groups who are often mixed with other host populations, the use of focus groups is likely to be the best means of ascertaining the degree of food security obtained by refugees. Sampling in populations of refugee and non refugee groups who are mixed, as is most often the case, becomes very difficult if one wishes to understand refugee food insecurity, or compare, for example, refugee households with those in the host community. In this case a very large number of households would be needed to ensure statistical viability. In addition, any HH survey using questionnaires would need to find members at home, and this proves difficult during normal working hours. Visits can be scheduled for evenings, but security is a consideration in urban poor settings. Finally, using a seven day recall method is also difficult, given the complexity and use of mixed (manufactured) food stuff in urban settings. Diets tend to be much more diverse (although not necessarily healthy) and from mixed ingredients. This also poses difficulty in survey methods.

Thus in large urban refugee settlements, especially those that are mixed with host communities, a less stringent sampling frame, and greater use of discussion and focus groups – collecting data on proxy indicators, is suggested. See annex D for more information on sampling methods.

☞ For more information on urban food security, see: WFP Guidance Note Technical Guidance Sheet, Urban Food Security & Nutrition Assessments, prepared by Greg Collins, June 2008.

8. Assessment for increasing refugee self-reliance

This chapter discusses the need for an analysis of self-reliance in any refugee food security assessment, in order to prepare for eventual durable solutions, and ensure a diversity of livelihood options, prevent micro-nutrient deficiencies, and expand viable coping strategies – especially in the event of shocks or reduced food entitlements/access.

8.1. Why include the aspect of refugee self reliance?

When undertaking an in depth food security assessment among refugee populations, either in rural or urban settings, determining the existing capacities and opportunities for self reliance is a central part of any food security assessment. As many refugee households and individuals will have difficulty returning to their homeland within any short period, access to livelihood forms a core component of refugee protection, supporting their physical, mental and social well being. It is important to reduce free transfers (vouchers or food aid, for example), if viable coping and income sources are available, or can be generated.

Remember, the purpose of assessing self-reliance is to enable programme managers to better decide ration levels, (and when to phase out full rations), needs for safety nets, and income generating and livelihood support needs. Such transitions are delicate but facilitate a refugee population’s eventual (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 strategies⁹ 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]

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

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Thus the in depth assessment must estimate the capacity which exists for refugees to meet their own needs. During the joint programme planning phase, after the initial JAM, it is important that activities are undertaken to develop a self reliance strategy and invite a wide range of partners and donors to support self reliance activities.

8.2. What are the elements used for analyzing self reliance?

- Government policy and relations among the refugees/IDPs and local, host populations: whether the refugees/IDPs have/will have access to land, markets, employment, etc.;
- Backgrounds, skills and attitudes of the refugees/IDPs;
- Sustainability of current activities and new ones that might be considered;
- Impact on the local population and the environment/natural resource base;
- Impact on gender roles, responsibilities and care practices within the refugee/returnee community; and
- Level of economic activity generated by the assistance operations themselves and what will happen as those operations and the presence of outside agencies diminish.

While assessment can gather data to help inform follow up programmes for self reliance, 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*, section 4, ILO-2003. Thus ensure adequate data to justify resource investments and justification for programme support.

8.3. Analysing self-reliance opportunities

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/displaced persons and the resource base they possess (capital available to them), and that of the host sub-region or community. Economic self-reliance may be increased by:

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

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

8. Food security assessment for increasing self-reliance

- check that the refugees or displaced families, local population and national and local authorities all understand – and agree with – the aim of achieving a potential level of self-reliance in the circumstances;
- identify the factors that influence – facilitate or constrain – their ability for self-reliance 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 or internally displaced, their right to life with dignity and the quality of the asylum provided;
- national and local government regulations concerning: 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 displaced and refugee groups 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 UN agencies and individuals in their employment
- the willingness of the donor community to support self-reliance pending a durable solution.

Economic factors

- 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;

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- ❑ 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 or displaced persons and how well these 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 target group has 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 or displaced persons and in the locality for items that could be produced by them (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 or displaced 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 or displaced may produce; transport facilities and costs; measures that could open access to other markets for refugees or the host populations;
 - the factors (if any) that constrain market operations (e.g. transport difficulties).

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- ❑ 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 and displaced – 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 displaced households (or cooperative groups of IDPs or 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.

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- ☞ 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 2005.
- ☞ 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.
 - Note on methods: some of the rapid – participatory, qualitative – methods most commonly used in assessments in emergency situations are outlined in Annex E. These include:
 - 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 Participatory Techniques and Tools, Booklet 5, Working with Communities 2001.

8.4. What type of information and from what sources?

The following checklist suggests information to gather when visiting markets in and near the refugee sites.

What information to seek from markets

- 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.

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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.

8

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;
- 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;

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- buying and selling prices of agricultural (including livestock – healthy animals) and other products that refugees/IDPs 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/displaced 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, 2009.

 For further details concerning market potential to support increased self-reliance, see: Handbook for self-reliance activities, UNHCR

9. Assessment of Nutrition and Health Status

This chapter outlines the means to gather and analyze information on the health and nutrition situation, as an integral component of assessing food security within refugee or internally displacement situations.

Malnutrition is both an outcome and a cause of food insecurity, and ill health is both caused and results from malnutrition. Food security assessment is complete only if the data from health statistics (mortality), and nutritional status (malnutrition), are included, and carefully examined by adequately trained and technically sound professionals.

9.1. Approaches to assessing nutrition and health

As mentioned in Chapter 6, indicators devised from health (mortality) and nutrition form the basis of assessment, as core indicators of an emergency food security assessment. The following chart describes the data to be gathered and likely sources:

8

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 and/or observation; <input type="checkbox"/> Obtain data from the health information system; <input type="checkbox"/> Collect retroactive data during nutrition surveys.
Morbidity, public health risks and health services: disease outbreaks; water availability and quality; environmental sanitation; people's access to health services and the quality of those services	<input type="checkbox"/> Obtain data from the health information system, health department and NGOs providing health services; <input type="checkbox"/> Review health monitoring reports and those of previous assessments and evaluations; <input type="checkbox"/> Discuss risks and the quality of services with key informants – local health officials, health agencies, epidemiologists and experienced health workers;


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What to assess	How to assess (Sources/methods)
	<ul style="list-style-type: none"> <input type="checkbox"/> 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; <input type="checkbox"/> Discuss with refugees/IDPs in focus groups to learn of their perceptions; <input type="checkbox"/> Summarize current recommendations, the status of action on them, and the additional actions required to protect health.
<p>Prevalence and distribution of malnutrition: the present situation and recent trends (wasting, oedema and, in a protracted situation, stunting)</p>	<ul style="list-style-type: none"> <input type="checkbox"/> Obtain reports of nutrition/anthropometric surveys (primarily of children under 6 to 59 months of age and, if possible, for adults); <input type="checkbox"/> Review monitoring reports and those of previous assessments and evaluations; <input type="checkbox"/> During the initial phase, review data for admission to selective feeding programmes and duration of stay in the programmes <input type="checkbox"/> Obtain information on micronutrient deficiencies in the most vulnerable groups <input type="checkbox"/> Obtain information on the nutritional status of pregnant women and the prevalence of low birth weights (LBW) from clinics; <input type="checkbox"/> Identify patterns of malnutrition among different groups, trends and any seasonal variations;
<p>Causes and risks of malnutrition: 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"> <input type="checkbox"/> Review data on food access and utilization from food security assessments; <input type="checkbox"/> Review information on outbreaks and prevalence of communicable disease; <input type="checkbox"/> Discuss risks associated with feeding practices, water availability, hygiene and sanitation, with key informants – nutrition workers, health agencies and experienced health workers;

9. Assessment of nutritional and health status

What to assess	How to assess (Sources/methods)
	<ul style="list-style-type: none"> <input type="checkbox"/> Examine whether refugees/displaced sell their food ration for grinding of grains or access to non food items; <input type="checkbox"/> Discuss with refugees/IDPs in focus groups to learn of their perceptions; <input type="checkbox"/> Observe food preparation and feeding practices at household level. <input type="checkbox"/> 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: 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"> <input type="checkbox"/> Examine the epidemiological profiles for the area, and the areas of origin of the refugees/IDPs, to identify any endemic deficiencies; <input type="checkbox"/> Examine any reports of micronutrient surveys conducted among the refugees/IDPs; <input type="checkbox"/> Obtain data on any clinical signs reported from health clinics/agencies; <input type="checkbox"/> Review the composition of the ration and the diet of the refugees/IDPs; in terms of micronutrients <input type="checkbox"/> Obtain data on public health problems that may contribute to micronutrient deficiencies (e.g. malaria).

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.ennonline.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, and Module 2, ENN,

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IBFAN-GIFA, Fondation Terre des hommes, CARE USA, Action Contre la Faim, UNICEF, UNHCR, WHO, WFP, Linkages, V1 December 2007.

- HIV: Guidance on infant feeding and HIV in the context of refugees and displaced populations. UNHCR, IFE Core Group April 2008.
<http://www.enonline.net/ife/view.aspx?resid=622>

9.2. Analysis of data on nutritional status

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 on the next page, these include:

- food: specifically households' access to food and their utilization of that food; and its quality
- 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.

Analyzing data on nutritional status

Examine data from anthropometric surveys to determine:

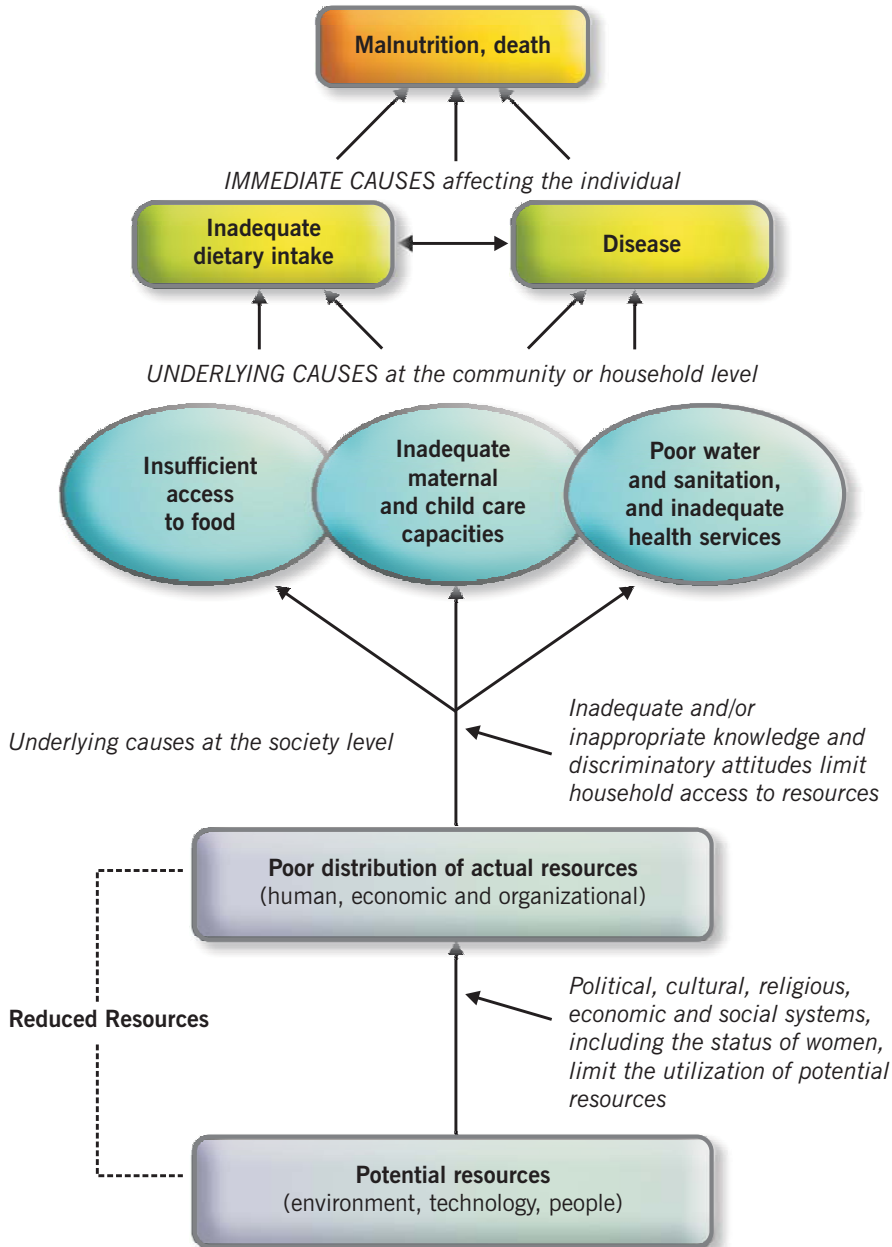
- the reliability of the data
- present rates of wasting (weight-for-height data); whether they indicate a need for selective feeding; how they compare with previously measured rates for the same populations; trends in rates of wasting;
- present rates of stunting and underweight and whether there is a need for more preventive action at a young age (under 2 years of age)
- differences among different sites and socio-economic subgroups; whether the differences are statistically significant (analysis of sample sizes and confidence intervals);

Note that the figure below provides an overview of the layers of causes that can lead to a final outcome of malnutrition and death. Careful analysis of the underlying causes of malnutrition is needed, as various factors can contribute to this outcome.

9. Assessment of nutritional and health status

Conceptual framework of the causes of malnutrition among children

[adapted from UNICEF 1997]



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- 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:¹⁰
 - numbers of new admissions in recent weeks and months; trends;
 - numbers of re-admissions in recent weeks and months; trends;
 - recovery rates, death rates, defaulting and non-response rates
 - 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.
- Whether malnourished children are reached by the supplementary/therapeutic feeding programmes (S/TFP admission compared to malnutrition prevalence rate – i.e. coverage)
- Examine any information available on the nutritional status of the people prior to displacement

¹⁰ For guidance on analysing the effectiveness of supplementary and therapeutic feeding programmes, see 11.10.

9. Assessment of nutritional and health status

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/IDPs in focus groups to determine/identify:

- data on food access from food security assessments, including differences among sites and socio-economic groups, as well as inter-familial distributions (such as males eating before females family members);
- data on sharing of food rations among various households, especially if a high number of non registered families exist within the camp or food distribution site;
- 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, and complementary food provided by UNHCR. etc.)
- 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.

9

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.

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- 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; highlight seasonality issue
- 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/IDPs' understanding of those risks and how to reduce them.

9.3. 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/IDPs) 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 (weight) 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;
- information and social mobilization needed among the refugees/IDPs (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).

9. Assessment of nutritional and health status

- Any need for special programmes related to HIV/AIDS and/or TB.

9.4. Capacity for effective response to malnutrition

- 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/IDPs (and/or larger number of the host population) while maintaining necessary standards of service and performance;
- existing primary health care workers or other outreach capacity that can ensure adequate coverage and attendance in a strategy to combat malnutrition.

