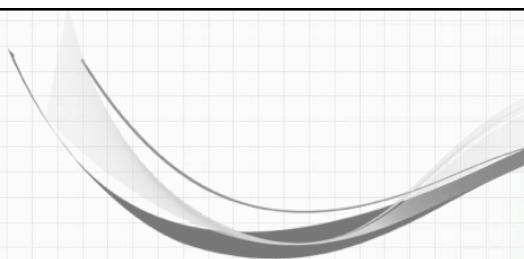




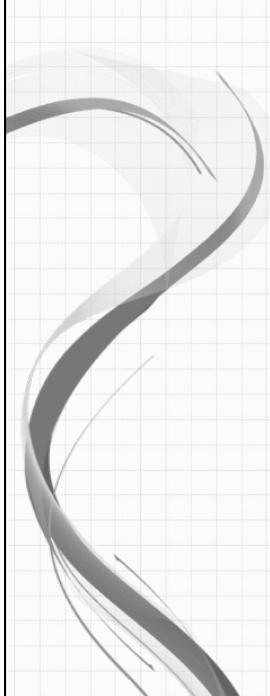
The slide has a background graphic on the left similar to the title slide, featuring overlapping curved bands. The main content is centered on the right:

Background to the Training

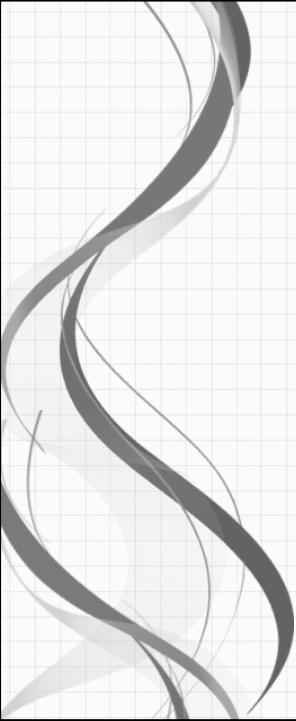
- Introductions
- Expectations and Fears



New Challenges



New Institutions



New Ideas, Approaches, Tools and Methods!



Welcome

Overview

1

- Course work: lectures and practicals

2

- Participatory

3

- Calculations, analysis

Learning Objectives

- To gain a basic understanding of the assessment approach
- Enable and empower participants to conduct baselines assessments
- Work with colleagues and build a cadre of skilled practitioners



New Work

The learning curve

A learning curve graph on lined paper. The vertical axis has five horizontal grid lines. The horizontal axis is labeled 'New Trainee' at the start and '2 days', '5 days', and '7 days' along the curve. A black line starts at the origin and curves upwards, ending at a white star at the '7 days' mark.

A black and white photograph of a man in a dark suit and white shirt. He is looking down and slightly to his right, holding a small electronic device, possibly a smartphone or a small tablet, in his hands.

Who's Who

Lead	Contact information
Thulile	thuliled@daff.gov.za
Charles	charles@wahenga.co.za

Resources

HEA

- <http://www.wahenga.co.za/index.php/resources/household-economy-reports>
- <http://www.feg-consulting.com/heas>
- <http://www.dppc.gov.et/Livelihoods/Downloadable/HEA.pdf>
- <http://www.heawebsite.org/about-household-economy-approach>

DAFF

www.daff.gov.za

Universities

www.ul.ac.za

www.up.ac.za

<http://acfs.ukzn.ac.za>

QUESTIONS?

End of Session 1.0

MODULE 1: INTRODUCTION TO THE HEA FRAMEWORK

Session 1: Basic Food Security and Livelihood Concepts

The Definition of Food Security

Ensured access to sufficient food for all people at all times



**Access is not about what
people eat, but how they
get it**

Introduction: Basic Food Security and Livelihood Concepts

The Definition of Food Security

To know whether it is ‘enough’, we need quantified measures and a threshold against which to compare

Ensured access to sufficient food for all people at all times

Introduction: Basic Food Security and Livelihood Concepts

The Definition of Food Security

Ensured access to sufficient food for all people at all times

**Not all people have the same access:
we need to be able to group people into
common ‘access’ units**

Introduction: Basic Food Security and Livelihood Concepts

The Definition of Food Security

Seasonal and year-to-year changes need to be taken into account: we need to be able to analyse the effects of unexpected changes

Ensured access to sufficient food for all people at all times

Introduction: Basic Food Security and Livelihood Concepts

Food Security Analysis

Access is not about what people eat, but how they get it

How do people get food?

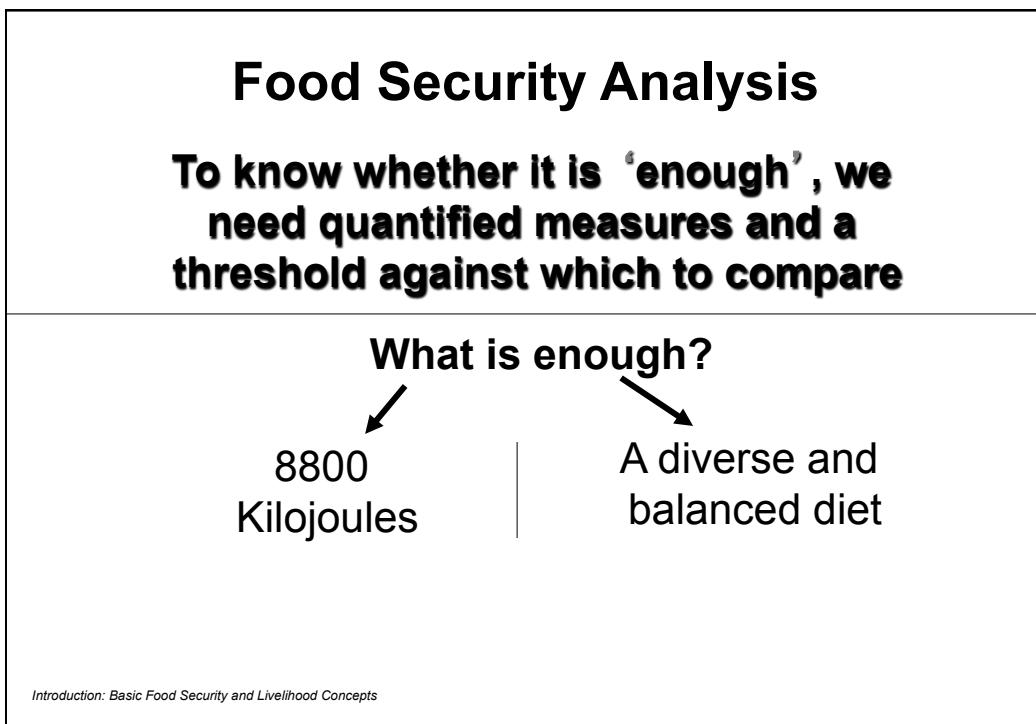
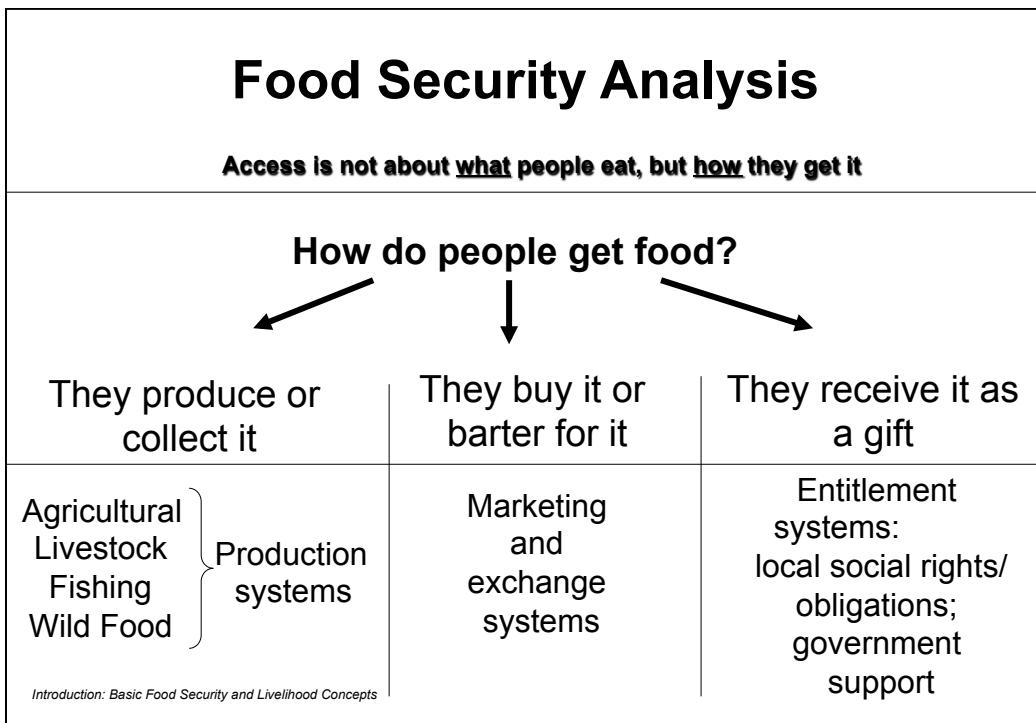


They produce
or collect it

They buy it or
barter for it

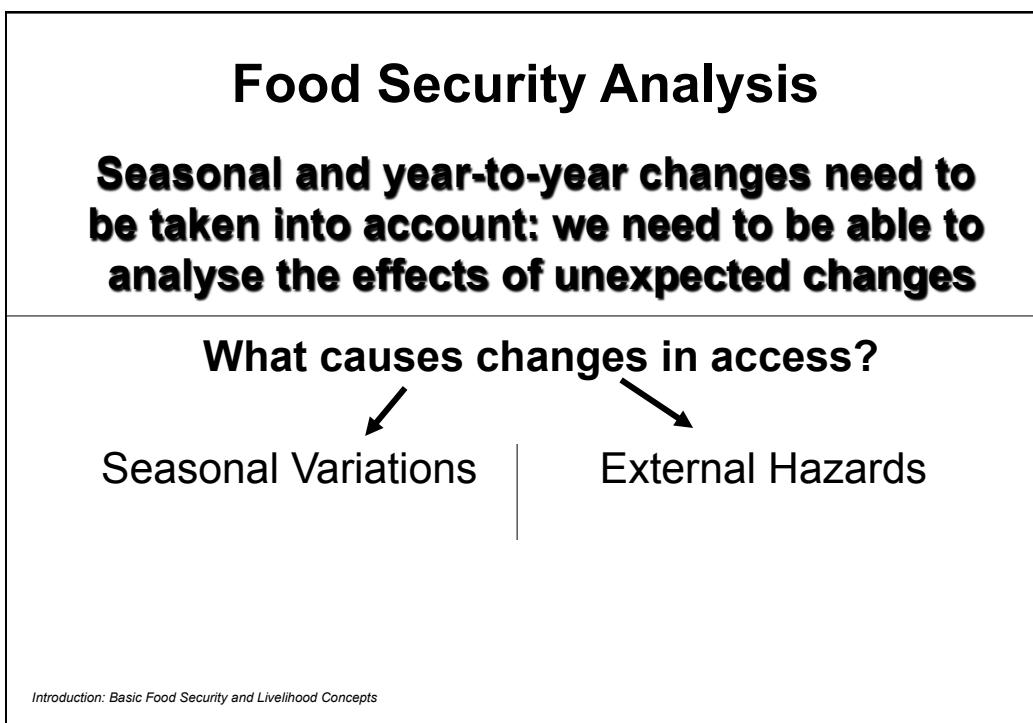
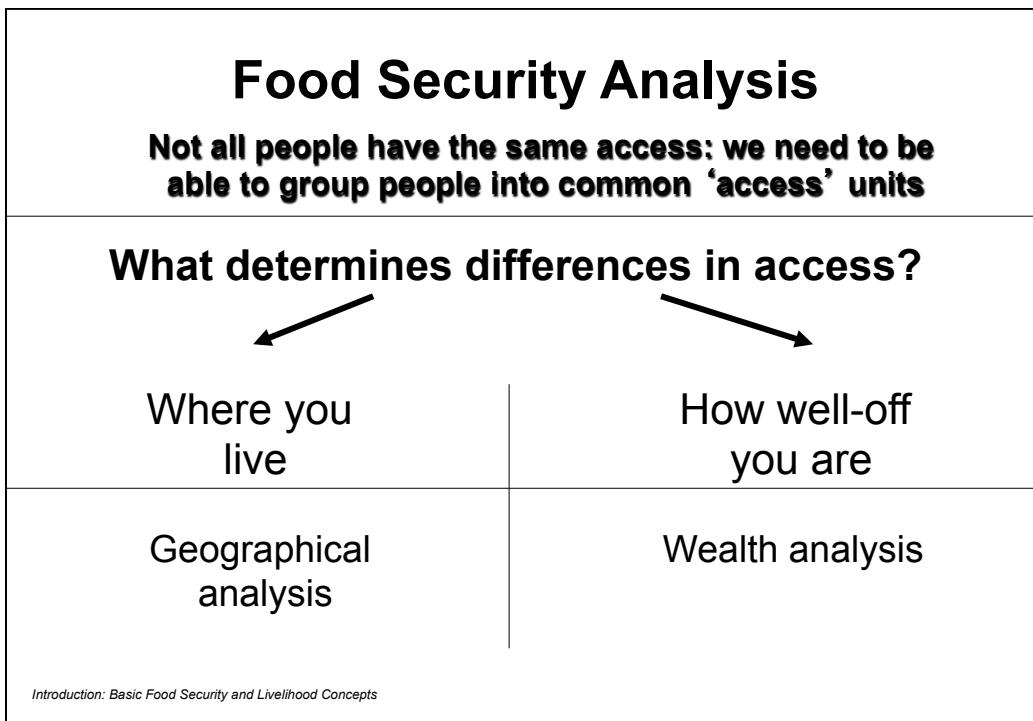
They receive it
as a gift

Introduction: Basic Food Security and Livelihood Concepts



Food Security Analysis	
To know whether it is ‘enough’, we need quantified measures and a threshold against which to compare	
What is enough?	
8800 Kilojoules	A diverse and balanced diet
Quantification of all food and income and expenditure sources	Nutritional analysis
<small>Introduction: Basic Food Security and Livelihood Concepts</small>	

Food Security Analysis	
Not all people have the same access: we need to be able to group people into common ‘access’ units	
What determines differences in access?	
Where you live	How well-off you are
<small>Introduction: Basic Food Security and Livelihood Concepts</small>	



<h2>Food Security Analysis</h2> <p>Seasonal and year-to-year changes need to be taken into account: we need to be able to analyse the effects of unexpected changes</p>	
<h3>What causes changes in access?</h3>	
Seasonal Variations	External Hazards
Analysis and incorporation of seasonality	Ability to model outcomes of multiple hazards: weather, market, conflict, political, health, etc.

Introduction: Basic Food Security and Livelihood Concepts

<h2>What are Livelihoods?</h2> <p>The means by which households obtain and maintain access to essential resources to ensure their immediate and long-term survival.</p>	
Natural assets	<i>agricultural and grazing land, water resources, timber, fish</i>
Physical assets	<i>farm equipment, seeds, tools, sewing machines, vehicles, livestock, houses</i>
Human assets	<i>labor power within a household, education, skills, vocational training</i>
Financial assets	<i>wages, access to credit, savings</i>
Social assets	<i>kinship structures, religious groups, neighborhood associations</i>
Political assets	<i>citizenship, access to political leaders, recourse to a functioning legal system</i>

Introduction: Basic Food Security and Livelihood Concepts

What are Livelihoods?

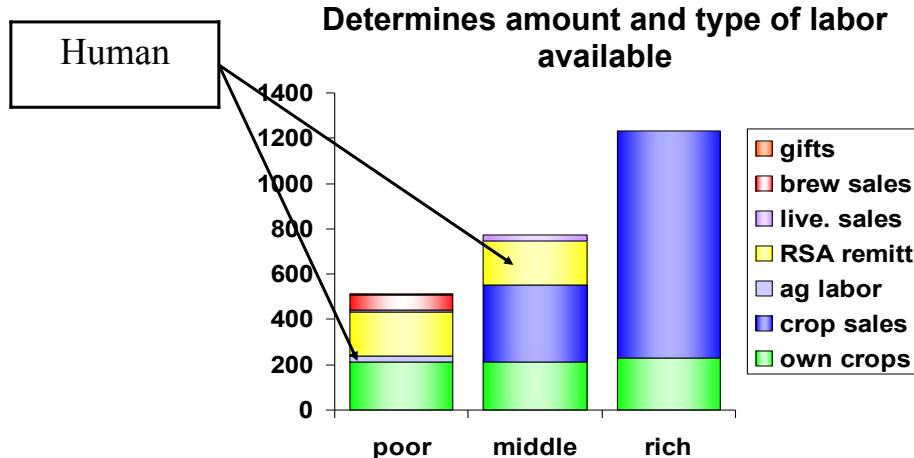
The means by which households obtain and maintain access to essential resources to ensure their immediate and long-term survival.

Livelihood Security is...

Ensured **access** to **sufficient** resources to ensure immediate and long term survival for **all people at all times**

Introduction: Basic Food Security and Livelihood Concepts

How can we analyse livelihoods?

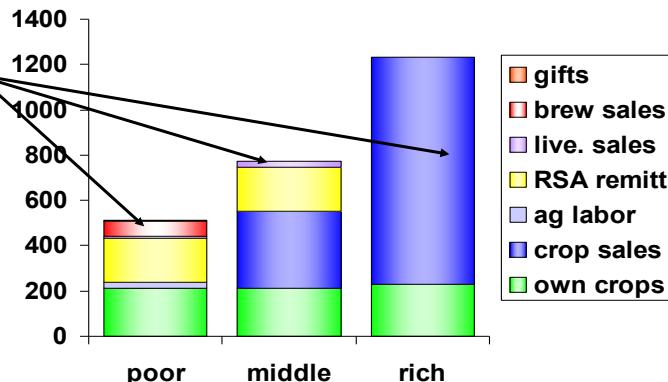


How can we analyse livelihoods?

Human

Physical

Determines limit to different levels of income from market sources



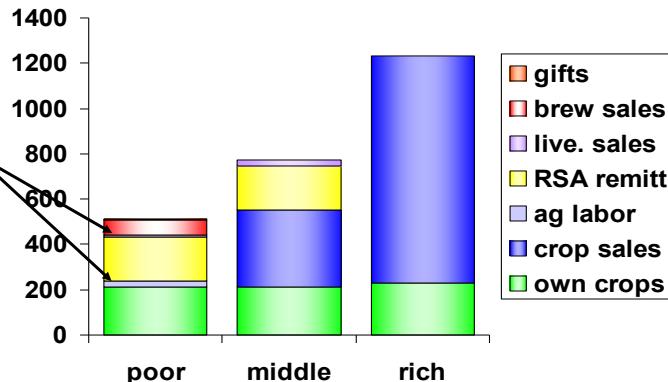
How can we analyse livelihoods?

Human

Physical

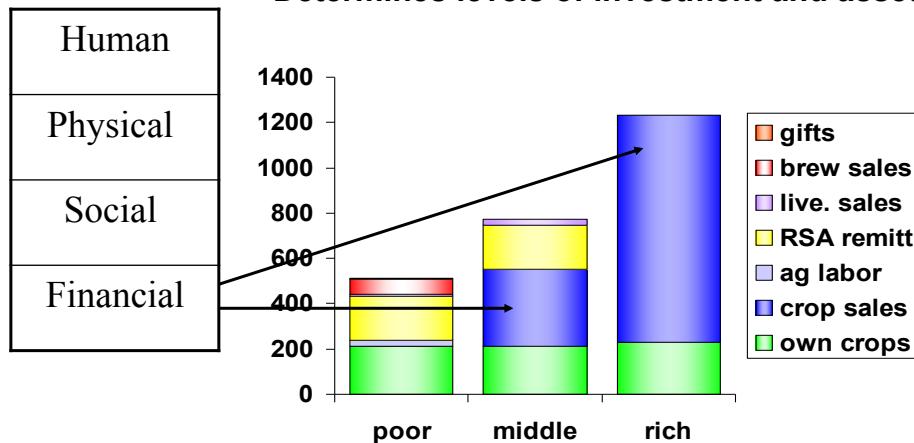
Social

Determines reciprocal exchange agreements (ag. labor and gifts, etc)



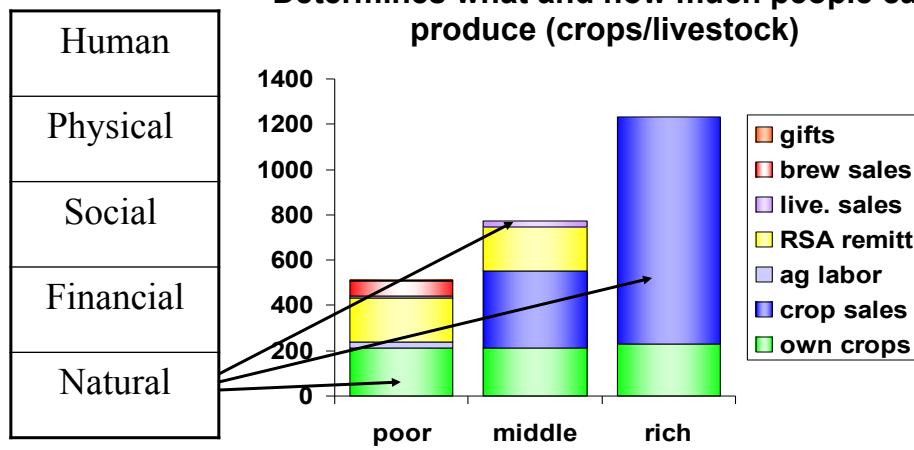
How can we analyse livelihoods?

Determines levels of investment and assets



How can we analyse livelihoods?

Determines what and how much people can produce (crops/livestock)



HEA and Food Security and Livelihood Analysis

HEA concepts relevant to Food Security and Livelihood Analysis

- Livelihood Zoning
- Wealth Breakdowns
- Baseline Livelihood Strategies
- Survival Threshold
- Livelihood Protection Threshold
- Outcome Analysis
- Problem Specification

End of Session 1.1

MODULE 1: INTRODUCTION TO THE HEA FRAMEWORK

Session 2. HEA Framework Introduction

HEA Framework Overview: Origins

HEA was developed in the early 1990s by Save the Children in order to improve the ability to predict short-term changes in access to food.

HEA Framework Overview: Origins

HEA's inception was in response to a demand for an approach that could:

- Quantify the problem
- Allow for comparisons
- Provide reliable results for large populations
- Point to appropriate responses
- Be predictive

HEA Framework Overview: Origins

Other agencies, such as F.E.G., FEWS NET, ACF and Oxfam, have since worked on the development of HEA, making it useful in a wide range of settings.

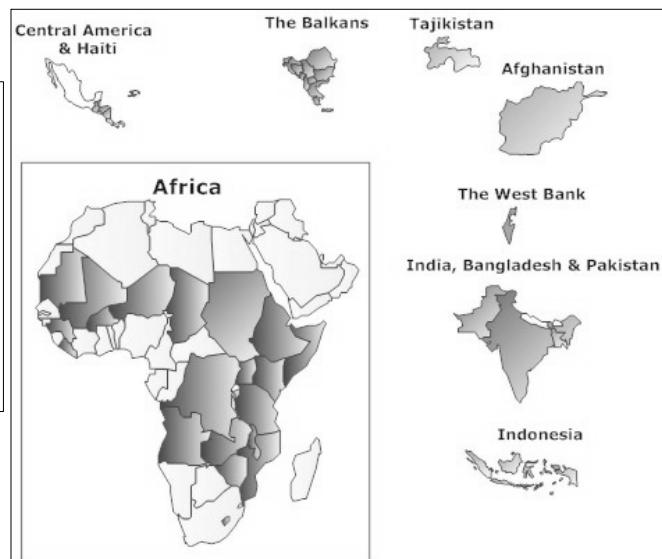
HEA Framework: Uses

An understanding of livelihoods is at the heart of HEA – leading to its application beyond emergency food needs

Disaster Response	Rehabilitation	Early Warning & Scenario Analysis	Development Planning	Monitoring and Evaluation
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HEA Framework Overview: Uses

Where
has
HEA
been
used?



HEA Framework: Overview

HEA is an analytical
framework

HEA Framework: Overview

The HEA Analytical Framework

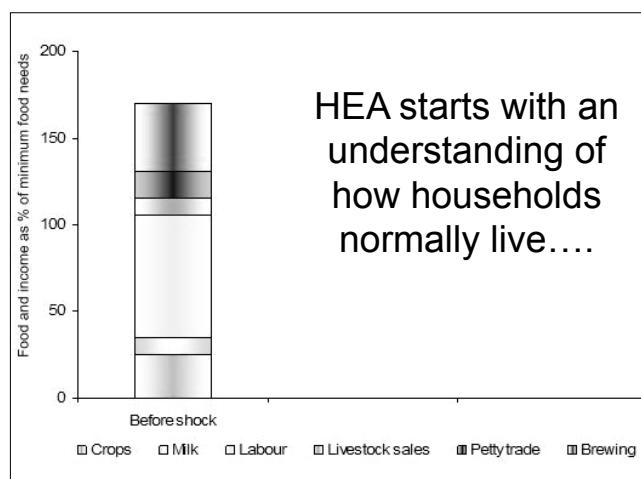
- Defines the information that needs to be gathered
- Specifies the way in which it should be analysed
- Answers a particular set of questions linked to response

HEA Framework: Overview

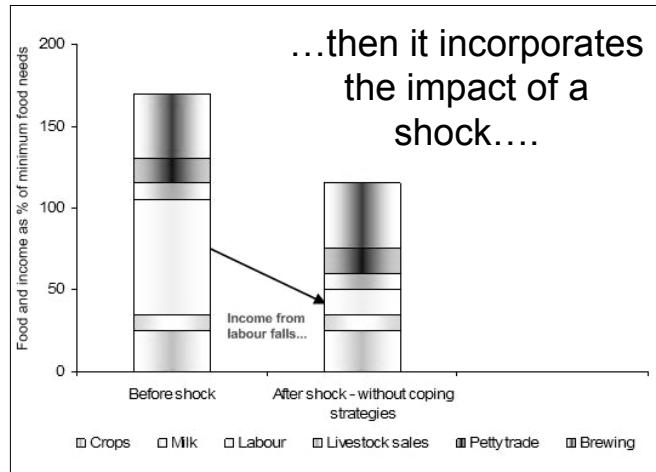
The HEA Analytical Framework

- Does not limit HOW field information is gathered
- Can be implemented using a number of different field methods, including both HH questionnaires and RRA

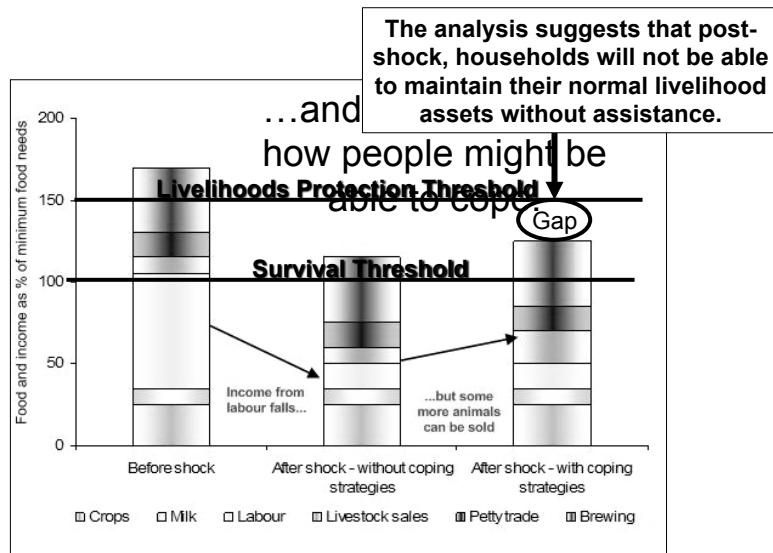
HEA Framework: Overview



HEA Framework: Overview

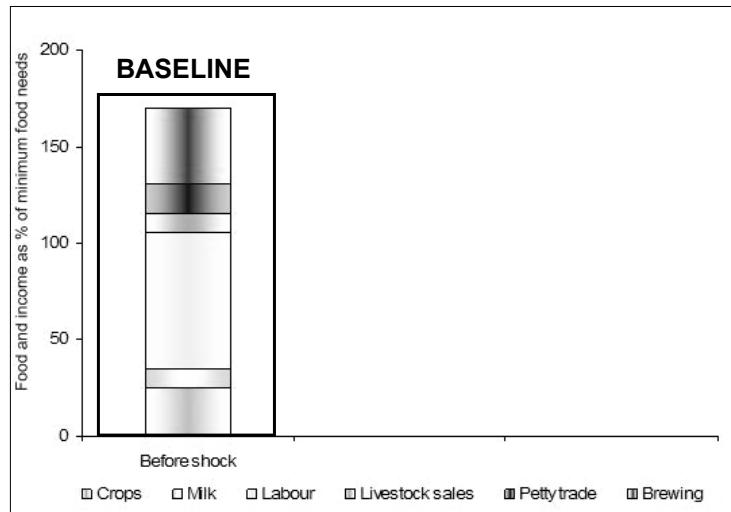


HEA Framework: Overview



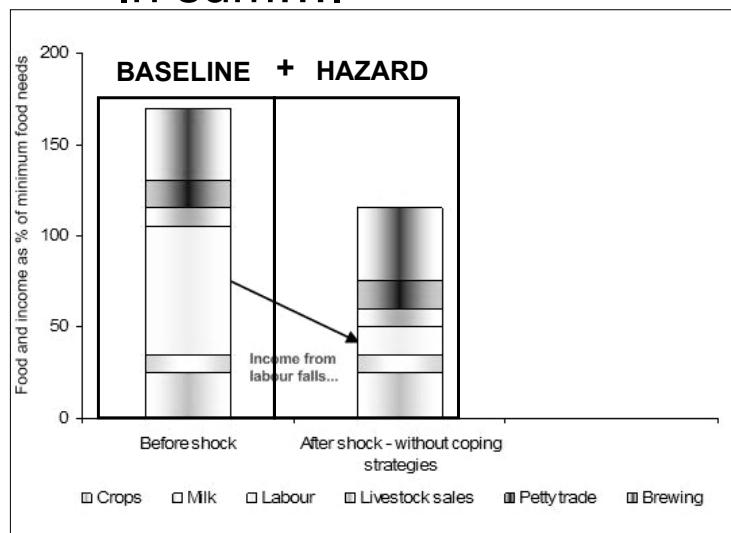
HEA Framework Overview: Components

In sum....



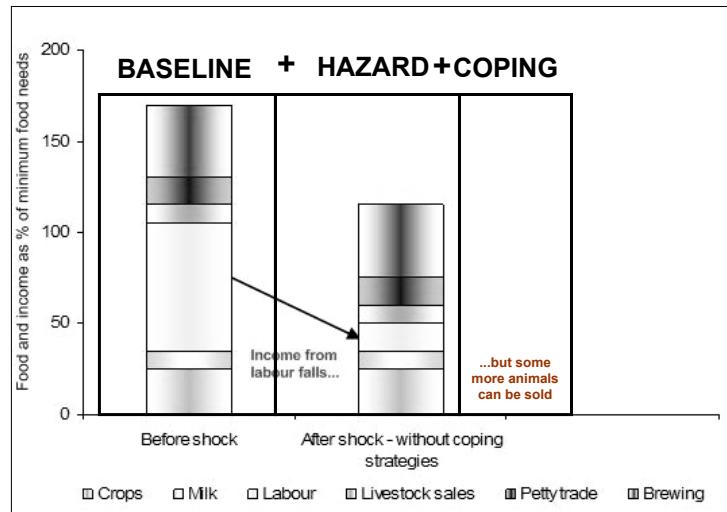
HEA Framework Overview: Components

In sum....



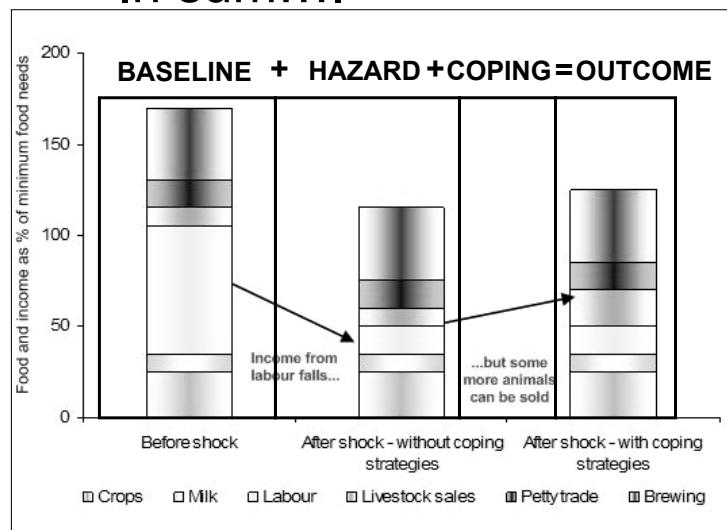
HEA Framework Overview: Components

In sum....



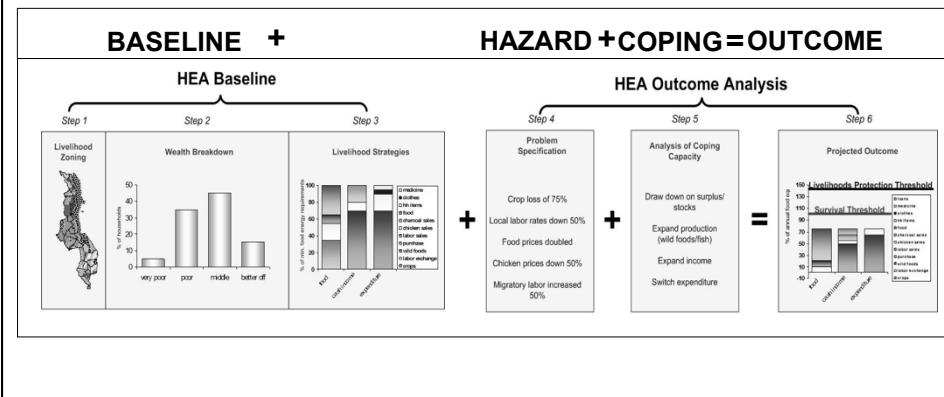
HEA Framework Overview: Components

In sum....



HEA Framework Overview: Components

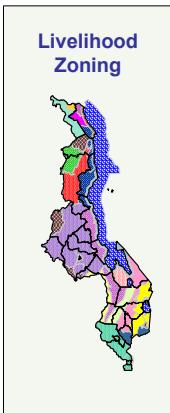
In practice this process is broken into six steps



HEA Framework Overview: Components

BASELINE

Step 1:



What it does:

Defines areas within which people share broadly the same patterns of livelihood

Why it is necessary:

Allows you to target geographically & to customize indicators for livelihoods monitoring systems

HEA Framework Overview: Components

BASELINE

Step 2:



What it does:

Groups people together using local definitions of wealth and quantifies their livelihood assets

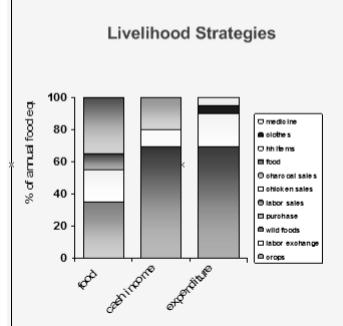
Why it is necessary:

Allows you to disaggregate the population and indicate who (and how many) need assistance

HEA Framework Overview: Components

BASELINE

Step 3:

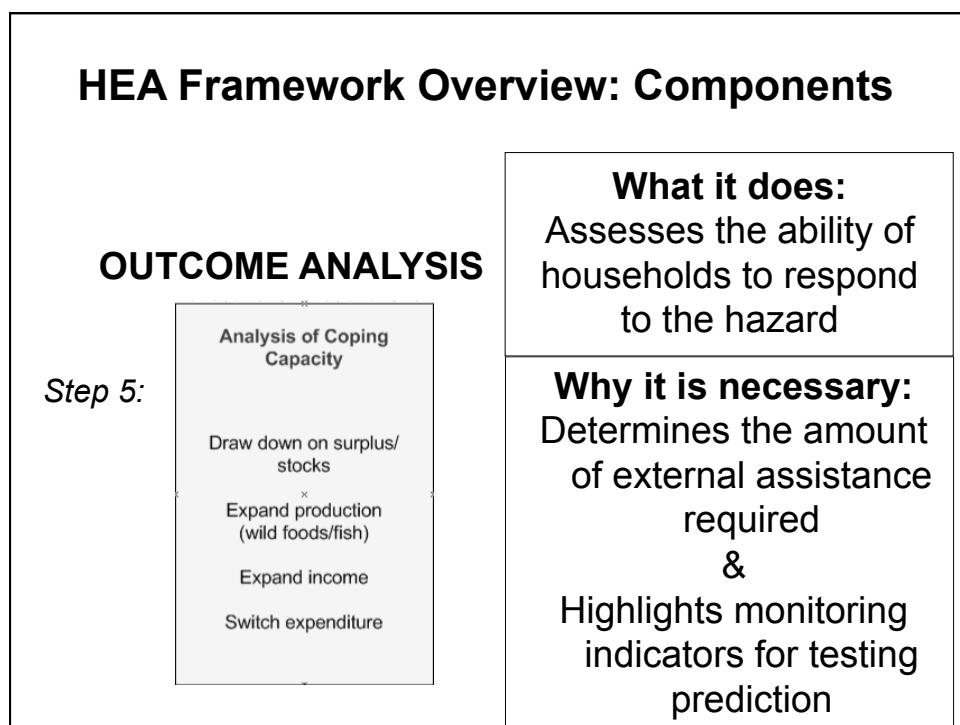
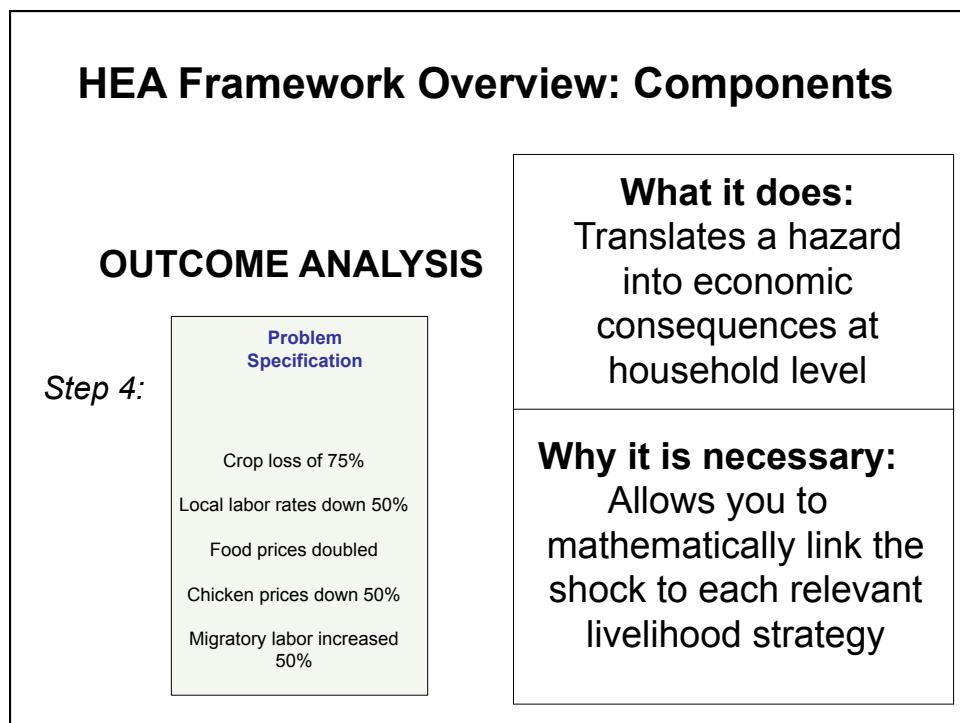


What it does:

Quantifies sources of food and income, and expenditure patterns using 'common currency'

Why it is necessary:

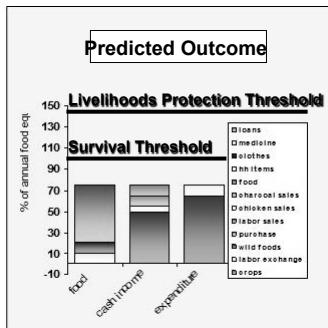
Enables comparisons across wealth groups, zones and countries & provides starting point for outcome analysis



HEA Framework Overview: Components

OUTCOME ANALYSIS

Step 6:



What it does:

Predicts the outcome of the hazard in relation to livelihood protection and survival thresholds

Why it is necessary:

Allows you to determine whether people need external assistance in order to survive and/or to maintain their livelihood assets

In sum, the HEA Framework

- Allows for a systematic analysis of the predicted effects of a hazard or multiple hazards on household livelihood assets
- Provides a system for comparing poverty levels and prioritising needs across areas
- Can be re-used year after year, saving money
- Highlights a range of appropriate responses (not just food)

Module 1: Introduction to the HEA Framework

Session 1: Basic Food Security and Livelihood Concepts**HANDOUT – HEA TIMELINE AND DEFINITIONS****HEA TIMELINE**

1973/4	Ethiopian and Sahel famines; post-famine assessments undertaken to integrate anthropometric and socio-economic information by those who go on to develop HEA ¹ . Miller and Holt (1975) ² report that “ <i>People died in Ethiopia not because of an extreme shortage of food, i.e. famine, but because of an extreme shortage of money, i.e. poverty.</i> ” Challenges the dominant focus on supply and food availability for explaining famine.
1981	Sen's entitlement theory published in <i>Poverty and famines</i> ; this encourages a focus on food access. Practical efforts to understand access increases in second half of the 1980s.
c1986	Ethiopian Famine early warning system begins to incorporate ‘coping mechanisms’ in its monitoring system
1991-3	SC UK’s post-conflict surveys in Ethiopia and Somaliland develop the concept of ‘food economy’ ³
1992	“Risk mapping” project starts at Save the Children in collaboration with FAO, based on food economy analysis (later called HEA)
Mid-1990s	NGOs (notably CARE) engage in livelihoods assessment and link it to food security
1995	HEA taken up by Food Security Analysis Unit-Somalia, funded by EC First operational HEA assessment and monitoring system established, in southern Sudan (WFP/SC UK)
1998	FEG formed to promote HEA; SC UK also continues promotion
1999	SC UK second staff to SADC to support use of HEA in vulnerability analysis in Southern Africa
2000	Manual on HEA published by SC UK FEWS NET/USAID takes up HEA as its vulnerability assessment methodology through FEG
1973/4	Ethiopian and Sahel famines; post-famine assessments undertaken to integrate anthropometric and socio-economic information by those who go on to develop HEA ⁴ . Miller and Holt (1975) ⁵ report that “ <i>People died in Ethiopia not because of an extreme shortage of food, i.e. famine, but because of an extreme shortage of money, i.e. poverty.</i> ” Challenges the dominant focus on supply and food availability for explaining famine.

¹ For example: Seaman, Holt and Rivers (1974) *Harerghe under Drought*, Addis Ababa, Ethiopian Relief and Rehabilitation Commission

² Miller D. and Holt J. (1975). The Ethiopian Famine. *Proceedings of the Nutrition Society*, 34. 1975. p.175.

³ Including: Holt and Lawrence (1991) - *An End to Isolation: The Report of the Ogaden Needs Assessment Study*; (1993) *Making Ends Meet: A Survey of the Food Economy of the Ethiopian North-East Highlands*. Save the Children UK, London.

⁴ For example: Seaman, Holt and Rivers (1974) *Harerghe under Drought*, Addis Ababa, Ethiopian Relief and Rehabilitation Commission

⁵ Miller D. and Holt J. (1975). The Ethiopian Famine. *Proceedings of the Nutrition Society*, 34. 1975. p.175.

	First HEA urban assessment (in Kosovo, for WFP) ⁶ 'Food economy spreadsheet' developed by FEG (now the baseline storage sheet and analysis spreadsheets)
2002-04	Formation of Vulnerability Assessment Committee (VAC) system in the Southern African Development Community (SADC): Regional VAC (RVAC) plus six national VACs (NVAC). First HEA-based food security projections for the whole of Malawi, Swaziland and Lesotho produced by NVACs
2003	Integrated spreadsheet developed by FEG for analysis of impact across several livelihood zones
	Individual Household Method of HEA piloted by SC UK
Mid-2000s	Growing dissatisfaction with 'emergency response' approach to food crises; increasing interest in Social Protection and Disaster Risk Reduction. Increased development of HEA for non-emergency uses.
2006	Ethiopian government takes up HEA as the base methodology for the national early warning system
	Oxfam GB adopts HEA as a core food security assessment methodology
2008-12	More NVACs formed in SADC: Namibia, Botswana and Angola. Adoption of HEA in those countries for early warning. As these are middle-income economies, the emphasis shifts from starvation threats and survival to poverty thresholds and economic access. Livelihood zoning in South Africa that urban groups.
2012-present	NVAC/Provincial VAC (PVAC) formation in South Africa, baselines in Limpopo Province. Linking of Food and cash sources to national poverty measures, emphasis of assessments on poverty and inequality. NVAC formations in DRC, Tanzania; with national baselines undertaken in Tanzania.

