



Food and Agriculture Organization
of the United Nations

PHASED AGRICULTURAL LIVELIHOOD NEEDS ASSESSMENT FRAMEWORK AND TOOLS



GUIDELINES

for practitioners

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Guidelines
for practitioners

FOOD AND AGRICULTURE ORGANIZATION OF THE UNITED NATIONS
ROME, **2016**

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ISBN 978-92-5-109231-6

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Acknowledgements

These Guidelines have benefited from the inputs and suggestions of a wide range of experienced FAO staff and consultants, and the authors would like to acknowledge the contributions of these colleagues past and present, too numerous to mention here.

In addition, the authors would like to thank the Government of Sweden and the Government of the Federal Republic of Germany for the financial support that made the production of these Guidelines possible.

The Guidelines are intended to remain dynamic and regularly updated, reflecting new emerging literature and experiences. Comments and suggestions on the guide are welcomed and should be addressed to:

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Abbreviations and acronyms

AIM WG	Assessment and Information Management Working Group
APF	Assessment and Programme Formulation Guidelines for Agriculture Emergencies
CFSAM	Crop and Food Security Assessment Mission
CLA	Community-Level Assessment
COD	Common Operational Datasets
DaLA	Damage and Losses Assessment
DLA	Detailed Livelihood Assessment
HALA	Detailed Livelihood and Food Security Assessment
EFSA	Emergency Food Security Assessment
EMMA	Emergency Market Mapping and Analysis
FAO	Food and Agriculture Organization of the United Nations
FSC	Food Security Cluster
HCT	Humanitarian Country Team
HEA	Household Economy Approach
HLV	Hazard Livelihood and Vulnerability Baseline
IASC	Inter-Agency Standing Committee
ILIA	Initial Livelihood Impact Appraisal
KII	Key Informant Interview
LAT	Livelihood Assessment Toolkit
LEGS	Livestock Emergency Guidelines and Standards
LRA	Livelihood Recovery Assessment
MIFIRA	Market Information and Food Insecurity Response Analysis
MIRA	Multi-Cluster Initial Rapid Assessment
NATF	Needs Assessment Task Force
NGO	Non-governmental Organization
OCHA	Office for Coordination of Humanitarian Affairs
PCNA	Post-Conflict Needs Assessment
PDNA	Post-Disaster Needs Assessment
PSD	Preliminary Scenario Definition
RADAR	Rapid Agricultural Disaster Assessment Routine
REA	Rapid Environmental Impact Assessment
SEAGA	Socio-economic and Gender Analysis
SPSS	Statistical Package for Social Science
SSSA	Seed System Security Assessment
TRF	Transitional Results Framework
UN	United Nations
UNDAC	United Nations Disaster Assessment and Coordination
UNICEF	United Nations Children's Fund
WFP	World Food Programme

Executive summary

Assessments are a crucial element of the entire humanitarian programme cycle, informing decision-making processes and response options. Those undertaken by the Food and Agriculture Organization of the United Nations (FAO) primarily focus on the agricultural capacity, food security, nutrition and livelihoods of crisis-affected populations.

The purpose of the Phased Agricultural Livelihood Needs Assessment Framework and Tools document is to provide minimum common standard assessment indicators and survey methodologies to understand and address the food security and agriculture needs of populations affected by crises¹. The goal is to establish a standardized corporate framework and toolbox to guide FAO staff in conducting emergency needs assessments. This forms part of a broader effort to streamline and standardize emergency preparedness and response procedures and processes within the Organization.

The Guide is structured around the five pre- and post-crisis needs assessment phases presented in the Inter-Agency Standing Committee (IASC) Operational Guidance for Coordinated Assessments in Humanitarian Crises². These five phases of assessment are:

Phase 0	Pre-crisis level – two components: (i) collection of baseline data from secondary sources; and (ii) development of an emergency preparedness and contingency plan (this Guide will cover only the first component).
Phase 1	Initial phase of the Multi-Cluster/Sector Initial Rapid Assessment (MIRA) – occurs within the first 72 hours following a sudden-onset crisis or a significant change in an ongoing emergency situation; focuses on joint systematic collection and analysis of secondary information to determine the extent of the disaster; and findings are articulated through the first MIRA product, the situation analysis, which is used to inform and be directly integrated into the Preliminary Response Plan.
Phase 2	Second phase of the MIRA – generally completed within the first two weeks of an emergency; employs joint primary and secondary data collection, processing and analysis to deepen, validate and/or modify the understanding developed in Phase 1; and findings are articulated through the MIRA report, which is used alongside other cluster-specific assessments to inform the Strategic Response Plan and the Humanitarian Dashboard ³ .

1 Caused either by sudden or slow onset of natural crises (e.g. droughts, floods, earthquakes, cyclones, etc.), major animal disease or crop pest outbreaks, or situations of economic volatility, political distress or conflict.

2 Inter-Agency Standing Committee (IASC) Operational Guidance and Framework for Coordinated Assessments in Humanitarian Crises (IASC, 2012).

3 The “Humanitarian Dashboard” consolidates and presents needs assessment and other core humanitarian information at crisis-level in an accessible format to facilitate analysis and evidence-based humanitarian decision-making. See: <http://assessments.humanitarianresponse.info/humanitarian-dashboards>

Phase 3	Household level assessment – generally conducted within four to eight weeks following a crisis to facilitate harmonized cluster-/agency-specific collection of primary data to inform and fine-tune the sector-specific response strategy and emergency/early recovery interventions.
Phase 4	Recovery/transition assessment – generally undertaken from 6 to 12 months after a crisis to facilitate harmonized cluster-/agency-specific collection of primary data to monitor and inform recovery programming.

The Framework consists of four sections:

- Section 1 introduces the reader to the phased assessment framework, including its main components and principles, and provides an overview of the global Food Security Cluster output indicators.
- Section 2 presents the five specific phases of the framework in detail to provide a foundation for participating in or conducting phase-specific assessments.
- Section 3 presents two sets of additional tools – those for more in-depth and sector-specific assessments, and surveys designed with other objectives and for other specific needs assessments.
- The Annexes provide examples of tools and outputs (reports) relevant to the different phases. These Guidelines are intended to provide users with theoretical and practical skills to enable them to:
 - understand the different needs assessment phases and their principles;
 - conduct or participate in the coordination and implementation of the different phases; and
 - recognize available tools for conducting multisector/interagency assessments and in depth sectoral needs assessments.

Section 1

THE PHASED AGRICULTURE LIVELIHOOD NEEDS ASSESSMENT FRAMEWORK

Introduction and conceptual framework overview

1.1 Introduction

The practice of conducting needs assessments following natural crises is nothing new. For example, in the 17th Century, Nicola Vassallo of the House of Savoy described a post-natural disaster assessment approach that had two main objectives, to: (i) establish criteria and procedures to estimate and verify damages and losses resulting from natural disasters; and (ii) determine tax reductions for the affected population. A century later, the Duke of Pombal requested a questionnaire survey to estimate the impact of the earthquake and subsequent tsunami that devastated Lisbon in 1755. The survey captured information on issues such as survivors' experiences, animal behaviour before the tsunami wave arrived, the duration of tremors and impact on buildings. The knowledge collected led to the adaptation of new building regulations. These questionnaires can still be consulted at the National Archives of Portugal.

Needs assessments are a fundamental component of the humanitarian programme cycle⁴, supporting all other stages of the cycle. The timeliness and quality of assessments help to determine an effective response and can have a lasting impact on the effectiveness of interventions, quality of interagency coordination and levels of donor funding, while contributing to improved accountability to national governments, partners and, especially, crisis-affected populations.

In humanitarian contexts, assessments undertaken by the Food and Agriculture Organization of the United Nations (FAO) primarily focus on the agricultural capacity, food security, nutrition and livelihoods of crisis-affected populations.

Over time, FAO has developed different tools to assess the needs of vulnerable, food-insecure and crisis-affected populations; however, the Organization has yet to define a standardized corporate approach and set of tools for conducting needs assessments in the aftermath of crises.

⁴ The humanitarian programme cycle refers to a series of actions undertaken in the management of international humanitarian response operations. These must be conducted, to the extent possible, in collaboration with and in support of national and local authorities (see Inter-agency Standing Committee. 2012. Transformative Agenda Reference Document no.5. "Responding to Level 3 Emergencies: The Humanitarian Programme Cycle").

While this can sometimes be beneficial in terms of flexibility, the lack of a corporate approach means that needs assessments undertaken by FAO are of variable quality and may not fully or reliably capture the impact of crises or populations' needs and their respective priorities.

The development of a common needs assessment framework is an especially important and timely issue given FAO's decentralization process and the resulting shift of responsibility to country and regional offices for the planning, coordination and conduct of needs assessments. There is, therefore, a need for a clear needs assessment approach, guidelines and tools to build and ensure adequate capacity of FAO decentralized offices for planning and conducting needs assessments. This is particularly important in view of FAO's corporate commitment to act within 48 hours of the onset of a crisis in the case of a Level 3 emergency. FAO is committed to participating in initial assessments led by the government, the United Nations (UN) Country Team and/or the Humanitarian Country Team (HCT)⁵.

The Phased Agriculture Livelihood Needs Assessment Framework was developed by FAO to provide more consistency in the way that FAO engages in emergency needs assessment processes. The Framework consists of a set of tools to conduct needs assessments based on a variety of indicators, and is intended to become the core of a more standardized and practical needs assessment process at regional and country levels.

1.2 Purpose and scope of the guidelines

The main purpose of these Guidelines is to establish a standardized corporate needs assessment framework and toolbox that aligns with the five pre- and post-crisis needs assessment phases described in the Inter-Agency Standing Committee (IASC) Operational Guidance for Coordinated Assessments in Humanitarian Crises⁶.

The Guidelines provide minimum common standard assessment indicators and survey methodologies for agricultural and rural livelihood needs assessments following natural or man-made shocks. In line with the IASC Operational Guidance for Coordinated Assessments, these Guidelines provide needs assessment tools for five assessment phases – from an initial pre-emergency baseline to a recovery/rehabilitation assessment.

The tools included in this framework are either implemented through (i) a multicluster/sector joint approach (i.e. Multi-Cluster/Sector Initial Rapid Assessment [MIRA]); (ii) the Food Security Cluster at country level; or (iii) agency-/organization-specific surveys.

⁵ Director-General Bulletin no. 2013/32 – Phase III (b) of Annex 1.

⁶ IASC established the Needs Assessment Task Force (NATF) in March 2009 to improve coordinated assessment processes and strengthen the identification of strategic humanitarian priorities in complex emergencies and natural crises. In 2012, the NATF developed Operational Guidance for Coordinated Assessments in Humanitarian Crises, which calls for the implementation of a joint assessment during the first two phases of an emergency and, thereafter, for the coordination of in-depth agency or cluster assessments commonly implemented by the UN Office for the Coordination of Humanitarian Affairs (OCHA) or the UN system, and presents guidance on the MIRA process. For further information see: www.humanitarianinfo.org

1.3 Intended users of these guidelines

These Guidelines are intended for use by:

- FAO staff in decentralized (regional, subregional and country) offices and at headquarters who are required to coordinate, support, participate in or conduct emergency needs assessments.
- Managers of FAO technical staff involved in needs assessments; and
- Staff working in agencies who will be involved in conducting or participating in assessments with FAO, either as part of a broader Food Security Cluster or intercluster assessment or bilaterally.

These guidelines are not intended to substitute for guidance and training on assessments; they should be used in conjunction with such training materials. Links to official guidance for specific assessment methodologies are included in Section 3.

1.4 Phased needs assessment overview and linkages

At the interagency level, IASC has developed an assessment framework for humanitarian and recovery assessments following a crisis (see Figure 1).

FAO has adopted a five-phase assessment approach to align with IASC's Framework, identifying specific tools to be used in each phase. Figure 2 shows the overall FAO assessment framework in which there are three types of assessment tool: the "core" phased assessment tools – these are the main focus of the Guidelines; various "companion" tools that focus on specific issues/sectors; and the interagency Post-Disaster Needs Assessment (PDNA) and Post-Conflict Needs Assessment (PCNA) tools.