9.5. Analysing and interpreting nutrition data

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:

9

Reliability check for survey results ¹¹

Points to check	What you need to know – standards that should be met
<input type="checkbox"/> Nutritional indices – were they appropriate for the objectives of the survey?	<p>The recommended indicators for wasting (acute malnutrition) are:</p> <ul style="list-style-type: none">● for children – weight-for-height (WFH)● for adults – body mass index (BMI)* <p>In a protracted operation, both wasting and stunting (chronic malnutrition) for children – WFH and height-for-age (HFA)</p> <p><i>* Note: BMI cannot be used on pregnant women</i></p>

11 Adapted from WFP Food and Nutrition Handbook and Emergency Field Operations Pocketbook

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Points to check	What you need to know – standards that should be met
<input type="checkbox"/> Cut-off points – were appropriate cut-offs used?	As in the table below.
<input type="checkbox"/> Sample population – was it appropriately defined?	For children: 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. For adults: 20 to 59.9 years.
<input type="checkbox"/> Sampling procedure and sample size – were random sampling methods used? Was the sample size adequate for statistically viable results?	One of the following: <ul style="list-style-type: none"> ● Two-stage cluster sampling: 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. ● Systematic/interval sampling: 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. ● Random sampling: 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"/> Sample bias – 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 be visited, none missed out; no other households included;(missing HH should be accounted for when determining sample size). ● all subject members of each selected household must be measured/interviewed, none missed due to temporary absence from the home. Attempt to return and measure missing members where possible.
<input type="checkbox"/> Measurement error – might there be any systematic measurement error?	Systematic error can arise if measuring equipment, techniques or recording is faulty:scales should be accurate and read to 0.1 kg;height/length boards should be well made and read to 0.5 cm.

9. Assessment of nutritional and health status

Points to check	What you need to know – standards that should be met
<input type="checkbox"/> Measures taken to reduce bias and error – were staff employed for the survey already competent or appropriately trained? Was supervision adequate?	In order to minimize bias and error: 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. Ensure seasonal sensitivity in timing surveys, repeat surveys at same season is advised.

Classification of malnutrition – standard indicators (cut-offs) ¹²

	Moderate	Severe	Total malnutrition
Children 6 to 59 months (and, exceptionally, 6 to 9.9 years)			
Oedema	No	yes	yes
Weight-for-height (WFH) acute malnutrition [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) chronic malnutrition [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) ¹³ [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

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

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

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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 Sphere handbook 2004, chapter 3, appendix 5 Measuring acute malnutrition, as screening criteria for admission of pregnant women to targeted selective feeding:

MUAC < 23 cm = moderate risk of growth retardation for the foetus

MUAC < 20.7 cm = severe risk of growth retardation for the foetus

9.6. Analysing nutrition survey data ¹⁴

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?
- Seasonal fluctuations: Could 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.)? Are some of the refugees selling off food in order to obtain non food items? Are some beneficiaries sharing their food with non registered refugees/IDPs?
- Host population: Have levels of malnutrition in the host population changed in a similar manner to that in the refugee population?

¹⁴ Adapted from The management of nutrition in major emergencies, chapter 3, p 49, the WFP Emergency Field Operations Pocketbook, 6.2, and Sphere 2004

9. Assessment of nutritional and health status

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.

9.7. Reporting Nutritional Status Data¹⁵

Indicators and standards for reporting purposes				
	Standard		Disaggregation	
	<i>emergency phase</i>	<i>stable situation</i>	<i>by gender</i>	<i>by age</i>

9

UNHCR + WFP core indicators

% children < 5 years < -2 Z-scores weight-for-height	= <10%	= <10%	✓	-
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UNHCR core indicators

% new born babies of low birth weight (< 2.5 kg)	= <15%	= <15 %	-	-
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¹⁵ The 'Selective Feeding Guidelines for the Management of Malnutrition in Emergencies' is under review and these indicators are likely to change as a result of the new WHO Growth Standards.

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Presence of micronutrient deficiencies (MND)	Epidemic MND: no outbreak Endemic MND: rates below WHO cut-offs for public health concern	-	-
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WFP core indicators

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. Assessment of nutritional and health status

9.8. What nutrition related information should be gathered from key informants?

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
- 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

Household food utilization

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

Initial assessment

- Food storage: arrangements and facilities for food storage at household level; losses incurred during storage.

Review/re-assessment

- Food storage: any changes in arrangements and facilities for food storage at household level; losses currently incurred during storage and how that compares with conditions previously.

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- ❑ Food preparation: the extent to which the affected population 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.
- ❑ Infant and young child feeding and care practices: the traditional practices of the refugees/IDPs 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
- ❑ Food preparation: any changes in the ability of the affected population to be 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.
- ❑ Infant and young child feeding and care practices: 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.

Public health conditions and health care.

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

Initial assessment

- ❑ Material condition: adequacy of shelter, clothing, sleeping materials and domestic household items for the refugees/IDPs present and arriving.
- ❑ Water supplies: 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.

Review/re-assessment

- ❑ Material condition: adequacy of shelter, clothing, sleeping materials and domestic household items and how that compares with conditions previously.
- ❑ Water supplies: 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.

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- | | |
|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <ul style="list-style-type: none"> <input type="checkbox"/> Environmental sanitation: environmental health conditions – toilets/excreta disposal arrangements, waste disposal, evidence of disease vectors; any arrangements in hand to improve these conditions. <input type="checkbox"/> Health care; the refugees/IDPs' access to health care services, including essential drugs, and the quality of those services. <input type="checkbox"/> Action to meet related non-food needs; 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. | <ul style="list-style-type: none"> <input type="checkbox"/> Environmental sanitation: environmental health conditions – toilets/excreta disposal arrangements, waste disposal, evidence of disease vectors and how these arrangements and conditions have changed. <input type="checkbox"/> Health care; the refugees/IDPs' access to health care services, including essential drugs, and the quality of those services. Do all refugees/IDPs have access to health care? |
|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|

Health and nutritional status

Key informants: HIS, health professionals and organizations providing health care services

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Initial assessment

- Mortality rates: crude and under-5 mortality rates if available from credible sources.
- Health status: the general health status of the refugees/IDPs; the presence and prevalence of communicable, food- and water-borne diseases (and HIV).

Note: ARI and diarrhoeal infections are the 'famine diseases' of young children and will account for high mortality due to malnutrition. Pay special attention to U5 deaths and trends due to these illnesses in all situations!

Review/re-assessment

- Mortality rates: crude and under-5 mortality rates from credible sources and how these have changes from previously; trends in 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 initial nutrition surveys and screening; evidence or risks of micronutrient deficiencies; admission rates to for supplementary and therapeutic feeding programmes.
- 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.

9.9. Analysing micronutrient deficiency problems and risks

There are risks for vitamin and mineral deficiencies whenever refugees or displaced persons are largely dependent on food aid rations and do not have regular access to fresh foods, which may include wild foods. The following section provides an overview of important data to gather and analyse within the assessment.

Obtain information on micronutrient deficiency risks

Examine:

- the nutritional epidemiological profile of the local, host area (from local health authorities and personnel) and types of deficiency diseases (such as goitre or anaemia) that may be common to the surrounding groups or area ;
- the epidemiological profiles of the areas of origin
- from food consumption data, 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 nutrient deficiencies diseases that can be predicted if no intermediate action is initiated.

Obtain information on current micronutrient deficiency problems

Examine:

- reports of any micronutrient surveys conducted among the population
- 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** – deficiency from lack of iron, (and folic acid, B12)

9. Assessment of nutritional and health status

- exophthalmia** – deficiency from lack of vitamin A
- iodine deficiency disorder** – lack of iodine

...and whether there are any cases of:

- pellagra** – niacin (B3) deficiency
- beriberi** – thiamine (B1) deficiency
- scurvy** – vitamin C deficiency
- aribo flavinosis** – riboflavin (B2) deficiency

If/when it is considered necessary to undertake a specific survey using biochemical testing (e.g. to determine the prevalence of anaemia, exophthalmia or goitre), seek specialist advice and assistance from UNHCR-Public health and HIV/AIDS section and WFP-OMXD.

Review the composition of the ration and the diet of the refugees/ and IDP groups

Determine whether people have regular access to the following:

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

and determine 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:

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- all children 1 to 5 years
- school age children
- pregnant women

What deficiencies to anticipate? What measures to take?

If the refugees/IDPs are in, or from, an area where anaemia, vitamin A deficiency or 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, and support and promote traditional practises such as fermentation and/or drying and storage, as well as sprouting - and other practises that would increase the nutrient content of the diet ;
- ensure 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;
- ensure a fortified food and or such products as `sprinkles` be included in distribution to vulnerable groups under safety net programmes where access to fresh markets is inhibited due to lack of proximity and/or resources
- encourage projects that would increase animal protein in the diet, and allow for occasional inclusion of eggs and meat.

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 prevented - if a fortified blended food is included in the vulnerable group ration – or targeted to children and women in reproductive years.

9. Assessment of nutritional and health status

Sudden Influx - The Concept of Lead Time

In an acute emergency, where refugees have crossed a long distance and are settled without adequate food for some time, it is necessary to calculate the lead time that is expected for deficiency diseases to emerge and the time the programme has to respond. Normally a diet of only cereals, for example, will manifest deficiency diseases in five to eight weeks, depending on the physical condition of the population. If refugees or displaced persons have taken three weeks to arrive and settle in a given site, and have been settled for three weeks and are not provided foods with adequate diet (ration with vitamins or minerals), one can expect deficiency disease of water-soluble vitamins (vitamin C, or B), outbreaks to quickly emerge. Often a combined effort of various interventions is needed: including fortified foods in the ration, support to markets and supplementation of vulnerable groups.

Micronutrient deficiency risks and counter-measures¹⁶

Deficiency Disease	Description	Action whenever signs are present or there is a public health risk
Anaemia (the bioavailability of iron is low in rations composed largely of cereals and legumes; anaemia also results from parasite infections)	<ul style="list-style-type: none"> ● Severe anaemia is a life threatening condition and will show as high maternal mortality in refugee/displaced situations. Clinicians should investigate rates in countries/areas of origin to see if anaemia is endemic. In children anaemia leads to poor cognitive development and increases the risk to other infections and likewise result from malaria and other parasitic diseases. 	<ul style="list-style-type: none"> ● Include micronutrient powders, (e.g. sprinkles) or fortified cereals, blended foods, fortified biscuits or lentils in the ration. ● Promote the cultivation of leafy green vegetables. ● Administer iron and folic acid supplements to pregnant and lactating women. ● Administer de-worming treatment to children and pregnant and lactating women. ● Promote the use of bed nets and vector control measures to reduce the incidence of malaria. ● Administer malaria prophylactics to pregnant women.

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¹⁶ 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

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<p>Vitamin A deficiency (exophthalmia)</p> <p><i>(Note: all food rations are likely to be deficient in vitamin A unless fortified foods are included.)</i></p>	<ul style="list-style-type: none"> ● Night blindness, bitot spots, exophthalmia – and eventual blindness follows these stages within months. Note: The survival of blind children in most third world countries is not likely. Prevention is a must! Also note that measles will contribute rapidly to vitamin A deficiency. 	<ul style="list-style-type: none"> ● Distribute vitamin A capsules at 6-month intervals to all children and post-partum pregnant women.¹⁷ ● Promote the cultivation of dark green leafy vegetables, sprouts, tomatoes, carrots, etc. ● Include multi-nutrient powders/sprinkles, to vulnerable groups, and/or add fortified foods such as: vegetable oil, fortified flour, blended food or sugar in the ration.
<p>Iodine deficiency disorders (goitre, etc)</p>	<ul style="list-style-type: none"> ● Found primarily in land locked countries and regions. Signs are with a bulging of thyroid area. Can lead to cretinism (mental retardation) in children. 	<ul style="list-style-type: none"> ● Provide iodized salt and promote public awareness. ● Provide dried fish meal or multi nutrient sprinkles to improve overall mineral content of the diet.
<p>Pellagra (niacin deficiency)</p>	<ul style="list-style-type: none"> ● Signs are dementia, dermatology, death (the three `Ds`). Rapid outbreaks are possible in populations living for sustained periods (more than six weeks) on a maize diet only with no other foods available. 	<ul style="list-style-type: none"> ● Include pulses, groundnuts, multi nutrient sprinkles, fortified blended food or dried fish. ● Administer supplements in case of an outbreak.
<p>Riboflavinosis (vitamin B2 deficiency)</p>	<ul style="list-style-type: none"> ● Signs are cracks on the corners of the mouth, bright red tongue, mouth sores. Eventually affects vision. 	<ul style="list-style-type: none"> ● Include multi nutrient powders/sprinkles, fortified food in the ration. ● Encourage vegetable production and the sprouting of pulses. ● Administer supplements in case of an outbreak.

¹⁷ Capsules may be distributed in conjunction with measles vaccination and/or blanket supplementary feeding.

9. Assessment of nutritional and health status

<p>Beriberi – thiamine deficiency (is likely among populations who consume polished rice)</p>	<ul style="list-style-type: none"> ● Signs are swollen and oedema in lower limbs, and inability to stand up or walk. Often seen in populations with high energy demands who are eating a diet of only white rice or bleached flour. Use of whole grains and local milling that is relatively unrefined will assist, as will fermentation of grains. 	<ul style="list-style-type: none"> ● Provide parboiled rather than polished rice. ● Include pulses, nuts and/or fortified blended food or sprinkles with the ration. ● Promote the production and consumption of vegetables and eggs. ● Promote fermentation of whole grain cereals, as brewers yeast is also a good source of thiamine, and all B vitamins as well as iron.
<p>Scurvy – vitamin C deficiency (is found among populations with no access to fruit or vegetables)</p>	<ul style="list-style-type: none"> ● Swollen joints and inability to stand or walk. Will cause opening of old wounds, mouth bleeding, loss of teeth. Common in famine situations where people have no fresh foods. 	<ul style="list-style-type: none"> ● Include fortified blended food and/or micronutrient powders/sprinkles in the ration. ● Promote the cultivation and use of fresh fruit and vegetables. ● Provide vitamin C supplements.

☞ For further detail, see *The Management of Nutrition in Major Emergencies*, chapter 2, WHO 2000.

PART III

COMPLEMENTARY

INFORMATION

This section provides an overview of areas that impact food security and nutritional well being of refugees and internally displaced persons and allows a joint assessment team to complement data on nutritional and health status with areas that directly impact food availability, delivery and use. The section covers registration and numbers, environmental considerations and fuel/energy, and logistics and storage.

10. Numbers and Registration

This section describes the parameters and importance of correct estimate of numbers, registration and use of this essential data in a Joint Assessment Mission.

A key function of a JAM, and an area that often generates debate among mission members, is establishing the numbers of refugees or internally displaced persons in a given site, and distinguishing the groups in real need. All food planning and relief activities depend on accurate population figures. Every effort must be made to use existing UNHCR registration systems (proGres) where available, and constantly verify these with external figures from government officials, refugee or displaced leadership and/ or donors and to reach consensus among all stakeholders. The purposeful manipulation of refugee figures has been a historical problem, where both inflation and deflation has occurred.

10.1. Numbers and demography

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 and organize a quick estimation based on demographic considerations below.

Demography

Check the following, and monitor changes over time:

- the numbers and proportion of households headed by women, elderly persons or children;

10. Numbers and registration

- 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; 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;
- the coping strategies and ways these will be constrained if a normal demographic distribution
- the ability to acquire food consumption support material such as fuel and water, if long distances are required.