Definitions of key terms

Food security	Secure access by all people at all times to a sufficient quantity and quality of food for an active and healthy life.
Livelihoods	The means by which households obtain and maintain access to essential resources to ensure their immediate and long-term survival.
Livelihood security	Ensured access to sufficient resources to ensure immediate and long term survival for all people at all times.

Analysis spreadsheet	A spreadsheet used to carry out the outcome analysis . There are two types: the <i>single zone spreadsheet</i> used to prepare scenarios for a single livelihood zone, and the <i>integrated spreadsheet</i> , used for the analysis of larger geographical areas of up to 12 livelihoods zones.
Baseline	The quantified analysis of sources of food and income and of expenditure for households in each wealth group over a defined reference period.

⁶ Holt and King (2000)

Baseline storage sheet	A spreadsheet that enables field teams to enter, check and analyse individual interview data in the field, and to analyse and summarise field data during the interim and final data analysis sessions.
Chronic food insecurity	A household is chronically food insecure when it consistently fails to meet its minimum energy requirements.
Coping capacity	The capacity of households to diversify and expand access to various sources of food and income, and thus to cope with a specified hazard.
Hazard	A shock such as drought, flood, conflict or market dysfunction which is likely to have an impact on people's livelihoods
Household	A group of people, each with different abilities and needs, who live together most of the time and contribute to a common economy, and share the food and other income from this.
Household economy	The sum of ways in which a household acquires its income, its savings and asset holdings, and by which it meets its food and non-food needs.
Livelihood protection threshold	The total income required to sustain local livelihoods. This means total expenditure to: <ul style="list-style-type: none"> (i) ensure basic survival (i.e. all items covered in the survival threshold) (ii) maintain access to basic services e.g. health and education (iii) sustain livelihoods in the medium to longer term e.g. purchase of seeds or veterinary drugs, and (iv) achieve a minimum locally acceptable standard of living e.g. purchase of basic clothing or coffee/tea.
Livelihood zones	Geographical areas within which people share broadly the same patterns of access to food and income, and have the same access to markets.
Outcome analysis	An analysis of how access to food and cash for each wealth group will be affected by a defined hazard, and of the extent to which other food or cash sources can be added or expanded, or non-essential expenditure reduced, to make up the initial shortages.
Problem specification	The translation of a hazard such as drought into economic consequences at household level.
Projected outcome	A quantified estimate of access to food and cash, taking into account the shock and household responses to it, in relation to a survival and livelihoods protection threshold .
Reference period	A defined period (typically 12 months) to which the baseline information refers, needed in order to analyse how changes in the future (in production, for example) can be defined in relation to the baseline.
Risk	The likelihood that an event such as drought or flooding will occur.

Scenario outcome	A quantified estimate of access to food and cash arising from an outcome analysis , taking into account the effects of the hazard and household responses to it, for each of the wealth groups .
Seasonal calendar	A graphical presentation of the months in which food and cash crop production and key food and income acquisition strategies take place, also showing key seasonal periods such as the rains, periods of peak illness and the hunger season.
Survival threshold	The total food and cash income required to cover the food and non-food items necessary for survival in the short term. It includes (i) 100% of minimum food energy needs; (ii) the costs associated with food preparation and consumption; and (iii) where applicable, the cost of water for human consumption.
Vulnerability	People are vulnerable if they are expected to be unable to cope with a defined hazard ; for example, they are vulnerable to crop failure if such a hazard is likely to reduce their access to food or cash below a defined threshold.
Wealth breakdown	The process by which people within a livelihood zone are grouped together using local definitions of wealth and the quantification of their assets. The level of division depends on how the community view their society, and the purpose of the analysis.
Wealth group	A group of households within the same community who share similar capacities to exploit the different food and income options within a particular livelihood zone .

End of Session 1.2

MODULE 2: BASELINE ASSESSMENT

Session 1: Introduction to the Field Process

What Field Methods are available?

Rapid Appraisal

Valued for speed, relative cost, and cross-checking/quality control in field

Features

- Multiple levels
- Iterative
- Purposive sampling

Sample Survey

Valued for the level of detail in the data collected, precision, and representativeness

Features

- Household level
- Standardised questionnaire
- Large number of hhs

Session 1: Introduction to the Field Process

Rapid Appraisals or Sample Surveys?

- One approach is not always better than the other
- They serve different purposes
- They have different requirements in terms of time, staff and technical input
- Both types of assessment can be well or badly done

Session 1: Introduction to the Field Process

Rapid Appraisals or Sample Surveys?

HEA is an analytical framework

not a particular method of information collection.....

However....

Rapid Appraisal has been the **field method of choice** for implementing HEA Baseline Assessments

Session 1: Introduction to the Field Process

Rapid Appraisals or Sample Surveys?

Rapid Appraisals have a number of characteristics that make them the natural choice for most HEA **Baseline Assessments**

Piecing together a picture



Sample surveys tend to make sense for gathering **Hazard/monitoring data**

Obtaining discrete statistics



Session 1: Introduction to the Field Process

Why Rapid Appraisal for Baselines?

- Can be done relatively quickly
- Allows for extensive cross-checking and follow up analysis in the field
- Quality and accuracy of each interview tends to be high
- Relatively inexpensive
- Findings can be presented almost immediately after completion of field work

Session 1: Introduction to the Field Process

Why not Sample Surveys?

- They take a long time to set up and implement
- They are expensive
- They limit cross-checking and follow up in the field
- The analysis takes a long time and results often miss the window of opportunity for action

Session 1: Introduction to the Field Process

But what about reliability?

Two factors determine reliability:

Accuracy →

Is the picture
true?

Representativeness →

Does the picture
apply to most
people in the
category?

Session 1: Introduction to the Field Process

But what about reliability?

Accuracy

Resource limits tend to mean a choice has to be made between:

- A higher volume of lower quality data
- A lower volume of higher quality data

Sample Surveys typically aim to maximise the total number of interviews completed

Session 1: Introduction to the Field Process

But what about reliability?

Accuracy

Resource limits tend to mean a choice has to be made between:

- A higher volume of lower quality data
- A lower volume of higher quality data

Rapid appraisal techniques aim to maximise the quality of each interview

Session 1: Introduction to the Field Process

But what about reliability?

Accuracy

Rapid Appraisal techniques allow for cross-checking within and between interviews so that the data are internally consistent and contribute to a picture in which 'things add up' both quantitatively and logically

Session 1: Introduction to the Field Process

But what about reliability?

Accuracy

In HEA, the standardized cross-checks built into the three stages of analysis and the Baseline Storage Sheet provide critical quality control measures. These measures are made possible by the flexibility and follow up allowed for in rapid appraisals.

Session 1: Introduction to the Field Process

But what about reliability?

Accuracy

This is a key factor in minimising the errors arising from the subjectivity of responses or the ambiguity of questions

Session 1: Introduction to the Field Process

But what about reliability?

Representativeness

Sampling

Random	<i>every sample unit such as the household has an equal chance of being selected</i>
Purposive	<i>sample units are selected on the basis of their known characteristics, these being thought to make them representative of the group as a whole</i>

Session 1: Introduction to the Field Process

But what about reliability?

Representativeness

Sampling

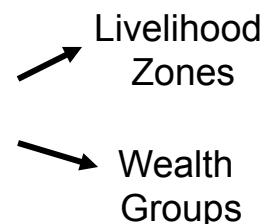
Random	<i>Need a complete list of locations to sample, such as villages for a rural survey; and accurate data on the population of each unit sampled to achieve representative results</i>
Purposive	<i>Need to have a good starting point for understanding the characteristics that define homogeneity</i>

Session 1: Introduction to the Field Process

But what about reliability?

Representativeness

In HEA Baseline Assessments, representativeness is ensured through the purposive sampling of areas and groups considered to be relatively homogeneous in terms of livelihood



Session 1: Introduction to the Field Process

But what about reliability?

Representativeness

8 – 12 interviews should be done per wealth group per livelihood zone

8 – 12 villages should be visited per zone

This makes a total of 32 – 48 household representative interviews (with around 4 people interviewed in each sitting)

Session 1: Introduction to the Field Process

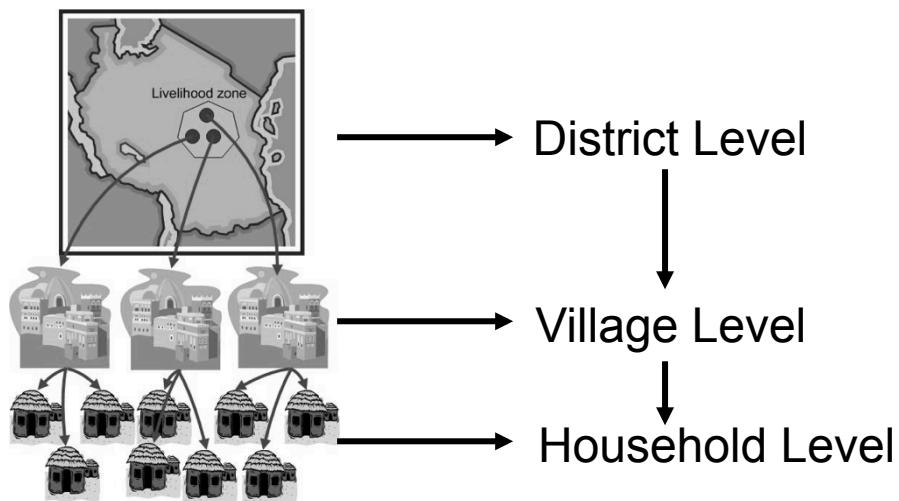
But what about reliability?

Representativeness

One livelihood zone typically takes 10 – 14 days to cover in a baseline assessment with two experienced interviewers

Session 1: Introduction to the Field Process

What are the levels of enquiry?



Session 1: Introduction to the Field Process

What interviews are done when?

Level	Interview
District	Zoning/Timeline Trader/Market (Form 1 & 2)
Village	Wealth Breakdown (Form 3)
Household	Household Representative (Form 4)

Session 1: Introduction to the Field Process

What output is expected at each level?

Level	Interview	Goal
District	Zoning/Timeline Trader/Market <i>(Form 1 & 2)</i>	<ul style="list-style-type: none"> ➤ Obtain clearance for field work ➤ Verify livelihood zone boundaries ➤ Select villages for field work ➤ Obtain timeline and reference data
Village	Wealth Breakdown <i>(Form 3)</i>	
Household	Household Representative <i>(Form 4)</i>	

Session 1: Introduction to the Field Process

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Village	Wealth Breakdown <i>(Form 3)</i>	<ul style="list-style-type: none"> ➤ Determine wealth group criteria ➤ Establish percentages for groups ➤ Arrange for hh rep interviews
Household	Household Representative <i>(Form 4)</i>	

Session 1: Introduction to the Field Process

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Household	Household Representative (Form 4)	<ul style="list-style-type: none"> ➤ Determine and quantify food, cash and expenditure patterns ➤ Quantify expandability

Session 1: Introduction to the Field Process

What output is expected at each level?

Step in Framework

Level	Interview
District	Zoning/Timeline Trader/Market (Form 1 & 2)
Village	Wealth Breakdown (Form 3)
Household	Household Representative (Form 4)

Livelihood Zoning

Wealth Breakdown

Poor	10%
Middle	40%
Better-off	50%

Livelihood Strategies

Session 1: Introduction to the Field Process

Module 2: Baseline Assessment
Session 1: introduction to the Field Process

HANDOUT

A. Why does HEA use rapid appraisal methods?

None of the work in the field in an HEA assessment is research for research's sake. HEA aims to provide the information that decision makers require, in the time frame they need it, in as efficient a way as possible, and with enough rigour and validity to trigger action. It attempts to 'short cut' a process that could require years of anthropological study.

Rapid appraisal vs sample surveys: issues to consider

- **Timeliness:** in rapid appraisal, results tend to be available shortly after completion of fieldwork, since much of the analysis is undertaken over the course of the field work by the fieldworkers themselves. Thus rapid appraisal is especially well-suited in emergencies when decisions have to be taken quickly. But timeliness is also important in non-emergency contexts, especially in relation to cost.
- **Cost:** sample surveys tend to be more expensive due to the large samples involved, which pushes up staff and transport costs. But rapid appraisal tends to need a higher calibre of staff and more training (though questionnaire surveys need good, well trained staff too), which pushes up the cost per staff unit.
- **Quality of information obtained:** semi-structured interviews allow for discussion, cross-checking, clarification and triangulation. This can ensure the information gained is more accurate and reliable.
- **Quantitative vs qualitative data:** the basic output from a sample survey is a set of *quantitative* statistics (e.g. average maize production last harvest was x sacks per household). What is often missing is the more *qualitative* or descriptive aspects of the analysis, i.e. the story behind the statistics. Rapid appraisal allows for the building up of this story at the same time as (and as a result of) the collection of quantitative data.
- **Calibre of personnel:** rapid appraisal tends to require high quality staff and more training – because field workers are not just form fillers. They actually take part in the analysis, which makes it more interesting for them and helps build up their capacity. They tend then to have a greater sense of ownership of the final output.
- **Representativeness of the sample:** the aim of sampling is to ensure that the results are representative of the population of concern. Household questionnaires tend to use random sampling in which villages or households are selected at random. Rapid appraisal tends to use purposive sampling, i.e. villages are selected which are considered by key informants to be typical of an area; or households are selected which are considered to be typical of a particular group of people (eg the poor, or the better off).
- **Flexibility in implementation:** rapid appraisal allows for new or unexpected findings to be included in the analysis. This reduces the need for extensive pre-testing of the questionnaire as in sample surveys.

B. Levels at which information is gathered during an HEA assessment

In the field there are typically three levels at which inquiry takes place. All HEA baseline assessments include interviews at the **community** or **village** level, and then a further set of interviews at the **household** level. Most assessments also include **district**-level interviews. The core process involved at all stages is one of grouping, selecting and moving on to the next level.

- At the **district** level, you group representative villages or communities, select the ones you are to visit and then move to the community level.
- At the **community** or **village** level you group households according to common wealth determinants, select representative households, and move on to the household level for further enquiry.
- It is at the **household** level that your detail begins to emerge, and that the pieces of the puzzle begin to fit together.

At the district level

District interviews are necessary in order to:

- Develop or refine zones
- Choose villages where interviews will be conducted
- Inform district officials of your work
- Obtain agreement and clearances to work at the village level
- Obtain information on market networks
- Build up a timeline of events for the zone (including any hazard events, good production years and conflict events).
- Ask for any available secondary information on production and prices.

Usually, visits to the district administrative offices take around a half a day.

At the community or village level

The community level is where things begin to get interesting. It is here that you begin to learn how the local economy functions and how households fit into this context. For example, you will have already learned at the district level what kinds of crops and livestock are raised in this area; but it is from the community that you begin to understand just what role crops and livestock play in determining wealth, status and power.

At the community level you need to conduct a **wealth breakdown interview**, to find out what determines who is poor and who is better off in this community; and just what percentage of the population falls into different categories of wealth.

Once this is done, you can ask community leaders to help select representatives from different wealth groups (very poor, poor, middle, rich, etc) and to help arrange your interviews for the coming days. The wealth breakdown interviews tend to take a couple of hours, or half a day once travel and set up is taken into account.

At the household level

Household members are the true source of information about livelihoods in any

In a good interview, you can learn more in two hours than you ever could in weeks of searching through secondary literature.

area. Their knowledge is irreplaceable and is rarely, if ever, captured by sets of statistics or data.

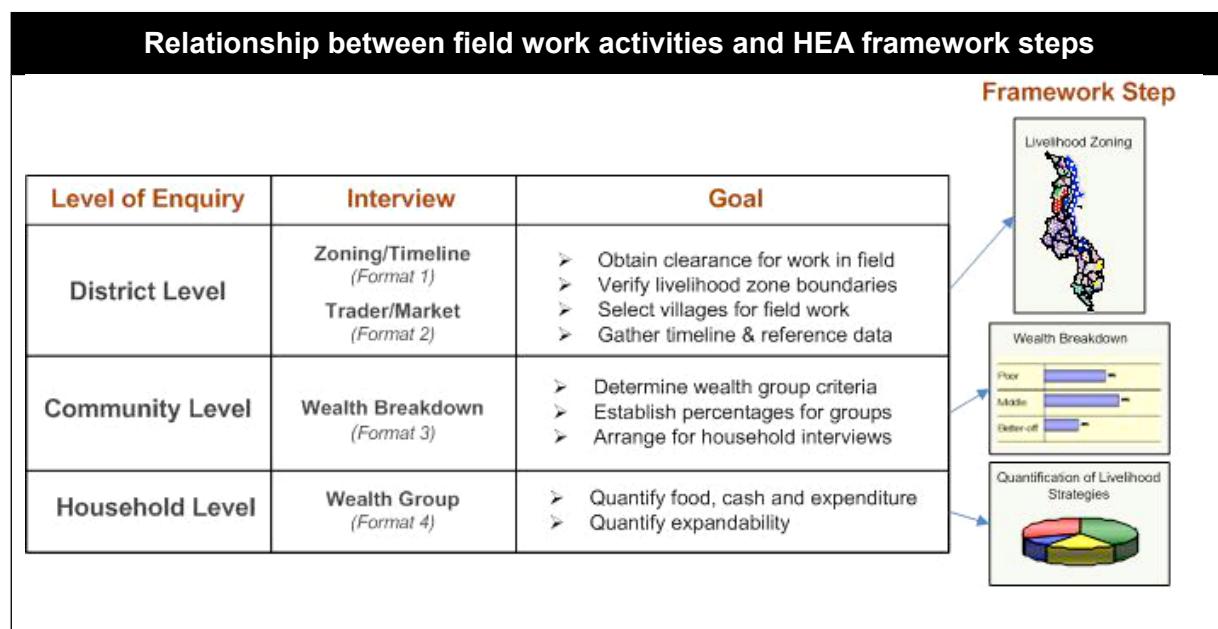
The true comparative advantage of the household level interview is the opportunity it affords for adding things up and making sense of the system and rules that govern the household economy and by extension, the community networks of rights, obligations and exchange.

- While you may have found out who grows what kinds of crops and keeps what livestock during the community-level interview, in the household interviews you'll learn just how much it costs in terms of labour, inputs and opportunities lost in order to cultivate a certain crop; you'll learn how much you can harvest from a half-acre, and what happens to the crop when it is harvested – how much gets eaten green, stored, sold, and saved for seed.
- You will learn who in the community works for whom, who shares with whom, and what happens to these labour and sharing networks in a year when sharing is not an option.
- While you may have learned at the district and community levels what kinds of livestock are owned, it is in the household interviews that you begin to understand which livestock are sold, how that money is spent, how much it costs to maintain a herd, and how many livestock a household needs to retain to ensure the herd is productive in coming years.

This is the nexus at which a livelihood takes its form, and there is no substitution for what you will find out in these days of work.

Summary

The diagram below summarises how these three levels of enquiry relate to the HEA framework steps.



End of Session 2.1

MODULE 2: BASELINE ASSESSMENT

Session 2: Ensuring Quality in the Field

What makes for good information?

Representative results: conclusions that represent the situation for the population as a whole

Accurate results: conclusions that are true and consistent with reality

Session 2: Ensuring Quality in the Field

How can you get it?

Representative results

Sampling

Selection of villages:

*Key informants at district level are asked to identify villages that are **typical** of the livelihood zone. Avoid the poorest villages, or those most affected by recent or current problems.*

Session 2: Ensuring Quality in the Field

How can you get it?

Representative results

Sampling

Selection of village-level key informants:

These can be village elders, heads of local farmer's, women's or youth associations, government extension agents, local NGO workers – but above all people with a good understanding of local livelihoods.

Session 2: Ensuring Quality in the Field

How can you get it?

Representative results

Sampling

Selection of household representatives:

We aim to interview honest, well-informed individuals who can speak on behalf of people living at their level of wealth.
Include both men and women.

Session 2: Ensuring Quality in the Field

How can you increase accuracy?

Accurate results

- ✓ **Interviewing techniques**
- ✓ **Cross checking**
- ✓ **Analysis**

Session 2: Ensuring Quality in the Field

How can you increase accuracy?

Accurate results

- ✓ Interviewing techniques

Village-Level Introductions done well help set the right expectations and establish the basis for productive discussions

Session 2: Ensuring Quality in the Field

How can you increase accuracy?

Accurate results

- ✓ Interviewing techniques

During the interview make sure you

- Use your to ensure full coverage of all the information

Session 2: Ensuring Quality in the Field

How can you increase accuracy?

Accurate results

✓ Interviewing techniques

During the interview make sure you



clear and consistent answer to each question in the context of other information you have to hand

Session 2: Ensuring Quality in the Field

How can you increase accuracy?

Accurate results

✓ Interviewing techniques

During the interview make sure you

➤ Keep in mind the
interviewing dos and don'ts

Session 2: Ensuring Quality in the Field

How can you increase accuracy?

Accurate results

- ✓ **Cross-checking**

During the interview make sure you

- **Do your calculations** to balance food intake against 8800 kJ pppd

Session 2: Ensuring Quality in the Field

How can you increase accuracy?

Accurate results

- ✓ **Cross-checking**

During the interview make sure you

- **income with expenditure**

Session 2: Ensuring Quality in the Field

How can you increase accuracy?

Accurate results

✓ **Cross-checking**

During the interview make sure you



ways and compare the responses of different people. But don't ask the same question repeatedly.

Session 2: Ensuring Quality in the Field

How can you increase accuracy?

Accurate results

✓ **Analysis**

First level of analysis

Rapid calculations →
during the interview

To check the interview for:
➤ **Reasonableness**
➤ **Completeness**
➤ **Internal consistency**

Session 2: Ensuring Quality in the Field

How can you increase accuracy?

Accurate results

✓ Analysis

Second level of analysis

Standardised calculations after the interview



- To make sure the information is :*
- Calculated in a standardised way
 - Accessible to others on the team
 - Made into an available record

Session 2: Ensuring Quality in the Field

How can you increase accuracy?

Accurate results

✓ Analysis

Third level of analysis

Summarisation during interim and final analysis on all interviews



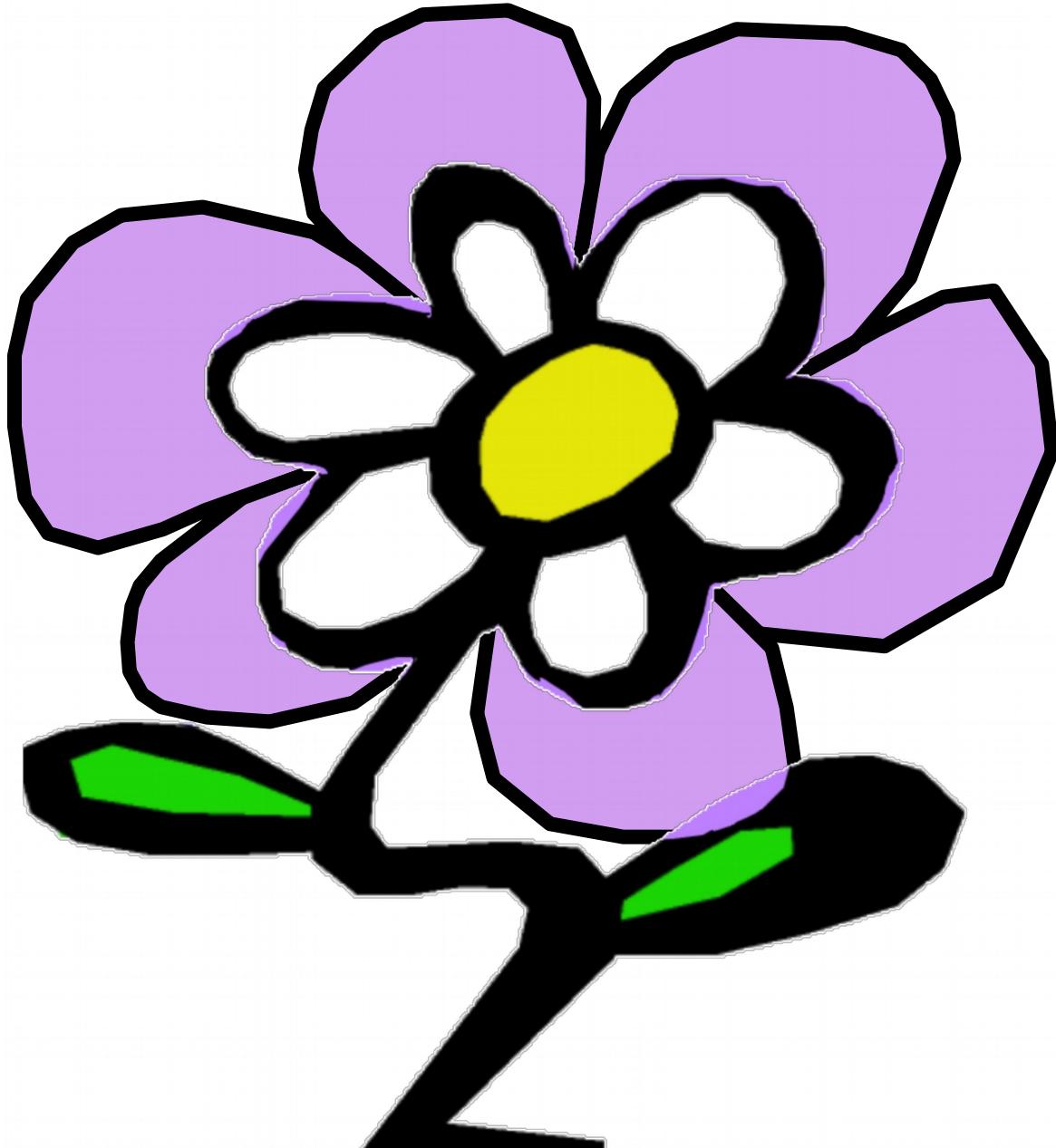
- To build an overall picture which :*
- Accurately represents typical households of each wealth group
 - Is based on good quality individual interviews

Session 2: Ensuring Quality in the Field

Module 2: Baseline Assessment

Session 2: Ensuring High Quality Field Information

HANDOUT 1: THE POWER FLOWER EXERCISE



1. In each inner petal write down a 1-word description of yourself for each of the following (you don't have to show this to anyone):

- Your age group
- Your gender
- Your level of education
- Your main livelihood source
- Are you a rural or urban dweller?
- Your income bracket

2. In each outer petal write down the same information for the people we are going to study.

Module 2: Baseline Assessment

Session 2: Ensuring High Quality Field Information

HANDOUT 2: MINIMISING BIAS AND TRIANGULATION

MINIMISING BIAS

Be aware of types of bias

Spatial bias - The tendency is to favour locations that are easily accessible. This may affect the choice of the village for the assessment (how much mud do you have to go through to get to the village) or the selection of the region. (On a hot day it may be a real bother to find out what people on the far edge of the village are thinking.)

Seasonal bias Asking about seasonality is an important part of an HEA assessment, but you should still take care not to assume that what you observe at the time of your visit will be the case in another season. A village that in the dry season may seem well linked to many markets and services may be completely cut off during the rains.

Health and influence - If specific strategies are not employed to avoid it, one tends to meet more rich and powerful people than poor and disenfranchised ones. You are likely to be introduced to, and be hosted by, people who are more influential or better off.

Male bias - When arranging interviews with household representatives of different wealth groups, you will ask to meet with men and women. If you have enough interviewers and enough time, you may want to conduct separate interviews with groups of men and women. But for many reasons, teams often find that they have talked to a lot more men than women. Try and make sure you have asked about and understood women's role in the household economy as well as the men's. For example, when constructing a seasonal calendar, you should always ask which activities are carried out by whom.

Politeness - People in most cultures have a tendency to tell interviewers what they think they want to hear. Usually if teams are conscious of this, stay long enough in the village, and express genuine interest in learning the truth, this effect can be counteracted.

Expectations - Where the team is perceived to be associated with possible benefits for the individuals or villages being studied, answers are likely to reflect the villagers' strategy for capturing those benefits. The team needs to very carefully plan how it will present itself to the village in order to minimise or offset this effect.

Be aware of these common pitfalls that can lead to misunderstandings

1. **Agreement on categories** - The informant has moved away from the initial boundaries of the conversation. It is worth confirming that they are still talking using the same **categories** that were agreed at the outset. Check that the informant is talking about: (a) the agreed year or type of year (the reference year for a baseline assessment); (b) the agreed household type.

2. **Units of measurement** - Confusions over units of measurement commonly occur over land sizes (a local unit is substituted by the informant for the acre / hectare being used by

the interviewer), bag size, tin size, bottle size and any other local container. Often interviewers assume 90 kg bags for cereals. You always have to check that this is the case. Check sample measures in the field.

3. Methods of storage - Often food crops are stored such that much of the bulk is not 'edible portion', e.g. maize can be stored on the cob. This will make the quantities given by the key informant for a crop seem high (higher than the edible quantity). So check.

4. Method of consumption - Be careful if you are asking about how many 'bags' of a food are produced and don't forget that cereals are often eaten 'green' - picked and eaten the same day. Since this is never 'bagged', informants often forget to mention this when talking about crop production.

5. The meaning of 'food' - Food, almost everywhere, has symbolic importance. It is important to check that you are getting a full list of all the important energy sources, and not just those with cultural importance as food. If you ask about the most important food sources, they might consider different qualities to you, so you could be misled if you don't understand attitudes towards food.

6. Utilisation of food - Do not assume how people use their food. Ask about total production. Then ask what they do with it. Clarify the amounts consumed, sold, stored, used to repay loans or given to kin. Ask the questions in different ways to make sure you have been understood and that you are understand the response.

Do your best to address inconsistencies

Establish good communication with your translator - Firstly, if you are using a translator check with them that they understood the question you asked. If the question was properly translated, explain to the informant that you do not understand the answer. Explain also why you don't understand the answer: if it is inconsistent with earlier information, or with your understanding of an issue from other key informants, say so. In most cases, the informant will be able to explain the inconsistency immediately. If not, it is worth checking that you are both talking about the same things.

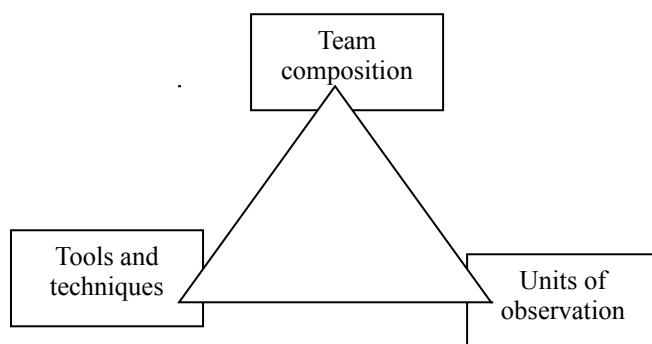
Use your powers of observation - This is an important tool for gathering information. One method of observation is to do a transect walk: start from a point and walk in a straight line to another point. Along the line you draw on a piece of paper what you can see on both sides of the line. The walk is useful in exploring differences in land use, vegetation, soil types, cultural practices, evidence of livestock, water availability and the infrastructure. Don't be afraid to ask questions of your translator or others about things you observe but don't understand. The following types of things are useful examples of what to be looking for:

- *Look at the cultivation area*: how big an area has been cultivated around the house. Does this add up to the information on the size of the farm? You can also look at the condition of the crop and the number of different crops grown in the area.
- *Look at the foods around and in the house* (if invited): usually fish, wild foods and own crops are dried or threshed around the house. You can also look for evidence of the foods stored.
- *Look for evidence of livestock*: pegs, shelter or droppings.
- *Observe meal preparation* and speak to the person preparing it about what is being cooked.
- *Observe who in the household* is performing which activities.

TRIANGULATION

Triangulation is an essential methodological concept in RRA (Rapid Rural Appraisal). It means getting two or three points of view and cross-checking between these. In RRA this involves using different investigators, different respondents, different information sources and different techniques.

The term 'triangle' implies three, but there is no particular limit to the different angles you use to cross check your analysis. However, when it comes to the process of setting up your study, the team should be conscious of triangulating three different aspects of the study: team composition, the units of observation and the tools techniques used to gather information.



Team composition

Several factors go into making sure that different perspectives are represented in the RRA team. Some important considerations are:

- **Multi-disciplinary** - Do you have a variety of disciplines represented on the team so that you can understand different aspects of the problem? At a bare minimum, this multi-disciplinarity should involve people with social science and technical experience.
- **Insiders and outsiders** - People who know a situation or an area well offer great advantages to a team but they may also carry certain preconceived notions with them. Outsiders can add a fresh perspective. Try to include both insiders and outsiders.

Units of observation

In RRA you can't rely on numbers alone to ensure a diversity of views. Special efforts have to be made to ensure that a range of opinions are represented and that you are gaining an understanding of all sides of an issue. This means making sure that you sometimes interact with individuals and sometimes with groups of people depending on the topic of enquiry. Other considerations may include choosing a balanced section of:

- Women and men
- Young and old
- Various ethnic groups
- Diverse wealth groups

- Newcomers and old-timers
- Different professions (pastoralists, agriculturists, merchants)
- Specialists (teachers or agro agents)

It is often worthwhile to search out people who for some reason may have an unusual or unpopular perspective on a problem since their views may bring up issues that are otherwise overlooked.

Tools and techniques

The more you can diversify the tools you use to get information, the more you can offset the bias implicit in any one technique. People may **tell** you one thing, while you **see** something else. A diagram may show you something that people were too embarrassed to mention in an interview. Secondary data may suggest avenues of inquiry that respondents themselves will not bring up unless asked

Source: Facilitators' Resource Pack, Household Economy Analysis, Save the Children UK, Ethiopia, 2002

Module 2: Baseline Assessment
Session 2: Ensuring High Quality Field Information

HANDOUT 3: WORKING WITH TRANSLATORS

Tips for working with translators

1. Brief the translator about the purpose of the interview and about relevant words and concepts prior to the interview whenever possible.
2. Speak in plain English. Use short units of speech - not long, involved sentences or paragraphs. Avoid technical terminology, abbreviations, colloquialisms, slang, similes and metaphors.
3. During the interview, look at and speak directly to the interviewee, not the translator. Always use the first person, for example, "How are you feeling?" and not, "Ask him how he is feeling?"
4. Encourage the translator to translate the interviewee's own words as much as possible rather than paraphrasing or 'polishing' it.
5. Encourage the translator to refrain from inserting his or her own ideas or interpretations, or omitting information.
6. Do not try to save time by asking the translator to summarise.
7. If the interviewee does not understand what you are saying, it is your responsibility (not the translator's) to explain it more simply.
8. Be aware that it may take more or fewer words than those you have spoken to convey the message in another language.
9. Do not let the translator's presence change your role in the interview. It is not the translator's role to conduct the interview.
10. Listen to the interviewee and watch their nonverbal communication. Often you can learn a lot by observing facial expressions, voice intonations and body movements.

Even if you are using a translator, there are ways you can become **more actively involved** in the communication process:

- **Learn proper forms of address** in the interviewee's language. Use of titles conveys respect for the interviewee and demonstrates your willingness to learn about their culture and livelihoods.
- **Learn basic words and sentences** in the interviewee's language. Become familiar with HEA- or livelihood-related terminology. Even though you can't speak well enough to communicate directly, the more you understand the greater the chance you will pick up on misinterpretations and misunderstandings in the translator-interviewee interchange.

- **Use a positive tone of voice** that conveys your interest in the interviewee. Never be condescending, judgmental or patronising.
- While translators are used for their language expertise, you may be able to **use their cultural expertise**, by asking the translator before the interview for information on any cultural factors that might affect the interview. Be aware of gender, class, disability and other issues (such as political, religious) that may impact on the interview.

And remember:

- Speaking louder does not help.
- Gender issues may be relevant and you may need a translator who is of the same gender as your interviewee.

Source: Adapted from Annex C4 Working with an interpreter, *Emergency Food Security Assessment Handbook*, WFP, First Edition 2005, and Working with interpreters, Multicultural Disability Advocacy Association, <http://www.mdaa.org.au/publications/faqs/interpreters.html>

Module 2: Baseline Assessment
Session 2: Ensuring High Quality Field Information

HANDOUT 4: ENSURING REPRESENTATIVE AND ACCURATE RESULTS

High quality information must be **representative** and **accurate**. Information is representative when it represents the situation for the population as a whole. Information is accurate when it is true and consistent with reality.

Ensuring results are representative

We make sure results are representative through the careful selection or sampling of villages, community key informants and wealth group representatives.

Random sampling is not used. Selection is made through purposive sampling, i.e. on the basis that a village or individual is considered typical of the area or group they represent, or on the basis that an individual has a good understanding of the topic of inquiry. With purposive sampling, it is important to be aware of the different types of bias that may affect selection (see *H2.2.2 Handout 2 – Minimising Bias*).

Sampling occurs at three different levels in HEA:

- *Selection of villages*: Key informants at district level are asked to identify villages that are typical of the livelihood zone. It is important to avoid the poorest villages, or those most affected by recent or current problems.
- *Selection of village-level key informants*: These can be village elders, heads of local farmer's, women's or youth associations, government extension agents, local NGO workers – but above all people with a good understanding of local livelihoods.
- *Selection of wealth group representatives*: We are looking for honest, well-informed individuals who can speak on behalf of people living at their level of wealth. We should include both men and women if possible.

Ensuring results are accurate

We make sure results are accurate through **good interviewing techniques** including clear **village-level introductions** and **rigorous cross-checking**, and a continual process of **review and analysis**.

1. Village-level introductions

Always explain carefully the purpose of the visit to avoid raising expectations and misleading people.

- *Welcome the participants* to the interview and thank them for coming.
- *Explain carefully* that you are not part of an official delegation or mission to the region, but that you have come to try and understand better the real situation of local people.
- *Explain the objective of your visit*:
 - That you have come to understand better how people in this area are living

- That this information will feed into the planning of future assistance to the area
 - That any attempt to mislead the team could mean that the wrong type of assistance being provided in the future – or even no assistance at all.
 - That your visit is not linked to any intervention in the short term
 - That the village has been selected to represent the local area and that the information given will not affect the level of future assistance received by the village, if any.
- *Never make any promises of assistance* to the village.
- *Describe the broad structure of the interview* and give an idea of how long it will take.
- *Put interviewees at ease* by chatting with them before you start the interview.
- *Make sure participants are happy with the setting and the seating arrangement* as this can affect the atmosphere of the interview.

2. Good interviewing techniques

Semi-structured interviewing is guided interviewing in which the interviewer knows exactly what questions ultimately need to be answered, but does not obtain the information through a pre-defined list of questions. Rather, they have the flexibility to pose questions in the way and order that they think will be most effective in getting that information, using a check-list as an aid, rather than a questionnaire. The interviews appear informal and conventional but are actually carefully controlled and structured.

General tips for semi-structured interviews

- **Follow the format.**
- **Finish enquiries into one topic** before moving on to the next. But also follow the flow of the conversation, keeping a track of leads, so that you can follow these up later.
- **Ask follow-up questions.** The next question should often follow on from the answer to the previous question.
- **Only ask questions** to which the interviewee can be expected to know the answer.
- **Keep track of the story** you are being told. Is it consistent? Clarify inconsistencies.
- **Cross-check** as much as possible, both by asking the same question in different ways and by comparing the response of different people. But don't ask the same question over and over again.
- If you have time, **use participatory methods** – this can relieve boredom and can ensure everyone's point of view is heard.
- **Evaluate the interview** afterwards. How well did it go? Did you think the results were reliable?
- As you do more interviews, **identify knowledge gaps** before each interview so that you are particularly alert in seeking answers to those questions.

Dos and don'ts for semi-structured interviews	
Dos	Don'ts
<ul style="list-style-type: none"> ➤ Prepare a checklist. ➤ Follow a logical interview structure. ➤ Be relaxed and open. ➤ Explain clearly who you are and your objectives. ➤ Probe a topic by using the 6 helpers: what, when, where, who, why and how. ➤ Use the key probes: Why? What do you mean? Can you tell me more about that? Anything else? ➤ Probe by asking informants to imagine something: "Suppose..." ➤ Judge and challenge responses: are they fact, opinion or rumour? Have you understood correctly? Ask yourself what qualifies the informant to know this. ➤ Evaluate the reliability of the interview. ➤ Take a neutral attitude, listen carefully and pay attention to non-verbal signs. ➤ Pay attention to the selection of informants. Use participatory maps or wealth rankings to ensure homogeneous groups. ➤ Be open-minded. ➤ Be prepared for good and bad interviews. If it is going badly, conclude politely and leave. 	<ul style="list-style-type: none"> ➤ Don't interrupt informants or each other. ➤ Don't accept the first answer: probe all topics. ➤ Don't ask leading questions. Any question that can be answered with a 'yes' or 'no' is a leading question. ➤ Don't supply answers for an informant who is hesitating. ➤ Don't dominate proceedings by using inappropriate non-verbal behaviour. ➤ Don't take up too much time of an informant who is busy. ➤ Don't show disapproval or distaste about local conditions or drinks or food offered. ➤ Don't indicate disbelief by criticising or even just smiling. ➤ Don't ask questions that combine two queries: e.g. "Do you have a medical centre here and are you happy with it?" ➤ Don't ever let the informant feel cross-examined ➤ Don't ask about sensitive information in front of a group of onlookers ➤ Don't miss out on the broader picture because you spend too much time on detail.

For example, for interviews with wealth group representatives:

1. **Use checklists** which list sources of food, sources of income and items of expenditure to make sure all sources are covered.
2. **Probe** to make sure you have a clear answer to each question which makes sense in the context of other information you have to hand (e.g. on crop yields, milk yields, seasonal calendars, other information from the interview).
3. **Do calculations** during the interview:
 - Add up *total food intake* to make sure you have found close to the minimum 2100 kcals per person per day.
 - Add up *total income* and *total expenditure* to make sure these are similar to one another.

3. Analysis

In HEA, analysis of the information is a continual process which takes place in the field as well as after all the information has been collected. It involves reviewing, cross-checking and triangulating the information obtained with that from other interviews and from other sources.

On-the-spot analysis of that day's interviews enables you to:

- Review information collected
- Check the accuracy of field calculations
- Share findings and problems/solutions with other team members

Interim analysis after 3-4 days enables you to:

- Compare different interviews and compile preliminary results
- Identify information gaps and issues for follow-up

Cross-checking in the ***interim and final analysis*** should include:

- Cross-checks against available secondary data – for example on crop yields, livestock production and local employment opportunities.
- Cross-checks for internal consistency – for example:
 - Local labour: income earned by the poor compared to labour payments by the better-off
 - Land rental: amount of land rented out by the poor compared to amount of land rented in by the better-off
 - Livestock loaning: number of animals loaned to the poor compared to number of animals loaned out by the better-off

Module 2: Baseline Assessment
Session 2: Ensuring High Quality Field Information

HANDOUT 5: PROPORTIONAL PILING AND COMMUNITY MAPPING

Proportional piling

Proportional piling can be a useful method for gathering information on the proportion of items or people in different categories or groups relative to the whole. This is important in HEA because we need to know, for example, not just the relative importance of different sources of food, but how much food comes from each source.

It can be a good way of ‘energising’ informants and can help to make an interview more interesting.

What can proportional piling be used for?

You can use proportional piling to get quantitative information on:

- The percentage of people in different wealth groups
- The percentage of the total cattle population in the village owned by different wealth groups

Proportional piling is also a useful way of getting people to start talking about:

- The contribution of different food sources to total food income
- The contribution of different cash sources to total cash income
- The relative importance of different expenditure items in total expenditure

However, you should in most cases avoid using proportional piling as a means to obtain quantified information on food income, cash income and expenditure, as data obtained in this way on these topics usually needs a great deal of interpretation. Informants' concept of 'food', for example, can be quite different from the concept of 'food energy' which we deal with in HEA, and when food sources are not disaggregated, the results can be quite different from those obtained through more detailed questioning. And when proportional piling expenditure - in fairly aggregate terms and over the year as a whole - informants tend to focus on the bigger, one-off outlays and under-estimate expenditure on the smaller but more frequent items. In summary, proportional piling is not usually appropriate for obtaining quantified food, income and expenditure data, but is very useful as a means of encouraging discussion on these topics among a range of participants.