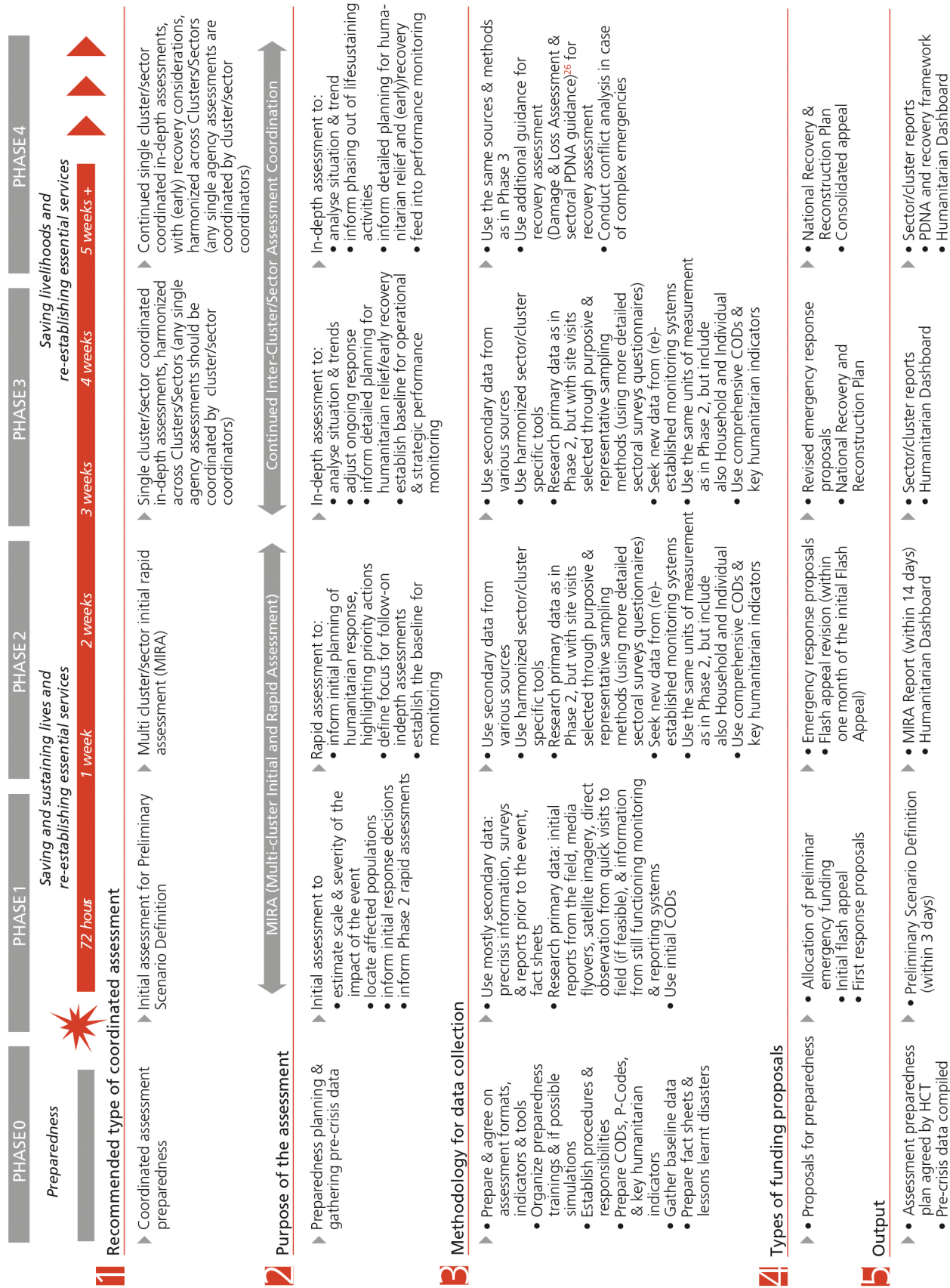


Figure 1: IASC Assessment Framework

Figure 2: FAO Phased Needs Assessment Framework

	PHASE 0	PHASE 1	PHASE 2	PHASE 3	PHASE 4
Indicative timing	Pre-crisis	72 hours	2 weeks	4–8 weeks	3–12 months
PHASED NEEDS					
Phased Assessment core tools	Baseline and assessment preparedness plan	MIRA I	MIRA II	Household Food Security and Agricultural Livelihood Assessment (HALA)	Livelihood Recovery Assessment (LRA)
Phased Assessment companion tools	Crop and Food Security Assessment Mission (CFSAM) Livelihoods Assessment Toolkit (LAT) – Livelihood Baseline Household Economy Approach (HEA) – Baseline	Initial Emergency Food Security Assessment (EFSA) LAT – Initial Livelihood Impact Appraisal (ILIA) HEA modelling	Rapid EFSA LAT – ILIA	Standard EFSA LAT – Detailed Livelihood Assessment (DLA) HEA assessment Specialized tools (to be used according to specific needs): <ul style="list-style-type: none"> • Livestock – Livestock Emergency Guidelines and Standards (LEGS) • Fisheries/aquaculture • Seeds – Seed Security Assessment (SSA) • Crops – CFSAM • Markets – Emergency Market Mapping and Analysis (EMMA) and Market Information and Food Insecurity Response Analysis (MIFIRA) • Gender – Socio-economic and Gender Analysis (SEAGA) • Cooking fuel and vvenergy – Safe Access to Fuel and Energy 	
PDNA/PCNA				PDNA/PCNA	

1.5 Phased needs assessment core tool overview

Phase 0: Pre-crisis baseline

Based on the IASC Operational Guidance for Coordinated Assessments in Humanitarian Crises, this phase focuses on assessment preparedness and collecting and analysing pre-crisis data to promote effective and appropriate response. In addition to constituting a starting point for information management, Phase 0 establishes coordination mechanisms for assessments, including agreements on responsibilities, procedures, formats, indicators and tools. The expected outputs include an assessment preparedness plan agreed by the HCT and the compilation of a set of basic pre-crisis baseline data, such as household characteristics and family structure. Relevant information for FAO and the agriculture sector includes: demographic data; income sources; livestock ownership and management; agricultural practices and production; irrigation; fishery/hunting activities; nutrition/food security; market/trade systems status; and access to and use of natural resources (firewood/charcoal/timber trade, non-timber forest products). (See Section 2.2 for further details on key indicators and information.)

Phase 1: Initial phase of the Multi-Cluster/Sector Initial Rapid Assessment (MIRA I)

Initial assessments are necessary to provide immediate basic information on the impact of the crisis on the lives and livelihoods of the affected population. This phase is articulated in the MIRA I, which focuses on joint (interagency/sector) systematic collection and analysis of secondary information to determine the extent of a crisis, specifically: (i) the extent of damage, indicated by areas and populations affected; and (ii) the severity of the crisis, measured by number of individuals lost/injured and effects on their livelihoods and livelihood assets.

The findings are articulated through the situation analysis, which is used to inform and be directly integrated into the Preliminary Response Plan.

Phase 2: Second phase of the Multi-Cluster/Sector Rapid Assessment (MIRA II)

MIRA II is usually implemented within the first two weeks of an emergency to improve, validate and/or modify information gathered during MIRA I.

The second phase employs an agreed-upon methodology for joint primary and secondary data collection, processing and analysis. Primary tools used for gathering information are mainly key informant interviews (KIIs), focus group discussions, field visits (the extent of which are determined by circumstances) and observations.

Key information collected through the MIRA II includes: (i) estimates of the affected population by group and location; (ii) priority issues in terms of cross-sectoral and sectoral needs, differentiating impact ranges and priority needs by affected groups or geographic areas; and (iii) forecast of the likely evolution of the crisis and resulting needs over the short, medium and long terms.

The findings of the MIRA II are articulated through the MIRA report, which is used alongside possible cluster-specific assessments to inform the Strategic Response Plan and the Humanitarian Dashboard. The report provides information to facilitate decision-making on emergency response options and guide subsequent in-depth sector/cluster assessments.

Phase 3: In-depth sector/cluster assessment

The third phase focuses mainly on more in-depth sector/cluster-specific surveys, which can be implemented in parallel with or following Phase 2. In this phase, information is collected mainly from household members or key informants (e.g. traders) and reference sample units, increasing the assessment's reliability. The information gathered in Phase 3 should provide a clear picture of the direct effects of the crisis on the livelihoods and socio-economic assets of households, as well as on their ability to meet basic needs and the extent of support required during the emergency and early recovery phase (up to 12 months after the crisis). This phase allows for fine-tuning of emergency and early recovery interventions, modalities of implementation and target groups, specifying the criteria to be used during targeting and corresponding interventions. Box 1 provides two examples of Phase 3 agricultural livelihood assessments.

Box 1: Examples of Phase 3 agricultural livelihood assessments

Bangladesh – On 16 May 2013, the coast of Bangladesh was hit by Tropical Storm Mahasen. Following an initial rapid assessment (MIRA II), the Food Security and Nutrition Clusters conducted a detailed assessment in the three worst-affected districts – identified using the findings of MIRA II and consensus among FSC members, including UN agencies, international and national Non-governmental Organizations (NGOs) and the Government. The Phase 3 assessment comprised two subcomponents: (i) food security and nutrition; and (ii) agriculture. The food security and nutrition component was based on a statistically representative household survey, a market survey and KIs. The agriculture component was based on KIs with relevant local government officials and key stakeholders, in addition to secondary level data provided by the Government. (The full report is available at: <http://foodsecuritycluster.net/document/fscmahasen-phase-iii-food-security-nutrition-assessmentfinal>.)

Pakistan – In early September 2012, Pakistan experienced flash floods and landslides triggered by heavy monsoon rains. At the request of the Government, the National and Provincial Disaster Management Authorities worked with humanitarian partners to pilot the MIRA, which was based on KIs in rural communities in five of the most affected districts. As the MIRA's primary focus was to identify immediate needs, the FSC conducted a Detailed Food Security Assessment, surveying households and markets in nearby areas. The assessment was conducted as a follow-up to MIRA to examine the recovery and longer-term needs of the affected population at a time when affected areas were more accessible. (The full report is available at: <http://foodsecuritycluster.net/document/detailed-food-security-cluster-assessment-report>.)

Phase 4: Recovery/transition assessment

During the final phase, the focus of assessments shifts to recovery. A key tool in this phase is the Livelihood Recovery Assessment (LRA), which was piloted in Pakistan in 2011 and subsequently used in 2012 and 2013. The LRA is used to: (i) examine progress towards livelihood recovery during crises; (ii) provide insight into the coverage and effectiveness of food security and livelihood interventions; (iii) understand remaining issues for livelihood recovery and rehabilitation; and (iv) prioritize subsequent interventions.

1.6 “Companion tools” for the phased assessment approach

Depending on circumstances and requirements, additional in-depth/sector-specific assessments may be recommended. As presented in Figure 2, these tools are mainly used during Phases 3 and 4. They include: LEGS; Fisheries/Aquaculture Sector Damage Needs Assessments; SSSA; CFSAM; the DLA component of the LAT; market surveys such as EMMA or MIFIRA; and SEAGA for Emergency and Rehabilitation Programmes and the related Passport to Mainstreaming a Gender Perspective in Emergency Programmes.

Brief descriptions and resources with official guidance for each are included in Section 3.

1.7 Post-disaster and post-conflict needs assessments

Following a large crisis and in accordance with a government’s request, the PDNA/PCNA process is implemented in partnership with the national government and corresponding line ministries. This process provides a common tool for quantifying medium- to long-term reconstruction needs, through collaboration with the World Bank, European Union (EU) and the UN system. The participation of regional banks in PDNA/PCNA exercises has also recently increased.

