



## FAO Standard Seed Security Assessment

### FIELD TEAM LEADER GUIDE

#### Introduction

A well-prepared and well-designed survey will ease the whole implementation of the various activities and will make efficient use of all needed resources. The implementation of a survey will be only successful with a careful preparation, throughout a good and transparent management and needs therefore an effective leadership.

In order to develop the concept note, initially the whole survey has to be discussed within the assessment team but also involving other humanitarian actors or stakeholders (cluster members). Those last ones may have good local knowledge of the pre- or / and post crisis situation of the affected region / locations. They are also able to provide valuable information on logistics (road, accommodation, travel times, etc), details of contact persons / key informants and other practical aspects useful for the survey implementation. An inclusive approach leads also to a more founded survey as all the existing capacities are contributing in each of their domains in improving the survey steps. However, as all participating stakeholders are also interested in the outcome and use of the gathered information, a higher level of commitment and resources (staff, cars, office space, etc.) contribution will most likely be needed.

The following steps have to be taken into account during the planning phase, and can be used as a checklist during the preparation of the survey:

#### 1 DEFINE THE OBJECTIVES OF A SURVEY AND TERMS OF REFERENCES

During the process of defining the objectives of the phase specific assessments, it is compulsory to take into consideration the final aim of the survey or the final uses of the gathered information (base for flash appeal or the revision of the appeal). At the same time it is also important to find out and take into account the requirements / interests / expectations of the end-readers of the report.

Make sure that the management is fully supportive of the assessment, as funds are required to form and train an assessment team and provide all the necessary support for that team to work, such as logistics, transport, communications and accommodation.

The terms of reference (ToR) indicate how the survey will be implemented and specify who will do what work of the various tasks of the survey: design or adaptation of the questionnaire, data collection, data entry, data analysis and reporting. Each member should know their roles and responsibilities in order to be able to make decisions based on his own knowledge and judgment in his domain.

#### 2 ARE TRIGGERS MET?

Triggers are needed as they indicate whether a survey is required and feasible. For each phase, a pre-defined set of triggers were developed and have to be taken into account in order to know

that the conditions are met for conducting the phase specific assessment. Even so those triggers can vary dependent of the type of crisis developing:

- (i) In sudden-onset crises resulting from a large scale disaster (earthquake, floods or outbreak of a conflict) the effects of the crisis are immediately visible or are expected to have an effect over a mid or longer term period.
- (ii) Slow-onset or protracted crises like droughts, economic or environmental deterioration, effects of long term conflicts or pandemics. For the slow onset crises it is more difficult to identify the moment when the triggers should be activated as the deterioration is continually or gradually. Therefore a monitoring system of a few indicators should be put in place and define the thresholds to identify the moment when the situation changes from tolerable to a crisis level. If preemptive actions or interventions are envisaged to be implemented, also at an earlier stage the assessment is justified and suitable.

### **3 IDENTIFY THE NEEDED / AVAILABLE RESOURCES**

The whole survey design and the methodology to be selected (including selection of tools) depend on the available resources. Those resources are grouped into four categories: human, financial, time and logistics (vehicles, communication equipment, office space, etc). At the same time it is also important to identify capacities and skills of the available human resources (in house) in order to identify either their training needs or relay on external resources for the implementation of a specific task.

### **4 DEFINE THE ANALYZE PLAN AND INFORMATION REQUIREMENTS**

The survey's objectives are defining the analysis plan and therefore also the information requirements. In order to work out the analysis plan it is necessary to define the information needed to meet the objectives (what), the approaches and tools to be used (how) and the sources of information (from who). As each of those parameters are phase specific they were provided in the corresponding descriptions of the phase.

Concerning the data collection it is also important to find out which information is already available and has to be collated and reviewed. On the other hand the missing information has to be identified as it will be gathered during the respective survey. This last points leads to the development or refinement and adoption of questionnaires.