How to do proportional piling

1. Make sure you have already identified a list of items that you would like to pile. You can also ask informants to rank these items in order of importance (this is optional).
2. You will need 100 beans (or nuts or marbles, or anything else readily available). This represents 100%. It is good to use something that the key informants can identify with. You will.
3. Explain to your informants that you would like them to show you just how important each item is in relation to the others. Tell them that you would like them to do this with the beans you have. The idea is that they should put more beans into a pile that represents an item which is more important, and fewer beans in a pile that represents an item that is less

important. Thus, the biggest number of beans should be in the pile symbolising the most important item, and the smallest number of beans in the pile symbolising the least important item.

4. The informant must use all the beans. The idea is that they have to imagine that the pile represents all the food they eat during the year, or all the families in the community, or all the cattle in the village, or whatever you are asking for a breakdown of. Leaving some of the beans out simply doesn't make sense. It is best that they divide the beans first and then tell you about what the piles represent. Ask if they are happy with the piles before you start discussing them, and stress that they should feel free to modify them if they don't look right.

5. Once they have split the beans into different piles, you can count them, using the numbers you get as an **approximate** percentage. If you have trouble remembering what each pile represents, label them with small pieces of paper.

Community mapping

A community map is a representation of a particular area according to the perceptions and understanding of that area by its community members.

Why can community mapping be useful?

Asking community members to map their environment in this way can be useful because it:

- Allows them to map their environment from their own perspective
- Encourages active discussion between all age, gender and wealth groups
- Allows you to cross-check information from other key informants
- Helps break the ice at the start of an interview

How to do community mapping

1. Begin by collecting local materials to be used in the construction of the map, such as sticks, leaves, branches, bricks or rocks.
2. Discuss and define with your informants the geographical boundaries of the map.
3. Ask your informants to identify the most important landmarks, using the materials collected to place them on the map. You may need to provide guidance to get the process started, for example by mentioning features such as rivers, roads, highlands, lowlands, good agricultural land, wells, health centres or schools.
4. Once the basic landmarks are established, begin to ask for more specific information such as good year grazing areas, seasonal labour migration routes or areas for the collection of wild foods.

Tips for community mapping

- Keep the group involved in the construction of the map small. Make sure only one person at a time speaks or places things on the map.
- It can be helpful to have one person guiding the interview while another draws the map and documents the information.
- Establish the direction of the map (north, south, east and west).
- Make sure the key for the different map features is clear.

Exercises in proportional piling and community mapping

Proportional piling

1. Arrange yourselves into pairs.
2. Choose who will first be the interviewer and who the interviewee. You will switch roles halfway through the exercise.
3. The interviewer should ask the interviewee to do proportional piling to show the sources of food income in the interviewee's home area (or area they know well)
4. Once you've done this, switch roles. The interviewer should then ask the interviewee to do proportional piling to show the sources of cash income in the interviewee's home area (or area they know well).

Community mapping

1. Arrange yourselves into smaller groups according to geographical area; for example, participants who come from or live in a particular district or area should be grouped together.
2. Each small group should agree exactly which area (and to what boundaries) they are going to map.
3. Each group should go outside and construct a community map of their chosen area using locally available resources.
4. When the maps have been constructed, walk around and examine all the other maps.

Source: Facilitators' Resource Pack, Household Economy Analysis, Save the Children (UK), Ethiopia, 2002

End of Session 2.2

MODULE 2: BASELINE ASSESSMENT

Session 4: Livelihood Zoning

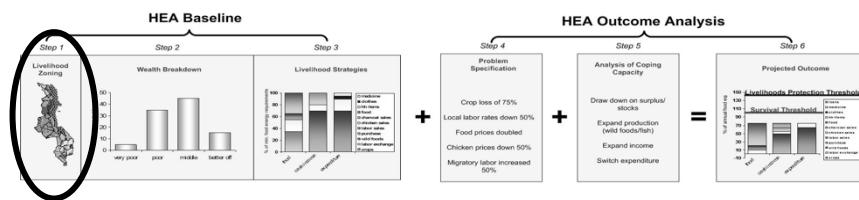
Purpose and content of session

To review the key features of a livelihood zone and provide participants with the knowledge and tools for verifying, refining and revising a livelihood zone.

By the end of this session, participants should be able to

- Describe the key factors that determine livelihood zones and how a livelihood zone map differs from other kinds of map such as land use maps, production maps etc.
- Know how to obtain information on livelihood zones from district-level key informant interviews.
- Realise when, in the field, they are in a village in the wrong livelihood zone and know what to do about it

Where Livelihood Zoning Fits



Livelihood Zoning is the first step in an HEA baseline. It establishes the context in which all further work is done.

Session 4: Livelihood Zoning

What is a Livelihood Zone?

A **Livelihood Zone** is an area within which people share broadly:

- ✓ the same means of production
- ✓ the same access to markets

Session 4: Livelihood Zoning

What defines a Livelihood Zone?

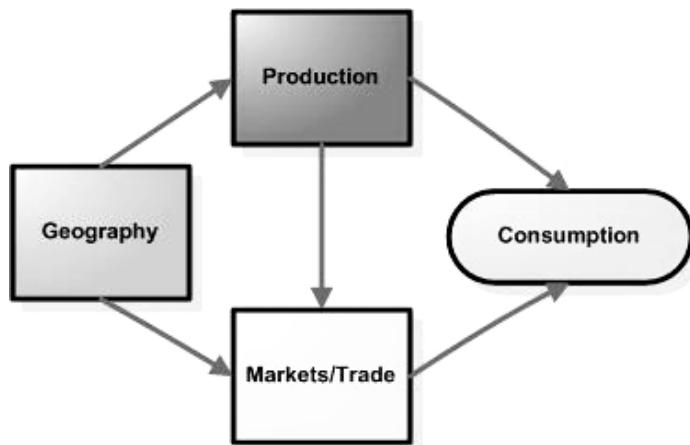
Geography: Because this determines what people can grow and where they can trade

Production: What people do grow or raise

Markets: Where people trade their goods (including their labour)

Session 4: Livelihood Zoning

What defines a Livelihood Zone?

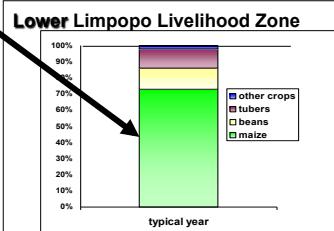
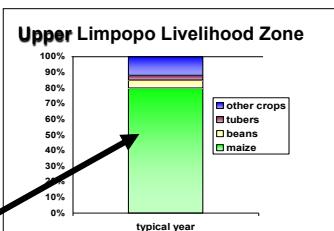


Session 4: Livelihood Zoning

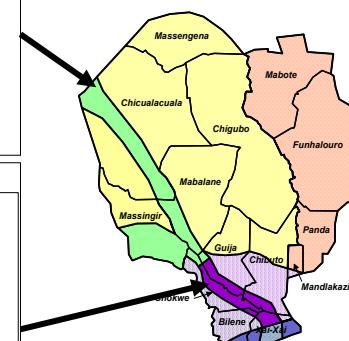
What defines a Livelihood Zone?

For example, in this case, production does not warrant a split in zones.....

Most consumption is from own maize production in both areas

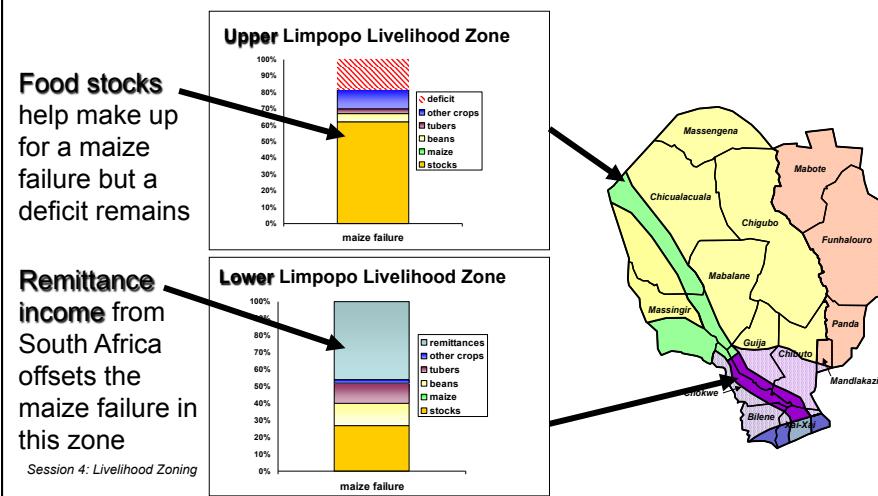


Session 4: Livelihood Zoning



What defines a Livelihood Zone?

...but market access does.



How are Livelihood Zones used in HEA?

In HEA, livelihood zones are used as the sampling frame for baseline assessment and as a component of the reference population group for outcome analysis

Session 4: Livelihood Zoning

Some Tips on Verification

Within a single wealth group you should find the same:

- Types of crops being planted
- Types of commodities sold
- Areas sought out for local and migrant labour

Session 4: Livelihood Zoning

Some Tips on Verification

If you are consistently coming up with significant differences within a wealth group, you may need to consider splitting the zone

Session 4: Livelihood Zoning

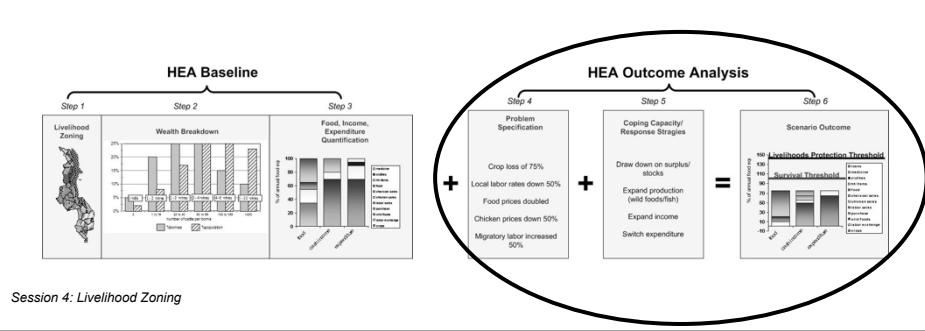
Some Tips on Verification

However, the occurrence of a drought in one part of a zone does not warrant dividing it up into two separate livelihood zones

Session 4: Livelihood Zoning

Some Tips on Verification

The drought is a hazard – not part of the baseline, but the outcome analysis



Session 4: Livelihood Zoning

Some Tips on Verification

Similarly, differences in service provision (number of clinics, schools, etc) do not necessarily reflect different livelihood patterns and would not warrant splitting the zone.

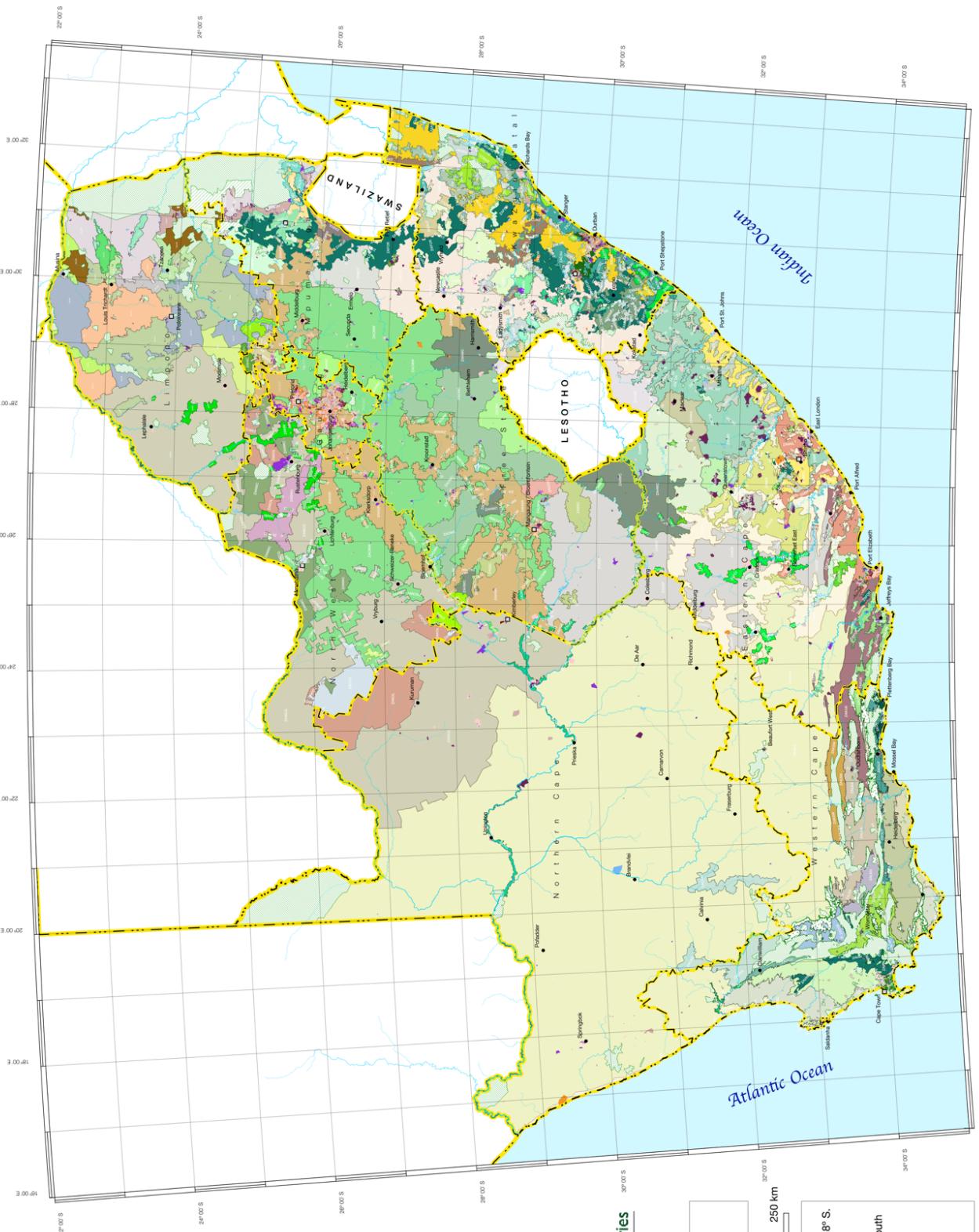
Session 4: Livelihood Zoning

Further Reading

Please refer to Chapter 2 in the **Practitioners' Guide** for more detailed guidance on how to conduct a livelihood zoning

Session 4: Livelihood Zoning

South Africa Livelihood Zones



agriculture,
forestry & fisheries
Department:
Agriculture, Forestry and Fisheries
REPUBLIC OF SOUTH AFRICA



South Africa
Livelihood Zones

0 50 100 150 200 250 km

Projection: Albers Equal Area with
standard parallels at 24.2° S and 32.8° S.
Datum and ellipsoid: WGS 1984.

Prepared by CW Reithman for the South
African Vulnerability Assessment
Committee (SAVAC) and the SADC
Regional Hunger and Vulnerability
Programme.

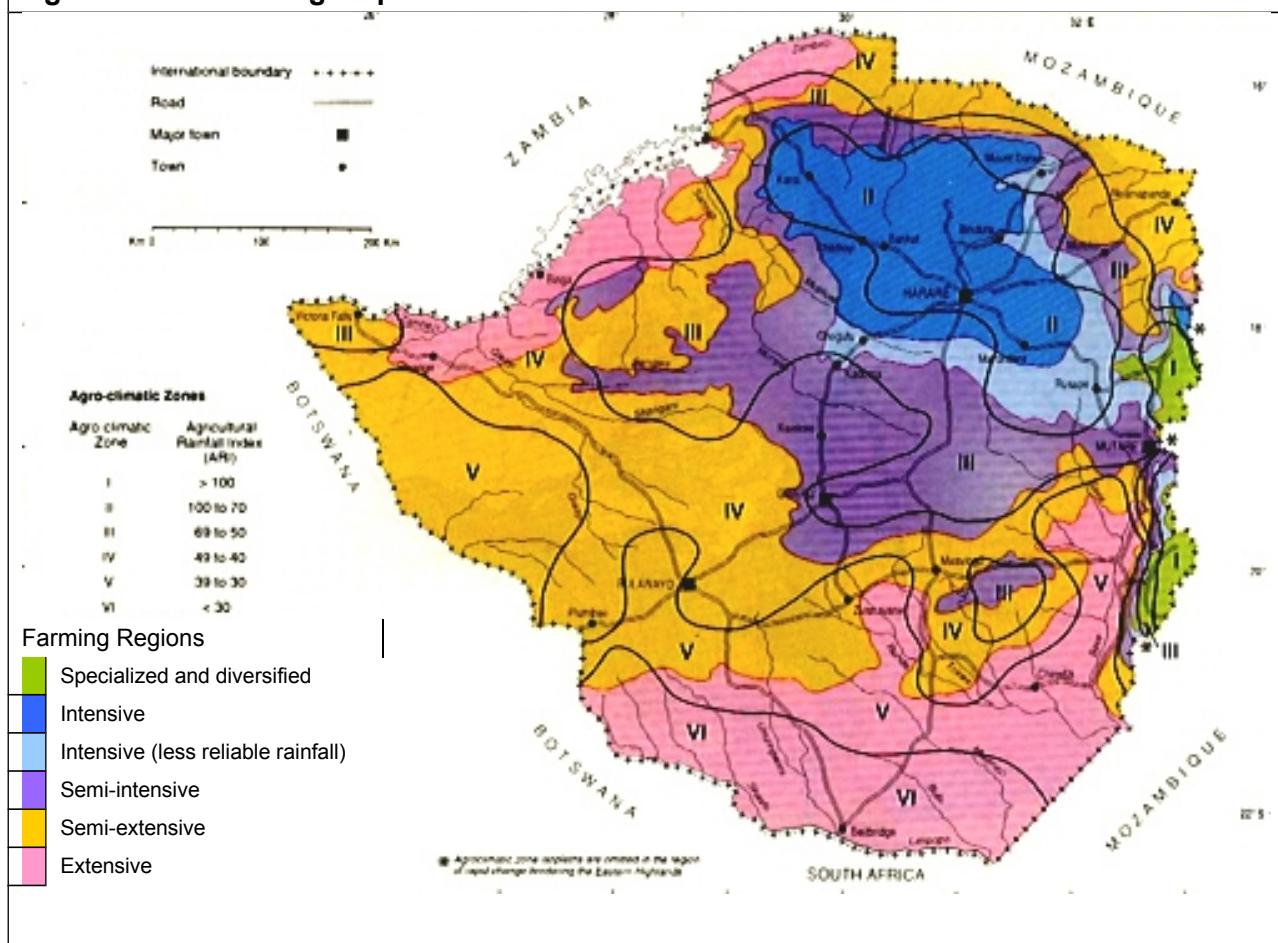
Module 2: Baseline Assessment
SESSION 4: LIVELIHOOD ZONING

HANDOUT 1 - EXERCISE ON LIVELIHOOD ZONES

Exercise 1

Below is a map showing the agro-climatic zones and farming regions of Zimbabwe.

Agro-climatic/farming map of Zimbabwe



"Vincent and Thomas (1960) divided Zimbabwe into five main natural regions according to differences in effective rainfall. Rainfall patterns and crop production progressively deteriorate from Region I to V."

Vincent, V. and Thomas, R.G. 1960. An agricultural survey of Southern Rhodesia: Part I: agro-ecological survey. Government Printer, Salisbury

Source: www.fas.usda.gov

Write down how you think this map is different from a livelihood zone map. What elements of a livelihood zone map are missing?

Exercise 2

You are conducting a baseline assessment in one livelihood zone and you find that:

1. Although you are assessing an agricultural livelihood zone, you arrive in a selected village to find that there is a nearby lake and households are almost entirely dependent on fishing for their cash income. Should you carry on with the fieldwork for your baseline assessment in that village?
 2. The four selected villages in the northern half of the livelihood zone are currently experiencing a drought, while those in the southern half are not. Should the livelihood zone be split in two for the baseline analysis?
 3. The western half of the livelihood zone has good access to clean water and health care because of an NGO programme in the area, while villages in the eastern half of the livelihood zone have very poor access. Should the livelihood zone be split in two for the baseline analysis?

Module 2: Baseline Assessment
SESSION 4: LIVELIHOOD ZONING

HANDOUT 2 - DESCRIBING LIVELIHOOD ZONES AT DISTRICT LEVEL

The page overleaf shows the first page of the district-level interview form. It shows you the information you should try and obtain from your key informants in order to pull together the basic characteristics of each livelihood zone that is represented in the district.

Page 1 of INTERVIEW FORM 1: ADMINISTRATIVE ZONE KEY INFORMANT INTERVIEW

Administrative Zone	Date	Interviewer(s)
---------------------	------	----------------

DETAILS OF KEY INFORMANTS

Name	Position/Organisation	Name	Position/Organisation

DESCRIPTION OF LIVELIHOOD ZONES IN THE ADMINISTRATIVE ZONE

	Livelihood Zone 1:	Zone 2:	Zone 3:
Main Livelihood Category			
Main Characteristics (production system, topography, vegetation, natural resources, population density, soils, rainfall)			
Main Crops Consumed: Rank in order of importance for home consumption	1		
	2		
	3		
Main Crops Sold (food or cash crops): Rank in order of importance for household cash income	1		
	2		
	3		
Main Livestock & Livestock Products Consumed: Rank in order of importance for home consumption	1		
	2		
	3		
Main Livestock & Livestock Products Sold: Rank in order of importance for cash income	1		
	2		
	3		

POPULATION: Assign all of the sub-district (administrative level 4) units in the district to a livelihood zone and list population information for each sub-district.

	Livelihood Zone 1:	Zone 2:	Zone 3:
Population of the livelihood zone			

End of Session 2.4

MODULE 2: BASELINE ASSESSMENT

Session 5: Market Assessment

What is a market?

A market is a place where goods and services are traded, purchased and sold

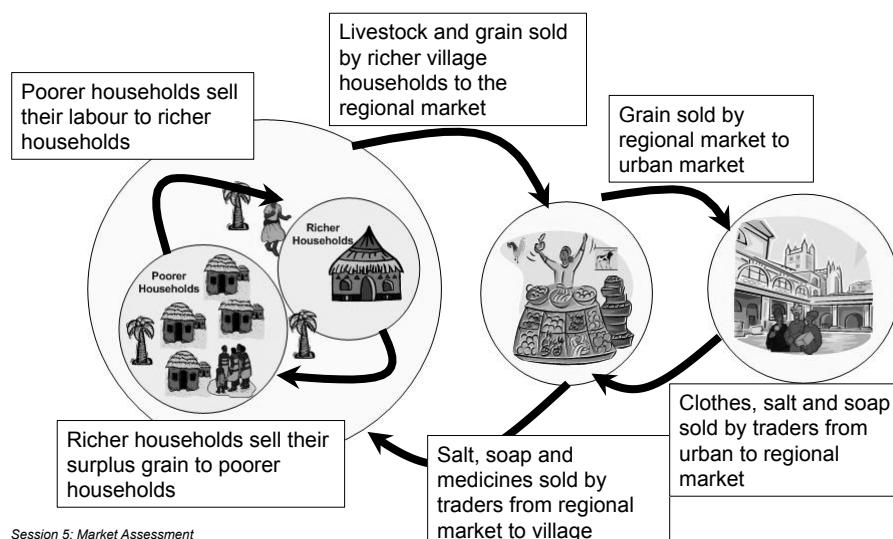
Session 5: Market Assessment

Why do we need to know about markets?

In HEA, we need to know about markets because they are the main way poorer households get food, income, and the things they need to live (salt, soap, oil, etc)

Session 5: Market Assessment

Why do we need to know about markets?



What do we need to know about markets?

In HEA, what we need to know about markets depends on what step of the framework is being addressed

Session 5: Market Assessment

What do we need to know about markets?

Step 1

Livelihood Zoning



What we need to know

Where do people sell their wares (livestock, labour, crops, etc) both within and across the border?

Why we need to know it

This determines which market changes (prices, closures, etc) will affect their income

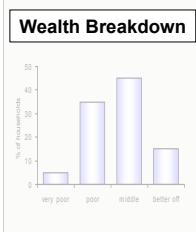
Session 5: Market Assessment

What do we need to know about markets?

Step 1	How do we get the information
<p>Livelihood Zoning</p> 	Market Mapping & Livelihood Zoning Format: <i>markets section</i>

Session 5: Market Assessment

What do we need to know about markets?

Step 2	What we need to know	Why we need to know it										
<p>Wealth Breakdown</p>  <table border="1"><thead><tr><th>Category</th><th>% of Households</th></tr></thead><tbody><tr><td>very poor</td><td>~5%</td></tr><tr><td>poor</td><td>~35%</td></tr><tr><td>middle</td><td>~45%</td></tr><tr><td>better off</td><td>~15%</td></tr></tbody></table>	Category	% of Households	very poor	~5%	poor	~35%	middle	~45%	better off	~15%	How do hhs use exchange relationships within the community to profit or make ends meet?	This tells us who will benefit and who will lose when circumstances or relationships change
Category	% of Households											
very poor	~5%											
poor	~35%											
middle	~45%											
better off	~15%											

Session 5: Market Assessment

What do we need to know about markets?

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Category	% Households										
very poor	~5										
poor	~35										
middle	~45										
better off	~15										

Session 5: Market Assessment

What do we need to know about markets?

Step 3	What we need to know	Why we need to know it																																															
Livelihood Strategies  <table border="1"> <thead> <tr> <th>Source</th> <th>Total</th> <th>Wage Income</th> <th>Agriculture</th> </tr> </thead> <tbody> <tr> <td>medicines</td> <td>~10</td> <td>~10</td> <td>~5</td> </tr> <tr> <td>clothes</td> <td>~20</td> <td>~20</td> <td>~15</td> </tr> <tr> <td>hh items</td> <td>~10</td> <td>~10</td> <td>~10</td> </tr> <tr> <td>food</td> <td>~10</td> <td>~10</td> <td>~10</td> </tr> <tr> <td>chemical sales</td> <td>~5</td> <td>~5</td> <td>~5</td> </tr> <tr> <td>chicken sales</td> <td>~5</td> <td>~5</td> <td>~5</td> </tr> <tr> <td>labor sales</td> <td>~5</td> <td>~5</td> <td>~5</td> </tr> <tr> <td>purchase</td> <td>~10</td> <td>~10</td> <td>~10</td> </tr> <tr> <td>wild foods</td> <td>~5</td> <td>~5</td> <td>~5</td> </tr> <tr> <td>other exchange</td> <td>~5</td> <td>~5</td> <td>~5</td> </tr> <tr> <td>Others</td> <td>~5</td> <td>~5</td> <td>~5</td> </tr> </tbody> </table>	Source	Total	Wage Income	Agriculture	medicines	~10	~10	~5	clothes	~20	~20	~15	hh items	~10	~10	~10	food	~10	~10	~10	chemical sales	~5	~5	~5	chicken sales	~5	~5	~5	labor sales	~5	~5	~5	purchase	~10	~10	~10	wild foods	~5	~5	~5	other exchange	~5	~5	~5	Others	~5	~5	~5	Just how much food and cash income do different households obtain through market exchanges? This tells us which market-related indicators need to be monitored to track changes in livelihoods
Source	Total	Wage Income	Agriculture																																														
medicines	~10	~10	~5																																														
clothes	~20	~20	~15																																														
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Session 5: Market Assessment

What do we need to know about markets?

Step 3	How do we get the information																														
Livelihood Strategies <table border="1"> <thead> <tr> <th>Category</th> <th>Value (approx.)</th> </tr> </thead> <tbody> <tr><td>Food</td><td>30</td></tr> <tr><td>Cash Income</td><td>40</td></tr> <tr><td>Expenditure</td><td>30</td></tr> <tr><td>medicine</td><td>10</td></tr> <tr><td>clothes</td><td>10</td></tr> <tr><td>kik items</td><td>10</td></tr> <tr><td>food</td><td>10</td></tr> <tr><td>informal sales</td><td>10</td></tr> <tr><td>chicken sales</td><td>10</td></tr> <tr><td>labor sales</td><td>10</td></tr> <tr><td>purchase</td><td>10</td></tr> <tr><td>wild foods</td><td>10</td></tr> <tr><td>labor exchange</td><td>10</td></tr> <tr><td>others</td><td>10</td></tr> </tbody> </table>	Category	Value (approx.)	Food	30	Cash Income	40	Expenditure	30	medicine	10	clothes	10	kik items	10	food	10	informal sales	10	chicken sales	10	labor sales	10	purchase	10	wild foods	10	labor exchange	10	others	10	Interview Form 2 Interview Form 4
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Session 5: Market Assessment

What do we need to know about markets?

Step 4	What we need to know	Why we need to know it
Problem Specification Crop loss of 75% Local labor rates down 50% Food prices doubled Chicken prices down 50% Migratory labor increased 50%	How much have (or will) prices change? Do people still have physical access to the market?	Quantifying the shock allows us to calculate its effects on food and cash income and on expenditure.

Session 5: Market Assessment

What do we need to know about markets?

Step 4	How do we get the information
<p>Problem Specification</p> <p>Crop loss of 75%</p> <p>Local labor rates down 50%</p> <p>Food prices doubled</p> <p>Chicken prices down 50%</p> <p>Migratory labor increased 50%</p>	<p>Interview Form 1</p> <p>Interview Form 2</p> <p><i>Hazards and Timeline Sections</i></p> <p>Historical Price Trend Data</p>
<small>Session 5: Market Assessment</small>	

What do we need to know about markets?

Step 5	What we need to know	Why we need to know it
<p>Coping Capacity/Response Strategies</p> <p>Draw down on surplus/stocks</p> <p>Expand production (wild foods/fish)</p> <p>Expand income</p> <p>Switch expenditure</p>	<p>What opportunities (and limits) does the market present to expand cash income?</p>	<p>This determines the degree to which people will be able to cover a deficit on their own</p>
<small>Session 5: Market Assessment</small>		

What do we need to know about markets?

Step 5	How do we get the information
Coping Capacity/Response Strategies Draw down on surplus/stocks Expand production (wild foods/fish) Expand income Switch expenditure	Interview Form 3 <i>Bad year section</i> Analysis of labour and livestock markets <i>The limits of demand</i>

Session 5: Market Assessment

What do we need to know about markets?

Step 6	What we need to know	Why we need to know it									
Outcome Analysis <table border="1"> <caption>Livelihoods Protection Threshold</caption> <thead> <tr> <th>Category</th> <th>Exz</th> <th>Survival</th> </tr> </thead> <tbody> <tr> <td>Food</td> <td>~10</td> <td>~10</td> </tr> <tr> <td>Non-food</td> <td>~10</td> <td>~10</td> </tr> </tbody> </table>	Category	Exz	Survival	Food	~10	~10	Non-food	~10	~10	Will prices exceed people's purchasing power and require an external intervention?	Changes in market indicators will determine whether or not people can meet their survival and livelihoods needs
Category	Exz	Survival									
Food	~10	~10									
Non-food	~10	~10									

Session 5: Market Assessment

What do we need to know about markets?

Step 6	What we need to know	Why we need to know it
<p><i>Response Analysis</i></p>  <p>Session 5: Market Assessment</p>	<p>How will markets be affected by an intervention?</p>	<p>All interventions affect markets in one way or another. We want to optimize aid resources while minimizing negative side effects.</p>

What do we need to know about markets?

Step 6	How do we get the information
<p><i>Response Analysis</i></p>  <p>Session 5: Market Assessment</p>	<p>Market integration studies</p> <p>Historical price trend analysis</p>

Module 2: Baseline Assessment

SESSION 5: MARKET ASSESSMENT**HANDOUT 1 - MARKET EXERCISE****1. What items and services do different wealth groups buy and sell at village, regional and urban level?**

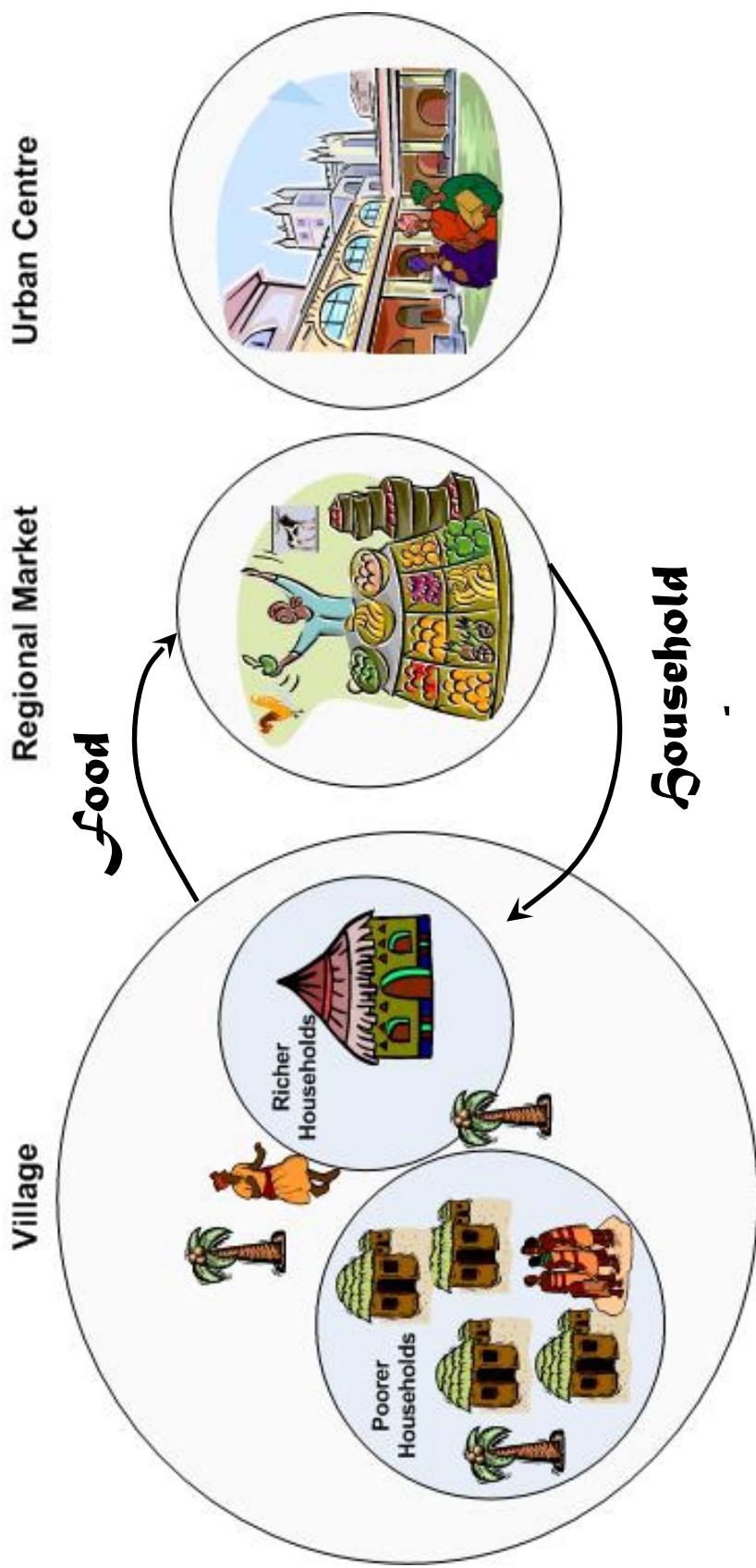
First of all, think about (i) the baseline livelihood strategies that are employed by households and (ii) their expenditure patterns. You might find it useful to think back to what was discussed in previous sessions, especially on Baseline Livelihood Strategies. Fill in the simple table below, listing the items and services bought and sold by poorer and richer households. Don't restrict yourself to one livelihood zone - try and think of as many different contexts as you can (agricultural, pastoral, coastal...).

Items and services bought and sold		
	Poorer households	Richer households
Selling		
Buying		

Linkages between households and sources of demand and supply

Now, try and fit the items and services in the table above into the diagram below:

- For items or services that people are **selling**, think about the **source of demand** and record the link on the diagram below as in the 'food crops' example.
- For items or services that people are **buying**, think about the **source of supply** and record the link on the diagram below as in the 'household goods' example.
- Also include transactions that may not be undertaken directly for money (gifts) and transactions within a household (remittances).



3. You have been told that middle households in a particular livelihood zone run out of their own food about eight months after the harvest. They usually manage to produce and sell about three sacks of cotton. They also earn cash through agricultural labour, selling one or two goats, and selling firewood.

What prices should you check during a market visit which would be useful for finding out or cross checking:

- (i) How much cash middle households are able to earn? and
- (ii) How much food that cash would buy?

4. You are in a livelihood zone in which tobacco production is an important source of income for middle and better off households. All wealth groups buy maize at some point during the year.

What simple question(s) would you need to ask traders in order to understand what households are vulnerable to in terms of market change or disruption?

Module 2: Baseline Assessment

SESSION 5: MARKET ASSESSMENT

HANDOUT 3 - BASICS OF MARKET ASSESSMENT

What do we need to find out?

In HEA, we need to understand how households are connected to the market and how that market normally functions. For this, we need to know:

- The **terms of trade** for households in the zone, so that we can understand what **cash income they can make** for the goods they sell and **what cash they need to spend** to pay for basic goods. This involves understanding fluctuations in **prices** over the year and from year to year.

In order to understand terms of trade properly, we need to understand:

- The **relationship between local markets and the wider economy**, because it is the demand from this larger environment, and the physical connections between this demand and the local economy that will determine just how much households can benefit from the sale of their livestock, labour, crops and other commodities.
- Any **government regulation** that may affect prices.

Where do we obtain information on the market?

- Interviews with traders, particularly wholesalers. They can be a useful source of information on past and present prices, normal seasonal price variations, and expected price trends in future.
- Shorter interviews with retailers and producers selling their own produce to obtain price data and other useful bits of market information.
- Secondary information such as historical price data.
- Interviews with other key informants such as district officials and village representatives.

Which markets should we visit?

- You need to check with the local people to find out **which markets they use**. It could be that the most important market for them is not the local market but a market farther away. For example, the local market might not be a specialist trading location for livestock, even though livestock are sold there in small numbers; a market which is farther away, and on the trade route with markets abroad, might be far more important in determining livestock prices than the local one.
- You then need to find out the **market day** of each market you'd like to visit. Your market visit needs to be on market day, but it also needs to fit in with your assessment schedule.
- For each market visit you need to organise a **visit to two or three traders** on the main market day. You will also need to collect price data from retailers and producers selling their own produce.

What information should we collect?

In HEA we focus on the markets for the most important commodities that people sell, and the most important staples that most people rely on when their own production runs out. The most important markets tend to be those for **staple foods, livestock** and **casual labour**. Other markets such as those for cash crops or minerals may also need to be considered.

In a typical baseline, we are particularly interested in:

1. Price data: current and historic

Current prices

- We need to find out the **prices of the most important items that households buy and sell** in the livelihood zone.
- This data is used primarily to **cross check information** collected during the household representative interviews on things like prices, weights and volumes of measures. Data collected on the range of prices during the reference year helps provide a basis for developing seasonal fluctuation graphs.

Historic price trends

- **Historic prices** provide important evidence for understanding seasonal and year-to-year trends, market integration and marketing constraints for particular commodities.
- Price data can usually obtained from **district offices**. Even if there is no formal early warning system it is likely that such data is being collected, even if it is not locally analysed. It might be collected by the Ministry of Agriculture, the Bureau of Trade, the statistics office, or national or international NGOs.

2. Information on market efficiency

- We are trying to find out how **well linked the local market is to the wider economy**. How efficiently are locally-produced commodities sold on to areas of higher demand? How much of a 'mark up' is placed on commodities purchased locally but produced elsewhere?
- Market inefficiencies are **directly related to an area's relative poverty**; if households in Area A get less for their goods than households in Area B, it stands to reason that Area A will continue to be worse off in relative terms.
- In a year when a shock occurs, **households in areas where markets function poorly tend to be less able to use the markets to cope**. For example, when crops fail, prices for staple foods are likely to be even higher in an area that is not well connected to the national market infrastructure. This is because regional or national supplies do not reach the local area quickly or at all, leaving the shortfalls in local production unmet. As supplies drop, prices rise.
- Market efficiency relates to **how competitive the market is**: do local commodities fetch a higher or lower price in relation to other areas in the country or region? And do local households have to pay more or less in relation to these outside areas in order to obtain basic goods and services? This in turn relates to the extent to which markets are **integrated**.

- The basic principle in **determining whether a market is integrated** is to examine whether prices and changes in price levels for the same good in different markets move in sync with one another when price differences related to transport costs are taken into account. If so, the market is said to be integrated.
- Information on market efficiency can be obtained through **interviews with traders and analysis of price data**. Such activities are usually undertaken by market specialists.

3. **Information on market regulation**

- Despite a push for liberalisation over the past decade, many **governments intervene** in one way or another in the dominant cereal markets (maize in southern Africa; rice in many countries in south and south east Asia).
- Regulation can have **different objectives**, such as:
 - Inhibiting traders from selling grain abroad through an absolute ban or a tax on exports;
 - Increasing the competitiveness of local farmers by providing them with production support;
 - Encouraging people to buy locally by imposing a duty on imports;
 - Maintaining a strategic reserve of grain which is released on to the market in times of short supply.

In all cases, these policies have an effect on prices which will in turn affect households' income and expenditure patterns. It is therefore important to understand the link between government policy and the prices it seeks to regulate.

- **Questions** in this area of enquiry tend to fall into three categories:
 - **Market regulation**
 - Is the market free or is it regulated?
 - What are the official market regulation policies?
 - **Strategic grain reserve**
 - Is there a strategic grain reserve and how is this managed?
 - What role do donors have in maintaining this reserve and influencing the policy?
 - **Taxation system**
 - How are official taxes levied?
 - Do people have to pay unofficial taxes?
 - How are traders taxed?
 - Do farmers selling their produce in the local market have to pay taxes?
 - Does the taxation system exclude some from trading? Or does it affect how they trade in any other way?

This information can be collected from early warning agencies, donors, government marketing agencies, planning departments, and food relief agencies.

Extract from Interview Form 1: Zone or District Key Informant Interview Format

The section below is extracted from the interview form used with key informants at the district level. It shows the market information that you should try and obtain at this level.

MARKETS: Identify the main source and destination markets for each product, together with the names of any important intermediate markets to indicate a trade route (e.g. local markets -> Chokwe -> Maputo).

Main crops sold	Trade route
1.	
2.	
3.	

Main livestock sold	Trade route
1.	
2.	
3.	

Main foods bought when own stocks run out	Trade route
1.	
2.	

Market Access

Is market access good or bad in this LZ?	
Why? (e.g. good/bad roads, close to/far from an urban centre)	

Labour: How much of the total casual labour performed by people from the zone is undertaken in different locations (e.g. 70% local rural area, 20% local towns, 10% outside of zone)

Local rural area	Local towns	Outside zone	Total
			100%

If outside zone, where do people go?

--

MARKET PRICE DATA: Request price data for the reference year as well as data for the last five years to present. Ideally, we want information for the main food crops, cash crops, livestock, and daily labour rates. Use the information collected to fill out the table in Annex 2.

Market information requirements in HEA

HEA Baseline		HEA Outcome Analysis		Response Analysis
Step 1	Livelihood Zoning	Step 2	Wealth Breakdown	
Step 3	Livelihood Strategies	Step 4	Problem Specification	All interventions will affect markets in one way or another. We want to optimize the use of aid resources to meet identified needs while at the same time minimizing negative side effects.
Step 5	Coping Capacity/ Response Strategies	Step 6	Scenario Outcome	Is an external response necessary (i.e. will prices exceed people's purchasing power)? If so, which type of intervention maximizes utility for those who need help and minimizes harm to longer term livelihood strategies
+	+			
WHY you need to know about markets	Which areas have access to which markets is one of two main determinants of livelihood zone boundaries	The exchange relationships between wealth groups and the ability to profit from the market are determinants of the wealth breakdown	Any shock – even a production shock – has market effects. And those market effects in turn have household consequences.	People use the market to cope with shocks. They try to sell more food stocks, more livestock, more labor, etc. And they try to buy more food.
+	+	+	+	People use the food or income deficits will rest on assumptions about what will happen to a whole range of prices.
WHAT you need to know about markets	We need to know where people sell their wares (livestock, labor, crops, etc.) both within the country and across the border	We need to understand the connections between households in the community, and how households translate – through market interactions – their assets into different levels of wealth.	We need to be able to understand the nature of the shock and how this will affect the prices and quantities of the things people sell and buy as this will affect their purchasing power.	We need to be able to make the best predictions about prices. And we need to be able to monitor these prices against the thresholds set in the scenarios.
HOW you get the information	Market mapping & Livelihood Zoning Format – markers section	Baseline Assessment Interview Form 3 – wealth breakdown section	Historical price trend data Baseline Assessment Interview Form 2 Interview Form 4	Analysis of labour & livestock markets (the limits of demand) Baseline Assessment Interview Form 3 – bad year section
				Historical price trend data Baseline Assessment Interview Form 2 Interview Form 1 – hazards and timeline section
				Market integration studies Historical price trend analysis

Interview Form 2: Market Visit and Trader Interview

District	Market	Date	Interviewers

OBSERVATIONS OF THE MARKET (Size, frequency, variety, quantity of goods being sold)

FOOD CROP TRADE (including STAPLE FOOD sold out of the zone or brought into the zone)

Record the results of interview(s) with medium to large food crop trader(s) on this page. It is better to interview traders individually and in private (e.g. in the back room of their shop). Find out who you are talking to by asking the following types of question:

- i) how long have you been trading?
- ii) are you a large/medium/small trader in this market?
- iii) how many other traders – of what size – are there in this market?