Examples 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]

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Note on Demography:

Statistics on demography of a refugee/IDP population can be gathered at the time of a nutrition survey – and are essential to allow one to better calculate ration requirements, as well as obtain population figures.

Example:

If a refugee/IDP population is predominately youthful men, for example, far higher energy requirements will need to be met, than if the population were constituted primarily by women and young children.

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Knowing the percentage of under five children, (which is normally 20 to 25% of the entire population in most third world countries), will allow one to extract population figures if under-five immunization registration has been made by health staff. Once one knows the proportion of under five children, one can multiply by four or five, and obtain rough estimates of the population as a whole.

10.2. 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.

Note on Registration: *Registration is a systematic method of collecting and recording data (e.g. names, date of birth, sex, etc), for a specific purpose (e.g. assistance delivery, individual follow up, protection intervention, etc), about an individual or families to ensure that the person can be identified later on. A secondary use of registration data is for profiling - where collected registration information can be aggregated to understand the characteristics of the registered population. The data that needs to be collected will vary from one registration exercise to another depending on the very purpose of the registration undertaken by the agencies.*

Registration can also assist in identifying groups at risk and their specific needs. Specific protection programmes such as tracing, legal representation and family re-unification can only be adequately implemented if reliable and up to date data is available. Once registration is conducted, it needs to be a continuous process that records and updates essential information as it changes over time, such as births, deaths, marriages, divorces, new arrivals and departures.

Registering and documenting displaced persons is a responsibility of the governments. However, depending on their respective mandate or their role, UN agencies, NGOs and camp agencies do play an operational role in planning, gathering and utilising registration data. While the basic definition of registration is the same, different spheres of law regulate these obligations towards refugees and asylum seekers on the one hand and internally displaced persons on the other.

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10.3. Registration in the context of refugee protection

Being a “refugee” in an asylum country carries certain rights over other foreigners who may be in the same country. As such, being registered is a necessary part and first step in the process that confers this status to an individual who then have access to the rights. Refugee status ensures protection from refoulement¹⁸ or forced return, from arbitrary arrest and forcible recruitment. Registration also ensures access to basic rights, assistance and services and is an important tool for tracing and family reunification. Registration is equally important in assisting to find appropriate durable solutions for individuals and recording aspirations of refugees and asylum seekers as to their preferred durable solution.

In this context, registration remains the responsibility of the Government concerned with operational support from UNHCR, whose mandate for the international protection of refugees involves responsibilities with respect to registration and refugee status determination.¹⁹ The role of registration is to capture the entire population who are refugee or asylum seeker, even though they may not be in need of material assistance as it relates to their legal status.

10.4. Registration in the context of Internally Displaced Persons

Being an internally displaced person is not a legal status. IDPs are nationals of their own country and they should have the rights in the same way as other nationals who are not displaced. Thus, registration policies and processes in respect of refugees cannot uncritically be applied to IDP situations.

The Government is responsible under their national law to decide whether or not to register IDPs and for what purpose. In some IDP situations, the Government may determine criteria for who should be given IDP “status”²⁰. If the government decides to conduct IDP registration, but is unable to carry it out, international agency may assume an operational role for IDP registration in support of the Government.

As such, the purpose of an IDP registration in the humanitarian context is mainly to establish the identities of those IDPs falling within the scope of the operation based on specific objective or needs. For example, all IDPs in a camp to establish a list of beneficiaries, all

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18 In customary international law, involuntary or forced return of refugees is defined as “refoulement”. The principle of “non-refoulement”, widely seen as fundamental to refugee law, prohibits states to expel or return refugees who have a well-founded fear of persecution.

19 The 2001 Executive Committee Conclusion No.91 on registration reaffirms the State responsibility and sets out certain standards to be met for the registration and documentation of refugees and asylum seekers by both States and UNHCR.

20 For example, Colombia, Georgia, and many of the ex Yugoslav Republics all have laws regulating who is an IDP and what rights and services they should have from the government while under the status.

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IDPs who have specific needs and who are in need of further care, etc. This can be conducted by any agencies with specific mandates, projects or programmes. As such, in the IDP context, it becomes extremely important to coordinate registration activities and to ensure that IDPs are not subjected to multiple registrations, by different agencies for different purposes. If there is a national law governing who is an IDP, registration remains the responsibility of the States concerned, with various agencies registering or obtaining data for a sub set of the population for their specific mandate and/or needs.

In a camp setting, registration and profiling are fundamental tools for camp management teams as it provides the basis for planning programmes, providing assistance and ensuring protection in the camp. In camps where agencies conduct humanitarian activities, it is necessary to: 1) to determine the size and characteristics of a particular group of people being assisted to better target intervention (profiling) and 2) identify beneficiaries eligible for assistance (registration).

10.5. Registration in refugee camps

Government/ UNHCR registration is the basis for both the confirmation of refugee status and the subsequent assistance delivery. As such registration activities are lead by the Government/ UNHCR and supported by the camp management agencies and various other agencies on the ground that provide assistance and humanitarian intervention.

In most cases, there would be different types of documentation issued as a result of a registration which can be broadly divided into 1) documentation that confirm the status of the refugee (e.g. identity card, attestation letter etc) and 2) documentation that confirms entitlements (e.g. ration card, health card etc)²¹. The first type of documentation is issued by the Government/ UNHCR whereas the second type of documentation can be issued by various agencies providing humanitarian intervention. Camp managing agencies can play a role in harmonising the various requirements of entitlement cards among assistance providing agencies, so that the refugees do not need to carry multiple entitlement documents.

Registration data should be continuously updated to reflect the changes in the refugees' lives (e.g. birth, death, departure, changes in refugee status etc) and as such, the camp managing agencies have a role in ensuring information related to changes are channelled and data are kept updated.

21 Registration standards established by UNHCR in consultation with various States recommend that documentation confirming the status of refugees and documentation confirming entitlement should be two separate documents. (Handbook for Registration, Provisional release, September 2003, Chapter 3)

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10.6. Registration in IDP camps

In the context of the Clusters, there are 3 levels related to Camp Coordination and Camp Management (CCCM):

Camp Administrator	Normally, the government who administers the various camps within a country or a region
Camp Coordinator	IOM (in natural disaster situations) and UNHCR (in conflict situations) which ensures inter-camp coordination
Camp Manager	Agencies responsible for the day to day management of camp activities and coordination within a camp.

If an overall country level framework with the government exists, the camp registration would require that it follows the framework. However, in the absence of a framework, at a minimum, registration is required for accountability purposes to identify the beneficiary population for assistance delivery and interventions.

In this situation, Camp Coordinators are responsible for ensuring that registration takes place in the camp in cooperation with the government, following minimum standards. This responsibility will usually be shared with the camp management agency and can be delegated to other agencies or NGOs. In some situations, where UNHCR or IOM are not present to meet this responsibility, it will be the responsibility of the camp management agency to undertake registration or to drive forward the registration process.

Documentation issued following IDP camp registration would normally be that which confirms entitlement (e.g. ration card, health card etc). The entitlement cards can be issued by the Camp Coordination/ Management Agency together with WFP and other assistance providing agencies. It is important to coordinate among agencies and to aim for a common entitlement card rather than different agencies issuing different cards. Registration data should preferably be continuously updated to ensure that changes in the IDP's lives are accurately reflected (e.g. birth, death, departure etc).

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10.7. What is the computerized system?

Where an up-to-date computerized registration system is in place, (such as UNHCR's standard software proGres), 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

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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.

- proGres -

proGres is UNHCR's standard individual registration and case management software. By the end of 2007 it had been rolled out to more than 60 UNHCR country operations.

In refugee operations where proGres has been deployed, the software can be used to generate through its reporter tool both general and targeted food distribution beneficiary lists.

The following lists are deployed in the reporter tool as a standard set

- Food Distribution – list of ration cards grouped by family size and address;
- Food Distribution (detailed) – detailed list of ration cards, household number, Household Representative, spouse and address grouped by family size and address;
- Food Distribution Target Summary – summary of family sizes, household count, headcount and gender, broken down by address.

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. Arrange-

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ments to incorporate new arrivals, 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.

Protection and Refugee Distribution Lists – A warning!

Refugee and displaced persons registration lists generated from any source: whether UNHCR computer based or from local officials, **must be used with discretion and confidentiality** and limited in distribution, for **protection** reasons. Lists used for food distribution, for example, should never contain information on ethnicity or other information that could pose a danger to certain groups. Ensure a careful review of this matter between the two agencies and decide exactly what minimal information is required on a ration card, and the means to keep such lists from being widely circulated!

10.8. Checklist for assessing the registration and ration card control system

The following is a check list for assessment team members, when analyzing numbers and the registration system.

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- 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

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- 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.
- Food lists includes the names of the HOF or HOF and/or Food Entitlement Holder, depending on the distribution mechanism in place.

NOTE: To promote gender equality, UNHCR guidelines states both heads of household should be either indicated on the ration card or on the food list. WFP advocates for HOF and Food Entitlement Holder.

10.9. 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

When a refugee is de-registered or inactivated, ration cards 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.

UNHCR standards specify that Entitlement Card, such as Ration Card and identity cards/ documents should be separate documentation. 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.

10.10. What to do when no registration exists? ²²

When no registration exists, such as in a new influx, JAM team members may have to make an estimate of numbers, in order to avoid delaying food and emergency aid. 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/IDPs 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 numbers in need of food assistance may be estimated on the basis of the assessment of the food security situation (using the percentage of households that can meet defined proportions of their food needs and/or who have been identified as food insecure using other methods). 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/IDPs 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.

²² Adapted from Handbook for Emergencies, chapter 11, UNHCR 1999, and Emergency Field Operations Pocketbook, 2.11, WFP 2002

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/IDPs are concentrated and make very rough initial estimates of the numbers.

When the site is small or orderly...

...there are three basic steps:

- 1) Count, or estimate, the number of shelters.
- 2) Estimate the average number of people per shelter by systematic sampling.
- 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											

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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:
 $(2,133 \times 1,050,000)/10,000 = 223,965$ (roughly 224,000)

☞ For further, up-to-date guidance, contact UNHCR-PGDS or WFP-OMXF.²³

Finally, in situations which have a strong public health system, but where overall registration is lagging or lacking – and where a wide range of displaced populations in large numbers are existing – or security problems exist – and access to actual sites is difficult — it is possible to extrapolate population figures by:

- a) collecting demographic statistics in surveys: and knowing the percentage of children under five years (usually 20 to 25% in refugee situations Are these values also valid for Asian and other settings? If not, can additional indications be given on the average % of under-5s in these contexts?); and,
- b) knowing the actual number of children under five who have been registered for immunizations (by the NGO or health system data); and,
- c) extrapolating the total population figure by multiplying the number of under five children by four or five (depending on demographic profile).

23 In 2007-08, WFP has developed guidance on specific methods to estimate population numbers, including the Area-Based method, the T-Square method, and the Delphi method. This guidance needs to be piloted and further refined, but provides alternative, rigorous ways to estimate numbers. The various Technical Guidance Sheets are available from WFP-OMXF upon request and on www.wfp.org/food-security/guidelines.

11. Environment and Energy

This section outlines the points that joint assessment teams should consider in relation to the environment/natural resource base of any area where refugees and/or internally displaced persons are concentrated. It focuses on aspects relating to self-reliance activities.

11.1. Environment/natural resource management aspects

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, will 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 or displaced persons themselves;
- have serious health consequences for both populations;
- can 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.

Environmental Component of the JAM

Both UNHCR and WFP give priority to strengthen 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.
- consider the natural resource/environmental implications of all coping strategies and self-reliance activities that are, or could be, employed by the refugees/IDPs, using the checklist below as a guide, and propose measures/interventions that ensure, to the extent possible, that refugees/IDPs' 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/IDPs, 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 and 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 multi sector programmes respect the E/NRM plan and/or benefit from specialist E/NRM inputs during the design and planning stage;

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- project planning, appraisal, monitoring and evaluation systems explicitly consider E/NRM issues (including soil erosion, pollution risks and the protection of mother trees). Refugees and displaced, 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;²⁴
- 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/IDPs, in partnership with local people

- refugees/IDPs' 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

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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.

24 Coordination may include a task force that brings together the concerned entities on a regular basis.

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Agricultural activities

- agricultural activities are adapted to the land area available, the topography, soils, climate and water availability, and the skills of the refugees/IDPs 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;
- 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/IDPs' 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?

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- 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/IDPs 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/IDPs.^{24²⁵} 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.

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25 Incentives can take many forms as long as they are valued – seen as beneficial – by the refugees/IDPs. 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.


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, water harvesting, etc.). Proposals to use FFW for such purposes must be critically examined with environmental protection considerations, (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/IDPs' self-reliance and are a key asset that should be protected. Furthermore, the keeping of livestock by refugees/IDPs 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

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- 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.

11.2. 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/IDPs 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/IDPs 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/IDPs 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.

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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 ‘hay basket’ 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/IDPs have to pay for fuel and they perceive the benefits for themselves).

Possible alternative energy sources

- Lose 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/IDPs 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/IDPs) 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/IDPs 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.

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- ☞ 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

12. Logistics and Storage

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

12.1. What is the logistics component of an assessment?

The logistics component of the joint assessment must:

- ❑ determine how needed supplies – food and non-food items – for the refugees/IDPs (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/IDPs (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 on communications capacity or needs, and on transport parameters will be gathered immediately – as the first and most life saving activity required. Use of civil defence and military entities, including peace keeping operations can assist.

12. Logistics and storage

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).

12.2. What needs to be done in an initial assessment?

Information is required on:

- transport and storage possibilities within the areas where the refugees/IDPs 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

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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 LTSH²⁶ 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.

²⁶ 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.

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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;
- 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

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 and the WFP Pocket guide.

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.

12.3 What to look for in examining the food aid supply chain and delivery system

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/IDPs (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/IDPs/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).

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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: <ul style="list-style-type: none"> ● for the entire population ● for specific groups (when relevant) 	
For WFP reporting	
Quantities distributed: <ul style="list-style-type: none"> ● planned ● actual 	

	Girls <5 yr	Girls 5-17	Wome n	Boys <5 yr	Boys 5-17	Men	Total
Number of beneficiaries (average number during the last year, or period)							

12.4. What to look out for in food warehouses ²⁷

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

²⁷ Reproduced from *Emergency Field Operations Pocketbook, Section 9.5*, WFP 2002

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- 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

- 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
- 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

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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 2003.

PART IV
GUIDANCE FOR RESPONSE
CHOICES

13. Planning an Overall Food Security Strategy

13.1. Possible programme options

A coherent overall strategy for ensuring that refugees and IDPs (or returnees) have access to adequate food must be defined on the basis of the joint assessment. Food aid and other forms of assistance will normally be required, as refugees and internally displaced often have little means to obtain food on their own. The medium and long-term effects of interventions should also be considered and, from the outset, the strategy be linked to and complement with efforts to enhance self-reliance. 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 or internally displaced 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/displaced 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 – including an expanded supplementary feeding - 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/displaced (or returnees) to access food through market mechanisms.

These aspects are discussed in the following chapters, but the following summary table can assist in outlining the various strategies that are available to a programme planner. The strategy, including whether food supplies should be imported or acquired by local procurement, should ensure that the needs of the refugees and displaced 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.