Initially the analyze-plan should be developed with the aim of obtaining the best possible information in the given time frame and envisaging the highest levels of reliability. Even when knowing that later on, based on the available resources and the costs estimations, a trade off between those two aspects has to be reached. An ideal assessment collects exactly the information which is required later on for the decision-making process, fundraising and advocacy.

## 5 DEFINE THE SAMPLING

### I. SAMPLE FRAME

One of the sampling aspects which have to be identified firstly is the sampling frame, which represents the region and population which were affected by the crises and the specific assessments are intended to cover. In most cases the focus will be given to directly affected areas but even so also indirectly affected areas should be also assessed, as the impact can be just as severe (for example: reception areas of IDPs or refugees, host communities or households, areas which depends from the crop production of the affected region, etc.). Each of those communities should be taken into consideration during the definition of the sampling frames, as each of them are affected by the crises differently, and have also different needs and therefore are eligible for specific interventions.

### II. SAMPLE UNIT

As it is impossible to interview all the households it is necessary to work with a sample representing the entire group of targeted population. Therefore, a sample is defined as a selection of either a particular group (e.g. marginalized, women) or a representative part of a population (total) in order to determine parameters or characteristics of the whole population or of specific targeted groups (IDP, women headed households, etc.). Before determining the sample size, it is necessary to define the sample unit. The most common units of measurement used in humanitarian surveys are:

- Communities / village
- Households – for households survey
- Individuals – for local market survey

The sample size also depends on the homogeneity or heterogeneity of the affected communities to be surveyed. In a homogenous community a small sample size is enough to include all household characteristics.

In a heterogeneous community, a larger sample size is needed or a deliberate sampling is done to ensure that all the households with significantly different characteristics are included in the sample. In extreme cases the whole community can be divided into subgroups and treated independently over the whole survey.

A sample from an affected community should include, if possible, all the different characteristics of the community's groups including the minorities. Only under those circumstances it be considered representative and valid for a proper survey and be therefore extrapolated to the whole are when throughout a random sampling method was implemented. In other cases, particular biases (e.g. towards disabled farmers) may be used; in this case they must be explicit at all stages of research)

### III. SAMPLING

The most suitable tool for sampling in a population would be the Simple Random Sampling. The Simple Random Sampling requires a complete list of each of the members of the population, complete homogeneity of the population and where each member has the equal probability to be selected into the sample. In many cases in the situation where the humanitarian actors have

to intervene those requirements are not existent (total homogenous community) or are not available (complete lists of names).

#### IV. APPLICATION OF A MULTIPLE STAGE SAMPLING METHODOLOGY

The actual sampling has to be done in different steps, starting from the highest administrative / agro-ecological boundaries and going down to smaller units up to the household level. Defining at which level the reliability should be applied, provides also the level where the first step has to be initiated, in this example district has been retained:

- First stage: selection of the target districts out of the total number of the affected districts through random sampling but needs to take into consideration the security situation on the ground as well as the accessibility to the different district;

Once the overall sample size is defined, there we have again two options to choose from: either using PPS (Proportional to Population Size) or a systematic approach (where the same number of villages are selected in each of the targeted districts). This targeting again follows specific criteria. This step allows us to obtain the sample at each smaller geographical or administrative level.

- Second stage: selection of the villages out of the total number of affected villages through a (PPS) random probability proportional to size, where the size of the population is taken into consideration;

For the selection of the households to be interviewed at village level again systematic sampling will be also applied. Thus can be done selecting first three to five different transects through the villages and thereafter selecting for interview each third house on the left and alternate right side of the given transect thereafter until the given number of household have been reached by each of the enumerators. In case that different quarters or village sub-settlements exists, they have to be taken into consideration as quite often they are divided based on religious, ethnical or other socio – economical aspects.