	Main food crop traded	Second food crop traded
Name of food crop		
Seasonality in the reference year a) Months of maximum trade volume b) Months of minimum trade volume In each case, give average prices		
IMPORTED FOODS: Identify main supply source in the reference year, together with any important intermediate markets to indicate a trade route. Record names and locations of markets, which can include “local markets”.	Season imported: Source market outside LZ: Intermediate market: Destination within LZ:	
EXPORTED FOODS: Identify main destination markets in the reference year, together with any important intermediate markets to indicate a trade route. Record names and locations of markets, which can include “local markets”.	Season exported: Source market within LZ: Intermediate market: Destination outside LZ:	
Main trade routes in a “bad” year, if different from the reference year. Give reasons for differences.		
Reasons for recent price trends (see price data table on previous page)		

CASH CROP TRADE

Record the results of interview(s) with medium to large cash crop trader(s) on this page. It is better to interview traders individually and in private (e.g. in the back room of their shop). Find out who you are talking to by asking the following types of question:

- iv) how long have you been trading?
- v) are you a large/medium/small trader in this market?
- vi) how many other traders – of what size – are there in this market?

	Main cash crop traded	Second cash crop traded
Name of cash crop		
Seasonality in the reference year a) Months of maximum trade volume b) Months of minimum trade volume In each case, give average prices		
Identify main source and destination markets in the reference year, together with any important intermediate markets to indicate a trade route. Record names and locations of markets, which can include “local markets”.	Season exported: Source market within LZ: Intermediate market: Destination outside LZ:	
Main trade routes in a “bad” year, if different from the reference year. Give reasons for differences.		
Reasons for recent price trends (see price data table on previous page)		

LIVESTOCK AND LIVESTOCK PRODUCTS

Record the results of interview(s) with medium to large livestock/other trader(s).

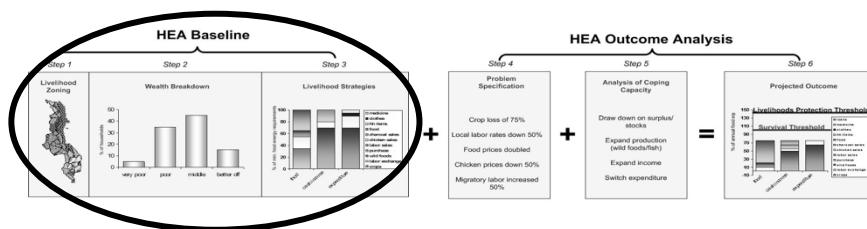
	Main type of livestock or livestock product	Second type of livestock or livestock product
Name of livestock		
Seasonality in the reference year a) Months of maximum trade volume b) Months of minimum trade volume In each case, give average prices		
Identify main source and destination markets in the reference year, together with any important intermediate markets to indicate a trade route. Record names and locations of markets, which can include "local markets".	Season traded: Source market: Intermediate market: Destination market:	
Main trade routes in a "bad" year, if different from the reference year. Give reasons for differences.		
Reasons for recent price trends (see data table on previous page)		

End of Session 2.5

MODULE 2: BASELINE ASSESSMENT

Session 6: The Reference Year

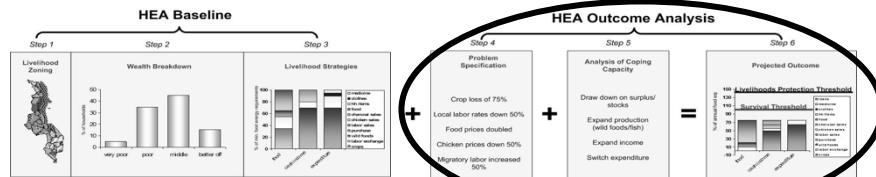
What is a Reference Year?



A reference year is the timeframe to which the baseline information applies

Session 6: The Reference Year

What is a Reference Year?



It also provides the starting point for HEA outcome analysis

Session 6: The Reference Year

How is a Reference Year Used?

All values in the HEA baseline are linked to the reference year.

This allows the analyst to calculate changes in access to food and cash income from year to year.

Session 6: The Reference Year

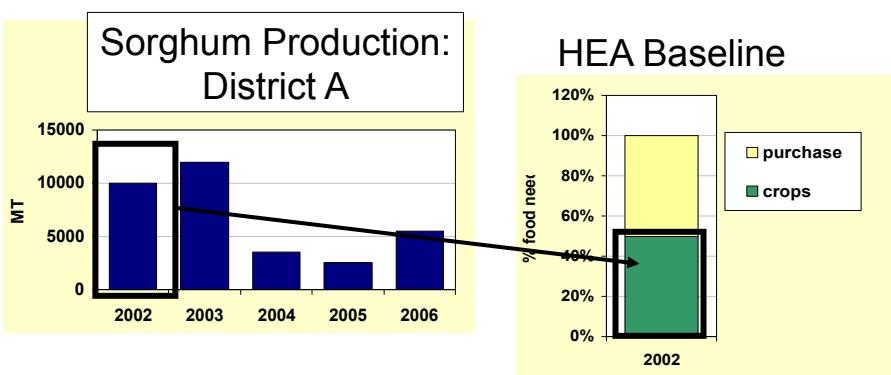
How is a Reference Year Used?

It also facilitates linkages between the HEA baseline and other (Government, UN, NGO) monitoring datasets.

Session 6: The Reference Year

How is a Reference Year Used?

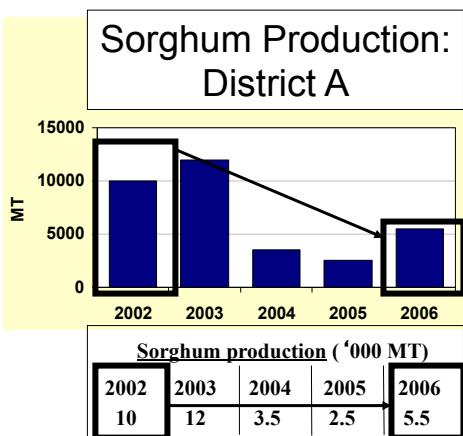
For instance....



Session 6: The Reference Year

How is a Reference Year Used?

For instance....

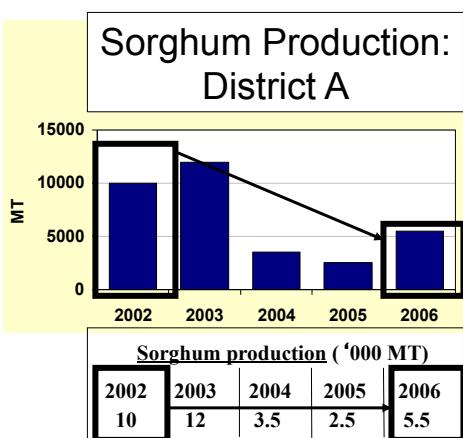


To calculate the change in access to food in 2006, the data from 2006 is compared to the reference year.

Session 6: The Reference Year

How is a Reference Year Used?

For instance....



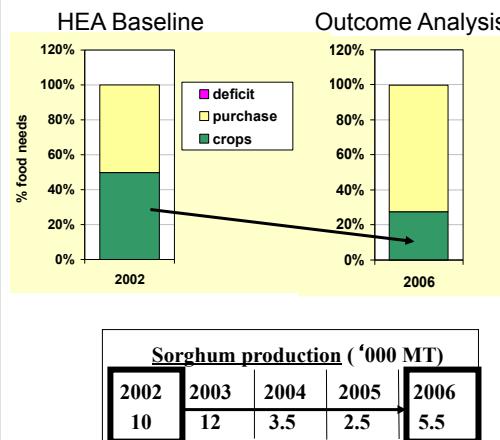
So the 2006 problem specified for sorghum would be:

$$5.5 / 10 \times 100 = 55\%$$

Session 6: The Reference Year

How is a Reference Year Used?

For instance....

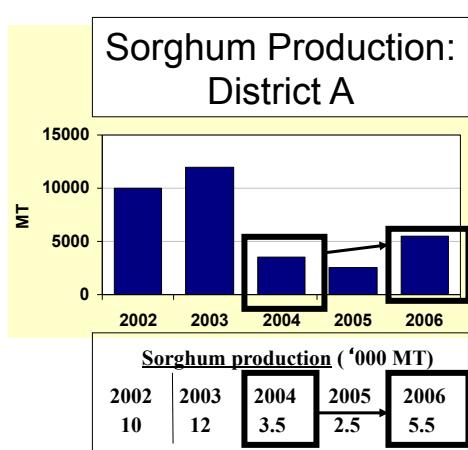


And the 2006 outcome analysis would show a decrease in crops relative to purchase.

Session 6: The Reference Year

How is a Reference Year Used?

For instance....



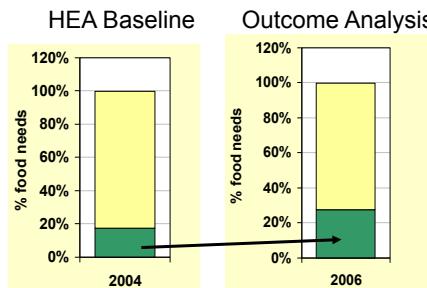
If the reference year was 2004 rather than 2002, the problem would be:

$$5.5 / 3.5 \times 100 = 157\%$$

Session 6: The Reference Year

How is a Reference Year Used?

For instance....



Sorghum production ('000 MT)				
2002	2003	2004	2005	2006
10	12	3.5	2.5	5.5

And the 2006 outcome analysis would show an increase in crops relative to purchase.

Session 6: The Reference Year

Choosing a Reference Year

The options are:

Average year *Understood at village level?*

Normal year *Can be understood to mean good (i.e without drought or pests), i.e. a long time ago!*

Typical year *Most frequent, most common*

Specific year *How far back can people remember
accurately?*

Session 6: The Reference Year

Choosing a Reference Year

The simplest in terms of the field work is either **last year or the year before** (i.e. a **specific recent year**)

...provided it was not a very good year

...or a year with a lot of food aid

...or a year with a lot of conflict

Session 6: The Reference Year

Choosing a Reference Year

Otherwise take a year that can be considered **typical of the last 5-10 years**

Session 6: The Reference Year

Choosing a Reference Year

A timeline can help set the context:

Session 6: The Reference Year

Event	Production
1990 Government collapse. Start of insecurity.	Normal year Normal rains; normal harvest; some stock.
1991 Fighting between SNF and USC. Looting	Bad year No rains, no harvest, no pasture. Some displacement
1992 Conflict between SNF and USC. Stocks depleted Local famine started	Worst year No rains, no stocks; discrimination; large-scale slaughtering of animals - no market. Mass migration for those who could move.
1993 UNOSOM starts Sorghum price drops dramatically	Excellent year Good rains; good harvest; livestock prices high; difficult to restock
1994 Quetta-akida birds Conflict between SNA and RRA Djibouti captured	Normal year <i>Gu</i> season rains good, <i>Deyr</i> rains failed.
1995 UNOSOM finished Conflict between SNA and RRA Djibouti captured	Normal year Good rains; good crop; good livestock prices Sorghum yield: 3-4 quintals / hectare in <i>gu</i>
1996 Insecurity and clan conflict in Burakhaba	Normal year Eastern part of Burakhaba suffer but west has normal production.
1997 RRA/SNA fighting Much banditry	Poor year Poor <i>Gu</i> rains. Poor <i>Deyr</i> . Grain stocks flooded/destroyed. Good livestock conditions.
1998 SNA still in control of Bay region	Below normal Poor <i>Gu</i> rains, near normal <i>Deyr</i> . Worse situation in Burakhaba.
1999 RRA recapture Bay in June.	Below normal <i>Gu</i> below normal, <i>Deyr</i> near normal
2000 National reconciliation process in Djibouti	Very good year Good <i>Gu</i> and <i>Deyr</i> . Low market prices – high production and road closure

Setting up the Reference Year

In HEA the year starts at the end of the annual ‘hungry season’, or at the beginning of the consumption year

For agriculturalists this means the start of the main harvest

For pastoralists this means the start of the main rains

Session 6: The Reference Year

Module 2: Baseline Assessment
SESSION 6: THE REFERENCE YEAR

HANDOUT 1 – THE REFERENCE YEAR

Key points

- HEA baseline information is a set of information on how people acquired food and cash in a particular year. This is called the reference year.
- It is important to know which year this is so that a problem specification can be defined for subsequent years (for example, 'maize production is 80% of production in the reference year') in order to analyse how access to food and income will be affected.
- Defining and using a reference year means we can **use data from existing monitoring systems** and data collection regimes such as Ministry of Agriculture data, or price data.
- The reference year is a **consumption year** and, in cropping areas, should start in the month when people normally start to consume food from their fields, i.e. at the end of the hungry season. This is different from the agricultural year, which usually starts when people start preparing their fields or planting seeds.

Why do we need a reference year?

A household economy baseline is essentially a set of reference information on what and how much people produced, bought, earned and sold and on the decisions they made regarding their livelihood strategies in a particular year. We need to know which year this is so that we can calculate changes in access to food and income from year to year. Defining a reference year means we can use monitoring data, such as data on production and prices, to do this; this is the way HEA enables us to make projections of people's access to food in the future. For example, actual or predicted crop production data for a particular year can be compared with that in the reference year used for the baseline and translated into a problem specification – such as 'maize production is 80% of production in the baseline year'.

Defining and using a reference year is the only way to ensure that existing monitoring systems and data collection regimes - such as Ministry of Agriculture data, or price data – can be used in conjunction with a household economy baseline.

Some other points worth recognising about the reference year are that:

- The year to which the baseline data refers is not itself a 'baseline year' as such; the data does not represent 'year zero' or a starting point. This is why the year to which baseline data refers is called the reference year.

- ‘Baseline’, as we use it here, does not mean ‘acceptable’, ‘stable’ or ‘good’. The ‘baseline’ or reference year should not represent a situation to which a population aspires.
- In a reference year, people are assumed to be achieving their minimum energy requirement. Again, this does not necessarily imply sustainability or acceptability, as they might be employing unsustainable or impoverishing strategies to gain food.

How is a reference year chosen?

In most cases, the reference year chosen will be a recent year to make recall as easy as possible. **Ideally it will be the most recent 12 months, unless an unusually large amount of food aid was distributed and unless it was a good year.** It is very hard for interviewees to recollect details if you choose a reference year that occurred more than two years in the past. If the year chosen is not the most recent year, care must be taken to update key asset information (such as livestock holdings) which may have changed in the interim, for example as a result of drought.

The reference year is most useful if it represents either an average year, or a bad year in which there was no unusual out-migration or food aid distribution. Using a bad (but not very bad) year as the reference year has certain advantages in that it already highlights the types of coping strategies people employ, and provides a good indication of just how expandable different options are.

Identifying the reference year in the field

You should start by discussing with informants the last 12 months, as this is the ideal period to choose in terms of informants' recall. If it is really not possible to use this period as the reference year – for example, if it was a very good year characterised by surplus production, or a very bad year with a substantial distribution of food aid – then try to choose the previous 12 months. Going back any further than two years makes information gathering extremely difficult.

When does the reference year start?

The reference year is a **consumption year** and, in cropping areas, should start in the month when people normally start to consume food from their fields, i.e. at the end of the hungry season. This is different from the **agricultural year**, which usually starts when people start preparing their fields or planting seeds. Note that in areas where the green harvest makes an important contribution to food income (in contrast to areas where it represents more of a snack), the consumption year starts at the beginning of the green harvest. For pastoralists, the consumption year starts with the onset of the main rains.

Module 2: Baseline Assessment
SESSION 6: THE REFERENCE YEAR

HANDOUT 2 – THE HISTORICAL TIMELINE

Why do we want a timeline?

The historical timeline is useful for many reasons:

- It provides an early opportunity (before questions about assets) to address the issue of exaggeration; this is particularly useful if informants expect the interview to result in assistance of some kind.
- It puts the current year in context and helps to understand long-term trends.
- It provides an opportunity for ranking past years.
- It allows you to understand the local situation and environment year by year – political and natural events and how the community was affected.
- It enables you to get reference information (yields, migration patterns, terms of trade etc.) for different types of year in the area: very good years, average, bad years.
- It is also a good 'icebreaker' – an uncontroversial discussion topic which creates a good atmosphere at the start of the interview.

How do we build up a timeline?

1. Ask informants to score past years relative to each other, with a maximum score of five. It can be useful to give informants beans to use for this exercise. If there are two seasons per year, ask them to score each season:

5	excellent season for household food security (e.g. due to bumper yields, good rains, good prices)
4	a good or above average season for household food security
3	an average season for household food security
2	a below average season for household food security
1	a poor season (e.g. due to drought, flooding, pest attack) for household food security

2. Ask them to summarise the **year overall** in terms of food security: very poor, below average, average, above average, very good.
3. Although we are generally interested in understanding the consumption year (from the main harvest period onwards), it is usually easiest to complete the table shown above (which is on Interview Form 3) for the agricultural year, i.e. starting with the main production season.
4. Make sure informants consider and include **positive events** as well as **periodic or intermittent hazards**. The latter include drought, frost, wind, epidemic crop disease, wild animals, flood, hail, crop pests, epidemic livestock disease and market events.

Tips for timeline discussions

- Discussions should focus on **key aspects of livelihoods**: rainfall, accessibility of pasture and browse, the natural *and* political environment, indicators for main activities (e.g. livestock condition or prices), migration patterns. It should not just focus on crops and rainfall. There should be a final overall judgment for how the year was.
- Discuss **coping strategies** in **bad** years; ask how people **invest** in the **good** years.
- Consider **all** rainy seasons.
- Make sure that everyone is discussing the **same period**. Are they talking about local or culturally-defined years, or agricultural years? Are they talking about the main rains or the main harvest? When does the year start for them?
- **Clarify the year:** try to find out what the local name for the year is and remind them of this.
- **Probe** interesting or confusing issues.
- **Challenge** information which seems unlikely or clarify any misunderstanding you might have.
- **Get reference information** for bad years, average years and very good years (yield per land area for main crop; prices for main crop and livestock (high and low for each season).
- Explain that we are comparing years in *this livelihood zone only*: we are not comparing production with other livelihood zones. Since we are ranking years **relative to each other in this zone**, there must have been a very good year.
- Try to go **as far back as possible** - up to 10 years if possible (though some regions will only be able to go back 4 or 5 years). If the past 5 years are unusual, go back 10 years. It might be easier to start with a memorable year and work backwards and forwards.
- You might find that the year ranking is different in different villages. This tends to be for one of two reasons: (1) local variation; or (2) the period being considered is different (one group has been talking about years starting with the long rains while the other has been talking about the year as identified by the social or religious calendar). You will need to decide with your trainer and team how to deal with these anomalies.

Getting around problems

- Informants **can't remember particular years**. Try starting with last year and work backwards. Finish with the current year.
- Informants **say that all years have been bad**.
 - Explain the purpose of the enquiry and the implications of bad data or exaggeration.
 - Explain that we are only considering this area and not other areas. Because of this there **MUST** have been very good years. Start by asking which were the very best seasons and allocate 5 stones to these seasons. Then you can either work backwards or forwards, or ask about average years, then bad years.

Example of a Historical Timeline: Somalia, 1991 - 2000				
Year	Seasonal Performance (1-5*)		Event(s)	Response: What did people do to cope with the problem? Was there any outside assistance?
2000	<i>Gu</i>	5 Good	National reconciliation process in Djibouti. Very good year for production.	
	<i>Deyr</i>	4 Good	Low market prices – high production and road closure.	
1999	<i>Gu</i>	2 Below normal	RRA recapture Bay in June. Production below normal.	
	<i>Deyr</i>	3 Near normal		
1998	<i>Gu</i>	1 Poor	SNA still in control of Bay region. Production below normal.	
	<i>Deyr</i>	3 Near normal		
1997	<i>Gu</i>	2 Poor	RRA/SNA fighting. Much banditry. Floods in Deyr season mean grain stocks flooded/destroyed. Good livestock conditions.	
	<i>Deyr</i>	3 Floods		
1996	<i>Gu</i>	3 Normal	Insecurity and clan conflict in Burakhaba. Normal production year. Eastern part of Burakhaba suffer but west has normal production.	
	<i>Deyr</i>	3 Normal		
1995	<i>Gu</i>	3 Normal	UNOSOM finished. Conflict between SNA and RRA. Aideed captured. Good rains; good crop; good livestock prices. Sorghum yield 3-4 quintals per ha in Gu.	
	<i>Deyr</i>	3 Normal		
1994	<i>Gu</i>	4 Good	Quelea-quelea birds reduced sorghum yield by 50%.	
	<i>Deyr</i>	1 Failed		
1993	<i>Gu</i>	4 Good	UNOSOM starts. Sorghum price drops dramatically. Excellent production year. Good rains; good harvest; livestock prices high; difficult to restock.	
	<i>Deyr</i>	5 Good		
1992	<i>Gu</i>	0 V. poor	Conflict between SNF and USC. Stocks depleted. Worst production year; no rains, no stocks. Famine started.	Large-scale slaughtering of animals – no market. Mass migration for those who could move. Aid.
	<i>Deyr</i>	1 Poor		
1991	<i>Gu</i>	2 Poor	Fighting between SDM and SPM. Looting.	Some displacement.
	<i>Deyr</i>	1 Poor		

Timeline Exercise

End of Session 2.6

MODULE 2: BASELINE ASSESSMENT

Session 7: Seasonal Calendars

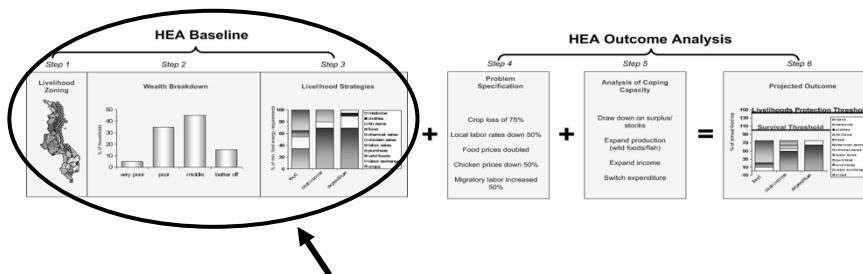
Purpose and content

- To describe the importance of seasonality in livelihoods analysis and to introduce seasonal calendars as a basic tool for gathering HEA information.

By the end of session you should
be able to:

- Describe what a seasonal calendar is and why it is necessary in HEA for both baseline- and outcome analysis
- Construct a seasonal calendar from an interview with key informants

Where do seasonal calendars fit?



Seasonal Calendars capture
variations in access that occur
throughout a typical year

What is a seasonal calendar?

Seasonal Calendars are:

A graphic representation of key production, market-related and other activities as they occur throughout the year

Session 7: Seasonal Calendars

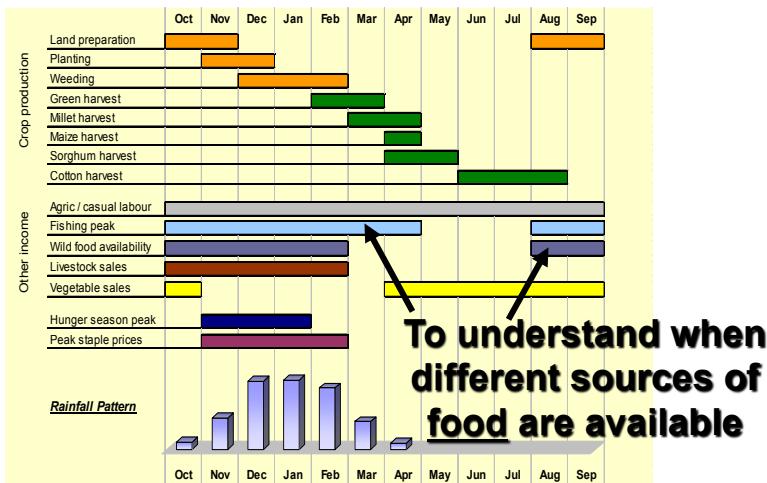
Why do we need seasonal calendars?

They:

- help analysts draw correlations between different activities
- highlight potential areas of competition for labour, resources, etc.
- provide guidance for monitoring and response frameworks

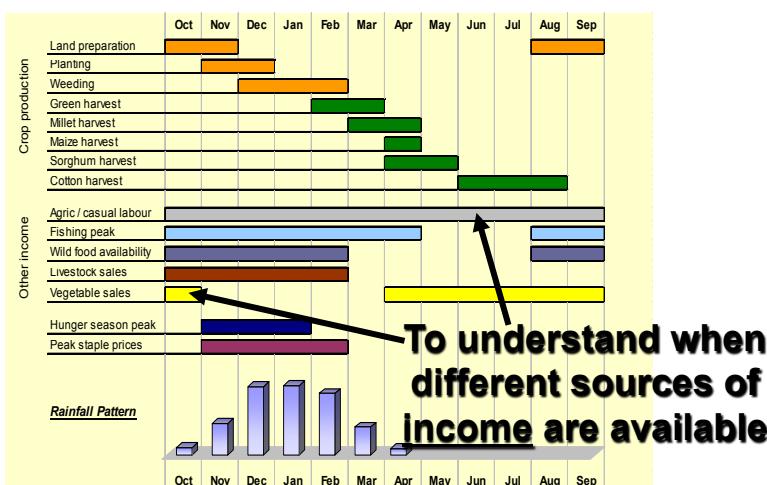
Session 7: Seasonal Calendars

Why do we need seasonal calendars?



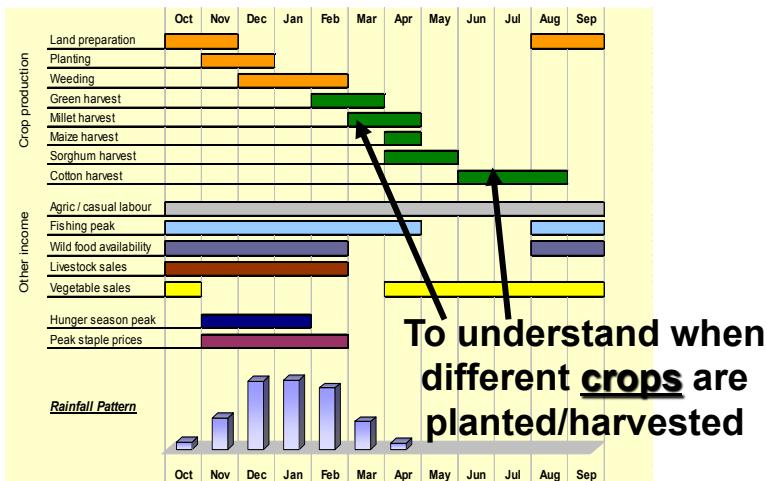
Session 7: Seasonal Calendars

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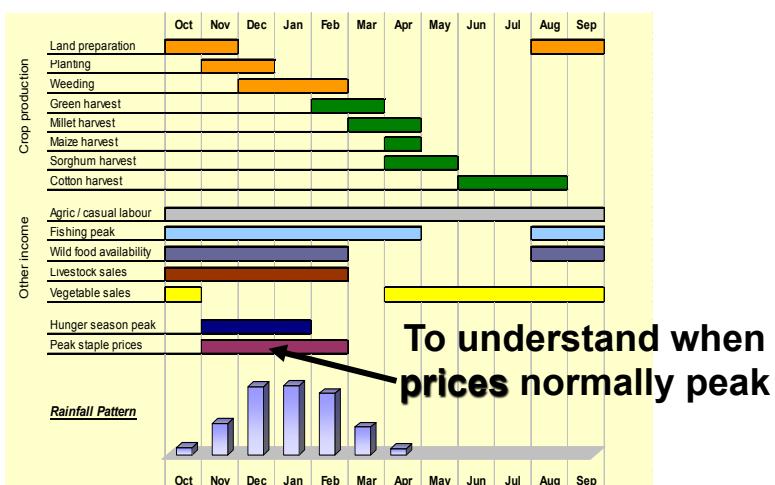
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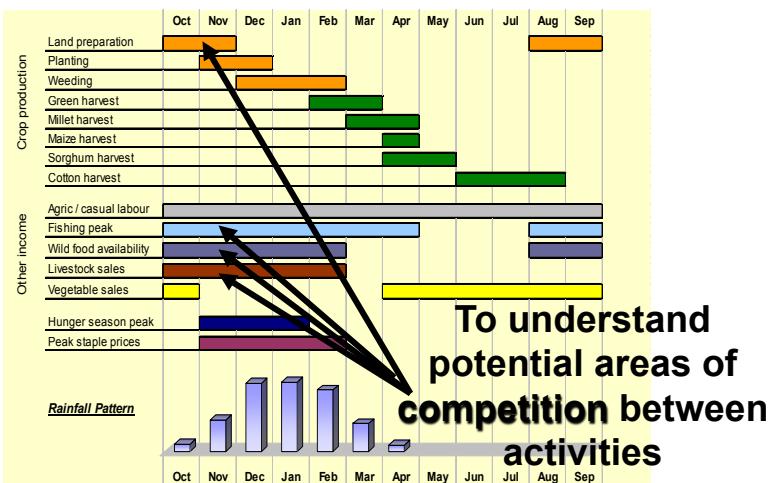
Session 7: Seasonal Calendars

Why do we need seasonal calendars?



Session 7: Seasonal Calendars

Why do we need seasonal calendars?



Session 7: Seasonal Calendars

Why do we need seasonal calendars?

Understanding seasonality can help in the design of appropriate responses

In an HEA assessment in post-earthquake Pakistan, a seasonal analysis of income showed that....

Session 7: Seasonal Calendars

Why do we need seasonal calendars?

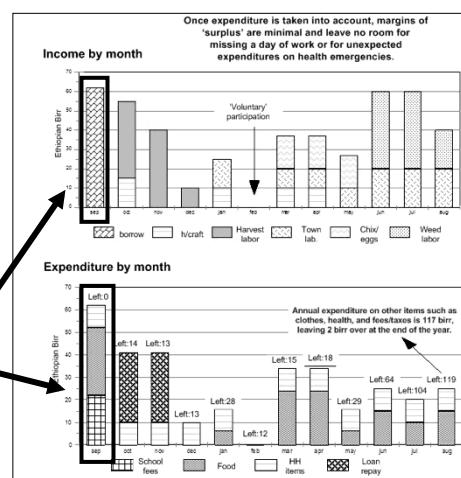
...the poor and very poor normally rely exclusively on credit to obtain cash from December to February.

Helping local shopkeepers re-establish themselves was one way to help the poor survive over the winter.

Session 7: Seasonal Calendars

Why do we need seasonal calendars?

Detailed seasonal income/expenditure analyses can help highlight particular times of hardship and constraint



Session 7: Seasonal Calendars

In Short

Seasonal calendars are necessary for three reasons:

- They are the **basic device for storing and analysing information** on seasonal variations in food, income and expenditure

In Short

- They provide a **useful tool for information collection** in general, because they tend to get informants involved and can help people open up and feel more comfortable. They convey information that everyone (literate and non literate) can understand and assess, and can encourage the participation of a wide group of informants.

In Short

- They provide a useful **cross-check** on annual food and income. Breaking things down and adding them up again can add confidence and reliability to your results.

How to do it

- Seasonal calendars can be constructed in the same way as a community map, using local materials such as sticks, stones, leaves, branches, bricks and rocks. So you need first of all to gather together these materials. **Alternatively, you can use flipchart paper.**

How to do it

- Begin by defining the seasons in that area. Try to match seasons to the Gregorian calendar, but use local names in discussion if relevant.
- Place items representing the seasons horizontally along the bottom of the paper or the ground.

How to do it

- Down the side - in the ‘vertical’ column
 - list activities or items according to the type of calendar you are trying to construct, such as rainfall, weeding, planting, migration for employment, livestock sales.

How to do it

- Begin the discussion by asking informants when an activity normally takes place. Establish when it begins and ends. Mark the period on the ground or paper with materials collected.

How to do it

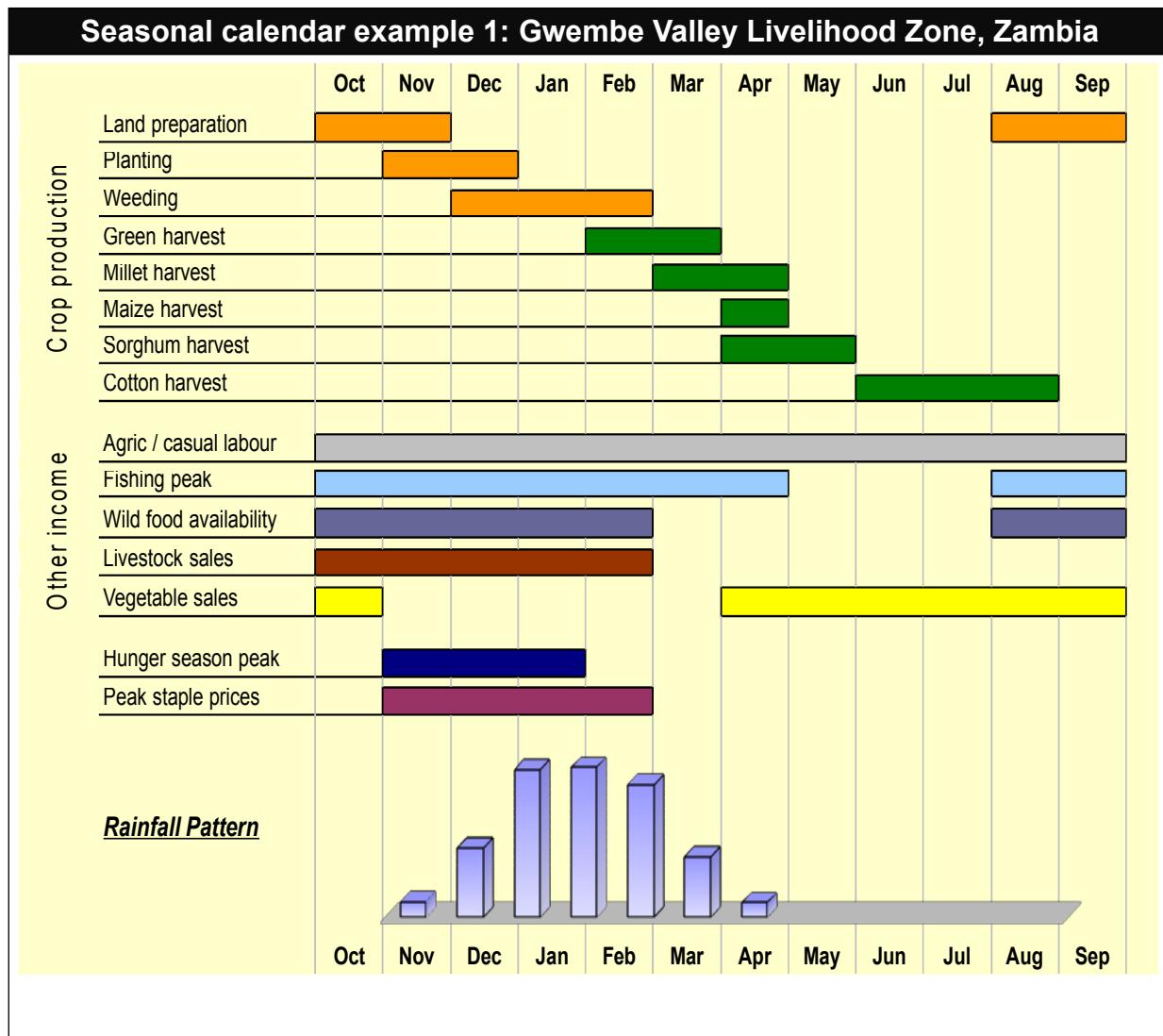
- During this process you should also establish who is doing the activity. Make sure age and gender are specified.
- Continue asking questions until you have exhausted the list in the vertical column.
- Summarise findings and clarify any outstanding questions with informants before ending the interview.

Module 2: Baseline Assessment
SESSION 7: SEASONAL CALENDARS

HANDOUT 1 – SEASONAL CALENDARS

What are seasonal calendars?

A seasonal calendar is a graphic representation of key production and market-related activities as well as other relevant seasonal events, allowing for the presentation of multiple concurrent events.



Why do we need seasonal calendars?

Seasonal calendars are necessary for three reasons:

1. They are the **basic device for storing and analysing information** on seasonal variations in food, income and expenditure

2. They provide a **useful tool for information collection** in general, because they tend to get informants involved and can help people open up and feel more comfortable. They convey information that everyone (literate and non literate) can understand and assess, and can encourage the participation of a wide group of informants.
3. They provide a useful **cross-check** on annual food and income. Breaking things down and adding them up again can add confidence and reliability to your results.

All aspects of a household economy are influenced by seasonality, and understanding and documenting seasonal variations is necessary to:

- Understand food and income access for different groups in different seasons of the year.
- Understand when different crops are produced in a livelihood zone by different wealth groups – when they are planted, eaten green, harvested, sold, and stored.
- Identify and monitor trends and changes over time.
- Determine which indicators are useful for monitoring seasonal food access.
- Discover correlation and connections between different seasonal patterns (such as precipitation, income and expenditure; health risks and food shortages; labour crunch times and expenditure peaks) which might help to understand causes and effects.
- Reveal periods when production and consumption are unequal (when income - expenditure = debt).
- Highlight potential competition in terms of things like labour or expenditure requirements.
- Identify the most problematic times (hunger times) when stocks are exhausted and when households have difficulty purchasing food (because of little income, limited market supply, high cereal prices, low livestock prices etc.).
- Determine the immediate effect of a shock on seasonal access depending on when it occurs in the year.
- Determine the medium-term effect of a shock given how people will be able to make up for losses in subsequent seasons, depending on when the shock occurs in the year.

When should a seasonal calendar be constructed?

As with much of the information gathering work in HEA, constructing a seasonal calendar is an iterative process. Start with as much secondary data as possible, and then add details and accuracy as you gather more information in the field.

However, be prepared to find differences between the information you obtain in the field and that obtained from secondary sources. This may be because the seasons have in fact changed since the document was written; or it may be that the secondary information was never actually checked in the field. Try and reconcile these differences by checking your field data and asking questions as much as possible. But if these differences are irreconcilable, you should, as a rule of thumb, tend to trust what you are repeatedly told in the field over what you find from a secondary source.

- Try and find as much information on seasonality as you can from **secondary data** or key informants in the capital city before you go to the field.

- If your key informants are knowledgeable enough, start constructing a livelihood-zone specific seasonal calendar at **district level**.
- Add to and revise your calendar through interviews with **community leaders**.
- It is helpful to use a seasonal calendar during the interviews with **household representatives** from different wealth groups, in order to check that results are consistent and to obtain additional detail.

Do not be surprised if the seasonal information gathered from secondary literature does not directly correspond to what you find in the field. There are a number of reasons for this:

- The mis-match between administrative boundaries and livelihood zones;
- A noticeable shift in seasonality over the past decade due possibly to climate change;
- Inaccuracies in aggregate surveys compared with more accurate local knowledge.

For the most part, if the local seasonality appears consistent between interviews, it should be given more weight.

How do you construct a seasonal calendar?

Seasonal calendars can be constructed in a number of ways. They can include any number of topics, such as harvest and planting times, sales of livestock, purchase of grain, activities per wealth group/per household member, movement to grazing lands, peak fishing times, sickness among children, etc.

Sources

Secondary sources: When gathering information from secondary data before going out to the field, record any significant details referring to the seasonality, events or activities of the livelihood zone. In this way you can start to build up a seasonal picture.

District key informants: Calendars will first be constructed with key informants at the district level before visiting the villages to confirm. You can work together with the key informants by drawing out the months and identifying their seasons on a piece of paper. Having identified the seasons, fill in details of when different activities, rainfall and events occurred during the period under study.

Village interviews: Define the seasons with the group participants, trying to match them with the information you have gathered so far. You can either note the seasonal calendar in your notebook, on a flip chart on the ground or mark out a line on the ground with the group, using objects to represent different activities. Go through the seasons discussing and identifying the different activities for each period.

How to do it

Seasonal calendars can be constructed in the same way as a community map, using local materials such as sticks, stones, leaves, branches, bricks and rocks. So you need first of all to gather together these materials. Alternatively, you can use flipchart paper.

1. Begin by defining the seasons in that area. Try to match seasons to the Gregorian calendar, but use local names in discussion if relevant.
2. Place items representing the seasons horizontally along the bottom of the paper or the ground.

3. Down the side - in the 'vertical' column - list activities or items according to the type of calendar you are trying to construct, such as rainfall, weeding, planting, migration for employment, livestock sales.
4. Begin the discussion by asking informants when an activity normally takes place. Establish when it begins and ends. Mark the period on the ground or paper with materials collected.
5. During this process you should also establish who is doing the activity. Make sure age and gender are specified.
6. Continue asking questions until you have exhausted the list in the vertical column.
7. Summarise findings and clarify any outstanding questions with informants before ending the interview.

Seasonal calendar example 2: An irrigated farming livelihood zone (Dawa-Ganale Riverine Livelihood Zone), Somali Region in Ethiopia

	UG	YM	ad	yu	gA	rs	tO	sh	ad	ra	tf	tf	rh
Land													
Planting													
Gathering													
Bird/predator													
Father													
Vegetable production													
Fodder													
Cropfodder													
Cereal													
Milk													
Livestock													
Dash													

Module 2: Baseline Assessment **SESSION 7: SEASONAL CALENDARS**

HANDOUT 2 – SEASONAL CALENDAR EXERCISE

Exercise

Select an area which everyone in your group knows.

Identify, for that area, the most important food and income acquisition strategies from the list below. Go through each strategy and indicate its timing – by shading – on the table overleaf.

Discuss which activities are carried out by men and which by women and enter in the 'Who?' column.

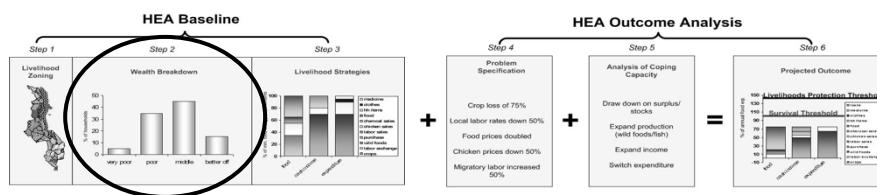
<u>Rainfall</u>	<u>Employment:</u>	<u>Food purchases:</u>	For crops, indicate the timing of the following:
<u>Crops:</u>	- Local labour (e.g. on farms) - Off-farm employment (e.g. brick-making)	- Timing of purchases and prices (highest/lowest)	- LP (land preparation) - P (planting)
- Main crops grown for consumption	- Labour migration (where to?)	<u>Annual 'hunger' season:</u>	- CG (consumption green) - H (harvesting)
- Main crops grown for sale	- Wild foods/Game:	- Timing	
<u>Livestock:</u>	- Collection & consumption, by type	<u>Mining:</u>	Indicate variations in access with arrows: ↑ to indicate peak access and ↓ to indicate minimal access
- Milk production	- Fishing:	- Peak periods	
- Livestock sales	- Where and when	<u>Health</u>	
- 'Heat' and Births		- Malaria, diarrhea, etc.	

End of Session 2.7

MODULE 2: BASELINE ASSESSMENT

Session 8: Wealth Breakdowns

Where do Wealth Breakdowns fit?



Wealth breakdowns are the second step in the HEA baseline. This is an essential step before quantifying livelihood strategies.

Session 8: Wealth Breakdowns

Why do we need Wealth Breakdowns?

Imagine...

If someone arrived in your village
and asked:

How do people here obtain food?

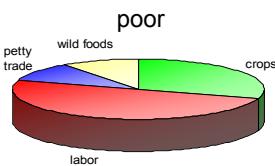
How would you answer?

Session 8: Wealth Breakdowns

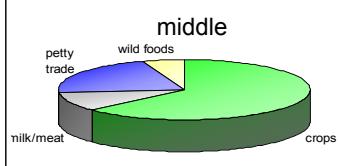
Why do we need Wealth Breakdowns?

How a household obtains access to food determines
which shocks will affect it and to what degree

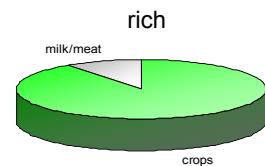
Poor hhs work for others, grow some of their own crops, collect wild foods, and engage in petty trade.



Middle hhs have more land and labour, so they can produce more of their own food, and make cash from petty trade.