The PDNA is a combination of the Damage and Losses Assessment (DaLA) methodology – which has been used by regional and international development banks for decades – and the livelihoods approach first developed by the United Nations Development Programme. There have been issues integrating approaches that focus on the macro-economic level with livelihood/household level-focused approaches, as implemented by the UN and NGO community. Therefore, recent work on reviewing PDNA methodology has focused on providing a more comprehensive picture through better integration of DaLA and livelihood analysis. This has borne fruit to the extent that there is now a fully integrated PDNA process. FAO is the acknowledged leader for the agriculture sector and has developed specific guidance and training material for this role.

The PCNA guidelines have been revised into a common Guidance Note on PCNAs and Transitional Results Framework (TRF), providing a clearer, more articulate link between the assessment process and the resulting strategic and selective results framework. Compared to the PDNA process, there is more variety in terms of methodology for the PCNA process. In certain cases (e.g. in the West Bank and Gaza Strip, 2013), a PCNA has been conducted using essentially PDNA methodology. In other cases, PCNAs are based firmly on conflict analysis and the TRF.

In the past, PDNA/PCNA activities would be implemented up to six months after a major emergency; more recently, they have been implemented within the first weeks following a crisis. This is done to generate substantive data to present at donor conferences, which are becoming a standard feature of recovery processes, typically occurring within one or two months following a crisis. It is therefore becoming common practice to conduct humanitarian and recovery assessments simultaneously. This combined approach allows for recovery needs to be considered from the onset and ensures that initial emergency response interventions aim to build back better and increase the resilience of vulnerable crisis-affected communities. In addition, when humanitarian and recovery needs are assessed together and presented as a continuum, resource partners are more likely to pledge longer-term commitment in support of the response.

Section 2

THE PHASED ASSESSMENT TOOLBOX

This section describes in more detail the five phases presented in Section 1.5. Key elements of each phase and related tools are defined in terms of timing, purpose, methodology, outputs and associated funding windows.

2.1 Phase 0: baseline information and assessment preparedness

During the baseline phase, primary and secondary information is gathered to serve as a reference to obtain the most complete overview of the pre-crisis situation of the affected area or livelihoods.

Focus:	All types of primary and secondary information on affected areas or livelihoods, disaggregated by gender, age and other factors.
Timeframe:	As recent as possible (census data may be up to ten years old).
Sources:	Statistics, agricultural censuses, humanitarian/development intervention reports, socio-economic research papers, reports from previous crises and responses, etc.
Resources:	National authorities, research institutes, humanitarian/development actors, civil society/economic interest groups, UN or embassy country profiles.
Reporting:	Baseline reports or databases of relevant information on crisis-prone areas or livelihoods, assessment preparedness plan.

Background

Food security and livelihood baseline information is an essential element of preparedness and thus should be collected in advance and kept updated to the extent possible. Under the FAO Emergency Preparedness Framework, understanding the current and potential situation of a country or region is necessary for the implementation of appropriate preparedness measures (including contingency planning) and effective response. Baseline information is collected primarily in relation to areas at risk of shocks or hazards. As it is rare that all required baseline information has been gathered and updated at the time of a crisis, the FAO office must keep a record of what information is available, when it was last updated and any outstanding gaps in information availability.

Baselines are intended to meet the following specific objectives:

- facilitate comparison of the livelihood context, activities and outcomes for individuals, groups, families, communities and local economies before and after a crisis;
- provide a robust basis for estimating the impact of crises on food security and livelihoods;

- facilitate and provide a foundation for immediate post-crisis assessments, particularly MIRA I, which is mainly based on secondary data; and
- provide a basis or reference for more in-depth surveys conducted in Phases 3 and 4.

Types of information to be collected

- household characteristics and family structure;
- poverty status and distribution;
- livelihood zones and types;
- income sources;
- livestock ownership and management;
- agricultural practices and production;
- historical frequency, type and severity of hazards and risks to agricultural livelihoods (e.g. droughts, floods, conflict, crop and livestock pests and diseases);
- farm and non-farm employment levels;
- fishery/hunting activities;
- household food security status;
- nutritional status;
- use and functioning of markets for agricultural inputs and outputs;
- remittances, pensions or other social safety nets; and
- existing solidarity networks and community self-help capacities, such as women's groups, youth groups or religious organizations.

Sources of information

The most useful sources of baseline information include government censuses, such as agricultural censuses; large-scale Living Standards Measurement Surveys conducted by the World Bank; Integrated Phase Food Security Classification maps and data; Comprehensive Food Security and Vulnerability Assessments coordinated by the World Food Programme (WFP); and Household Economy Baseline surveys supported by the Famine Early Warning Systems Network. Other sources include individual surveys conducted by the government, UN agencies, the Food Economy Group and international and local NGOs active in particular geographical areas.

Web sites providing country-specific information that could contribute to developing a baseline include:

UN	http://unstats.un.org/unsd/default.htm
World Bank	http://data.worldbank.org/country
FAO	http://faostat.fao.org/
	http://www.fao.org/corp/statistics/en/
	http://faostat.fao.org/site/339/default.aspx
	http://www.fao.org/fishery/statistics/en
	http://kids.fao.org/glipha/
	http://www.fao.org/economic/ess/ess-capacity/countrystathome/en/
	http://statistics.amis-outlook.org/data/index.html
	http://www.fao.org/giews/english/index.htm
	http://firms.fao.org/firms/data-coverage/en
	http://www.fao.org/gender/landrights/home/en/
WFP	http://www.wfp.org/food-security
UNICEF	http://www.unicef.org/statistics/index.html

Demographic and Health Surveys:

<http://dhsprogram.com/Where-We-Work/Country-List.cfm>

Multiple Indicator Cluster Surveys:

http://www.childinfo.org/mics_available.html

The International Household Survey Network:

<http://catalog.ihsn.org/index.php/catalog>

These sources provide general country information, whereas national censuses provide more detailed information for each administrative level (e.g. provincial, district). National censuses are generally conducted every ten years; however, some indicators could change significantly over a short period of time and this needs to be taken into account when using them for the baseline. The following Web page provides links to country-specific censuses:

http://www.census.gov/population/international/links/stat_int.html

Country gender assessments (Asian Development Bank):

<http://www.adb.org/themes/gender/country-gender-assessments>

Country gender profiles (African Development Bank):

<http://www.afdb.org/en/documents/project-operations/country-gender-profiles/>

While it is important to prepare baseline livelihood information before a crisis hits, this may not always be possible, especially when a crisis occurs in an unexpected place. In this case, baseline information on the affected geographical areas or sources of livelihood must be compiled once a crisis has taken place, requiring different information sources.

Suitable sources of information are actors working in the region or with specific livelihood groups, including:

- humanitarian/development actors, such as UN agencies (particularly OCHA and FAO) and NGOs;
- local authorities (agro-extension or veterinary/fisheries services, health post records, etc.);
- civil society organizations (farmers' groups, traders' associations, women's associations, youth clubs, etc.); and
- international or national research organizations.

Quite often, information is not easily accessible through commonly used information channels (libraries, the Internet, etc.) and needs to be obtained either by directly visiting the institutions present in the affected areas or through a request to Food Security Cluster (FSC) members and partners (if they have specific information available).

In addition, pre-crisis information is also normally obtained as part of the post-crisis assessment process itself.

Assessment preparedness

Assessment preparedness includes defining assessment responsibilities and procedures (e.g. formats to be used including survey tools and assessment methodologies [sources, sampling frame, etc.]) and establishing the minimum required set of indicators for each specific phase. This process has both agency-specific and interagency dimensions. At the agency level (FAO country offices), a set of Minimum Preparedness Actions has been developed for assessment. These provide predictable minimal levels of preparedness to effectively and efficiently respond to any type of emergency and ensure continuity of operations through a set of standard actions. This includes an agreement on the response coordination structure tailored to the local context. One critical aspect of assessment preparedness is ensuring that there are enough people trained at country level to conduct emergency food security and livelihood assessments.

At the interagency level, the key output is an assessment preparedness plan, including a set of basic pre-crisis data, which is agreed upon by the HCT and endorsed by the government. See here for an example of a plan from Bangladesh related to cyclone hazards:

http://acaps.org/resourcscats/downloader/pre_crises_secondary_data_cyclones/218/1397660292

2.2 Phase 1: multi-cluster/sector initial rapid assessment (MIRA I)

In Phase 1, the goal is to obtain a more coherent overview of the magnitude of a crisis, initial impacts on affected populations and immediate needs, mainly through secondary data collection and direct observation, where possible.

Focus:	Scale and severity of impact, forecasting; priority needs of vulnerable groups.
Timeframe:	Three days.
Sources:	Mostly secondary data sources with primary data from remote sensing and direct observation in a limited number of purposively selected sites.
Resources:	National authorities, Resident Coordinator/Humanitarian Coordinator's office, United Nations Disaster Assessment and Coordination (UNDAC)/OCHA and experienced staff from agencies/clusters/sectors.
Reporting:	Preliminary Scenario Definition.

Background

The Preliminary Scenario Definition (PSD) or Situation Report is the expected output of the MIRA I and should be prepared within 72 hours of a crisis event. It is based mainly on secondary data; primary data are used if available, however they may be limited in quantity and accuracy as the information is constantly changing. The PSD assists in the establishment of an initial response plan and shapes early calls for funding, such as Flash Appeals or requests to the United Nations Central Emergency Response Fund or donor-specific emergency response funds. All Flash Appeals should include the PSD to demonstrate the evidence on which they are founded.

Triggering factors

The MIRA process is usually triggered in response to a large-scale, sudden-onset crisis⁷ and is typically based on a government's request for international humanitarian assistance. These requests are mainly addressed to the Resident Coordinator's office in the country. Within 48 hours of a major emergency event, the IASC Principals decide whether to declare the crisis a Level 3 emergency⁸, and assess their willingness to assist the government during response. Concurrently, FAO will perform its own assessment of the impact on agriculture, food and nutrition security and/or food safety and decide whether to declare an organizational Level 3 emergency response⁹. With regard to smaller-scale events, the Humanitarian Coordinator, in consultation with the HCT and the government, can trigger a MIRA.

⁷ IASC. 2012. Humanitarian System-Wide Emergency Activation: definition and procedures.

⁸ "Level 3" emergencies are defined as "major sudden-onset humanitarian crises, triggered by natural crises or conflict, which require system-wide mobilization". Five criteria are used by the IASC Principals to determine whether a Level 3 response is required: scale, urgency, complexity, combined national and international capacity to respond and reputational risk. (From "Humanitarian System-Wide Emergency Activation: definition and procedures", IASC Working Group Paper. March 2012.)

⁹ As outlined in the FAO Director-General's Bulletin No. 2013/32 (7 May 2013) and in line with the IASC definition, FAO defines a Level 3 emergency as a level of emergency response in which "the capacities of the country, subregional and regional offices are overwhelmed, thus requiring full FAO corporate support." FAO uses the same five determining criteria as IASC.

If a multicluster approach is not officially triggered, the FSC Coordinator or FAO could decide to implement an adapted MIRA process in response to a smaller-scale event – specifically focusing on the food security and livelihood aspects of the MIRA approach – in order to maintain the same standards and use the same tools and indicators.

Define the scope, scale and objectives of MIRA I

The scope, scale and objectives of MIRA I should be identified and agreed upon by all relevant actors from the beginning of the process, particularly the government. Specific components to be taken into consideration include:

- Geographical scope or coverage of the assessment: which areas will be assessed?
- Assessment level: is information required at district, provincial or regional level (a national level assessment is highly unlikely outside of small island states). Where possible, disaggregate data in terms of age, gender and households with members with disabilities or other vulnerable groups.
- Linkages to decision-making and funding mechanisms: which mechanisms is the assessment meant to inform and how?

The objectives are not absolute, and may therefore be revised according to changes in the situation or if more information becomes available regarding needs and gaps.

Adapt and agree upon the MIRA framework

The PSD defines the MIRA framework and is based on the following eight themes:

- drivers of the crisis and underlying factors;
- scope of the crisis and humanitarian profile;
- status of populations living in affected areas;
- national capacities and response;
- international capacities and response;
- humanitarian access;
- coverage and gaps; and
- strategic humanitarian priorities.