- Third stage: through systematic sampling, following specific rules, the required number of household are selected at village level, as follows:
  - Once you selected the villages for the assessment, please gather following information for each of the villages:
    1. Get the approximate total number of households in a village
    2. Get the approximate number of female headed households (if special share will be provided to female headed households out of the village sample, in this case 3 households out of the 15 per village).
  - If female headed households are more than 3, select 3 among them randomly. If these are 3 or less, cover all.
  - For selection of male headed household, find sampling interval (k)
    - Sampling interval =  $k = \text{total number of male headed households} / 12^1$
  - Find out first with the village chief or elders, if there are different sections or quarters of the village (as sometimes minorities are quite often living separated from the main village).

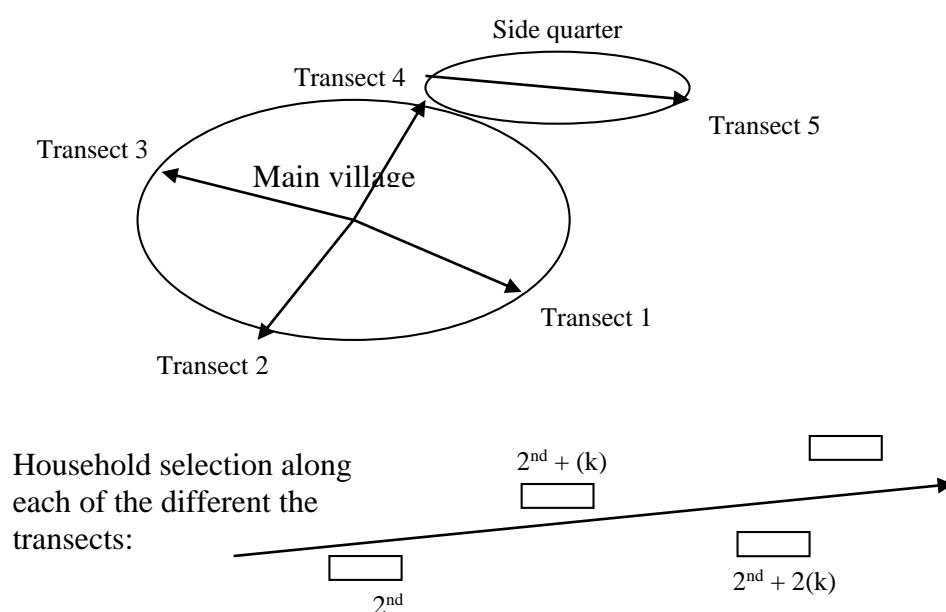
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<sup>1</sup> [Replace 12 with higher number if female headed households are less than 3]

Make sure therefore that also those households are taken into account during the household selection.

- The following step is from the middle of the village, draw four to five transects into different directions, where along the households will be selected. Divide the 12 households into the numbers of transects made and then you obtain the number of households to be selected along each of transects.
- Start with the second house on the right side and then apply the frequency (k) calculated beforehand and choose this time the house on the left side, next house will be again on the right side and so on.

**Figure 1 Household selection at village level**



Important is to report exactly the sampling methodology and the criteria used for the systematic sampling applied in order to inform the reader on the possible shortfalls of the implemented methodology. But also emphasizing the advantages or reasons why the given methodology / criteria were applied.

## 6 HUMAN RESOURCES AND TRAINING NEEDS

The following human resources are needed in order to conduct a SSA: (i) team leader of survey, (ii) field team leader or supervisors, (iii) data analyst and data manager, (iv) enumerators, (v) translators, (vi) administrative and logistical support staff and (vii) drivers.

The teams should be as far as possible gender balanced, at least in each survey team of two to three enumerators one should be a women.

Number of the specific staff depends on the scale of the survey, the geographical conditions and skills of the available human resources.

## **7 SELECT TEAM MEMBERS AND CLARIFY THEIR RESPONSIBILITIES**

Responsibility for conducting the field work should be decided at the outset. Dependent of the scale of the area to be surveyed as well as the distances to be traveled, most likely more than one team will undertake the field work. The most experienced enumerators should be selected as field team supervisor, even when all of them will be conducting interviews. Each team of three surveyors should include male and female enumerators and women and if possible also from different ages.

