



ACF - INTERNATIONAL

IDENTIFICATION OF VULNERABLE PEOPLE IN URBAN ENVIRONMENTS

ASSESSMENT OF SUSTAINABLE LIVELIHOODS AND URBAN VULNERABILITIES



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ABBREVIATIONS AND ACRONYMS

ACF-France	Action Contre la Faim - France
ACF	Action Contre la Faim - International ¹
AFD	French Development Agency
CBO	Community-Based Organisation
CSLP	Strategic Framework for the Fight against Poverty
FAO	Food and Agriculture Organisation
FGD	Focus Group Discussion
IRD	Research Institute for Development
SL	Sustainable Livelihoods
ILO	International Labour Organisation
ISO	International Solidarity Organisation
HIPC	Heavily Indebted Poor Country
PSU	Primary Sampling Unit
UNHCR	United Nations High Commissioner for Refugees

¹ Created in 1979, Action contre la Faim is now one of the most important hunger-fighting international humanitarian organisations in the world, now encompassing an international network with five registered offices (Paris, London, Madrid, New York and Montreal). In 2008, Action contre la Faim International intervened in 47 countries affected by serious food crises, implementing emergency and recovery programmes in the fields of nutrition, food autonomy, water and health, and helping close to 5 million people. www.actioncontrelafaim.org (France) / www.actioncontrelafaim.ca (Canada)



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INTRODUCTION PROFILING THE URBAN CONTEXT

This methodological guide is designed for use by field practitioners, and was conceived in response to several problems: proliferation of food crises in urban environments; difficulty targeting the most vulnerable population among all those affected by urban poverty; breakdown of social structures; and official betrayal or non recognition of disaffected neighbourhoods. Although it focuses on cities and urban agglomerations in developing countries where life is precarious and the population is divided between individualism and communitarianism, the guide is designed for urban settings in general.

When and how to use the guidelines: These guidelines combine information on methodology as well as several tools of analysis, which are located mostly in the appendices. These tools can be used at different times to organise second-hand documents; to create a vulnerability and/or livelihood mapping across the conurbation (a region combining several cities, towns, or other urban areas that, through growth, have merged to form one continuous urban area); or to complete a low-level analysis in one or several districts.

Limitations: This guide cannot comprehensively address the diversity of urban contexts and humanitarian situations. It is only a first version that will be tested and validated during field work by practitioners from diverse backgrounds. Do not hesitate to provide any suggestions or recommendations you may have.

ISSUES

It may seem that comprehensive statistical data on malnutrition are more available for urban than for rural areas. However, in reality, the figures that are available mask pronounced inequalities within cities. Within apparently prosperous city centres, in huge slums or in condemned housing blocks, rates of malnutrition and infant mortality may be higher than they are in rural areas.

Analysis of the causes of malnutrition in urban areas reveals several sources of vulnerability, which may be quite different from those encountered in rural areas. Among these, we will highlight the following:

- Crisis (financial and political); macro-economic policies that contribute to the withdrawal of investments necessary for cities to function properly, or make it harder for social groups to organise.
- Cities, and urban agglomerations, are comprised of a patchwork of different districts, each with its own particular social organisation and methods of accessing services. The coexistence of multiple economic and social models makes project development more complex.
- Dysfunctional land markets in cities, insecurity related to land use, and high housing costs drastically reduce households' income, forcing them to move to the under-served fringes of town, far from employment areas or places where rural and urban economies might coexist. Furthermore, some goods that are often free in rural areas, such as housing, cooking fuel, or water, may consume a large portion of the family budget in urban areas.

- The exponential growth of cities creates “urban sprawl” and the cost of servicing this growing area--extending water and sewage networks, roads, public transportation, electricity, and refuse collection, and providing public services, is extremely high, if not financially impossible. The low density of these areas keeps them marginalised because they may not be economically sustainable.

The low rate of feeder services in these neighbourhoods leads to the development of environmental pathogens, increased cost of living fuelled by high food and work-related transportation costs, and limited access to jobs in the cities.

- Slums are more centrally located in cities and are therefore more likely to attract the attention of authorities and private stakeholders interested in property opportunities. They are pockets of insalubrity and are vulnerable in the following ways: security is precarious, access to basic services, particularly water and sanitation, is insufficient, housing quality is poor, and these areas are overpopulated².

- In urban areas, poverty is only one cause of exclusion. Its causes are multidimensional, and include a lack of rights (families are relegated to informal areas where they have no rights) and of social capital, particularly solidarity mechanisms that provide essential safety nets.

Consequences of the degradation of the social fabric affect both individuals, as people are isolated or vulnerable people such as children and pregnant women are rejected from society, as well as communities broken down by individualism, social conflicts, etc.

- Although social exclusion rarely causes a complete breakdown of ties, it often facilitates the reorganisation of social ties within support networks such as street children and abandoned wives groups. Such reorganization is difficult and expensive to stop. The excessive length of some projects, which are based on the humanitarian logic of compensation, increases the breakdown of social capital and, in the long run, hinders the population’s initiative for capacity building.

- Labour market structure: in large developing world cities, people living in disadvantaged districts may be excluded from regular employment, or may hold precarious jobs. More often than not, they work only on a temporary basis in construction, as maids, as drivers, etc. For migrants from rural areas, adapting to an urban way of life (getting work in service jobs and adapting to the hyper flexibility of the labour market) requires long training, particularly for men, who struggle to adapt their agricultural skills to the urban labour market, where flexibility and various types of expertise are necessary (domestic service, sales, etc.).

- For this reason, families – or an extended family – within the same household may combine income sources and/or involve women and children in the search for income.

The amount of effort expended in the attempt to survive leaves little time for relationships with family and friends, so social ties are not maintained, and isolation may result.

- A variety of ACF assessments have shown how households can go adrift : Poverty and unemployment leads to stress, which increases family violence, which leads to mental health problems, which can lead to social isolation, which can increase the difficulty of finding employment, as well as development of psychological troubles. These troubles may lead, in turn, to alcohol and drug use, which increases family violence and poverty as people use what little money they have to buy drugs. This situation may also increase exclusion, increasing the difficulty of finding work leading to a state of “social death” and engagement in risky behaviour, such as prostitution or criminality to get money, or

in attempts to achieve higher social status by joining extremist groups, street gangs, or sects.

- Although urban women are better educated and play a more important role in decision making than rural women do³, their influence on their children may be offset by the fact that they often work far from home. (Children are cared for by others so that their mothers can work; working people’s families often do not eat meals together at home.)

- Economically insecure people often draw a small and irregular income from micro activities such as small craft making, resale of items, recycling, or rubble collection. Households living day to day, with little cash, must buy goods in small quantities (and at higher prices), and find their access to basic services restricted so that it is impossible, for example, to save water each month and decrease water bills). Thus, disadvantaged households end up paying more for poorer-quality services and goods.

- People in urban areas often consume a relatively large amount of high-calorie, nutritionally deficient, manufactured foods. In cities, manufactured food costs much less than raw ingredients do, and traditional eating habits to change in favour of more processed foods⁴.

In public health terms, people in some cities are engaged in a process of nutrition transition, adding a more Western diet to the traditional, carbohydrate-intensive diet. For example, in Mali, the traditional diet includes cereals or tubers served with a sauce. Among poor and migrant populations in developed countries, more highly caloric food, coupled with a more sedentary lifestyle, increases the number of overweight and obese people. This phenomenon affects all social strata, not only the middle class.

- Because cities are commercial centers, food is more readily available and more varied in urban areas than in rural areas. On the other hand, populations depend on food distribution and supply systems that are often flawed, so food may become difficult to afford. In a context where the local economy is based on extreme monetisation of exchanges, food crises in urban areas do not result from a lack of food, but from an inability to afford food or basic services such as water, health care, sewage, and transport. Although there are many origins of malnutrition in urban environments, it can often be traced to weak access to sustainable livelihoods rather than food security problems.

CHALLENGES INCLUDE THE FOLLOWING:

- Providing sustainable support to the most vulnerable urban populations, who have no capital or experience social exclusion.
- Integrating projects within an institutional and social context of “mass poverty” in low income districts (where the poorest people may not be visible and security must be managed).
- Adapting projects to urban rules of governance by deepening institutional and social analyses. (In developing countries, urban changes depend mainly on non-institutional players).
- Supporting rural-urban linkages in a post-crisis context, as it is now recognised that cities play a leading role in the development of rural areas.
- Promoting micro-macro links, once the influence of policies and institutions on diverse livelihoods has been examined.
- Encouraging public-private partnerships.

3/ Ruel, M.T. and J.L. Garrett, Features of urban food and nutrition security and considerations for successful urban programming in Globalization of food systems in developing countries: impact on food security and nutrition, FAO, Editor. 2004: Rome.

4 /Stamoulis, K.G, P. Pingali, and P.Shetty, Emerging challenges for food and nutrition policy in developing countries. *Ejade*, 2004. 1(2): p. 154-167.

2/ According to UN Habitat, a house has sufficient living space if no more than 2 persons share the same room.



ORGANISATION OF GUIDELINES

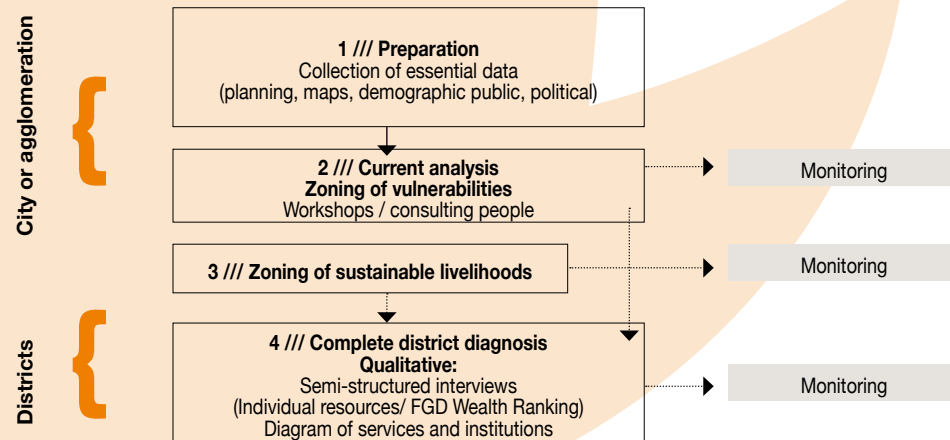
The implementation of an assessment of vulnerabilities and sustainable livelihoods (SL) often involves the use of available data and existing knowledge of the city, as well as collecting similar assessments.

The assessment's preparatory phase must include a review of a variety of available data sources (1) and consultation/ cooperation with other players working on similar subjects.

Just as agro-ecological zoning is carried out in rural areas, urban zoning should be established as well. The second phase of the assessment, called "vulnerability zoning" (2), provides a comprehensive overview of the city, identifying high risk areas and establishing the relevance of specific vulnerability factors (housing, services, etc).

Urban zoning has two main objectives:

- To divide the city into different strata with homogeneous characteristics, used to provide an analysis of urban livelihoods that can be extrapolated to the city as a whole (3). This approach requires capacity and time for the collection and analysis of quantitative information.
- To identify particularly sensitive locations, where a complete analysis (4), (social, economic and institutional) may be completed in the framework of project development.



Chapter 1

COLLECTING INFORMATION DEDICATED TO URBAN POLICIES



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Cities, particularly capitals, are seats of power, and are therefore the areas most directly affected by **urban policies**. These policies are determined by:

- (1) Objectives recorded in segmented public policies (health, water, housing, etc.)
- (2) Large urban infrastructure or redevelopment projects implemented by NGO's or CBO's.
- (3) Tools such as regulations, Master Plans, housing estates, etc.
- (4) Stakeholders including authorities, para governmental institutions, NGO's, investors/promoters, CBO's, etc. (In developing countries, urban changes are often facilitated by non-institutional actors)

The most important policies affecting developing countries since they gained independence were those of the Breton Woods Institutions, which dictated the implementation of structural adjustment programmes. (See below).

Urban governance includes the mechanisms and institutions of civil society that allow citizens and groups to articulate their interests, exercise their rights, fulfil their obligations and settle their disputes. The underlying idea is to pool resources, expertise and projects spearheaded by many actors, in order to create new, coordinated actions based on shared responsibilities.

Documents and key information collected should elucidate diverse subjects such as official policies on the occupation of informal districts, identification of planned or ongoing large urban projects, the role of local authorities in the context of decentralisation policies, management of urban services, etc.

The point of collecting this information is to acquire a working knowledge of the institutional framework within which Action contre la Faim is operating, to understand the level of autonomy that may be reached, and to see the extent to which the organization can participate in the improvement of public policies.

GATHERING INFORMATION ABOUT POLICY FRAMEWORKS AND CURRENT PUBLIC POLICIES

- Gathering "second-hand information" on the Internet.

Some of the sites below provide information on large urban projects, including descriptions and complete analysis of the urban context. This list should be updated as research is completed.

UN Habitat : <http://www.unhabitat.org>

ISTED : www.isted.com

UNITAR – Decentralised cooperation programme <http://dcp.unitar.org/>

World Bank : <http://web.worldbank.org/WBSITE/EXTERNAL/COUNTRIES/0,,menuPK:3030988~pagePK:180619~piPK:3001866~theSitePK:136917,00.html>

AFD: <http://www.afd.fr>

FAO : "Food Balance Sheets" at <http://faostat.fao.org/site/502/default.aspx>

Urban Upgrading: <http://web.mit.edu/urbanupgrading/>

Fewsnet: <http://www.fews.net>

Network SIMAO (West Africa): <http://www.resimao.org/html>

.kml data (Google Earth) at www.maplibrary.org, shapefiles on the e-geopolis site <http://www.e-geopolis.eu>.

- **Documents about projects** implemented in specific cities, including analysis, external assessments, etc., are available on the ACF network. Many assessments and capitalisations on experience have been carried out by ACF missions in large cities such as Monrovia, Rawalpindi, Oulan-Bator, Abidjan, Jakarta, Kinshasa, and Bangui.

Moreover, it is essential to be aware of current or planned large urban projects to restructure disadvantaged neighbourhoods. Supporters of these projects, including international backers such as AFD (French Development Agency), the World Bank, and regional banks (African Development Bank, IDB, etc.) post their project documents online.

- **Research articles**: many magazines⁵ publish the results of research analyzing care provision, urban growth and production models for outlying urban districts; access to water; social and health challenges; presentation of strategic plans, etc.

Many documents are available at the information centre of "Villes en Développement", located on the ground floor to the left of the Grande Arche, in the Défense area, and open Monday to Friday from 1.00 to 5.30 pm. Archives filed since 2006 may also be on the Internet site:

<http://urbamet.documentation.developpement-durable.gouv.fr/urbamet/recherche.xsp>.

- Documents about **public policies** and **urban planning**:

- Countries' compliance with macro-economic policies promoted by the World Bank and IMF continues to affect the evolution and management of urban space in developing countries. Since Structural Adjustment Programmes had a significantly negative impact on access to basic services for the most disadvantaged citizens (through privatisation or liberalisation of public services), it is now time to implement recommendations in the HIPC (Heavily Indebted Poor Country) and PRSP (Poverty Reduction Strategy Paper) initiatives, which remodel large urban centres to make them more attractive to investors and help them fight urban poverty.

- Public policies such as national action plans or strategies are generally implemented at the sectorial level (water, health, housing) or applied to products of national strategic importance (such as the National Policy of Price Regulation for Wheat in Pakistan).

- As an example, the National Sanitation Strategy (NSS) and the National Environmental Action Plan (NEAP) in Burkina Faso are facilitating the creation of local development plans (see below).

- Master Plans or Strategic/Action Plans to be implemented across an entire city or urban agglomeration require 20 years of advance-planning for a specific sector (water, housing, etc.) or for all sectors, if there is to be a coherent framework for the development and organisation of an urban area. These plans define a strategic, exploratory and concerted vision for the city's development, which revolves around major principles. Validity of, and compliance with, these documents will obviously depend on the length of time they have been in place and on official interest in enforcing them.

These documents are often produced by research departments at the request of financial backers of large urban projects, such as the World Bank.

- Operational planning documents complement strategic planning, which provide clear guidance for the implementation of operational projects (mostly urban restructuring projects) across one or several neighbourhoods. These may include rehabilitation of historic centres, projects for servicing informal neighbourhoods, etc.

5/ « Espace Populations sociétés », « Afrique contemporaine », « Environment and urbanization », « cahiers des sciences humaines », « urbanisme », « mappemonde », etc.

• Maps showing:

- Administrative boundaries (municipalities, districts, urban agglomerations, etc.) in the main city as well as outlying areas are part of the urban metropolitan area.
- Census or “enumeration” areas, which are often districts. It is important to note that the “administrative” city districts designation does not usually correspond to inhabitants’ conception of the area. These disparities can be misleading for field study data.
- Aerial or satellite photographs, which help to identify areas that have not yet been surveyed and registered and/or are beyond the scope of the planning documents;
- Maps from planning documents (Master Plan, etc.);
- Collection of shapefiles⁶ that allow you to map the area with a Geographic Information System and locate administrative units.