Establish assessment coordination structure and define Terms of Reference

An assessment coordination structure – such as an Assessment and Information Management Working Group (AIM WG) – should be established in order to: bring actors together; support the design, coordination and harmonization of the assessment; and ensure joint analysis and dissemination of results. Each position in the AIM WG structure should have specific Terms of Reference in order to define roles and responsibilities throughout the MIRA process.

All stakeholders (government institutions, UN agencies, humanitarian actors and, if possible, donors) should be included in the AIM WG structure as this will facilitate acceptance of the process and ownership of the final outputs.

The close involvement of FAO staff or FSC members in the AIM WG broadens the scope of the PSD to provide an accurate overview of impacts and priorities related to agriculture, food security and livelihoods. This will in turn be reflected in the design of the Strategic Response Plan and the support provided to the affected population.

Launch secondary data collection

All available sources of information should be taken into consideration to ensure that the most comprehensive pre-crisis situation overview is generated. Ideally, this information will be gathered during Phase 0 so that it is available to be included or updated in the PSD. The collection of data from various sources will also allow for the triangulation of information during the collection process. Special attention should be given to the reliability and specificity of information.

The main sources for this phase are secondary data, which can include geospatial information. Where possible, KIIs will be undertaken (see more below). Common operational datasets (CODs) are one of the main sources of secondary information. CODs would normally be made available by OCHA within 48 hours of an emergency and cover essential data on seven topics: (i) humanitarian profile; (ii) population statistics; (iii) administrative boundaries; (iv) populated places; (v) transportation network; (vi) hydrology; and (vii) topography. CODs are critical to support the work of humanitarian actors across multiple sectors¹⁰.

There are two types of secondary information:

- pre-crisis secondary information, including baseline information and lessons learned from previous crises and responses (see Section 2.2 for key sources of information); and
- in-crisis secondary information, including all written information directly related to the crisis and not collected through the MIRA I process; for example, information gathered from initial reports produced by humanitarian partners, media, the military or other government sources. In-crisis information helps provide an overview of the current crisis situation and, when compared with pre-crisis information, assists in assessing the impact of the crisis.

Specific primary data collection

During the MIRA I process, primary data should be collected where and when possible. Potential sources include: government staff based in the crisis-affected area, such as extension workers, health workers, teachers and administrative staff; village, religious or community leaders; and staff of humanitarian or development organizations operating in the region.

Multiple sources should be consulted to obtain a complete analysis of the situation and allow for cross-checking/triangulation of information gathered. All pre- and in-crisis information

¹⁰ IASC. 2010. IASC Guidelines on Common Operational Datasets in Crises Preparedness and Response (http://cod.humanitarianresponse.info/sites/default/files/iasc_guidelines_on_common_operational_datasets_in_crises_preparedness_and_response_1_nov._2010.pdf).

should be vetted and weighed to assess its reliability regardless of the source for an accurate and objective view of the situation.

During this phase, it is important that FAO, as co-lead of the FSC, contacts its focal persons on the ground – including staff from the local administration or line ministries as well as implementing partners or cluster members – in order to enlarge the scope and sources of initial information.

Key indicators for information gathering

Indicators of particular relevance to FAO and agriculture sector partners in a MIRA I process are presented in Figure 3. This is a subset of a set of “Standard FSC Output Indicators”. The full set of indicators is provided in Annex III.

Figure 3: MIRA I indicators of relevance to FAO and agriculture sector partners

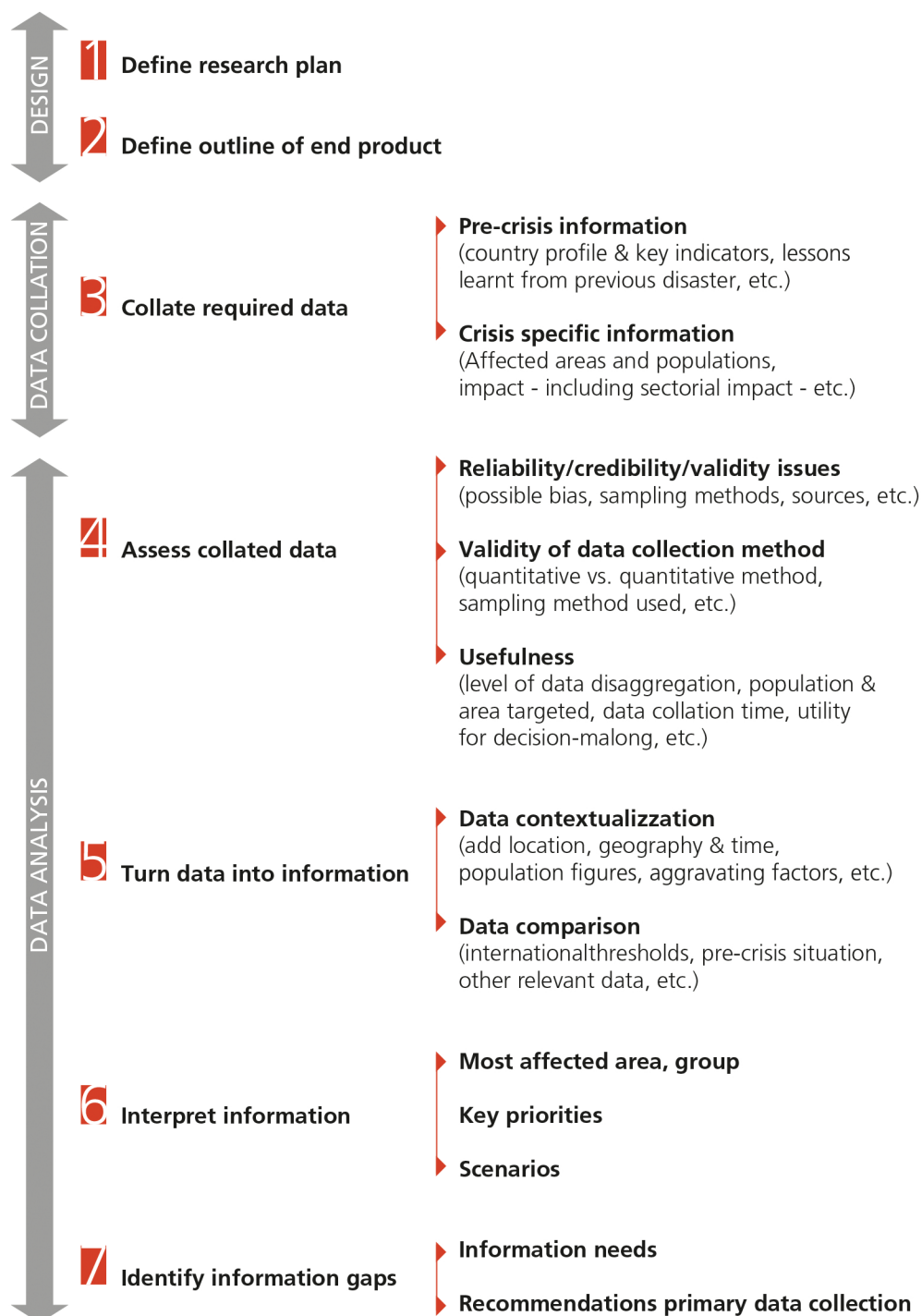
Theme	Indicator	Comments	Phase
Food access	Percentage change in food consumption patterns	current compared with pre-crisis; frequency of meals, dietary diversity, increase/decrease of certain food items; context-specific (household, community, individual)	1, 2, 3, 4
	Percentage change in food source	sources include food purchases, food production, borrowed food, food aid, gifts, barter, wild foods; current compared with pre-crisis	1, 2, 3, 4
	Percentage of households with less than three daily meals for children under 5	Nutrition Cluster formulation: minimum meal frequency: percentage of infants aged 6–23 months who receive solid, semi-solid and soft food the minimum number of times or more	1, 2, 3, 4
Income access	Percentage of households with productive and non-productive assets	including animals, as appropriate; current compared with pre-crisis	1, 2, 3, 4

Theme	Indicator	Comments	Phase
Market access	Percentage of communities without physical access to functioning markets	Current compared with pre-crisis	1, 2, 3, 4
	Percentage change in key food and non-food commodity prices	compared with pre-crisis; key commodities: staple foods, cooking fuel, heating fuel, animals in peri-urban and pastoral contexts	1, 2, 3, 4
Market access	Percentage of communities where food prices have significantly increased	Significantly: context-dependent	1, 2, 3, 4
Availability	Percentage of households by duration of staple food stock	Food stocks or capacity to have access	1, 2, 3, 4
	Percentage change in production compared with previous year's harvest, by commodity	Crops, cereals, vegetables, fruit	2, 3, 4
	Percentage of households/ communities unable to plant for next season	compared with pre-crisis; seeds, agricultural tools, access to land, etc.	1, 2, 3, 4
	Percentage of households/ communities that have lost animal reproduction assets	animals; compared with pre-crisis	1, 2, 3, 4
	Number of reported animal disease outbreaks	Current compared with pre-crisis	2, 3, 4
	Percentage of households with suitable daily water and fodder consumption for livestock	Quality and quantity	1, 2, 3, 4
Utilization	Percentage of households with capacity to prepare food safely	Cooking equipment, storage, fuel, safe water, hygiene	1, 2, 3, 4

Conduct sectoral and intersectoral analysis

Sectoral secondary data analysis is performed at cluster level, while intersectoral or final secondary data analysis is completed at AIM WG level. Both sectoral and intersectoral data analysis should involve the same process, consisting of the steps presented in Figure 4. The results obtained are based on a consensus reached between all participating stakeholders, including FSC or AIM WG members.

Figure 4: Sectoral and intersectoral data analysis



Determine strategic humanitarian priorities

FAO or FSC co-leads should be involved in the vetting process for collected information to be included in the PSD report¹¹. This will ensure that, in addition to lifesaving aspects, livelihood protection is taken into account, addressing the specific needs of all segments of the population. Such needs could be related to immediate interventions required to avoid catastrophic livelihood deterioration in the future (e.g. immediate seed distribution to allow planting to take place in time for an upcoming agricultural campaign, thereby avoiding the need for continued food aid after the immediate humanitarian response phase). In addition, immediate livelihood saving actions may be required to prevent depletion of key assets and the adoption of negative coping mechanisms, such as sale or slaughtering of livestock.

Livestock normally represent the savings and assets of households in rural areas; therefore, protecting animals through immediate vaccination, provision of feed and/or shelter is paramount to boost the current and future resilience of crisis-affected households and communities.

Prepare and disseminate the PSD

The PSD reflects a shared understanding of the situation across the humanitarian community and is intricately linked to the development of a joint strategic plan and resource mobilization tool (e.g. Flash Appeal). The PSD may be updated periodically until the final MIRA II report is written; each new update is the result of a revised intersectoral analysis. OCHA is most commonly responsible for updating and disseminating PSDs, with clusters/agencies contributing inputs for their respective sector. Updates may also be prepared upon request of a specific stakeholder (e.g. UN Country Team, government, donor community) or following any significant changes in the situation.

MIRA I output: PSD or Situation Overview

Annex V provides an example of a PSD. Full MIRA I situation reports can be found at the following Web pages:

http://pakresponse.info/LinkClick.aspx?fileticket=V0K1IZz_8Dc%3d&tabid=148&mid=915
www.humanitarianresponse.info/en/system/files/20131129_MIRA_Report_-_Philippines_Haiyan_FINAL_0.pdf

11 The PSD template can be found at: <http://assessments.humanitarianresponse.info/psd>.

2.3 Phase 2: multi-cluster initial assessment (MIRA II)

Phase 2 consists of an assessment of the impact of a crisis on livelihoods, including the main humanitarian needs and priorities.

Focus:	Overall impact of the crisis and strategic humanitarian priorities.
Timeframe:	About 2 weeks after the crisis.
Sources:	Mix of secondary and primary data. Primary field data is collected jointly from purposively selected locations, across affected areas and selected based on access, timing, resources and purpose of the assessment.
Resources:	National authorities, the office of the Humanitarian Coordinator/Resident Coordinator, UNDAC/OCHA, and experienced staff from agencies and clusters/sectors, managed by the AIM WG.
Reporting:	MIRA report with cross-cluster/sectoral conclusions.