13. Planning and overall food security strategy

Alternatives to food aid

In urban areas, action to help refugees or internally displaced persons to access food through the market is generally more appropriate than general food distribution, especially if food aid is not provided to the host population. 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. Similar measures may also be possible in some rural contexts, especially when numbers are small.

The table below provides a comprehensive list of emergency programme options which may relate to refugees and displaced persons in various stages of operations, and could be used in single or combined modes of implementation.

Possible Components of a Food Security Strategy

Responses	Description	Likely Scenario
Possible Responses to food availability problems		
Free food distribution	Free rations to households in need – general distribution to all households in area or targeted distribution to households in specific groups. Note this is most often the case with newly displaced refugees and IDPs.	Newly displaced Refugee and IDP situation. Populations that are predominately vulnerable women and children and/or that have lost their productive members, (war or HIV/epidemic related).
Food for work	Food ration as payment for work – can be used as method for self-targeting, with only those who really need the food being willing to work for it	Local settlement or returnee situations of normal demographic mix and where labour intensive projects are demanded. This is better than cash for work programmes when unstable food prices are evident or there is a lack of food on the markets.

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Responses	Description	Likely Scenario
Food for training	Food as an incentive to individuals from food-insecure households to undertake training in skills that will help them improve their own food security	Prime for refugee youth who must attend secondary education far from homes, for refugee/IDP women literacy training, where female youth will attend.
Market assistance programmes	Selected food commodities made available to traders and retailers to sell at controlled prices	To host communities - who may provide some of the basic ration or complementary foods.
Market support	Reduction of logistics bottlenecks, such as through road repair, or provision of credit to traders.	For post conflict reintegration projects especially, refugee returnee or local settlement projects.
Responses to food access problems		
Neighbourhood and home-based care programmes	Food given to orphans and vulnerable children, such as in situations of high HIV/AIDS prevalence	In urban refugee settings, and in initial days of a smaller displacement.
School feeding	Provision of nutritionally balanced and fortified meals to children at school, and of take-home rations to compensate parents for sending their children to school	Urban and rural refugee programmes with possible income generating aspects where local production of nutrient buns and such food can be manufactured.
Food to other social service institutions	Food provided to social institutions, such as orphanages, homes for the elderly or disabled, hospitals and health centres	Usually included in refugee hospital settings where supplementary and therapeutic feeding is undertaken.

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Responses	Description	Likely Scenario
Cash transfer programmes	Cash distributed to households in need – general distribution to all households in area or targeted distribution to households in specific groups	<i>More used in `individual case` refugee settings, often in urban areas. Note: more recent evidence is that market subsidy is required in large scale cash programmes given food price inflation and food scarcity in many areas.</i>
Cash for work	Cash as payment for work – can be used as method for self-targeting, with only those who really need the money being willing to work for it	As above.
Food vouchers	Distribution of vouchers that can be exchanged for food and other essential items	Refugee urban caseloads, but high demands in administration to avoid abuse.
Non-food transfers	Provision of non-food items, such as soap and blankets, or services, such as water, schooling and health care	Used in most new refugee or displaced situations. Maybe be required among vulnerable HH in protracted situations.
Non-food support to livelihood activities	Provision of productive inputs and services to maintain, rebuild or restore capital assets for food-insecure but economically active people	Not normally employed in refugee settings, but can be explored in local or reintegration situations.
Exchange with produce	Food given to households in return for produce that they are not able to sell at reasonable prices, such as livestock	Exploration of offering fair prices to refugee/displaced and host communities and subsidizing markets is one strategy currently promoted in the current global food shortage situation.

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Responses	Description	Likely Scenario
Responses to food utilization problems		
Food preparation materials	Provision of cooking equipment, fuel, water, etc.	Refugee and displaced persons normally require kitchen equipment and storage items.
Nutrition, education, health, water and sanitation interventions	Improvement of feeding and care practices through, for example, prevention of nutrient loss during food preparation and prevention and treatment of diarrhoea and other diseases that affect nutrient absorption and utilization	Recent research conducted by the World Bank has shown marked improvement in longer term nutrition status (stunting) in communities where growth monitoring and infant nutrition is strongly linked to health programmes. The importance of a strong primary health care system, growth monitoring of under-five children and linkages of health and nutrition care within clinic is of vital importance in refugee situations.
Responses to malnutrition		
Therapeutic feeding	Medical and nutritional treatment to save the lives of severely malnourished individuals	TFP is labour and resource intensive and attention in prevention of severe malnutrition by targeting moderately malnourished under five year old children in SFP is essential.
Supplementary feeding	Distribution of food to supplement the energy and nutrients available from the basic diet of individuals who have special nutrition needs or are malnourished	SFP can be undertaken in most refugee and displaced populations with certainty that they will have impact. Displacement situations are so fluid and stability/supplies are so tenuous at times, that SFP is nearly always a sound safety net to be introduced.
Public health measures	Measures to improve sanitation, water supply, health care services, etc.	As above, linkages between health and nutrition support from clinics and educating mothers on growth performance and diet is important.

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Responses	Description	Likely Scenario
Food fortification	Provision of food fortified with nutrients, particularly vitamins and minerals, when the diet is deficient in these respects	For highly food insecure groups, safety net programmes include the use of fortified foods: blended foods, micronutrient sprinkles, and regionally produced `plumpy nut` sachets, protein biscuits and such are vital inputs to cover vulnerable group needs..
Nutrient supplementation	Distribution of nutrient supplements, such as vitamin A capsules, when the diet is deficient in these respects	Strict guidelines exist on the supplementation with vitamin A for all refugee and displaced populations, especially where measles is present.
Emergency Agriculture	Promotion of local activities such as sprouting of beans, growing of wheat grass, fermentation, and other kitchen garden type activities that can augment nutrient content of the diet.	Longer term refugee/displaced situations in rural areas and where local production and access to markets is minimal.

Some of the interventions identified above are outside the mandate of WFP and UNHCR, they will need to explore other partnerships, including NGO as well private sector, to administer such activities. If the JAM indicates that such interventions constitute the most effective response, this should be stated in the JAM report, to be shared with agencies with the relevant competence and capacity. Wherever possible, it is advisable to consider interventions that build on existing programmes, as this can speed up the implementation process and makes use of established capacities and experience.

Response options should also be discussed with partner organizations. This has the following benefits:

- Knowledge and experience are shared.
- Key stakeholders buy in to the recommendations, thereby enhancing the potential for operational collaboration.

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- The process is transparent. Agencies are aware of the planned activities of their counterparts. This reduces the danger that activities will be duplicated and gaps left unfilled.

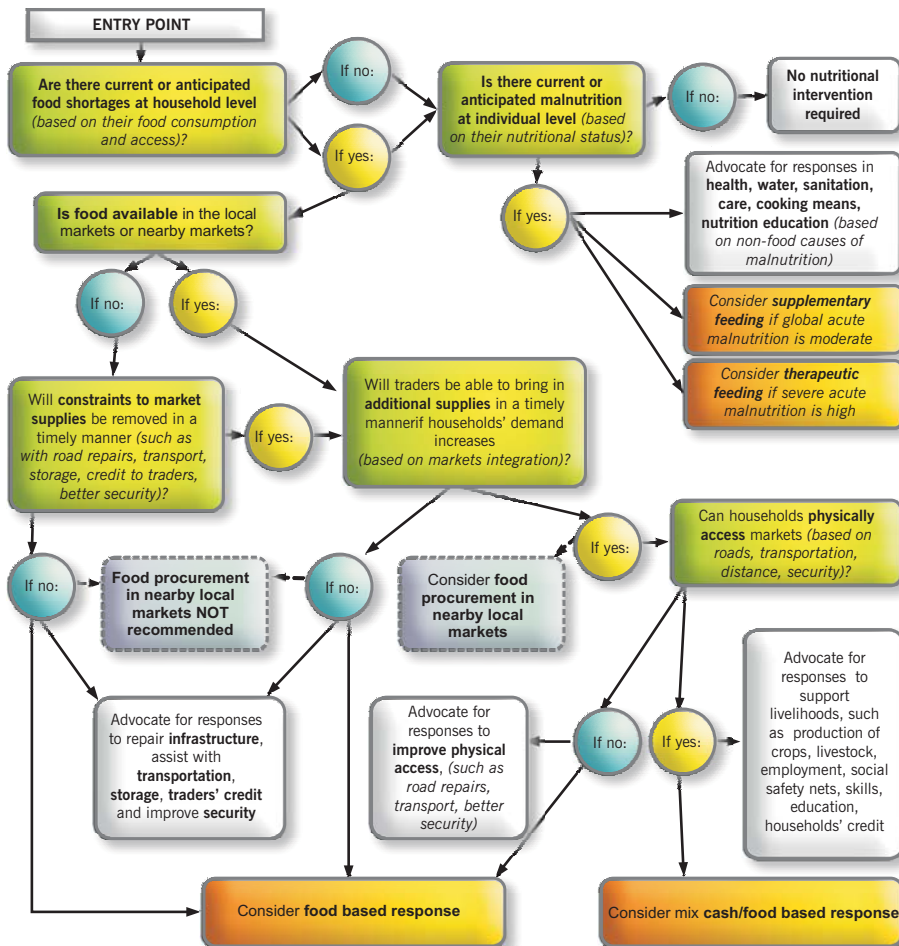
The extent to which such consultation is possible depends on the time frame. In a rapid EFSA, there may not be sufficient time to conduct a full consultation. Under these circumstances, a minimum consultation should be undertaken with key partners such as the government, United Nations agencies and major NGOs working in similar sectors.

13.2. The decision making tree

The figure below provides a decision tree for determining the most appropriate type of response options. During the consultative workshop with programming representatives, this decision tree can be used as a guide for drawing on contextual and empirical knowledge held by individual staff in order to answer issues such as constraints to market supplies, physical access, and market linkages. While the decision tree does not explicitly consider gender as a dimension of the decision-making process, it should be considered as a critical factor throughout the entire assessment, analysis, and response planning process.

13. Planning and overall food security strategy

Decision-tree on response options



Source: Emergency Food Security Assessment Handbook, WFP 2009

14. Planning for General Rations

14.1. Considerations when planning a general ration

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. It is important that the ration be designed with an aim to avoid nutrient deficiencies and to provide a balanced diet when combined with food which refugees or displaced persons might be able to provide for themselves.

A combination of a staple, a pulse, an oil and sugar and salt is the normal base food ration. However, where refugees do not have access to markets, micro nutrient (vitamin and mineral) deficiencies can occur which will endanger the lives of vulnerable groups. In this case it is essential to ensure a blended fortified food to vulnerable households, as well as augment the health care system to provide such commodities as micro-nutrient powders (such as sprinkles) and /or supplements.

Distributions should be targeted to those who need them, usually the entire population in a refugee or IDP situation.

14.2. Basic Nutritional Requirements

Energy requirements

For all planning purposes, 2,100 kcal/person/day is 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.

14. Planning a general ration

- 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

The following chart describes the breakdown of individual energy requirements depending on age and sex.

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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)	285 extra	(2.40)	285 extra
Lactating	-		(2.60)	500 extra	(2.60)	500 extra
Whole population	50.84	2250	49.16	1910		2080

14.3. Rations for PLWH

For any population with high prevalence of HIV, specific strategies must be envisaged to enable people living with HIV (PLWH) 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 PLWH and HIV/AIDS affected households through a home-based care or other community-based programme; incorporating PLWH in a supplementary feeding programme; modifying (increasing) the general ration; or planning FFW or food-for-training activities appropriate for PLWH. Milling and fortification of food aid, or the provision of fortified blended foods, can improve access of PLWH to an adequate diet.

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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.

PLWH 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 PLWH to meet their nutritional needs. Assessment should determine whether this or other strategies that more directly target PLWH would be appropriate.

Changes in nutritional requirements due to HIV 27²⁸

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.

☞ For further details see, The development of programme strategies for integration of HIV, food and nutrition activities in refugee settings ‘UNAIDS,. UNHCR, WFP 2005 (UNAIDS best practice collection). <http://www.unhcr.org/protect/PROTECTION/44bcad592>.

28 Summarized from Nutrient requirements for people living with HIV/AIDS, WHO 2003

14.3. Guidance when choosing commodities

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 and elderly persons:** 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:

- 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.
- Whether blended or fortified foods are required, (through general ration or clinic distribution) or special items such as multi-nutrient sprinkles or 'plumpy nut' type

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products where deficiency diseases or high malnutrition is measured among women and children.

The choice of cereal or staple food - and its state at distribution is important.

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.²⁸²⁹

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.

NOTE: 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) or 'Plumpy Nut' type preparations can be useful for night feeds or community based therapeutic feeding programmes. Special emergency rations and military rations are nutritionally complete but very expensive and may include inappropriate items.

Sample daily rations for a food-aid reliant population

Items	Rations (quantities in g)		
	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	-

²⁹ 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.

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Sugar	15	20	20
Iodized salt	5	5	5
Fresh vegetables, fruits	-	-	100
Spices	-	-	5
Total (g/day)	555	550	655
Nutritional value of the above rations			
Energy (kcal))	2,113	2,087	2,116
Protein (g; % kcal)	58 g; 11%	72 g; 14%	51 g; 10%
Fat (g; % kcal)	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 un-milled).

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	For example: <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	

New Software Available

To simplify the calculations of food rations, a new initiative has developed software to ensure more accurately designed food rations called **Nutval 2006 v2**. NutVal has three main parts. The database and calculation sheets help you to select commodities and calculate the nutrient content of a general food ration. The third part helps in collecting and analys-

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ing data from on-site distribution monitoring (also called food basket monitoring). NutVal is not designed for calculating diets for therapeutic or supplementary feeding.

The link for entering the Nutval site and accessing this software is www.nutval.net.

14.4. 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 WFP NUTVAL-2006 calculator on the CD-ROM.

Common food aid commodities

(Nutritional value per 100 g; FOB Price 15 October 2008²⁹)

Commodity	Energy (kcal)	Protein (g)	Fat (g)	Price (\$/MT)
Cereals				
Wheat	330	12.3	1.5	250
Rice	360	7.0	0.5	430
Sorghum / Millet	335	11.0	3.0	418
Maize	350	10.0	4.0	340
Processed cereals				
Maize meal	366	8.5	1.7	380
Wheat flour	350	11.5	1.5	440
Bulgur wheat	350	11.0	1.5	500
Blended foods				

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²⁹ The FOB prices quoted here are for general reference only. They are reviewed on a regular basis.