• National and local census data :

- Estimates of population, occupancy status (owner, tenant, etc.), access to water, types of housing and building materials, number of residents per room (which allows you to assess overpopulation in certain districts). If a census was not done recently, statistical data may be extrapolated from average growth rates of 5-6% in developing world cities, and information on migratory movement, which is often quite important in crisis and post-crisis situations.

Failing that, it is always possible to use data from the electoral register, health register, commercial companies; etc. This kind of information, however, must often be purchased and may be quite expensive.

When no census data is available (which often happens, for example, in peri-urban areas after a major crisis), you may estimate the size of the population using the quadrat method, where an area is divided into equal squares to make an initial determination of the research perimeter. (Details of this method are provided in the appendices).

- Statistical data from social and health programmes such as:

“Multiple Indicators Cluster Surveys” http://childinfo.org/mics3_surveys.html, “Demographic and Health Surveys” <http://www.measuredhs.com/>
Unfortunately these data are not geo-referenced to the scale of the district, or even the city, so evidence of strong disparities within an urban centre may not be apparent.

- **Information on rural migration to urban areas** (from the authorities), migrations by internally displaced people and refugees (ref.: Internally Displaced Monitoring Centre, UNHCR)

• Urban geography data

Research centres, geography institutes (such as IRD) and universities produce typologies urban morphology. Some works are referenced as atlases, based on census data and aerial photographs done with remote sensing. With these documents, program planners may:

- adapt standard questionnaires (household surveys on vulnerabilities, discussion guides for focus groups) to the local context ;
- facilitate the work of zoning vulnerabilities (cf. Part 3), provided that built areas - in their various forms - are classified (parcelled and non parcelled land), and referenced on maps.

Internet site : <http://cat.inist.fr/?aModele=presentation>

• Site visit to the area under analysis.

The visit has several objectives :

- To cross-reference collected data (statistical data) against observed data (population density, sanitation, housing typology, level of service delivery, etc.);
- to identify pockets of poverty and slums located within residential or tertiary/ industrial districts, as well as areas where the presence of homeless people has been verified, (often central districts);
- to take photographs of key sites to prepare for surveyor training and to improve the questionnaire;
- to refine the housing typology (classify types of housing, patterns of land use such as formal, informal, with or without services, etc.); to classify different levels of urban services (such as inventorying different sources of drinking water);
- draw an initial stratification of the city (areas of high, medium, or low risk) and locate pockets of poverty (slums or shantytowns located within residential neighbourhoods).

CONSULTATION AND COOPERATION

Regardless of data collection techniques –exclusive review of existing data or in-depth study – people responsible for completing the work must :

- Consult relevant local and national regulatory authorities for trade, agriculture, water and sanitation, housing, humanitarian issues, and other technical areas. It is important to demonstrate a desire to work in partnership with local people, and a commitment to abide by local and national policies. Once some data has been collected, it is good practice to share it with the authorities, in order to promote the exchange of information and solicit input from people who may be reluctant to participate.

- Inform and include other stakeholders, either formally or informally, particularly in the context of cluster approaches. Since 2005, the FAO and ILO have been collaborating on livelihood interventions, collaborating on damage and needs assessments, on promotion and capacity building, and on the design or adaptation of tools and operational methods. In some countries, the FAO acts as a coordinating agency within a cluster framework.

- If many actors are involved in studies and projects in the city, organise a workshop to review your methodology and define how the new zoning will add value to those already in use. (In May 2006, ACF organized such a workshop in Kabul.)

- Optimise resources by encouraging other stakeholders, especially when assessments cover large cities.

- Ensure that outcomes are shared with all stakeholders.

DEFINE THE OBJECTIVES OF THE ASSESSMENT AS SOON AS POSSIBLE

Time is precious to the assessment team, and their objective(s) must be clearly defined at the outset. It is important to question the relevance of all requested information:

1. Do not waste time on interesting but irrelevant issues;
2. Do not skip over interesting issues that, while marginal, may provide information relevant to the assessment’s objectives.

The choice of data to collect will depend on the objective defined by the “zoning vulnerabilities” exercise, on the kind of information that is already available or easily obtained through quick bibliographic research or interviews of a few resource people, and on the information gap.

⁶/ Format de fichier issu du monde des Systèmes d’Informations Géographiques. Son extension est classiquement .shp, .xml, .sbn, mais il existe aussi bien d’autres extensions.



A zoning vulnerabilities exercise may result in :

1. a more detailed assessment of the entire city;
2. a comprehensive assessment across one or several neighbourhoods that informs the implementation of a humanitarian project;
3. Implementation of monitoring activities.

All urban needs assessment projects must begin with the following questions :

What is the objective of the operation? What is its scope? Is the objective to get a general idea of the situation? Should ACF be positioned as a lead agency in a city where very little data is available? Is a pre-identified and sectoral intervention planned? Is it planned for well-defined neighbourhoods, or with isolated people? Is it possible to form a partnership with other organisations to reinforce the impact on the target population?

Chapter 2

ANALYSIS OF THE ECONOMIC EFFECTS OF CRISIS AND ZONING OF DISTRICTS' STRUCTURAL VULNERABILITY



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Household food vulnerability is a dynamic concept that is based on two factors: the degree of exposure to shocks/risks and the household's capacity to cope with them. The vulnerability context refers to shocks, trends and seasonality issues that affect people's livelihoods - often, though not always, in a negative way. The most important characteristic of all vulnerability context factors is that they are beyond the control of the population in the short or medium term. The reality for many poor populations is that these factors threaten their livelihoods every day.

An approach based on **sustainable livelihoods (SL)** seems to be the one best suited to the analysis of living conditions in urban households; it takes into account the inter-connections among nutritional levels, access to services, social insertion, economic resources and institutional frameworks. (Decreases of any of these parameters will compromise the levels of the others).

The fundamental principles of livelihoods analysis include⁷ :

- Emphasis should be placed on identifying and understanding the circumstances surrounding the livelihoods of marginalised and excluded groups;

- The analysis must take into account important social divisions that influence people's livelihoods. For example, it is often necessary to examine categories such as gender or age separately. It is not sufficient to consider the household as a unit of analysis in its own right.

- Under the SL approach, program activities are defined by the qualities and resourcefulness of people. Analysis should not rely solely on the concept of need;

- The SL approach espouses the concept of dynamism. "Snapshots" should be avoided in favour of considerations of long term evolution, and problems linked to sustainability should always be kept in mind.

There is no fool-proof way of discerning which method is most suitable in any given circumstance. Flexibility is key. Similarly, it is not necessary to establish a unique or definitive "map" of livelihoods. Various "maps" may be used for different objectives.

*A variety of "**capitals**⁸" or "**assets**" at a household's disposal can prevent people from moving from the food vulnerability stage to the food insecurity stage. These include:

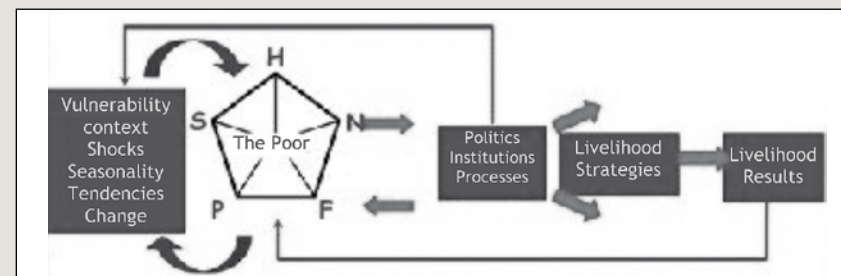
(1) Human capital: knowledge, competency, suitability for urban employment and health status, all of which contribute to a household's ability to gain income. Human "capital" is essential to the other four types of livelihood assets.

(2) Physical capital: access⁹ to services and infrastructure (including transportation systems), housing, productive capital (bicycles, rickshaws, sewing machines, tools, plots of land, etc.), household consumer goods.

(3) Social capital: social cohesion, ability to carry out collective action, mutual assistance and solidarity, ability to prevent exclusion, capacity to spread information and to communicate within the community, social bridging.

(4) Financial capital: resources including regular sources of income as well as access to credit, pensions, remittances and savings (including cash, bank accounts, capital such as livestock, jewellery etc.)

(5) Natural capital: quality and availability of environmental resources (clean air, water etc.). Benefits derived from these reserves are both direct and indirect. In an urban context, what matters most is the quality of these resources and their indirect benefits (protection against floods, erosion etc.).



Source of diagram : www.ifad.org

The concept of **Politics, Institutions and Processes (PIPs)** is the other fundamental element of the SL framework. It includes the social and traditional contexts in which individuals and families build and adapt their livelihoods. As such, it covers a variety of characteristics associated with power, authority, governance, laws, politics, public services, social relations (gender, caste, ethnicity), institutions (laws, markets, estates and land tenure), and organisations (NGOs, governmental agencies, the private sector).

The concept of PIPs differs from the concept of vulnerability in its perception that people are constantly shaping processes, rather than simply being affected by established ones. However, poor people exercise only limited influence. Effectively, they can determine :

- Access to various types of capital, to livelihood strategies, to decision-making bodies and other sources of influence;
- The returns on various types of capital and livelihood strategies.

Areas of livelihoods are neighbourhoods where the resident population shares:

- Similar levels of wealth and means (urban/peripheral areas, day-to-day work, barter, etc.);
- Comparable means for addressing their health, food, housing, water, clothing and education needs;
- A coherent social organisation (such as neighbourhoods where groups/minorities are over-represented).

At the household level, the impact of a crisis and subsequent coping strategies have multiple dimensions¹⁰, including:

- Decline or near abandonment of small commercial activities in the poorest households;
- Increased expenditures for food and subsequent decreased spending on items such as education, medication, etc.;
- Lower quantities of food consumed (reduction in the number of meals; lower quantities consumed at specific meals) decline in the quality and diversity of food consumed;

7/ DFID "Information note on livelihoods", section 8 : Reference

8/ Here adapted to urban contexts

9/ The concept of access to services is expanded upon in chapter V

10/ CONASUR, DGPSA, DN « Assessment of the impact of price rises on urban households », Ouagadougou, July 2008.

- Decline in family cooking and increased consumption of street food;
- Deterioration of eating habits among pregnant and breastfeeding women;
- Deterioration in eating habits among infants and toddlers (early introduction of family meals, elimination of enriched baby complementary foods);
- Deterioration in food, body, clothing and home hygiene;
- Increased levels of child labour;
- Increased household debt;
- Increased cases of home abandonment and family breakdown;
- Reduced mutual assistance among neighbours;
- Increased begging, robbery, crime and prostitution;
- Migration.

The development of a dynamic analysis depends on an examination of structural vulnerabilities in different neighbourhoods (see below “criteria of vulnerability”), and on an understanding of the impact of a crisis on development prospects in disadvantaged households¹¹. It is all about understanding the dynamic nature of livelihoods and what influences them, in accordance with the sustainable livelihood approach (SLA).

CYCLICAL VULNERABILITIES: IMPACT OF A CRISIS ON FINANCIAL ACCESS TO FOOD

A series of quick quantitative surveys will shed light on the main impacts of a crisis.

The appendices include a set of standard questionnaires that will help field workers to implement this exercise, including:

1. Group discussions for households
2. Interview guide for neighbourhood leaders
3. Interview guide for authorities and key informants
4. Assessment of the impact of price increases on commercial actors.

Key informants who provide this kind of information will differ from country to country, particularly at the national level where responsibilities are often shared among various ministries or paragonovernmental structures.

Because the prices of raw materials have increased, governments have adopted several measures, such as wholesale or semi-wholesale market price control, restricting exports and lowering tariffs on imports, stockpiling material that will supply the market when prices increase, etc.

A summary of data that can be collected is provided in the table beginning on the next page.

Themes	Information to collect	Sources	Interview resource people	Discussion groups	Household interviews
Macro level/ National or regional context	Demographic indicators Growth in domestic production Rate of import/export Inflation (and its causes) Ministries (commerce, agriculture, etc.) Prices (tax policies, fluctuations, etc.) Rate of inactivity, minimum wages Agricultural statistics (productivity, yield, harvests) Prospective data on the evolution of production, data on support policies for the producers (purchasing of seeds, fertiliser, pesticides, etc.) Food stocks and food availability Foreign trade policies (partial release of food stocks at social prices, temporary reduction or exemption of custom duties and VATs for basic foodstuffs and essential commodities, export freezes/restrictions, regulation of sale prices, etc.)	x	x		
Meso level	Climatic conditions, rainy seasons Deputy mayor; officials in charge of municipal services; head doctors; inspectors of education; social services; NGOs; wholesalers, semi-wholesalers; neighbourhood leaders; traditional chiefs. Infrastructures/roads/water, sanitation, drainage and landfill networks/schools and health centres Markets (access, networks, flow, diversity, supply chain, price fluctuation, trends and seasonality) Work opportunities Population movements, security conditions	X	X		
Micro level	Household or individual Household income and expenses (recent evolution) Debt level, remittances Access and use of land plots Housing, environment, education Diversity and quality of diet Sources of food supply Coping mechanisms Migration of household members Volume of water the household uses every day Connection to network/distance to the nearest water point Biological quality of drinking water Availability of sanitary installations specifically for the household, shared with other families, or used by the community Household waste management (collection, landfills, cremation, etc.)	x	x	x	x

11/ Depending on the context, it is not always necessary to analyze the impacts of a crisis, especially when it is relatively old and/or when evolution is not anticipated. Nevertheless, the specific context of the world food crisis prompts us to implement this type of exercise.

MAPPING STRUCTURAL VULNERABILITIES IN AN URBAN ENVIRONMENT

Through this exercise project designers can obtain an initial snapshot of life in the target area. However, this snapshot will not be very precise.

- In some contexts, such as Kabul, there is a national surveillance system that provides NGOs with mapping of areas with similar characteristics, network coverage (electricity, water, sanitation, health centres, roads, markets), and qualitative data.

This exercise requires a typology of the various urban forms (such as housing and environmental risk areas) and of services. You will also need a relatively recent map of the city that includes, if possible, administrative boundaries and neighbourhoods.

Four main criteria should be examined.

Housing: Vulnerability in relation to housing is broadly defined here, and it includes land security, quality of construction materials, population density, and level of geographical integration. (Are there urban ghettos? How far away are employment areas? What are the area's urban or rural characteristics?)

Access to services: Services under discussion include water and sanitation, transportation, health, and education. Are these basic services financially and physically accessible? How much do they take out of the household budget? (For example, are water and sanitation expenses more than 10% of the budget?). Are services sufficient? (For example, is 20 litres of water per person per day available)? What is the biological quality of these services? Are the services of high quality? (See analysis of public policies for health, education, maintenance of water distribution infrastructure, etc.) Which "sub-services" or related services are provided?

Social capital: This is a major resource, particularly in situations where there is creeping poverty and misfortune. When people lack individual safety nets and there are no solidarity mechanisms provided by institutions, a household's social capital is a crucial safety net that allows the household to withstand shocks¹².

Unfortunately, in cities the social environment is often unstructured and plagued by distrust and individualism.

Environmental risks: Understanding of environmental risks is based on an analysis of services and urban management.

12/ Shocks, sudden events with an important impact on households, constitute a key element of the vulnerability context. They are irregular by nature, vary in intensity, and include events such as natural disasters, civil conflicts, loss of employment, or a sudden decrease in the prices peasants can get for their harvest. They can be classified as follows:

- Human: (illness, epidemics, or accidents);
- Natural: (flooding, earthquakes);
- Economic: (loss of employment, sudden changes in prices);
- Conflicts (war or violent disputes);
- Shocks related to the health of the harvest or livestock.

Shocks and trends may be related. For example, certain changes that appear to be trends at the national or even regional level (such as increasing rates of infectious diseases like AIDS and malaria) may have the same consequences for a household or an individual as a greater upheaval (such as a death in the family).

On one hand, a lack of basic services can result in a variety of risks. For example, a lack of drainage increases the potential for damage during heavy rain and flooding. On the other hand, good urban management in which the growth of liveable areas is planned will limit housing construction in risky areas such as hillsides, flood plains, industrial areas, railways, airports, and areas near high voltage lines, and will encourage and support household and community initiatives to prevent problems.

"Individual" and "scattered" waste management and sanitation methods may represent a significant source of urban aquifer contamination, as they are often operated in situ. (Water resources for rich cities are operated outside of the cities, limiting the risk of recontamination.)

- Each of the indicators for each criterion listed below are not always relevant. The validity of the indicators presented below should be questioned for each city. For example, land security (housing) is not always a significant vulnerability factor. Analysis of this indicator should take local and national policies (such as regulation/development, expulsion/clearing off, or carelessness) into account.