The team members should have a basic knowledge of the surveyed area (almost compulsory if a local language will be used) and a particular interest for such kind of work are distinct advantages. It is very important for the interviewer to gain the confidence of the interviewed persons and the respect of the target population. It is also indispensable for interviewers to empathize with the affected population. It is recommended to select enumerators with different professional backgrounds or field experiences in order to enrich the overall knowledge, view and perception of the situation encountered by the team, especially during the observation processes.

## **8 TRAIN TEAM MEMBERS**

All staff assisting in the implementation of the surveys, and specifically those in charge of filling in the questionnaires, should receive proper training prior to conducting the survey. Training should detail how the surveys will be conducted, what kind of information is required for each question or how to use the other data gathering tools. It is preferable that the surveyors are familiar with codification modalities so that questions correspond to the way in which they will be entered as data later on.

In order to make sure that all interviews or the field work is conducted in a same way and the same understanding of the questionnaire exists, a joint training sessions should be conducted where all the involved field staff has to be present.

## **9 DIVISION OF DAILY FIELD WORK**

A specific day-by-day work plan should be established to define the tasks of each team member. Travel time to the location where the survey will be conducted should also be considered, as should travel from the locations where the team will stay overnight to the villages/camps/places where the field work will be done. In addition, it is important to define the team members who should be in charge of conducting the semi-structured interviews addressed to the various key informants or community groups. This could be done on a rotational basis between the various members or taking into account their interest, skills or professional background.

After the training session, the field team leader should be in a position at the end of each field day to verify the work done by the enumerators and to correct the errors or explain the improvements or changes needed to obtain the expected information. This is quite important as it will reduce the amount of missing or erroneous data, therefore improving the quality of the information gathered, and it will reduce the time needed for verification after the field work has been completed.

## **10 BUDGET**

In order to establish a proper and accurate budget, the whole survey assessment plan and staffing has to be defined, as well as the needed travel and field work time. The following points will help you to calculate a survey budget of a middle scale questionnaire based survey (sample of 1000 HH) with experienced staff:

Honorarium of the staff involved in the survey preparatory work (three days); development, testing and finalization of the questionnaires, translation (six days); preparation and training of field staff (three days); travel days to the area where the survey is conducted (depends of distance: x days); data base design and data analysis (five days); additional detailed analysis and data interpretation (five days); reporting (six days) and follow-up steps (up to ten days dependent of the envisaged results); overall some lean days has to be included for unforeseen delays (3 days).

The field work as well as the data entry process depends from the sample size, therefore the following experiences based estimations can be used. On average a two hours travel from place of accommodation to the villages where survey is conducted has to be accounted for each day morning and evening. This leaves around five to six hours for actual field work giving time to conduct around seven interviews per enumerator (45 minutes per household not including walking time between households and resting time); one person is able to do the conversion / codification, and entering of around 70 five-page questionnaire per day. These estimates allow calculating the required days for the staff involved in the field work and data entry process. In more and more cases the field work and data entry process is outsourced to a NGO, specialized enterprise or institution, where a tender and selection process has to be followed. In this case the actual cost of the selected service provider has to be taken into account during the budgeting.

Calculation of daily labor cost: In case the enumerators, translators and guides are not from the own staff pool or staff of a contribution stakeholder their corresponding daily wages including their per diems for the field work has to be calculated.

Calculation of travel cost: calculate the travel costs (flights if required) for each field team member and the supervisor staff; estimate total distances to be covered in km; based on average fuel consumption per 100 km and fuel prices calculate the fuel charges as well as the needed lubricants. In case no own means of transport are available (even when also with own cars the use of the vehicle has also be budgeted for) the costs of hiring car with drivers cost (honorarium / per diem) has to be also included.