Background

Expected outputs of the MIRA II include the MIRA report and the Humanitarian Dashboard, which should be produced within two weeks following a crisis to enable more detailed response planning and contribute to the revised appeal. The revised appeal is normally expected within four weeks following the release of the Flash Appeal, although this timing is indicative and the actual timing of both appeals may vary based on the specific context of the crisis.

Triggering factors

MIRA II does not require a specific trigger to be activated as it is a logical next step in the MIRA process when a multicluster approach is followed. However, in the case of a Level 3 emergency, if the MIRA I phase has been skipped, then the MIRA II relies upon the same trigger as MIRA I (described in Section 2.2). In the case of a less-severe Level 2 or Level 1 emergency¹², it may be appropriate to begin with the MIRA II process.

Define scope, scale and objectives of MIRA II

The main output of MIRA II is the MIRA report, which should be produced within two weeks of a crisis in order to ensure detailed response planning. The report's key findings should be captured in the Humanitarian Dashboard and included in the revised Flash Appeal, which is typically produced around three weeks to one month after the initial Flash Appeal, as described in the MIRA guidelines. Ideally, the Humanitarian Dashboard is maintained and updated regularly to capture changes in the intervention timeline and identify new needs, gaps or overlaps in terms of response.

¹² See FAO Director-General Bulletin No. 2013/32 [7 May 2013] in Annex XVII for FAO's definition of a Level 1 and Level 2 emergency.

Define sampling and site selection

As time constraints do not typically permit random or statistically representative sampling, a sample of sites that represents a cross-section of typical regions and affected populations is generally selected. Such sampling is known as purposive sampling and includes considerations such as:

- Urgent need: at the height of a crisis, data collection is a quick exercise limited to areas showing the greatest need, or where vulnerabilities are believed to be the highest.
- Accessibility of the sites: physical and humanitarian access may be constrained in the immediate aftermath of a crisis (e.g. onset of a large-scale natural crisis, insecurity arising from conflicts). This should be taken into consideration during the selection of sample sites.
- Gaps in existing knowledge: locations about which little is known, or where lack of key information is quite evident, should be prioritized and selected, particularly where there are no relief agencies operating.

The sampling size or number of sites to be visited is determined by the availability of staff, time and logistical support, as well as by the geographic spread of the crisis and the heterogeneity/homogeneity of the population. Other practical criteria linked to programme response may also guide the selection. It is important to note that purposive sampling does not generate results that accurately represent the whole of the crisis-affected population; rather, it serves to gain understanding of the overall scope of the most pressing issues, concerns and needs, and to provide ground-verification for the findings of the secondary data analysis, as well as to integrate the insight of affected communities in the prioritization of humanitarian interventions.

Primary data collection through the Community Level Assessment (CLA)

The key instrument in a MIRA II is the CLA, which entails collecting and analysing primary data, focusing mainly on qualitative information. The CLA provides a unique opportunity to assess needs and priorities – which should be gender-disaggregated to the extent possible – as perceived by the affected population and incorporate them into a broader assessment of strategic humanitarian priorities. Limiting the number of sites is recommended in order to increase the quality of the assessment. Annex VIII provides an example of FSC-specific questions for the CLA.

The CLA investigation form, used for primary data collection, is composed of four modules. By combining the modules and/or their components, the investigation form can easily be adapted to fit the objectives of the assessment and the context of the crisis. It is important that the FSC or FAO verifies that the required fields related to agriculture, livelihoods and food security are included in the CLA investigation form (questionnaires and checklists).

Description module

This module describes aspects of the assessment (date and team) and the community to be assessed (location, type of settlement, setting and population, as well as their main sources of livelihood).

The module will support data management and verification by field teams, along with stratification of the analysis (see Annex VI).

Generalist key informant module

This module comprises the following three elements:

- opening questions to identify which problem areas (e.g. food, drinking water, security) are perceived as a “serious problem” by the assessed communities and different groups within the communities;
- area-specific questions to further investigate each problem area, allowing a more in-depth understanding of underlying causes and providing insight on the ways in which communities and individuals are affected; and
- ranking of problem areas and identification of the most affected subgroups within the community, which allow key informants to identify priority problem areas and list the most affected subgroups in each area.

The main sources of information include individual discussions with local residents, displaced persons, host communities and refugees and/or focus group discussions with the affected population, if feasible. Women and men should be consulted both in separate and mixed meetings. When time is a constraint, separate meetings should be prioritized. The main aim is to obtain a wide range of in-depth information, rather than statistically representative information from many households.

Annex VI contains a preview of the MIRA Investigation Form template and generalist key informant module, as well as an example of a MIRA II questionnaire.

Specialized key informant module

This module is aimed at extension workers, veterinarians, market suppliers, input and service providers and locally-based staff of the agriculture, fishery or livestock departments or staff from NGOs operating in the affected areas with agricultural interventions. Representatives of women's groups and NGOs working with gender issues, minority groups and disabled persons should also be included. The module supports the identification and, when appropriate, ranking of sector-specific problems. It focuses on questions that can be better answered by experts. It is also possible to interview key informants who have recently left an area with limited accessibility in order to collect information on the situation in the area (see Annex VI).

Direct observation module

This module brings together structured observations recorded by team members at the end of each visit, based on a previously established checklist (see Annex VII).

Analysing MIRA II Information¹³

Conduct first-level analysis

This is conducted by field teams based on the module presented in Figure 5. Each response team, along with their corresponding supervisors, should complete this module each day during the debriefing sessions that follow field trips. The table ranks priority problem areas and identifies the most affected subgroups.

Figure 5: First-level analysis module for the assessment team

Rank	Area-specific items	Most affected subgroups	Phase
First most important	Priority problem area number 1	Men Women Boys Girls Other persons Persons with disabilities Particular ethnic/religious groups (specify) All groups are affected in similar ways Do not know	1, 2, 3, 4
Second most important	Priority problem area number 2	Men Women Boys Girls Other persons Persons with disabilities Particular ethnic/religious groups (specify) All groups are affected in similar ways Do not know	1, 2, 3, 4
Third most important	Priority problem area number 3	Men Women Boys Girls Other persons Persons with disabilities Particular ethnic/religious groups (specify) All groups are affected in similar ways Do not know	1, 2, 3, 4

Conduct the second and final intersectoral analysis

The same procedure should be followed as described for the MIRA I. Second-level analysis is performed at FSC level, and the final intersectoral analysis is conducted at the AIM WG level – both through a consensus-building approach.

Determine strategic humanitarian priorities

At the last stage of the final intersectoral data analysis process, strategic humanitarian priorities are determined.

This requires a discussion among all relevant actors, and consensus-building around key findings and resulting decisions. In order to reach a consensus, participants should provide evidence to support their position and indicate their level of confidence in the analysis and interpretation. This evidence should be included in the reports' conclusions. When a consensus cannot be reached, the diverging views should be recorded and revisited, especially when new evidence is uncovered, and the conclusions amended accordingly.

Prepare, clear and disseminate the report

Members of the AIM WG are responsible for compiling the overall MIRA II report using sector-specific inputs from the different clusters. The final product must be endorsed by all stakeholders during a HCT meeting in order to ensure their approval of the final product.

Annex IX provides an example of a partial MIRA report and Annex X a Humanitarian Dashboard.

Full MIRA II reports can be found at:

<http://pakresponse.info/LinkClick.aspx?fileticket=QSijWXr5nOg%3d&tabid=148&mid=915>

www.humanitarianresponse.info/en/system/files/20131129_MIRA_Report_-_Philippines_Haiyan_FINAL_0.pdf

www.humanitarianresponse.info/en/system/files/documents/files/SHARP%20Sector%20Achievements%202014%20.pdf

Use of the MIRA framework in FSC or FAO assessments

Where a decision is made not to activate a MIRA through a multicluster modality, the framework can still be used as an assessment guide for an FSC or agency-specific initiative. It provides a basis for concerned agencies to identify the scale of the crisis, immediate needs of the affected population and appropriate response options to address those needs, which will be presented to donors and the government.

2.4 Phase 3: household food security and agricultural livelihood assessment (HALA)

A Phase 3 assessment employs random sampling to derive a representative picture of household-level impact and priorities for continued emergency support and early recovery needs. It should be sufficiently detailed to guide agricultural livelihood-specific programming and targeting.

Focus:	Household-level impact and priorities for agricultural livelihood emergency support and early recovery.
Timeframe:	4 to 8 weeks after declaration of emergency.
Sources:	Mainly primary data at household level.
Resources:	Financial and human resources mainly provided by FSC leads and FSC agencies.
Reporting:	Early recovery needs assessment report, which can provide information for the Strategic Response Plan.

Background and objectives

The IASC Operational Guidance for Coordinated Assessments in Humanitarian Crises calls for the implementation of a multicluster assessment approach during the first two phases of an emergency (represented by MIRA I and MIRA II). Thereafter, in-depth assessments should be initiated, coordinated and implemented by cluster lead agencies or the cluster structure in collaboration with its members and, if required, in agreement and close collaboration with the national/local governmental structure or cluster-specific line ministries or institutions. In this cluster-/sector-specific phase, assessments may be implemented through a joint or harmonized approach (as defined in Section 1.4).

The HALA focuses on the impact of crises on the livelihood assets and food security of populations involved in agriculture and provides recommendations on priorities for early recovery. In all cases, disaster risk reduction and resilience-building considerations should be mainstreamed into the analysis and recommendations of the HALA¹⁴.

Triggering factors

The HALA should be initiated as soon as feasible following a crisis (typically four to six weeks). If conditions allow and the triggering factors are considered to be favourable, it is recommended that preparation of the HALA be initiated in parallel with the implementation of MIRA II. The main factors to take into consideration in determining the suitability and feasibility of conducting a HALA are:

- **Accessibility of affected areas:** As a general rule, a HALA can only be conducted if it is possible to access affected areas at a reasonable cost and with reasonable safety.

14 In Bangladesh, the FSC developed a specific handbook for this phase: http://foodsecuritycluster.net/sites/default/files/Annex%209%20E_Phase%20III%20-%20Emergency%20Food%20Security%20Needs%20Assessment%20-%20Phase%20III%20HANDBOOK.pdf.

- In exceptional circumstances, where the available budget is sufficient and/or when enumerators have undergone special training, this may be waived by the security focal person (e.g. if helicopters are available for survey work).
- Security of the survey team: Many factors must be taken into account to ensure the security of the assessment survey team in a post-crisis environment, including: (i) crime and civil unrest in conflict situations; (ii) natural hazard risks such as landslides, flooded river beds, unsafe road conditions and damaged bridges in post-natural crisis conditions; and (iii) the condition of members of the affected population awaiting urgent assistance, which can trigger precarious situations for humanitarian actors.
- Availability of funds: Unlike the MIRA process, which is always funded, additional resources need to be found for cluster- or agency-specific Phase 3 assessments.

It is recommended that the HALA be initiated as soon as possible following the MIRA II process. If the assessments are implemented in parallel, the Strategic Response Plan and other documents of interest to resource partners could benefit from the information obtained.

Preparation of the HALA (including developing the questionnaire, establishing and coordinating partners, funding, training of enumerators, etc.) takes between one to two weeks. At this point, the initial outcomes of the MIRA II should already be available and should influence the preparation of the HALA questionnaire by guiding the selection of specific livelihoods and locations to be further examined.

Importance of sample size for prioritization and programming

Sample size is a key consideration in conducting a HALA as it determines the degree to which the sample is representative at the level of different administrative areas. As a rule of thumb, it is advisable to have a sample of at least 300 per administrative area of interest (e.g. a district). Thus, if a HALA covers six districts this means a sample size of 1 800 households is necessary to ensure a high degree of confidence in the accuracy of the estimates. Smaller sample sizes are possible, but with corresponding reductions in the level of accuracy of the estimates.