The selection of relevant indicators will help to identify the neighbourhoods that field surveys will focus on.

Criteria	Indicators	Sources
Housing	Neighborhood development model (developed neighbourhoods, planned neighbourhoods, informal settlements). Rent index of a house. Distance to employment areas. Housing quality and consolidation (materials used, respect for local building standards).	- Master plans, local and/or ministry planning departments. - National census, housing associations, price surveys. - Google Earth. - Google Earth, national census, household studies, local building codes.
Access to urban services	Access to passable road systems public transportation and electricity. Access to health services. Water and sanitation throughout the primary network + network extension (central/outskirts) Market access to staple foods (significant price fluctuations can be observed in different neighbourhoods).	- Networks and plans for large infrastructure (factories, dams, wastewater treatment plants, etc.), master plans, consumer research, Google Earth and aerial photographs (for the road system). - Health map, GPS listing of public and (not for profit) private health centres, mortality rate data for children under 5, interviews with households and social workers. - National Institute of statistics; research on households' living standards; health and nutrition centres appointment registers; HSD, MICS (Unicef), LSMS; strategic plans for water and sanitation (see WHO and Sphere standards and adapt them to the local context); national surveillance systems on food insecurity; interviews and observation of practices. - Summary of market prices for basic commodities.

Criteria	Indicators	Sources
Social and human capital	Urban and peri-urban areas/exurbanisation. Presence of “gated communities”, neighbourhoods with predominant ethnic, religious, or migrant populations. Neighbourhoods with homeless or destitute people. Location of neighbourhoods where the implementation of sustainable infrastructure and community services is a complex undertaking. Type of leadership in specific neighbourhoods (personal, customary, based on religion, based on power, lack of leadership). Literacy rate ¹³ . Urban violence.	- Google Earth, master plan. - Municipality, cadastre. - Municipal social services, social associations (children’s aid, etc.) - Social services, social associations (non-profit) - Census, DHS, MICS (Unicef), LSMS, Ministry of Education data. - Information from communities, social services, police.
Environment	Situation, area, limits of the site, topography and natural characteristics. Sewage outlets/areas of sewage flow, domestic waste landfill, areas of groundwater contamination. Access to groundwater (built on granite soil, alluvial and permeable soil).	- City map (1/50,000° to .000°), aerial photographs, field surveys, Google Earth, soil surveys, study of aquifers. - Municipalities (cadastre, lands), surveying firms, land surveyors, TP enterprises.

This list of sources is far from complete and should be adapted to specific contexts and available resources. It is also important to consult data produced by research departments and universities, and to talk with local staff.

ORGANIZING A WORKSHOP / PROGRAMME

After a site visit has been completed and existing second-hand data has been consulted, the next step in the urban vulnerabilities zoning process is to develop hypotheses that can be explored with two or three resource people.

Wherever possible, a workshop should be organized with various stakeholders who either know the entire city, or are familiar with specific neighbourhoods or issues. (Examples include research departments or personnel from a specialised NGO working in a specific neighbourhood). The discussion will help you to integrate fragmented information.

This consultation should last at least half a day. Several workshops may be organised for each theme, in order to reduce the length of the discussions and to avoid monopolising people’s time. Possible topics are provided in the box below.

1. Presentation of the zoning exercise, describing what it is about, its aims, its methodology, and the specificities of the urban environment. Illustrate your points with examples of “zoning” carried out by ACF in other cities, such as Kabul.
2. Categorisation of neighbourhoods by level of wealth (rich, middle class, disadvantaged, Central Business Districts, etc.).
3. Identification of major sources of employment – formal or not – in the central district and in peri-urban areas (markets, harbours, industrial and agricultural zones, etc.).
4. Listing of main vulnerabilities (see “vulnerability criteria” below), such as overpopulation, deficient services, isolation, floodplains, etc.
5. Mapping of key vulnerable areas.
6. Brief description of each area’s main characteristics.
7. Refining the precision of zoning using a map that shows the boundaries of minor administrative units, such as districts and sub-districts).
8. Listing issues and assumptions that surface or remain unaddressed.

This discussion may be followed by another workshop that includes frontline workers who are more familiar with field work (social workers etc.), and by field visits that will validate assumptions and find answers to lingering questions.

USE OF COLLECTED DATA

Categorisation of neighbourhoods and sampling units

Criteria used to define social strata by vulnerability levels should always be provided.

Corresponding enumeration areas, or by default higher administrative units, will be assigned to each stratum (neighbourhoods, districts, etc.).

Example :

Stratum N°	Vulnerability Level	Type of neighbourhood	Characteristics	Name/ number of neighbourhoods	Enumeration area
I	Very high (---)	Areas of exurbanisation and peri-urban villages; Neighbourhoods affected by pollution.	Few job opportunities. Unbuilt or unserved areas. Presence of illegal dumps/ factories that pollute heavily. High density of degraded/ poor quality housing. Very low level of services.	Sectors 30, 27, etc. Balkuy village.	N° ##
II	High (--)	Unbuilt and/or unserved outlying district; IDP camps; Flood-prone areas.	Areas that are built up but do not receive services. Type of population. Low level of services. Few job opportunities.		N° ##

13/ People who have reached the fifth grade of primary education are generally considered literate.

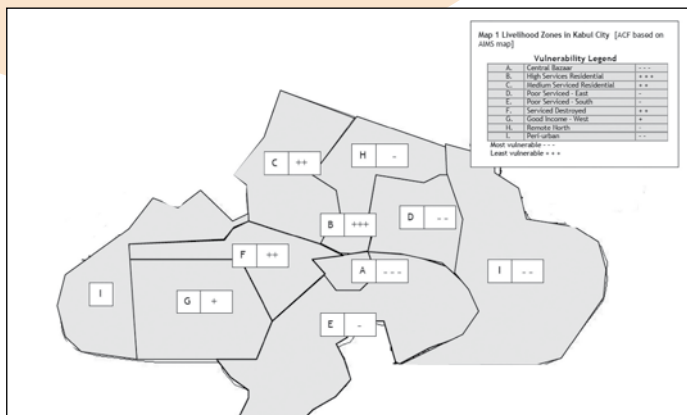
Strate N°	Niveau de vulnérabilité	Type de quartier	Caractéristiques	Nom/ numéros des quartiers	Zones de dénombrement
III	Average (-)	Central districts; Old indigenous neighbourhoods.	Serviced areas. Good access to the city's employment areas. Overdensity and poor housing conditions. Indigenous population.	N°2, 7, 10,11	N° ##
IV	Weak (+)	Residential neighbourhoods with high quality services.	Average density. Close to employment areas. Good housing quality.		N° ##
V	Very weak (++)	Affluent residential neighbourhoods.	Low density. Very good access to services (transportation, water, sewage, etc.). Good quality housing.		N° ##
VI	Nonexistent (+++)	Unpopulated or designated areas.	Protected natural areas, military camps, etc.		N° ##

The selection of neighbourhoods where surveys of households and key informants will be conducted should be based on city zoning that has already been completed.

ZONING VULNERABILITIES

Zoning may be a very difficult process, since pockets of poverty – areas potentially affected by socio-economic vulnerabilities – are often interwoven with affluent and protected residential areas. Thus, an exhaustive enumeration, and the categorisation of all areas of the city, will be a very long and costly endeavour, and may be impossible when resources and time are limited. With enough time, however, it is possible to refine the results of a zoning exercise, possibly by disseminating it widely to people with extensive knowledge of specific neighbourhoods (including social players, municipal officials, NGO personnel, etc.).

Example below: zoning of the city of Kabul, carried out by Action contre la Faim in 2004



CHOICE OF METHODOLOGY

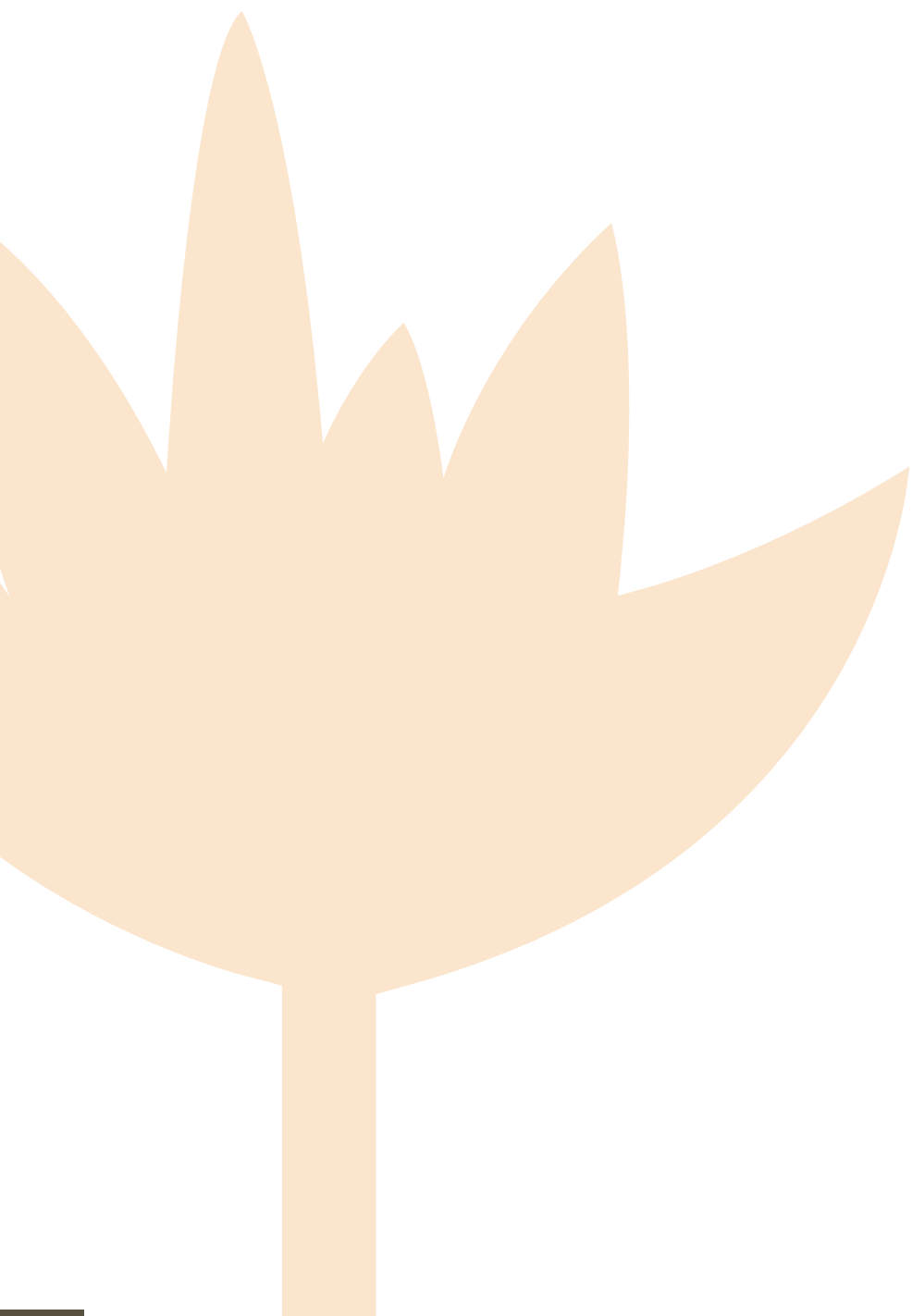
Once vulnerabilities have been mapped and sampling units (neighbourhoods, sub-neighbourhoods, enumeration areas) have been classified, you have several options:

1. Assess livelihoods across the whole city.
2. Do a complete analysis (social, institutional, economic) of one or several neighbourhoods.
3. Monitor the area.

When you decide to collect more data in order to refine the analysis, generate new hypotheses, and develop the project, you can choose from several methods and tools.

The analytical table below provides a series of questions to guide these decisions.

State of knowledge and institutional environment	What level of detail was attained from second hand data? Can the data be considered reliable? Has a lot of research been completed? If a complete study were done, would there be a way to position ACF as a lead agency in this city?
Level of detail in the zoning exercise	What is the objective of the operation? What is its scope? Are you looking for a general idea of the situation? Or do you want to position ACF as a lead agency in a city where very little data exist? Is a pre-identified and sectional intervention planned? Is it planned for identified neighbourhoods, or for isolated people? Would we consider a potential partnership with one or more ISOs to strengthen the impact on the target population?
Accessibility	Security: where are the "no-go areas" ? Are they accessible at a certain time of day? Should permission to enter certain neighbourhoods be requested from neighbourhood chiefs/leaders (formal or informal), the authorities, the police, or others? What are the official restrictions on entering these neighbourhoods or collecting certain types of data? Are there communities within the city that would be reluctant to participate in any kind of survey? What are the limits on isolated areas (such as those situated on a mountain-side)? What constraints are imposed by seasons (rainy seasons, religious festival, etc.)?
Mobilisation of civil society	Are there any formal or informal community groups that could provide qualitative data? Is it possible to mobilise project beneficiaries?
Geographical distribution	How does the geographical distribution of vulnerable persons appear a priori? Are the disadvantaged neighbourhoods clearly identifiable? • Are there important examples of segregation? • Are there many isolated people (street children, homeless people, squatters in disaffected buildings, etc.)?
Perception and awareness of the population	"Interview fatigue" is a real problem when collecting data from people who are not sure whether these interviews will have any positive effects for them, especially if, in the past, commitments were made, but there was no follow up. What is the population's level of expectation? Is there a risk that, by introducing oneself as representing an NGO acting against hunger, the surveyor may introduce a response bias?
Resources	"Interview fatigue" is a real problem when collecting data from people who are not sure whether these interviews will have any positive effects for them, especially if, in the past, commitments were made, but there was no follow up. What is the population's level of expectation? Is there a risk that, by introducing oneself as representing an NGO acting against hunger, the surveyor may introduce a response bias?
Need to update	Before the zoning exercise, it is important to decide how often the information will be updated. Is the context stable? Are population movements happening at the moment? Is there a quickly-evolving context of food and economic crisis?



Chapter 3

SAMPLING AND ORGANIZING THE SURVEY



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A **local administrative** unit is defined as urban when it includes over 10,000 residents, and the main agglomeration is home to over half the population. If the city is defined as an area that provides superior services, a rural area becomes urban when its population numbers 7 to 8,000 inhabitants (e.g. in West Africa).

For purposes of data collection, the commonly accepted definition of a city is: an **urban agglomeration** (United Nations Statistics Division), characterised by one or several cities, each with its own jurisdiction, historic centre, and adjacent suburbs. An agglomeration is an urban territory that shares functional relationships (dependency in terms of jobs and services) with the central city or cities. In strict land use morphology, a city is a grouping of constructions that are never more than 200 metres apart.

As the smallest social group sharing similar conditions of food availability and accessibility, the household is the most popular study unit. A household is defined as a group of people led by a **household** head (see below), living under the same roof, with whom the surveyed person currently and regularly (as defined by a limit such as 5 days/week) shares meals and other resources (including finances). The notion of a household is different from that of a family; frequently several families live together and form a single household.

The head of household is the person responsible for day-to-day decision making regarding the household's distribution and use of resources. A woman is often the survey's most important informant, since she has a broad knowledge of everything related to services, access to water, schools and health centres. Females should not be neglected by the survey.

STRATIFIED RANDOM SAMPLING

Stratified Random Sampling uses zoning vulnerabilities upstream (according to the criteria selected for the zoning exercise) in order to stratify or divide the agglomeration into 3 or 4 layers.

Once strata are identified, sampling is completed in two phases.

■ PHASE 1: SELECTION OF PRIMARY SAMPLING UNITS (PSU)

Generally, stratification reduces variation and allows estimates to be more precise. The number of PSUs chosen in each stratum will be equal to the proportion of the total population in this stratum. The PPS sampling method is used when the probability of selecting a PSU is proportional to the size of its population¹⁴.

14 / A simpler option is to use SMART software to select clusters.

In the first stage, neighbourhoods are selected to become the census areas or "enumeration areas" where the surveys will be completed.

Whatever level is selected, the primary sampling units must :

- have stable and clearly identifiable boundaries. If they do not, a larger unit (neighbourhood, district, ward, etc.) should be chosen;
- indicate the number of households per PSU;
- be numerous;
- be of similar size and population. If enumeration areas are too small, they can be incorporated into a larger group, or, if they are too big, they can be divided.

Stage 1: Use the vulnerabilities map and the table to locate the different strata (or areas of vulnerability).

Stage 2: Calculate sample size.

The precision rate required will depend on the survey's intended objectives. If you are zoning vulnerabilities across a metropolitan area, the level of precision should be +/- 5%.

If possible, this estimate can be lowered to 3%.