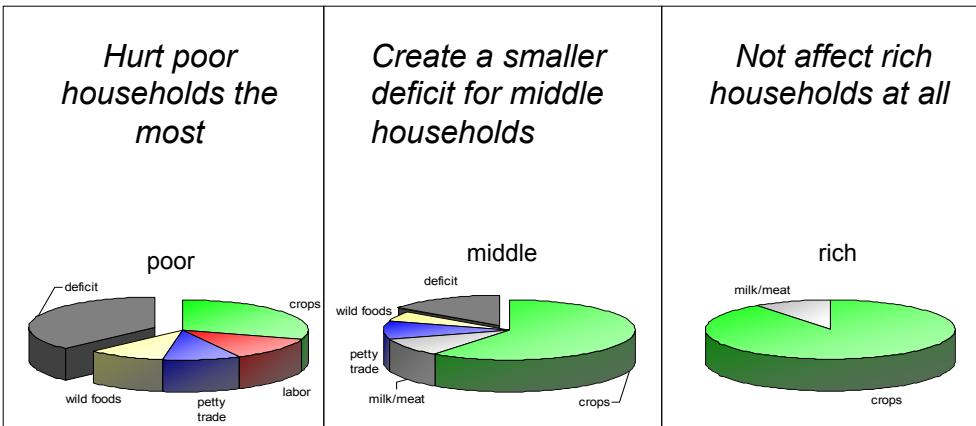
Richer hhs, who have both more livestock and land holdings, produce surplus food.



Session 8: Wealth Breakdowns

Why do we need Wealth Breakdowns?

A 50% drop in daily wages and doubling of staple food prices will.....



Session 8: Wealth Breakdowns

What is a Wealth Breakdown?

A Wealth Breakdown is:

A clustering of people into common wealth groups

Session 8: Wealth Breakdowns

What is a Wealth Breakdown?

A Wealth Group is:

a set of households that employs the same general strategies for obtaining food and income. They live at roughly the same level of wealth and have the same capacity to cope with hazards

Session 8: Wealth Breakdowns

What is a Wealth Breakdown?

We are using local not international measures of wealth

Session 8: Wealth Breakdowns

What is a Wealth Breakdown?

What is at the root of differences in wealth?

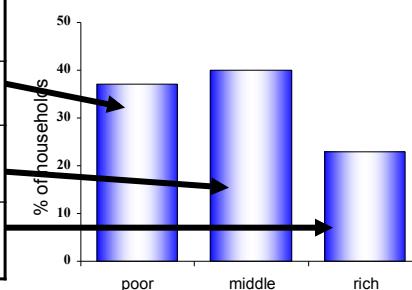
- Assets: Land, livestock, and capital
- Education and Skills
- Household size and composition (productive vs dependent members)
- Social status (access to community resources)

Session 8: Wealth Breakdowns

What is a Wealth Breakdown?

An example from Rumphi and Mzimba, Malawi

Wealth Group Information		
HH Size	Area planted and how	Livestock
5 – 7 members	1 – 1.5 acres by hand, using household labour	0 – 4 pigs, 7 – 10 chickens
5 – 7 members	2 – 3 acres by hand, using household labour and some hired labour	0 – 5 pigs, 10 – 15 chickens
5 – 7 members	4 – 5 acres by hand, using household and hired labour	0-4 cattle, 3-7 goats, 2-6 pigs, 15-20 chickens



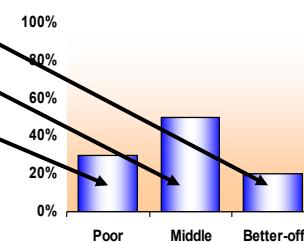
Land and labour are the main determinants of wealth here

Session 8: Wealth Breakdowns

What is a Wealth Breakdown?

An example from a pastoral zone in Ethiopia

	Poor	Middle	Better-off
Livestock Holdings:			
Sheep/goats	10-30	50-80	100-200
Camels	0-5	5-20	70-100
Household size	6-7	7-9	9-10
Family structure	1 wife	1 wife	1-2 wives
Labour employed	0	1-2	2-3
Other Assets/	0	0-1 Berkads	1-2 Berkads



Livestock holdings, labour and access to permanent water sources determine wealth in this zone

Session 8: Wealth Breakdowns

How to do a Wealth Breakdown

Step 1: Find the right people

Step 2: Agree on determining criteria (land/livestock/labor)

Step 3: Decide on reasonable cut off points

Step 4: Use proportional piling to group

Step 5: Divide further if necessary

Session 8: Wealth Breakdowns

How to do a Wealth Breakdown

In most cases you will need to divide the population into at least four groups:

- ❖ Poor
- ❖ Lower middle
- ❖ Upper middle
- ❖ Better off/Rich

Session 8: Wealth Breakdowns

Things to keep in mind

What is a household?

Definition: The smallest coherent economic unit.

The basic community unit at which resources are managed; typically a group of people 'eating from the same pot'

Session 8: Wealth Breakdowns

Things to keep in mind

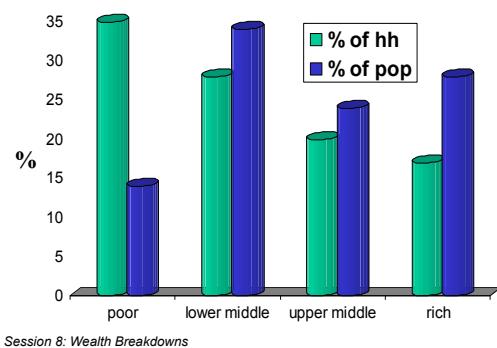
Types of households:

- Monogamous: Husband, 1 wife + dependants
- Polygamous: (all resources shared)
Husband, more than 1 wife + dependants
- Polygamous: (separate resources) Wife + dependants
- Female-headed: woman + dependants

Session 8: Wealth Breakdowns

Things to keep in mind

If household size varies with wealth, the % of the population will differ from the % of households



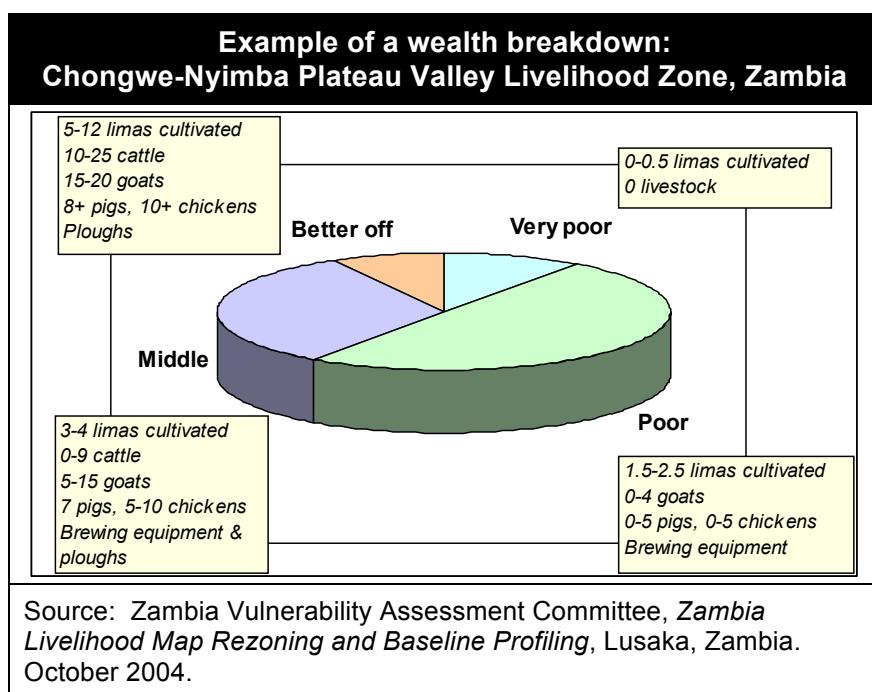
In this case, there are more poor households than rich, but richer households are larger and represent a bigger % of the population

Module 2: Baseline Assessment
SESSION 8: WEALTH BREAKDOWNS

HANDOUT 1 – WEALTH BREAKDOWNS

What is a wealth breakdown?

- A clustering of people into common wealth groups.
- A wealth group is a set of households that employ the same general strategies for obtaining food and income. They live at roughly the same level of wealth and have the same capacity to cope with hazards.



Why do we need to divide the population up in this way?

- People's wealth - what they have by way of land, capital and livestock, together with their educational status and access to political and social networks - determines the ways in which they will be able to get food and cash.
- For example, poor households with little land may work for better-off households to get money to buy food; the better-off may use profits from agriculture as capital to engage in trade.
- These differences also determine the effect that either sudden or long-term change will have on households, and the strategies households are able to employ to cope.

How do we define wealth groups?

- In the field, wealth categories are defined through interviews with community key informants.

- The population is divided into at least three (commonly four and sometimes more) wealth groups. The level of division depends on how the community view their society, and the purpose of the analysis.
- 'Poor' and 'better-off' are defined relative to local standards, not to an externally defined one. We are interested in descriptions of wealth groups *within* a defined community.

What criteria are used to define wealth groups?

- Criteria are developed with key informants on the basis of 'drivers' or generators of wealth (such as land, labour, or capital), rather than the end result, or indicators of wealth (such as roofing type or clothing). Typical examples include:
 - ownership of cattle, pack animals or other animals
 - land ownership/rental or the amount of land cultivated per season
 - the number of wives/size of family/size of household; including the balance between young and mature children.
 - the ability to employ others or reliance upon working for others
 - income sources
 - assets and savings
 - agricultural input/means of production

Typical determinants of wealth in a pastoral and agricultural society

- In an **agricultural society**, wealth is likely to be associated with land ownership or amount of land cultivated. It is likely to be linked to livestock ownership as well, since people tend to store their wealth 'on the hoof' in agricultural areas where banks are few or unreliable. In these societies factors related to land access and use are more likely to appear in the wealth ranking, with richer households: owning larger pieces of land, renting parcels *to* others or *from* others (depending on local policies of land tenure), hiring others as agricultural labourers, and possibly owning equipment which is used to cultivate large farms.
- In a **pastoral society**, wealth may be primarily determined by the size of one's cattle herd. Key informants may identify 'rich' households as being those with more than 50, 100 or 150 cattle. Other characteristics of the 'rich' may derive from these cattle holdings - e.g. heavy reliance on drinking milk for meeting their energy needs, selling ghee in the market to buy cereals, employing others to work as herding boys, or greater likelihood for men to have multiple wives (because they are able to pay the cattle dowry). 'Middle' households will have fewer cattle, less food and cash deriving from cattle, less ability (and need) to employ others to watch their herd, and perhaps fewer wives. Depending on the typical cattle holdings in the area, the 'poor' may include those who have no cattle at all, or it may be split into those with small herds and those without cattle. One may notice that land ownership, which is an important determinant of wealth in agricultural societies, may have no meaning whatsoever to purely pastoralist populations who do not farm, and for whom grazing land is plentiful.
- In addition to land, livestock and labour, wealth is determined by:
 - A household's political assets (relationships with powerful interests and ability to use these relationships to its economic advantage); and
 - A household's social assets (relationships within the community).

What about the very poorest and very richest households?

- HEA tends not to involve detailed inquiry into the very poor households at the extreme end of the wealth spectrum. These are the very poorest (destitute) households that are largely dependent on charity and tend not to be economically active.
- The very richest households - the 'richest of the rich' - constitute such a small minority of the population that detailed income and expenditure information for these households tends in many cases not to be necessary.
- However, in some contexts, interviews with this group can provide a lot of useful information – especially where a very small proportion of households own the vast majority of wealth and where much of the rest of the population is therefore tied to this group through various kinds of economic or social arrangements. In such a context, putting a percentage to the very rich group reveals a skewed distribution of wealth that in itself tells us a great deal about how the local economy works and what it means to be poor.

Things to keep in mind

- Make sure in your discussions with key informants you are talking about the same **type of household**, whether it consists of a husband with all his wives and dependants or a wife living away from (but still economically linked to) her husband.
- Bear in mind that the **terms 'rich' and 'poor'** are loaded with subjective pre-conceptions and should be avoided. It is often easier to talk about those who have to work for others, or those who are better off. Use the same terms your informants use and let them define the wealth groups in local terms.
- Wealth groups are **different from 'vulnerable' groups**. You are not grouping people into the typical 'vulnerable' categories, like 'women, children, disabled'. It is important to be very clear about this in your interviews with informants, who may have been previously asked for beneficiary lists like this, and who may assume you want the same thing.
- If **household size varies with wealth** (for example, poorer households might tend to be smaller because of labour constraints), the % of the population will differ from the % of households.

Steps in carrying out a wealth breakdown interview

1. Find the right people to ask

First, seek out the village leader(s) and explain the purpose of the visit and what you would like to do. Explain that you would like to meet with a group of 6-8 men and women who can explain the overall situation of people living in the area.

2. Agree on determining criteria (land/livestock/labor)

The types of questions that can be used to start the wealth breakdown include:

- *We know that households are not all living in exactly the same way – what is it that makes one household better or worse off than another in this area?*
- *What are the different characteristics of people who are doing well, or not doing well, in this area?*

In this way, you can agree on the main criteria - land, livestock or labour - that determine wealth in that community. Further prompting will lead to discussions and estimates of household size and asset ownership.

3. Decide on reasonable cut off points

4. Use proportional piling to group

5. Divide further if necessary

If one group is very large - say, over 40% - you should sub-divide it, asking your key informants to describe differences *within* the group.

Wealth breakdown tips

- Explain that we know that there are differences within every community – not all households are the same – some are better-off, some are worse off.
- For our purposes, ‘poor’ means poorer than most households, while ‘better-off’ means better-off than most households (in practical terms this means the ‘poor’ can not constitute more than 50% of the population).
- In this interview we are not just concerned with this village, we are concerned with the area in general.
- If informants say that ‘everyone is the same now’, then ask them about differences within the community one year (or more) ago.
- If, after proportional piling, one group looks very large, ask the key informants to explain differences within the group and encourage them to subdivide the pile.

EXTRACT FROM INTERVIEW FORM 3 FOR MOCK WEALTH BREAKDOWN INTERVIEW

Vanoshaisisa	Vanoshaya	Vanowanawo	Vanowana
Very poor	Poor	Middle	Better off
1	1	1	1
4	6	6	6
5 - 6 ha	5 - 6 ha	5 - 6 ha	5 - 6 ha
Total area	½ - 1 acre	1 - 5 acres	5 - 8 acres
Food crops area	½ - 1 acre	1 - 5 acres	3 - 6 acres
Cash crops area		2 acres	3 acres
Maize	Maize, cotton, tobacco	Maize, cotton, tobacco	Maize, cotton, tobacco
Maize, sweet potatoes, groundnuts	Same as v. poor	Same plus beans	Same plus beans
0	0-2	2-7	8+
Prod. females	0	1-2	3
Plough oxen	0	2	4
Total (range)	0-2	3-6	5+
Prod. females	0	2	4
Total (range)			
Prod. females			
Livestock loans/tending agreements (under what type of arrangement?)			
Other livestock:	0-5 chickens	10+ chickens	10+ chickens

HEA Training Guide
Handout 1

Module 2: Baseline Assessment
Session 8: Wealth Breakdowns

Wealth groups: local definitions and names (local language)	Vanoshaisisa	Vanoshaya	Vanowanawo	Vanowana
Other livestock:				
Other causes of differences in production (e.g. quality of land, access to irrigation, labour, agric. inputs etc)				Can hire labour
Other productive household assets (e.g. ploughs, irrigation, trees, hives, ensen stems, fishing equipment)			Own plough	Own plough
Main sources of cash income, ranked	Casual labour (agricultural and other) Gifts	Casual labour (agricultural and other) Crop (vegetable sales) Petty trade Chicken sales	Crop sales Livestock and livestock product sales Remittances	Crop sales Livestock and livestock product sales Remittances
Checklist of cash income sources:	- Remittances - Firewood collection or charcoal burning - Collection and sale of wild foods - Mining	- Crop sales - Vegetable sales - Brewing - Petty trade (small-scale trade)	- Crop sales - Vegetable sales - Fishing - Transport (e.g. taxi, pick-up)	- Trade (large scale) - Small business - Fishing - Transport (e.g. taxi, pick-up)
Months of consumption from own harvest	4 months	9 months	> 12 months (surplus)	> 12 months (surplus)
Bad year response strategies	Increased reliance on gifts Little scope to cut back	Took children out of secondary school. No purchase of clothes, utensils or other non-essentials	Defaulted on input credit Generally get by	Less affected than other groups. Reduced spending on luxuries.
Schooling levels attained by children	Primary	Primary + occasionally secondary	Secondary for some children	Secondary for all children + some tertiary
% of households in each wealth group (proportional piling)	3	20	65	15
Main constraints and development priorities →	Clinics, schools, water sources Seeds	Same as v. poor.	Clinics, schools, water sources Tillage Access to credit for inputs	Same as middle

Last step: Selection of participants for interview from the different wealth groups. Ask the community leaders to organise 3-5 people from each wealth group. At least half of the participants or groups should be women. Explain that you will be interviewing each group separately. Arrange meeting times and a location for each group.

End of Session 2.8

Module 2: Baseline Assessment
SESSION 3: THE LIVELIHOODS FIELD HANDBOOK

HANDOUT – EXERCISES USING THE LIVELIHOODS FIELD HANDBOOK

Livestock Profile Exercise - Meru Lowland LZ, Kenya

1. The length of pregnancy in a cow is 9 months. In the Meru Lowland LZ, they lactate for 6 months on average and conceive after a further 3 months. What is the interval between births?
2. A household owns 2 cows. The first cow delivers in July of year 1. Indicate in the table below when the next two births take place.
3. Calves are sold on average at the age of 18 months. Indicate the timing of sale of the first two calves.
4. The second cow gives birth in April. Indicate below when the next two births occur.
5. Indicate the timing of sale of the first two calves of the second cow.

	Year 1				Year 2				Year 3				Year 4			
	JAS	OND	JFM	AMJ												
Cow 1 - births																
Calves – sale																
Cow 2 - births																
Calves – sale																

Note: Year starts in July (JAS = July August September)

Now, excluding Year 1 and using information from Years 2, 3 and 4 (since these years cover a full cycle of births and sales for two cows):

6. What is the average number of births per year?
7. What is the average number of animals sold per year?
8. Assuming for the moment that all calves survive until 18 months of age, what, on average is the total cattle holding? (Hint: for each cow is there always a surviving calf?)
9. What is the average % offtake (where % offtake = total of sales + slaughter as a % of holding at the beginning of the year)?

10. Supposing the middle wealth group has on average 2 *milking* cows, and taking into account how long a cow lactates after calving, what will be the average total holding?
11. Compare the results from this exercise with the reference values for herd dynamics on page 19 of the field handbook.

Comment: In the handbook we are given reference values for herd sizes of 3 and 5 (herds without plough oxen). Our example should lie somewhere between the two.

Exercise on herd dynamics

For this, you will need to refer to the Herd Dynamics - Reference Values table on page 19 of the Livelihoods Field Handbook. Use the *Herds without plough oxen* part of the table.

1. You are told that richer households own 15 cattle.
 - (i) How many females would you expect this to include?
 - (ii) How many calves would be born over a year?
 - (iii) How many cattle would be sold or killed?
2. You are told that 'middle' households own about 10 goats.
 - (i) How many kids would you expect to be born in a year?
 - (ii) How many goats would be lost through sale, slaughter and death?
3. If poor households own on average 2 goats:
 - (i) How many of those would be female?
 - (ii) How many kids would be born in a year?
 - (iii) How many would be sold or killed?
4. You are told middle households own on average 5 sheep. How much milk might you expect such a herd to produce in a year?
5. Better off households own 25 cattle. How much milk would you expect such a herd to produce in a year?

Exercise on household composition

For this exercise, you will need to refer to the household size and composition tables on page 18 of the Livelihoods Field Handbook.

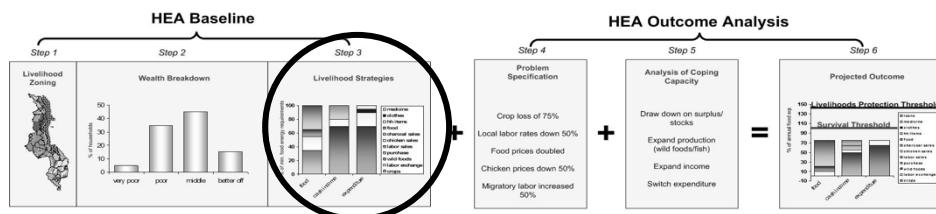
1. How many adults would you expect to be in a household:
 - (i) If the average household size is 6
 - (ii) If the average household size is 9
2. How many children under 15 would you expect in households of an average size of:
 - (i) 5
 - (ii) 9
3. The average size of a 'poor' household is 5. You are told that at weeding time, in an area in which weeding is almost always done by women, typically two adults from each household are engaged in weeding work. Is this likely to be typical?
4. For 'middle' households, with an average household size of 8, you are told that at the busiest time of year, one person will be working on their own land, two will be working on a neighbouring farm, one will be working in the town, and one will be staying at home with the children. Is this possible?

End of Session 2.3

MODULE 2: BASELINE ASSESSMENT

Session 9: Livelihood Strategies

What are Livelihood Strategies?



The task of quantifying livelihood strategies is the last step in compiling the HEA baseline

What are Livelihood Strategies?

A livelihood is the sum of ways in which households obtain the things necessary for life, both in good years and in bad

Session 9: Livelihood Strategies

What are Livelihood Strategies?

These necessities include :

- Food
- Water
- Shelter
- Clothing
- Health care
- Education

Session 9: Livelihood Strategies

What are Livelihood Strategies?

Livelihood strategies,
therefore, are the specific
means by which households
obtain these basic
necessities

Session 9: Livelihood Strategies

What are Livelihood Strategies?

**In HEA, the analysis of
livelihood strategies includes
an investigation into how
people obtain their food and
cash, and what they need to
spend their money on**

Session 9: Livelihood Strategies

Why do we care about Livelihood Strategies?

If we know how people get what they need, we will also know which things will affect that access

Cash needed for..	comes from..	Affected by...
School fees	Weeding labor	Drop in daily wages

Session 9: Livelihood Strategies

Why do we care about Livelihood Strategies?

Knowing about access allows us to link hazards with effects

<i>Effect</i>	<i>Access</i>	<i>Hazard</i>
Cash needed for..	comes from..	Affected by...
School fees	Weeding labor	Drop in daily wages

Session 9: Livelihood Strategies

How do we find out about Livelihood Strategies?

Because there is a limited set of options for obtaining food and cash, it is possible to systematically explore each option to find out:

How much food or income does the option provide?

Session 9: Livelihood Strategies

How do we find out about Livelihood Strategies?

Because there is a limited set of options for obtaining food and cash, it is possible to systematically explore each option to find out:

When in the year is the option pursued?

Session 9: Livelihood Strategies

How do we find out about Livelihood Strategies?

Because there is a limited set of options for obtaining food and cash, it is possible to systematically explore each option to find out:

Who in the household pursues the option?

Session 9: Livelihood Strategies

How do we find out about Livelihood Strategies?

Because there is a limited set of options for obtaining food and cash, it is possible to systematically explore each option to find out:

Is the option expandable in a bad year?

Session 9: Livelihood Strategies

How do we find out about Livelihood Strategies?

How do people get their food?

- Own crop production
- Own livestock production
- Wild foods, fish and game
- Purchase
- Exchange (labour or goods for food)
- Gifts and loans

Session 9: Livelihood Strategies

How do we find out about Livelihood Strategies?

How do people get their cash?

- Sale of crops
- Sale of livestock production (*milk, ghee, live animals, hides*)
- Sale of wild foods, fish and game
- Employment (*casual labour, salaried employment, remittances*)
- Self-employment (*firewood, charcoal, handicrafts, etc.*)
- Small business and trade (*purchase and resale of goods*)
- Other (*gifts, loans, etc.*)

Session 9: Livelihood Strategies

How do we find out about Livelihood Strategies?

What do people need to buy?

- **Staple** (cheapest kilojoules)
- **Minimum non-food** (e.g. salt, soap, water, kerosene for cooking, etc.)
- **Livelihoods protection** (health, school, ag. inputs, vet drugs, etc)
- **Other** (money spent on non-essential, discretionary items)

Session 9: Livelihood Strategies

Adding Things Up: Beyond the Checklist

Sources of food need to add up to around 8800 kJ pppd

Sources of income need to make sense given production and labour available in household

Session 9: Livelihood Strategies

Adding Things Up: Beyond the Checklist

Total expenditure needs to balance with total income.

Session 9: Livelihood Strategies

Module 2: Baseline Assessment
Session 9: Baseline Livelihood Strategies

Handout 1: Household Food, Income and Expenditure

What is a livelihood?

- A livelihood is the sum of ways in which households obtain the things necessary for life, both in good years and in bad. These necessities include food, water, shelter, clothing, health care and education.
- Livelihood strategies are the specific means by which households obtain these basic necessities. In HEA, the analysis of livelihood strategies includes an investigation into how people obtain their food and cash, and what they need to spend their money on.
- If we know how people get what they need, we will also know which things will affect that access
- Knowing there is a limited set of options for obtaining food and cash makes it possible to construct a holistic picture of households' livelihood strategies.

Sources of food

The ways in which the household acquires the food it consumes

This includes food gained through own crop and livestock production, labour, purchase, collection (e.g. wild foods, hunting, fishing), gifts and relief. As we are primarily interested in understanding how a household meets its calorific needs, we focus on the main energy-producing staple foods. For example, information on items such as spices or coffee may be important for calculating income and expenditure, but will not contribute significantly to total caloric intake.

Differentiating between sources of food is important because the way a household obtains its food defines its vulnerability. For example, agricultural households are directly vulnerable to crop failure; pastoralists are less vulnerable to crop failure (generally), and more vulnerable to a change in the livestock market.

Sources of cash income

The means by which a household can purchase its food and non-food needs

Income can be earned through a variety of sources, including the sale of own production, self-employment, and labour. It is important to understand the sources of income for households in each wealth group in order to also understand labour and trade relations between wealth groups.

Expenditure patterns

The way the income is spent

Information on expenditure patterns helps us identify the choices households from different wealth groups make about expenditure on food and non-food items. It also enables us to see which expenses are likely to be reduced during a crisis.

Examples of categories of food, income, and expenditure

FOOD SOURCES	INCOME SOURCES	EXPENDITURE
<ul style="list-style-type: none"> • Crop production • Livestock production • Hunting, fishing, collection of wild foods • Kinship support/gifts/obligations • Labour in exchange for food • Relief food • Purchase and barter 	<ul style="list-style-type: none"> • Sales of crops • Paid employment/exchange of labour • Livestock sales • Sale/exchange of livestock or livestock products • Natural resource exploitation • Land rental/sale • Sale of other products manufactured in the household • Trade 	<ul style="list-style-type: none"> • Food (staple) • Food (non-staple) – quality/preference • Non-food needs e.g. <ul style="list-style-type: none"> - Education - Healthcare - Household items - Agricultural inputs - Livestock inputs - Social and cultural expenses - Investments and savings - Taxes

Why a list of baseline livelihood strategies is not enough

A description of how people acquire food and cash is a component of many approaches to livelihood analysis. The difference with HEA is that it provides **quantitative information**; information is gathered on *how much* food or cash households gain from a particular source, and on *how much* they spend on certain items and basic services over the defined period.

Such quantification is needed in order to allow a new situation – say, the closing off of employment from a particular source, or poor rains – to be judged in terms of its likely effect on livelihoods. Try and imagine how you could estimate the effect of a shock on livelihoods in concrete terms – say, in terms of a percent decline in food or cash income – if you simply had a list of strategies that people engage in, ranked in order of importance. It would be difficult.

HEA as a systems-based approach

HEA is a systems-based, rather than a correlative approach. This means that conclusions are drawn from a **holistic** analysis of livelihoods – that is, taking into account all the means by which people survive, all their resources and all their options – rather than from an analysis which aims to find relationships between selected factors or symptoms such as prices and rates of migration or of wild food collection.

The aim of the baseline enquiry is therefore to build up a logical and comprehensive picture of livelihoods that is amenable to such a systems analysis, and **each ‘bit’ of information gathered has to make sense in relation to the rest**. In these terms the approach gains rigour from the fact that the information has to ‘add up’ in quantitative, as well as logical, terms.

Cross-checks that help to ensure rigour

This idea of checking different pieces of information against others is a very important feature of HEA baseline assessments because it helps to ensure that the information gathered is **internally consistent**. There are two basic assumptions that underlie these cross-checks. On the one hand, there is a finite and relatively small number of economic options available to households; these define the broad parameters of the investigation. On the other, there is a minimum food requirement that households must be meeting if they are surviving, and a certain level of income they have to acquire in order to afford their stated expenditure.

This means that the information gathered can be subject to two quite simple cross-checks:

1. The various ways in which a **household acquires food** - from their own production, from payment in kind, from purchase – must add up to its minimum food needs.
2. The various ways in which a **household earns cash** - labouring, crop sales, petty trade - must in total equate with its stated expenditure and with its observed standard of living.

By comparing the two sides of the equations, and through a number of other cross checks, gaps and inconsistencies in the information can be challenged and a coherent and logical account of how households make ends meet can be put together.

Module 2: Baseline Assessment
SESSION 9: BASELINE LIVELIHOOD STRATEGIES

Handout 2: Livelihood Strategies Exercise

Sources of Food

(as % of household's total annual consumption)

Source	Poor	Middle	Rich
Own harvested crops	%	%	%
Milk / meat from own livestock	%	%	%
Purchased from the market	%	%	%
Collected wild foods	%	%	%
Local labour for food (in kind) (not food aid)	%	%	%
Gifts or loans of food	%	%	%
Food aid (relief, safety-net)	%	%	%
Other (e.g. own caught fish)	%	%	%
TOTAL	100%	100%	100%

Sources of Cash Income
(as % of household's total annual cash income)

Source	Poor	Middle	Rich
Sale of own crops: cash-crops, cereals, pulses, vegetables etc.	%	%	%
Sale of own livestock (cattle, goats, etc.)	%	%	%
Sale of livestock products (milk, butter, ghee)			
Casual work earnings (daily labour)	%	%	%
Sale of collected natural resources (firewood, straw/grass, wild foods, etc.)	%	%	%
Sale of goods produced by household (handicrafts, bread, beer, etc)			
Petty trade	%	%	%
Remittances from kin living elsewhere	%	%	%
Other (cash gifts, credit, etc.)	%	%	%
TOTAL	100%	100%	100%

Household Expenditure
(as % of household's total annual cash expenditure)

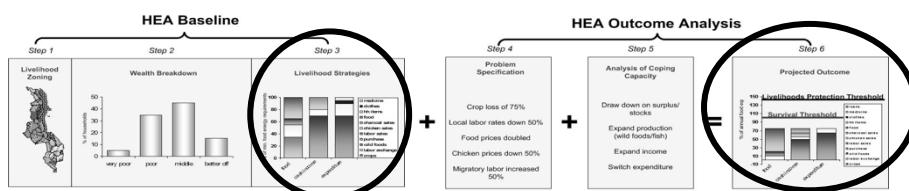
Item	Poor	Middle	Rich
Food purchase (basic food and relish)	%	%	%
Purchase of other basic items (e.g. salt, condiments, fuel, beer, stimulants)	%	%	%
Clothes purchase	%	%	%
Medical costs	%	%	%
School costs	%	%	%
Transport costs	%	%	%
Cost of inputs for cultivation or livestock keeping (including fertilizer, hired labour)	%	%	%
Other (e.g. taxes, ceremonies)	%	%	%
TOTAL	100%	100%	100%

End of Session 2.9

MODULE 2: BASELINE ASSESSMENT

Session 10: Introduction to kilojoule Calculations

Why do we need to know about kilojoules?



We use kilojoule conversions so that we can quantify livelihood strategies and 'add' up food sources. This is essential in order to apply the survival and livelihood protection thresholds.

Session 10: Introduction to kilojoule Calculations

What are kilojoules?

- joules in general science are the standard unit of heat
- joules in nutrition are a measure of energy: our body ‘burns’ energy nutrients to keep the heart pumping, to keep the blood warm, and for any movement of the body

Session 10: Introduction to kilojoule Calculations

What are kilojoules?

The energy content of foods is usually stated in 1000-joule units: kilojoules.

Session 10: Introduction to kilojoule Calculations

Why are we interested in kilojoules?

- We are interested in people's access to basic food that keeps them going. This is mainly energy-food, measured in kilojoules
- Balanced nutrition requires more than energy intake – it requires proteins, vitamins, minerals etc..

Session 10: Introduction to kilojoule Calculations

Why are we interested in kilojoules?

- But the first measure of access to enough food for survival is in terms of energy, and that is the measure that HEA refers to.

Session 10: Introduction to kilojoule Calculations

What foods have kilojoules in them?

Virtually all foods have some kilojoules in them. But some foods have far more energy than others.

energy-dense foods include cereals, pulses, vegetable oil, ghee, butter, and sugar

Session 10: Introduction to kilojoule Calculations

What foods have kilojoules in them?

Leaf-crops and most fruits are good for non-energy nutrients but do not ‘fill the stomach’

Session 10: Introduction to kilojoule Calculations

What foods have kilojoules in them?

Apart from oil and fat, a rule-of-thumb for energy dense foods is their **water content** before cooking:

- ❖
- ❖ starch (an energy source)

Session 10: Introduction to kilojoule Calculations

What foods have kilojoules in them?

Apart from oil and fat, a rule-of-thumb for energy dense foods is their **water content** before cooking:

- ❖ spinach, cabbage and tomato are full of water
- ❖ carrots are dense with fibre, not with starch

Session 10: Introduction to kilojoule Calculations

kilojoule Values in Food

energy Dense		energy ‘Light’	
Food group	kJ/kg	Food group	kJ/kg
Vegetable Oil	37680	Fresh Cassava	6410
Butter	31190	Goat Meat	6070
Cereals and pulses	~14650	Sweet Potatoes	4770
Dry Cassava Flour	14320	Fresh Fish	3980
		Irish Potatoes	3140
		Milk	2680
		Dark Green Leaves	2010
		Tomatoes	840

Session 10: Introduction to kilojoule Calculations

How many kilojoules do we need?

- Most governments and agencies agree that the minimum, average daily energy requirement for a population is:
8800 kJ per person per day (pppd)
- If a population is poor and consumes only 7950 kJ pppd, it may survive and multiply, but people will be thin.

Session 10: Introduction to kilojoule Calculations

How many kilojoules do we need?

- If a population consumes less than approx. 7950 kJ pppd during more than a week or so they will become thinner: *they are actually beginning to starve.*
- Remember, the requirement of 8800 is not for an individual: it is the average across a population and over time.

Session 10: Introduction to kilojoule Calculations

Where does 8800 come from?

Age (years)	% of pop ⁿ .	kJ/day
0-4 years	12.37	5400
5-9	11.69	7790
10-14	10.53	9250
15-19	9.54	10130
Males (20-59)	24.80	10300
Females (20-59)	23.82	8330
Pregnant		Add 1193
Lactating		Add 2090
Elderly 60+	7.24	7915
Whole pop (excl. Preg & Lact women)		8670

Kilojoule requirements by age & sex (WFP/UNHCR, 1997)

Session 10: Introduction to kilojoule Calculations

What do kilojoules mean?

- $1 \text{ kJ} = 0.2388 \text{ kcal} \rightarrow 1 \text{ kcal} = 4.1868 \text{ kJ}$
- A land rover produces 108 bhp = 80.5 kW, so to keep driving at full throttle for 1 day; you would need $80.5 \times 60 \text{ secs} \times 60 \text{ mins} \times 24 \text{ hrs} = 6.96 \text{ million kJ}$
- A 200W stereo on full blast for a whole (24-hour) day burns 17,280 kJ

Module 2: Baseline Assessment
SESSION 10: INTRODUCTION TO KILOJOULE CALCULATIONS

HANDOUT 1 – KILOJOULE EXERCISES AND EXAMPLES

Exercise 1: Calculating food quantities needed to meet energy requirements

The aim of this exercise is to calculate how much of a particular food a person or household would have to eat to meet their energy requirements for a day or year. For example, how much maize would a household have to consume per year, if they were only eating maize?

Steps

- For your chosen food, find the representative caloric value per 1kg (1000 g) edible portion in the table either in *Handout 2 – Kilojoule Table* or on page 11 of the Livelihoods Field Handbook.
- To calculate the amount of this food an **average person** needs to eat per day, divide 8800 kJ (daily food energy requirement) by its representative caloric value.

Example

How much rice does an average person who is only eating rice need to eat per day?

Rice contains 14820 kJ per 1 kg edible portion
8800 kJ divided by 14820 = 594 g or **0.59 kg**

Answer: An average person, if only eating rice, needs to consume at least 0.59 kg of rice per day.

- To calculate the amount of this food a **household** needs to eat per day, multiply the individual kg figure by the number of individuals belonging to the household.

Example

How much rice does a household of 5 people who are only eating rice need to eat per day?

0.59 kg per person per day multiplied by 5 people = **2.95 kg**

Answer: A household of 5, if only eating rice, needs to eat at least 2.95 kg of rice per day.

- To calculate the amount of this food a household needs to eat per **year**, multiply by 365 days.

Example

How much rice does a household of 5 people who are only eating rice need to eat per year?

2.95 kg per household per day multiplied by 365 days = **1077 kg**

Answer: A household of 5, if only eating rice, needs to eat at least 1077 kg of rice per year.

Exercise 1

As in the example above, fill in the table below by doing the following:

- Find the representative caloric value of each food.
- Calculate how much of each food one person would have to eat per day to meet their energy requirements.
- Calculate how much of each food a household of 5 would have to eat per year to meet their energy requirements.

Food Sources	KJ per kg	Requirements (kg)	
		Per person per day	Per HH per year (HH size =5)
Cereals			
Sorghum (whole)			1076.75
Maize (whole)			1058.5
Barley (whole)			1131.5
Wheat (whole)			1113.25
Millet (whole)			1058.5
Livestock products			
Cow milk (whole)			5986.0
Cow milk (skimmed)			11278.5
Goat milk			5383.75
Sheep milk			3548.61
Butter			511
Eggs			2427.25
Meat			
Beef (mod. fat)			1624.25
Goat meat			2646.25
Roots and Tubers			
Sweet potatoes			3358
Food Sources	KJ per kg	Requirements (kg)	
		Per person per day	Per HH per year (HH size =5)
Pulses			
Lentils			1131.5
Cowpeas			1131.5
Field beans			1131.5
Soya beans			1003.75
Fruits			
Mango			6077.25
Banana			3303.25
Papaya			9818.5
Leaves			
Pumpkin leaves			13687.5
Wild cabbage			
Oil Seeds			
G/Nuts, dried			657
Pumpkin seeds			620.5

Exercise 2: Converting food sources into percentages of annual food needs

The aim of this exercise is to calculate how much a particular food source contributes to overall household energy requirements.

For example, you find through key informant interviews that a **household of 5** produces **90 kg of barley** (1 sack - sack sizes vary according to locality and content, so be sure to check). You want to find out how much of the household's annual food needs will be covered by the barley. You can do this in any of the following three ways.

Option 1

Steps

- Calculate the amount of the food commodity necessary to cover the energy requirements of one person per day.
Example: Caloric value of barley = 14190 kJ per 1 kg
 $8800/14190 = 0.62 \text{ kg}$
i.e. 0.62 kg barley represents the kilojoule requirements of one person for one day.
- Divide the amount available by the amount needed per person per day.
Example: $90\text{kg} / 0.62 \text{ kg} = 145 \text{ days}$
i.e. 90 kg barley represents the kilojoule requirements of one person for 145 days.
- Divide the total number of person days by the number of household members.
Example: $145/5 = 29 \text{ days}$
i.e. 90 kg barley represents the kilojoule requirements of a household of 5 for 29 days.
- Divide the resulting household days by 365 and multiply by 100 to get the % annual energy needs covered by the barley.
Example: $29/365 \times 100 = 7.95\% (\approx 8\%)$
i.e. 90 kg barley represents 8% of the annual kilojoule requirements of a household of 5.



Option 2

Steps

- Calculate the amount of each commodity necessary to cover one person per day
Example: Caloric value of barley = 14190 kJ per 1 kg
 $8800/14190 = 0.62 \text{ kg}$
i.e. 0.62 kg barley represents the kilojoule requirements of one person for one day.
- Multiply the per person per day amount by number of days in the year and by household size
Example: $0.62 \times 365 \times 5 = 1,132 \text{ kg}$
i.e. 1,132 kg barley represents the annual kilojoule requirements of a household of 5.
- Divide the amount of the commodity available by the amount they need per year and multiply by 100 to get annual %
Example: $90/1132 \times 100 = 7.95\% (\approx 8\%)$
i.e. 90 kg barley represents 8% of the annual kilojoule requirements of a household of 5.

Option 3

Steps

- Calculate the total annual energy requirements for a household - multiply the daily kilojoule requirement per person (8800) by 365 by the household size.
Example: $8800 \times 365 \times 5 = 16,060,000 \text{ kJ}$
i.e. a household of 5 requires an annual intake of 16,060,000 kJ.
- Multiply the quantity of the commodity available by the kJ value of that commodity
Example: $90 \times 14,190 \text{ kJ} = 1,277,100 \text{ kJ}$
i.e. 90 kg barley provides 1,277,100 kJ.
- Divide the kJ in the amount of the commodity available by the kJ total household need per year and multiply by 100 to get annual %
Example: $1,277,100 / 16,060,000 \times 100 = 7.96\% (\approx 8\%)$
i.e. 90 kg barley provides 8% of the annual kilojoule requirements of a household of 5.

Exercise 2

Using the same steps outlined in the example, answer the following questions

1. You find out that an average household has access to the milk of **5 cows** for **6 months** of the year. Average milk yields are **1.3 litres per cow per day**. For a household of 6, how much of their needs does the milk from these five cows fulfil?
2. In April, the same household trades **two calves** at the local market and received **1.5 sacks of maize for each** (1 sack = 100kg). What proportion of their annual food needs will this trade cover?
3. A woman tells you that for the past three months she has **only eaten pumpkin leaves**. Is this nutritionally possible? How many kilograms of leaves would she have needed to consume each day in order to survive?
4. If a household of six kills **one average sized bull** (**150 kg** of edible meat) **per year**, how much of their total annual food income does the contribution meet?

Module 2: Baselines Assessment

SESSION 10 HANDOUT 2: KILOJOULE TABLE

Representative energy values of different foods: kJ per kg of food (kcal values incl. for reference)					
Cereals	kJ	kcal	Sugars	kJ	kcal
barley	14190	3390	sugar	16750	4000
bulgur wheat	14650	3500	soft drinks, commercial	1880	450
maize, white, whole	15200	3630			
maize meal, refined 60-80%	15070	3600	Meat, poultry, eggs, fish	kJ	kcal
millet flour	15280	3650	beef, mod fat	9840	2350
millet, whole grain	15200	3630	beef, lean	8460	2020
oats	16240	3880	goat meat	6070	1450
pasta	14320	3420	pork, lean	15530	3710
rice, parboiled, lightly milled	14820	3540	poultry (body)	5820	1390
rolled oats	15200	3630	poultry (feet)	9000	2150
sorghum	14860	3550	eggs	6620	1580
sorghum flour	14780	3530	fish, dried	12940	3090
teff, whole grains	14440	3450	fish, fresh	3980	950
wheat, whole	14400	3440			
wheat flour	14570	3480	Fruit	kJ	kcal
			apple	2550	610
Roots and tubers	kJ	kcal	avocado	6910	1650
cassava flour	14320	3420	banana	4860	1160
cassava, fresh	6410	1530	citrus	2220	530
plantain, ripe, raw	5360	1280	mango	2640	630
potato raw	3140	750	papaya	1630	390
sweet potato, pale raw	4770	1140			
taro	4730	1130	Dairy	kJ	kcal
yam, flour	13270	3170	milk, cow whole	2680	640
yam, fresh	4350	1040	milk, goat whole	2970	710
			Yoghurt, sweetened, low fat	4000	955
Grain legumes	kJ	kcal	DSM vit A-enriched	14860	3550
beans, dried	14190	3390			
cowpeas, dried	14240	3400	Oils and fats	kJ	kcal
lentil, dried	14190	3390	butter	31190	7450
soya bean, dried	15990	3820	ghee	34670	8280
			margarine	32030	7650
Vegetables	kJ	kcal	vegetable oil	37680	9000
leaves, dark green	2010	480			
leaves, medium green	1170	280	Other	kJ	kcal
leaves, light green	960	230	beer; local	1470	350
maize, immature on cob	5150	1230	honey	11970	2860
onions	2010	480			
pumpkin	1510	360	Nuts and seeds	kJ	kcal
butternut	1670	400	groundnut, dried	24240	5790
tomato	840	200	groundnuts, fresh	13900	3320
			pumpkin seeds (no coat)	25540	6100
Prepared foods (typical values)	kJ	kcal			
McDonalds "Big Mac" burger	11180	2670	Processed foods	kJ	kcal
Fried chicken (KFC original recipe)	7540	1800	baked beans	3310	790
Chips (shoestring)	13020	3110	polony	13200	3152
Chips (regular)	12980	3100	bread (commercial white)	11220	2680
Steak and kidney pie	11470	2740	bread (commercial whole wheat)	10320	2464

Module 2: Baseline Assessment
Session 10: Introduction to Kilojoule Calculations

HANDOUT 3 – KEY POINTS ABOUT KILOJOULES

- Kilojoules in nutrition are a measure of energy. The energy content of foods is usually stated in 1000-joule units: kilo-joules.
- Some foods have far more kilojoules than others. Energy-dense foods include cereals, pulses, vegetable oil, ghee, butter, and sugar.
- Leaf-crops and most fruits are good for non-energy nutrients but do not ‘fill the stomach’.
- Balanced nutrition requires more than energy intake – it requires proteins, vitamins, minerals etc. But the first measure of access to enough food for survival is in terms of energy, and that is the measure that HEA refers to.
- Most governments and agencies agree that the minimum, average daily kilo-joule requirement for a population is: 8800 kJ per person per day (pppd). This is not the requirement for an individual, but is the average across a population and over time.
- If a population is poor and consumes only 7950 kJ pppd, it may survive and multiply, but people will be thin.
- If a population consumes less than approx. 7950 kJ pppd during more than a week or so they will become thinner: *they are actually beginning to starve*.
- In HEA, we assume a population that is surviving and reproducing must be meeting a requirement of 8800 kJ or close to it. So we can ask people about their sources of food and by calculating how many kilojoules this gives them, check to see if what they tell us accords with what they must be consuming in order to survive.