Main issues to be assessed, tools and corresponding indicators

The core tool for the HALA is the household questionnaire (refer to Annex XI for an example of a generic questionnaire). This should, if possible and as needed, be supplemented with other tools including a market survey and semi-structured interviews.

The household questionnaire should assess the different aspects of agricultural livelihoods affected by the disaster. The information should be gathered in such a way as to facilitate analysis by gender, age, ethnicity and poverty.

An indicative minimum list of issues to be investigated at the household level is provided in Figure 6. Depending on the nature of the shock(s) experienced and the vulnerabilities and capabilities of affected populations, some issues will receive greater emphasis than others and some will not be relevant to particular types of shocks (e.g. damage to tools in a drought).

Figure 6: Indicative list of issues to be investigated at household level

Issue	Information
Household characteristics	Household composition (e.g. number of members, gender, age); Vulnerable family members (elderly, members with disabilities, pregnant and lactating mothers, etc.); Religious/ethnic background (if feasible)
Current food consumption and sources	Consumption of different food groups over a 7-day period, with sources; Extent of loss of stored food
Livelihoods and income	Key sources of income (pre- and post-event)
Seed sources and losses	Extent of loss of stored seed by crop; Changes in seed sources
Asset losses	Damage and losses to irrigation infrastructure, tools and equipment
Livestock ownership	Number of animals owned before and after event
Markets	Access to markets; Availability of different foods and agricultural inputs in markets; Prices of different inputs and commodities
Needs	Key food security and livelihood support needs – ranked and divided into immediate needs and expected needs (e.g. expected needs in 3 months); Key areas to be covered include: food, cash, livestock, crops and inputs, agricultural infrastructure

Semi-structured interviews with key informants

A semi-structured interview is addressed to an individual or small group of people who are able to provide detailed qualitative information about specific topics. This information often complements the more quantitative information obtained from household surveys, allowing more sensitive subjects (i.e. protection and gender-related issues) to be addressed. The information gathered from different sources can be used to triangulate and cross-check information collected throughout the entire survey. It is important to ensure that women are among the key informants, as well as those with considerable knowledge of the issues faced by women and minority groups (for more details, see Annex XIV).

Examples of key informants include:

- traders at markets or shops and traders' associations;
- agricultural extension workers, farmers' associations, cooperatives and agribusiness owners;
- livestock extension workers and community animal health workers;

- fishery or aquaculture associations and fishery inputs providers; and
- representatives of women's groups, associations and networks.

Observations

This facilitates the collection of a substantial amount of information through fieldwork and visits to the survey area. To conduct observations, staff should be trained to avoid over- or under-estimation of the observed information. As this approach can be subjective (based on staff and their interpretation), it should be combined with additional tools. Information gathered via observation can also help guide which information should be addressed to the key informants. Observation is an important tool to assess the roles of women and men of different age groups; for example, observation allows survey staff to assess whether a specific segment of the population (e.g. women) is visible in public spaces (in shelters, on the streets, etc.), their main activities (e.g. collective activities, rebuilding, income generation, collecting water), and their general appearance (distressed, angry, happy, unwell, etc.).

Data analysis and interpretation

Once data have been gathered, they must be collated and interpreted. Household questionnaire data are usually entered into an Excel spreadsheet or a database. Basic analysis may be conducted in Excel; for more sophisticated analyses, packages such as Statistical Package for Social Science (SPSS) can be used.

Report structure, clearance and dissemination

Reports should be adapted to the templates of donors and other stakeholders. However, in general reports should include the following components:

- Cover page
- Abbreviations and acronyms
- Table of contents
- Executive summary
- Introduction and background
- Objective and methodology of the assessment
- Survey findings
 - characteristics of households and livelihoods including seasonality
 - impact of event on: agricultural production; livestock; agricultural infrastructure; market access and prices; food consumption; income sources and livelihood sources
- Potential responses or priority interventionsRecommendations
- Annexes (e.g. survey concept note; tools [questionnaires, checklists, etc.]; locations assessed [maps])

If there is adequate capacity and/or sufficient time available, it is recommended that individuals from FSC agencies be tasked with drafting the different sections of the HALA

report. This could be supported by external consultants if required and financially feasible. The final product should be cleared by the FSC and endorsed by the involved government institutions or line ministries.

2.5 Phase 4: livelihood recovery assessment (LRA)

In Phase 4, the LRA focuses on three issues: (i) extent of recovery; (ii) extent, quality and impact of assistance received; and (iii) key priorities for continued support to livelihood recovery. Above all, the LRA should guide recovery interventions in the food and agriculture sectors.

Focus:	Recovery needs and continuation of humanitarian support; identifying gaps in interventions or priority vulnerable groups.
Timeframe:	6 to 12 months after the crisis.
Sources:	Mainly household questionnaires.
Resources:	Human resources mainly provided by FAO, WFP and other cluster lead agencies. Financial support may come through the Flash Appeal or bilateral funding sources.
Reporting:	Recovery Strategy Report.

Background

Post-emergency recovery periods are often underestimated. Previous experience (e.g. post-2010 floods in Pakistan, after the 2011 droughts in the Sahel and Horn of Africa) demonstrates that while the majority of households are able to resume some livelihood activities after one year, many remain far from full recovery from the effects of the crisis. In particular, rehabilitating damaged rural infrastructure (irrigation, feeder roads, etc.) and restocking lost livestock can require support over a number of years. In many cases, households' debt burden increases significantly after crises, as they often borrow money to meet their immediate needs as a coping mechanism, which further restricts their recovery.

The LRA aims to track the recovery process and indicate priority support needs for continued recovery and transition, with a focus on supporting resilience at the household and community levels.

Triggering factors

The LRA should be conducted sometime after the crisis – typically between 6 and 12 months after a crisis. In some cases, especially for protracted crises which may result in donor fatigue, an LRA is recommended to draw attention to the unresolved needs of the affected population.

Main objectives of the LRA

- Evaluate the extent to which affected households have recovered in terms of livelihood and food security since the crisis.

- Provide insight into the impact and effectiveness of interventions designed to support livelihood and food security recovery.
- Understand problems and issues that remain for livelihood recovery and the implications for future programming for different crisis-affected and vulnerable groups.

Main areas to be assessed

Figure 7: Sections included in an LRA questionnaire (see Annex XIII for an example)

Section	Information
General	Information on the survey team Geographical location Details of interviewed households
Household composition	Type and composition of the family; Level of education of the adults in the household; Ownership of identity cards; Roles of household members in various livelihood activities, disaggregated by gender and age
Hazards and vulnerability	Types of hazard (and frequency) that have affected the household; Impact on the household and its members; Each household's specific ability to cope with the impact of hazards
Displacement and assistance	Status of household's displacement; Type, origin and satisfaction level of the assistance received
Agriculture, livestock, fisheries and aquaculture	Land access and tenure; Seasonal cropping system information; Comparison of actual and usual obtained production levels and reasons for discrepancies; Purpose of animal holding and commercialization of animal products; Changes in livestock holding purposes and influencing factors; Number of animals, boats and fishing gear, aquaculture assets and post-harvest processing equipment owned pre- and post-crisis

Section	Information
Livelihood, income and expenditures	<p>Sources of income;</p> <p>Difference between before emergency, immediately after emergency, and currently;</p> <p>Reasons for and duration of changes in income sources;</p> <p>Wages for skilled and unskilled labour;</p> <p>Employment or income-generating activities among women and children;</p> <p>Changes in levels of debt;</p> <p>Reason for indebtedness;</p> <p>Changes in assets owned pre-crisis, immediately post-crisis and currently.</p>
Food consumption	<p>Changes in number of meals consumed;</p> <p>Frequency, quantity and quality of each food group consumed;</p> <p>Main household decision-maker regarding type, amount and frequency of food consumption</p>
Resilience and coping strategies	<p>Activities undertaken by the household to recover;</p> <p>Expectations of change in the situation</p>
Quality and quantity of assistance received	<p>Frequency of different kinds of support, including food distribution, cash, agricultural inputs and seed, livestock support, infrastructure repair;</p> <p>Priorities for support in the short term (0–3 months), medium term (3–12 months) and longer term (over 12 months)</p>

Sampling

The same issues apply here as for the HALA report.

Data analysis and interpretation

Once data have been gathered, they must to be collated and interpreted. Household questionnaire data are typically entered into an Excel spreadsheet or a database. Basic analysis may be done in Excel; for more sophisticated analysis, packages such as SPSS can be used.

Report structure, clearance and dissemination

Reports should be adapted to the templates of donors and other stakeholders, and structured as follows:

- Cover page
- Abbreviations and acronyms
- Table of contents
- Executive summary

- Introduction and background
- Objective and methodology of the assessment
- Survey findings
 - characteristics of the households and livelihoods
 - effects of the crises on their livelihoods
 - hazards, shocks and vulnerability
 - level of recovery since the crises
 - received assistance and its effectiveness
 - outstanding needs and gaps to fill
 - groups or intervention areas still to be addressed
- Potential responses or priority interventions
- Recommendations
- Annexes (e.g. survey concept note of; tools [questionnaires, checklists, etc.]; locations assessed [maps])

Main steps of a survey

As the HALA and LRA are questionnaire-based surveys¹⁵, the following main steps must be followed:

1. Survey preparation
2. Development/adaption of tools
3. Planning, coordination, implementation and monitoring of fieldwork
4. Data management
5. Data analysis
6. Data interpretation (prioritization of needs and implications for future programming)
7. Report writing and dissemination of results
8. Follow-up

¹⁵ See FAO. 2014. How to conduct a survey from A–Z.

Section 3

COMPANION ASSESSMENT TOOLS

3.1 Complementary food security and/or livelihood-focused assessment tools

In addition to the Phased Needs Assessment core tools, there are a number of companion tools that can be used in a variety of circumstances, and at different times depending on the preferences of government, UN and NGO partners. The following tools have been selected owing to their relevance to FAO and partners in the food security and agriculture sector. For each tool there is an indication of when it is normally used, i.e. as a baseline, early warning or in Phases 1, 2, 3 or 4.

CFSAM – Baseline and early warning

The CFSAM is conducted jointly by FAO and WFP to provide an accurate picture of the extent and severity of crisis-induced food insecurity – existing or expected – in a country (or in specific areas). The mission is undertaken to allow for timely and appropriate actions to be implemented by the government and international community to minimize the impact of the crisis on affected populations.

CFSAM analyses the food security situation at micro and macro levels:

- At macro level, the mission analyses the overall economic situation, agricultural production and market conditions, and the aggregate supply and demand for staple foods (mainly cereals), to produce a national cereal/staple food balance sheet and an estimate of any unmet staple food import requirements for the coming marketing year.
- At micro level, the mission analyses crisis-affected households' access to food in the coming year, taking into account household production, market purchases and other sources. It produces estimates of household food access shortfalls and the assistance that will be required by different groups during specific periods to ensure access to adequate food.

The two levels of analyses are then combined to provide recommendations on how any national-level deficit should be made up and how the assistance required by different groups should be provided; options could include imported food aid, distributions of locally-purchased food, cash or other non-food transfers, subsidized sales, or a combination of responses. In addition to other factors, the type of assistance will be determined mainly by the overall food supply situation, market conditions, and nutritional and operational considerations.

Trigger: The CFSAM should be implemented when a sudden- or slow-onset crisis has a large impact on agricultural production.

The CFSAM guidelines are available at:

<ftp://ftp.fao.org/docrep/fao/011/i0515e/i0515e.pdf>

HEA – Baseline and Phases 1, 2 and 3

The HEA is a livelihoods-based framework developed for analysing the ways in which people access the items they need to survive and prosper. It helps determine a population's food and income needs and identify appropriate means of assistance, whether short-term emergency interventions or longer-term development programmes or policy changes. The HEA is based on the principle that an understanding of how people usually make ends meet is essential for assessing how their livelihoods will be affected by acute or medium-term economic or ecological changes. It is also used for planning interventions that will support, rather than undermine, the existing survival strategies of people affected by a shock.