N = size of the population
e = level of precision

$$n = \frac{N}{1 + N \times e^2}$$

Example: For a population of 1,300,000 (between 200 and 250,000 households), at a precision level of +/- 5%, 400 household surveys should be completed (to which we will add a 10% loss for incorrectly-completed questionnaires).

Stage 3: Indicate the number of PSUs in each stratum that are selected for a visit.

Example: If 30 PSUs are required and we want to complete 250 household interviews in stratum 1, eight to nine households will be interviewed in each of the 30 PSUs. (250 / 30 = 8.3)

For logistical reasons, the number of sites to be studied should be limited.

Stage 4: Calculate the Sampling Interval (SI) :

$$\frac{\text{Total number of households in the stratum}}{\text{Number of PSUs required}}$$

Example : SI = 40,678 ÷ 30 = 1,355

Stage 5: Choose at random a number between 1 and the SI. This number will be the Random Start (RS). Then calculate the following sequence : RS, RS+SI ; RS+2SI,RS+(number of surveyed sites - 1)SI.

Example :

Intended number of surveyed sites in the stratum = 30

SI = 1,355

RS = 201

Sequence = 201 ; 1,556, 2,911 ; 4,266 38,141

Census areas (PSU)	Number of households	Added Total	Selected PSUs (from the sequence)	Series RS + SI
CA 1 (Dapoya)	1,170	1,170	201	201
CA 2 (Nemnin)	100	1,270		1556
CA3 (Paspanga)	80	1,350		2911
CA 4 (Koulouba)	500	1,850	1,556	4266
CA 5 (Bilbalogho)	500	2,350		5621
CA 6 (Quartiers saints)	335	2,685		6976
CA 7 (Samandin)	840	3,525	2,911	8331
CA 8 (South Gounghin)	670	4,195		9686
CA 9 (Hamdalaye)	800	4,995	4,266	11041
CA 10 (North Gounghin) etc.	650	5,645	5,621	12396

Thus, the selected PSUs (here, the « census areas ») will be CA1, CA4, CA7, CA9 CA49.

Stage 6: Using the table above, plan the field survey and schedule the deployment of interview teams well in advance.

■ PHASE 2 : SELECTION OF HOUSEHOLDS WITHIN EACH PRIMARY SAMPLING UNIT (PSU)

There are two possible options, depending on available resources:

1/ Randomly define starting points within neighbourhoods: Spin a pencil on the clipboard to indicate which direction to take, then survey households every “n” number of houses.

To calculate “n”, divide the number of households in the neighbourhood by the number of households to be surveyed in each neighbourhood.

Example: In the Samandi neighbourhood (CA7): $840 \div 8 = 105$

Thus, skip 105 doors between each surveyed house, until the required number of surveys (8) has been completed.

If the neighbourhood (PSU) has too many households, divide it into two or four areas of similar size and assign one interviewer to each area.

2/ Randomly define points within neighbourhoods, then use the “pencil method” to select households located around that point.

Use a GPS to ensure that you stick with the sampling plan and the interviewers can find their way around town. (This is essential in peri-urban areas and quarters that are not sub-divided).

SURVEY ORGANISATION

The survey’s preparation and beginning phases are the most complex. Many activities overlap, including training, questionnaire adaptation, recruitment, safety and logistics management, and provision of support material (questionnaires, clipboards, identification badges, etc.).

Human Resources

Supervisor and interviewer recruitment is extremely important, since it determines the quality of data collection and monitoring that will be achieved.

Several options are available.

Local Organisation	Advantages	Constraints
ACF Staff	Ability to select personnel (interviewers and supervisors) involved in the project	Possible bias: researchers may influence answers when they introduce themselves as representatives from «Action contre la faim ».
Local NGO	Limits bias. Human resources management delegated to the head of the NGO. Possible transfer of skills.	Possible politicisation of NGOs.
Universities	Limits bias. Lowers cost. Possible transfer of skills.	Possible politicisation of universities. Students may be less available for work.
Staff of supervisory authorities	Knowledge of context. Involvement in the project. Legitimacy.	Politicisation. Skill level uncertain. May claim per diem.

Human resource requirements will depend on the number of surveys needed (cf. supra-sampling) and on time constraints.

Optimal teams will include one supervisor and five investigators.

Depending on the number of PSUs required and on logistical constraints, it is possible to complete an average of 5 to 8 interviews per day, per interviewer. When necessary (such as when time is short, or sampling procedures require surveying more areas), supervisors should perform interviews as well, rather than recruiting additional interviewers later on.

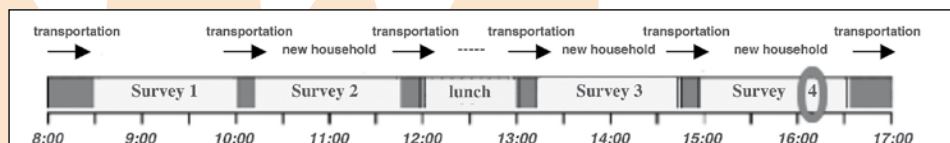
The average rate of data entry is 20 to 25 surveys per day per person.

Programming

Time, number of interviewers, and their level of experience, may limit sample size. Before anything else, you should determine the average number of questionnaires an interviewer will be able to complete in one day (n_{Qd}), factoring in the length of a workday (e.g.: weekly surveys completed in the morning will over sample women), contextual constraints (such as prayer times) and criteria such as transportation.

The trick is to integrate all these factors (converted in minutes) into the timing chart of a typical day, which shows starting and finishing times and covers the number of hours interviewers can work each day. The simulation below provides an idea of the number of questionnaires that can be completed in one workday.

N.B.: When they are tired, interviewers may neglect data quality, so it is not helpful to overload a workday.



Once the number of questionnaires/ days/surveyors has been determined, you can calculate the amount of time available: Number of days available for the whole survey : _____ days

Number of days for data entry, processing and analysis: _____ days

Once all these aspects have been reviewed, it is possible to determine the maximum size of the sample that can be covered, knowing that one questionnaire completed is equal to one person surveyed.

Calculation : maximum size of the sample that can be supported.

Number of surveys per day / surveyor	n_{Qd}
Number of available days	n_d
Number of available surveyors	n_s
Maximum size of sample	n_{max}

Training and field testing (two days)

Training is very important and should not be curtailed or rushed. Interviewers and supervisors must clearly understand:

1. Action contre la Faim's mandate and work in the country.
2. Survey objectives and methods.
3. The sampling technique and the importance of strict compliance.

Make sure interviewers understand all questions and provide examples of good and bad interviewing techniques. (For example, instead of insisting on an answer, interviewers can write "will not comment" on the questionnaire; interviewers should allow the person to stop the interview; interviewers should not over-explain questions).

- Grid codes should be used.
- The unit of analysis is the household, so an adult, preferably the head of household, must be interviewed.

4. Functions and responsibilities of each team member, particularly supervisors:

- Ensure that interviewers go to the correct neighbourhood.
- Ensure that the correct households are selected in each neighbourhood.
- Accompany surveyors at the beginning of the project and complete at least one interview in front of each one, in order to demonstrate "best practices".
- Ensure that surveyors follow good interviewing practices, and particularly that they do not introduce a "bias".
- Ensure that every interview is completed correctly and does not take too long;
- Check that questionnaires are completed correctly when they are returned to the supervisor. If data are missing, the interviewer must return to the interviewee to ask for it.
- Collect, review and sign questionnaires and keep them in a safe place until the end of the day.
- Give directions and help interviewers get to the next household.
- Ensure that the team has properly completed its tasks before moving to another area.
- Organise end of day team meetings.
- Return questionnaires to the project leader.

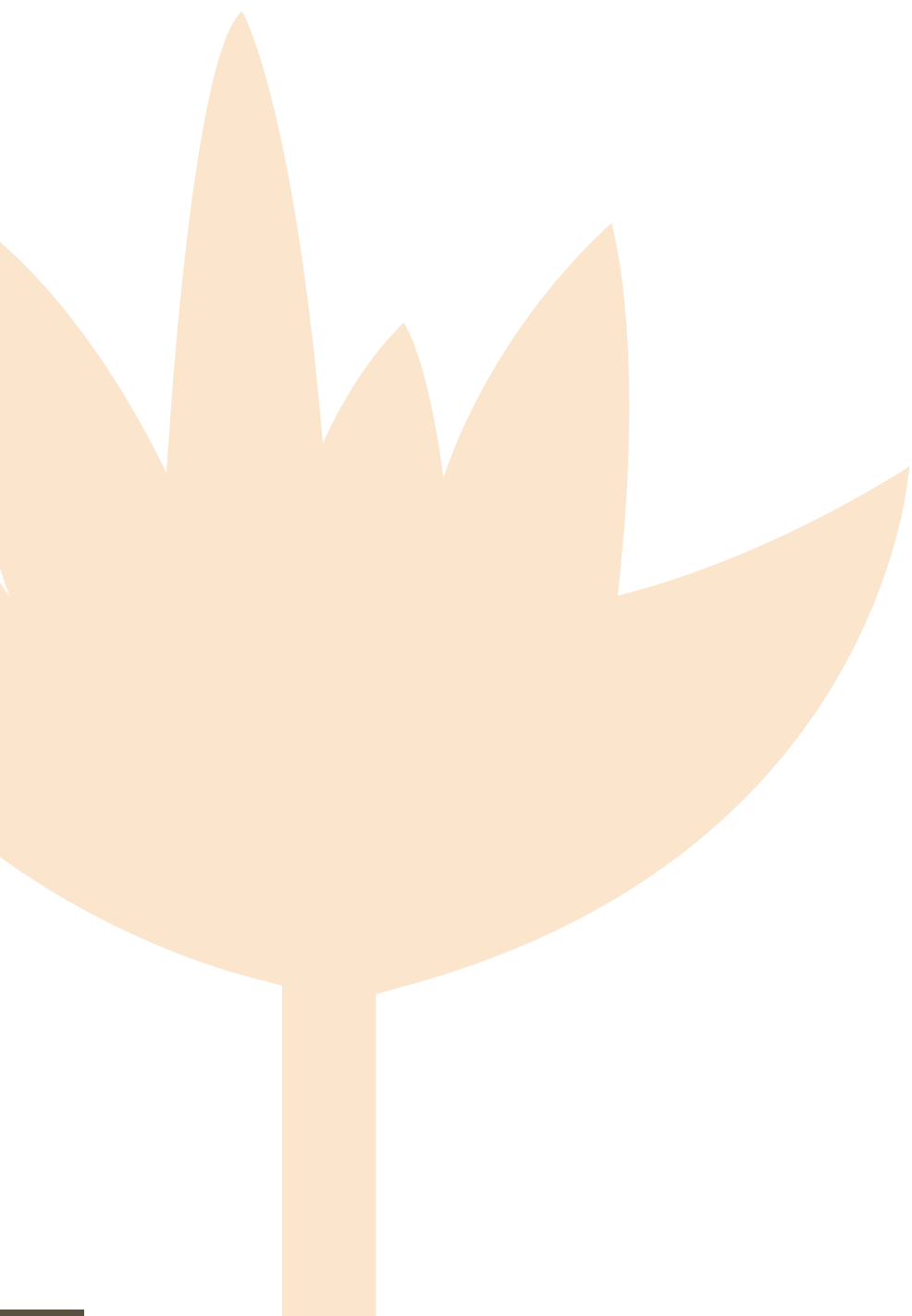
5. Safety and logistics instructions.

A debriefing should be conducted during and at the end of the survey (see appendices).

The field test should be completed in a neighbourhood that will not be covered by the survey.

Communication / access to neighbourhoods:

In addition to obtaining authorisation to enter neighbourhoods, interviewers for surveys in large agglomerations often have to address interviewees' fear of being assaulted. Surveyors may also be threatened, ordered to leave the area, or forbidden by neighbourhood leaders from conducting the survey without a commitment that a project will be implemented later.



Chapter 4

QUANTITATIVE DATA AND QUESTIONNAIRES



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Quantitative data can be collected at two levels: across the agglomeration (for an accurate mapping) or across several pre-identified neighbourhoods.

The questionnaire in the appendix can be adapted to a specific context. Select only the questions that are relevant to the context and your objectives, so that the the interview will not last for too long.

The questionnaire is designed to facilitate data entry and processing, so coding has already been developed (except for locality codes).

Questionnaire / Baseline assessment

Questionnaires include three types of data:

1. Metadata

This category includes basic information such as interview date, name of the neighbourhood where the survey is being done, GPS details (if possible), type of neighbourhood and housing, identity of interviewer, etc.

2. Major data

This category includes the demographic profile, socio-economic details, information on access to food, and health status. Questions for this type of data cover the following:

- Household profile: number of persons, number of families;
- Origins and migrations: rural/urban; internally displaced, refugee status and residential history in the city, relationships with family and community of origin, number of rooms in household/persons per room;
- Ethnicity, religion or language used within the household;
- Annual expenditures: what are the household's main expenditures over the year (school, health, out-of-town travel, etc.)?
- Periods of the year when it is harder to earn money.

Depending on the context (subjects are internally displaced people or refugees, are affected by conflicts or post-conflict situations, etc.), some of the following questions may be added:

- Do any household members have disabilities?
- Do household members possess identification papers?
- Why did they migrate to the city?
- If a displaced person or refugee, have they been registered? What are their objectives?
- What kind of property did they leave behind before migrating to the city?
- Do they intend to return to the area of origin?

3. Supplementary data

This category includes explanatory elements that may be essential to an understanding of certain cases. These questions must be included at the end

Chapter 5

SOCIAL AND INSTITUTIONAL ANALYSIS OF LOCAL URBAN SERVICES



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Social analysis can supply information on characteristics such as poverty, vulnerability and social exclusion, and can help explain the following:

- Social positioning of individuals or families (based on relationships, age, gender, ethnicity, religion, caste, etc.);
- Importance of a variety of social characteristics (such as living standards, poverty status, gender, age, ethnicity) in the definition of groups, which provides a more detailed analysis of livelihoods;
- Examination of the scope and effect of exclusion (such as lack of access to assets, services, household- and community-level institutions, lack of means of expression);
- Existence and causes of community-level conflicts;
- Power and authority enjoyed by traditional authorities (village chiefs, community leaders, etc.) and by the state and its agencies;
- Non-commercial social institutions such as traditional land tenure systems and common ownership;
- How political institutions and processes affect different social groups.

In order to promote **micro-macro links and encourage public-private partnerships**, this chapter will examine how policies and institutions affect various livelihoods. Specifically, it will highlight the need for policy-making to integrate local-level information and priorities of the poor.

Tools available to the field practitioner include semi-directive interviews (individual or group), “life stories”, “wealth ranking”, area service/institutional patterns that help identify trends and the development of situations within short spans of time using limited means. The insights that can be obtained from combining such information may be indispensable. Examples of analysis grids, open questionnaires and diagrams are provided in the appendices. Other tools such as “life stories”, “wealth ranking”, etc. may aid the analysis of human, social, or financial capital.

Levels of analysis can also vary widely depending on the size of the area, whether it is a city, a municipality, a district, a neighbourhood or even an “enumeration area”.

Organisations (associations, enterprises, informal groups, etc.) carry out specific **functions** (services, support, control, coordination) within the framework of an **institutional environment**.

Services form the “backbone” of the city, improving living conditions or economic activity¹⁵ (by providing access to health, drinking water, sanitation--including disposal of excreta, domestic waste and grey water-- nutritional education, transportation, commodity marketing, etc.). The efficiency of services can determine a population’s livelihood. In neighbourhoods recognised by the authorities, the service quality is better; services are provided by formal organisations, such as public corporations, that are subject to rules and regulations. Informal settlements and poor neighbourhoods generally pay more for inferior services.

Sub-services include consultancies, guidance counselling, and credit). A women’s group that is in charge of a canteen and plays an essential role in determining the quality of the service provides one example.

The **quality** of a service is measured relative to the chain of related services following the **logic of integrated channels** and according to its alignment with user demand (including content, mode of delivery, cost, proximity, ease of access, and dialogue possibility). Quality is also linked to individuals’ ability to assume their roles and to consistently and responsibly manage relationships among themselves (including cooperation, competition, and conflicts).

For public or non-exclusively commercial services, **service regulation** is a set of common, agreed upon rules¹⁶ (including standards, prices, quality control, etc.). In disadvantaged neighbourhoods, services are often provided by organisations based in the population, and regulations are achieved through shared knowledge between users and members of the organisation, by intervention of local leaders, through claims from within the association, etc.

In peri-urban areas, which are usually not registered, there may be some ambiguity as to who is in charge. (For example, are water services provided by municipal or rural authorities?) Where services are totally unavailable, a private contractor (commercial venture), which is much more expensive, and is not regulated (or open to the rules of supply and demand) often fills the gap.

Once all the data has been collected, it may be useful to conduct semi-structured interviews with key informants who have extensive knowledge of the neighbourhood.

These informants may be employed by local or national authorities, NGOs, teachers, community leaders and representatives, traders, etc.