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Commodity	Energy (kcal)	Protein (g)	Fat (g)	Price (\$/MT)
Corn-soy-blend (CSB)	380	18.0	6.0	510
Wheat-soy-blend (WSB)	370	20.0	6.0	600
Soy-fortified maize meal	390	13.0	1.5	N/A
Dairy products				
Dried skim milk, enriched (DSM)	360	36.0	1.0	3,260
Dried skim milk, plain (DSM)	360	36.0	1.0	
Dried whole milk (DWM)	500	25.0	27.0	4,000
Therapeutic milk (TM)	540	14.7	31.5	
Meat and fish				
Canned meat	220	21.0	15.0	4,700
Canned fish	305	22.0	24.0	2,700
Oil and fats				
Vegetable oil	885	0	100.0	1,060
Butter oil	860	0	98.0	
Edible fat	900	0	100.0	
Pulses				
Beans	335	20.0	1.2	980
Peas	335	22.0	1.4	520
Lentils	340	20.0	0.6	1,000
Miscellaneous				

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Commodity	Energy (kcal)	Protein (g)	Fat (g)	Price (\$/MT)
Sugar	400	0	0	510
Dried fruit	270	4.0	0.5	
Dates	245	2.0	0.5	
Tea (black)	0	0	0	
Iodized salt		0	0	80
High energy biscuits	450*	10-12*		1,350
Supplementary Plumpy				3,800
Plumpy DOZ				3,800

* Standards that all biscuits supplied by WFP should meet

Common foods in tropical countries ³¹

(Nutritional value per 100 g edible portion)

Commodity	Energy (kcal)	Protein (g)	Fat (g)	Commodity	Energy (kcal)	Protein (g)	Fat (g)
Starchy roots, tubers and fruits							
Fresh cassava	160	1.2	0.2	Potato, Irish	77	2.1	0.1
Cassava flour	342	1.6	0	Potato, sweet	87	1.7	0.3
Ensete	190	1.5	0.3	Yam (fresh)	114	0.2	0.2
Plantain	135	1.2	0.3				
Legumes and vegetables				Meat and eggs			
Groundnuts	332	15.0	25.0	Beef (raw)	237	18.0	18.0
Groundnuts, dry	567	26.0	49.0	Goat (raw)	357	15.0	32.4
Vegetables, mixed	30	1.0	0	Mutton (raw)	249	15.0	21.0
				Poultry (raw)	139	19.0	7.0
				Eggs (hen, fresh)	149	12.5	10.0
Milk				Miscellaneous			

³¹ Extracted from Food and nutrition in the management of group feeding programmes, FAO 1993, NutVal 2006, Institute of Child Health, London/WFP/UNHCR, and other sources.

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Cow, whole	66	3.2	3.9	Honey	286	0.4	-
Buffalo	102	3.8	7.5	Beer (maize/ sorghum)	35	0.6	-
Goat	69	3.6	4.1				
Sheep	108	5.6	7.5				

14.5. General ration distribution options

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 or displaced themselves, and the local population. Activities should not be a disincentive to local agricultural production nor should they undermine long-term development projects.

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.

Targeting

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/IDPs 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 refugees in Sudan, for example, different levels of provision have been made for ‘rural’ camps and camps close to urban areas where refugees or displaced have more access to employment opportunities.³²
- 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 (see box below).

32 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/IDPs 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.³²³³

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.³⁴

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/IDPs and local authorities from an early stage.

Information needed for targeting

- 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);

33 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.

34 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.

14. Planning a general ration

...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;
- 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/IDPs); and
- separate focus group discussions with women, men and young people from all distinct population sub groups.

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☞ 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

14.6. 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. See the checklist at the end of this section.

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.

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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.

14.7. Checklist for General Ration Distribution systems

Advantages and disadvantages of different distribution systems

Mechanism	Advantages	Disadvantages
Through local government	<p>Quick and efficient when local infrastructure is sufficient</p> <p>Builds local capacity</p>	<p>Government capacity may be limited</p> <p>High cost when local infrastructure needs to be reinforced</p> <p>Government (or officials) may have financial or political motives for controlling food distribution</p>
Through traditional leaders	<p>The social and cultural values of the population are respected</p> <p>Easy in the initial stages of emergency and for dispersed populations</p> <p>Low-cost and quick</p> <p>No external registration or ration cards are needed</p>	<p>Knowledge of social structures and power relations is essential</p> <p>Effective only in small intact communities</p> <p>Risk of abuse if social structures are broken down or are replaced by abusive leadership</p> <p>Difficult to monitor</p>
Through new groups or committees	<p>Undermines abusive power relations and has a lower risk of abuse</p> <p>Agency understanding of the local society</p> <p>Some community participation, particularly women's representation, occurs</p> <p>Self-monitoring</p> <p>Low-cost</p>	<p>External registration and ration cards are needed in some cases</p> <p>Appropriate in stable situations only</p> <p>Groups must be elected so that they truly represent communities</p> <p>Resentment from traditional leadership</p> <p>Extensive information campaigns are needed</p>

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Mechanism	Advantages	Disadvantages
Direct to households in groups or individually¹	<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
<p>¹ <i>Where distribution is to households:</i></p> <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
Advantages	
<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
Disadvantages	
<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 (e.g. weekly)	Long distribution intervals (e.g. bi-weekly or monthly)
Advantages	
<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

14. Planning a general ration

Disadvantages	
<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

 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

14.8. Phasing out General Rations

Extreme caution needs to be applied, however, when phasing down rations to refugees and displaced – given the overall level of dependency that often exists, as a result of loss of livelihood. Particularly, where market prices and food access can be unstable, it is important to ensure adequate safety nets of vulnerable groups, prior to deciding to reduce the overall food aid provided to a given refugee or displaced population.

Ration reductions should normally be contingent on:³⁵

- a stable and low level of malnutrition among under five children;
- 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/IDPs.

35 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.

15. Planning for Special Feeding Programmes

Selective Feeding

15.1. Determining the need for and effectiveness of selective feeding ³⁶

The need for supplementary and therapeutic feeding programmes (referred to under the broader category called selective feeding) is determined by the prevalence of acute malnutrition and other ‘aggravating’ factors as shown in the table on the next page.

If the food received at the household level is less than 2100 kcal/person/day, as can be the case in refugee situations, action should also be taken to improve the general ration. In particular, the inclusion of blended foods and fortified products, such as micro-nutrient powders (sprinkles), and high energy biscuits, through a general ration to vulnerable groups can be explored – especially where health clinics do not reach all populations.

To effectively increase nutrient content in the diet and have an impact on malnutrition, the supplemental food provided needs to be additional, and not a substitute for, the general food ration. ³⁷ 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 programmes: ³⁸

- 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;

36 Condensed and adapted from UNHCR/WFP Guidelines for Selective Feeding Programmes in Emergency Situations, 1999 (under review).

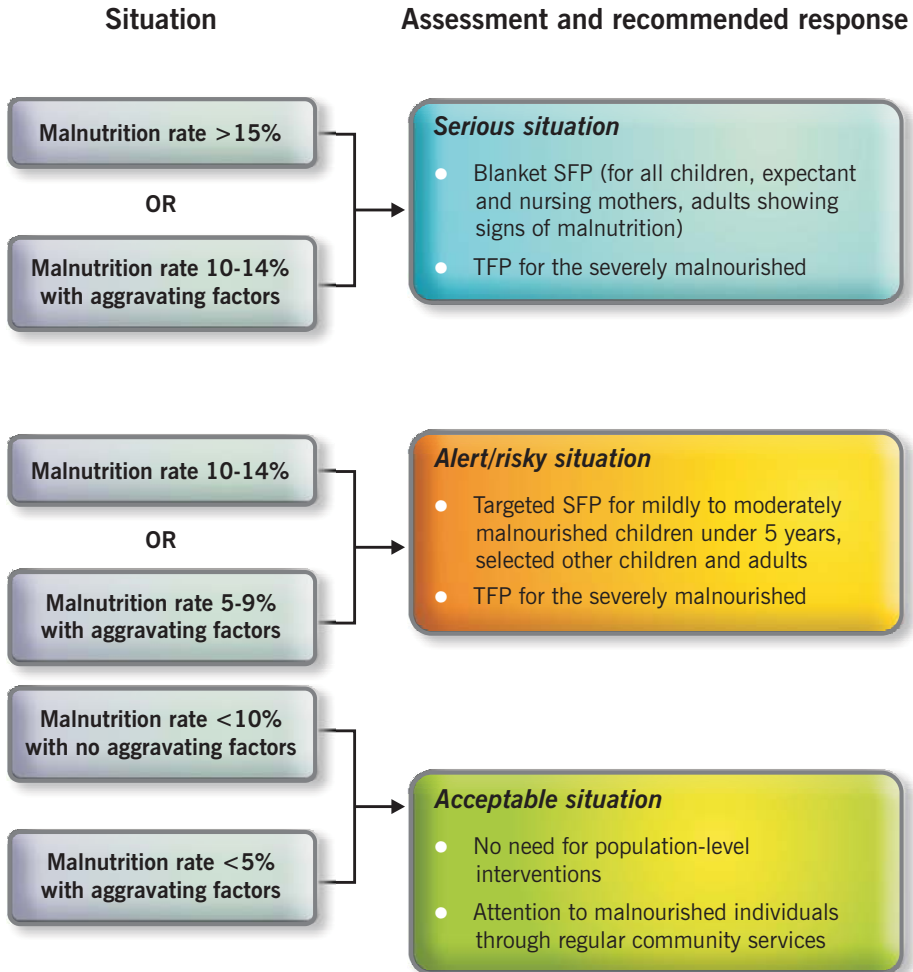
37 In specific cases, supplementary feeding may be implemented in the short term before other interventions assure that the nutritional needs of all population groups are met.

38 Includes some elements from Minimum standards in nutrition, Sphere 2004.

15. Planning for special feeding programmes

Decision framework for the implementation of selective feeding programmes

[SFP = supplementary feeding programme; TFP = therapeutic feeding programme]



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Malnutrition rate:

the percentage of the child population (6 months to 5 years of age) who are below -2 Z-scores (or below 80%) weight-for-height

Aggravating factors:

- general food ration below mean energy requirements
- crude mortality rate >1 per 10,000 per day
- epidemic of measles or whooping cough
- high prevalence of respiratory or diarrhoeal disease

- 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;
 - the need to start complementary feeding at six months;
 - 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-helminths, 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.

15. Planning for special feeding programmes

Benchmarks for the performance of selective feeding programmes

Reason for exit	Satisfactory		Alarming!	
	SFP	TFP	SFP	TFP
Recovered	> 70%	> 75%	< 50%	< 50%
Defaulted	< 15%	< 15%	> 30%	> 25%
Died	< 3%	< 10%	> 10%	> 15%
Weight gain per kg bodyweight	> 8g/kg/day			

Note: UNHCR is mandated to protect vulnerable refugees, and pregnant and lactating women are most often vulnerable. WFP is required to report on the number of pregnant and lactating women reached through selective feeding. In most refugee and IDP situations all pregnant and lactating women are considered nutritionally vulnerable and should be provided with incentives for regular preventive clinical checks. Ideally incentives will include a combination of training and extra supplementary food, or supplements such as micronutrient sprinkles. This will normally contribute to the prevention of complications at birth, maternal mortality, low birth weight, neonatal problems, and many other potentially threatening social and physical conditions.

15.2. Criteria for deciding type of selective feeding

The type of programme depends on the nutritional situation and other considerations regarding logistics and feasibility. More recently, community based programmes have been explored in various countries, where populations are dispersed and managerial resources are less available. The following chart describes some considerations when deciding on the type of programme to implement.

Usual objectives and criteria for different types of selective feeding programmes

Programme	Objectives	Criteria for selection and target group
<p>Targeted supplementary feeding programme</p>	<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 lactating 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>Pregnant women (from date of confirmed pregnancy) and lactating mothers (until 6 months after delivery), for instance using MUAC <23 cm as a cut-off indicator for moderate malnutrition and < 20.7 for severe malnutrition among pregnant women</p> <p>Referrals from TFP</p>
<p>Blanket supplementary feeding programme</p>	<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 lactating mothers (until maximum 6 months after delivery)</p> <p>Other at-risk groups</p>

15. Planning for special feeding programmes

Programme	Objectives	Criteria for selection and target group
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 adapted to the context)
Targeted supplementary feeding programme	<p>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. [Exceptionally, a targeted SFP may be maintained as a safety net in an unstable and insecure situation, or if there are large numbers of malnourished children in a given population]</p>
Blanket supplementary feeding programme	<p>General food distribution is adequate (meeting planned nutritional requirements);</p> <p>Prevalence of acute malnutrition is <15% without aggravating factors (or <10% with aggravating factors); and</p> <p>Disease control measures are effective.</p>

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Programme	Criteria (to be adapted to the context)
Therapeutic feeding programme (TFP)	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

School Feeding

15.3. Analyzing 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/IDPs 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.³⁹

Education of children is important for the future of the refugees and internally displaced persons and 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.

39 At the time of publication the WFP school feeding unit was preparing a Guidance Note on School feeding for IDP and Refugee Children

15. Planning for special feeding programmes

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/IDPs 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; **38**⁴⁰
- Establish the extent to which school feeding could accelerate girls' participation in school or the participation of other particularly vulnerable children;
- Determine whether, exceptionally, school feeding can serve as a mechanism to target food specifically to school-age children to meet measurable nutritional objectives;
- Propose appropriate modalities for the effective implementation and monitoring of school feeding activities, when found to be appropriate, and specify any other complementary measures needed to ensure that the objectives are achieved.

40 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.

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Before school feeding is implemented, a standard WFP school feeding baseline survey is highly recommended to 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/IDPs 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?

15. Planning for special feeding programmes

- 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?

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- 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.⁴¹
- Quality of education factors: school feeding can be an effective intervention even if school conditions are far from ideal. Quality factors are important, however. They should be reviewed and considered, but they should not be the determining factor as to whether school feeding should be implemented. In fact, school feeding (especially when parents become actively involved in decision-making) often has the effect of stimulating improvements in the school environment.
- Environmental issues: school-feeding operations should not have a negative impact on the environment. Therefore consideration must be given to fuel-efficient cooking arrangements, waste disposal, environmental education and other practical interventions complementary to the school feeding activity.

41 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.

15. Planning for special feeding programmes

School feeding for dispersed refugees/displaced not in camps

For refugees/IDPs 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.

☞ For further guidance, refer to:

- WFP/UNESCO/WHO School Feeding Handbook (1999), currently under review
- WFP School Feeding Works for Girls Education
- UNHCR Education Field Guidelines, February 2003
- refer to INEE Minimum Standard and Tools for Initial assessment on the Inter-agency Network for Education in Emergencies website: ineesite.org/toolkit
- WFP School Feeding Service (OMXD) and Nutrition Service (OMXD)
- UNHCR DOS (Food/Nutrition and Education Units)

16. Standards for Programme Planning

16.1. Standards for setting benchmarks

Much work has been undertaken in the last years to develop an agreed upon standard of relief assistance, both food and non food, which support acceptable conditions in which refugee and internally displaced populations reside. From the NGO community and the Red Cross, the Sphere project has strived to harmonize such standards, as well as the many inter-agency technical reviews that have been conducted within the United Nations family.

The following table provides a comprehensive list of non food areas and their corresponding standards that can be used as a benchmark in multi sector programme planning. While many sectors go beyond that within the responsibility of a JAM, it is important to include any aspects within food security strategies that would impact nutritional well being.

Standards/reference values for non-food provisions ⁴²

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 4 of 5-litres	1 of 20 litres 2 of 10-litres 4 of 5-litres		

⁴² Reproduced from Standards and indicators for operational management, UNHCR 2004. These standards also incorporate those defined by WFP for results based management purposes.