End of Session 2.10

Module 2: Baseline Assessment

Session 11: Meru Lowland Exercise

HANDOUT

This example is taken from the Lowland Livelihood Zone in Meru District, Kenya. It concerns households in the 'middle' wealth group, who have a typical family size of 6 people. Although the exercise is based on real data which was collected in Meru District, the years quoted are purely for illustrative purposes and the data should therefore be considered representational.

1. The Baseline

Sources of food

There are two rainy seasons in this zone and farmers plant in both seasons. Only one season is reliable: the so-called 'short' rains from October to December. A farmer's consumption year runs from the start of the green harvest in January to the following January. In other words, it can be considered to be a calendar year. The baseline year in this zone was 2004.

The table below describes the contribution of different sources of food to the annual food requirements of middle households.

Calculate the % contribution of each food source to household annual food requirements. Enter your results in the table below, and then in Column A of Table 1 on page 6.

Basis of calculations:

- If a household of 6 people was to consume only maize, they would require 1,270 kg for a whole year.*
- If they were to consume only beans, they would require 1,358 kg.*
- If they were to consume only milk, they would require 7,183 litres for the whole year.*

**Sources of food for middle households in Meru Lowland Livelihood Zone
in the baseline year**

Food source	Description	% of total food income
Green crops	Households ate green crops in both rainy seasons, covering 2 full months of food income (one month from each season).	
Harvested maize (minus sales and seed)	The short rains harvest is in February. 6-7 (6.5) sacks (of 100kg each) of maize were produced. 1½ sacks were sold, ½ a sack was kept for seed and the 4½ remaining sacks were consumed. The crops planted during the long rainy season (March – May) do not produce a dry harvest.	
Milk (minus sales)	Middle households owned 2 cows that yield 1 litre of milk each per day for 10 months of the year. Half the milk was consumed and the other half was sold (assume 1 litre = 1 kg).	

Labour exchange	In most middle households, the man migrated to the upper areas of the district and Meru Central to work for about three months of the year. While he was away, he received all his meals from his employer. This food should be entered in Table 1 as 'labour exchange'.	
Purchase	The household purchased the remainder of its food, or approximately 4½ sacks of maize and 50 kg of beans.	
Total Food	→	

Sources of income

The table below describes the contribution of different sources of income for middle households.

Calculate the income earned in shillings from each income source. Enter your results in the table below and then in Column A of Table 2 on page 6.

Sources of income for middle households in Meru Lowland Livelihood Zone in the baseline year		
Income source	Description	Income in Sh.
Sale of livestock	Sold 2 calves at 6000 shillings each	
Sale of livestock products	Sold 1 litre of milk per day at 25 shillings per litre for 10 months (use 30 days per month)	
Sale of own crops	Sold 1½ sacks at 550 shillings per sack	
Labour sales	Worked for 5 days per week for 3 months at 60 shillings per day (use 4 weeks per month)	
Sale of firewood	Sold 4 bundles per week throughout the year at 30 shillings per bundle (use 52 weeks per year)	
Total income	→	

Expenditure

Staple food: Totalling up weekly/daily purchases, the household bought 4½ sacks of maize and 50 kg of beans during the baseline year. Maize cost 10 shillings per kg and beans cost 25 shillings per kg.

Calculate how much middle households spent on food in the baseline year. Enter your results in the table below, and then in Column A of Table 3 on page 6.

Expenditure on staple food for middle households in the Meru Lowland Livelihood Zone in the baseline year			
Item	Quantity	Price	Total shillings
Maize	450 kg	10 shillings/kg	
Beans	50 kg	25 shillings/kg	
Total	→	→	

Non-staple items: Households typically have two children in primary school and spend 150 shillings per child per year for this (including fees, uniform and basic materials). They also have one child in secondary school at a cost of 1500 shillings per year.

1800/=

The remainder of household expenditure was spent on other non-staple items. The household did not save any money, so income equalled expenditure in the baseline year.

Calculate how much middle households spent on education in the baseline year. Next, calculate total household expenditure. Finally, calculate expenditure on other non-staple items. Enter all these results in Column A of Table 3 on page 6.

EDUCATION: 1800/=

OTHER: 22165/=

2. The shock: drought

The major problem affecting the Lowland Livelihood Zone in 2007 was a lack of rain in both 2005 and 2006, which resulted in harvest failure for the second year in a row. In addition, livestock sales were increased during 2006 to cope with the drought in that year.

The situation after the important short rains of October - December 2006 was:

- **Short rains crops:** Little maize germinated and, after normal **green** consumption (one month), only 1½ sacks were harvested as dry crop. Half a sack was kept for seed and 1 sack was kept for consumption.
- **Long rains crops:** The forecast for the long rains in March to May 2007 was of poor rains. It was predicted that there would be no second dry harvest, but that growing conditions would be sufficient to produce enough maize to be eaten **green** for a month, as in the baseline year.
- **Livestock:** On average, one cow was sold (in 2006) following the drought in 2005 and the remaining cows have failed to give birth. This means that in 2007 farmers had no calves to sell and no milk production.
- **Prices:** Maize and beans had doubled in price from the baseline year. (Assume total shilling expenditure on each is the same. This means the quantities purchased must change.)

Given this scenario for 2007, and assuming that everything else is unchanged, fill in Column B of Tables 1 and 2 to show the immediate impact of the drought on each source of food and income.

Check whether income exceeds expenditure on maize and beans. Otherwise ignore Table 3 for the moment.

Calculate the household's initial food deficit before coping strategies are taken into consideration.

3. Households' response to the problem

When the contribution of baseline sources of food declines, households try to expand the amount of food they can get from the remaining options, or they seek alternative options. The following coping strategies are typically employed by middle households in bad years:

- Households want to preserve their **livestock assets**. This means they don't want to sell their one remaining cow, especially since that cow is of limited market value due to its deteriorating condition as a result of the prolonged drought.
- Households double the number of days they **collect firewood** (hence doubling the amount of firewood collected). If necessary they take it further to sell so as to get the same price as in a normal year.
- The man looks for **migratory work** earlier and stays away for longer, thereby doubling the food and cash income from migratory labour.
- Households **minimise expenditure** on non-food items during the drought year. They remove their child from secondary school. They also reduce expenditure on other non-staple items to 700 shillings per month. The latter includes small quantities of salt, soap, vegetable oil, tea, and sugar, plus health costs. Clothes and other non-essential items are not purchased in a bad year.
- The household decides to use its remaining income to **purchase** maize alone. They are given **gifts** of beans, in a similar quantity to what they used to buy, by neighbours.
- No gifts of money are received from better-off households in the zone or from relatives living in other parts of Meru or outside the district.

Taking into account the above options for households to expand their food and cash income, calculate, for 2007:

- (a) *the percentage of their food needs they can obtain from each source of income, and enter in Column C of Table 1;*
- (b) *the income they can obtain from each source of income, and enter in Column C of Table 2; and*
- (c) *their expenditure in each category, and enter in Column C of Table 3.*

This should include a calculation of the amount of maize that they could buy if they spent all remaining income, after minimum non-staple expenditure, on maize.

Finally, estimate whether or not middle households are likely to face a food deficit in the drought year. Based on the available information, what recommendations (short-term and long-term) would you make for intervention?

Results Tables

Table 1: Sources of food (as % of annual household food needs)

	Baseline (A)	Initial effect of shock (B)	Final picture (C)
Own crop production – green maize			
Own crop production – harvested maize (minus sales & seed)			
Milk			
Labour exchange			
Purchase – beans			
Purchase – maize			
Gifts			
Total			
Deficit			

Table 2: Sources of income (in shillings)

	Baseline (A)	Initial effect of shock (B)	Final picture (C)
Sale of livestock			
Sale of livestock products			
Sale of own crops			
Labour migration			
Sale of firewood			
Total			

Table 3: Expenditure (in shillings)

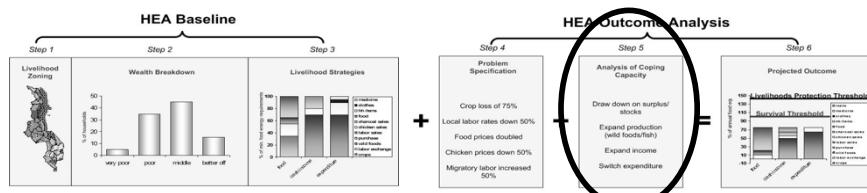
	Baseline (A)	Initial effect of shock (B)	Final picture (C)
Maize			
Beans			
Education			
Other non-staple items			
Total			

End of Session 2.11

MODULE 2: BASELINE ASSESSMENT

Session 12: Coping Strategies

Where do Coping Strategies fit?



The analysis of coping capacity is Step 5 in the Framework. It is necessary to conduct this analysis before carrying out the projected outcome analysis.

Session 12: Coping Strategies

What are Coping Strategies?

Coping strategies are the things that households do to try to increase their food and cash income after a shock or hazard

Session 12: Coping Strategies

Some Typical Coping Strategies

Examples include:

- Increasing livestock sales
- Collecting more wild foods
- Sending more household members to work in town or in the fields of richer households

Session 12: Coping Strategies

Why are Coping Strategies Important in HEA?

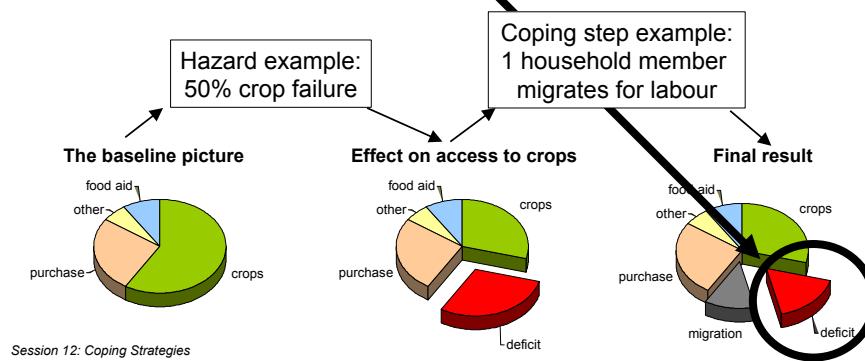
Analysing coping strategies

1. determines how much of a gap is left to be filled by external assistance, and
2. provides monitoring guidance to test and revise a predicted outcome

Session 12: Coping Strategies

Why are Coping Strategies Important in HEA?

Analysing coping strategies determines how much of a gap is left to be filled by external assistance

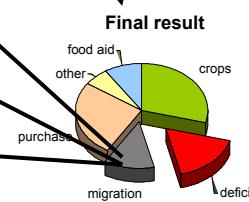


Why are Coping Strategies Important in HEA?

Provides monitoring guidance to test and revise a predicted outcome

- Are people migrating?
- What is happening to daily wages?
- What is happening to food prices?

Coping step example:
1 household member migrates for labour



Session 12: Coping Strategies



How are Coping Strategies Analysed in HEA?

Each coping strategy has a cost attached to it

High cost strategies are discussed in the text of a report, but left out of the projected outcome analysis

Why?

Session 12: Coping Strategies

How are Coping Strategies Analysed in HEA?

Because HEA does not model household behaviour

It helps identify appropriate points of intervention

Session 12: Coping Strategies

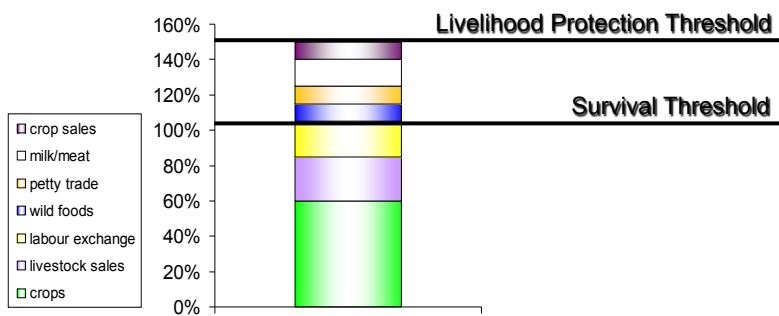
How are Coping Strategies Analysed in HEA?

By leaving a coping strategy out of the projected outcome analysis, we are saying that an intervention should occur before households have to revert to that option (e.g. prostitution, reduced consumption, child labour, etc.)

Session 12: Coping Strategies

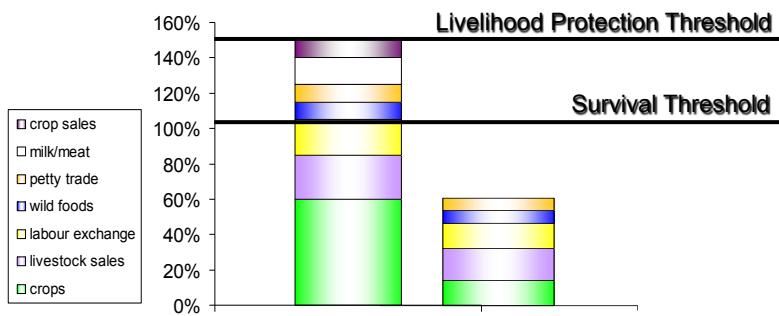
How are Coping Strategies Analysed in HEA?

For example, if this is the baseline picture



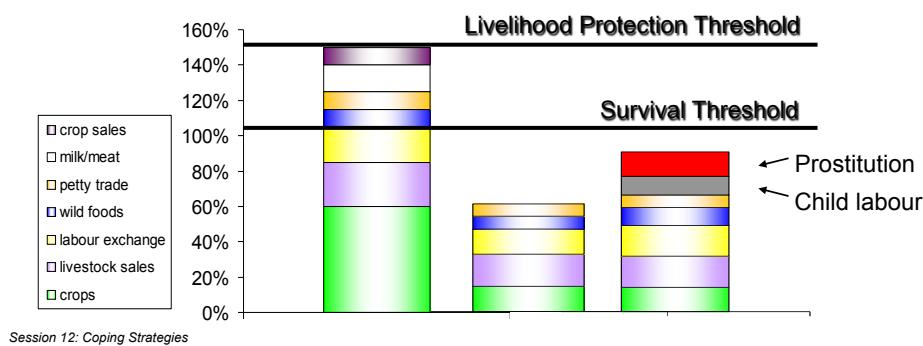
How are Coping Strategies Analysed in HEA?

And this was the initial result of a shock...



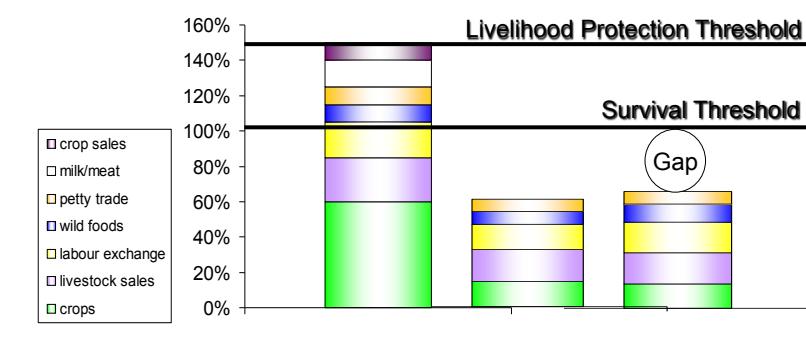
How are Coping Strategies Analysed in HEA?

You would want an intervention to occur before households needed to revert to the last two coping strategies



How are Coping Strategies Analysed in HEA?

So you would leave them out of the projected outcome analysis to show the gap without their inclusion.



Coping Strategies: Cost Categories

Low Cost

- Reduced expenditure on non-essential items
- Harvesting of reserve crops (e.g. cassava, enset)

Session 12: Coping Strategies

Coping Strategies: Cost Categories

Medium Cost

- Increased sale/slaughter of livestock (at sustainable levels to maintain herd viability)
- Intensification of local labour activities
- Short-term/seasonal labour migration
- Intensification of self-employment activities (firewood, charcoal, building poles, etc.)
- Increased remittance income
- Increased social support/gifts
- Borrowing of food/cash
- Sale of non-productive assets (jewellery, clothing, etc.)

Session 12: Coping Strategies

Coping Strategies: Cost Categories

High Cost

Left out of HEA
Projected
Outcome Analysis

- Unsustainable sale/slaughter of livestock
- Long-term/permanent migration (including distress migration of whole households)
- Excessive sale of firewood/charcoal (e.g. because of its effect on the environment)
- Sale/mortgaging of productive assets (land, tools, seeds, etc.)
- Prostitution
- Reduced expenditure on productive inputs (fertilizer, livestock drugs etc.)
- Reduced expenditure on health and education
- Reduced expenditure on water
- Decreased food intake

Session 12: Coping Strategies

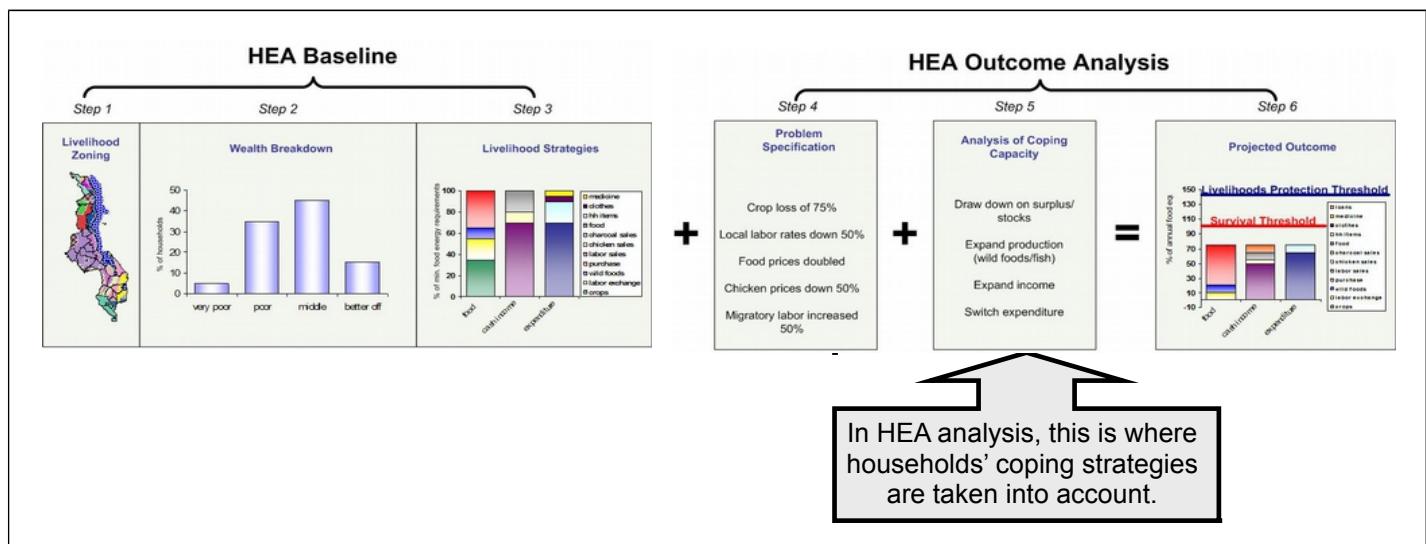
Module 2: Baseline Assessment SESSION 12: COPING STRATEGIES

HANDOUT

What do we mean by ‘coping strategies’?

Coping strategies are the strategies households employ to try and increase their food and cash income after a shock or hazard. Different wealth groups employ different coping strategies, depending on the resources and assets available to them.

Understanding what coping strategies are open to different types of household, and the extent to which these strategies can increase overall food and cash income is important in analysing the overall impact of a shock on households' access to food and cash. It represents the fifth step in the HEA framework – or the final stage in HEA outcome analysis:



Analysis of coping strategies also provides guidance on what to monitor in order to test and revise a predicted outcome. Are people selling more livestock? Are they collecting more wild foods?

HEA explores the range of coping strategies available to different wealth groups in times of food stress. HEA not only lists and quantifies these strategies but also ranks them in the likely sequence they will be employed

Thus, for any particular population group trying to cope with a shock of some kind, the key questions are:

- Which of the existing food and income options can be expanded under current circumstances?
- What additional options can be pursued?
- What effect will these responses have on access to food (i.e. *how much* extra food can be obtained from these different sources)?

In other words, gathering information on people's coping strategies is an attempt to provide a quantified picture of households' ability to diversify and expand access to various sources of food and income, and thus to cope with a specified hazard.

Information on the options open to households when a problem strikes is collected during the baseline study, usually by referring back to previous years and investigating the extent to which particular sources of food or cash could be expanded.

The cost of coping strategies

In HEA, the most important characteristic of a response or coping strategy is its **cost**, where cost is measured in terms of the effect on livelihood assets, on future production by the household, and on the health and welfare of individual household members. Some strategies can be considered **appropriate responses** to local stress. In this context, appropriate means both 'considered a normal response by the local population' and 'unlikely to damage local livelihoods in the medium to longer term'.

In many agricultural areas, for example, it may be usual for one or more household members to migrate for labour when times are hard. Provided the response is not pushed too far (i.e. too many people migrating for too long a period of time), this can be considered an appropriate response to stress. Similarly, in a pastoral setting, it is usual to increase livestock sales in a bad year. This again is an appropriate response - provided the increase in sales is not excessive.

But some strategies have **undesirable or damaging effects** that threaten the sustainability of livelihoods in the medium to longer term. These include selling all productive assets, taking children out of school or entering into prostitution.

Why coping strategies have to be classified in terms of cost

Providing assistance does not always aim solely to prevent outright hunger. It can also aim to preserve assets and to protect livelihoods by helping to minimise the use of damaging response strategies. HEA analysis enables various levels of intervention to be modelled which explicitly either include or exclude particular coping strategies. In other words, it is able to adapt its definition of 'how far people can cope on their own' according to the aim of the intervention. If the aim is to support livelihoods as well as to prevent hunger, strategies which are damaging to livelihoods in the medium or longer term will be excluded from the calculations of the level of assistance needed. The analysis will then indicate a level of assistance which will give households the option of *not* pursuing those high-cost strategies.

Examples of coping strategies and their cost

Stages and types of coping strategies	
Sequence of use	Examples
STAGE 1 Low Cost	<ul style="list-style-type: none"> Reduced expenditure on non-essential items (beer, cigarettes, ceremonies, festivals, expensive clothing, meat, sugar, more expensive staples, etc.) Harvesting of reserve crops (e.g. cassava, enset)
STAGE 2 Medium Cost	<ul style="list-style-type: none"> Increased sale/slaughter of livestock (at sustainable levels to maintain herd viability) Intensification of local labour activities Short-term/seasonal labour migration Intensification of self-employment activities (firewood, charcoal, building poles, etc.) Increased remittance income Increased social support/gifts Borrowing of food/cash Sale of non-productive assets (jewellery, clothing, etc.)
STAGE 3 High Cost <i>Excluded from HEA Outcome Analysis. In other words, an intervention would be recommended to keep households from resorting to these.</i>	<ul style="list-style-type: none"> Unsustainable sale/slaughter of livestock Long-term/permanent migration (including distress migration of whole households) Excessive sale of firewood/charcoal (e.g. because of its effect on the environment) Sale/mortgaging of productive assets (land, tools, seeds, etc.) Prostitution Reduced expenditure on productive inputs (fertilizer, livestock drugs etc.) Reduced expenditure on health and education Reduced expenditure on water Decreased food intake

How is information on coping strategies collected in HEA?

Information on coping strategies is collected during interviews with household representatives using Interview Form 4. Information on coping strategies is recorded in the table reproduced below, which is on the last page of the interview form.

Extract on coping strategies from Interview Form 4 (for interviews with household representatives)

THE SITUATION IN A BAD YEAR (INCLUDING COPING STRATEGIES): How does the situation in a bad year compare to the reference year? Consider differences in each source of food and income (quantified changes in amounts) from the reference year and summarize below. Compare quantities from the same period in the reference year and in the bad year (e.g. compare wet season with wet season or dry with dry). Specify which year in the past is being referred to in order to quantify coping strategies.

Source of food or income	QUANTITY in reference year	QUANTITY in bad year
Example: firewood sales	1 bundle per week	2 bundles per week
Firewood or charcoal sales		
Agricultural labour		
Labour migration		
Labour exchange (payment in food)		
Petty trade		
Cattle sales		
Shoat sales		
Milk and butter sales		
Enset consumption		
Stocks		
Gifts		
Other		

End of Session 2.12

MODULE 2: BASELINE ASSESSMENT

Session 13: Interviewing Dos and Don'ts

Semi-structured Interviews: Dos and Don'ts

DO...

- Be relaxed and open
- Explain clearly who you are and what your objectives are
- Pay attention to the selection of informants

Session 11: Interviewing Dos and Don'ts

Semi-structured Interviews: Dos and Don'ts

DO...

➤ Probe a topic by using:

- what
- when
- where
- who
- why
- how

Session 13: Interviewing Dos and Don'ts

Semi-structured Interviews: Dos and Don'ts

DO...

- Keep track of the story you are being told
- Clarify inconsistencies
- Finish enquiries into one topic before moving on to the next

Session 13: Interviewing Dos and Don'ts

Semi-structured Interviews: Dos and Don'ts

DO...

- Judge and challenge responses: are they fact, opinion or rumour?
- Take a neutral attitude, listen carefully and pay attention to non-verbal signs

Session 13: Interviewing Dos and Don'ts

Semi-structured Interviews: Dos and Don'ts

DO...

- Be prepared for good and bad interviews. If it is going badly, conclude politely and leave

Session 13: Interviewing Dos and Don'ts

Semi-structured Interviews: Dos and Don'ts

DON' T

...

- Don't interrupt informants or each other
- Don't always accept the first answer: probe

Session 13: Interviewing Dos and Don'ts

Semi-structured Interviews: Dos and Don'ts

DON' T

...

- Don't ask leading questions. (Any question that can be answered with a 'yes' or 'no' is a leading question.)
- Don't supply answers for an informant who is hesitating

Session 13: Interviewing Dos and Don'ts

Semi-structured Interviews: Dos and Don'ts

DON' T

- ... ➤Don't take up too much time of an informant who is busy
- Don't dominate proceedings by using inappropriate non-verbal behaviour

Session 13: Interviewing Dos and Don'ts

Semi-structured Interviews: Dos and Don'ts

DON' T

- ... ➤Don't show disapproval or distaste about local conditions or drinks or food offered
- Don't indicate disbelief by criticising or even just smiling

Session 13: Interviewing Dos and Don'ts

Semi-structured Interviews: Dos and Don'ts

DON' T

- ... ➤Don't ask questions that combine two queries: e.g. "Do the poor keep any livestock and what do they use them for?"
- Don't ever make the informant feel cross-examined

Session 13: Interviewing Dos and Don'ts

Semi-structured Interviews: Dos and Don'ts

DON' T

- ... ➤Don't ask about sensitive information in front of a group of onlookers
- Don't miss out on the broader picture because you spend too much time on detail

Session 13: Interviewing Dos and Don'ts

Interview Form 4: Household Representative Interview

District	Livelihood Zone	Village / sub-district
Wealth group	Reference year	Type of year
Interviewers	Date	Number of participants in interview Men _____ Women _____

Procedures

1. **Introduce team and explain objectives of the focus group interview.**
2. **Check that the focus group is made up of people from the **wealth group** you requested – ask them individually to briefly describe their land, livestock, and/or sources of income.**
3. **Explain reference year and ensure interviewees refer to reference year throughout rest of interview.**
4. **Gather information about the **typical household** in this wealth group (e.g. nuclear, extended, polygamous etc.), its size and composition (a), and prepare an **asset profile** for the reference year (b) and (c).**

a) Household/Family size and composition

Number of people in HH living/eating at home daily (include extra dependents)	Number of children at school (boys / girls)	
---	---	--

b) Land holdings profile

Land owned	Land cultivated - total (owned +/- rented / grazing land)	
Unit for measuring land	Land cultivated – food crops	
Any irrigated land?	Land cultivated – cash crops	

c) Livestock profile

Livestock Type:	1.	2.	3.	4.	5. Plough oxen
No. owned at start of reference year					
No. mature females					
No. born during year					
No. sold during year					
No. exchanged during year					
No. slaughtered					
No. died during the year					
No. bought during year					
No. at end of reference year					

Other comments on the household and asset profile

Are there any other productive assets (include number of donkeys, horses, mules, poultry, bee hives, trees, ploughs, vehicles (e.g. bakkie) and any other assets)?

5. LIVESTOCK PRODUCTION (milk, butter, meat, eggs)

¹ Formulas: kg butter = litres milk x 0.0425; kg ghee = litres milk x 0.038

Interview Form 4

Household Representative Interview

6. FOOD AND CASH FROM CROP PRODUCTION: Obtain quantified information on all food sources for a typical household in this wealth group in the reference year (remind participants of the specific year you are interested in). .

Own crop production: SEASON 1

Crop (food crops, cash crops, vegetables, residues)	Unit of measure and weight	Quantity produced	When	Quantity sold / exch.	Price sold per unit	Cash income	Other use ²	Balance consumed (in kg)	% of Hh food needs
Total crop food & income →									

Own crop production: SEASON 2

Crop (food crops, cash crops, vegetables, residues)	Unit of measure and weight	Quantity produced	When	Quantity sold / exch.	Price sold per unit	Cash income	Other use*	Balance consumed (in kg)	% of Hh food needs
Total crop food & income →									

²'Other uses' for crops include: seed, payment for labour, repayment of loans, gifts (to other households, church, funerals, etc.), brewing, stored until next year

7. PURCHASE AND EXCHANGE of staple and non-staple FOOD for consumption (not for trade)

Commodity (e.g. cereals, pulses, oil, sugar, meat)	Unit of measure and weight	Quantity purchased	Frequency (per week or month)	Duration (number of weeks or months)	When (which months?)	Total Kilos purchased	% of annual Hh food needs	Price per unit	Total cost
Purchased food & cost total →									

8. LABOUR EXCHANGE - payment in food (BUT NOT FOOD FOR WORK)

Activity	Unit of work (e.g. day, hectare)	Number of people doing this activity	Frequency (per week or month)	Duration (no. of weeks or months)	When (which months?)	Payment per unit of work	Total kilos received per year	Other use	Balance consumed	% of annual Hh food needs
Labour exchange total →										

9. RELIEF (including free distributions and food-for-work) / GIFTS / LOANS / TARGETED FEEDING (food)

110. WILD FOODS, FISH AND GAME

111. OTHER FOOD SOURCES (e.g. stocks carried over from previous year)

Commodity	Quantity	Other use	Other use	Balance consumed	% of HH food needs

12. CASUAL LABOUR / EMPLOYMENT / MIGRANT WORK CASH

Activity / income source ³	Unit of work (e.g. day, acre)	Number of people doing this activity	Frequency (per week or month)	Duration (no. of weeks or months)	When (which months?)	Payment per unit of work	Receives lunch / cooked meal?	Total cash income per year
Total →								

13. SELF-EMPLOYMENT / SMALL BUSINESS / TRADE

Activity / income source ⁴	Unit of measure (e.g. bundle, sack, period)	Number of people doing this activity	Frequency (per week or month)	Duration (no. of weeks or months)	When (which months?)	Price or Profit per unit sold	Total cash income per year
Total →							

³ Checklist: agricultural labour (clearing fields, preparing land, planting seeds, weeding, harvesting, threshing), construction, brick making, skilled casual labour (e.g. carpentry), salaried employment, domestic work, livestock herding, pension, remittances).

⁴ Checklist for self-employment: collection of firewood, charcoal, grass, handicrafts, brewing. Checklist for small business and trade: petty trade, trade, rental/hire, kiosks and shops.

14. SOCIAL GRANTS

Activity / income source	Unit of measure (e.g. period)	Number of people benefitting	Frequency (per week or month)	Duration (no. of weeks or months)	When (which months?)	Price or Profit per unit sold	Total cash income per year
Total →							

15. OTHER CASH INCOME SOURCES - GIFTS / LOANS / REMITTANCES

Activity / income source	Unit of measure (e.g. period)	Number of people doing this activity	Frequency (per week or month)	Duration (no. of weeks or months)	When (which months?)	Price per unit sold	Total cash income per year
Total →							

16. SUMMARY OF REFERENCE YEAR SOURCES OF FOOD AND CASH INCOME**SOURCES OF FOOD**

		Crop production	Livestock production (milk/meat)	Purchase and exchange	Labour exchange	Relief	Gifts and loans	Wild foods	Other	TOTAL
Calculated (%)										

SOURCES OF CASH INCOME

		Sale of crop production	Sale of livestock and livestock products	Labour, employment and remittances	Self-employment, small business, trade	Other income	TOTAL
Calculated (cash)							

16. EXPENDITURE PATTERNS: Obtain quantified information on the main expenditure items for a typical household in this wealth group in the reference year (remind participants of the specific year you are interested in). Some categories are suggested below. Remember to ask about **seasonal variations** in expenditure.

NOTE: This section should not be completed in every wealth group interview because it is very time consuming. Two interviews with the poor wealth group and one each with the middle and better off should be sufficient.

Main Expenditure Categories	Typical Annual Amount Spent			
	Quantity (unit) purchased [a]	Frequency purchased [b]	Price per unit [c]	Total = [a] x [b] x [c]
Main food items	→	copy total from page 4, section 7 →		→
Other food item:				
Other food item:				
Household items				
Tea/coffee				
Salt				
Soap				
Coal/paraffin/electricity				
Grinding of grain				
Water				
Firewood/charcoal				
Utensils/pots				
Inputs				
Livestock drugs				
Water for animals				
Land rental				
Ploughing				
Seeds				
Tools				
Agricultural inputs				
Agricultural labour				
Business investment				
Livestock investment				
Social services				
School (fees,uniform,etc)				
Medicine				
Other expenditure				
Clothing				
Taxes				
Beer				
Cigarettes/tobacco				
Community obligations				
Transport				
Communications (airtime)				
Festivals				
Other				
EXPENDITURE TOTAL (REMINDER: cross check with total income) →				

Expenditure on which of these items can be reduced in a bad year? By how much (quantify)?

17. THE SITUATION IN A BAD YEAR (INCLUDING COPING STRATEGIES): How does the situation in a bad year compare to the reference year? Consider differences in each source of food and income (quantified changes in amounts) from the reference year and summarize below. Compare quantities from the same period in the reference year and in the bad year (e.g. compare wet season with wet season or dry with dry). Specify which year in the past is being referred to in order to quantify coping strategies.

Source of Food or income	QUANTITY in reference year	QUANTITY in bad year
Example: firewood sales	1 bundle per week	2 bundles per week
Firewood or charcoal sales		
Agricultural labour		
Labour migration		
Labour exchange (payment in food)		
Petty trade		
Cattle sales		
Shoat sales		
Milk and butter sales		
Stocks		
Gifts		
Other		

18. If this group is a good source of information, and if there is enough time, you can complete a short **WEALTH BREAKDOWN** (see Community Level Interview format).

19. See your **NON-FOOD** checklist for additional questions you may want to ask this wealth group.

20. **DEVELOPMENT PRIORITIES:** What are the mid-term priorities to strengthen food security?

QUALITY OF INTERVIEW (confidence of informants, knowledge of area, consistency of information, etc):

Module 2: Baseline Assessment

SESSION 13: HOUSEHOLD REPRESENTATIVE INTERVIEWS**Mock Interview Answers - Household Representatives Interview**

District	Livelihood Zone Southern Limpopo Open Access Cattle & Crops Livelihood Zone	Village / sub-district
Wealth group Very poor	Reference year April 2013 - March 2014	Type of year
Interviewers	Date	Number of participants in interview Men _____ Women _____

Procedures

1. **Introduce team and explain objectives of the focus group interview.**
2. **Check that the focus group is made up of people from the wealth group you requested – ask them individually to briefly describe their land, livestock, and/or sources of income.**
3. **Explain reference year and ensure interviewees refer to reference year throughout rest of interview.**
4. **Gather information about the typical household in this wealth group (e.g. nuclear, extended, polygamous etc.), its size and composition (a), and prepare an asset profile for the reference year (b) and (c).**

a) Household/Family size and composition

Number of people in Hh living/eating at home daily (include extra dependents)	Woman, husband, 3 children	Number of children at school (boys / girls)	2
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b) Land holdings profile

Land owned	One and a half acres	Land cultivated - total (owned +/- rented / grazing land)	One and a half acres
Unit for measuring land	Acre	Land cultivated – food crops	1 acre
Any irrigated land?	No	Land cultivated – cash crops	Half acre

c) Livestock profile

Livestock Type:	1. Goats	2.	3.	4.	5. Plough oxen
No. owned at start of reference year	4				
No. mature females					
No. born during year	4				
No. sold during year	1				
No. exchanged during year	0				
No. slaughtered	2				
No. died during the year	1				
No. bought during year	0				
No. at end of reference year	4				

Other comments on the household and asset profile

Are there any other productive assets (include number of donkeys, horses, mules, poultry, bee hives, trees, enset stems, ploughs, and any other assets)?

10-15 chicken/ducks

5. LIVESTOCK PRODUCTION (milk, butter, meat, eggs)

occasions

- OTHER INCOME FROM LIVESTOCK:**
 - Sale of livestock (e.g. cows, goats, sheep, chickens), livestock rental, oxen fattening,
 - other livestock products (e.g. hides)

1 goat sold

$\text{O}_{\text{AL}} \text{ Income} = \frac{\% \text{ kJ}}{\text{AL}}$

1 Formulas: kg butter = litres milk x 0.0425; kg ghee = litres milk x 0.038
h2.13 Handout 2 - Mock Interview Answers.doc

6. FOOD AND CASH FROM CROP PRODUCTION: Obtain quantified information on all food sources for a typical household in this wealth group in the reference year (remind participants of the specific year you are interested in). .

Own crop production: SEASON 1

Crop (food crops, cash crops, vegetables, residues)	Unit of measure and weight	Quantity produced	When	Quantity sold / exch.	Price sold per unit	Cash income	Other use ²	Balance consumed (in kg)	% of Hh food needs
Green maize	3-4 weeks' consumption		April	0	-				
Maize	Sack – 105 kg	1	May/June	0	-				
Maize	Tin – 17.5 kg	1	May/June	0	-		Seed	0	
Sorghum	Sack – 105 kg	2	June	0	-				
Sorghum	Tin – 17.5 kg	1	June	0	-		Seed	0	
Total crop food & income →									

Own crop production: SEASON 2

Crop (food crops, cash crops, vegetables, residues)	Unit of measure and weight	Quantity produced	When	Quantity sold / exch.	Price sold per unit	Cash income	Other use*	Balance consumed (in kg)	% of Hh food needs
Cassava	Can't quantify – but 80% of Hh food between Aug and Oct		3 months, August-October						
Pulses	Tin	7 tins	July	2	R 7,000 each		½ tin kept for seed	4½ tins	
Simsim	Sack	1 sack	July	1	R 60,000 each				
Simsim	Tin	1 tin	July	0			½ tin kept for seed	½ tin	
Cashews	Tin	2 tins	July	2	R 10,000 each				
Green vegetables	Can't quantify		December - May				About ½ kg per day		
Total crop food & income →									

² 'Other uses' for crops include: seed, payment for labour, repayment of loans, gifts (to other households, church, funerals, etc.), brewing, stored until next year

7. PURCHASE AND EXCHANGE of staple and non-staple FOOD for consumption (not for trade)

Commodity (e.g. cereals, pulses, oil, sugar, meat)	Unit of measure and weight	Quantity purchased	Frequency (per week or month)	Duration (number of weeks or months)	When (which months?)	Total kilos purchased	% of annual Hh food needs	Price per unit	Total cost
Maize or sorghum	sack	<i>Between ½ and one sack per month</i>			<i>Between December and March</i>				R 10,000
Salt	kg	1 kg per week	Every week					R 250	
Purchased food & cost total →									

8. LABOUR EXCHANGE - payment in food (BUT NOT FOOD FOR WORK)

Activity	Unit of work (e.g. day, hectare)	Number of people doing this activity	Frequency (per week or month)	Duration (no. of weeks or months)	When (which months?)	Payment per unit of work	Total kilos received per year	Other use	Balance consumed	% of annual Hh food needs
Agricultural labour usually for cash, not food										
Labour exchange total →										

9. RELIEF (including free distributions and food-for-work)/ GIFTS / LOANS / TARGETED FEEDING (food)

Description	Quantity (and unit of measure)	Frequency (per week or month)	Duration (weeks or months)	When (which months?)	Total received	Quantity sold	Price per unit sold	Food income	Other use (e.g. gifts, exchange)	Balance consumed	% of Hh food needs
Gifts											
Relief											
Total →											

10. WILD FOODS, FISH AND GAME

Description	Quantity (and unit of measure)	Frequency (per week or month)	Duration (weeks or months)	When (which months?)	Total collected	Quantity sold	Price per unit sold	Cash income	Other use (e.g. gifts, exchange)	Balance consumed	% of Hh food needs
<i>Ming'oko - root crop like cassava, which is a preferred food</i>		5 tins over the course of a normal year		November - March	5 tins						
No fish - no nearby rivers											
Total →											

11. OTHER FOOD SOURCES (e.g. stocks carried over from previous year)

Commodity	Quantity	Other use	Other use	Balance consumed	% of Hh food needs

12. CASUAL LABOUR / EMPLOYMENT / MIGRANT WORK IN CASH

Activity / income source ³	Unit of work (e.g. day, acre)	Number of people doing this activity	Frequency (per week or month)	Duration (no. of weeks or months)	When (which months?)	Payment per unit of work	Receives lunch / cooked meal?	Total cash income per year
Agricultural - clearing	Day	1	2 days per week	2 months	August - September	R 500		
Agricultural - planting	Day	1	2 days per week	2 months	November - December	R 500		
Agricultural - weeding	Day	1	2 days per week	2 months	January - February	R 500		
Total →								

13. SELF-EMPLOYMENT / SMALL BUSINESS / TRADE

Activity / income source ⁴	Unit of measure (e.g. bundle, sack, period)	Number of people doing this activity	Frequency (per week or month)	Duration (no. of weeks or months)	When (which months?)	Price or Profit per unit sold	Total cash income per year
Varies by household e.g.							
Firewood sales	Bundle	1	1-2 bundles per week	4 months	December - March	R 500 per bundle	
Or other households may do small petty trade, gaining roughly same amount of income as agricultural labour							
Total →							

³ Checklist: agricultural labour (clearing fields, preparing land, planting seeds, weeding, harvesting, threshing), construction, brick making, skilled casual labour (e.g. carpentry), salaried employment, domestic work, livestock herding, pension, remittances).

⁴ Checklist for self-employment: collection of firewood, charcoal, grass, handicrafts, brewing. Checklist for small business and trade: petty trade, trade, rental/hire, kiosks and shops.