Several questionnaires are provided in the appendices. They all need to be adapted, either with alterations to possible answers, by the addition of questions specific to certain contexts, or removal of irrelevant questions.

It is important to ensure that questions are formulated in everyday language that is understandable to all.

15 / Huppert W. et Urban K., 1998, Analysing Service Provision –Instruments for Development Cooperation ITZ, Publication Series n°263, GTZ, Eschborn.

16 / Within the framework of purely commercial relationships, regulation is achieved by competition; if consumers are not satisfied, they may go to another trader.

DISCUSSION GROUPS, SEMI STRUCTURED INTERVIEWS

Neighbourhood selection, areas where qualitative surveys will be completed

The selection of neighbourhoods for key informant and household surveys should be based on previously conducted zoning exercises, and more precisely, on the different strata selected.

Questionnaires for traders

These questionnaires may be submitted to a range of actors, ranging from street food vendors to wholesalers. Depending on the person interviewed, information collected this way may be relevant to one neighbourhood or to the entire city.

The use of the questionnaire provided in the appendices must also help interviewers to understand the logic of integrated channels. A system comprised of agents who produce, transform, distribute and consume a product, is partitioned and represented through integrated channels.

The proposed method of analysis includes four phases: delimitation of the channel, definition of a typology of actors, accounting, and organisational analysis.

Questionnaire for neighbourhood coordinators and leaders (discussion group)

This questionnaire is designed for “key” informants. People conducting these interviews should try to bring all participants to a consensus on semi-open questions.

The questionnaire covers three types of information:

1. In order to better understand challenges and local tensions, simple semi-open interviews with resource persons (leaders) may constitute excellent preparation for a Focus Group Discussion. The latter will require a moderator who can redirect the debate when it becomes unproductive, and who continually seeks consensus.

2. Information on community strength:

Area inhabitants should be categorised: the group can define neighbourhood inhabitants as “very poor/vulnerable”, “poor or vulnerable”, “non-poor/vulnerable”. (Some criteria that will help to develop profiles are provided in the questionnaire, but there is enough space to add criteria that may seem important to the leaders.) It is important to be aware of the subjectivity introduced by the word “poverty”; the definition varies from one person to another, and from one community to another.

3. Data on the impact of a crisis on household strategies:

The analysis must factor in important social divisions that influence household livelihoods. At the end of this questionnaire, ask the leaders to provide the names of 5 or 10 women belonging to the “very poor/ destitute” group; 5 to 10 women belonging to the “poor/vulnerable” group; and 5 to 10 men belonging to the “very poor/vulnerable” or “poor” groups.

Interview guide for household groups

This guide examines seven dimensions of social capital: (1) groups and networks; (2) trust and solidarity; (3) collective action and cooperation; (4) social cohesion; (5) information and communication; (6) empowerment and political action; (7) access to services and employment.

URBAN SERVICES AND POSITIONING OF ACTORS¹⁷

Political, traditional, and administrative entities also have important roles, and it helps to know how they interact.

In addition to classic tools used by Action contre la Faim (social maps / Venn diagrams¹⁸, “life stories” and “stories of the neighbourhood”) an analysis of services may be helpful as well. Questionnaires in the appendices can help to develop service patterns for institutional and non-institutional actors.

Urban services can be analysed through:

1. The identification of various forms of leadership, as well as potential socio-economic and economic conflicts that may constrain the implementation of the project. (See the “analysis of social capital” in Appendix 4.) Social situations may vary from one neighbourhood to another, and may range from “neighbourhood dictatorships”, where strong leadership is exercised, to neighbourhoods that lack any social structure.

2. Identification of problems with the provision of a particular service (poor service quality, limited access, lack of organisational cohesion, provider heterogeneity, trade inefficiency, lack of sub-services, viability, etc.). The analysis will examine services in terms of:

- Effectiveness: does the service exist and who has access to it?
- Sustainability: is it sustainable over the long term?
- Nature of the producer.

3. Identification of people with real technical expertise in a given service area.

4. Service quality analysis: The whole chain of interdependent services must be tracked, using integrated channel logic.

The actors involved, their institutional position, and their main relationships, may be graphically represented through a “pattern of services” and an “institutional pattern”.

If the analysis is illustrated in a diagram:

- The horizontal axis represents the more or less private, or public, nature of organisations delivering a service.
- The vertical axis represents the main level of special organisation of a services':
 - closeness to users
 - autonomy in relation to other bodies located in other scales.
- Arrows show the main flows and functional relationships between actors, as well as the following characteristics:
 - Relationship of service delivery (pattern of service): provision of goods or services (technical support, etc.), payment of services.
 - Institutional relationships (institutional pattern) : provision, monitoring, control, supervision by authorities. This information should help identify “institutional voids” that impair access to services.

This analysis of service patterns will facilitate the prospective visualisation of institutional developments related to a possible intervention, in order to identify the institutional changes that will be necessary, and to understand the coherence of current systems.

5. Identification and assessment of economic, social, and political incentives that may encourage individuals to support a project over the long term, and to transcend existing conflicts within the community.

¹⁷ This section is largely based on : Lavigne Delville Ph. et Rosner P.-M., 2008, Accompagner l'émergence et l'institutionnalisation de services de proximité, Coopérer aujourd'hui n°58, Gret, p.17.

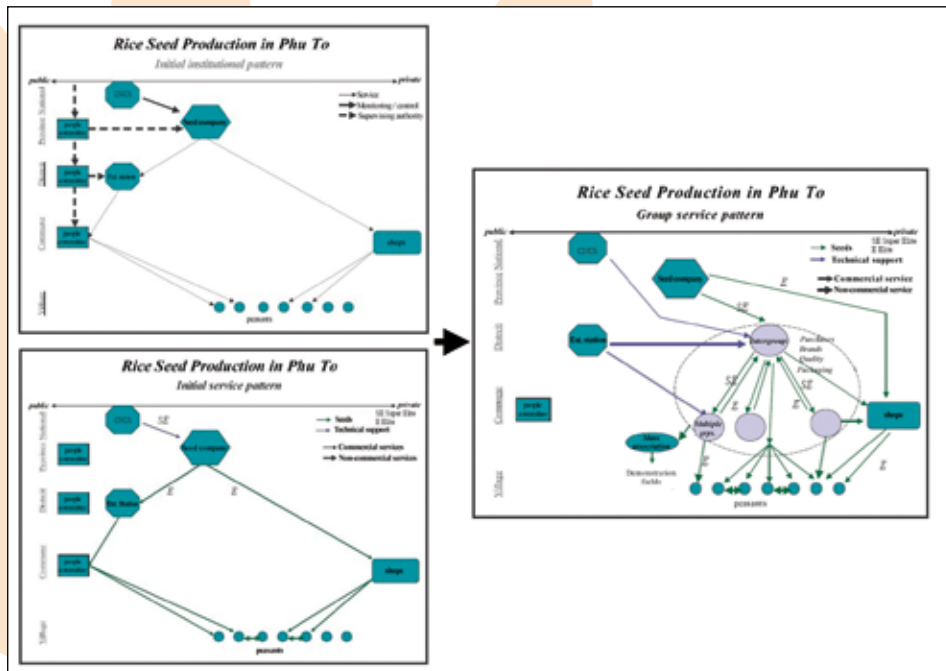
¹⁸ /This analysis will provide an overview of formal and informal institutions in the neighbourhood; of their importance in decision-making; of those that cooperate; and of where there is a gap in services. Venn diagrams also help to assess the importance of external agencies and the need for a new institution. During this exercise, local people will be asked to mark the boundaries of their neighbourhoods and to provide a variety of subjective information (safe and unsafe areas, housing typology, internal divisions linked to various affiliations, etc.).



Example : Initial pattern of “services” and “institutions” and modelling of proposed interventions. (A variety of organisations that may be involved are discussed in the appendices).

A. Initial pattern

B. Modelling of an intervention



APPENDICES



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APPENDIX 1

Quadrat method

Step 1: Get an aerial view or draw a map of the area to be surveyed. You may use a satellite image, an aerial photograph, an edited map or even a hand-drawn map.

Step 2: Measure the perimeter.

- Choose a starting point or a spot elevation. All the external limits of the area are defined by their orientation, and can be measured in degrees with a compass or a GPS. The GPS provides the geographical coordinates of the location at each point where a new direction is taken.
- Each time you change direction, measure the distance from one point to the next, either by counting steps, or by using a GPS or Google earth.

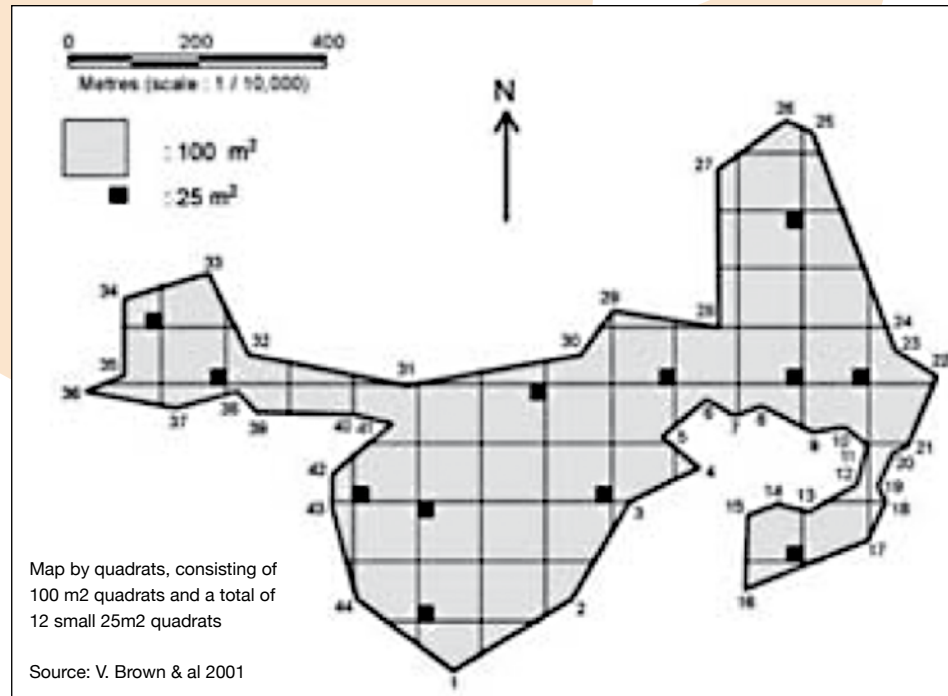
Step 3: After measuring the perimeter, draw a draft of the area, at a scale of 1:10,000 (each 100 metres of land measurement equals one centimetre on paper). You may also enter longitude and latitude data from the GPS into a computer equipped with mapping software. The grid is superimposed on the draft. Depending on the size of the area, you could get 25X25 mm or 100X100 metre quadrats.

Step 4: Calculate the surface of the entire region, counting the number of complete and partial quadrats. The surface of a complete quadrat = length x width. We can estimate the surface area of partial quadrats (irregular shapes) by creating smaller geographical shapes and adding them up. (The surface of a square or of a rectangle = length x width. The surface of a triangle = base x height).

Step 5: Select a random sample of quadrats (MSF/Epicentre recommends selecting 5 to 25 small quadrats, measuring 625 m²). Within each sample of quadrats, an enumeration (or survey interview) must be completed. Under another approach, select a stratified sample of quadrats on the basis of observed high-density, medium-density and low-density household trends.

Step 6: For the random sample, **transpose** the average density of the population measured in the quadrat samples to any surface, in order to draw an estimate of the number of people. You may need to weight the stratified sample before transposing it.

The calculation of the size of a non geometrical surface may also be done by weighing it with an office or medical scale. Cut out the surface in question, then use a simple geometrical surface (square) to deduce the complex surface area using a rule of three.



APPENDIX 2

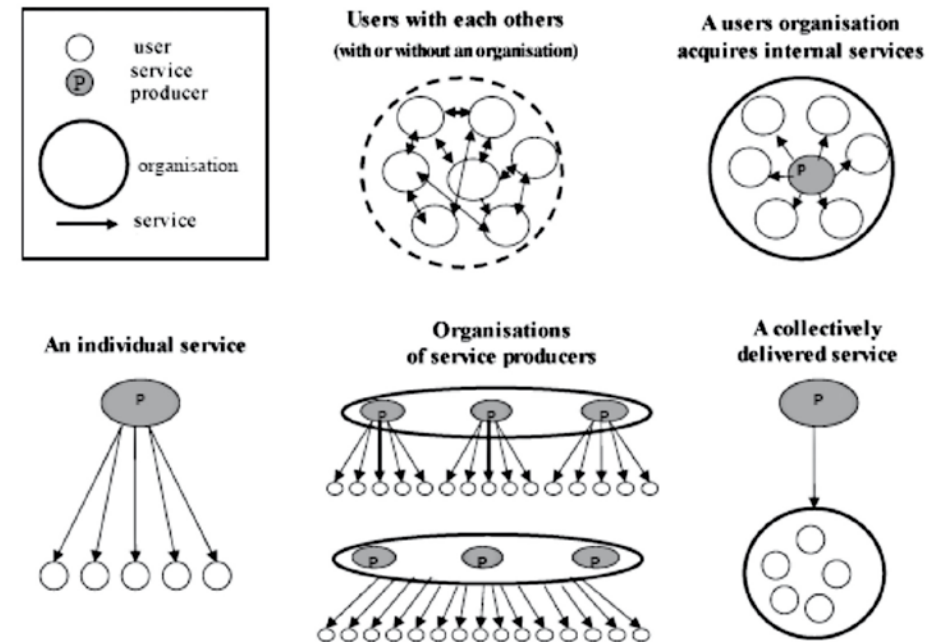
Categorisation of participatory mechanisms (e.g. : Central America)

	Current	Tools	Facilitator	Main challenge
Formal	Traditional	Meeting	Local authorities	Legitimise power through a project
Information based	Self-management	Meeting Training	Public institutions / NGO	Reduce recurring costs of a project.
Advisory	Traditional	City council meeting Participatory planning	Municipalities Public institutions	Legitimise a decision taken by local powers
Functional	Self-management	City council meeting	Municipalities Public institutions	Decentralise for the benefit of communities
Interactive	Empowerment	Participatory planning	NGO	Structure civil society through the establishment of competent community structures
Self development	Empowerment	Participatory Planning, People's consultation	NGO Public institutions Business Municipalities	Structure civil society through the establishment of competent community structures

Type of involvement and responsibility	Consultation	Work force	Training	Management	Local development	Assessment
Formal	✓	Possible	-	-	-	-
Information based	✓	✓	✓	-	-	-
Advisory	✓	✓	-	Possible	✓	-
Functional	✓	✓	✓	✓	-	-
Interactive	✓	✓	✓	✓	-	✓
Self-development	✓	✓	✓	✓	✓	✓

APPENDIX 3

Modes of organisation within an institutional environment



Source : Gret Coopérer aujourd'hui n°58

APPENDIX 4

Grid analysis of urban populations

In countries where information is scarce, disseminated and controlled, it may be difficult to obtain accurate answers to the questions listed below. We cannot, therefore, expect to obtain this information through second-hand data; these questions should be kept in mind throughout the evaluation process.

■ MACRO-ECONOMIC FRAMEWORK

Has the country been under the direct influence of macro-economic policies advocated by the Breton-Woods institutions (such as open trade, encouraging exports, lowering public deficits)?

What vulnerability factors are affecting the country? (These might include acute or protracted crisis, isolation, social, economic and institutional breakdown of structures, conflict, etc.)

What future short- and medium-term risks, such as a lean period or low quality harvest, or events such as religious holidays, festivals, school year beginning, etc., may impact the agricultural agenda?

What is the city's role within the national and regional urban framework? (Will there be a change in the rate of urban primacy¹⁹? What is the impact of potential urban congestion? What is the impact of the presence of workforce industry? Of technology or service industries? Of public administrations?)

Is the city able to attract investment? (Do policies encourage the development of large scale infrastructure?). Will the disadvantaged population be able to attract direct or indirect benefits from these investments?

■ PUBLIC POLICIES

Is there a strategic development plan for the city's growth? Have resources been allocated to this? Does the municipality have land reserves? Are there any programmes to regulate and provide services to informal areas? Are there any norms and standards (building and basic services) or a policy of subsidizing poor households?

When rural people come to settle in the city, do they need a "resident permit" to gain access to services such as school for their children, medical coverage, etc.?

What sort of social protection policies are targeted to disadvantaged people or very poor, socially excluded (destitute) people?

What measures have already been implemented, which ones are expected, and what resources have been allocated by the authorities to stem the crisis:

- Support for grain producers for the purchase of seeds, fertilisers, pesticides?
- Release of a portion of food stocks at a lower social price?
- Exemption or temporary reduction of custom duties and VAT for basic foodstuffs and staples?
- Export freeze/restrictions?
- Regulation of sale prices? For wholesalers and/or all traders? In every neighbourhood in the city?
- Development of large-scale infrastructure to improve service access and supply to urban centres?