16. Standards for programme planning

soap	250 g per person/month	350 g per person/month		
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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		

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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		
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%		

16. Standards for programme planning

Natural Resource Management plan developed	Yes	Reviewed annually		
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Education

% of refugees/IDPs 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	
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UNHCR/WFP Joint Assessment Mission (JAM) Guidelines

Frequency of multi-sector structured dialogue involving refugees/IDPs, partners, and UNHCR	Weekly	Monthly
% of women in all Camp Management Committees	50%	50%

16.2. Standards 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/IDPs;*
- 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;

16. Standards for programme planning

- ❑ 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/IDPs, 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/IDPs 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 A. Glossary

A. (WFP) EMERGENCY FOOD SECURITY TERMS

Analysis plan – a framework providing details of the information that needs to be collected from primary and secondary sources.

Assets – anything that is considered valuable or useful, such as a skill, a quality, a person, etc. (Source: Chambers Compact Dictionary). In the Sustainable Livelihoods Framework, assets are defined under the following five categories:

- Human: health and nutrition status; physical capacity; skills; level of education; etc.
- Social: household, gender, kinship and other networks; community groups; values and attitudes; etc.
- Financial: income; credit and loans; savings; liquid assets; etc.
- Physical: productive assets, such as tools and equipment; stores; housing; livestock; infrastructure; etc.
- Natural: land; water; forests; etc.

Chronic food insecurity – a long-term or persistent inability to meet minimum food requirements.

Cluster sampling – the sample is defined in stages, usually as: geographical areas, locations, and groups/households/individuals. Sampling units of the secondary stage are selected from within the primary sampling units, etc...

Community group discussion – discussion with a mixed group of community members that includes men, women and young people from all subgroups within the community (village, camp, urban neighbourhood, etc.).

Composite shock – a variety of different shocks that interact.

Contextual information – details of the processes that led to the current emergency and the reasons why it is occurring; factors that help to explain the emergency and give insights into the responses that may be appropriate.

Convenience sampling – households and individuals are selected on the basis of ease of access.

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

Coping strategies index (CSI) – a methodology for estimating the food security status of households according to the coping strategies to which they resort.

Cross tabulation – the process of combining two or more indicators; used, for example, to gain insights into the prevalence and causes of malnutrition and food insecurity.

Data – the pieces of information collected from primary or secondary sources.

Direct sampling – households and individuals are selected directly from the entire sampling frame.

Dominant opportunities and shocks – the opportunities and shocks that will dominate the evolution of the food and nutrition security situation in the coming months.

Dynamic variables – features that can change quickly; indicators of transitory problems that may exacerbate existing chronic problems.

Emergency – a situation that causes widespread human, material, economic or environmental damage, threatening human lives and/or livelihoods and exceeding the coping capacities of the affected communities and/or government.

Entry points – the sectors and broad types of intervention where needs may first be addressed; they are identified in response analysis.

Focus group discussion – discussion with a group of people sharing at least one characteristic.

Food access – a household's ability to regularly acquire adequate amounts of food through a combination of its own home production and stocks, purchases, barter, gifts, borrowing or food aid.

Food access gap – comparison of household food expenditure with the cost of a minimum food basket, taking into consideration the proportion of food that is not purchased, such as food coming from own production.

Food availability – concerns the food that is physically present in the area of concern, through all forms of domestic production, commercial imports and food aid. This might be aggregated at the regional, national, district or community level.

Food consumption gap – the gap between food consumption required to meet nutrition needs and actual food consumption.

Food consumption score (FCS) – a proxy indicator that represents the energetic (calories) and nutritional (macro- and micronutrient content) value of the food that people eat. It

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is calculated based on the type of foods and the frequency with which people consume them over a seven-day period.

Food security – exists when all people, at all times, have physical and economic access to sufficient, safe and nutritious food to meet their dietary needs, and food preferences for an active and healthy life (Source: World Food Summit, 1996).

Food utilization – refers to: i) households' use of the food to which they have access; and ii) individuals' ability to absorb and metabolize the nutrients – the conversion efficiency of food by the body.

Forecast analysis - analysis to predict the nature of future opportunities and shocks, and the ways in which the situation is likely to evolve.

In-depth assessment – undertaken when substantial time, access and resources are available. In-depth assessments use rigorous methodologies that are adapted to the context, such as random, large-scale household food security and nutrition surveys, and household economy baseline surveys.

Indicator – a specific variable, or combination of variables, that gives insight into a particular aspect of the situation.

Information needs – the data that must be collected and processed from primary and secondary sources in order to fulfil the assessment objectives.

Initial assessment – assessment undertaken promptly following: i) a sudden crisis; ii) reports of deterioration in a long-term crisis; or iii) improved access in an ongoing crisis. An initial assessment is based mainly on secondary data and key informant interviews, but some quick field visits may be undertaken.

Key informant interviews – individuals with good knowledge about particular aspects of the community or the present emergency are interviewed.

Livelihoods – the capabilities, assets – both material and social – and activities required for a means of living linked to survival and future well-being (Source: Sphere Handbook).

Livelihood group – a group of people who share the same basic means of livelihood and life style – i.e. the same main subsistence activities, main income activities and social and cultural practices – and who face the same risks of food and nutrition insecurity.

Livelihood strategies – the ways in which households utilize and combine their assets to obtain food, income and other goods and services.

Nutrition security – a situation in which all individuals and households are food-secure, have good access to preventive and curative health care, and undertake healthy and sustainable care practices.

Observation – visible and significant aspects of the affected area are noted.

Opportunities – events that ameliorate the situation. They can be natural or human-induced.

Primary data – data collected during the assessment, from interviews with key informants, focus groups, households and individuals.

Proxy indicator – an indirect means of measuring a variable. They provide information about a factor indirectly.

Purposive sampling – particular groups are selected for interview.

Qualitative data – observations that are categorical rather than numerical; they often involve attitudes, perceptions and intentions.

Quantitative data – observations that are numerical.

Questionnaire – a series of questions carefully formulated and ordered; the same questionnaire is addressed to each household in the selected sample.

Random sampling – all members of the population have a known chance (>0) of being selected.

Rapid assessment – undertaken following an initial assessment in a sudden crisis, or as a component of a reassessment. It is based on a combination of secondary and primary data.

Response analysis – analysis to determine the need, or otherwise, for an intervention and, if appropriate, to identify the most suitable types of intervention, the timing and the targeting criteria.

Sample – a selection of households or individuals from the total affected population.

Sampling frame – the area and population that the assessment covers.

Scenario – a description of situations that could occur; it is a set of informed assumptions about a situation (Source: ODI Network Paper No. 59).

Secondary data – data collected from outside the current assessment.

Secondary opportunities and shocks – opportunities and shocks that are: i) caused by the dominant event – cascade effects; ii) unrelated to the dominant event but enhancing or mitigating its effects – synergistic effects; or iii) subsumed by the dominant event.

Semi-structured interview – interview based on a pre-prepared series of questions on a checklist, the phrasing, order and form of which are not fixed.

Shocks – events with negative impact on nutrition status and/or food security. They can be natural or caused by human action.

Situation analysis – analysis of the current food security and nutrition status of the population and the risks to lives and livelihoods.

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Snowball sampling – households and individuals are selected according to recommendations from other informants; each informant recommends the next set of informants.

Stage sampling – see cluster sampling.

Strengths, weaknesses, opportunities and threats (SWOT) analysis – a way of systematically appraising different response options, based on their strengths and weaknesses, and the opportunities and threats associated with them.

Structural variables – the underlying features of individuals, or the society and area in which they live; they do not change quickly, and therefore indicate chronic (permanent) issues.

Terms of reference – instructions describing how the assessment will be carried out, and the roles and responsibilities of the assessment team; prepared at the start of the assessment.

Transitory food insecurity – a short-term or temporary inability to meet minimum food requirements, indicating a capacity to recover.

Triangulation – the process through which information from different sources is compared to determine whether or not evidence converges.

Trigger – an event or series of events indicating that the nutritional or food security situation is deteriorating, or has already reached a level of crisis, and that an assessment is needed.

Vulnerability – Exposure to risk and the lack of ability to cope with its consequences.

Glossary cont.

B) (UNHCR) REFUGEE PROTECTION TERMS

Asylees - Asylees (asylum seeker) consider themselves persecuted in another territory due to their political opinions or affiliation or by acts which could be considered as political crimes. The term “Asilados” (Asylees) is more common in the Latin American context and should be used sparingly. When in doubt, preference should be given to the term “Refugees” possibly combined with a specific ground for persecution.

Asylum - Protection granted by a State on its territory against the exercise of jurisdiction by the State of origin, based on the principle of non-refoulement and characterized by the enjoyment of internationally recognized refugee rights, and generally accorded without limit of time

Averting Flight - Prevention of potential refugees from leaving their own country

Basic Human Standards - This term usually refers to the minimum treatment due to any person within the territory and jurisdiction of a State on the basis of general international law. However, in the refugee context, this concept refers in addition to particular standards to which asylum seekers are entitled, who are temporarily admitted pending the arrangement of a durable solution.

Burden of Proof - In refugee status procedures the applicant must establish his or her case, i.e. show the evidence that he or she has a well-founded fear of persecution.

Cessation Clause - Specifically, those provisions of national or international law (such as article 1C of the 1951 Convention), which provide for the termination of refugee status and any claim to international protection.

Claims - Demands for a remedy or assertions of a right. The term is used in certain court pleadings, such as “statement of claim”. In refugee protection, a claim is made by an asylum seeker for refugee status.

Complex Emergency - A humanitarian crisis in a country, region or society where there is a total or considerable breakdown of authority resulting from internal or external conflict and which requires an international response that goes beyond the mandate or capacity of any single agency and/or the ongoing UN country programme.

Convention Refugees - Refugees who meet the criteria of article one of the Convention on the Rights of Refugees from 1951. (.well founded fear of persecution...and...cannot avail themselves of the protection of their own government).

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Country of First Asylum - A country in which a refugee or asylum seeker arrives and in which he or she finds, is deemed to have found, or might have found, protection from persecution, protection of his or her rights as a refugee, including non-refoulement, and the opportunity for a durable solution in accordance with applicable standards of international law.

Deportation - The act of a State in the exercise of its sovereignty in removing an alien from its territory to a certain place after refusal of admission or termination of permission to remain.

Detention - Restriction on freedom of movement, usually through enforced confinement, of persons prior to court appearance, after conviction and sentence, pending sentence, pending a decision on refugee status, admission to or removal from the State, or for purposes of internment, for example, in times of national emergency.

Diaspora - Dispersion of peoples outside their traditional homeland.

Diplomatic Protection - The entitlement in international law of a State to protect its nationals who have suffered injuries from another State from which they have been unable to obtain satisfaction.

Displaced Person - Concept used since the early 1970's to describe all persons in need of international protection of concern to UNHCR. Includes both people who have crossed an international border and people displaced within their own country as a result of conditions that would normally result in cross border movements if they were possible.

Dual Labour Market - Labour market in which members of the dominant ethnic group(s) occupy primarily better paying and skilled jobs in the major industries while ethnically different refugees and immigrants are primarily placed in low paying jobs of peripheral industries.

Durable Solutions - Satisfactory situation which enables the refugee to integrate into a society; traditionally three durable solutions are promoted: repatriation, local settlement and resettlement.

Economic Migration - Population movement, usually to industrialised countries, in order to better one's economic future.

Environmental Refugees - Those displaced as a result of sudden, drastic environmental changes.

Exclusion Clause - Specifically, those provisions of the 1951 Convention, such as article 1D, 1E and 1F, which mandatorily deny the benefits of refugee status to persons who already receive United Nations or national protection, or to persons about whom there are good reasons to believe that they have committed a war crime, a crime against humanity, a serious non-political crime, or acts contrary to the purposes and principles of the United Nations. The last-mentioned category may include, for example, those who are responsible for the persecution of others.

Exodus - Movements in groups (isolated and sporadic) at periodic intervals out of country of origin.

Expulsion - Right of a State to remove forcibly an alien from its territory.

Extradition - The formal surrender, generally based on treaty or other reciprocating arrangements, by one State to another of an individual accused or convicted of an offence outside its own territory and within the jurisdiction of the other, for the purpose of trial and punishment.

Extraterritorial Effect - The formal surrender, generally based on treaty or other reciprocating arrangements, by one State to another of an individual accused or convicted of an offence outside its own territory and within the jurisdiction of the other, for the purpose of trial and punishment.

Extraterritorial Processing - The practice of assessing refugees' eligibility for asylum in a location outside the borders of the country in which they are seeking asylum, either in "protection areas" or in a third country, in order to facilitate the return of rejected cases.

Failed States - States in which institutions and law and order have totally or partially collapsed under the pressure and amidst the confusion of erupting violence.

Flight - Used to cover departure (from country of origin) and movement of refugees, either as individuals or in groups up to the time of their arrival in the receiving country.

Flight Deterrence - Deterrence methods of country of origin.

Flight Hazards – threats while en route; includes ambushes as well as robbery.

Forced Conscription - Covers conscription (into military service) of individuals by government and non-government forces.

Forced Movement - Movement from place or country of residence, otherwise than by voluntary decision of the individual or group. In practice, used to signify the presence of elements of coercion, such as threats to life or livelihood, arising from natural or man-made causes.

Forced Relocation - Transfer of population groups away from their normal residence within a country as part of a government policy.

Geographical Limitation - Provision of article 1B of the 1951 Refugee Convention, which gives to Contracting States the possibility of limiting their obligations under the Convention to persons who have become refugees as a result of events occurring in Europe.

Good Offices - Informal mediation in disputes, for example, where a third party facilitates a meeting between conflicting parties but without involvement in ensuing negotiations. In the refuge context, "good offices" has described the UNHCR's involvement in assisting

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(and later protecting) refugees who did not come within its mandate but were considered to be its concern.

Government in Exile - Government which has taken refuge abroad either in time of war (foreign occupation) or in time of peace (internal upheaval) and which was either constituted before the flight or formed during the exile.

Holding Centres - Centres gathering refugees as soon as they arrive in a receiving country; their status is to be determined before they are sent to refugee camps or back to their country.

Human Security - Protection of the vital core of all human lives from critical and pervasive environmental, economic, food, health, personal and political threats.

Humanitarian Cases - Asylum seekers who, for humanitarian or compassionate reasons, are allowed to remain in the country of refuge.

Humanitarian Exemptions - Exceptions in the application of sanctions based on the needs of vulnerable sections of the population

Humanitarian Interventions - Use of force by a State against another State to rescue its own nationals whose life and liberty are seriously threatened by the latter State. In addition, this term refers to actions undertaken by the international community within the territory of a given State in order to protect and defend the human rights of the population in cases of massive violations.

Influx Deterrent - Policy by the receiving country concerning the treatment of refugees on, or intending to enter its territory.

Informal Sector - Includes all unregistered commercial and non-commercial enterprises (or economic activities) without formal organizational structure, but generally with the following characteristics: family ownership, small-scale operation, labour intensive and adapted technology, reliance on indigenous resources, etc. Shoe shiners, etc.

Internal Displacement - Involuntary movement of people or population groups inside a country owing to natural or manmade disaster, such as famine, drought or internal conflict.

Internal Flight Alternative - The possibility for an individual to escape persecution or danger by moving to another part of the country, as opposed to crossing an international frontier.

International and national law - Relationship between international law and municipal or national law.

International Protection - Protection which it is UNHCR duty to provide to refugees individually or as a group in substitution for the denial or lack of protection from the country of origin; it aims to ensure that refugees' rights are respected and that a solution is found to their problem.