HEA is used to create baselines and estimate (before a shock) or measure (after a shock) the impact of different kinds of emergencies on access to food and income.

The HEA is an analytical framework and not a method of information collection. It defines the information that needs to be collected and the way in which it should be analysed in order to answer a particular set of questions. Over the past 15 years, the information necessary for HEA analysis has been gathered largely through the use of rapid appraisal methods and semi-structured interviews among focus groups. However, the HEA is a framework that can be used to gather data through a broad range of tools, providing appropriate measures that can be taken to ensure data quality. This could include secondary data sources, as well as targeted or randomly sampled surveys. The HEA aims at disaggregating household economic information by household wealth (e.g. very poor, poor, middle and better off). Other aspects of the framework – such as the monitoring information required to put together the problem specifications or track outcome predictions – may also be better suited to household survey methods, depending on time, funding and personnel available.

A guide to the implementation of the HEA is available at:

www.savethechildren.org.uk/sites/default/files/images/HEA_Guide.pdf

Hazard Livelihood and Vulnerability (HLV) – Baseline of the FAO LAT

The HLV approach is structured around a number of elements arranged sequentially as follows:

- General description of the area at risk
- Hazard information
- Demographic information
- Livelihood profiling
- Seasonal impact and response calendars
- Response typologies
- Institutions for livelihood support
- Socio-economic tables and statistics

By bringing these elements together, the HLV process generates a baseline and contingency plan that can guide intervention planning and prioritization in the early phases of an emergency and can be adjusted as post-disaster information is gathered.

Additional information on the LAT process is available in:

www.fao.org/fileadmin/templates/tc/tce/pdf/LAT_Brochure_LoRes.pdf

WFP EFSA – Phases 1, 2 and 3

WFP conducts EFSA to assess the impact of a shock (natural disaster, conflict, economic, etc.) on the food security of households and communities within an affected area. An EFSA combines primary and secondary information to inform decision-making during rapid- and slow-onset emergencies. It provides a framework to guide analysis of the food security and nutrition situation and examination of the linkages between them. Key outputs of an EFSA include:

- description of the current food security and nutrition situation;
- analysis of the ways in which the affected population, the government and other stakeholders are responding to the emergency;
- forecast of the future evolution of food security and nutrition; and
- identification of response options and recommendations for intervention or non-intervention.

An EFSA may be conducted in the form of an initial (6–10 days after the crisis), rapid (3–6 weeks after the crisis) or in-depth (6–12 weeks) assessment.

Trigger: If an acute food insecurity issue has been identified under a MIRA I or II, this may trigger the need for an EFSA as an alternative to a HALA. In some circumstances, EFSA may be triggered in parallel with a MIRA II.

A handbook containing further information on the EFSA is available at:

http://documents.wfp.org/stellent/groups/public/documents/manual_guide_proced/wfp203246.pdf

FAO Assessment and Programme Formulation Guidelines for Agriculture Emergencies (APF) –Phases 2 and 3

The APF provides guidance for thorough damage, loss and needs assessments, and helps formulate appropriate rehabilitation responses using programme or project formats. The programme approach is intended for holistic and multisector interventions that include a number of subsectors, whereas the project format is intended to address specific subsector needs.

Trigger: APF guidelines can be used during any emergency needs assessment mission, as they include a wide range of tools and feature various types of needs assessment approaches.

A guide containing further information on the APF is available at:

www.fao.org/fileadmin/templates/tc/tce/pdf/APF_Assessment_Programme_Formulation.pdf

ILIA of the LAT – Phases 2 and 3

The ILIA is primarily designed to generate a credible and well-justified picture of the current and likely impact on livelihoods of a sudden-onset natural disaster. Conducting an ILIA requires analysis of secondary data combined with key informant data from officials, traders and community leaders and, where possible, household-level semi-structured interviews.

DLA of the LAT – Phases 3 and 4

The main objective of the DLA is to provide a thorough assessment of the impact of disaster on livelihoods and identify opportunities and capacities for recovery at household, community and local economy levels. The timeframe of the DLA calls for results to be ready within three months of the onset of a disaster. The DLA is structured around the five capitals or assets which are central to the Sustainable Livelihoods Approach (i.e. physical, social, financial, natural and human capitals).

3.2 Specialized needs assessment tools

A number of key tools address specific areas that are relevant to emergency response and recovery in agriculture and related fields.

FAO SSA – Phases 3 and 4

The SSA provides a set of tools to assess the effects of a crisis on household seed security and the implications for different intervention modalities. A revised SSA was developed by FAO in 2013–14. The results, including guidelines and survey tools, are available at:

www.fao.org/fileadmin/user_upload/food-security-capacity-building/docs/Seeds/Training_Material/FAO-SSA_PractitionersGuide-March2015.pdf

Trigger: The SSA should be conducted when the need for a seed intervention has been evaluated during Phases 1 or 2 of the assessment process. This will allow for a more thorough understanding of the prevailing factors influencing the need for a seed intervention, helping to determine the most appropriate measures to be implemented.

LEGS – Baseline, Phases 3 and 4

The LEGS provides a set of international guidelines and standards for the design, implementation and assessment of livestock interventions to assist people affected by humanitarian crises. LEGS aims to improve the quality of emergency response by increasing the appropriateness, timeliness and feasibility of livelihood-based interventions. It also focuses on the overlap between emergencies, livestock and livelihoods, with the objective of including a livelihoods perspective in livestock-oriented crisis relief.

LEGS is proposed to all stakeholders implementing emergency interventions in areas where livelihoods are fully or partially derived from livestock. LEGS is also relevant to policy- and decision-makers of resource partner and government agencies, whose funding and implementation decisions impact crisis response.

Trigger: If a significant share of crisis-affected households mainly relies on livestock for their livelihood, a LEGS survey should be conducted.

An overview of LEGS is available at: www.livestock-emergency.net/userfiles/file/legs.pdf

FAO Guidelines for Fisheries and Aquaculture Sector Damage and Needs Assessments in Emergencies – Phases 3 and 4

These Guidelines are intended for use in post-emergency damage and needs assessments, providing a standardized approach to assess the requirements of relief and rehabilitation operations directly related to fisheries and aquaculture.

The Guidelines are divided into two main sets of documents:

General Guidelines

These provide an introduction to conducting crisis needs assessments and introduce the overall context of a crisis situation, placing particular emphasis on the structure of relief efforts and the applicability of a sector assessment of fisheries and aquaculture. The General Guidelines also cover the generic, non-technical issues related to crisis needs assessments, of which fisheries and aquaculture specialists must be aware prior to beginning their work.

- Crises and the fisheries sector: Introduces the specific features of different types of crisis situations and particular issues that could affect the fisheries and aquaculture sector as a result.
- Crisis response context: Outlines some of the key factors to take into consideration when undertaking a post-crisis assessment of the fisheries and aquaculture sector to ensure that the work conducted fits into the overall framework of response to a crisis situation.
- Undertaking crisis needs assessments: Outlines the main types of crisis needs assessments and some key considerations relevant to each type of assessment, and provides an overview of the three stages of the assessment:
 - a. Fisheries and aquaculture baseline information
 - b. Initial impact appraisal
 - c. Detailed sector assessment

Detailed Technical Guidelines

These provide more detailed technical guidelines organized under key subsectors in fisheries and aquaculture, and include checklists of key points to consider while carrying out a sectoral needs assessment.

Trigger: If a significant share of crisis-affected households relies mainly on fisheries or aquaculture for their livelihood, a Fisheries and Aquaculture Sector Damage and Needs Assessment should be conducted.

More information on the assessment is available at:

<http://www.fao.org/publications/card/en/c/657b2fb3-d9c9-53a6-8b9e-5d6ffead59c2/>

Rapid Environmental Impact Assessment (REA) – Phase 3

The REA is a tool to identify, define and prioritize potential environmental impacts in crisis situations. This is a simple, consensus-based qualitative assessment process, involving narratives and rating tables, used to identify and rank environmental issues and follow-up actions during a crisis. The REA focuses on conducting an analysis of information, including:

- the general context of the crisis;
- crisis-related factors that may have an immediate impact on the environment;
- possible immediate environmental impacts of crisis agents;
- unmet basic needs of crisis survivors that could have an adverse impact on the environment; and
- potential negative environmental consequences of relief operations.

The REA is a best-practice tool designed for the assessment and management of natural, technological or political crises. Where solutions are not evident, the REA provides sufficient information to request technical assistance or to advocate action by a third party. The REA is expected to be most effective when completed using structured inputs from survivors and organizations providing relief assistance. The REA can also be used for needs assessment and environmental impact screening during relief project design and review.

Trigger: If a crisis has directly impacted the environment (destruction of mangrove forests, biohazard materials released into nature, etc.) or the relief operation could negatively impact the environment (establishing an internally displaced persons camp, drilling boreholes, etc.), an REA survey should be conducted.

Guidelines on the implementation of the REA are available at:
http://pdf.usaid.gov/pdf_docs/pnads725.pdf

FAO Rapid Agricultural Disaster Assessment Routine (RADAR) – Phases 1, 2 and 4

The RADAR is based on the idea that a crisis is the product of the combination of extreme factors and a vulnerable agricultural system. The current state of agricultural systems can be routinely collected in an information system. For extreme factors of geophysical origin, detailed quantitative and geo-referenced data about their characteristics are known almost immediately after the event. Some pre- and post-impact data are also made available through remote sensing; however, if impact models are readily available at the time of a crisis, this set of knowledge can be used to rapidly model impacts and generate preliminary assessments.

The procedures of RADAR combine model analysis, based on physical simulation of the crisis, and empirical analysis, using records of the environmental disruption after the event. Both analyses may be used alone or concurrently, and can be updated in real time to improve the assessment. The output of the analyses is the geographic distribution of the intensity of the event, which is then used to determine the integrated impact on agriculture (losses).

RADAR is a powerful support tool for decision-making during a crisis impact assessment. Full implementation of the assessment procedure in a Disaster Impact Monitoring System allows a rapid and accurate assessment of the impact of disasters on agriculture. Impact

forecasting and updating using on-ground and satellite remote-sensing data inputs are also used. In the medium to long terms, accumulated information and in-depth analyses should contribute significantly to crisis preparedness and help to minimize potential risks through early warning strategies and preparation of development plans that incorporate resilience to such crises.

Trigger: RADAR should be used during Phases 1 and 2 of the assessment process as an additional source of information. Additionally, it can be useful during Phase 4, when recovery needs are addressed in view of longer-term interventions.

Further information on RADAR is available at:

http://www.fao.org/nr/climpag/nat_1_en.asp

IPC – Baseline and Phases 1, 2, 3 and 4

The Integrated food security Phase Classification (IPC) provides a set of standardized tools and procedures for the analysis and classification of the severity and magnitude of food insecurity. The IPC is a multi-stakeholders process ideally chaired by the Government. It provides a forum for sharing information and brings the humanitarian community and Government to a technical consensus on the situation.

The IPC is not a data collection process, it builds on all relevant secondary data but a minimum level of information is necessary to conduct the analysis. Because the acute food insecurity situation can change rapidly, the analysis can be conducted seasonally or several times a year, providing a baseline if a crisis hits.

The IPC analysis of acute food insecurity provides a snapshot of the situation at a point in time, by classifying food insecurity in the different areas analyzed according to a scale of five phases, based on the severity and magnitude of population affected in each area. With each of the 5 phases are associated Priority Response Objectives, phases 3 to 5 being emergency situations:

- Phase 1, Minimal: Action required to build resilience and for Disaster risk reduction
- Phase 2, Stressed: Action required for Disaster risk reduction and to protect livelihoods
- Phase 3, Crisis: Urgent action required to protect livelihoods, reduce food consumption gaps, and reduce acute malnutrition
- Phase 4, Emergency: Urgent action required to save lives and livelihoods
- Phase 5, Famine: Prevent widespread mortality and total collapse of livelihoods.