19 / Ratio between the population of the main city (the one with the highest population) and the total urban population.

■ FORM AND FUNCTION OF THE CITY

Define the weight of the city: = $\frac{\text{Number of households in the city} \times \text{average income of households}}{\text{Total income of households at the national level}}$

Estimate of the number of households in poverty.

Function of the city = economic, industrial, political, commercial, cultural, financial hub.

Is it a global city (playing a regional or international role)?

What is the weight and role of the Diaspora or of communities in controlling certain economic sectors of the city? How much do remittances contribute to the household economy?

What is the mode of production of space? What is the role of customary players in the production of land on the outskirts of the city?

Is it possible to determine the boundaries of urban, peri-urban, and exurban²⁰ areas?

How many commercial, power, and production centers are there?

What is the weight of commercial, financial, agricultural, political and administrative, and logistical sectors (such as railway junctions, ports, and airports)?

■ URBAN MANAGEMENT

Governance

What is the form and quality of government systems: structure, power, efficiency, effectiveness, rights and representation? The key issues of governance can be analysed in this way:

Is political power practised fairly? If not, who is at a disadvantage?

Are local service providers efficient, and to what extent are services accessible?

Are government bodies honest? Are they efficient and accessible?

Are fundamental human rights legally protected and enforced?

Are ownership rights clear and applicable?

Are official systems of justice and the legal system accessible to all?

Are unofficial or traditional judicial systems discriminatory toward certain groups?

Is there accountability? Is governance decentralized?

What are the competencies of the local government (municipalities)? Does the capital city have particular competencies? Can the central government revoke the power of the local government? Can the local government borrow money? Can it manage projects and choose its partners?

Who are the actors involved in the development of planning documents? Are these documents enforced? Are these actors financed?

Are there any planned regularisation programmes for informal areas? Are there public / private partnerships or are these projects managed privately? Are there any dedicated tools, such as participation, decentralisation, or strategic planning? Does the civil society play a role in project development (planning, large-scale urban projects)?

Does the city have land reserves set aside for its own development? Does the constitution protect against expulsion?

Do certain minorities (women, ethnic minorities, etc.) have difficulty acquiring land, or inheriting property?

Are **urban services** firms present in disadvantaged neighbourhoods?

20 / Exurbinsation is the phenomenon by which people, who can no longer afford to live in the centre of the city, settle in peri urban areas and practice subsistence agriculture for their own needs.



Are these services provided for artisans or user groups? Are they informal or lacking all together? In the area of services – particularly water – are there social tariffs for some disadvantaged groups, or an equalisation system? Are building regulations and public service standards adapted to the resources of low income households? What areas receive services from the large urban services? (See networks diagram).

CARE AND HEALTH SERVICES

Are health cards issued? How are first contact health facilities, including public and private non-profit facilities, distributed around the area? What are the second and third reference levels? What is the technical platform of these structures (maternal and child care, pharmacy, maternity, etc.)? What is the level of community involvement? What is the recovery cost of primary health care?

SOCIAL CAPITAL

What is the impact of the potential logic of humanitarian compensation on community dynamics? What are the dynamics of civil society? How are local associations coordinated? How do religious, esoteric or sectarian groups affect the functioning and organisation of neighbourhoods? What is the index of urban segregation?

Cohesion, social capital: Under a project that covers several city neighbourhoods, in what areas are activities most difficult to implement? Where did the project last for the shortest amount of time? What is the geographical distribution of minorities (including religious, ethnic, and tribal minorities, migrants, displaced people, and refugees) within the agglomeration? What is the importance of mafia, religious, esoteric, and sectarian groups within specific neighbourhoods?

Is there a map of **socio-natural dangers**? Are building codes designed to prevent the effects of natural disasters? What economic activities do the most vulnerable populations (those who spend more than 75% of their budgets on food), and disadvantaged neighbourhoods engage in?

PLAYERS

What are the responses of NGOs? Wholesalers, and semi-wholesalers: What is the level of their stocks? Are their supplies on the international market? What stockpiling strategies have been implemented? Has there been speculative stocking? How have profit margins evolved? How has retailers' credit developed? Etc.



ASSESSMENTS OF SUSTAINABLE LIVELIHOODS

(To be completed prior to the interview by supervisors, and distributed to the interviewer.)

1. Questionnaire number: 2. Interviewer code:

3. Interview date: 4. District code:

5. Neighbourhood code: 6. Strata code:

G1. GPS Unit number:

G2. Number of point:

G3. GPS References: North West

IF THERE ARE NO ADULTS IN THE HOUSE, MOVE ON TO THE NEXT HOUSE IN KEEPING WITH THE SAMPLING METHODOLOGY.

TO BE READ TO THE INTERVIEWEE PRIOR TO THE INTERVIEW

Good-day/evening, my name is _____. I work for an organisation doing a study to understand living conditions and access to food for people living in your neighbourhood. There are no “right” or “wrong” answers to the following questions; I would just like to find out a little more about your life here. You have the right to refuse to answer any questions; or to stop the interview at any time.

This questionnaire is anonymous. Your answers will remain confidential and will not be disclosed to the government or to any other organisations. Your name will not be mentioned in our report. I cannot offer you anything in exchange for your contribution, apart from my thanks. Your participation and testimony are very important.

This interview should take approximately 30 minutes. Do you have any questions? Are you willing to continue?

YES _____ NO _____

IF SUBJECTS SAY THEY ARE BUSY ASK IF IT IS POSSIBLE TO RETURN AT A LATER TIME. IF THE PERSON ANSWERS NO, MOVE ON TO THE NEXT HOUSE IN KEEPING WITH THE SAMPLING METHODOLOGY.

(To be completed in advance by supervisor prior to the interview.)

7. TYPE OF HOUSING WHERE HOUSEHOLD RESIDES

		7b Quality of building materials/ resistance capacity	
1	Detached house (concrete house)		
2	House made from mud / bricks	Good condition	1
3	House built from adobe bricks	Average condition	2
4	One room only house	Poor condition	3
5	Precarious shelter/shack/tent (plastic, wood, canvas)		

8. ENVIRONMENT OF RESIDENCE (SEVERAL POSSIBLE ANSWERS)

1	Built up area
2	Remote / non built up area
3	Flood-prone area
4	Heavily polluted or at risk area (industrial discharge, heavy industry)
5	Other:

9. BEGINNING OF INTERVIEW: _____ (hh :mm) End of Interview: _____ (hh :mm)

10. INTERVIEWEE:

Male	1
Female	2

11. AGE : |__|__|

1/DEMOGRAPHIC PROFILE OF THE INTERVIEWEE AND SPOUSE

12. NUMBER OF ROOMS IN THE HOUSE: |__|__|

13. HEAD OF HOUSEHOLD (person responsible for the running of the household every day, and who makes final decisions regarding distribution and use of resources)

Male	1
Female	2

HOW MANY PEOPLE DO YOU CONSIDER TO BE PART OF YOUR HOUSEHOLD? THESE ARE THE PEOPLE WITH WHOM YOU REGULARLY SHARE FOOD AND OTHER RESOURCES, EVEN IF YOU DO NOT LIVE WITH THEM ALL THE TIME. (YOU MUST EXPLAIN THIS QUESTION ACCURATELY.)

14	Total number of members of the household (including interviewee)	
15	Number of children under the age of 24 months	
16	Number of children between the ages of 24 and 59 months	
17	Number of children between the ages of 5 and 16 years (if answer is 0, proceed to question 25)	
18	Number of adults between the ages of 16 and 60 years (including interviewee)	
19	Number of people over the age of 60	

COULD YOU GIVE ME MORE DETAILS ON YOUR CHILDREN UNDER THE AGE OF 16?

Boys between 5-16 years?	20. How many ?	21 . How many attend school ?	24. (If the children do not attend school) Why do some of your children not attend school ?	
	__ __	number: __ __ No opinion: 98	Tuition	1
Girls between 5-16 years?	22. How many ?	23. How many attend school?	Transportation	2
	__ __	number: __ __ No opinion: 98	The children must work	3
			School is not important	4
			Discrimination (gender, religion, etc.)	5
			There is no school	6
			Other	7
			No opinion	98

WHAT LEVEL OF EDUCATION HAVE YOU ACHIEVED? AND YOUR SPOUSE? (SEVERAL ANSWERS POSSIBLE)

		25. Interviewee	26. Spouse
1	Never attended school		
2	Koranic/Christian school		
3	Primary school		
4	College		
5	University		
6	Other, specify _____		
7	Professional training (e.g. carpentry, hairdressing, mechanic, etc.) Specify _____		
98	Does not know/refuses to answer		
99	Not applicable		

27. IN WHICH LANGUAGE DO YOU COMMUNICATE IN YOUR HOUSEHOLD (SEVERAL ANSWERS POSSIBLE)?

French	1
Local Arabic	2
Fitri Batha	3
Gorane	4
Hadjarai	5
Kanem Bornou	6
Ouaddai	7
Sara	8
Other Specify : _____	9
Does not know/refuses to answer	98

28. HOW LONG HAVE YOU LIVED IN N'DJAMENA?

Born here (Go to Q.188)	1	29. Area in which you live:	30. What are the main reasons why you came here? (Several answers possible.)
< 6 months	2		
< 2 years	3		
Between 2-6 years	4		
Between 7-16 years	5		
> 16 years	6		
		To find work	1
		For services available in the city (school, health, urban life, electricity) etc.)	2
		Climate event (drought, etc.)	3
		Land conflicts/violence/threats	4
		To reunite with family in N'djamena/family reasons	5
		Pressure from rural community (weight of traditions)	6
		Other (specify): _____	7
		No opinion	98

31. DO YOU HAVE REGULAR CONTACT WITH YOUR RELATIVES AND FRIENDS, WHETHER THEY HAVE REMAINED IN YOUR HOME REGION OR HAVE LEFT FOR ANOTHER REGION OR COUNTRY?

Yes	1	32. What type of contact do you maintain? (Several answers possible.)	
No	2	Visits from family and friends	1
No opinion	98	Help from the family	2
		Help given to family	3
		Care (marabouts, traditional medicine , etc.)	4
		Others (specify)	5

33. ARE YOU CURRENTLY RENTING, LIVING WITH ANOTHER FAMILY, IN A SQUATTER SITUATION, OR DO YOU OWN YOUR RESIDENCE?

Owner with deeds	1	34. How much do you spend on accommodations ?		
Owner without deeds	2			
Renting :	3			
			Less than 7500 CFA	1
			Entre 7500 et 15 000 CFA	2
			Between 7,500 and 15 000 CFA	3
			Between 15,000 and 25 000 CFA	4
			Between 25,000 and 50 000 CFA	5
			Between 50,000 and 100 000 CFA	6
			Between 100,000 and 300 000 CFA	7
		No opinion	98	
Sheltered by another family temporarily and for free	4			
Sheltered by another family temporarily in exchange for services	5			
Living at the place of employment (caretaking)	6			
Living here temporarily (for a few days or weeks)	7			
Homeless	8			
Other	9			
No opinion	98			

35. DO YOU THINK YOU CAN BE EVICTED FROM YOUR RESIDENCE ?

YES	1	123. For what reasons?
		No lease, rent owed 1
		Risk of expulsion or expropriation by the authorities 2
		Risk of expropriation by the authorities (State reserve) 3
		The documents I have do not protect me (false documents) 4
		By my spouse/family member, concession 5
		Other: 6
NO	2	
Does not know/ Refuses to answer	9	

WHAT ARE THE THREE MAIN PROBLEMS, IF ANY, THAT YOU ENCOUNTER IN THIS NEIGHBOURHOOD? (Write down every answer given. Do not read out any possible answers)

	36. Order	37. Describe accurately	38. What do you do to deal with these difficulties ?	39. Who is in charge of it within your household or within your neighbourhood ? (PERSONS CODE)
There is no real problem				
There is no work/ no money for business				
High cost of living				
Too far from transportation /Transportation too expensive for commuting				
Harassment/ intimidation from authorities (police, army, etc.)				
Problems with owners of houses/lands				
Unfriendly/ indifferent local communities				
No water				

	36. Order	37. Describe accurately	38. What do you do to deal with these difficulties ?	39. Who is in charge of it within your household or within your neighbourhood ? (PERSONS CODE)
Sanitation (waste, wastewater, etc.)				
Flooding				
No electricity				
Insecurity/theft				
Overpopulation				
Pollution				
Other				
No opinion	98			

II - ECONOMIC AND SOCIAL STATUS OF THE HOUSEHOLD

40. WHAT WERE THE ACTIVITIES AND VARIOUS INCOMES (ANNUITIES) OF MEMBERS OF YOUR HOUSEHOLD DURING THE LAST MONTH?

Source of income (EMPLOYMENT code)	41. Who (Use PERSONS code)	42. Situation 1 = Stable income 2 = Occasional income 3 = Very irregular income	Monthly incomes	
			43. Low bracket/	44. High bracket/
			-	+
1				
2				
3				
4				
5				
6				
7				
8				
9				
If Agriculture Specify			45 Cultivated area	
			46 Type of culture	
			47 NBR of animals	
			48 Animals	

WOULD YOU TELL US ABOUT YOUR HOUSEHOLD'S 5 MAIN DAILY EXPENDITURES?

49. List 1 to 5 main expenditures	1-5	50. Amount (CFA) (CODES)	51. Evolution of these expenses compared to 2007 (+/=-)
1 Food			
2 Water			
3 Sanitation, waste			
4 Hygiene products			
5 Housing / rent			
6 Transportation			
7 Electricity			
8 Telephone			
9 Health			
10 Clothing			
11 Fuel (wood, etc.)			
12 Education			
13 Debt repayment			
14 Loan to others			
15 Savings			
16 Tobacco/ Alcohol			
17 Other			

52. DEPUIS JANVIER 2008, VOTRE MÉNAGE S'EST-IL ENDETTÉ ?

Yes	1	53 For which expenses :		55 Loan taken with :	
		Food	1	Bank	1
		Medical costs/illness	2	NGO/Local association	2
		Business	3	Family	3
		Transportation/travel	4	Neighbour	4
		Wedding/funeral	5	Shopkeeper	5
		School expenses	6	Loan shark	6
Other : _____	7	Other: _____	7		
No	2	54 Have you resold any of your goods (capital) to satisfy your needs ?			
		Yes	1 --> Specify		
		No	2		
		No opinion	98		

HAVE YOU LIMITED OR CANCELLED SOME EXPENSES?

Yes	1	56 Which type of expense ?	
		Food	1
		Medical expenses/ illness	2
		Business	3
		Transportation/travel	4
		Wedding/funeral	5
		School expenses	6
Other: _____	7		
No	2		
No opinion	98		

57. DO YOU SHARE RESOURCES WITH PERSONS WHO ARE NOT PART OF YOUR HOUSEHOLD? (SEVERAL ANSWERS ARE POSSIBLE. DO NOT READ THE PROPOSED ANSWERS.)

Yes	1	58. With whom?	60. What type of resources		
			Extended family	1	Accommodations
		Neighbours in the concession	2	Food	2
		Neighbours outside of the concession	3	Water	3
		Networks (Mosque, Church, etc.)	4	Access to latrines	4
		Other	5	Money	5
				Land /fertiliser / tools /seeds	6
				Information to find work	7
No	2	59 Why ? What obstacles did you encounter?	Other		8
				

III- FOOD AND HEALTH

61. COULD YOU TELL US WHAT YOU ATE AND DRANK LAST NIGHT, AT HOME OR ELSEWHERE ?

62. Number of meals		63. Sources of food <i>Write down all answers</i>		Which food? <i>Read the list of foods below and write down 1 if someone in the household has eaten that food and 0 if not.</i>	
0	1	Purchase	1	Dishes made with pearl millet, white or red sorghum, maize, rice, wheat, or any other dish made with cereals?	
1	2	Exchanges barter	2		
2	3	Gifts	3	Potatoes, yams, manioc (atieke, gari), white sweet potato or any other dish made with tubers or roots?	
3	4	Self production	4		
More than 3	7	Other	5	Vegetables? (Tomatoes, gumbos, eggplants, courgettes, cabbage, turnips, beans, amaranth, manioc leaves, and any other wild leaves.)	
No opinion	8	No opinion	6	Fruits? (Mango, papaya, banana, etc.)	
				Meat or poultry? (Beef, mutton, goat, pork, bush meat, liver, offal--kidneys, spleen, lungs, etc.)	
				Eggs? (Hen, guinea fowl, quail, etc.)	
				Fish or seafood? (Fresh fish, canned, etc.)	
				Food made with peas, lentils, beans?	
				Dairy products? (Cheese, yogurt, milk, fresh cream, etc.)	
				Oils and fats? (Palm oil or other vegetable oil, butter, mayonnaise, etc.)	
				Sugar? (Granulated or cubes, sweet drinks, honey, jam, candies, etc.)	
				Other foods? (Condiments, coffee, tea, etc.)	
				64 : TOTAL (add) :	

WOULD YOU TELL US ABOUT THE MEALS YOU HAD IN THE LAST 30 DAYS?