14. SOCIAL GRANTS

Activity / income source	Unit of measure (e.g. period)	Number of people benefitting	Frequency (per week or month)	Duration (no. of weeks or months)	When (which months?)	Price or Profit per unit sold	Total cash income per year
Total →							

15. OTHER CASH INCOME SOURCES - GIFTS / LOANS / REMITTANCES

Activity / income source	Unit of measure (e.g. period)	Number of people doing this activity	Frequency (per week or month)	Duration (no. of weeks or months)	When (which months?)	Price per unit sold	Total cash income per year
Total →							

15. SUMMARY OF REFERENCE YEAR SOURCES OF FOOD AND CASH INCOME**SOURCES OF FOOD**

Calculated (%)	Crop production	Livestock production (milk/meat)	Purchase and exchange	Labour exchange	Relief	Gifts and loans	Wild foods	Other	TOTAL

SOURCES OF CASH INCOME

Calculated (cash)	Sale of crop production	Sale of livestock and livestock products	Labour, employment and remittances	Self-employment, small business, trade	Other income	TOTAL

16. EXPENDITURE PATTERNS: Obtain quantified information on the main expenditure items for a typical household in this wealth group in the reference year (remind participants of the specific year you are interested in). Some categories are suggested below. Remember to ask about **seasonal variations** in expenditure.

NOTE: This section should not be completed in every wealth group interview because it is very time consuming. Two interviews with the poor wealth group and one each with the middle and better off should be sufficient.

Main Expenditure Categories	Typical Annual Amount Spent			
	Quantity (unit) purchased [a]	Frequency purchased [b]	Price per unit [c]	Total = [a] x [b] x [c]
Main food items	→	copy total from page 4, section 7 →	→	
Other food item:				
Other food item:				
Household items				
Tea/coffee				
Salt				
Soap	1 bar per week		R 250	
Coal/paraffin/electricity	1 litre paraffin/mo		R 500	
Grinding of grain				
Water				
Firewood/charcoal				
Utensils/pots				
Inputs				
Livestock drugs				
Water for animals				
Land rental				
Ploughing				
Seeds				
Tools	2 tools at R 1,000 each			
Agricultural inputs				
Agricultural labour				
Agric farming loan				
Business investment				
Livestock investment				
Social services				
School (fees,uniform,etc)	Fees: R 1,000 per child per term for primary school [2 children in school, 3 terms per year]			
	Uniform: R 1,000 per child per year			
	Notebooks/pencils etc: R 200 per child per term			
Medicine	2 illnesses per person per year at R 500 per illness			
Other expenditure				
Clothing	R 10,000 per year for whole household			
Taxes	R 1,000 per adult man per year			
Beer				
Cigarettes/tobacco				
Community obligations				
Transport				
Communications (airtime)				
Festivals				
Other				
EXPENDITURE TOTAL (REMINDER: cross check with total income) →				

Expenditure on which of these items can be reduced in a bad year? By how much (quantify)?

17. THE SITUATION IN A BAD YEAR (INCLUDING COPING STRATEGIES): How does the situation in a bad year compare to the reference year? Consider differences in each source of food and income (quantified changes in amounts) from the reference year and summarize below. Compare quantities from the same period in the reference year and in the bad year (e.g. compare wet season with wet season or dry with dry). Specify which year in the past is being referred to in order to quantify coping strategies.

Source of Food or income	QUANTITY in reference year	QUANTITY in bad year
Example: firewood sales	1 bundle per week	2 bundles per week
Firewood or charcoal sales		
Agricultural labour		
Labour migration		
Labour exchange (payment in food)		
Petty trade		
Cattle sales		
Shoat sales		
Milk and butter sales		
Stocks		
Gifts		
Other		

18. If this group is a good source of information, and if there is enough time, you can complete a short **WEALTH BREAKDOWN** (see Community Level Interview format).

19. See your **NON-FOOD** checklist for additional questions you may want to ask this wealth group.

20. **DEVELOPMENT PRIORITIES:** What are the mid-term priorities to strengthen food security?

QUALITY OF INTERVIEW (confidence of informants, knowledge of area, consistency of information, etc):

Additional information**Proportional piling: sources of food**

- Own crops 60-70%
- Purchase 25-35%
- Livestock 0-5%
- Wild food 0-5%

Proportional piling: sources of cash

- Crop sales 60-75% (subdivided: simsim (sesame) 60-70%, pulses 5-15%)
- Agric. Labour 15-20%
- Livestock sales 1-10%
- Other 5-15%

Module 2: Baselines Assessment

SESSION 13 HANDOUT 3: KILOJOULE TABLE

Representative energy values of different foods: kJ per kg of food (kcal values incl. for reference)					
	kJ	kcal		kJ	kcal
Cereals			Sugars		
barley	14190	3390	sugar	16750	4000
bulgur wheat	14650	3500	soft drinks, commercial	1880	450
maize, white, whole	15200	3630			
maize meal, refined 60-80%	15070	3600	Meat, poultry, eggs, fish		
millet flour	15280	3650	beef, mod fat	9840	2350
millet, whole grain	15200	3630	beef, lean	8460	2020
oats	16240	3880	goat meat	6070	1450
pasta	14320	3420	pork, lean	15530	3710
rice, parboiled, lightly milled	14820	3540	Poultry (body)	5820	1390
rolled oats	15200	3630	poultry (feet)	9000	2150
sorghum	14860	3550	eggs	6620	1580
sorghum flour	14780	3530	fish, dried	12940	3090
teff, whole grains	14440	3450	fish, fresh	3980	950
wheat, whole	14400	3440			
wheat flour	14570	3480	Fruit		
			apple	2550	610
Roots and tubers	kJ	kcal	avocado	6910	1650
cassava flour	14320	3420	banana	4860	1160
cassava, fresh	6410	1530	citrus	2220	530
plantain, ripe, raw	5360	1280	mango	2640	630
potato raw	3140	750	papaya	1630	390
sweet potato, pale raw	4770	1140			
taro	4730	1130	Dairy		
yam, flour	13270	3170	milk, cow whole	2680	640
yam, fresh	4350	1040	milk, goat whole	2970	710
			Yoghurt, sweetened, low fat	4000	955
Grain legumes	kJ	kcal	DSM vit A-enriched	14860	3550
beans, dried	14190	3390			
cowpeas, dried	14240	3400	Oils and fats		
lentil, dried	14190	3390	butter	31190	7450
soya bean, dried	15990	3820	ghee	34670	8280
			margarine	32030	7650
Vegetables	kJ	kcal	vegetable oil	37680	9000
leaves, dark green	2010	480			
leaves, medium green	1170	280	Other		
leaves, light green	960	230	beer, local	1470	350
maize, immature on cob	5150	1230	honey	11970	2860
onions	2010	480			
pumpkin	1510	360	Nuts and seeds		
butternut	1670	400	groundnut, dried	24240	5790
tomato	840	200	groundnuts, fresh	13900	3320
			pumpkin seeds (no coat)	25540	6100
Prepared foods (typical values)	kJ	kcal			
McDonalds "Big Mac" burger	11180	2670	Processed foods		
Fried chicken (KFC original recipe)	7540	1800	baked beans	3310	790
Chips (shoestring)	13020	3110	polony	13200	3152
Chips (regular)	12980	3100	bread (commercial white)	11220	2680
Steak and kidney pie	11470	2740	bread (commercial whole wheat)	10320	2464

Module 2: Baseline Assessment

Session 2: Conducting Interviews with Household Representatives

HANDOUT 4 – INTERVIEWING DOS AND DON’TS

Dos and don'ts for semi-structured interviews	
Dos	Don'ts
<ul style="list-style-type: none">➤ Be relaxed and open.➤ Explain clearly who you are and your objectives.➤ Probe a topic by using the 6 helpers: what, when, where, who, why and how.➤ Use the key probes: Why? What do you mean? Can you tell me more about that? Anything else?➤ Keep track of the story you are being told. Is it consistent? Clarify inconsistencies.➤ Finish enquiries into one topic before moving on to the next. But also follow the flow of the conversation, keeping a track of leads so that you can follow these up later.➤ Judge and challenge responses: are they fact, opinion or rumour? Have you understood correctly? Ask yourself what qualifies the informant to know this.➤ Evaluate the reliability of the interview.➤ Take a neutral attitude, listen carefully and pay attention to non-verbal signs.➤ Pay attention to the selection of informants. Use participatory maps or wealth rankings to ensure homogeneous groups.➤ Be open-minded.➤ Be prepared for good and bad interviews. If it is going badly, conclude politely and leave.	<ul style="list-style-type: none">➤ Don't interrupt informants or each other.➤ Don't accept the first answer: probe all topics.➤ Don't ask leading questions. Any question that can be answered with a 'yes' or 'no' is a leading question.➤ Don't supply answers for an informant who is hesitating.➤ Don't dominate proceedings by using inappropriate non-verbal behaviour.➤ Don't take up too much time of an informant who is busy.➤ Don't show disapproval or distaste about local conditions or drinks or food offered.➤ Don't indicate disbelief by criticising or even just smiling.➤ Don't ask questions that combine two queries: e.g. "Do the poor keep any livestock and what do they use them for?"➤ Don't ever let the informant feel cross-examined➤ Don't ask about sensitive information in front of a group of onlookers➤ Don't miss out on the broader picture because you spend too much time on detail

And especially, in interviews with household representatives of wealth groups:

1. **Do cross-check calculations** during the interview:
 - Add up *total food intake* to make sure you have found close to the minimum 8800 kJ per person per day.
 - Add up *total income* and *total expenditure* to make sure these are similar to one another.
2. **Probe** to make sure you have a clear answer to each question which makes sense in the context of other information you have to hand, for example on crop yields, milk yields and seasonal activities (gained from seasonal calendars).

How to tell if things are going badly wrong

- Information is not being volunteered readily.
- One person is dominating the discussion and refusing to allow others to participate.
- When you cross-check, things do not become clearer, and contradictions get worse.
- If the information were true, the informants would be dead.
- Members of the group cannot reach a consensus.

What to do if things are going badly wrong

- Check again who is in the group. Sometimes problems arise because participants come from different wealth groups. In this case, reform the group, or even continue the interview with one participant only.
- Sometimes explaining that things are not making sense - and that you will disregard the data if this continues - can lead to a change of attitude by the respondents.
- If things are really bad, give up as soon as politely possible and move on to the next interview.

End of Session 2.13

End of Session 2.14

Module 2: Baselines Assessment

SESSION 15 HANDOUT: KILOJOULE TABLE

Representative energy values of different foods: kJ per kg of food (kcal values incl. for reference)					
	kJ	kcal		kJ	kcal
Cereals			Sugars		
barley	14190	3360	sugar	16750	4000
bulgur wheat	14650	3500	soft drinks, commercial	1880	450
maize, white, whole	15200	3630			
maize meal, refined 60-80%	15070	3600	Meat, poultry, eggs, fish		
millet flour	15280	3650	beef, mod fat	9840	2350
millet, whole grain	15200	3630	beef, lean	8460	2020
oats	16240	3880	goat meat	6070	1450
pasta	14320	3420	pork, lean	15530	3710
rice, parboiled, lightly milled	14820	3540	poultry (body)	5820	1390
rolled oats	15200	3630	poultry (feet)	9000	2150
sorghum	14860	3550	eggs	6620	1580
sorghum flour	14780	3530	fish, dried	12940	3090
teff, whole grains	14440	3450	fish, fresh	3980	950
wheat, whole	14400	3440			
wheat flour	14570	3480	Fruit		
			apple	2550	610
Roots and tubers	kJ	kcal	avocado	6910	1650
cassava flour	14320	3420	banana	4860	1160
cassava, fresh	6410	1530	citrus	2220	530
plantain, ripe, raw	5360	1280	mango	2640	630
potato raw	3140	750	papaya	1630	390
sweet potato, pale raw	4770	1140			
taro	4730	1130	Dairy		
yam, flour	13270	3170	milk, cow whole	2680	640
yam, fresh	4350	1040	milk, goat whole	2970	710
			Yoghurt, sweetened, low fat	4000	955
Grain legumes	kJ	kcal	DSM vit A-enriched	14860	3550
beans, dried	14190	3390			
cowpeas, dried	14240	3400	Oils and fats		
lentil, dried	14190	3390	butter	31190	7450
soya bean, dried	15990	3820	ghee	34670	8280
			margarine	32030	7650
Vegetables	kJ	kcal	vegetable oil	37680	9000
leaves, dark green	2010	480			
leaves, medium green	1170	280	Other		
leaves, light green	960	230	beer, local	1470	350
maize, immature on cob	5150	1230	honey	11970	2860
onions	2010	480			
pumpkin	1510	360	Nuts and seeds		
butternut	1670	400	groundnut, dried	24240	5790
tomato	840	200	groundnuts, fresh	13900	3320
			pumpkin seeds (no coat)	25540	6100
Prepared foods (typical values)	kJ	kcal			
McDonalds "Big Mac" burger	11180	2670	Processed foods		
Fried chicken (KFC original recipe)	7540	1800	baked beans	3310	790
Chips (shoestring)	13020	3110	polony	13200	3152
Chips (regular)	12980	3100	bread (commercial white)	11220	2680
Steak and kidney pie	11470	2740	bread (commercial whole wheat)	10320	2464

End of Session 2.15

MODULE 2: BASELINE ASSESSMENT

Session 16: Storing Baseline Data

How is Baseline Data Stored?

Baseline data is stored using the
Baseline Storage Sheet

Session 16: Storing Baseline Data

What is the Baseline Storage Sheet?

The **Baseline Storage Spreadsheet** is a simple Excel spreadsheet that enables field teams to enter, check and analyze individual interview data in the field.

Session 16: Storing Baseline Data

What is the Baseline Storage Sheet?

It is also the basic tool that field teams use to analyze and summarize all the field data during the interim and final data analysis sessions.

Session 16: Storing Baseline Data

What is the Baseline Storage Sheet?

It has space to record the results from two levels of interview:

- community level
- household representative

Session 16: Storing Baseline Data

What is the advantage of using the Baseline Storage Sheet?

The Baseline Storage Spreadsheet:

- encourages active checking and cross-checking of data by the field teams
- facilitates rapid on-the-spot analysis, so that any inconsistencies or questions can be resolved by the field teams before they leave the survey area

Session 16: Storing Baseline Data

Cross-checks built into the Baseline Storage Sheet

First, the summary of total food for a wealth group must equal at least 90% of 8800 kJ ppd

WEALTH GROUP	SUMMARY			
	BASELINE			
	Very Poor	Poor	Middle	B/Off
Food Summary: total (%)	92%	93%	93%	109%
crops	36%	55%	73%	91%
livestock products	0%	0%	2%	6%
payment in kind	0%	0%	0%	0%
purchase	51%	38%	18%	12%
food aid	5%	0%	0%	0%
gifts, other	0%	0%	0%	0%
Income Summary: total (birr pa)	3230	3643	3980	3988
crop sales	118	390	560	1147
livestock product sales	162	293	450	751
livestock sales	91	540	1220	2070
employment (e.g. labour) + remittances	515	370	0	0
self-employment (e.g. firewood)	294	0	0	0
safety nets	750	750	0	0
other	1300	1300	1750	0
Expenditure Summary: total (birr pa)	3213	3429	3932	3936
staple food	1429	1048	528	215
non-staple food	92	132	211	452

Session 16: Storing Baseline Data

Cross-checks built into the Baseline Storage Sheet

Second, income must at least cover expenditure

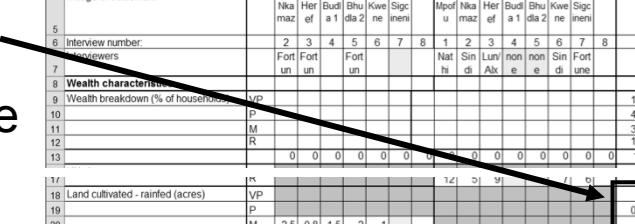
WEALTH GROUP	SUMMARY			
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food aid	5%	0%	0%	0%
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Expenditure Summary: total (birr pa)	3213	3429	3932	3936
staple food	1429	1048	528	215
non-staple food	92	132	211	452

Session 16: Storing Baseline Data

Cross-checks built into the Baseline Storage Sheet

Third, trends across wealth groups are checked.

E.g.
Acres
culti-
vated
increase
with
wealth



A	B	AB	AC	AD	AE	AF	AG	AH	AI	AJ	AK	AL	AM	AN	AO	AP	AQ	AR	AS
1 LIVELIHOOD ZONE																			
2																			
3 WEALTH GROUP	M	M	M	M	M	M	B/O	B/O	B/O	B/O	B/O	B/O	B/O	B/O	B/O				
4 District																	mid-point	range	
5 Village or settlement	Nka maz	Her eft	Budl dia 1	Bhu dia 2	Kwe ne	Sigc ineni	Mpf u	Nka maz	Her eft	Budl dia 1	Bhu dia 2	Kwe ne	Sigc ineni						
6 Interview number:	2	3	4	5	6	7	8	1	2	3	4	5	6	7	8				
7 Householders	Fort un	Fort un	Fort un				Nat hi	Sin di	Lun Alk	non e	non e	Sin di	Fort une						
8 Wealth characteristics	P	P	P																
9 Wealth breakdown (% of households)	13.0	10	15																
10	40.0	20	45																
11	30.0	20	35																
12	17.0	15	20																
13	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	100	65	115	
14	R	P	P																
15	0.5	0.25	0.75																
16	0.75	0.5	1																
17	M	2.5	0.8	1.5	2	1													
18	R	1.5	1	2															
19		1.5	1	2															
20		1.5	1	2															
21		1.5	1	2															

Session 16: Storing Baseline Data

Cross-checks built into the Baseline Storage Sheet

Trends across wealth groups are checked. (cont.) For example:

- Herd size should increase with wealth
- Other asset holdings should increase with wealth
- Yield per acre may increase with wealth

Session 16: Storing Baseline Data

Cross-checks built into the Baseline Storage Sheet

Fourth, the balance between supply and demand can be checked:

For instance,
land rented in
must balance
with land rented
out

Wealth breakdown	rented out		rented in	
	per HH	total/ 100 HHs	per HH	total/ 100 HHs
VP	15.0%	3	45	
P	35.0%	1	35	
M	35.0%		1	35
R	15.0%		3	45
total	100.0%	80		80

Session 16: Storing Baseline Data

Cross-checks built into the Baseline Storage Sheet

Fourth, the balance between supply and demand can be checked:

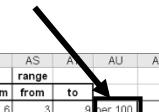
And local ag.
labour income for
the poorer should
more or less match
exp. on labour for
the better off

3 WEALTH GROUP	A				BASELINE
	Very Poor	Poor	Middle	B/Off	
847 Cross checks					
848 (1) Labour payments					
849 % households	20%	30%	35%	15%	
850 income from local labour	240	205	0	0	
851 income per 100 HHs, by wealth group	4800	6150	0	0	
852 total income per 100 HHs	10950				
853 expenditure on local labour	0	0	150	250	
854 expenditure per 100 HHs, by wealth group	0	0	5250	3750	
855 total expenditure per 100 HHs	9000				

Session 16: Storing Baseline Data

Cross-checks built into the Baseline Storage Sheet

Fifth, a herd dynamics cross-check is built into the spreadsheet



A	B	C	D	E	F	G	H	I	J	AI	AJ	AK	AL	AM	AN	AO	AP	AR	AS	AV	AU	AV	AW
	Community interviews								Wealth Group Interviews														
										B/O	summ	range	from	to									
94 Cattle: total owned at start of year	B/O	10	6	8	6	10	15	6.5	6	3	4	3	5	9	4	3	4	6	3	9	per 100	6.0	16
95 adult females	B/O	4.5	2	2.5	2	4	11	3.5	2	2	2	1	2	3	6	1	2	3	1	5	50	2.8	16
96 no born during year	B/O								2	1	1	1	3	3	1	2	2	1	3	33	1.7	8	
97 no. sold	B/O								2	1	0	1	0	2	1	1	0	2	17	1.0	8		
98 no. slaughtered	B/O								0	0	0	0	0	0	0	0	0	0	0	0	0	0.0	8
99 no. died	B/O								1	0	0	0	0	3	0	0	0.25	0	0.5	4	0.2	8	
100 no. bought	B/O								1	0	0	1	0	0	1	0	0	0	0	0	0	0.3	8
101 no. at end of reference year	B/O								3	4	4	5	9	4	4	5	6.75	4	9	113	4.3	8	

Session 16: Storing Baseline Data

What is the process for entering data?

Individual interviews are entered as follows:

1. During the interview, the field interviewer completes own calculations
2. That evening, the team leader enters data into the Baseline Storage Sheet

Session 16: Storing Baseline Data

What is the process for entering data?

Individual interviews are entered as follows:

3. The Baseline Storage Sheet *automatically calculates total food and cash income and total expenditure* for immediate comparison with the pencil-and-paper calculations of the interviewer

Session 16: Storing Baseline Data

What is the process for entering data?

The next step is to *summarise the results for each wealth group.*

Two types of comparison are then made:

- a) *individual interview results within each wealth group; and*
- b) *trends across wealth groups.*

Session 16: Storing Baseline Data

What is the process for entering data?

A final cross-check of the results should then be carried out by an experienced supervisor who was not a member of the field team. This can be done either in the field (by a roving supervisor) or at a centralised post-field work analysis session.

Session 16: Storing Baseline Data

Module 2: Baseline Assessment

SESSION 16: STORING BASELINE DATA

HANDOUT - INTRODUCTION TO THE BASELINE STORAGE SHEET

What is the Baseline Storage Sheet?

- The Baseline Storage Sheet is a simple Excel spreadsheet that is used to document and cross-check each interview and to facilitate post-field work analysis.
- It enables field teams to **enter, check and analyse** individual interview data during preliminary data analysis.
- It is also the basic tool that field teams use to analyse and summarise field data during the interim and final data analysis sessions.
- It is designed to record the results from two levels of interview: those undertaken with **community representatives**, and those undertaken with **household representatives** of different wealth groups.

Why is the Baseline Storage Sheet important in baseline analysis?

It is a key tool for **storing data in the field** and **maintaining data quality**. This is because it:

- Encourages *active checking and cross-checking* of data by the field teams themselves;
- Facilitates *rapid on-the-spot analysis*, so that any inconsistencies or questions can be resolved by the field teams before they leave the survey area;
- *Minimizes data entry errors*, while at the same time speeding up the processing of basic field data;
- Provides a *permanent record* of individual interview results and the analyses completed by the field teams, so that these can be checked by a supervisor at a later date.

How is individual interview data processed?

The field interviewer completes their own calculations of the results by *pencil and paper*. This is done very rapidly at the time of the interview itself (so that interviewers can keep track of progress during the interview) and in more detail the evening after the interview. This encourages the interviewer to re-examine the results and to identify any questions for clarification and follow-up the next day.

These calculations also form the basis of a cross-check at the next stage – *data entry*. Data entry is the responsibility of the team leader, who enters the detailed data from that day's interviews each evening.

The Baseline Storage Sheet *automatically calculates total food income, total cash income and total expenditure* for immediate comparison with the pencil-and-paper calculations of the interviewer. This checks both the calculations of the interviewer and the data entry of the team leader.

What cross-checks does the Baseline Storage Sheet carry out or facilitate?

The spreadsheet performs a number of calculations that form the basis of key household economy cross-checks:

- **Calculation of total food access.** If this is less than 90% of minimum food energy needs, and people clearly did not starve in the reference year, then more questions need to be asked and clarification obtained.
- **Calculation and comparison of total cash income and expenditure.** If these are very different, then further follow-up is required to resolve the apparent inconsistency.
- **Calculation of rates of off-take for each type of livestock** (i.e. the percentage of the herd sold and slaughtered in the reference year). This can be compared with a set of reference values; again any major deviation signals the need for further follow-up in the field.
- **A cross-check on labour payments**, which determines whether the amount of money reportedly earned by poorer wealth groups roughly balances with the amount that the better-off report paying for labour.
- **A cross-check on agricultural productivity.** This compares the production per unit area obtained by different wealth groups, to check that trends are consistent across wealth groups (and are consistent with reported rates of input use, etc.).

At what stage should these checks be carried out?

The first three of these checks are useful at the level of the *individual interview* (and when summarising the overall results for each wealth group). The last two are used during the *interim and final analyses* to check the consistency of results across wealth groups and for the livelihood zone as a whole.

How should the Baseline Storage Sheet be used?

1. The first step in using the Baseline Storage Sheet is to *enter the data from the individual interviews*.
2. The next step is to *summarise the results for each wealth group*. The layout of the Baseline Storage Sheet facilitates two types of comparison:
 - a) a comparison of *individual interview results within each wealth group*; and
 - b) an analysis of *trends across wealth groups*.

In each case the spreadsheet facilitates the process of *identifying outlying results* and *identifying the central value* to be taken as representative of the wealth group as a whole.

3. A final cross-check of the results should then be carried out by an experienced supervisor who was not a member of the field team. This can be done either in the field (by a roving supervisor) or at a centralised post-field work analysis session.

End of Session 2.16

MODULE 2: BASELINE ASSESSMENT

Session 17: Analysing Baseline Data

When is Baseline Data Analysed?

Baseline data is analysed at three different stages in the assessment process

Session 17: Analysing Baseline Data

When is Baseline Data Analysed?

First level of analysis

Rapid calculations →
during the interview

- To check the interview for:**
- Reasonableness
 - Completeness
 - Internal consistency

Session 17: Analysing Baseline Data

When is Baseline Data Analysed?

Second level of analysis

Standardised calculations →
after the interview

- To make sure the information is :**
- Calculated in a standardised way
 - Accessible to others on the team
 - Made into an available record

Session 17: Analysing Baseline Data

When is Baseline Data Analysed?

Third level of analysis

**Summarisation
during interim
and final
analysis on all
interviews**



- To build an overall picture which :***
- ***Accurately represents typical households of each wealth group***
- ***Is based on good quality individual interviews***

Session 17: Analysing Baseline Data

Steps in the Analysis

Start with the wealth breakdown.....

Aim	The Wealth Breakdown
Source	Use the information from your <u>community leader</u> and <u>household representative</u> interviews
Procedure	Prepare a picture of each wealth group including characteristics such as land/livestock holding, labour, etc.

Session 17: Analysing Baseline Data

Steps in the Analysis

Wealth Breakdown Procedure - details

Prepare a picture of the typical characteristics of each wealth group including ranges and midpoints for:

- hh size (labour availability)
- land area cultivated
- livestock holdings
- other key factors (skills, capital, social standing, access to credit, etc.)
- % of hh in the wealth group

Session 17: Analysing Baseline Data

Steps in the Analysis

Then move on to food/income/expenditure

Aim

Livelihood Strategies

Source

Use the information from your household representative interviews

Procedure

Put together a picture of food, income and expenditure that is typical for each wealth group

Session 17: Analysing Baseline Data

Steps in the Analysis

Start with one wealth group, usually the ‘very poor’ or ‘poor’, and complete from beginning to end

OR

Work on all wealth groups at the same time, starting with the first topic on the spreadsheet (food and income from livestock) and moving down sequentially

Livelihood Strategies Procedure - details

Session 17: Analysing Baseline Data

Steps in the Analysis

Either way you must ensure consistency within each wealth group and across wealth groups

Session 17: Analysing Baseline Data

Deriving mid-points and ranges

1. List individual results	2. Sort from lowest to highest	3. Exclude the lowest and highest values; take an avg of remaining values	4. Define the range based upon the 2nd lowest and highest values.
28	21	21	21
32	28	28]	28 ◀
38	28	28	28 Range: 25-40
38	32	32 avg = 33	32 (to include
42	35	35 mid-	35 2nd lowest
35	38	38 point = 32.5	38 and highest
21	38	38]	38 ◀ values)
28	42	42	42

Session 17: Analysing Baseline Data

Thinking things through

CAUTION: Analysis is not just about calculating mid-points and ranges....

Each set of data needs to be reviewed to decide how much 'weight' to give it based on:

- Location-specific factors (e.g. atypical village close to road, with irrigated land, etc.)

Session 17: Analysing Baseline Data

Thinking things through

CAUTION: Analysis is not just about calculating mid-points and ranges....

Each set of data needs to be reviewed to decide how much 'weight' to give it based on:

- Differences within the wealth group (e.g. upper versus lower end of the middle group)

Session 17: Analysing Baseline Data

Thinking things through

CAUTION: Analysis is not just about calculating mid-points and ranges....

Each set of data needs to be reviewed to decide how much 'weight' to give it based on:

- Variations in reliability – some interviews are simply better than others, and greater weight should be attached to information derived from these.

Session 17: Analysing Baseline Data

Cross checking the results

There are two categories of HEA cross-checks:

1. Internal Consistency
2. External Consistency

Session 17: Analysing Baseline Data

Cross checking the results

1. Internal Consistency

Session 17: Analysing Baseline Data

Cross checking the results

1. Internal Consistency

Four main checks		
1.	Food ‘income’ in reference year should add up to	= at least 90% of 8800 kJ per person per day
2.	Cash income should add up to	= Expenditure

Session 17: Analysing Baseline Data

Cross checking the results

1. Internal Consistency

Four main checks		
3.	Trends across wealth groups should pass test of ‘reasonableness’: <ul style="list-style-type: none"> • Does crop production increase with wealth group (in agricultural area)? • Does income increase with wealth group? • Does expenditure on food decrease with wealth group? 	

Session 17: Analysing Baseline Data

Cross checking the results

1. Internal Consistency

Four main checks	
	Supply and demand should balance, for example: <ul style="list-style-type: none">• Number of ag. labour days ‘sold’ by poor should balance with expenditure on agricultural labour by rich• Land rented out should balance with land rented in
4.	

Session 17: Analysing Baseline Data

Cross checking the results

2. External Consistency

Session 17: Analysing Baseline Data

Cross checking the results

2. External Consistency

These are in relation to secondary information, for example:

1.	Compare prices reported locally	to crop yields reported by the Ministry of Agriculture
2.	Compare household size	To census data

Session 17: Analysing Baseline Data

Cross checking the results

2. External Consistency

These are in relation to secondary information, for example:

3.	Compare price data obtained locally	to official price information

Session 17: Analysing Baseline Data

What if things don't add up?

Questions to review if things don't add up:

1. Has the household size been overestimated (perhaps by including members who spend the year elsewhere) or underestimated?
2. Did you collect information on food and acquisition by ALL household members (men, women and youths)?

Session 17: Analysing Baseline Data

What if things don't add up?

Questions to review if things don't add up:

3. What about food and income sources that are often missed (e.g. beer, tea with sugar, payment in kind for food, support from relatives to cover health or education expenses, remittances)?

Session 17: Analysing Baseline Data

What if things don't add up?

Questions to review if things don't add up:

4. Have any food or income sources been double counted? Is the amount of work included in the analysis physically possible given the number of people in the household and the number of days in a year?

Session 17: Analysing Baseline Data

Module 2: Baseline Assessment

SESSION 17: ANALYSING BASELINE INFORMATION

HANDOUT 1 – ANALYSING BASELINE INFORMATION

One of the features of HEA baseline information gathering is that data collected in the field is analysed and reviewed on the spot. This is important because:

- It allows the information to be checked and cross checked, and gaps in the information to be identified and followed up

In addition:

- It allows new leads to be shared and avenues of further enquiry developed.
- Team members can share their experiences so that the most effective approaches can be used by all

Stages of baseline analysis

There are three stages to HEA baseline analysis:

Preliminary analysis

<i>When is it done?</i>	During and immediately after each interview
<i>What does it involve?</i>	Rapid calculations and cross-checks
<i>Who does it?</i>	The interviewers themselves, cross-checked by the team leader

Interim analysis

<i>When is it done?</i>	Roughly half way through the fieldwork (e.g. after the first 4 sets of community and wealth group interviews have been completed).
<i>What does it involve?</i>	Compiling and quickly running through the results obtained so far. The main purpose of the interim analysis is to identify key questions and issues for follow-up in the field. It takes about a day.
<i>Who does it?</i>	The whole team together

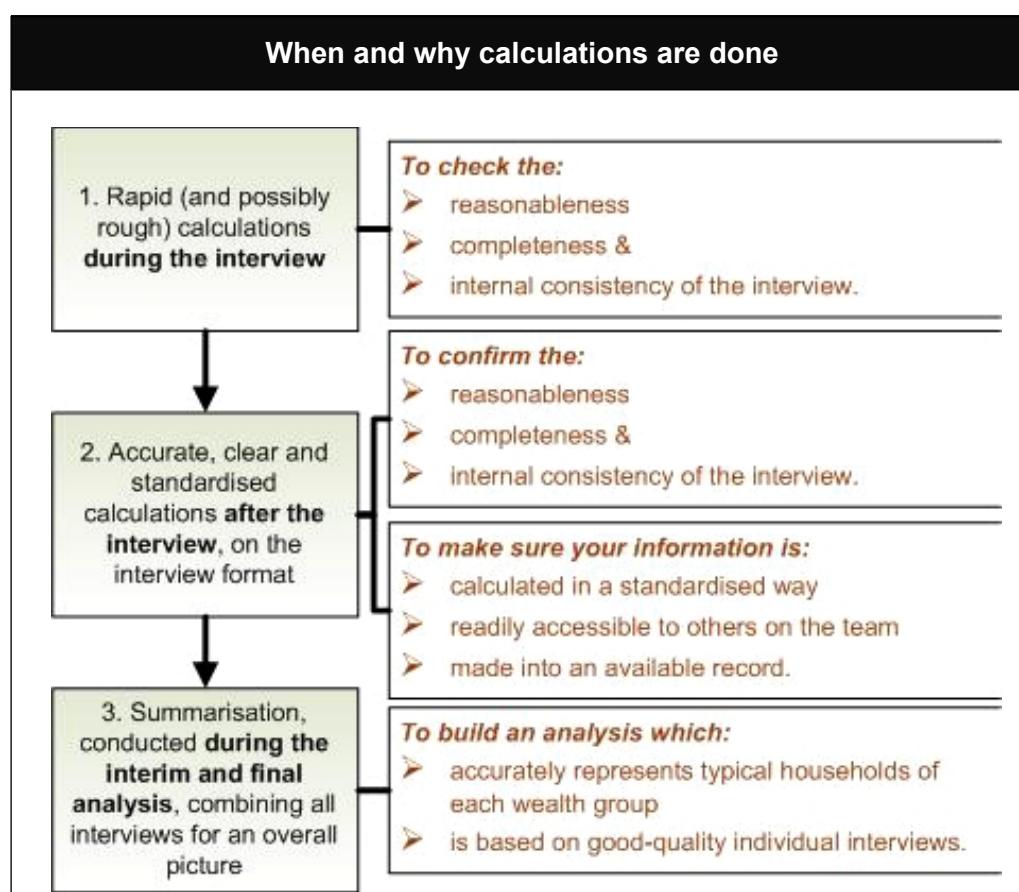
Examples:

- If the first wealth breakdowns indicate an unusually high percentage of poor households in the livelihood zone, this is the time to ask whether this is a fair reflection of the situation in the zone, or if it is a reflection of the way the teams are posing the wealth breakdown questions.
- If the amount of cash income obtained from one source (e.g. firewood) is relatively high, make sure there is an explanation for this (e.g. strong demand from a neighbouring urban market). Otherwise, additional follow-up in the field is needed.

Final analysis

<i>When is it done?</i>	After all the interviews have been completed
<i>What does it involve?</i>	Compiling the findings from the various interviews (district, market, community and wealth group), summarising the results and completing a series of cross-checks. The most time-consuming parts of the final analysis are the compilation of the wealth breakdown and the analysis of food, income and expenditure for each of the wealth groups. Other tasks include finalisation of the seasonal calendar and the preparation of bullet points for the livelihood zone profile.
<i>Who does it?</i>	The whole team together

When and why calculations are done at the different stages of analysis



Summarising results

Levels of precision

It is not appropriate to report results to a very high level of precision. Taking the wealth breakdown as an example, it is not appropriate to report that 33.2% of households are poor

(even if that is the average of the results obtained). This is too high a level of precision given the data available. Instead, it is preferable to report the results as a range, such as 30%-35% or 25%-40%.

Estimating the mid-point and ranges

Although results included in reports will generally be presented in ranges, a single central value - referred to here as the mid-point - will also be required for the many calculations in baseline analysis. *The Practitioners' Guide to HEA* suggests a standard procedure for estimating a single central value from a limited amount of data, and for deriving a range around this central value or mid-point.

In order to avoid excessive precision in the reporting of individual data, it is usual to round the calculated mid-point either up to down, i.e. to the nearest whole value, or to the nearest 5%. The table below, reproduced from the *Practitioner's Guide to HEA*, provides suggestions for possible mid-points and ranges for different results.

Suggested ranges and mid-points for use in HEA			
1. The Wealth Breakdown			
	Round the mid-point to the nearest:	Set the range to a minimum of:	Examples: mid-point and range in brackets
	2.5%	5%	2.5% (0%-5%) 7.5% (5%-10%) 15% (10%-20%) 37.5% (30%-45%)
2. Other results			
Result:	Round the mid-point to the nearest:	Set the range to a minimum of:	Examples: mid-point and range in brackets
0-10	0.5	1	milking cows: 0.5 (0-1) land owned (ha): 3 (2-4) household size: 6 (5-7)
10-25	1 or 2.5	2	goats: 11 (10-12) sheep: 15 (14-16) chickens: 17.5 (15-20)
25-50	2.5	5	27.5 (25-30) 30 (25-35) 45 (40-50)
50-100	5	10	55 (50-60) 85 (70-100)
100 and above	10 or 25	20	130 (120-140) 160 (150-170) 225 (200-250)

Reviewing results

The process of summarising the data from a rapid assessment is more than just a process of automatic calculation. Rather, it is one of critically reviewing each set of data to decide how much 'weight' to give each result. This can mean excluding more than the highest and lowest values (or could mean excluding fewer than two values, depending upon circumstances). There are many reasons for assigning different weights to different results, including:

- Location-specific factors (e.g. atypical village close to road, with irrigated land, etc., in an area where these attributes are relatively uncommon)
- Differences in wealth group being described (e.g. upper versus lower end of the 'middle' group)
- Variations in reliability – some interviews are simply better than others, and greater weight should be attached to information derived from these.

Cross checking

Crosschecks are extremely important to ensure that the information gathered in the field is internally consistent and consistent with secondary information.

Checks for internal consistency

The assumptions governing internal checks are that:

1. **Food intake** should, in most reference years, add up to roughly 8800 kJ per person per day.
2. **Income** should equal **expenditure**.
3. **Trends across wealth groups** should pass a test of 'reasonableness':
 - Does total production increase with wealth group?
 - Does cash income increase with wealth group?
 - Does the proportion of expenditure on staple food decrease with increasing wealth?
 - Does the percentage of off-farm versus on-farm income change consistently across wealth group?
4. **Supply and demand factors** should be consistent. Examples include:
 - Number of days of agricultural labour 'sold' by the poor should equal the number of days 'bought' by the better-off.
 - Land rented out by poor should equal land rented in by the better-off.
 - Gifts received by the poor should be the same as the gifts given by the better-off.
 - Livestock borrowed by the poor should equal livestock loaned by the better-off.

Checks for external consistency

These checks are made to ensure information gathered in interviews is consistent with information from secondary sources. Some examples include:

- *Crop yields*: how do yields reported at the village level compare with Ministry of Agriculture yields?
- *Household size*: how do reported household sizes compare to census figures?
- *Livestock herd composition and herd dynamics*: how does this compare with what is expected?

If things do not add up, check:

- Is the level of food intake physically possible (vs. observation)?

- Has the household size been overestimated (perhaps by including members who spend all or part of the year elsewhere)?
- Did the team collect information on food and acquisition by ALL household members (men, women and youths)?
- What about food and income sources that are often missed (e.g. beer, tea with sugar, payment in kind for work, support from relatives to cover health or education expenses, remittances)?

Module 2: Baseline Assessment

SESSION 17: ANALYSING BASELINE INFORMATION

HANDOUT 2 – CROSS CHECKING EXERCISES

There are a number of things that can be cross-checked during the baseline analysis to ensure that the information collected in interviews is internally consistent. The aim of the following exercises is to give you the opportunity to practise identifying the different cross checks that can be done and the calculations involved.

1. Income and expenditure cross checks

The extract below from a Baseline Storage Sheet shows summary data for four wealth groups in the Dry Middleveld Livelihood Zone in Swaziland. What cross checks could you do on the data shown?

Note that the results of the calculations that are carried out automatically in the Baseline Storage Sheet have been deleted here, for the purposes of the exercise.

	A	AI	AL	AM	AN	AO	C
1	TITLE OF ASSESSMENT	Dry Middleveld					
2	SUMMARY						
3	WEALTH GROUP	BASELINE					
4	Region	Very Poor	Poor	Middle	B/Off	C	
5	Chiefdom						
10	Food: total (%)						
11	crops	27%	27%	38%	59%		
12	livestock products	0%	0%	8%	10%		
13	payment in kind	10%	12%	0%	0%		
14	purchase	28%	30%	61%	47%		
15	food aid	22%	22%	0%	0%		
16	gifts, other	13%	12%	11%	5%		
17	Income: total (maloti pa)						
18	crop sales	0	78	627	850		
19	livestock product sales	0	0	0	0		
20	livestock sales	0	2300	5600	5200		
21	employment (e.g. labour) +	1160	1050	6740	33300		
22	self-employment (e.g. brewing)	1320	1590	1200	0		
23	petty trade	400	800	1440	3600		
24	other	0	0	0	0		
25	Expenditure: total (maloti pa)						
26	staple food	663	899	2646	1434		
27	non-staple food	444	794	1626	5352		
28	HH items	454	596	1538	2710		
29	water	0	0	0	0		
30	inputs	120	425	2350	4000		
31	social serv.	660	1520	2900	8000		
32	clothes	150	250	650	1500		
33	transport	150	300	600	3000		
34	beer and tobacco	50	150	400	2600		
35	other	165	870	2620	13000		
36	staple/total income						
37	income minus expenditure						
38	Wealth characteristics						

2. Labour cross-check (i)

Background: A baseline HEA assessment is being carried out in the Sidama coffee livelihood zone (population about 182,000, with an average household size of 7). Wealth breakdowns show that the very poor make up about 15% of the population, and the poor about 25%. Lots of very poor households report that one household member (the man) typically works for three months of the year (October – December) at a coffee pulping station.

Further enquiry shows that there are 79 coffee pulping stations in the zone, each employing between 70 and 100 casual workers.

Question: Check how many people this casual work could support. Is it possible for most very poor households to obtain income from this source?

Tip: Use the type of cross check in which you imagine that there are 100 households in the livelihood zone, falling into the wealth groups according to their percentages.

3. Labour cross-check (ii)

The following exercise involves another kind of cross check on casual labour, this time on the work carried out by the poor and very poor groups for the middle and better-off groups.

Background: Imagine there are 100 households in the livelihood zone, falling into the wealth groups according to their percentages. The very poor and poor provide labour; the middle and better off employ labour. In this zone, there isn't much in-migration and most of the labour is supplied and employed locally. It is therefore possible to cross-check the total amount earned by the very poor and poor against the total amount spent by the middle and better off.

Question: Using figures from the table below, calculate whether the total amount earned by the very poor and poor is roughly consistent with the total amount spent by the middle and better off.

Labour cross check				
Wealth group	Very poor	Poor	Middle	Better off
Number of households	15	25	40	20
Labour status	Work	Work	Employ	Employ
Birr earned or spent per household	560	370	100	600

4. Land rental cross-check

Background: In another livelihood zone, poor households rent out their land to middle and better off households. The areas of land owned and cultivated by different wealth groups is shown in the table below.

Land rental cross check			
Wealth group	Poor	Middle	Better off
Number of households	50	30	20
Land owned per household (in timads)	3.5	4	4
Land cultivated per household	1	6	7.5

Question: Using the data in the table, check that the *total* land rented out and the *total* land rented in balances within the livelihood zone.

5. Production cross-check: sweet potato

Background: The team in another livelihood zone wants to cross-check the crop production information they have for sweet potatoes. Some of the data they have is shown in the following table. In addition, the local agricultural expert has told them that the yield for sweet potatoes is about 1,750 kg per *timad* for all wealth groups.

Sweet potato production				
Wealth group	Very poor	Poor	Middle	Better off
Total area cultivated (<i>timads</i>)	0.75	1.25	2.25	4.5
Est. % land planted with sweet potatoes	30%	30%	20%	10%

Question: How would you use these figures to cross check with other production data obtained from interviews with household representatives?

6. Income cross-check: coffee

Background: The team also want to cross check figures on coffee income calculated from production data with figures on coffee income obtained in interviews with household representatives. The data they have on coffee production is shown in the table below.

Coffee production (dry processed)				
Wealth group	Very poor	Poor	Middle	Better off
Number of bushes	12.5	25	50	90
Yield per bush (kg)	0.9	1.0	1.1	1.2

Coffee price per kg = 4.5 birr / kg

Question: How would you use these figures to do a cross-check with income data obtained in interviews with household representatives?