The IPC classification serves then as a targeting and prioritization tool by identifying the most affected areas and populations in need. It is often used as such in Cluster mechanisms.

The IPC analysis uses secondary information from a diversity of sources and on all sectors relevant to food security, according to the analytical framework (see figure below). It is therefore complementary to the other needs assessments methodologies and processes presented.

IPC analytical framework

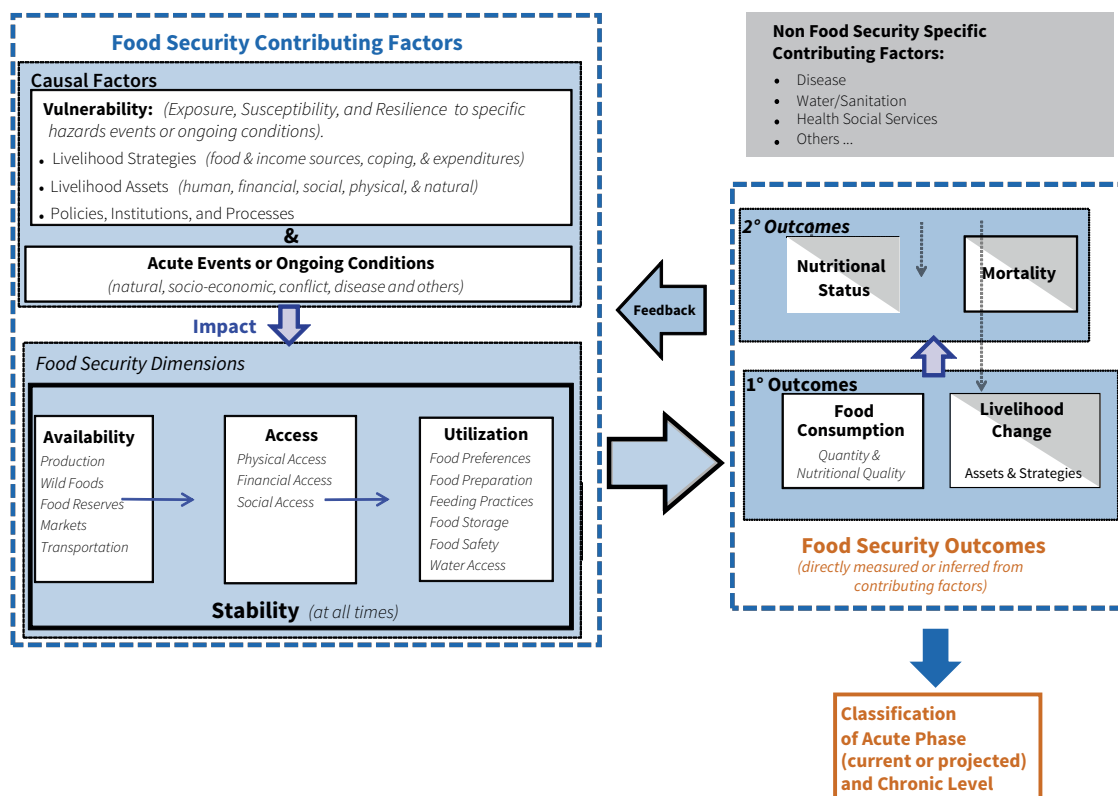


Diagram 2: IPC Analytical Framework

Triggers: Because the IPC analysis requires a technical training, it can be conducted as early as phase 1 only if the IPC has already been implemented in the country before the crisis. Having a regular IPC analysis enables to quickly report the impact of a disaster on the food security situation. Otherwise, the IPC can still be conducted for the first time in phases 2, 3 and 4. It can then be updated as often as necessarily, when it is considered that the situation has changed or major new data sets are available, providing a monitoring of the situation by comparison of the different maps.

The IPC V2.0 Manual and more information are available on the IPC website www.ipcinfo.org.

EMMA – Phases 2 and 3

The aim of the EMMA toolkit is to provide an improved understanding of key market systems, which consist of a network of producers, suppliers, processors, traders, buyers and consumers involved in producing, exchanging and consuming a particular item or service and play a vital role in supplying critical goods or services to ensure survival and protection of livelihoods. Additionally, this toolkit enables agencies involved in emergency response to consider a broader range of response options, such as cash-based interventions, local procurement and other innovative forms of support to market actors (e.g. traders) that enable programmes to make better use of existing market system capabilities. This could lead to more efficient use of humanitarian resources, facilitate recovery and reduce dependence on external assistance.

Trigger: If during Phases 1 or 2 of the assessment process, large-scale distributions of food or other livelihood commodities have been identified, an EMMA survey will allow the determination of whether a broader range of responses are available, rather than direct in-kind distributions.

An overview of the EMMA toolkit is provided at:

www.dochas.ie/Shared/Files/4/Emergency_market_mapping_analysis.pdf

MIFIRA – Phase 3

The objective of MIFIRA is to identify the present context of food markets facing the target food-insecure population(s) and the likely behavioural responses of key market actors – such as traders, importers, households, government and NGOs – in order to identify the most appropriate source on the actual circumstances. Response analysis for food insecurity must first identify how local supply and prices in the target distribution markets will likely respond to increased demand following the provision of cash to households or to increased supply following food distribution. If food aid appears necessary, the second step examines how prices will likely respond to food procurement in local, national or regional markets and how producer prices may be impacted by distribution in a target recipient community.

Trigger: Similar to EMMA, a MIFIRA is triggered by the distribution of food commodities. Further information on the MIFIRA is available at:

www.cashlearning.org/downloads/resources/documents/barrett-et-al-mifira-food-security-june-2009.pdf

3.3 Age- and gender-focused tools

Trigger: The following two tools should be applied whenever a needs assessment process is implemented, as they address specific topics that should always be taken into consideration.

Ensuring inclusion of older people in initial emergency needs assessments – Phase 3

This guide aims to ensure that the specific vulnerabilities and capacities of older people are fully taken into account as part of a thorough gender and age analysis of humanitarian needs following emergencies.

To achieve this, it is crucial to analyse demographic and needs assessment data in consideration of the vulnerabilities, roles, responsibilities and positions of older people within families and communities. Together with gender, age must be recognized as a “universal determinant” – a characteristic possessed by every person, which defines both the position and role of a person in the family and society. In regard to humanitarian operations, gender and age can largely determine how a person is affected by a crisis.

This guidance provides both the rationale for and practical suggestions on the collection of information to support an age-sensitive analysis of humanitarian needs. The guidance is directed not only towards the staff of the NGO Help Age, but also towards humanitarian partners carrying out assessments.

SEAGA – Phases 2 and 3

The objective of SEAGA is to explain the importance of a gender perspective in emergency operations and assist emergency specialists in gender-sensitive planning, in addition to mainstreaming gender analysis throughout the emergency response sequence, to ensure that humanitarian assistance is more inclusive.

The specific objectives of the guidelines are to:

- review basic principles and concepts of emergency response;
- introduce basic gender-based planning tools applicable to emergency situations;
- identify how gender is a relevant factor in natural crises and complex emergencies; and
- strengthen the planning role of key partners and stakeholders in the emergency context.

The key issues to be analysed include: risk and vulnerability; food security and livelihoods; needs assessments; beneficiary targeting; planning; partnerships; procurement; logistics; information and data; and monitoring and evaluation.

The SEAGA guide is available at:

<ftp://ftp.fao.org/docrep/fao/008/y5702e/y5702e.pdf>

The SEAGA series also includes a pocket-sized Passport to Mainstreaming a Gender Perspective in Emergency Programmes, which includes a series of analytical questions to support the design of gender-sensitive humanitarian interventions, available at the following link: www.fao.org/docrep/012/ak210e/ak210e00.pdf

3.4 PDNA/PCNA – phases 3 and 4

PDNA/PCNAs are implemented after large crises under the request and overall leadership of the national government, the World Bank¹⁶, the European Commission and the UN, who are partners of the tripartite agreement formed through the 2008 Joint Declaration on Post-Crisis Assessments and Recovery Planning. PDNA/PCNAs are commonly used to quantify medium- to long-term reconstruction needs and develop a multisector national recovery strategy.

PDNA

The PDNA combines two assessment approaches: (i) valuation of physical damages and economic losses, assessed through the DaLA methodology, originally developed by the UN Economic Commission for Latin America and the Caribbean and applied by the World Bank; and (ii) identification of human recovery needs based on information obtained from the affected population, assessed through the UN's Human Recovery Needs Assessment approach.

These two approaches are integrated into a single assessment process to support the identification and selection of response options. These consist of recovery interventions from medium- to long-term recovery, reported in a Recovery Framework, which is the primary objective of the PDNA. Findings of the PDNA also provide the foundation for more in-depth assessments, ongoing recovery and transition to development as the Recovery Framework continues to be more fully elaborated. Needs identified by the PDNA beyond national capacity may be used as evidence for mobilizing further international resources in support of recovery, including for an international donor conference in response to the crisis.

Volume A (general overview and guidance on the overall multisector PDNA process):

www.recoveryplatform.org/assets/publication/PDNA/PDNA%20Volume%20A%20FINAL%20for%20Web.pdf

Volume B (agriculture sector-specific guidance):

https://gfdrr.org/sites/gfdrr/files/WB_UNDP_PDNA_Agriculture_SP_final.pdf

Trigger: A PDNA is triggered only upon formal request by the national government of the affected country, and should commence as soon as possible following the onset of a crisis. PDNA is implemented jointly with the World Bank, EU and the UN, mainly in parallel with Phase 3 of the assessment process. Ideally, assessment planning and implementation should take place within the first 10 weeks following a crisis in order to generate substantive data to present at donor conferences, which are becoming a standard feature of recovery processes. These conferences typically occur within one or two months after a crisis event. It is therefore becoming common practice to conduct humanitarian and recovery assessments simultaneously. This combined approach allows for recovery needs to be considered from the onset and to ensure that even initial emergency response interventions can aim to build back better and increase the resilience of communities affected by and vulnerable to crises. In addition, when humanitarian and recovery needs are assessed together and presented as a continuum to resource partners, they are more likely to pledge a longer-term commitment in support of response.

16 Regional banks, such as the Asian Development Bank, are increasingly participating in PDNA/PCNA exercises.

PCNA

The PCNA guidelines have been revised into a common Guidance Note on PCNAs and TRF, providing a clearer, more articulate link between the assessment process and the resulting strategic and selective results framework.

A PCNA maps the terrain of key needs in a country emerging from conflict. The PCNA is typically jointly coordinated by national stakeholders and multilateral agencies. Cluster teams, comprised of national and international technical experts, conduct field and desk assessments.

The TRF defines the key milestones in the terrain mapped by the PCNA: it lays out a group of priority actions and outcomes and their financial implications, and offers a tool that national and international stakeholders can use to align efforts to maximize opportunities for a successful transition as well as minimize the risk of reversal into violent conflict. TRFs are an integral part of the Organization for Economic Co-operation and Development and Development Assistance Committee Principles of Good International Engagement in Fragile States and the Paris Declaration on Harmonization.

TRFs are based on five principles: simplicity; selectiveness; integration across political, security, economic and social aspects of recovery; national ownership; and sufficient donor buy-in. They promote the use of outcome indicators and measurable targets, and therefore function as a management tool for strategic planning and implementation monitoring as well as an umbrella for donor coordination. TRF indicators focus on results achievable in the short-term, although they may be conceptually linked to expected medium- and long-term efforts to achieve nationalized Millennium Development Goals. To the extent possible, the monitoring systems and indicators should be built on existing systems and data collection efforts.

In this way, the TRF framework becomes a compact of joint accountability between country authorities and regional and international partners, which is important in post-conflict countries, where an agreed peacebuilding framework is critical for effective action by enhancing transparency across the board. TRFs can create incentives to achieve more visible results and provide a basis for participation in domestic scrutiny by a wide range of stakeholders, including civil society and communities.

Trigger: Same as described for the PDNA.

The PCNA Guidelines are available at:

http://pcna.undg.org/index.php?option=com_docman&Itemid=15

ISBN 978-92-5-109231-6



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