Questions	Possible answers	Code
In the last 30 days have you been worried your household would not have enough food?	0.never 1.rarely 2.sometimes 3.often	<input type="text"/>
In the last 30 days, because of a lack of resources, were you or any member of your household unable to eat some of the food you usually prefer to eat?	0.never 1.rarely 2.sometimes 3.often	<input type="text"/>
In the last 30 days, because of lack of resources, did you or any member of your household have to eat the same thing every day?	0.never 1.rarely 2.sometimes 3.often	<input type="text"/>
In the last 30 days, because of a lack of resources, did you or any member of your household have to eat food that you would usually rather not eat?	0.never 1.rarely 2.sometimes 3.often	<input type="text"/>
In the last 30 days, because of a lack of food, did you or any member of your household have to reduce the amount eaten during a meal?	0.never 1.rarely 2.sometimes 3.often	<input type="text"/>
In the last 30 days, because of a lack of food, did you or any member of your household have to reduce the usual number of daily meals?	0.never 1.rarely 2.sometimes 3.often	<input type="text"/>
In the last 30 days, because of a lack of food, did you or any member of your household go to bed hungry at night?	0.never 1.rarely 2.sometimes 3.often	<input type="text"/>
In the last 30 days, because of a lack of resources, did it happen that there was nothing to eat at all in your house?	0.never 1.rarely 2.sometimes 3.often	<input type="text"/>
In the last 30 days, because of a lack of resources, have you or any member of your household gone a whole day without eating?	0.never 1.rarely 2.sometimes 3.often	<input type="text"/>
	65. TOTAL	

HOW DO YOU ACCESS DRINKING WATER?

66. During the dry season		67. During the rainy season			
Direct connection to the house	1	1	68. Estimated cost per litre Dry season: CFA Francs/ Litres Rainy season : CFA Francs/ Litres		
Unreliable connection	2	2			
Well at the house/ in the concession	3	3			
Well at a neighbour's house	4	4	69. Treatment (chlorination, boiling/filtering, decanting, etc.) before use		
Hand pump/ street fountain	5	5		Network chlorination	1
				Home chlorination	2
				Boiling/ Filtering	3
				Decanting	4
				No treatment	5
			No opinion / uncertain	6	
Rain water collector	6	6	70. Drinking water storage		
Buy from water merchant	7	7	Covered	1	
			Uncovered	2	
Bottled water	8	8	Ground level	3	
			Below ground	4	
Other	98	98			
Does not know/ does not want to answer	99	99			

COLLECTING WATER FROM A WELL OR STREET FOUNTAIN

Number of times a day	71	76. TOTAL (71X72X73) litres/day
Volume of containers used	72	
Number of containers for each trip	73	
Person(s) in charge (use person codes)	74	
Time needed to go to the water point (round trip + waiting time)	75 min	

77. DO YOU HAVE ACCESS TO LATRINES?

Yes	1	78. The latrines are		79. Type of latrines		80. Draining toward	
		In the house	1	Dry	1	Waterborne sewage system	1
Located in the concession, at a neighbour's	2	Wet	2	Septic tank	2		
		Diversion of urine	3	Drained cesspool	3		
		Ecosan	4	Compost	4		
		Other	5	Other	5		
Public	3						
No	2	81. Where do you go					
		River	1				
		Drainage	2				
		Plastic bags	3				
		Green spaces	4				
		Other	5				

REGARDING YOUR DOMESTIC WASTE:

82. Where do you put your domestic waste?		83. Who collects the rubbish ?		84. How often ?	
Bins	1	Sanitation committee	1	Every day	1
Incineration	2				
In the house	3	Small enterprise	2	Twice a week	2
In the street (to bank up)	4				
Wasteland	5	City hall	3	Once a week	3
Secondary landfill	6				
Gutter	7	No one, no collection (go to Q. 85.)	4	Twice a month	4
Open channel / canal	8				
Natural drain	9	Other	5	Once a month	5
Other	10				
No opinion	98	No opinion	98	Less than once a month	98

REGARDING USE OF MOSQUITO NETS:

85. Do you use mosquito nets within the household?	
Yes	1
No	2
Untreated mosquito net (without insecticide)	3
Treated mosquito net, with insecticide	4
No opinion	98
86. If you use mosquito nets, who slept under it last night (one or several possible answers)?	
One or several children under the age of 5	1
One or several children from 5 to 16	2
Adults	3
Everybody	4
No opinion	98

CONCERNING YOUR WELLBEING...

87. Since January 2008 have you had any health complaints?		
Codes		Code
0 Never	General fatigue	
1 Rarely	Palpitations	
2 A few times a month	Headaches	
3 A few times a week	Stomach ache	
4 Every day	Back ache	
	Sleeping difficulties	
	Other (specify)	
	No opinion	98

IF THERE ARE CHILDREN UNDER THE AGE OF 5 IN THE HOUSEHOLD, CONTINUE THE QUESTIONNAIRE,

.....
OTHERWISE, STOP IT HERE.

COULD YOU TELL US ABOUT CHILDCARE?

88. Who looks after the children under the age of 5 most frequently during the day (one reply)?	
Father	1
Mother	2
Brothers/sisters	3
Uncle/aunt	4
Other	4
No opinion	98

89. How long does the mother spend looking after young children during the day?	
Number of hours:	

FOOD OF THE YOUNGEST CHILD UNDER THE AGE OF 5

• Age of the youngest child under the age of 5: months

90. When did you start breastfeeding?	
Less than one hour after birth	1
More than one hour after birth	2
Does not know / refuses to answer	98

91. How do you feed him/her?	
Breast feeding only	1
Breastfeeding + liquid nourishment	2
Breastfeeding + solid food, special for children	3
Breastfeeding + family meal	4
Formula or animal milk	5
Solid food and liquid nourishment for children (no breastfeeding)	6
Family meal	7
Does not know / refuses to answer	98

92. Whatever the child's age now, how old was he/she when you stopped breastfeeding?	
I never breastfed	1
Stopped before 6 months	2
Between 6 and 12 months	3
Between 12 and 24 months	4
After 24 months	5
Still breastfeeding	6
Does not know/ refuses to answer	98

93. At what age did you introduce food to your child to replace or complement breast milk (more or less liquid solid food)?	
I have not introduced solid food yet	1
Before 6 months	2
Between 6 and 12 months	3
Between 12 and 24 months	4
After 24 months	5
Does not know / refuses to answer	98

94. How did you wean the child?	
Progressively (over several days / weeks)	1
Abruptly	2
Does not know / refuses to answer	98

95. Have you changed your method of breastfeeding and weaning between this child and the previous child(ren)?	
Yes	1
No	2
Does not know / refuses to answer	98
If so, explain the reasons for the change:	
.....	
.....	

96. Have you encountered any problems during breastfeeding? (several answers possible)	
No, no problem	1
Not enough milk (the child cries, is sick)	2
Suckling difficulties	3
Bad quality milk	4
Pains, breast infection	5
Other (specify)	6
Does not know / refuses to answer	98

97. Have you already tried to find a solution to these problems? (several answers possible)	
No, never	1
Yes, with a friend or a family member	2
Yes, with a traditional healer	3
Yes, in a health centre or a hospital	4
Other (specify)	5
Does not know / refuses to answer	98

COULD YOU TELL US WHAT THE CHILDREN UNDER THE AGE OF 5 ATE AND DRANK YESTERDAY?

Read the list of foods below and write 1 if someone in the household has eaten this food and 0 if not.

Millet, sorghum, maize, rice, gruel, any other food based on roots and tubers (potatoes, manioc, etc.)?	
Vegetables rich in vitamin A (squash, carrots, sweet potatoes, mangoes, papayas, etc.)?	
Other fruits and vegetables? (bananas, apples, avocados, tomatoes, etc.)?	
Meat or poultry, fish or seafood (beef, mutton, goat, pork, bush meat, liver, offal)?	
Eggs (hen, guinea fowl, quail, etc.)?	
Food based on peas, lentils, beans, soy, groundnuts?	
Dairy products (cheese, yogurt, milk, fresh cream, etc.)?	
Food cooked with oil or fat?	
98. TOTAL (add)	

COULD YOU TELL ME ABOUT YOUR LAST PREGNANCY?

99. Did anyone monitor your pregnancy?	
Nobody	1
Doctor	2
Nurse	3
Midwife	4
Traditional midwife	5
Traditional healer	6
Other (specify):	7
Does not know / refuses to answer	98

100. How many pre-natal visits did you make?	
Number	
No opinion	98

101. Who attended you during childbirth?	
Nobody	1
Doctor	2
Nurse	3
Midwife	4
Traditional midwife	5
Traditional healer	6
Other (Specify):	7
Does not know / refuses to answer	98

102. On what topics have you been advised during pre-natal visits or birth?	
Received no advice	1
Breastfeeding	2
Nutrition and weaning of the baby	3
Spacing out pregnancies	4
Expanded programme on immunisation	5
Childhood diseases	6
Other	7
Does not know / refuses to answer	98

• Use of health services

103. In your opinion, what are the signs that would indicate a child is sick? (several answers possible)	
Does not seem well	1
Does not play	2
Does not eat normally	3
Has difficulty waking up, is apathetic	4
High temperature	5
Fast breathing, noisy, cough	6
Vomiting	7
Other (specify):	8
Does not know / refuses to answer	98

104. Most of the time, where do you go first to seek advice or treatment?	
Nowhere, it will pass	1
Traditional healer	2
Health centre	3
Hospital	4
Clinic	5
Pharmacy	6
Parents	7
Others	8
Does not know / refuses to answer	98

105. Do you use health services as often as you would wish?	
Yes	1
No	2
Does not know / refuses to answer	98



106.If answered no to the previous question, what are the reasons? (several answers possible)	
No facilities nearby	1
Waiting time too long	2
Facilities not adequately equipped	3
Staff shortcomings	4
Consultations too expensive	5
Tests too expensive	6
Medicine too expensive	7
Lack of medicine	8
Not aware of their existence	9
Does not know / refuses to answer	98

**107. SPACING OUT PREGNANCIES:
WHAT METHOD OF BIRTH CONTROL DO YOU USE?**

Does not know about birth control	1
Does not use any method	2
Injections	3
Pill	4
Condom	5
Withdrawal	6
Abstinence	7
Other (specify):	8
Does not know / refuses to answer	98

**108. THANK YOU, THIS IS THE END OF THE INTERVIEW.
WOULD YOU LIKE TO ADD ANYTHING, OR IS THERE ANYTHING YOU WOULD LIKE TO KNOW
REGARDING THIS RESEARCH?**

(To be written in the space below.)

**ASSESSMENT OF SUSTAINABLE LIVELIHOODS IN URBAN ENVIRONMENTS AND THE
IMPACT OF FOOD CRISES GROUP DISCUSSION FOR HOUSEHOLDS**

(To be completed by supervisors prior to the interview, and distributed to the interviewer)

1. Questionnaire number: 2. Name of the interviewer:
3. Focus Group date: 4. Code of the commune:
5. Neighbourhood code: 6. Strata code:

STEPS TO FOLLOW BEFORE CONDUCTING A GROUP DISCUSSION

1. Ask key informants to identify 6 to 12 female, or 6 to 12 male, heads of households, husbands or wives, who could take part in 2 separate group discussions. If possible identify adults of different age groups belonging to different socio-professional categories.
2. Explain that there will be separate discussions for men and women and that each will last about an hour.
3. Request premises on which to hold these discussions. (They may be held outside, providing no-one else from the neighbourhood is present or interfering).
4. One of the interviewers will ask questions and facilitate discussion while the other takes notes. Notes should also include quotations from participants when they are particularly relevant.
5. It is possible to change the order of the questions, if necessary. You may then start with the more "motivating" and neutral questions.
6. Do not suggest answers. Use incentives such as: "And what else?", "Is that so?", "Why?", "Why not?"

**TO BE READ OR EXPLAINED BEFORE THE INTERVIEW, IN SIMPLE LANGUAGE, TO THE
PERSON BEING INTERVIEWED**

Good day/evening, my name is _____. I work for an organisation that is undertaking a survey to understand your living conditions and access to food, and how people living in your neighbourhood deal with the problems they encounter. There are no "right" or "wrong" answers to the following questions. I just want to learn a little bit more about life here. You have the right to refuse to answer any questions and/or to stop the interview at any time.

This discussion is anonymous, Your answers will remain confidential. I cannot offer you anything in exchange for your contribution, apart from my thanks. Your participation and your views are very important.

This interview should take approximately one hour. We would like all participants to have input

YES NO
Explain:

(To be completed by the interviewer before beginning the interview, and then at the end of the discussion)

8. Typology of the neighbourhood:	
1.	Developed/built up neighbourhood
2.	Informal/not built up neighbourhood
3.	Area on a hillside/prone to flooding
4.	High risk area or very polluted (railway, high voltage line, industrial area)
5.	Built on waste

9. Duration of the discussion:
End of the interview:

10. PERSONS INTERVIEWED:

Male	1	Nb :
Female	2	Nb :

FAMILY BUDGET

WHAT, CURRENTLY, ARE THE HOUSEHOLD'S MAIN INCOME-RELATED ACTIVITIES?

1. Market gardening	14. Workman, day labourer
2. Fruit production	15. Carpenter
3. Food agriculture	16. Rentals
4. Sheep farming	17. Small restaurant / snack bar
5. Pork farming	18. Preparation / sale of dolo
6. Poultry farming	19. Collecting / recycling
7. Bricklaying/carpentry	20. Begging
8. Manufacturing bricks, cobblestone	21. Weaving
9. Peddler	22. Loans, debts
10. Material handler/runner	23. Dyeing
11. Merchant	24. Sale of artwork
12. Old age pension	25. Transfers
13. Transport (equipment, people)	26. Other (specify):

ARE THERE ANY ACTIVITIES THAT PROVIDE A MORE STABLE INCOME THAN OTHERS? IF SO WHICH ONES? (Write down the four main activities mentioned by the group, using the activity codes.)

- [] [] [] - [] [] [] - [] [] [] - [] [] [] Other:

ARE THERE ANY ACTIVITIES THAT GENERATE MORE SEASONAL OR OCCASIONAL INCOME? IF SO WHICH ONES? (Write down the four main activities mentioned by the group, using the activity codes.)

- [] [] [] - [] [] [] - [] [] [] - [] [] [] Autres :

WHAT ARE YOUR MAIN EXPENSES?

203. List the main expenses from 1 to 5	1-5	Relative share of expenses mentioned (%)	Evolution of these expenses (+/ = /-)
203a Food			
203b Water / sanitation			
203c LHousing / rent			
203d Transportation			
203e Electricity			
203f Telephone			
203g Health			
203h Clothing			
203i Fuels (wood, etc.)			
203j Education			
203k Debt repayment			
203l Loans to others			
203m Savings			
203n Tobacco / Alcohol			
203o Other (Explain):			

IS THE FOOD YOU ARE EATING TODAY DIFFERENT FROM WHAT YOU WERE EATING AT THE SAME TIME LAST YEAR (JUNE 2007)?

YES : [] [] NO : [] []

If so, why?

.....

.....

.....

HAVE THE FOOD SUPPLY SOURCES CHANGED, COMPARED TO THE SAME TIME LAST YEAR (JUNE 2007)?

YES : [] [] NO : [] []

- 1. Decrease in production []
- 2. Insufficient or lower income []
- 3. No more credit with merchants []
- 4. End of assistance []
- 5. Other []



1. ON AVERAGE, HOW MANY MEALS DO FAMILIES EAT PER DAY?

1. 2. 3.

2. HAS THE NUMBER OF DAILY MEALS EATEN BY FAMILIES CHANGED, COMPARED TO THE SAME TIME LAST YEAR (JUNE 2007)?

YES : NO :

3. IF SO, WHY?

- 1. The family can no longer afford 3 meals a day
- 2. Children must be fed first
- 3. Food has become too expensive
- 4. Foods are not available on the market
- 5. Adults can tighten their belts or have just one daily meal
- 6. Adults will snack when in town
- 7. Purchase of condiments is not longer possible
- 8. Other (explain):

4. ARE CERTAIN CATEGORIES OF PEOPLE FED BEFORE OTHERS?

YES : NO :

5. IF SO, WHICH?

- 1. Young children
- 2. Pregnant women
- 3. Breastfeeding women
- 4. Older persons

6. WAS THIS PRACTISED IN THE SAME WAY LAST YEAR AT THE SAME TIME?

YES : NO :

7. IF NOT, WHY?

.....

.....

.....

.....

.....

.....