End of Session 2.17

MODULE 2: BASELINE ASSESSMENT

Session 18: Understanding Agricultural Production Systems

Key components of Agricultural Economy



Food crop production



Cash crop production

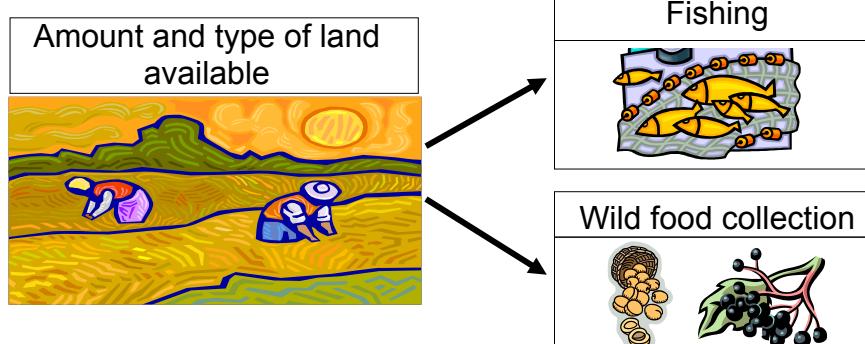


Livestock production



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Key components of Agricultural Economy



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Key components of Agricultural Economy

Land pressure often results in the accumulation of land in the hands of wealthier members because poorer households tend to lack the labour and capital to farm big tracts of land

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Key components of Agricultural Economy

To be **better off** means to own productive assets, like livestock and land, and to make some profit off your production

To be **poorer** means to work for others

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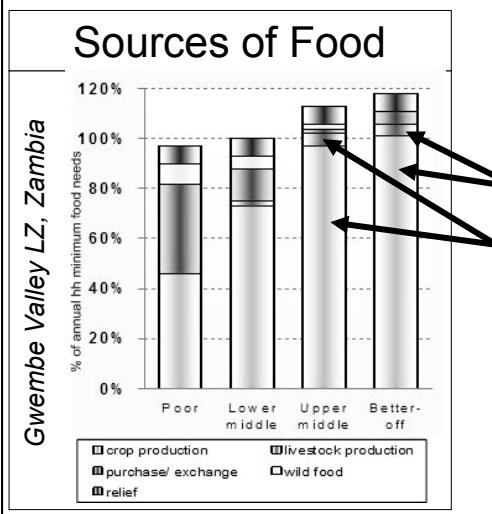
Key components of Agricultural Economy

This means that poorer households **need to buy** the food and other essentials that they do not produce

The cash economy is therefore critical to a study of rural economy

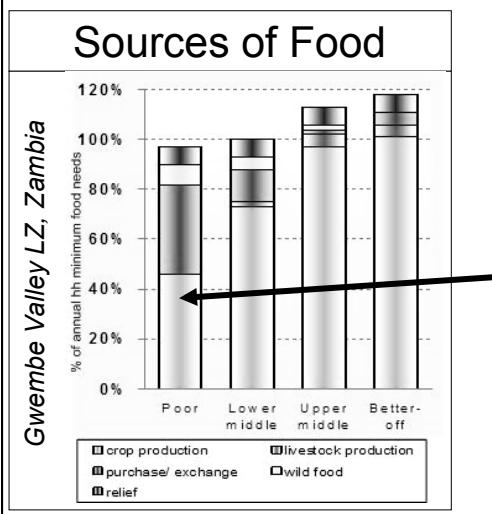
Session 18: Understanding Agricultural Production Systems

Some Common Themes



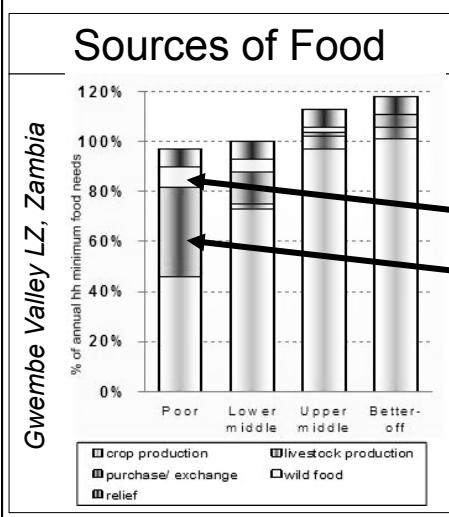
The upper two groups are self-sufficient: their own production (crops and livestock) covers basic food needs

Some Common Themes



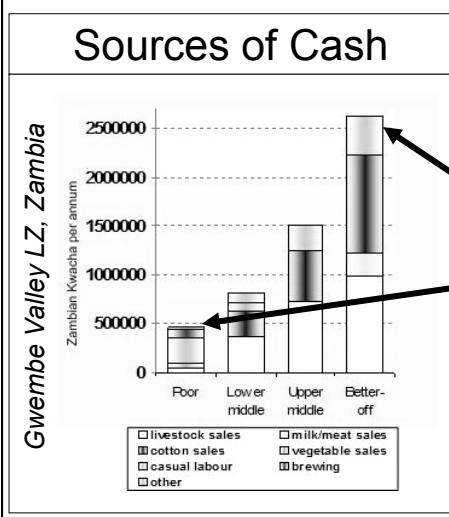
The poor can not cover even half of their food needs with their own production

Some Common Themes



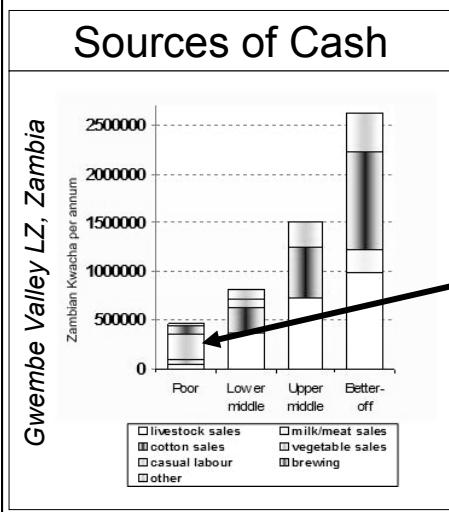
They purchase over a third of their own food and collect wild foods to cover a portion of the remainder

Some Common Themes



There is a more than 5-fold difference between the earnings of the poor and the better off

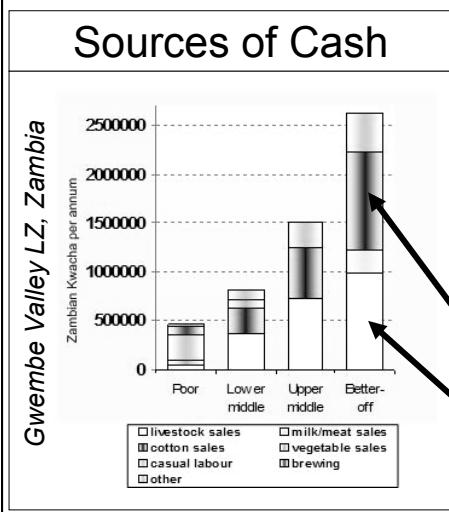
Some Common Themes



Sources of income differ substantially:

The poor work for others and are ‘self-employed’ (*brewing, firewood sales, handicrafts, etc.*)

Some Common Themes



Sources of income differ substantially:

The better off make money from sales of the things they produce: crops, milk/meat, livestock

Some Common Themes

Sources of Cash

Income Group	Livestock Sales	Cotton Sales	Casual Labour	Milk/Meat Sales	Vegetable Sales	Brewing
Poor	~40,000	~10,000	~10,000	~10,000	~10,000	~10,000
Lower middle	~100,000	~20,000	~20,000	~20,000	~20,000	~20,000
Upper middle	~200,000	~30,000	~30,000	~30,000	~30,000	~30,000
Better-off	~300,000	~40,000	~40,000	~40,000	~40,000	~40,000

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The determinants of wealth here are:

- Ownership of livestock
- &
- The capacity to produce cash crops profitably**

Some Common Themes

Sources of Cash

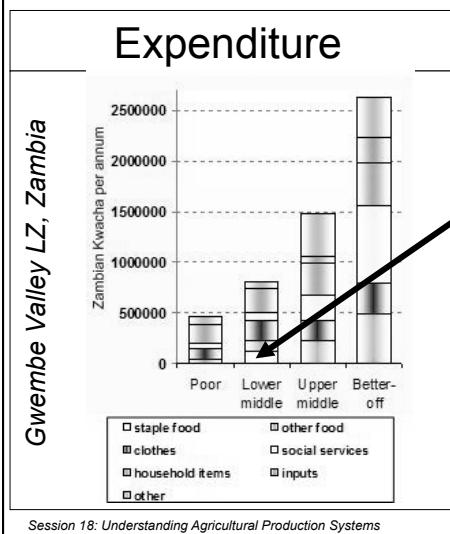
Income Group	Livestock Sales	Cotton Sales	Casual Labour	Milk/Meat Sales	Vegetable Sales	Brewing
Poor	~40,000	~10,000	~10,000	~10,000	~10,000	~10,000
Lower middle	~100,000	~20,000	~20,000	~20,000	~20,000	~20,000
Upper middle	~200,000	~30,000	~30,000	~30,000	~30,000	~30,000
Better-off	~300,000	~40,000	~40,000	~40,000	~40,000	~40,000

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Inter-dependence is a critical factor

- The poor could not survive without being hired by the better off
- The better off would not profit from their production without the labour of the poor

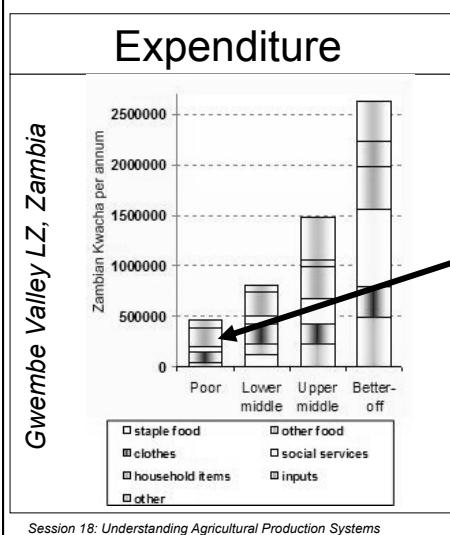
Some Common Themes



Only lower middle hhs purchase staple foods

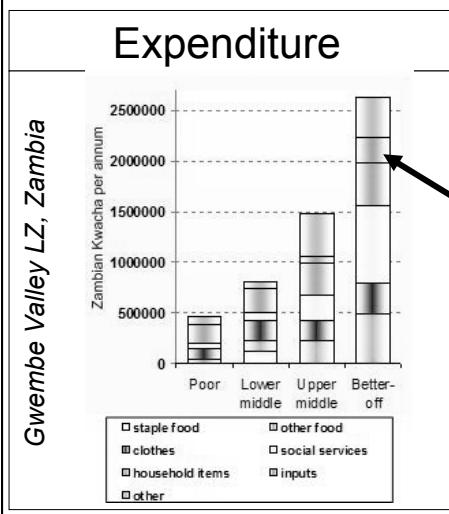
The poor work for food **in kind** and the wealthier hhs produce enough of their own staples not to need to purchase

Some Common Themes



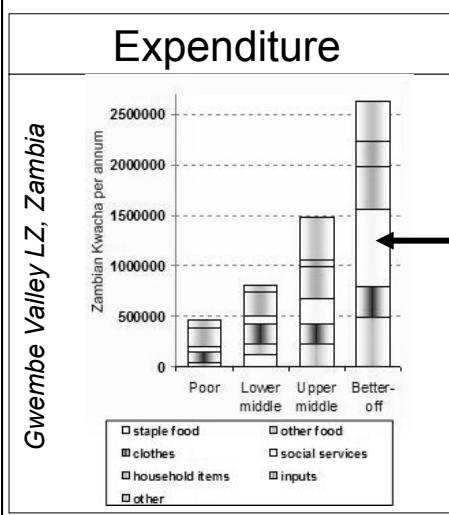
The poor spend much of their cash on household items: salt, soap, kerosene, milling, etc.

Some Common Themes



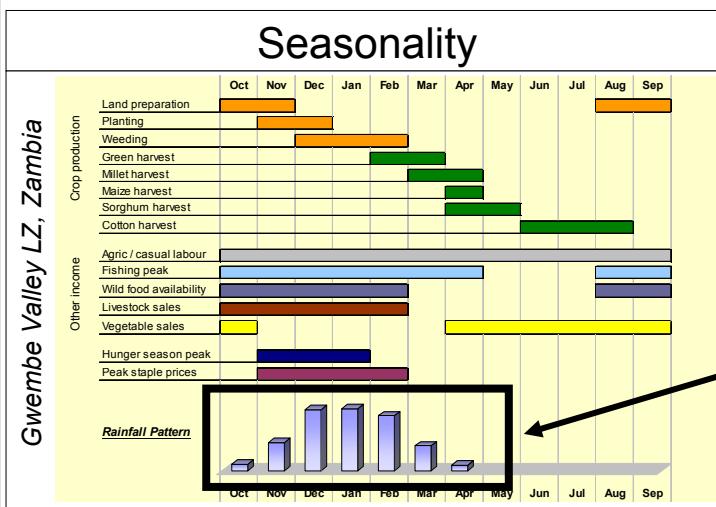
The wealthier you are the more you spend on agricultural inputs

Some Common Themes



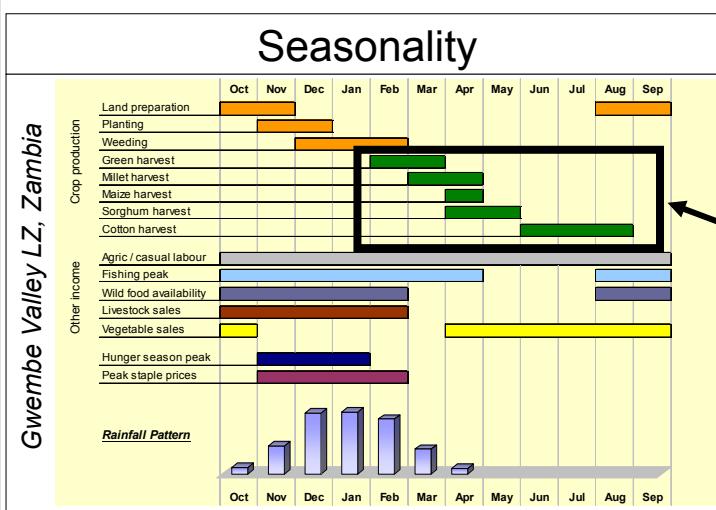
The better off spend significantly more on social services, and especially **education**. Poor households can barely afford to cover primary school.

Some Common Themes



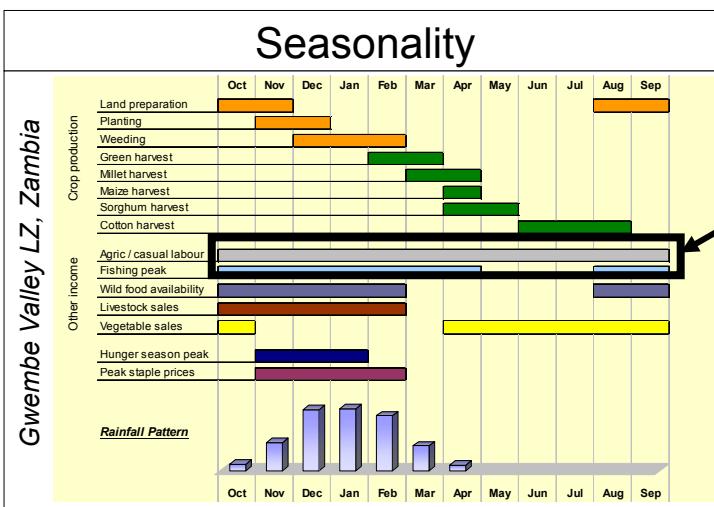
A single rainy season must be taken full advantage of

Some Common Themes



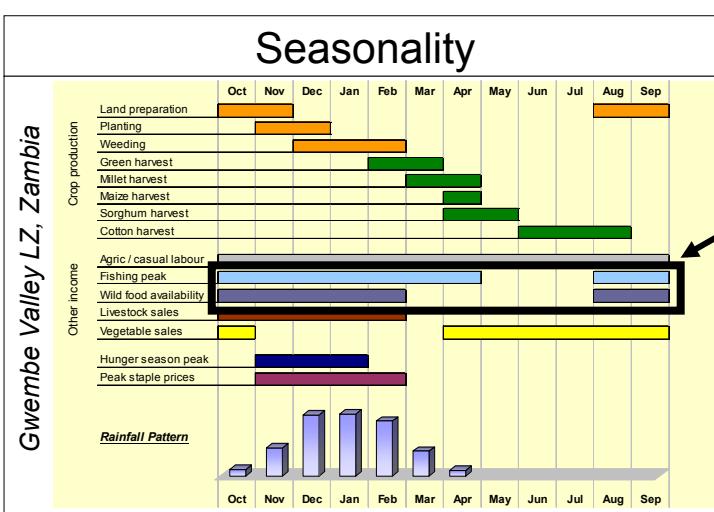
A staggered harvest of staples helps keep labour needs spread out

Some Common Themes



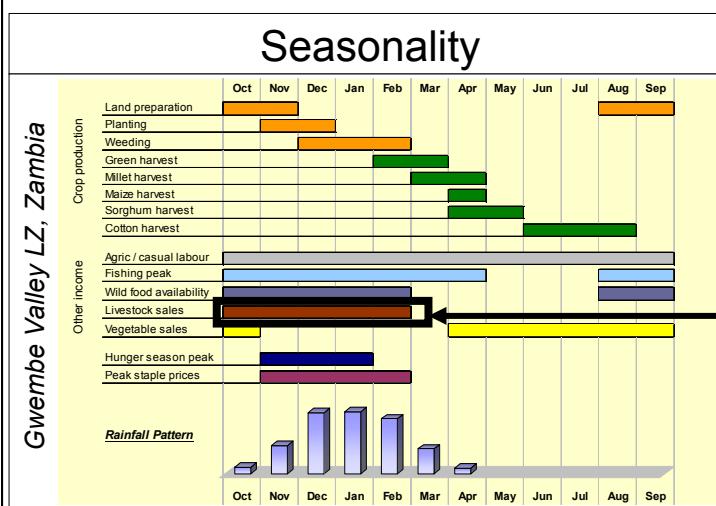
Labour (for the poor hhs) is critical throughout the year

Some Common Themes



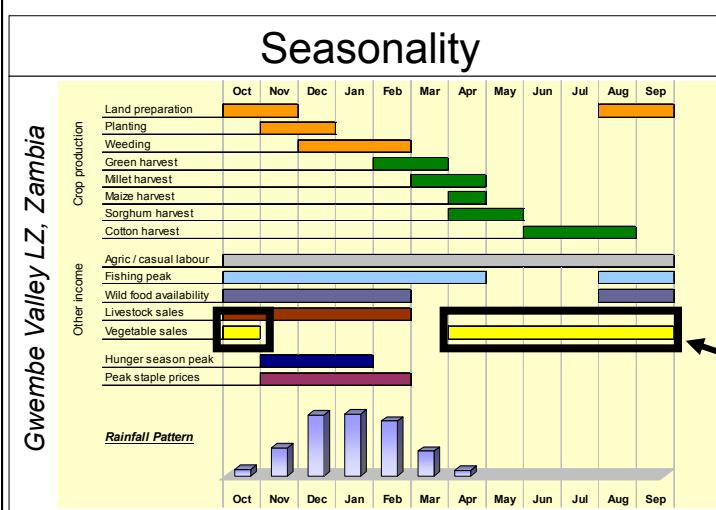
Fishing and wild foods fill seasonal gaps

Some Common Themes



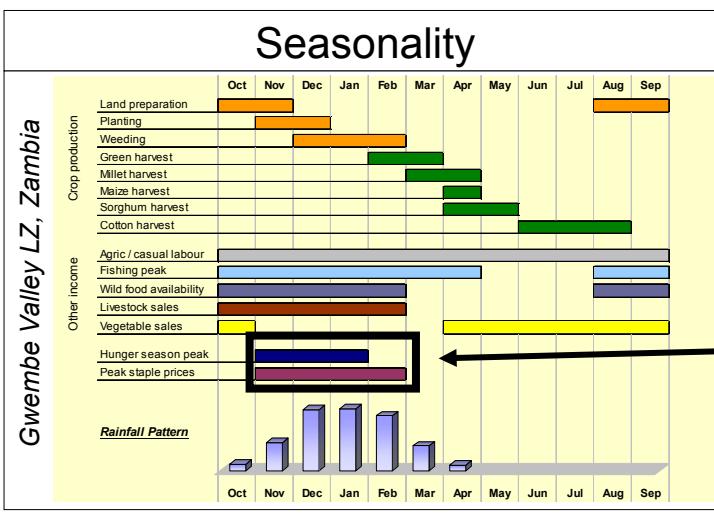
Livestock sales peak in the rainy season, when livestock condition is best

Some Common Themes



Vegetable sales is a dry season occupation

Some Common Themes



The hunger season occurs right before the harvest, when food prices also peak

Summary: Basic determinants of wealth



The wealthier you are, the more land you own or control (through renting in)



The wealthier you are, the more livestock you own and use for income/savings



The poorer you are, the more you rely on selling your labour



The wealthier you are, the more other assets you own and convert into profit

Session 18: Understanding Agricultural Production Systems

Summary: Basic dynamics of livelihood



The poorer you are, the less you produce on your own, and the more you purchase or work for in kind



The wealthier you are, the more profit you can generate on your own production (crops, livestock, milk/meat, etc.)



The poorer you are, the more of your total income is spent on food and basic hh goods; little is left for school and health

Session 18: Understanding Agricultural Production Systems

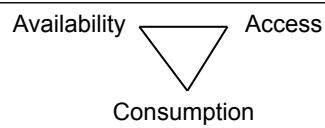
End of Session 2.18

MODULE 2: BASELINE ASSESSMENT

Session 19: Non-food Needs Assessment: Baseline Info

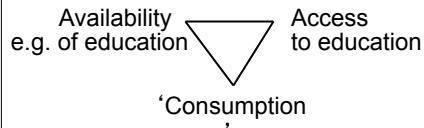
What is meant by a livelihoods-based assessment of non-food needs?

The Food Security Triangle



In food security, we look at availability, access and consumption of food

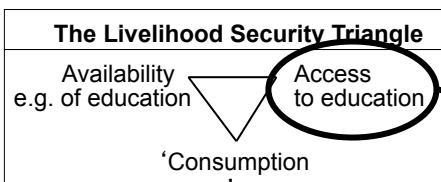
The Livelihood Security Triangle



It is useful to think in terms of the same categories to analyze non-food issues

Session 19: Non-food Baseline Assessment

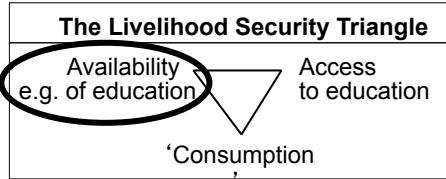
What is meant by a livelihoods-based assessment of non-food needs?



Many of the non-food access issues are already captured in HEA expenditure analyses

Session 19: Non-food Baseline Assessment

What is meant by a livelihoods-based assessment of non-food needs?



But additional field work is needed to find out about availability

Session 19: Non-food Baseline Assessment

What is covered in the non-food assessment forms?

This is an assessment of
BASELINE non food service
and provision availability –
not a needs assessment per
se

Session 19: Non-food Baseline Assessment

What is covered in the non-food assessment forms?

It provides the reference
point for judging what has
changed if a shock does
occur

Session 19: Non-food Baseline Assessment

What is covered in the non-food assessment forms?

Veterinary services:

- main livestock diseases
- seasonality
- availability and cost of treatment
- vaccination coverage
- animal feed sources
- cost if purchased

Session 19: Non-food Baseline Assessment

What is covered in the non-food assessment forms?

Crop extension services:

- input supply and costs
- main crop pests and diseases
- seasonality
- availability and cost of treatment
- control measures

Session 19: Non-food Baseline Assessment

What is covered in the non-food assessment forms?

Water (for humans and livestock):

- main sources
- seasonal availability
- cost
- distance and quality

Session 19: Non-food Baseline Assessment

What is covered in the non-food assessment forms?

Health services:

- main human diseases
- seasonality
- availability and cost of treatment
- vaccination coverage
- no. and type of health facilities
- staffing levels

Session 19: Non-food Baseline Assessment

What is covered in the non-food assessment forms?

Education:

- no. schools
- no. teachers
- rates of enrolment
- rates of student retention

Session 19: Non-food Baseline Assessment

Before adding on a non-food baseline component

1. Keep in mind this can add a substantial amount of time onto your assessment (at least a day)
2. These questions are usually asked at district level – if the information is not readily available, it can take additional days to obtain

Session 19: Non-food Baseline Assessment

Before adding on a non-food baseline component

3. It is important to gain consensus among non-food sector agencies before undertaking this exercise, because the information will not be used otherwise

Session 19: Non-food Baseline Assessment

NON-FOOD NEEDS ASSESSMENT FORM (LONG)**Livestock**

Questions for district livestock expert

Main diseases affecting livestock in the District (in general over the last 5 years)

	1	2	3	4	5
Name					
Types of animal affected					
Frequency[1]					
Most recent year in which this was a problem					
Seasonality: Months of highest prevalence					
Drugs currently used for treatment: Name					
Availability from MoA[2]: last 5 years					
Now					
Payment method (free, credit, cash sale)					
Cost of treating one animal					
1996					
1997					
Availability of drugs in market[2]: last 5 years					
Now					
Cost of treating one animal					
1996					

Main diseases affecting livestock in the District (in general over the last 5 years)					
	1	2	3	4	5
1997					
Main source of drugs used: MoA or market					

Notes:

[1] Frequency

1 = every year

2 = 1 year in 2

3 = 1 year in 3

4 = 1 year in 5

5 = 1 year in 10

[2] Availability

1 = good: enough available at the right time

2 = medium: some available at the right time

3 = poor: v.little/none available at the right time

Vaccinations

	1	2	3	4	5
Name of vaccination					
Type of animal					
Target population (2007)[1]					
No. vaccinated: 2002 [2]					
2003 [2]					
2004 [2]					
2005 [2]					
2006 [2]					

Notes:

[1] No. animals in district

[2] If numbers not available, indicate if there was a vaccination programme (yes/no)

Veterinary Services: No. livestock extension officers:	
District town	
Community level	

Other agencies active in the sector

Animal Feed Sources	
Type of feed source:	grass/browse
Used in the district (yes/no)	crop residues
	grain
	concentrate
	other
By which type of livestock	
Months when supply inadequate (average year)	
Purchased (yes/no)	
Months of purchase (average year)	
If purchased, for which animals?	
Price in 2006	
Price in 2007	

Total no. farm HHs in district:

Inputs used by ordinary farmers in the last 3 years

Type of input	Months required:		No. farmers assisted by MoA[1]			Payment method[1]	Cost (give price and unit) 2006	2007
	period 1	period 2	2004	2005	2006			
Seeds								
a) maize								
b)								
c)								
d)								
e)								
Fertilizer								
a) DAP								
b) Urea								
c) Other								
Other								
a)								
b)								

Notes:

- [1] If numbers not available, indicate if there was an assistance programme (yes/no)
- [2] Payment method: free, credit, cash sale

Inputs used by ordinary farmers in the last 3 years			
Type of input	Main source of input for farmers (MoA or market)	Price in market (give price and unit) 2006	Price in market (give price and unit) 2007
Seeds			
a) maize			
b)			
c)			
d)			
e)			
Fertilizer			
a) DAP			
b) Urea			
c) Other			
Other			
a)			
b)			

Main diseases and pests affecting crops in the District (in general over the last 5 years)			
	1	2	3
Name			4
Types of crop affected			5

Main diseases and pests affecting crops in the District (in general over the last 5 years)		1	2	3	4	5
Frequency[1]						
Most recent year in which this was a problem						
Seasonality: Months of highest prevalence						
Pesticide/herbicide/fungicide currently used for treatment:						
Name						
Availability from MoA[2]: last 5 years						
Now						
Payment method (free, credit, cash sale)						
Cost per hectare 2006						
2007						
Availability in market[2]: last 5 years						
Now						
Cost per hectare 2006						
2007						
Main source of treatment: MoA or market						
Any other measures taken to control problem?						

Notes:

[1] Frequency
1 = every year

[2] Availability
1 = good: enough available at the right time

2 = 1 year in 2 2 = medium: some available at the right time
 3 = 1 year in 3 3 = poor: v.little/non available at the right time
 4 = 1 year in 5
 5 = 1 year in 10

Crop Extension Services: No. crop extension officers:	
District town	
Community level	

Other agencies active in the sector

--	--

Water

Questions for District water department officer

Availability of water in the district in years of good, average and poor rains

Availability by altitude zone[1]	For human consumption, in years of...		For livestock, in years of...	
	good rains	average rains	poor rains	good rains
Low				
Middle				
High				

If availability is seasonal, months of seasonal shortage

Low		
Middle		
High		

Notes:

- [1] 1 = Good all year
- 2 = Seasonal shortages
- 3 = Shortages all year

Type of source	Names of specific sources[2]	Used by livestock from which altitude zones?	Months water available	Who is responsible for maintenance?[3]
Major Rivers				
Minor Rivers				
Reservoir				
Deep wells				
Shallow wells				
Seasonal pools				
Other				
Are there any additional sources in a bad year?				
a)				
b)				

Water sources for livestock in a year of average rains[1]			
Type of source	Names of specific sources[2]	Used by livestock from which altitude zones?	Months water available
c)			

Notes:

- [1] Can include sources outside the district but used by livestock from the district
- [2] Give the names of specific and important sources of water in the district: e.g. names of rivers, main reservoirs or deep wells
- [3] Water department, community, etc.

Is there any payment for water for livestock in the district?			
Type of source	Name of specific source	When?[1]	Cost?[2]

Notes:

- [1] Which types of year (good, average, bad)? Which months?
- [2] Give cost per unit of water or per animal

Are there sources of water for livestock that are not currently operational due to problems of maintenance?			
Type of Source	Name of specific source	Description of problem	

Water sources for human consumption in a year of average rains			
Type of source	Names of specific sources[1]	Use by people from which altitude zones?	Months water available
Major Rivers			

Water sources for human consumption in a year of average rains					
Type of source	Names of specific sources[1]	Use by people from which altitude zones?	Months water available	Distance from villages[2]	Quality[3]
Minor Rivers					Who is responsible for maintenance?[4]
Reservoir					
Deep wells					
Shallow wells					
Seasonal pools					
Other					
Are there any additional sources in a bad year?					
a)					
b)					
c)					

Notes:

- [1] Give the names of specific and important sources of water in the district: e.g. names of rivers, main reservoirs or deep wells
- [2] Give a range in kilometres or hours of walking
- [3] Quality: protected, unprotected, fresh, saline, etc.
- [4] Water department, community, etc.

Is there any payment for water for human consumption in the district?		
Type of source	Name of specific source	When? [1]

Notes:

- [1] Which types of year (good, average, bad)? Which months?
- [2] Give cost per unit of water or per animal

Are there sources of water for human consumption that are not currently operational due to problems of maintenance?		
Type of Source	Name of specific source	Description of problem

Other agencies active in the sector		

Nutrition

Collect any of the following data for the last 5 years, as available:

- Nutrition survey results/reports
- Nutritional status data from clinics
- Feeding centre data

In an average year, which are the months of seasonal food shortage?	What is the average number of meals per day in these months?	And in which months do most households have access to sufficient food (taking all sources together, i.e. crops, purchase etc.)	What is the average number of meals per day in these months?
---	--	--	--

What are the main causes of malnutrition in the district (e.g. food shortage, lack of suitable weaning foods, diarrhoea, malaria, etc.)	
1	
2	
3	

Are there any aspects of child care that contribute to malnutrition in the district? E.g. early weaning (specify age range for weaning), withholding of food from children with diarrhoea, food taboos, etc.
Other agencies active in the sector

Health

Main human diseases in the District (in general over the last 5 years)				
	1	2	3	4
Name				5
Frequency[1]				

Main human diseases in the District (in general over the last 5 years)						
		1	2	3	4	5
Most recent year in which this was a problem						
Seasonality: Months of highest prevalence						
Drugs currently used for treatment: Name						
Availability from MoH[2]: last 5 years						
Now						
Payment method (free, credit, cash sale)						
Cost of treating one person						
1996						
1997						
Availability of drugs in market[2]: last 5 years						
Now						
Cost of treating one person						
2006						
2007						
Main source of drugs: MoH or market						

Notes:

- [1] Frequency
 1 = every year
 2 = 1 year in 2
 3 = 1 year in 3
 4 = 1 year in 5
 5 = 1 year in 10

- [2] Availability
 1 = good: enough available at the right time
 2 = medium: some available at the right time
 3 = poor: v.little/non available at the right time

HEA Baseline Assessment

Interview Form 5

Vaccinations					
Name of vaccination	1	2	3	4	5
Target population (2007)[1]					
No. vaccinated: 2002 [2]					
2003 [2]					
2004 [2]					
2005 [2]					
2006 [2]					

Notes:

[1] Target population in the district: age range and number

[2] If numbers not available, indicate if there was a vaccination programme (yes/no)

Health Services:	No. health workers (excluding administrative staff)	No. health facilities, by type		
		Health post	Health Centre	Hospital
District town				
Community level				

Other agencies active in the sector

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Education

School Enrollment				Female		Total	
Level		No. enrolled	Male				
1 st cycle (grades 1-4)		No. children eligible in the district					
		Net enrolment rate [1]					
	No. completing school year						
	Retention rate [2]						
2 nd cycle (grades 5-8)	No. enrolled	No. children eligible in the district					
	Net enrolment rate [1]						
	No. completing school year						
	Retention rate [2]						
Secondary school	No. enrolled	No. children eligible in the district					
	Net enrolment rate [1]						
	No. completing school year						
	Retention rate [2]						
Totals (All 3 levels)	No. enrolled						

School Enrollment		Male	Female	Total
Level	No. children eligible in the district			
Net enrolment rate [1]				
No. completing school year				
Retention rate [2]				

Notes:

[1] Net enrollment rate = no. enrolled ÷ no. children eligible in the district × 100

[2] Retention rate = no. completing school year ÷ no. children enrolled × 100

School drop outs	Male	Female
In which months do the largest number of students drop out?		
What are the major reasons for seasonal drop outs?		

Education Services:	Primary	Secondary	
	No. schools	No. schools	No. teachers
District town			
Community level			

Other agencies active in the sector
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NON-FOOD NEEDS ASSESSMENT FORM (SHORT)

HEALTH

What diseases are normally prevalent in the area? What seasonal variations?
Compile historic data on mortality and morbidity rates.
What health services exist? Where (and what distance from villages)? What staff? What drug availability?
What immunisation coverage (DPT3) has been attained for the catchment area of the facility?
Are there any cultural norms that affect utilisation of health services?
Has HIV/AIDS affected households in the zone? Since when has this been a problem? Are prevalence rates available
Are there traditional women's groups involved with community health? How? Which groups?

Possible sources of information: hospital/clinic staff, ministry of health staff, staff of organisations involved in health care and community development, community leaders, general population.

WATER

Where are the normal water sources for humans and for livestock in the area?
What type of sources are these?
What seasonal variations are there in terms of where people obtain water?
Of what quality is the water?
[If poor quality] What are the major pollutants?
[If coffee area] Is there any contamination of water sources from the cleaning & processing of coffee?
What distances are water sources from homes (in terms of time spent)?
How are water sources normally maintained and managed?

Is water recycled? [If yes] For what purpose?
Has the government or any organisation been assisting in the water sector? How?

Possible sources of information: local administration/government, staff responsible for water resources, community leaders, women who collect water on a daily basis, livestock owners, NGOs

SANITATION

What types of sanitation facilities are available in the community (e.g. pit latrines)?
Are they available to all wealth groups?
Are there any significant health issues related to sanitation? What are they?
Has the government or any organisation been involved in sanitation projects? How?

Possible sources of information: local administration/government, staff responsible for water resources and sanitation, community leaders, NGOs

NUTRITION

Historic nutrition status data – from surveys, clinic or feeding centre data – what is ‘normal’ (including seasonal changes)?
What ongoing interventions are there in the nutrition sector? By which organisations?
See food needs assessment formats and report for information on baseline food access.
See health section above for information on baseline health status.
What are normal care practices for children? What is normal household composition?
Are there traditional women’s groups involved with community nutrition? How? Which groups?

Possible sources of information: health workers, field-based agricultural or rural development workers, women’s groups, staff of organisations involved in health care and nutrition projects

CROP PRODUCTION INPUTS

What agricultural inputs are normally used by households (in different wealth groups) in the area?
What is the seasonal calendar for using these inputs?
Where do households normally obtain seeds and other inputs and at what cost?
What agricultural extension services exist? How effective? What resources?
Do female-headed households have the same access to agricultural resources and services as male-headed households?

Possible sources of information: Ministry of Agriculture staff, community leaders, farmers, baseline reports on crop production.

LIVESTOCK PRODUCTION INPUTS

What livestock diseases are normally prevalent in the area? What seasonal variations?

What vet services exist? Where? What staff? What drug availability?

What immunisation coverage has been attained?

Possible sources of information: Ministry of Agriculture staff, animal health workers and vets, community leaders, livestock owners, baseline reports on livestock production

SHELTER and HOUSEHOLD ITEMS

What types of shelter(s) do households normally inhabit? What types of materials are used, who normally does the construction, and how long does it take?

What types and what quantities of clothing, blankets, sleeping mats, water containers, and cooking utensils do households normally own and use?

Possible sources of information: community leaders, household members, local administration/government, staff of organisations working in the area

EDUCATION

What are enrolment numbers in normal times? At different levels? Between girls and boys?
How do enrolment numbers vary by season?
What proportion of children attend school? At different levels? Proportion of boys? Proportion of girls?
Does enrolment vary between wealth groups? How?
What are the major causes of school dropout?
Is school attendance affected by distance?

Possible sources of information: teachers, school administrators, woreda officials.

End of Session 2.19

Module 2: Baseline Assessment

SESSION 20: INCORPORATING SECONDARY INFORMATION

HANDOUT 1 – SECONDARY INFORMATION EXERCISE

	Area of HEA research	Types of potentially useful secondary information
BASELINE	Livelihood zones	
	Timeline	
	Access to land and livestock (wealth breakdown)	
	Food income	
	Income and expenditure	
	Seasonality	
	Market and exchange networks	

	Area of HEA research	Types of potentially useful secondary information
OUTCOME ANALYSIS	Problem specification / analysis of hazard	
	Household coping strategies and capacity to cope	

Module 2: Baseline Assessment

SESSION 20: INCORPORATING SECONDARY INFORMATION

HANDOUT 3 – USEFUL TYPES AND SOURCES OF SECONDARY INFORMATION

How is secondary information used in an HEA baseline assessment?

One of the first preparatory activities for a baseline assessment is to gather appropriate secondary information. This information will:

- help with refining livelihood zones
- provide background information for your interviews in the field
- provide information on yields, production levels and prices to cross-check against
- help with defining the economic consequences of particular hazards

The table below lists the types of secondary information that can be useful, where they can be found, and what exactly you should be seeking to get out of them.

What kinds of secondary information are useful?

Type of information	Types and sources of secondary information and what it can provide
Sources	What you're really after
Agricultural data (including historical data and current projections on crop yields and production levels)	<ul style="list-style-type: none"> Main food and cash crops grown, by livelihood zone, including yield per hectare for major crops – for the last 5-10 years; and crop production levels by season – for the last 5-10 years Seed requirements per hectare Land ownership and access issues Main livestock kept Lactation periods (wet and dry seasons, good and bad years) Milk yields (wet and dry seasons, good and bad years)
Agro-ecological maps and surveys	<ul style="list-style-type: none"> Maps of areas to be visited Maps of geographic and environmental features of the area under consideration
Population data	<ul style="list-style-type: none"> Population data (as disaggregated as possible) Administrative units in each livelihood zone
Market price and other hazard monitoring data	<ul style="list-style-type: none"> Price data – time series for the last 5-10 years for staple food, crops, livestock and livestock products, labour, etc.
Rainfall data	<ul style="list-style-type: none"> Rainfall figures – time series data
Food aid distribution figures	<ul style="list-style-type: none"> Historical data on food aid distributions (both planned and actual figures, as disaggregated as possible)
Consolidated and worked-through analysed data sets	<ul style="list-style-type: none"> Changes in production and price data over past 5-10 years. Relationships between different data sets, such as production and price data, and production, price data and malnutrition rates.
Nutrition surveys	<ul style="list-style-type: none"> Changes in acute food insecurity over past 5-10 years, related to events such as droughts, floods, economic policy etc.

Food security surveys or localised studies on rural livelihoods	NGOs; academic institutions; Ministry of Rural Development; Ministry of Planning and Economic Development	<ul style="list-style-type: none">• Crop production and yields• Land and livestock ownership• Agricultural labour activities and other activities undertaken by households• Main markets accessed• Migration patterns (for labour or livestock)
Household budget surveys	Government departments; research bodies	<ul style="list-style-type: none">• Sources of income• Importance of different household livelihood strategies

Points to remember

- Extracting and summarising much of the above information from secondary sources is important
- BUT
- Some of the information listed above will not be available and
 - Certain information can only be obtained at district or village level!
 - Also, it is often useful, even where secondary information exists, to *re-confirm* its accuracy with government and village key informants (as it may be out of date).

Useful types of secondary information

The following can all be useful sources of secondary information:

- **Anthropological/ethnographical studies** - Useful in describing aspects of the household, sources of income, and wealth and poverty issues. Some anthropological work will be out of date and may be misleading on the current situation, but it can provide useful insights which can help us understand rational behaviour in the context of a given society.
- **Agro-ecological maps and surveys** - Useful for a first consideration of the sub-division of a country or large region into food economy areas. Usual sources include: Ministry of agriculture, university geography department, agencies with specialist interest including FAO, UNEP, and UNDP. School atlases can be very informative.
- **Surveys of farming systems and livestock management systems** - Useful in investigating sources of income, as they often inform about types/quantities of crops grown, livestock held (although the information is often aggregated). Always try to find out how the sample was selected: the process may not have made for a representative sample.
- **Household budget or income and expenditure surveys** - Useful in finding out in general about sources of income, particularly non-food income and that element of food income which is gained through purchase. However, national household budget survey information is usually presented in aggregated form referring to large administrative divisions.
- **Agricultural surveys and other agricultural data : information on yield, area under crops, production** - This includes information on yields and the area under different crops. This is useful for cross-checking production and yields. It is also useful for work on sources of income, especially food crops and sale of crops. However, yield information is often based on trial plots cultivated under optimum conditions and, as production information may be based on extrapolated yield information, you may find wildly optimistic figures.
- **Livestock surveys** - Useful when investigating sources of income, chiefly the sale of livestock, average herd size and composition, and livestock products, and livestock markets. But livestock surveys are rare and are notoriously difficult to do accurately.
- **National population census** – Useful when estimating the population of food economy areas. Also for information on sources of income, particularly for giving hints about wage labour and in cross-checking information from the point of view of economic balance outlined by key informants.
- **Price data** - Useful for cross-checking prices for the reference year, and predicting price increases in the future (look at a bad year in the past). However, published data is usually only from the largest markets which may not reasonably represent a given livelihood zone.
- **NGO project information** - Highly variable in quality, but of most use where the NGO works on micro-credit, agriculture or livestock projects. It can provide useful information on income sources and assets, and for initial information on seasonality.

- **Relief food information** - Important for checking information on food and income sources where regular relief food is an important component of household budgets. However this information is often poorly recorded, and might not reflect what the household receives (it usually covers food supply to final distribution agents, and there may well be some 'leakage' at this level). Often difficult to obtain in disaggregated form.
- **Labour requirements in agriculture tables** - For example, number of days required for weeding, planting and harvesting. Useful for cross checking the crop production and employment aspects of sources of income.
- **Food-kilojoule tables** - Kilojoule tables are indispensable for converting food income into a percentage of household requirements.
- **Veterinary statistics** – Good for triangulation of some livestock information.

End of Session 2.20

Module 2: Baseline Assessment
CLOSING AND EVALUATION

EVALUATION FORM

HEA Training Course – Classroom Component						
Evaluation Form						
My main expectations of this training workshop were:						
•	•	•	•	•	•	•
		Strongly disagree	Disagree	Neutral	Agree	Strongly Agree
1	My main expectations of the workshop were achieved					
Comments:						
2	What I have learned in this workshop will help me in my work.					
Comments:						
3	The objectives of this workshop were relevant to me and were achieved.					
Comments:						

Please tick the appropriate box.		Very Good	Good	Average	Bad	Very Bad
4	What did you think of the pre-workshop preparation and planning?					
5	What did you think about the format of the workshop?					
6	What did you think of the support provided for the workshop?					
7	What did you think of the venue?					
8	What did you think about the food?					
9	What did you think of the practical arrangements?					
10	Which parts of the workshop did you find most interesting?					
11	Which parts of the workshop did you find less interesting?					
12	Please comment on the style, presentation and support given by the facilitators.					

13	How suitable were the methods and materials used?
14	Any other comments:

Thank you for your participation and for taking the time to complete this form.