Involuntary Repatriation - Repatriation to the country of origin induced by the receiving country by creating circumstances which do not leave any alternative but the return. It is a form of refoulement.

Irregular Refugee Movements - Phenomenon of refugees or asylum seekers who move from countries in which they have already found, or might have found, protection, in order to seek asylum or permanent resettlement in another country, but without the prior consent of the national authorities of the latter, without an entry visa, or with no documents or insufficient travel documentation.

Law of the Hague - The branch of international humanitarian law that establishes the rights and obligations of belligerents and limits the means of harming the enemy.

Lawfully Residing - Being granted a residence permit (or its equivalent) which enables a person to establish him/herself on a permanent basis in the territory of a State.

Lawfully Staying - Being lawfully present (usually on a temporary basis) in the territory of a State, i.e. in accordance to frontier formalities and entry regulations, or with the permission of the authorities.

Legal Aid – Free legal assistance.

Legal Assistance - Legal assistance in the general sense, paid, free or subsidized.

Legal Protection - The use of national laws, international instruments and other legal norms to secure respect for and effective recognition of the rights of refugees.

Location of Camps - Refugee camps should be located away from the border and in an environment that ensures the safety and material well-being of the refugee population.

Mandate Refugees - Refugees within the competence of UNHCR according to its mandate as defined in its Statute and specific General Assembly resolutions.

Mass Exodus - Movement en masse (in large numbers) or of a section of the community at a given time.

Minors - Persons who, according to the law of their respective country, are under the age of majority, i.e. are not yet entitled to exercise specific civil and political rights.

Naturalization - Grant by a State of its nationality to an alien.

Non Extradition - The practice and principle of not returning persons to a State which requests their surrender, on the ground that they have committed a political offence and will be prosecuted and punished for such action, rather than for an offence under the ordinary law.

Non State Agents of Persecution - People or organizations responsible for acts or threats of persecution who are not under the control of the government.

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OAU Convention Refugees - Refugees who meet the criteria of art. 1 of the OAU Resolution of 1969

OCHA - United Nations Office for the Coordination of Humanitarian Affairs. Replaced DHA in 1998.

Orderly Return - Voluntary repatriation to the country of origin organized by UNHCR and carried out in circumstances ensuring the safety and dignity of refugees; this, with the help of implementing partners, providing the necessary material assistance, directing the influx of returnees and ensuring their reception and reintegration in the country of origin.

Persecution - Although this term could be included in the broader concept of human rights violations, it constitutes the cornerstone of the refugee definition and therefore is reserved for use in the context of refugee status determination.

Persecution of Family Members - The persecution of family members or relatives in order to obtain information about, or to injure or to pressurize one or more members of the group, or because of the flight abroad of one or more members of the group.

Persons of Concern to UNHCR - Persons considered to fall within the competence of UNHCR according to international refugee law, i.e. refugee instruments, UNHCR Statute and General Assembly resolutions.

Post Flight Reasons for Persecution - Actions of the asylum seekers or events occurring after the flight from the country of origin, which can form the basis for a claim to be in fear of persecution, or which can add to or substantiate a previously existing claim.

Protracted Refugee Situations - Situations in which refugees find themselves in a long-lasting and intractable state of limbo. They are characterized by ongoing problems in the country of origin, while responses to the refugee flow typically involve restrictions on refugee movement and employment possibilities and confinement in camps.

Readmission - Refers both to the right not to be arbitrarily prevented from entering one's own country and to subsequent admission to the territory of a state following a prior admission.

Reception - Ways, means and policy of receiving refugees in the territory on a permanent or temporary basis

Refoulement - The return by a State, in any manner whatsoever, of an individual to the territory of another State in which he or she may be persecuted for reasons of race, religion, nationality, membership of a particular social group or political opinion; or would run the risk of torture. Refoulement includes any action having the effect of returning the individual to a State, including expulsion, deportation, extradition, rejection at the frontier, extra-territorial interception and physical return. The prohibition of refoulement of refugees (the principle of non-refoulement) is laid down by article 33 of the 1951 convention, and is also generally considered to be part of customary international law.

Refugee Centres - Locations where refugees are gathered in order to receive the necessary material assistance which meets their needs.

Refugee Definitions - Definitions of refugee status contained in international refugee law.

Refugee Duties - A refugee is required to conform to the laws and regulations of the receiving country and not to undertake any action which may endanger the national security of this country.

Refugee Placement - Placement of refugees in a local community or in a third country under resettlement.

Refugee Processing Centre - Centres where refugees, once selected for resettlement, are gathered in order to receive the orientation and language training which will help them to face their new life.

Refugee Rights - Rights provided by refugee instruments and by human rights instruments.

Refugee Related Declarations - Declarations adopted at the international level either by a conference or an intergovernmental body on the interpretation or application of refugee law; the Cartagena Declaration and the Bangkok Principles are examples.

Refugees in Transit - Refugees who are temporarily admitted in the territory of a State under the condition that they are resettled elsewhere.

Refugee Sur Place - Persons who are not refugees when they leave their country of origin, but who become refugees, that is, acquire a well-founded fear of persecution, at a later date. "Refugees sur place" may owe their fear of persecution to a coup d'état in their home country, or to the introduction or intensification of repressive or persecutory policies after their departure. A claim in this category may also be based on bona fide political activities, undertaken in the country of residence or refugee.

Regional Refugee Instruments - Instruments adopted by States or intergovernmental organizations of a particular geographical area in order to govern the specific aspects of the area's refugee problem.

Remittances - Part of the income sent back to the family left in the country of origin.

Reservations - Unilateral statement made by a State when signing, ratifying or acceding to a multilateral treaty the purpose of which is to exclude or modify the legal effect of certain provisions in their application to that State.

Resettlement - The durable settlement of refugees in a country other than the country of refuge. Generally covers that part of the process which starts with the selection of the refugees for resettlement and which ends with the placement of refugees in a community in the resettlement country.

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Resettlement Guarantees - Country which selects and admits refugees from a country of refuge or of first asylum for permanent settlement.

Resettlement Selection Criteria - Process of selecting refugees according to their personal or familial status in order to include them in the resettlement programme of a specific country.

Right of Asylum - The right of the State, in virtue of its territorial sovereignty and in the exercise of its discretion, to allow a non-national to enter and reside, and to resist the exercise of jurisdiction by any State over that individual.

Root Cause Migration - Programmes designed to alleviate the conditions of potential refugee-producing countries.

Rural Refugees - Use for refugees originating from rural areas. For refugees in rural areas in receiving country, use “Refugees” combined with “Rural areas”.

Safe Country of Origin - A country of origin of asylum seekers is considered safe if it does not, or not generally, produce refugees. Receiving countries may use the concept of safe country of origin as a basis for rejecting summarily (without examination of the merits) particular groups or categories of asylum seekers

Safe Third Country - A country of origin of asylum seekers is considered safe if it does not, or not generally, produce refugees. Receiving countries may use the concept of safe country of origin as a basis for rejecting summarily (without examination of the merits) particular groups or categories of asylum seekers

Safety Zones - Zones established in a country to protect the civilian population in time of conflict. May also be used to describe measures, often taken internally, to restrict potential refugee outflows. Safety zones may assist in relieving suffering, and ensure personal security and material well-being.

Sanctions - Measures to secure enforcement of a provision or decision. Within international organizations, the collective measures taken by the organization against one or more of its members to compel them to comply with an obligation.

Sanctuary - De facto protection which is based on accepted or perceived inviolability of a place where the fugitive has sought refuge.

Sanctuary Movement - Rooted in the concept of sanctuary, this movement attempts to provide rejected asylum seekers with protection against arrest or deportation, taking up a position of civil disobedience.

Secondary Migration - The voluntary movement of migrants or refugees within their receiving country away from the community in which they originally resided.

Separated Children - Persons under the age of majority who are separated from both parents, or from their previous legal or customary care-giver, but not necessarily from other

relatives. These may, therefore, include children accompanied by other adult family members.

Settlement Workers - Specially trained personnel assisting immigrants and refugees in their settlement or resettlement.

Smuggling Persons - The procurement of illegal entry of a person into another State for the purpose of financial or other material benefit.

Social Group Persecution - Persecution directed at members of groups determined by birth, gender, sexual orientation, or other shared interests, values and backgrounds. This term may be used in combination with other specific social group terms.

Spontaneous Return - Voluntary repatriation to the country of origin of the refugees on their own without assistance by UNHCR or the international community.

Standards of Treatment - Standards derived from international and other refugee instruments which oblige States to accord to refugees treatment at least as favourable as that granted to nationals in the enjoyment of basic rights, and in no way less favourable than that generally accorded to aliens in similar circumstances.

Statutory Refugees - Persons considered to be refugees under the provision of the international instruments preceding the 1951 Refugee Convention.

Suspensive Effect - Postponement of the expulsion, deportation or removal of an asylum seeker, pending a final decision on his or her request for asylum or recognition of refugee status.

Temporary Protection - Protection granted for a limited, though not necessarily defined, time by the country of refuge, usually in situations of large-scale influx. Temporary refuge is premised on the non-refoulement principle through time, and on the enjoyment of basic rights pending a lasting solution.

Temporary Response - Situation characterized by the fact that refugees admitted on a temporary basis are not integrated in the receiving society, though they must be protected and assisted in order to obtain a durable solution.

Territorial Protection - Protection granted by a State, in the normal exercise of its territorial sovereignty, to persons in its territory, against jurisdiction by their State of origin.

Transit - A stopover, of varying length, while traveling between two or more countries, either incidental to continuous transportation, or for the purposes of changing planes, or joining an ongoing flight or other mode of transport.

Unaccompanied Minors - Persons under the age of majority who are not accompanied by a parent, guardian or other adult who by law or custom is responsible for them.

Urban Refugees - Use for refugees originating from urban areas. For refugees in urban areas in receiving country, use “Refugees” combined with “Urban areas”.

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Voluntary Departure Programme - Set of incentives to induce people to leave the receiving country and usually to return back to their home.

Voluntary Repatriation - Return to the country of origin on the basis of the freely expressed willingness of the refugees.

Wage Earning Settlements - Settlements where refugees are expected to become self-sufficient by their work.

Annex B

STANDARD REPORT FORMAT

Note: Can be modified according to whether an initial or review or monitoring mission is being conducted.

a) Executive summary

Very brief synthesis including main recommendations [1-2 pages]

b) Methodology

Initial assessment	Review/re-assessment
<input type="checkbox"/> How the assessment/review was conducted, the numbers of sites visited and people/groups interviewed and how they were selected;	
<input type="checkbox"/> the sources of data and the confidence/uncertainty in the data.	

PART 1 – BASIC FACTS

c) Refugee numbers and demography

Initial assessment	Review/re-assessment
<input type="checkbox"/> present numbers and demographic breakdown, rate or new arrivals and changes expected in the next 6 months;	<input type="checkbox"/> present numbers and demographic breakdown; recent changes and changes expected in the next 12-24 months;
<input type="checkbox"/> ethnic and/or other important differentiations within the refugee population;	<input type="checkbox"/> whether present data have been, or need to be, verified;
<input type="checkbox"/> whether present data have been, or need to be, verified;	<input type="checkbox"/> planning figures to be adopted for the next plan period, or alternative figures for different specified scenarios.
<input type="checkbox"/> planning figures to be adopted for the next plan period, or alternative figures for different specified scenarios.	

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d) General context

Initial assessment	Review/re-assessment
<ul style="list-style-type: none"> <input type="checkbox"/> causes and development of the situation; <input type="checkbox"/> political context; government policies; <input type="checkbox"/> physical and economic characteristics of the area(s), including the informal economy; <input type="checkbox"/> relations with and attitudes of the local population; <input type="checkbox"/> political and social structures among the refugees/IDPs; power structures; social support systems; resource control at household level; gender biases; <input type="checkbox"/> security situation; potential conflicts. 	<ul style="list-style-type: none"> <input type="checkbox"/> changes in the overall context (including government policies vis-B-vis refugees/IDPs); <input type="checkbox"/> changes and trends in the economic situation of the area; impact of the continuing refugee presence and assistance operation on the local economy and infrastructure; <input type="checkbox"/> changes in, and the current state of, the physical environment, shelter, sanitation, etc.; impact of the continuing refugee presence on the natural environment; <input type="checkbox"/> changes in the local population's attitude towards the refugees/IDPs; <input type="checkbox"/> prospects for a durable solution, and for integrating refugees/IDPs into local area development programmes in the meantime; <input type="checkbox"/> the security situation; potential conflicts.

e) Health and nutrition situation; environmental conditions

Initial assessment	Review/re-assessment
<ul style="list-style-type: none"> <input type="checkbox"/> nutritional and health status of the refugees/IDPs; mortality rates; malnutrition rates; <input type="checkbox"/> any epidemics, prevalence of food and water-borne diseases, micronutrient deficiencies, immunization rates; <input type="checkbox"/> diseases endemic in the area, and in the areas of origin of the refugees/IDPs; seasonal risks; <input type="checkbox"/> the quantities and quality of water available; <input type="checkbox"/> other environmental health risks. 	<ul style="list-style-type: none"> <input type="checkbox"/> current status, changes and trends in the nutritional and health status of refugees/IDPs – malnutrition rates; mortality rates; any epidemics; prevalence of communicable (especially food and water-borne) diseases; micronutrient deficiencies; immunization rates; <input type="checkbox"/> public health risks; <input type="checkbox"/> the quantities and quality of water available to the refugees/IDPs, changes and trends; <input type="checkbox"/> health and nutritional status of the local population.

PART 2 – FOOD SECURITY & SELF-RELIANCE

f) Food access and use

Initial assessment	Review/re-assessment
<ul style="list-style-type: none"> <input type="checkbox"/> refugees/IDPs' present sources of food and their relative importance; variations among different sub-groups; <input type="checkbox"/> food habits; preferred items and acceptable substitutes; <input type="checkbox"/> actual food consumption; use actually made of available food and other resources; <input type="checkbox"/> any income, assets and debts; essential expenditures; (income/expenditure balance if available); households' choices/trade-offs between food and non-food needs; <input type="checkbox"/> present coping strategies and their sustainability (including impact on the natural resource base); <input type="checkbox"/> seasonal considerations relevant to people's food security; <input type="checkbox"/> recommendations. 	<ul style="list-style-type: none"> <input type="checkbox"/> changes and trends in the general socio-economic situation of refugees/IDPs; variations among different sub-groups; <input type="checkbox"/> refugees/IDPs' present sources of food and their relative importance; how this may change; <input type="checkbox"/> actual food consumption; variations among different sub-groups; <input type="checkbox"/> use made of food aid commodities – proportions sold/exchanged; reasons for selling; any problems with the acceptability or use of particular items; <input type="checkbox"/> items purchased or acquired from other sources; market prices for ration items and other foods; <input type="checkbox"/> the use likely to be made of specific commodities during the next period; <input type="checkbox"/> recommendations.

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g) Food aid targeting, distribution and monitoring

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

h) Selective feeding programmes

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

i) Food supplies

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

j) Self-reliance opportunities

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

k) Food and self-reliance strategies

Initial assessment	Review/re-assessment
<ul style="list-style-type: none"> <input type="checkbox"/> recommendations. 	<ul style="list-style-type: none"> <input type="checkbox"/> the effectiveness (and costs) of the overall food and self-reliance strategies to date; <input type="checkbox"/> recommendations.