FOOD AND NUTRITION

WHAT FOODS ARE CURRENTLY CONSUMED?

Check the corresponding box, keeping in mind that one type of food may come from a variety of sources. In this case check the corresponding boxes and write in the column:

1) own production – 2) purchase – 3) food aid – 4) loan – 5) donation – 6) exchange or barter – 7) food for work – 8) produce from picking

Food eaten		Source of food eaten			
1.	Sorghum, millet
2.	Corn
3.	Rice
4.	Tubers and roots (manioc, yam, etc.)
5.	Banana, plantain
6.	Peanuts, beans
7.	Vegetables and leaves
8.	Bread, fritter, pasta
9.	Enriched flour
10.	Palm oil and other oils
11.	Fish
12.	Meat
13.	Poultry
14.	Eggs
15.	Milk, dairy products
16.	Sugar, honey
17.	Salt
18.	Fruits
19.	Other

8. WHO IS IN CHARGE OF PROVIDING FOOD AND ENSURING THAT THE HOUSEHOLD GETS GOOD, NUTRITIOUS FOOD?

.....

.....

.....

.....

.....

.....

9. HAVE THERE BEEN ANY CHANGES COMPARED TO THE SAME TIME LAST YEAR?

YES	1
NO	2
Does not know/Uncertain	3

10. HOW DO YOU ASSESS YOUR HOUSEHOLD'S NUTRITIONAL DIET?

Ranking

- 1. Good
- 2. Acceptable
- 3. Bad

ASK PARTICIPANTS TO DESCRIBE FOOD DISTRIBUTION WITHIN THEIR HOUSEHOLDS.

(Try to figure out if distribution among household members is appropriately proportioned.)

Try giving each participant 10 beans, explaining that they represent the food available in the household, and ask him/her to distribute them between members of the family as they would at home. Use the example below as a guide to chart their choices.

Participant	Babies and young children	Pre-school children: Boys	Pre-school children: Girls	School children: Boys	School children: Girls	Adult women	Adult men	Pregnant women
1		3 beans			4 beans			
2								
3								
4								
5								
6								
7								
8								
9								
10								
11								
12								

HAS FOOD DISTRIBUTION CHANGED COMPARED TO THE SAME PERIOD LAST YEAR? IF YES, WHICH GROUPS HAVE BEEN SHORT-CHANGED BY THE NEW DISTRIBUTION?

Once again, beans may be used to illustrate the situation over the last year.

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WHERE ARE HEALTH CENTRES (CLINICS, HOSPITALS, NUTRITIONAL CENTRES) AND SOCIAL SERVICES LOCATED? HAVE YOU BEEN THERE? WHEN? WHY?

YES	1
NO	2
Does not know/Uncertain	3

.....

.....

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.....

WHAT ARE THE THREE MAIN DIFFICULTIES, IF ANY, THAT YOUR HOUSEHOLD HAS ENCOUNTERED LIVING IN THIS NEIGHBOURHOOD? (CHECK ALL ANSWERS THAT ARE GIVEN, AND CLASSIFY THEM BY ORDER OF IMPORTANCE. DO NOT READ POSSIBLE ANSWERS OUT LOUD.)

YES	1
NO	2
Does not know/Uncertain	3

.....

.....

.....

.....

.....

.....

.....

WHAT ARE THE THREE MAIN DIFFICULTIES, IF ANY, THAT YOUR HOUSEHOLD HAS ENCOUNTERED LIVING IN THIS NEIGHBOURHOOD? (check all answers that are given, and classify them by order of importance. do not read possible answers out loud.)

	Ordre	Describe accurately	How do neighbourhood inhabitants deal with these difficulties? (What strategies are implemented)?
There is no real problem			
There is no work / no money for trade			
Life is expensive			
Area is too far from transportation			
Transportation is too expensive to commute to work			
Harassment / bullying from authorities (police, army. etc.)			
Problems with owners of houses / land			
Unfriendly / indifferent local community			
No water			
Inadequate sanitation (waste, wastewater, etc.)			
Flooding / risk of land slide			
Insecurity / theft			
No electricity			
Over population			
Industrial pollution / cars, etc.			
Other			
Does not know / refuses to answer			

HOW FAR FROM THE FOLLOWING SERVICES AND FACILITIES DO YOU LIVE?

		139. Primary school	140. Health services	141. Water	142. Transportation (bus, taxi)	143.
About 1km	1					
2 to 5 km	2					
6 to 10 km	3					
Over 10km	4					
Does not know where it is	98					

ARE THERE ANY FAMILIES IN THE NEIGHBOURHOOD GETTING NON-FOOD AND/OR MONETARY ASSISTANCE FROM CHARITY ORGANISATIONS, NGOS, OR SOCIAL SERVICES, TO HELP COVER FOOD AND/OR NON-FOOD NEEDS?

YES	1
NO	2
Does not know / Unsure	3

IF THE ANSWER IS “YES” OR “UNSURE”:

What type of assistance ? (Write down all answers.)

		Describe:
Food aid	1	
Housing aid	2	
Health care	3	
Advice on rights, protection, legal aid	4	
Other (specify)	8	

FROM WHOM AND WHEN DID YOU RECEIVE THIS ASSISTANCE?

(Write down all answers.)

	147. Name	148. When? (e.g.: from May 2007 to August 2007)
International aid agency (United Nations, NGO)	1	
Government aid	2	
Local community organisation, NGO from Abidjan	3	
Other (specify)	5	
Autre (préciser)	8	



ARE YOU RECEIVING ASSISTANCE AT THE MOMENT?

NO	1	
YES, same as before	2	
YES, but different from before	3	Describe

THANK YOU. THIS IS THE END IF THE INTERVIEW. DO YOU HAVE ANY COMMENTS? IS THERE ANYTHING YOU WOULD LIKE TO KNOW ABOUT THIS SURVEY? (Write questions in the box below.)

THANK YOU VERY MUCH (end of the interview).

THE INTERVIEWER MUST ANSWER THE FOLLOWING QUESTIONS :

10. Who was present at the end of the interview:	
The interviewee only	1
The spouse	2
Another adult	3
More than one adult	4
One or several children	5

11. HOW LONG DID THE INTERVIEW LAST? MINUTES

12. DID THE INTERVIEWEE AGREE TO ANSWER ALL QUESTIONS?

YES: NO:

13. DID YOU ENCOUNTER ANY PROBLEMS DURING THE INTERVIEW (DESCRIBE)?



INTERVIEW GUIDE FOR NEIGHBOURHOOD LEADERS GROUP DISCUSSION

(To be completed by supervisors prior to the interview, and given to the interviewer)

1. Questionnaire number: 2. Interviewer name:
3. Focus Group date: 4. Commune code:
5. Neighbourhood code: 6. Strata code:

(Optional: If GPS is used)

- G1. GPS Unit number:
- G2. Point number:
- G3. GPS References: North West

To be read to the person being interviewed prior to the interview

Good day/evening. My name is _____. I work for an organisation that is undertaking a survey in order to understand the neighbourhood's organisation and the diversity of households living here. There are no "right" or "wrong" answers to the following questions. I just want to learn a little bit about your life here. You have the right to refuse to answer any question, and to stop the interview at any time. This discussion is anonymous. Your answers will remain confidential and will not be given to the government or to any other organisation. Your name will not be mentioned in the report. I cannot offer you anything in exchange for your contribution, apart from my thanks. Your participation and your views are very important.

This interview should take approximately 30 minutes. Do you have any questions? Do you agree to continue?

YES _____ NO _____

IF THE PERSON SAYS SHE/HE IS BUSY, ASK IF YOU MAY COME BACK LATER.

(To be completed by the interviewer prior to the interview)

7. INTERVIEWEE'S LEADERSHIP AFFILIATION

1.	Political (local councillor, neighbourhood representative)
2.	Religious
3.	Community (CBO responsible)
4.	Economic (merchant, etc.)
5.	Traditional / customary
5.	Other

8. HOUSING ENVIRONMENT (ask if necessary)

1.	Developed / built neighbourhood
2.	Informal/non-built neighbourhood
3.	Area on hillside / flood risk
4.	Risk area or very polluted area (railway lines, high voltage lines, industrial area)
5.	Built on waste

9. BEGINNING OF INTERVIEW: _____ (hh :mm) **End of interview:** _____ (hh :mm)

10. INTERVIEWEE:

Male	1
Female	2

11. AGE: |__| |__|

HOUSEHOLD TYPOLOGY

CAN YOU TELL US, IN BROAD TERMS, ABOUT THE INHABITANTS OF THIS NEIGHBOURHOOD:

	Very poor/destitute	Poor	Average and richer
Household composition - Household size (average) - Head of household status (woman with children, very large family, street children, etc.)			
What type of jobs do they have?			
Where are these jobs located (city centre, country, in the neighbourhood itself, etc.)? Include the name of the neighbourhood, if necessary.			
Do they have additional resources (none/pensions/ remittance transfer/ Other: specify)?			
Housing: - Built/not built - Materials - Plot size			
What is their residency status (tenants, owners, squatters, housed for free, homeless)?			
What type of access to water do they have? To latrines?			
What kind of household goods do they own? (bicycle, satellite dish, pets, etc.)			
Do the children of the household attend school? What kind of school (public, religious, none.)?			
Approximate Proportion: (Total = 100%)			

SOCIAL ORGANISATION

PLEASE TELL US ABOUT SOCIAL ORGANISATIONS AND NETWORKS (FORMAL AND INFORMAL).

Please summarise the official and unofficial functions of formal and informal social groups.

- How regularly are these groups activated?
- Are informal groups organised around specific family events (funerals, weddings, etc.)? What other types of events would trigger the mobilisation of these groups?
- What is exchanged (services, goods, information, moral support, etc.) in a group or a network?
- What is the main objective of these exchanges (meeting basic needs, improving income, complying with social obligations, keeping a network of useful relationships, etc.)?
- How does mutual assistance materialise (within families, social networks, religious groups, etc.)?
- Are there issues of mistrust and suspicion among certain households or groups?
- Describe recent examples of collective actions within the community.
- Who initiated these activities? How did people mobilise?
- Are there any constraints (belonging to a minority, being poor, being women, etc.) that limit the activities of certain groups?
- Are certain groups, neighbourhoods or households more likely than others to work together? If so, why? Are some groups less likely to work together?
- In your opinion, what are the limitations that prevent people from working together (lack of time, lack of solidarity or confidence regarding the success of collective projects, suspicion, etc.)?
- Where one or more persons do not respect the rules of the group, how are they sanctioned?
- What information sources are available within the community? Are there community members who are excluded from using certain sources?
- Are there any recurring disagreements among groups/networks? Open conflicts?
- Within the community, is there unequal access to opportunities, markets, information, or services?
- What is preventing public services from reaching the most disadvantaged populations? Are the reasons political, or related to ethnicity, gender or geographical isolation?
- Are there any intercommunity marriages? How often?
- What are the sources of tension or reasons for conflict among members of a network/group? (For example, is there competition for access to certain resources, social splits, or social and economic inequalities)?
- What kind of mediations have been implemented to help the community solve conflicts? Did they work? Why? For how long?
- What formal or informal mechanisms have been set in place for people or groups to ask community leaders or official representatives to explain their actions?
- Which groups or segments of the community have the greatest influence on public institutions? What is the reason for their influence (size, ability to mobilise members, relationships with influential authority figures, economic importance, etc.). Conversely, which group has the least influence on public institutions, and why?



■ IMPACT OF PRICE INCREASES

WHAT SORT OF MECHANISMS DO HOUSEHOLDS IMPLEMENT TO DEAL WITH A RISE IN PRICES (OR OTHER CRISES)?

	Very poor	Poor	Average / Richer
Describe: e.g.: food	Decrease the number of meals from 2 to 1; Borrow to buy food.		
Describe: e.g.: school attendance			
Describe : e.g.: employment	Stop reselling retail fruits to collect gravel.		
Describe:			



INTERVIEW GUIDE FOR AUTHORITY FIGURES AND KEY INFORMANTS

(Information regarding the interviewee)

1. Date of the interview: 2. Name of the interviewer:

3. Name: 4. Functions:

5. Address:

.....

.....

Procedure :

Present information on Action contre la Faim and its areas of competence.
 Explain the aims of the interview: to learn how authority figures and/or key informants analyse problems associated with food and nutrition insecurity in their district.
 Present the issues to be discussed (current situation regarding price increases; mechanisms implemented to deal with this problem, future prospects).

■ ANALYSIS OF THE ORGANISATION AND OF THE INSTITUTION

NATURE OF THE INSTITUTION		
COMPETENCY	Sectional: Geographic area:	
MEANS	Human resources Funding sources:	
PARTNERSHIPS	Duration	
PROJECTS	Objectives	
	Components	
	Appraisal	
COMMENTS		
REFERENCING		



■ ANALYSIS OF THE CURRENT SITUATION

Q1. HAVE YOU NOTICED ANY PRICE INCREASES DURING THE LAST FEW MONTHS?

YES: NO:

Q2. What are the main products whose prices increased?

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Q3. In your opinion, what are the reasons for this sudden increase?

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**Q4. What are the consequences of the price increase on households' living conditions?
(How has it effected food security, education, heath, income, expenses, etc?)**

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Q5. Which areas/neighbourhoods in your district are most affected by the price increases?

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Q6. Have measures implemented by the government helped to diminish the impact of price increases? (Measures could include releasing stock at a social price; exemption or temporary reduction of custom duties on certain staple foods; informal blocking of cereal exports, etc.)

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3. RESPONSE MECHANISMS FOR PROBLEMS CAUSED BY PRICE INCREASES:

Q1. What strategies have households developed to deal with price increases?

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Q2. What response strategies has the local council implemented?

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4. PERSPECTIVES

Which strategies may be implemented to help the population deal with the situation?

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ASSESSMENT OF THE IMPACT OF PRICE INCREASES ON COMMERCIAL ACTORS

(To be completed prior to the interview by the supervisor and given to the interviewer)

1. Questionnaire number: 2. Interviewer code:
3. Interview date : 4. District code:
5. Neighbourhood code: 6. Strata code:

(Optional: If GPS is used)

- G1. GPS Unit number:
- G2. Point number:
- G3. GPS References: North West

(To be completed by the interviewer before the interview begins)

7. TYPE OF TRADE

1.	Micro-retail
2.	Retail
3.	Semi-wholesale
4.	Wholesale
5.	Importer

8. TYPE OF TRADE

1.	Stall in an organised market
2.	Street market
3.	Shop
4.	Street merchant
5.	Street restaurant

9. BEGINNING OF THE INTERVIEW: _____ (hh :mm) **End of the interview** _____ (hh :mm)

10. INTERVIEWEE:

Male	1
Female	2

11. AGE : | | | |

■ WORK CONDITIONS

100. PLEASE TELL US ABOUT THE EVOLUTION OF YOUR COMMERCIAL ACTIVITES.

Who are your main customers (in order)?

1.	Micro-retailers
2.	Retailers
3.	Semi-wholesalers
4.	Wholesalers
5.	Importateur

105. DO YOU NORMALLY STOCKPILE PRODUCTS: YES/NO. PLEASE EXPLAIN.

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106. DO YOU HAVE STOCKS OF PRODUCTS CURRENTLY: YES/NO. PLEASE EXPLAIN.

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107. IF YOU DO, ARE YOUR STOCK AMOUNTS HIGHER, THE SAME, OR LOWER THAN LAST YEAR'S?

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108. DO YOU INTEND TO INCREASE YOUR CURRENT STOCK OF PRODUCTS: YES/NO. PLEASE EXPLAIN.

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ACTIVITY PROSPECTS

WHAT ARE YOUR PROSPECTS FOR THE END OF THE YEAR?

1.a) Volume: explain

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1.b) Price: explain

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2) What constraints do you currently encounter in your activities?

1.....

2.....

3.....

4.....

5.....

3) What are your strategies for adapting to these constraints?

1.....

2.....

3.....

4.....

5.....

What are the main products that you currently sell?	Has their price increased compared to this time last year?		101d. August 08		101f. Supply sources (several answers possible)							101g. Have you encountered any problems with supply?	
	101b	Yes 1	101c. August 07	101e. Unit	1	2	3	4	5	6	7	No 1	101h. Which ones?
101a 1.....					Own production	Small producers	Retailer	Semi-wholesaler	Wholesaler	Imports	Other:	No 1	101h. Which ones?
102a 2.....		Yes 1	August 07	Unit	Own production	Small producers	Retailer	Semi-wholesaler	Wholesaler	Imports	Other:	No 1	Which ones?
103a 3.....		No 2			Own production	Small producers	Retailer	Semi-wholesaler	Wholesaler	Imports	Other:	No 1	Which ones?
104a 4.....		Yes 1	August 07	Unit	Own production	Small producers	Retailer	Semi-wholesaler	Wholesaler	Imports	Other:	No 1	Which ones?



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