PART 3 – NON-FOOD AND OTHER RELATED CONCERNS

l) Non-food items – requirements and distributions

Initial assessment	Review/re-assessment
<ul style="list-style-type: none"> <input type="checkbox"/> adequacy of utensils, water, cooking facilities and fuel for food preparation; requirements (if any) for additional inputs; <input type="checkbox"/> adequacy of shelter and hygiene materials (especially soap) available to the refugees/IDPs; <input type="checkbox"/> the effectiveness of current arrangements for targeting and distribution of non-food items; problems, if any; possibilities for improved targeting and distribution systems; <input type="checkbox"/> recommendations. 	

m) Community services

Initial assessment	Review/re-assessment
<ul style="list-style-type: none"> <input type="checkbox"/> refugees/IDPs' access to and use of health and other community social services; the quality of those services; <input type="checkbox"/> the ability of especially vulnerable individuals to access and use available assistance; <input type="checkbox"/> recommendations. 	<ul style="list-style-type: none"> <input type="checkbox"/> refugees/IDPs' access to and use of health, education and other community social services; the quality of those services; recent changes and trends; <input type="checkbox"/> impact of the services, and changes, on the well-being of refugees/IDPs (their mental and physical health) and the ability of especially vulnerable individuals to access and use available assistance; <input type="checkbox"/> the effectiveness of capacity building efforts among the refugees/IDPs; <input type="checkbox"/> the adequacy of budget provisions and funding for community services; <input type="checkbox"/> recommendations.

n) Gender and protection concerns

Initial assessment	Review/re-assessment
<ul style="list-style-type: none"> <input type="checkbox"/> current major protection concerns; <input type="checkbox"/> involvement of women in food aid distribution planning and management; current level of involvement; <input type="checkbox"/> risks faced by women, girls and other vulnerable people in receiving food, collecting water or fuel; possibilities to reduce those risks; <input type="checkbox"/> recommendations. 	<ul style="list-style-type: none"> <input type="checkbox"/> changes and trends in protection concerns; current major protection concerns; <input type="checkbox"/> 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); <input type="checkbox"/> 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; <input type="checkbox"/> recommendations.

PART 4 – LOGISTICS

o) Logistics

Initial assessment	Review/re-assessment
<ul style="list-style-type: none"> <input type="checkbox"/> 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; <input type="checkbox"/> seasonal considerations, if any; <input type="checkbox"/> adequacy of warehouses and warehouse management practices at EDPs and distribution sites; <input type="checkbox"/> recommendations. 	

PART 5 – PARTNERSHIPS, PLANNING AND OTHER ISSUES

p) Partnerships and coordination

Initial assessment	Review/re-assessment
<input type="checkbox"/> effectiveness of current arrangements, any gaps, possibilities for new/more effective partnerships and coordination among all partners; <input type="checkbox"/> recommendations.	

q) Specific issues

Initial assessment	Review/re-assessment
<input type="checkbox"/> (not applicable)	<input type="checkbox"/> 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; <input type="checkbox"/> recommendations.

r) Contingency planning

Initial assessment	Review/re-assessment
<input type="checkbox"/> 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; <input type="checkbox"/> recommendations.	

PART 6 – OPTIONS AND FINAL RECOMMENDATIONS

s) Programme options

Initial assessment	Review/re-assessment
<input type="checkbox"/> matrix summarizing the options for response, and the pros, cons and implications of each.	

t) Final recommendations

Initial assessment	Review/re-assessment
<input type="checkbox"/> proposed strategic plan for food security, and related assistance; inputs required and implementation arrangements for the next 6 months; <input type="checkbox"/> actions to be taken to encourage and facilitate self-reliance activities; <input type="checkbox"/> measures/actions required in related sectors; <input type="checkbox"/> aspects requiring further assessment; indicators to be monitored.	<input type="checkbox"/> proposed strategic plan for food security, self-reliance and related assistance; inputs required and implementation arrangements for the next 12-24 months; <input type="checkbox"/> measures/actions required in related sectors; <input type="checkbox"/> 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
Recommendation	Action taken, and when (explain any difference from recommendation)	Results

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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
Recom- mendation	Priority high/low	Action Required	Est. cost (US\$)	Responsi- bility	Time frame	Action taken

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

Annex C

Contents of the complementary 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.

Note: CD Rom should add new documents from WFP (EFSA, Urban assessments, Methods to estimate population numbers etc.)

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
- 📖 *Integration of HIV/AIDS activities with food and nutrition support in refugee settings: specific programme strategies*, First version, December 2004

b) UNHCR documents

- 📖 *Agenda for Protection*, UNHCR Third Edition October 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

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- 📖 *Environmental Guidelines*, UNHCR 2005
- 📖 *Environmental Guidelines: forestry in refugee situations*, UNHCR August 2005
- 📖 *Environmental Guidelines: livestock in refugee situations*, UNHCR August 2005
- 📖 *Food Security Tool Kit*, UNHCR-PH/HIV 2008
- 📖 *Framework for durable solutions for refugees/IDPs and persons of concern*, UNHCR May 2003
- 📖 *Handbook for Repatriation and Reintegration activities, provisional version*, UNHCR, May 2004
- 📖 *Handbook for self-reliance*, UNHCR, June 2006.
- 📖 *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-PH/HIV*, 2008
- 📖 *Participatory Planning in UNHCR: a practical guide*, 2003
- 📖 *Partnership: an operations management handbook for UNHCR's partners, revised edition*, UNHCR February 2003
- 📖 *People-Oriented Planning: a framework for POP in refugee situations taking account of women, men and children*, UNHCR December 1992
- 📖 *People-Oriented Planning at Work: using POP to improve UNHCR programming*, UNHCR December 1994
- 📖 *Refugee Operations and Environmental Management: a handbook of selected lessons learned from the field*, UNHCR-EESS, 2002
- 📖 *Sexual and gender-based violence against Refugees/IDPs, Returnees and Internally Displaced Persons: guidelines for prevention and response*, UNHCR May 2003
- 📖 *Sexual and gender-based violence checklist*, 2002
- 📖 *UNHCR Handbook for Emergencies*, UNHCR, third edition February 2007
- 📖 *UNHCR Handbook for Registration, provisional release*, September 2003
- 📖 *Project Planning in UNHCR: a practical guide on the use of objectives, outputs, and indicators*, Second version, March 2002
- 📖 *Repatriation checklist, UNHCR*, 1998
- 📖 *UNHCR Tools for Post Disaster Relief*, April 2000

- 📖 *Policy for the Acceptance, Distribution and Use of Milk Products in Refugee Feeding Programmes*, UNHCR 1989
- 📖 *UNHCR Commitments to Refugee Women*, December 2001
- 📖 *UNHCR's Global Objectives and Indicators of Progress*, UNHCR Global Appeal 2008
- 📖 *HIV/AIDS and Refugees/IDPs: lessons learned*, P Spiegel & A Nankoe
- 📖 *UNHCR Public Health and HIV/AIDS's strategic plans for 2008-2012*
- 📖 *HIV/AIDS among Conflict-affected and Displaced Populations: Dispelling Myths and Taking Action*, UNHCR, 2004
- 📖 *Practical Guide to the Systematic Use of Standards and indicators in UNHCR Operations*, UNHCR February 2006, second edition.
- 📖 *UNHCR Manual: Chapter 4*, 2008 edition.
- 📖 *UNHCR statistical yearbook 2007*
- 📖 *The Protection of IDPs and the role of UNHCR ICM Feb.2008*
- 📖 *UNHCR New 4R policy framework, 41st Standing Committee. Feb.2008*

c) WFP documents

- 📖 *Emergency Field Operations Pocketbook*, WFP 2002
- 📖 *Emergency Food Security Assessment Handbook*, WFP January 2009
- 📖 *Environmental review guidelines*, WFP January 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 2003
- 📖 *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

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- 📖 *Logistic Capacity Assessments template*
- 📖 *Logistic Capacity Assessments Manual 2002*
- 📖 *Natural Resource Management and Livelihoods: programming guidance*, WFP 2002
- 📖 *Nutrition in Emergencies, WFP/EB*, WFP 2004
- 📖 NUTVAL calculator (N.B. new version issued in 2008)
- 📖 *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 2008-2011*, WFP/EB.A/2008/5-A/1/Rev.1
- 📖 *Strategic Results Framework*, WFP 2008
- 📖 *Technical Guidance Sheet No.7 - Area Method to Estimate Population Size and Demographics in Emergency Food Security Assessments*, WFP February 2009
- 📖 *Technical Guidance Sheet - Urban Food Security & Nutrition*, WFP June 2008
- 📖 *WFP Mission Statement*
- 📖 *WFP Gender Policy*, WFP/EB.1/2009/5-A, WFP 2009

d) UN and inter-agency documents

- 📖 *Guidelines for HIV/AIDS Interventions in Emergency Situations*, IASC 2004
- 📖 *Inter-Agency Contingency Planning Guidelines for Humanitarian Assistance*, IASC 2001
- 📖 *Minimum Operational Security Standards*, UNSECOORD July 2004
- 📖 *Security Awareness: an aide mémoire*, UN/UNHCR 1995
- 📖 *Security in the Field*, UNSECOORD, December 2003
- 📖 *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/IDPs*, Background paper for an inter-agency workshop Nov. 1999
- 📖 *Guidelines for Rapid Nutritional Assessments in Emergencies*, WHO-EMRO 1995
- 📖 *Infant Feeding in Emergencies Operational Guidance, Interagency Working Group on Infant and Young Child Feeding in Emergencies*, v2.1 2007
- 📖 *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/IDPs and others), E Hall, IFP-Crisis working paper 12, April 2003

f) Sample Joint Assessment Reports

- 📖 Mozambique 2008: UNHCR/WFP/INAR *Joint Assessment Mission for Food Assistance to Marratane Refugee Camp*, August 2008
- 📖 Nepal 2008: UNHCR/WFP *Joint Assessment Mission for Assistance to Bhutanese Refugees in Nepal*, June 2008
- 📖 Namibia 2008: UNHCR/WFP *Joint Assessment and Evaluation mission*, February 2008
- 📖 Syria 2007: WFP/UNHCR/UNICEF/SARC *Joint Assessment Mission*, October 2007
- 📖 Burundi 2007: UNHCR/WFP *Joint Assessment Mission of Burundian Returnees*, May 2007
- 📖 Yemen 2007: UNHCR/WFP/NGO partners *Joint Assessment Mission*, May 2007
- 📖 Ghana 2007: UNHCR/WFP *Joint Self Reliance and Food Security Assessment*, January 2007

g) Sample Briefing Kits for Joint Assessment Missions

- 📖 Nepal 2003: *Information Package: WFP-UNHCR Joint Mission for Assistance to Bhutanese Refugees/IDPs in Nepal*, WFP & UNHCR Kathmandu, August 2003
- 📖 Tanzania 1998: *Briefing Kit*, Tanzania 1998

Annex D IASC cluster framework IDP assistance (UN reform)

Area	Clusters	Cluster Lead
Services	● Logistics	WFP
	● Emergency telecommunications	WFP (common security) UNICEF (common data) OCHA (process owner)
Relief and assistance to beneficiaries	● Camp coordination & camp management	UNHCR (conflict IDPs) IOM (natural disaster IDPs)
	● Emergency shelter	UNHCR (conflict IDPs) IFRC (natural disaster IDPs)
	● Health	WHO
	● Nutrition	UNICEF
	● Water, sanitation and hygiene	UNICEF
Cross cutting issues	● Early recovery	UNDP
	● Protection	UNHCR (for conflict IDPs) UNHCR, UNICEF & OHCHR (for natural disasters)

Source: IASC Note on Cluster Approach, 2008

Annex E

Assessment techniques

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.

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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.

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.

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.

Whenever possible, and particularly in group discussions, use two interviewers (preferably a woman and a man):

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- 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.

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.

'Where' questions to prompt participants during community mapping	
<ul style="list-style-type: none"> ● Where are crops grown? ● Where are the sources of water? ● Where do people find work? ● Where do people fish? ● Where is the nearest market? 	<ul style="list-style-type: none"> ● Where do people go when they are sick? ● Where are the displaced people? ● Where are the flooded areas? ● Where do we need to visit in order to see and understand the effects of the crisis?

Examples of key features to be included in a community map		
<ul style="list-style-type: none"> ● Settlements ● Rivers ● Water points ● Lakes 	<ul style="list-style-type: none"> ● Roads ● Schools ● Health centres ● Markets 	<ul style="list-style-type: none"> ● Cultivated land ● Grazing land ● Fishing areas ● Forests

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.

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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

Prime and current information on the condition of a refugee population can be gathered through immediate and acute observation at the displacement site. Be careful however in making conclusions quickly, and ensure a wide geographic coverage of observations. Many wealthier refugees/displaced will reside close to administrative buildings, for example. More marginal groups will likewise be residing at the margin of settlements.

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'

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

- any obvious signs of malnutrition (oedema, extreme thinness, goitre).
- obvious signs deficiency diseases. Note: both beriberi/B1 – pellagra/B3, and scurvy/ C vitamin deficiencies first exhibit through difficulty in walking, swollen joints and painful limbs. Severe energy deficits will exhibit as extremely reduced physical activity - as refugees/displaced attempt to reserve energy for basal metabolism.

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 size of the containers used to collect and carry water and number of trips required.

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

- note what the various members of the sub strata of society are doing: keenly observe the activities separately of men, women, elderly, youth, children. Observe who builds shelter, who is gathering fuel or water, cooking, or providing child care.

Markets within the site

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

Identifying events that affected well-being – preparing a time line ⁴³

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.

43 Adapted from Participatory techniques and tools, WFP 2000, Booklet 5 Working with communities, and the guidance notes for the Vulnerability Assessment of Refugees/IDPs in Iran, WFP-VAM 2004.

- 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:
 - 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	J
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.																		

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.

Determining relative magnitudes using proportional piling

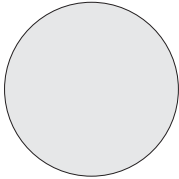
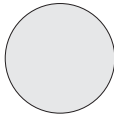


Proportional piling is a way of helping less educated informants to define the relative importance of a number of different items or issues.

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%

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>
Food		food	food	food
Debts			debts	fuel
Water				fuel
Fuel				

Analysis	<i>Food</i>	<i>Debts</i>	<i>Water</i>	<i>Fuel</i>
Number of selections	3	1	0	2
Rank	1	3	4	2

Determining sampling methods

Decide on an appropriate sampling approach and sample size:

When distinctions or comparisons are to be made:

- 6) Develop a short list of key characteristics that describe, and distinguish, the various situations in which refugees/IDPs 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).

- 7) 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.

- 8) 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:*

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- 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 15 to 25 points and then 10 to 20 households at random around each point. The size of the sample depends on time and resources available. However, for a same sample size, the recommendation is to increase the number of clusters and decrease the number of households per cluster, rather than the other way round.

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 150 to 250 for random sampling. For surveys that includes anthropometric measurements of under-5 children, typically 30 × 30 cluster sampling is used. A lower number of clusters and households is also possible when the expected prevalence of malnutrition is known and can be used to calculate more precisely the sample size.

Note: When refugees/IDPs 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, 2009
- 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